Patent Office Rules and Practice

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PATENT OFFICE RULES and PRACTICE

VOLUME MPEP

by

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GENERAL TABLE OF CONTENTS

A COMPLETE SYNOPSIS FOR EACH SECTION APPEARS
AT THE BEGINNING OF THE SECTION

VOLUME 1

VOLUME 2

VOLUME 3

General Table of Contents

General Table of Contents

PATENT OFFICE RULES BOOK

VOLUME MPEP

VOLUME ★

VOLUME ★★

ıeral Table of Contents

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VOLUME ★★★★

Manual of PATENT EXAMINING PROCEDURE

Original Eighth Edition, August 2001

U.S. DEPARTMENT OF COMMERCE
United States Patent and Trademark Office

The U.S. Patent and Trademark Office does not handle the sale of the Manual, distribution of notices and revisions, or change of address of those on the subscription list. Correspondence relating to existing subscriptions should be sent to the Superintendent of Documents at the following address:

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Washington, DC 20231

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Previous editions and revisions of the Manual are available on microfilm in the Patent Search Room.
The Manual is available on CD-ROM and on diskette from:

U.S. Patent and Trademark Office
Office of Electronic Information Products and Services
Washington, DC 20231

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Employees of the U.S. Patent and Trademark Office should direct their requests for the Manual, replacement pages, notices, and revisions to the Patent Academy. Telephone: 703-308-9660

Pursuant to the Patent and Trademark Office Efficiency Act (PTOEA) (Pub. L. 106-113, 113 Stat. 1501A-572), the head of the United States Patent and Trademark Office (USPTO) is the "Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office." The Director is assisted by the "Deputy Under Secretary of Commerce for Intellectual Property and Deputy Director of the United States Patent and Trademark Office." The patent operations of the USPTO are now headed by the "Commissioner for Patents." The trademark operations of the USPTO are now headed by the "Commissioner for Trademarks." Under section 4741(b) of the PTOEA, any reference to the Commissioner of Patents and Trademarks, the Assistant Commissioner for Patents, or the Assistant Commissioner for Trademarks is deemed to refer to the Director, the Commissioner for Patents, or the Commissioner for Trademarks, respectively. See "Reestablishment of the Patent and Trademark Office as the United States Patent and Trademark Office" published in the *Federal Register* at 65 FR 17858 (Apr. 5, 2000), and in the *Official Gazette of the United States Patent and Trademark Office* at 1234 O.G. 41 (May 9, 2000).

Additions to the text of the Manual are indicated by arrows (><) inserted in the text. Deletions are indicated by a single asterisk (*) where a single word was deleted and by two asterisks (**) where more than one word was deleted. The use of three or five asterisks in the body of the laws, rules, treaties, and administrative instructions indicates a portion of the law, rule, treaty, or administrative instruction which was not reproduced.

First Edition, November 1949
Second Edition, November 1953
Third Edition, November 1961
Fourth Edition, June 1979
Fifth Edition, August 1983
Sixth Edition, January 1995
Seventh Edition, July 1998
Eighth Edition, August 2001

Foreword

This Manual is published to provide U.S. Patent and Trademark Office patent examiners, applicants, attorneys, agents, and representatives of applicants with a reference work on the practices and procedures relative to the prosecution of patent applications before the U.S. Patent and Trademark Office. It contains instructions to examiners, as well as other material in the nature of information and interpretation, and outlines the current procedures which the examiners are required or authorized to follow in appropriate cases in the normal examination of a patent application. The Manual does not have the force of law or the force of the rules in Title 37 of the Code of Federal Regulations.

A separate manual entitled "Trademark Manual of Examining Procedure" is published by the U.S. Patent and Trademark Office as a reference work for trademark cases.

Examiners will be governed by the applicable statutes, rules, decisions, and orders and instructions issued by the Commissioner and the Assistant Commissioners. Orders and Notices still in force which relate to the subject matter included in this Manual are incorporated in the text. Orders and Notices, or portions thereof, relating to the examiners' duties and functions which have been omitted or not incorporated in the text may be considered obsolete. Interference procedure not directly involving the Primary Examiner are not included in this Manual and, therefore, Orders and Notices relating thereto remain in force.

Subsequent changes in practice and other revisions will be incorporated in the form of substitute or additional pages for the Manual.

Suggestions for improving the form and content of the Manual are always welcome. They should be addressed to:

Box MPEP
Assistant Commissioner for Patents
Washington, DC 20231

For sale by the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402

Introduction

Constitutional Basis

The Constitution of the United States provides:

"Art. 1, Sec. 8. The Congress shall have power . . . To promote the progress of science and useful arts, by securing for limited times to authors and inventors the exclusive right to their respective writings and discoveries."

Statutes

Pursuant to the provision of the Constitution, Congress has over the years passed a number of statutes under which the U.S. Patent and Trademark Office is organized and our patent system is established. The provisions of the statutes can in no way be changed or waived by the U.S. Patent and Trademark Office.

Prior to January 1, 1953, the law relating to patents consisted of various sections of the Revised Statutes of 1874, derived from the Patent Act of 1870 and numerous amendatory and additional acts.

By an Act of Congress approved July 19, 1952, which came into effect on January 1, 1953, the patent laws were revised and codified into substantially its present form. The patent law is Title 35 of the United States Code which governs all cases in the U.S. Patent and Trademark Office. In referring to a particular section of the patent code the citation is given, for example, as, 35 U.S.C. 31. Title 35 of the United States Code is reproduced in Appendix L of the Manual of Patent Examining Procedure (MPEP).

35 U.S.C. 1. Establishment.

(a) ESTABLISHMENT.— The United States Patent and Trademark Office is established as an agency of the United States, within the Department of Commerce. In carrying out its functions, the United States Patent and Trademark Office shall be subject to the policy direction of the Secretary of Commerce, but otherwise shall retain responsibility for decisions regarding the management and administration of its operations and shall exercise independent control of its budget allocations and expenditures, personnel decisions and processes, procurements, and other administrative and management functions in accordance with this title and applicable provisions of law. Those operations designed to grant and issue patents and those operations which are designed to facilitate the registration of trademarks shall be treated as separate operating units within the Office.

(b) OFFICES.— The United States Patent and Trademark Office shall maintain its principal office in the metropolitan Washington, D.C., area, for the service of process and papers and for the purpose of carrying out its functions. The United States Patent and Trademark Office shall be deemed, for purposes of venue in civil actions, to be a resident of the district in which its principal office is located, except where jurisdiction is otherwise provided by law. The United States Patent and Trademark Office may establish satellite offices in such other places in the United States as it considers necessary and appropriate in the conduct of its business.

(c) REFERENCE.— For purposes of this title, the United States Patent and Trademark Office shall also be referred to as the "Office" and the "Patent and Trademark Office".

Rules

One of the sections of the patent statute, namely, 35 U.S.C. 2, authorizes the Commissioner of Patents and Trademarks, subject to the policy direction of the Secretary of Commerce, to establish regulations, not inconsistent with law, for the conduct of proceedings in the U.S. Patent and Trademark Office.

These regulations or rules and amendments thereto are published in the *Federal Register* and in the *Official Gazette*. In the *Federal Register* and in the Code of Federal Regulations the rules pertaining to patents are in Parts 1, 3, 4, 5, and 10 of Title 37, Patents, Trademarks, and Copyrights. In referring to a particular section of the rules the citation is given, for example, as 37 CFR 1.31. A booklet entitled "Code of Federal Regulations, Title 37, Patents, Trademarks, and Copyrights," published by the Office of the Federal Register, contains all of the patent rules as well as trademark rules and copyright rules. Persons desiring a copy of this booklet should order a copy from the Superintendent of Documents.

The primary function of the rules is to advise the public of the rules which have been established in accordance with the statutes and which must be followed before the Office. The rules govern the examiners, as well as applicants and their attorneys and agents. The rules pertaining to patent practice appear in the MPEP as Appendix R.

Commissioner's Orders and Notices

From time to time, the Commissioner of Patents and Trademarks has issued Orders and Notices relating to various specific situations that have arisen in operating the U.S. Patent and Trademark Office. Notices and circulars of information or instructions have also been issued by other Office officials under authority of the Commissioner. Orders and Notices have served various purposes including giving examiners instruction, information, interpretations, and the like. Others have been for the information of the public, advising what the Office will do under specified circumstances.

Decisions

In addition to the statutes and rules, the actions taken by the examiner in the examination of applications for patents are to a great extent governed by decisions on prior cases. Applicants dissatisfied with an examiner's action may have it reviewed. In general, that portion of the examiner's action pertaining to objections on formal matters may be reviewed by petition to the Commissioner of Patents and Trademarks (see MPEP § 1002), and that portion of the examiner's action pertaining to the rejection of claims on the merits may be reviewed by appeal to the Board of Patent Appeals and Interferences (see MPEP § 1201). The distinction is set forth in 37 CFR 1.181 and 1.191. In citing decisions as authority for his or her actions, the examiner should cite the decision in the manner set forth in MPEP § 707.06.

Publications Available from Superintendent of Documents

The following is a partial list of patent related publications available from the Superintendent of Documents. Orders should be addressed and remittances made payable to Superintendent of Documents, U. S. Government Printing Office, Washington, DC 20402.

Official Gazette of the United States Patent and Trademark Office-Patents. The official journal of the Patent and Trademark Office relating to patents. Issued each Tuesday, simultaneously with the weekly issuance of patents, it contains a selected figure of the drawings and a claim of each patent granted, indexes of patents, lists of patents available for license or sale, and general information such as orders, notices, changes in rules, and changes in classification.

Annual Indexes. An index of the patents issued each year is published in two volumes, one an alphabetical index of patentees and the other an index by subject matter of inventions. The two parts are sold separately. Price varies from year to year, depending upon size of the publication. An annual index of Trademarks contains an alphabetical index of trademark registrants, registration numbers, dates published, classification of goods for which registered, and decisions published during the calendar year. Price varies from year to year, depending upon size of the publication.

Guide for the Preparation of Patent Drawings. Contains selected rules of practice relating to patent drawings and interpretations of those rules, including examples of patent drawings.

Manual of Classification. A looseleaf volume listing the numbers and descriptive titles of the more than 300 classes and 95,000 subclasses used in the subject classification of patents, with an index to the classifications. Substitute and additional pages, which are included in the subscription service, are issued from time to time.

General Information Concerning Patents. Contains a vast amount of general information concerning the application for and granting of patents, expressed in nontechnical language for the layman. Multiple copies available from Superintendent of Documents.

Manual of Patent Examining Procedure. A looseleaf manual which serves primarily as a detailed reference work on patent examining practice and procedure for the U.S. Patent and Trademark Office's Examining Corps including statutes, rules, treaties, etc. Subscription service includes basic manual, revisions, and change notices.

Attorneys and Agents Registered to Practice Before the U.S. Patent and Trademark Office. An alphabetically and a geographically arranged listing of patent attorneys and agents registered to practice before the U. S. Patent and Trademark Office.

Code of Federal Regulations, Title 37, Patents, Trademarks, and Copyrights. Compilation including the rules of practice of the U. S. Patent and Trademark Office.

Publications Available From the U.S. Patent and Trademark Office

Orders should be addressed to Commissioner of Patents and Trademarks, Washington, DC 20231. Remittances should be made payable to Commissioner of Patents and Trademarks. Postage stamps, Superintendent of Documents coupons or other Government coupons are not acceptable in payment of U.S. Patent and Trademark Office fees.

Basic Facts About Patents. Brief nontechnical answers to questions most frequently asked about Patents.

Guide to Filing a Patent Application. Brief technical description of the required parts of a patent application.

Patents. Copies of the specification and drawings of all patents are available at three dollars each. When ordering, identify the patent by the patent number, or

give full name of the inventor and approximate date of issuance of the patent.

Classification Definitions. Contain the changes in classification of patents as well as definitions of new and revised classes and subclasses. Price is based upon size of publication.

For a current list of U.S. Patent and Trademark Office (USPTO) publications and the sources from which these publications are available, contact the USPTO General Information Services Division at 1-800-786-9199 or 703-308-4357.

See MPEP § 1730 for additional information sources.

Table of Contents

Chapter *Page*

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office
Washington, DC 20231

MANUAL OF PATENT EXAMINING PROCEDURE
Eighth Edition

The enclosed is the Eighth Edition to the Manual of Patent Examining Procedure. The Manual has been revised extensively to incorporate the changes necessitated by The American Inventors Protection Act of 1999 and the following final rules:

(1) "Request for Continued Examination Practice and Changes to Provisional Application Practice," which became effective on August 16, 2000;

(2) "Changes To Implement Patent Term Adjustment Under Twenty-Year Patent Term," which became effective on October 18, 2000;

(3) "Changes To Implement the Patent Business Goals," which became effective on November 7, 2000;

(4) "Treatment of Unlocatable Patent Application and Patent Files," which became effective on November 17, 2000;

(5) "Changes to Implement Eighteen-Month Publication of Patent Applications," which became effective on November 29, 2000;

(6) "Rules to Implement Optional *Inter Partes* Reexamination Proceedings," which became effective on February 5, 2001;

(7) "Revision of Patent Cooperation Treaty Application Procedure," which became effective on March 1, 2001; and

(8) "Changes to the Time Period for Making Any Necessary Deposit of Biological Material," which became effective on May 29, 2001.

Changes are highlighted on the following pages.

This Edition of the Manual was prepared with the assistance of the Senior Legal Advisors and Legal Advisors of the Office of Patent Legal Administration. Their efforts are greatly appreciated.

Magdalen Y. C. Greenlief, Editor
Manual of Patent Examining Procedure

August 2001

Particular attention is called to the changes in the following sections:

CHAPTER 100:

101	Revised to reflect amendments to 35 U.S.C. 122 and 37 CFR 1.14.
102	Revised to reflect amendments to 37 CFR 1.14(a) and (b).
103	Revised to reflect amendments to 37 CFR 1.11 and 1.14, and to include a discussion of published patent applications. A copy of form PTO/SB/68, Request For Access To An Application Under 37 CFR 1.14(e) has been included. Also revised to include a discussion of FOIA requests.
104	Revised to reflect amendments to 37 CFR 1.14(d).
110	Revised to reflect amendment to 37 CFR 1.14(i). 37 CFR 1.14(i) was amended, effective November 29, 2000, to provide greater access to international application files kept by the USPTO.
120	Revised to reflect amendments to 37 CFR 5.1, and 5.2.
130	Revised to indicate that applications in which a secrecy order has been imposed are examined by TC Working Group 3640 and Art Unit 3662.
140	Revised to reflect amendments to 37 CFR 5.12.
150	Revised to reflect amendments to 42 U.S.C. 2182 and 37 CFR 1.14(f), and to indicate that provisional applications are not subject to DOE or NASA property rights review.

CHAPTER 200:

201	Revised to reflect amendments to 35 U.S.C. 111.
201.03	Rewritten to reflect amendment to 37 CFR 1.48. Correction of inventorship under 37 CFR 1.48 now requires a "request" along with a "processing fee" under 37 CFR 1.17(i) rather than a petition and a petition fee. Revised to indicate that 37 CFR 1.48(f) operates to automatically correct the inventorship upon filing of a first executed oath or declaration under 37 CFR 1.63 by any of the inventors in a nonprovisional application.
201.04(b)	Revised to reflect amendments to 35 U.S.C. 111(b) and 37 CFR 1.53(c). Revised to indicate that if applicant attempts to claim the benefit of an earlier U.S. or foreign application in a provisional application, the filing receipt will not reflect the improper priority claim. Also revised to include

a discussion of a request to convert a provisional application to a nonprovisional application

201.06 Revised to indicate that divisional applications of utility or plant applications filed on or after May 29, 2000 should be filed under 37 CFR 1.53(b) rather than as a CPA under 37 CFR 1.53(d) since the prior application of a CPA must be filed before May 29, 2000.

201.06(c) Revised to reflect amendments to 37 CFR 1.53(b) and 1.63(d). Revised to indicate that a priority claim does not amount to an incorporation by reference of the application to which priority is claimed and furthermore, a mere reference to another application, patent, or publication is not an incorporation by reference unless a statement is included that such referenced application, patent, or publication is "hereby incorporated herein by reference." Also revised to indicate that material needed to accord an application a filing date may not be incorporated by reference.

201.06(d) Revised to reflect amendment to 37 CFR 1.53(d) and to indicate that the prior application of a CPA must be filed before May 29, 2000. Applicant may wish to consider filing an RCE under 37 CFR 1.114 for utility or plant applications filed on or after May 29, 2000. Revised to clarify that for examination priority purposes only, the USPTO will treat continuation CPAs as if they were "amended" applications and not as "new" applications. This treatment is limited to CPAs in which the prior application has an Office action issued by examiner. If no Office action has been issued in the prior application, the CPA will be treated, for examination purposes, like a "new" application unless a petition to make special under 37 CFR 1.102 is filed in the CPA. Revised to indicate that if a CPA is improper because the prior utility or plant application was filed on or after May 29, 2000, the improper CPA will be automatically treated as an RCE under 37 CFR 1.114. Also revised to indicate that a filing receipt will be mailed in a CPA filed on or after November 29, 2000 to notify applicant of the projected publication date of the application. A discussion is added to address publication of CPAs. A discussion is added to indicate that applicant may file a request for suspension of action under 37 CFR 1.103(b) if applicant needs more time to prepare a preliminary amendment or to file an IDS in a CPA. The request for suspension of action must be filed at the time of filing of the CPA.

201.07 Revised to indicate that an application under 37 CFR 1.53(d) must be filed prior to the payment of the issue fee unless a petition under 37 CFR 1.313(c) is granted in the prior application.

201.11 Revised to reflect amendments to 35 U.S.C. 119(e) and 120. Revised to include two additional conditions for receiving the benefit of an earlier

filing date under 35 U.S.C. 119(e) or 120. Also revised to indicate that if a nonprovisional application that is filed on or after November 29, 2000 claims benefit to an international application, the first sentence of the specification must be amended to indicate whether the international application was published in English under PCT Article 21(2). A new subsection is added to set forth the time period requirement under 37 CFR 1.78(a)(2) and (a)(5) for making a claim for benefit under 35 U.S.C. 120 and 119(e) respectively.

201.13 Revised to reflect amendment to 35 U.S.C. 119(a) - (d), (f) and (g) and 37 CFR 1.55(a). The list of countries for which 35 U.S.C. 119(a)-(d), and (f) priority is granted has been updated to include WTO member countries. Revised to indicate that the foreign priority claim may be submitted in an application data sheet. Also revised to indicate that if the claim for priority or the certified copy of the foreign application is filed after the date the issue fee is paid, it must be accompanied by a processing fee. In such case, the patent will not include the priority claim unless corrected by a certificate of correction.

201.13(b) Revised to reflect amendments to 35 U.S.C. 365 and 37 CFR 1.451.

201.14 Revised to indicate that for original applications filed on or after November 29, 2000, the claim for foreign priority must be filed within the later of four months from the actual filing date of the application or sixteen months from the filing date of the foreign application.

201.14(a) Revised to reflect amendments to 37 CFR 1.55(a) and (c) and to indicate that if a claim for foreign priority is presented after the time period set in 37 CFR 1.55(a)(1)(i), the claim may be accepted if it is accompanied by a grantable petition to accept an unintentionally delayed claim for priority. Also revised to indicate that if the claim for priority or the certified copy of the foreign application is filed after the date the issue fee is paid, it must be accompanied by a processing fee. In such case, the certified copy of the foreign application will be placed in the application file but will not be reviewed and the patent will not include the priority claim unless corrected by a certificate of correction.

201.14(b) Revised to indicate that for original applications filed on or after November 29, 2000, the claim for foreign priority must identify the foreign application for which priority is claimed by specifying the application number, the country (or intellectual property authority), day, month, and year of its filing.

201.14(c) Revised to add a new subsection to address untimely claim for priority. Also revised to indicate that if the claim for priority or the certified copy of

the foreign application is filed after the date the issue fee is paid, it must be accompanied by a processing fee. In such case, the certified copy of the foreign application will be placed in the application file but will not be reviewed and the patent will not include the priority claim unless corrected by a certificate of correction.

201.16 Revised to reflect amendment to 35 U.S.C. 119(b) and to indicate that a claim for foreign priority may be added (or corrected) in an issued patent by reissue or certificate of correction provided the original application, which issued as the patent, was filed on or after November 29, 2000. In addition to the filing of a reissue application or a request for a certificate of correction, a petition to accept a delayed claim for priority along with the surcharge and a statement that the entire delay between the date the claim was due under 37 CFR 1.55(a)(1) and the date the claim was filed was unintentional must be submitted.

202.01 Revised to reflect amendments to 37 CFR 1.78(a)(1) and (a)(2).

203.08 The procedures for processing status letters by the Technology Centers have been revised to indicate that the status letter along with the reply must be matched with the application file.

CHAPTER 300:

301 The title of the section has been changed to read "Ownership/Assignability of Patents and Applications." New subsections have been added to address ownership, assignment, licensing, individual and joint ownership and making the assignment of record.

301.01 Revised to reflect amendment to 37 CFR 1.12 and to indicate that assignment documents relating to published patent applications are open to public inspection.

302.07 Revised to add form PTO-1595, "Recordation Form Cover Sheet - Patents Only."

302.08 Revised to reflect amendment to 37 CFR 3.27 and to indicate that requests for recording documents which accompany new applications should be addressed to the Assistant Commissioner for Patents. Requests under 37 CFR 3.81 will be processed by the Office of Patent Publications and therefore, should be marked to their attention.

307 Revised to reflect amendment to 37 CFR 3.81.

311 Revised to reflect amendment to 35 U.S.C. 294.

320 Revised to indicate that examiners may obtain a title report using the PALM Intranet, Patent Assignment Information.

324 Revised to reflect amendments to 37 CFR 3.71 and 3.73. Revised to set forth examples of instances where the owner or assignee of a patent property can take action in a patent application or patent proceeding. Also revised to indicate that duplicate copies of the statement under 37 CFR 3.73(b) is not required and should not be submitted.

CHAPTER 400:

401 The title of this section has been changed to read "U.S. Patent and Trademark Office Cannot Aid in Selection of Attorney."

402.05 Revised to reflect amendment to 37 CFR 1.36.

402.07 Revised to reflect amendment to 37 CFR 3.71.

403 Revised to reflect amendment to 37 CFR 1.33 and to indicate that applicant must specify a correspondence address in an application data sheet or elsewhere in any papers submitted with an application filing in a clearly identifiable manner. Revised to indicate who may change a correspondence address. Also revised to identify the persons who are authorized to change the information associated with an established Customer Number.

405 Revised to indicate that a change of correspondence address or a document granting access may only be signed by an attorney or agent who is not of record if an executed oath or declaration has not been filed in the application.

409 The title of this section has been changed to read "Death, Legal Incapacity, or Unavailability of Inventor." Revised to indicate that a minor may sign an oath or declaration under 37 CFR 1.63 as long as the person understands the document that he or she is signing.

409.01 Revised to indicate that the heirs of a deceased inventor should identify themselves as the legal representatives of the deceased inventor in the oath or declaration submitted under 37 CFR 1.63. A certificate from a court indicating that they are all the heirs are no longer necessary.

409.01(b) Revised to indicate that the Office no longer requires proof of the authority of the legal representative of a deceased inventor.

409.01(f) Revised to indicate that the legal representative of a deceased inventor must submit an oath or declaration in compliance with 37 CFR 1.63 stating that he or she is the legal representative of the deceased inventor and providing his or her residence, citizenship and post office address.

409.03 Revised to reflect amendments to 35 U.S.C. 116, 118 and 37 CFR 1.47 and to indicate that an application filed with a petition under 37 CFR 1.47 must be forwarded to the Office of Petitions for a decision before the application is sent to the Technology Center for examination.

409.03(b) Revised to include a Chief Executive Officer as an officer of a corporation who may sign the necessary oath or declaration under 37 CFR 1.63 on behalf of the corporation as the 37 CFR 1.47(b) applicant.

409.03(c) Revised to indicate that proof of the authority of the legal representative of the deceased inventor is no longer required.

409.03(d) Revised to indicate that the fact that an inventor is hospitalized is not an acceptable reason for filing under 37 CFR 1.47. However, 37 CFR 1.43 may be available in such circumstances.

409.03(h) Revised to indicate that petitions filed under 37 CFR 1.47 are decided by the Office of Petitions.

CHAPTER 500:

501 Revised to reflect amendment to 37 CFR 1.4 and to indicate that persons who correspond with the USPTO are encouraged not to include correspondence which will have to be directed to different areas of the Office in a single envelope. By including multiple papers in a single envelope will increase the likelihood that one or more of the papers will be delayed before reaching the appropriate area.

502 Revised to reflect amendment to 37 CFR 1.6. Revised to indicate that a confirmation number should be included on all incoming papers pertaining to an application. Also revised to indicate that the Office prefers identifying indicia to be provided on the drawings.

502.01 Revised to reflect amendment to 37 CFR 1.6(d) and (f) and to indicate that the Office will fax back a receipt of a CPA filing if applicant submits the Office receipt form along with the CPA filing.

502.02 Revised to reflect amendments to 37 CFR 1.4(d) - (f).

502.04 New section added to address duplicate copies of correspondence.

503 Revised to indicate the information that is provided on the filing receipt. A discussion is added to address confirmation number. Also revised to clarify that by incorporating by reference in the postcard receipt the items listed in a transmittal letter will not serve as *prima facie* evidence of receipt of those items.

506 Revised to reflect amendment to 37 CFR 1.53.

507 The title of the section has been changed to read "Drawing Review in the Office of Initial Patent Examination." Revised to set forth the drawing review process to implement the eighteen-month publication of patent applications. New subsections have been added to address voluntary submission of replacement drawings for purposes of patent application publication, replacement drawings submitted on paper, and replacement drawings submitted with a specification through EFS.

508.01 The title of this section has been changed to read "Papers Sent to Wrong Technology Center (TC)."

508.04 New section added to set forth the procedures for the reconstruction of the file of a patent application, patent, or any other patent-related proceeding that cannot be located after a reasonable search.

509 Revised to reflect amendments to 37 CFR 1.22, 1.23 and 1.26. A new subsection is added to address payment by credit card. A copy of the Credit Card Payment Form, PTO-2038 is reproduced.

509.01 Revised to reflect amendment to 37 CFR 1.25 and to indicate that an authorization to charge the issue fee to a deposit account may be filed in an individual application only after the mailing of the notice of allowance. Revised to indicate that an authorization to charge fees under 37 CFR 1.16 in an application filed under 35 U.S.C. 371 will be treated as an authorization to charge fees under 37 CFR 1.492.

509.02 Revised to reflect amendment to 37 CFR 1.27.

509.03 Revised to reflect amendments to 37 CFR 1.27, 1.4(d)(2), 10.18(b), and 1.28. Revised to set forth the procedures for establishing small entity status. Also revised to include the procedures for obtaining a refund based on a later establishment of small entity status and the procedures for correcting in small entity status. The small entity forms, PTO/SB/09 to PTO/SB/12 have been deleted since these forms are no longer necessary to claim small entity status.

510 The title of this section has been changed to read "U.S. Patent and Trademark Office Business Hours."

511 Revised to reflect amendment to 35 U.S.C. 21

513 Revised to reflect amendment to 35 U.S.C. 21.

CHAPTER 600:

601 Revised to reflect amendments to 35 U.S.C. 111 and 37 CFR 1.51 and to indicate that if an application data sheet under 37 CFR 1.76 is used, data supplied in the application data sheet need not be provided elsewhere in the application except that the citizenship of each inventor must be provided in the oath or declaration under 37 CFR 1.63 even if this information is provided in the application data sheet.

601.01 Revised to reflect amendment to 37 CFR 1.53 and to indicate that the CPA practice under 37 CFR 1.53(d) does not apply to applications (other than design) if the prior application has a filing date on or after May 29, 2000.

601.01(a) Revised to indicate that if the basic filing fee is not timely paid or the processing and retention fee set forth in 37 CFR 1.21(l) is not paid during the pendency of the application, the application will be disposed of. The information regarding what combinations of information supplied in an oath or declaration are acceptable as minimums for identifying a specification has been moved to MPEP § 602.

601.01(c) The title of this section has been changed to read "Conversion to or from a Provisional Application." A new subsection has been added to set forth the procedures for converting a provisional application to a nonprovisional application.

601.01(d) The reference to a fee set forth in 37 CFR 1.17(q) for provisional applications has been deleted because a petition under 37 CFR 1.53(e) along with the petition fee set forth in 37 CFR 1.17(h) for review of a notification from the Office that the original application papers lack a portion of the specification or drawings is applicable to provisional applications and nonprovisional applications. A new subsection has been added to set forth the procedures to follow when it is discovered that an application, located in a Technology Center, was filed without all of the pages of the specification and a notification has not been mailed by the Office of Initial Patent Examination.

601.01(f) The reference to a fee set forth in 37 CFR 1.17(q) for provisional applications has been deleted. See explanation in § 601.01(d) above.

601.01(g) The reference to a fee set forth in 37 CFR 1.17(q) for provisional applications has been deleted. See explanation in § 601.01(d) above. A new subsection has been added to set forth the procedures to follow when it is discovered that an application, located in a Technology Center, was filed without all of the drawing figures referred to in the specification and a notification has not been mailed by the Office of Initial Patent Examination.

601.01(h) All the forms previously included in this section have been deleted since the Office of Initial Patent Examination is no longer using pre-printed forms and is instead using individualized notices generated by a computer to notify application of defects.

601.02 A copy of form PTO/SB/81, Power of Attorney or Authorization of Agent, is reproduced.

601.03 Revised to reflect amendment to 37 CFR 1.33(a) and to indicate who may change the correspondence address.

601.05 A new section has been added to address application data sheet submitted under 37 CFR 1.76.

602 Revised to reflect amendments to 35 U.S.C. 25, 26, 115 and 37 CFR 1.63. The information from MPEP § 601.01(a) regarding what combinations of information supplied in an oath or declaration are acceptable as minimums for identifying a specification has been moved to this section. The section has been rearranged with appropriate heading being provided. A copy of the current Form PTO/SB/01, Declaration For Utility or Design Patent Application (37 CFR 1.63), is reproduced.

602.01 Revised to indicate that a deficiency in the oath or declaration can be corrected by an application data sheet.

602.05(a) Revised to indicate that if the examiner determines that a continuation or divisional application contains new matter relative to the prior application, the examiner should notify applicant in the next Office action and require applicant to submit a new oath or declaration along with the surcharge and to redesignate the application as a continuation-in-part. The requirement of a petition under 37 CFR 1.182 has been deleted.

603	Revised to reflect amendment to 37 CFR 1.67 and to indicate that a deficiency or inaccuracy relating to the information required by 37 CFR 1.63 may also be corrected with an application data sheet. Examples are provided to illustrate how certain deficiencies or inaccuracies in an oath or declaration may be corrected.
604.06	The title of this section has been changed to read "By Attorney in Application."
605	Revised to reflect amendment to 37 CFR 1.41 and to indicate that the name, residence, and citizenship of each person believed to be an actual inventor should be provided as an application identifier when application papers under 37 CFR 1.53(b) are filed without an oath or declaration, or application papers under 37 CFR 1.53(c) are filed without a cover sheet.
605.02	Revised to indicate that applicant's residence may be provided in an application data sheet.
605.03	The title of this section has been changed to read "Applicant's Mailing or Post Office Address." Revised to indicate that effective November 7, 2000, 37 CFR 1.63 was amended to use the phrase "mailing address" rather than "post office address" since the phrase "post office address" as previously used in 37 CFR 1.63 may be confusing. Also revised to indicate that effective November 7, 2000, the mailing address of each inventor may be provided in an application data sheet.
605.04(a)	Revised to reflect amendment to 37 CFR 1.64 and to clarify that applicant may sign his or her name using non-English characters. Such a signature will be accepted. Revised to indicate that it is acceptable to print out a copy of the specification prepared using traditional word processing software for the inventor to review as he or she signs the declaration and then cut and paste from the electronic document to prepare the EFS version of the specification and to submit a scanned copy of the declaration with the EFS submission. Also revised to clarify that if a legal representative executes an oath or declaration on behalf of a deceased inventor, the legal representative must state that the person is a legal representative and provide the citizenship, residence, and mailing address of the legal representative.
606	Revised to reflect amendment to 37 CFR 1.72.
606.01	Revised to set forth the procedures for changing the title of the invention and making the changes in PALM.

607 Revised to indicate that a preliminary amendment filed concurrently with a response to a Notice to File Missing Parts of Application that required the filing fee, which preliminary amendment cancels or adds claims, will be taken into account in determining the appropriate filing fees due in response to the Notice.

607.02 Revised to reflect amendment to 37 CFR 1.26. New subsections added to address the manner of making a refund, the time period for requesting a refund, fees paid by deposit account, and later establishment of small entity status.

608.01 Revised to reflect amendments to 37 CFR 1.52 and 1.58. Revised to indicate that if a provisional application is filed in a language other than English, an English translation of the non-English language provisional application will not be required in the provisional application. The English translation of the non-English provisional application and a statement that the translation is accurate must be submitted in any nonprovisional application claiming the benefit of the non-English language provisional application. Revised to clarify that examiners should not object to hyperlinks where the hyperlinks and/or other forms of browser-executable codes are part of applicant's invention and are necessary to be included in the patent application to comply with the requirements of 35 U.S.C. 112, 1st paragraph, and applicant does not intend to have these hyperlinks be active links.

608.01(a) Revised to reflect amendment to 37 CFR 1.77.

608.01(b) Revised to reflect amendment to 37 CFR 1.72(b) and to indicate that OIPE will review all applications filed under 35 U.S.C. 111(a) for compliance with 37 CFR 1.72 and will require an abstract, if one has not been filed. Also revised to indicate that the abstract of a national stage application filed under 35 U.S.C. 371 may be found on the front page of the PCT publication (i.e., pamphlet).

608.01(f) Revised to reflect amendment to 37 CFR 1.84. Revised to indicate that if a figure contains several parts, as for example, figure 1A, 1B, and 1C, the figure may be described as figure 1. If only figure 1A is described in the brief description, the examiner should object to the brief description, and require applicant to either add a brief description of figures 1B and 1C or describe the figure as "figure 1."

608.01(n) An additional example is added to illustrate an acceptable multiple dependent claim wording. Revised to clarify that if none of the multiple dependent claims is proper, the multiple dependent claim fee set forth in

37 CFR 1.16(d) will not be require. However, if at least one multiple dependent claim is proper, the multiple dependent claim is required.

608.01(p) Revised to indicate that an application may incorporate by reference essential material by reference to a U.S. patent application publication.

608.01(q) Revised to reflect amendment to 37 CFR 1.125. Revised to indicate that the paragraphs of any substitute specification, other than the claims, should be individually numbered in Arabic numerals so that any amendment to the specification may be made by replacement paragraphs.

608.02 Revised to reflect amendment to 37 CFR 1.84. The material in this section has been rearranged with new subsection headings to address drawing requirements, receipt of drawing after the filing date, and how to handle the drawing requirements under the first and second sentences of 35 U.S.C. 113. Some of the material from MPEP § 608.01(a) has been moved to this section. Also revised to delete the definition for the term "formal drawing" since the Office no longer considers whether drawings are formal or informal. The Office currently reviews drawings to determine whether the drawings are acceptable or not acceptable for publication purposes. Revised to indicate that the Office is *sua sponte* waiving the requirement of 37 CFR 1.84(a)(2)(iii) for a black and white photocopy of color drawings or color photographs.

608.01(a) The title of this section has been changed to read "New Drawing - When Replacement is Required Before Examination." Revised to indicate that drawings in utility and plant applications filed on or after November 29, 2000, other than CPAs, will be reviewed by OIPE for compliance with certain requirements of 37 CFR 1.84. If the drawings are not acceptable for publication purposes, OIPE will send a notice to applicant giving applicant a time period of 2 months from the mailing date to the notice to file acceptable drawings.

608.01(b) Revised to reflect amendment to 37 CFR 1.85. Revised to indicate that examiners should review the drawings for disclosure of the claimed invention and for proper use of reference numerals. Unless applicant is notified in an Office action, objections to the drawings will not be held in abeyance.

608.02(e) The title of this section has been changed to read "Examiner Determines Completeness and Consistency of Drawings."

608.01(h) Revised to delete the reference to a draftsperson "Approved" stamp since a draftsperson's "stamp" indicating approval is no longer required on patent drawings.

608.02(p) Revised to reflect amendments to 37 CFR 1.121(d) and 1.85.

608.02(q) Revised to indicate that if applicant wishes to amend the original drawings, at his or her own initiative, applicant is encouraged to submit new drawings as soon as possible, and preferably before allowance of the application.

608.02(r) The title of this section has been changed to read "Separate Letter."

608.02(x) The title of this section has been changed to read "Disposition of Applications with Proposed Drawing Corrections."

608.02(y) Revised to indicate that nonentered drawings that have been finally denied admission will not be returned to the applicant.

608.02(z) The title of this section has been changed to read "Allowable Applications Needing Drawing Corrections or Corrected Drawings." Revised to indicate that examiners should not require new drawings merely because applicant indicated that the drawings submitted on filing were informal. If an application is being allowed, and corrected drawings have not been filed, form PTOL-37 provides an appropriate check box for requiring corrected drawings. Extension of time to provide acceptable drawings after the mailing of a notice of allowability are no longer permitted.

608.03 Revised to reflect amendment to 37 CFR 1.91.

608.04 Revised to reflect amendment to 37 CFR 1.121(f).

608.05 The material that was previously in MPEP § 608.05 directed to deposit of computer program listings has been moved to MPEP § 608.05(a). New section 608.05 is directed to sequence listing table, or computer program listing appendix submitted on a compact disc. This new section reflect amendments to 37 CFR 1.52(e) and 1.77.

608.05(a) The material that was previously in MPEP § 608.05 directed to deposit of computer program listings has been moved to this new section. A new subsection has been added to indicate that the Office will provide for the continuation of prior microfiche appendix practice for computer listings until February 28, 2001.

608.05(b) A new section has been added to address compact disc submission of large tables.

608.05(c) A new section has been added to address compact disc submissions of biosequences.

609 Revised to reflect amendments to 37 CFR 1.97 and 1.98 and to clarify that consideration by the examiner of the information submitted in an IDS means nothing more than considering the documents in the same manner as other documents in Office search files are considered by the examiner while conducting a search of the prior art in a proper field of search. The initials of the examiner placed next to the citations on the PTO-1449 or PTO/SB/08A and 08B or its equivalents mean that the information has been considered by the examiner to the extent noted above. Only where the relevancy of the information is actually discussed in the application file or where the information is relied upon to reject a claim in the application, will the information deemed to have been considered for the purposes of reexamination under the *Portola* guidelines set forth in MPEP § 2242. New subsection headings have been added to address the procedures for handling IDSs in RCEs and continuing applications, and in national stage applications. Added discussion of holding in *Semiconductor Energy Laboratory Co., v. Samsung Electronics Co.*

610 A new section has been added to set forth the procedures for third party submission of patents and publications in a published application pursuant to 37 CFR 1.99.

CHAPTER 700:

701 Revised to reflect amendments to 35 U.S.C. 100 and 131.

704 The title of this section has been changed to read "Search and Requirements for Information." The material that was in § 704 has been moved to new § 704.01.

704.01 The material from § 704 has been moved to this new section.

704.10 through 704.14(d) New sections added to describe policy and procedures for making a requirement for information under 37 CFR 1.105.

706 Revised to reflect amendment to 37 CFR 1.112. Revised to include a discussion regarding requirement for information under 37 CFR 1.105.

706.02 Revised to reflect amendments to 35 U.S.C. 102 and 103.

706.02(a) The discussion regarding 35 U.S.C. 102(e) has been revised to address when the pre-AIPA version of 35 U.S.C. 102(e) should be applied and when the post-AIPA version of 35 U.S.C. 102(e) should be applied.

706.02(b)	Revised to indicate that the specific reference to the prior application as required by 37 CFR 1.78(a) may be included in an application data sheet.
706.02(c)	Revised to indicate that an examiner may make a requirement for information under 37 CFR 1.105 where the evidence of record indicates reasonable necessity.
706.02(i)	Form paragraphs have been revised.
706.02(k)	Revised to include examples to illustrate rejections under 35 U.S.C. 102(e)/103 in applications filed on or after November 29, 2000.
706.02(l)(2)	Revised to include additional examples to illustrate common ownership. The discussion regarding what evidence is required to establish common ownership has been rewritten to include the guidelines published in the *Official Gazette* on December 26, 2000 at 1241 O.G. 96.
706.02(l)(3)	The examination procedure with respect to 35 U.S.C. 103(c) regarding the establishment of common ownership has been simplified in view of the guidelines published in the *Official Gazette* as noted in § 706.02(l)(2) above.
706.02(m)	Form paragraphs have been revised.
706.02(n)	Revised to reflect amendment to 35 U.S.C. 103(b).
706.03(a)(1)	This section has been deleted and the material has been moved to MPEP § 2107.
706.03(o)	Revised to reflect amendment to 35 U.S.C. 132(a).
706.03(s)	Revised to reflect amendments to 35 U.S.C. 182, 184, and 185.
706.07	Revised to reflect amendment to 37 CFR 1.113.
706.07(f)	Revised to indicate that Office employees may not accept oral (telephonic) instructions to complete the Credit Card Payment Form or otherwise charge a fee to a credit card.
706.07(g)	Revised to reflect amendment to 37 CFR 1.129(a).
706.07(h)	Added new section to address request for continued examination under 37 CFR 1.114.

707	Revised to reflect amendment to 37 CFR 1.104 and to indicate that applicants are encouraged to include the 4-digit confirmation number on every paper filed in the Office.
707.05	Revised to reflect amendment to 37 CFR 1.104(d).
707.05(b)	The title of this section has been changed to read "Citation of Related Art and Information by Applicants." Added discussion regarding requirement for information under 37 CFR 1.105.
707.05(e)	Revised to indicate the kind of data that the examiner should provide when citing references on the form PTO-892.
707	Form paragraphs 7.37 and 7.38 have been moved to MPEP § 707.07(f).
707.07(f)	Form paragraphs 7.37 and 7.38 from MPEP § 707 have been moved to this section. Form paragraphs 7.37.01 - 7.37.13 have been added.
707.07(i)	The title of this section has been changed to read "Each Claim To Be Mentioned in Each Office Action."
707.07(l)	Added reference to MPEP § 2161 to § 2164.08(c) regarding written description and enablement requirements of 35 U.S.C. 112, 1st paragraph.
708.01	Revised to reflect amendment to 37 CFR 1.102.
708.02	Revised to reflect amendment to 37 CFR 1.102.
709	Revised to reflect amendment to 37 CFR 1.103 and rewritten to address suspension of action (1) at applicant's request, and (2) at the initiative of the Office.
710	Revised to reflect amendments to 35 U.S.C. 133 and 267.
710.01	Revised to reflect amendment to 37 CFR 1.135.
710.02	Revised to reflect amendment to 37 CFR 1.136.
710.02(e)	Revised to reflect amendment to 37 CFR 1.136 and to indicate that extensions of time under 37 CFR 1.136(a) or (b) are not available to extend the time period set in a Notice of Allowability (or in Office action having a mail date after the mail date of the Notice of Allowability), to submit an oath or declaration in compliance with 37 CFR 1.63, to submit formal drawings, or to make a deposit of biological material.

710.05	Revised to reflect amendment to 37 CFR 1.7 and added a discussion regarding Inauguration Day. Revised to indicate that the period of pendency of a provisional application will be extended to the next succeeding secular or business day which is not a Saturday, Sunday, or a Federal holiday, if the day that is twelve months after the filing date of the provisional application falls on Saturday, Sunday, or a Federal holiday within the District of Columbia.
711	The title of this section has been changed to read "Abandonment of Patent Application." Revised to reflect amendments to 37 CFR 1.135 and 1.138.
711.01	Revised to indicate that if a letter of express abandonment is being submitted in an allowed application, the express abandonment should be accompanied by a petition to withdraw from issue under 37 CFR 1.313 and the fee set forth in 37 CFR 1.17(h). The express abandonment may not be recognized by the Office unless it is actually received by appropriate officials in time to act on it before the date of issue. Added a discussion regarding a petition under 37 CFR 1.138(c) for express abandonment to avoid publication of the application.
711.02(b)	Added additional examples involving abandonment.
711.03(a)	The title of this section has been changed to read "Holding Based on Insufficiency of Reply."
711.03(c)	Revised to reflect amendments to 37 CFR 1.137, 1.181(a), and 1.181(f). This subsection regarding abandonment for failure to reply in a nonprovisional application has been rewritten and reformatted. A new subsection has been added to address abandonment for failure to notify the Office of a foreign filing pursuant to 35 U.S.C. 122(b)(2)(B)(iii) after a nonpublication request has been filed. The discussion regarding terminal disclaimers has been revised.
711.04	The title of this section has been changed to read "Public Access to Abandoned Applications." This section has been rewritten to set forth the conditions recited in 37 CFR 1.14(e)(2).
713.01	Revised to reflect amendment to 37 CFR 1.133 and to indicate that interviews must be conducted on the Office premises, such as in the examiner's office, conference rooms, or the video conference center.
714	Revised to reflect amendment to 37 CFR 1.121. This section has been rewritten to set forth the manner of making amendments that became effective on March 2, 2001.

714.01(a)	Revised to reflect amendment to 37 CFR 1.33(b).
714.02(c)	The title of this section has been changed to read "Signed by Attorney or Agent Not of Record."
714.02d)	The title of this section has been changed to read "Amendment Signed by Applicant But Not by Attorney or Agent of Record."
714.01(e)	New section added to address amendments filed before the first Office action and material from former § 714.09 has been moved to this new section.
714.02	Revised to reflect amendment to 37 CFR 1.111 and to indicate that an amendment which does not comply with the requirements of 37 CFR 1.121(b) and (c) may be held not fully responsive if both a clean version and a marked-up version showing changes to the respective parts of the specification/claims are not provided.
714.03	Revised to indicate that if an amendment submitted after March 1, 2001 does not comply with the requirements of 37 CFR 1.121, the Office will notify applicant by a Notice of Non-Compliant Amendment that the amendment fails to comply with 37 CFR 1.121 and applicant will be given a time period to reply.
714.03(a)	New section added to address amendment that unduly interferes with the preparation of an Office action.
714.06	The title of this section has been changed to read "Amendments Sent to Wrong Technology Center."
714.09	This section has been deleted and the material has been moved to new § 714.01(e).
714.12	Revised to reflect amendment to 37 CFR 1.116.
714.13	Revised to indicate that applicant may submit an amendment under 37 CFR 1.116 by presenting a clean set of all pending claims in one paper. Applicant may wish to consolidate all previous versions of pending claims in one amendment paper. By providing this consolidation of claims in the filed will be beneficial to both the Office and the applicant. Also revised to indicate that whenever an amendment, submitted under 37 CFR 1.116 includes new or amended claims, is entered for appeal purposes, the examiner must indicate on the advisory action which individual rejection(s) set forth in the action from which the appeal was taken (e.g., final rejection) would be used to reject the new or amended claim(s).

714.15	The title of this section has been changed to read "Amendment Received in Technology Center After Mailing of Notice of Allowance."
714.16	Revised to reflect amendment to 37 CFR 1.312 and to indicate that a after the Notice of Allowance has been mailed, applicants may wish to consolidate all previous versions of pending claims from a series of separate amendment papers into a single clean version in a single amendment paper. This consolidation of claims in the file will be beneficial to both the Office and the applicant for patent printing purposes. Entry of such an amendment is subject to 37 CFR 1.312.
714.16(d)	Revised to indicate that if an amendment under 37 CFR 1.312 has been filed directly with the TC, the paper should be forwarded to the Publishing Division to be flagged in PALM. The paper and the file will be matched and returned to the TC for processing.
714.19	Additional examples added to illustrate the types of amendments that are ordinarily denied entry.
714.20	Revised to include an example directed to amendments filed after March 1, 2001.
714.22	Revised to reflect amendment to 37 CFR 1.121.
714.22(a)	New section added to address amendments consolidating all claims.
715	Revised to reflect amendment to 37 CFR 1.131 and added discussion regarding when a U.S. patent application publication is available as prior art under 35 U.S.C. 102(e).
715.01(a)	The title of this section has been revised to read "Reference Is a Joint Patent or Published Application to Applicant and Another."
715.01(d)	New section added to address the use of an affidavit or declaration under 37 CFR 1.131 to overcome a rejection based on an activity showing that the claimed invention was used or known prior to the filing date of the application.
715.04	Revised to indicate that a party qualified under 37 CFR 1.42, 1.43, or 1.47 may make an affidavit or declaration under 37 CFR 1.131.
715.05	The title of this section has been changed to read "U.S. Patent or Application Publication Claiming Same Invention."

715.07(c)	Revised to reflect amendment to 35 U.S.C. 104.
716	Revised to reflect amendment to 37 CFR 1.132.
716.08	Revised to include updated reference to MPEP § 2107.02 and § 2107.03 regarding the utility examination guidelines.
718	Revised to reflect amendment of 37 CFR 1.130.
719.03	Revised to include a discussion of classification history box entries.
720	Revised to reflect amendment to 37 CFR 1.292 and to indicate that a petition under 37 CFR 1.292 should be directed to the Office of Patent Legal Administration.
724.04	Revised to indicate that prior to publication, an original application is not open to the public under 35 U.S.C. 122(a).
724.04(a)	The procedures for treating materials submitted under MPEP § 724.02 in an application covered by 35 U.S.C. 122 have been revised.
724.06	Revised to reflect amendment of 37 CFR 1.59.

CHAPTER 800:

804	Revised to indicate that the type of double patenting rejection based on *In re Schneller* is rare and is limited to the particular facts of the case. Charts I-A, I-B, II-A, and II-B have been revised and charts III-A and III-B have been added to address conflicting claims between application and a published application. Added a discussion of the holding in *Eli Lilly & Co. v. Barr Labs., Inc.* Also revised to indicate that the decision in *In re Schneller* did not establish a rule of general application and thus is limited to the particular set of facts set forth in that decision. If an examiner determines that a double patenting rejection based on *Schneller* is appropriate in the application, the examiner should consult with his or her SPE and if the SPE agrees, then the approval of the TC Director must be obtained before such a double patenting rejection can be made.
804.02	Two new subsections added to address terminal disclaimer required despite request to issue on common issue date, and disclaiming multiple double patenting references.
804.03	Revised to reflect amendment to 37 CFR 1.130. A new subsection added to address identifying commonly owned cases or determining invention priority.

804.04 The title of this section has been changed to read "Submission to Technology Center Director."

819 Revised to indicate that applicant cannot as a matter of right, switch inventions by filing an RCE.

821 Revised to indicate that the examiner should clearly set forth in the Office action the reasons why the claims withdrawn from consideration are not readable on the elected invention. Applicant may traverse the requirement and if the requirement for restriction is made final by the examiner, applicant may file a petition under 37 CFR 1.144 for review of the restriction requirement. Examiners should no longer make a rejection under 35 U.S.C. 112, 2nd paragraph where there is disagreement between the examiner and applicant as to whether certain claims are readable on the elected invention.

CHAPTER 900:

901.02 Revised to indicate that if an abandoned application was previously published under 35 U.S.C. 112(b), that patent application publication is available as prior art under 35 U.S.C. 102(a) and 102(b) as of its patent application publication date because the patent application publication is considered to be a "printed publication" within the meaning of 35 U.S.C. 102(a) and 102(b).

901.03 Revised to indicate that pending U.S. applications filed before November 29, 2000, which are not voluntarily published and applications filed on or after November 29, 2000, which have not been published are generally preserved in confidence. Added a discussion regarding 18-month publication of patent applications.

901.04(a) A new section has been added to address kind codes.

901.05(c) Revised to indicate that foreign patents are available to the examiners from the USPTO's automated search tools such as EAST, WEST and FPAS.

902.03(a) New section directed to Patent Classification Home Page on the Internet.

902.03(b) New section directed to Patent Classification Home Page on the USPTO Intranet.

902.03(c) New section directed to Classification Insight on USPTO Local Area Network (LAN).

902.03(e) New section directed to Automated Search Tools: EAST and WEST.

902.04(a) Revised to indicate that the reclassification alert report is updated quarterly and is available to USPTO personnel online from the Classification Home Page.

903.07 Revised to indicate that U.S. patents cannot be classified in subclasses beginning with "FOR" since there are exclusively for foreign patents.

903.08(d) Revised to set forth transfer procedures where the transfer is between art units within the same Technology Center, and transfers between different Technology Centers.

903.08(e) The title of this section has been changed to read "General Guidelines Governing the Assignment of Nonprovisional Applications for Examination."

903.08(g) The title of this section has been changed to read "Transfer to Another Technology Center After Decision."

CHAPTER 1000:

1001 Revised to reflect amendments to 35 U.S.C. 2 and 3(a) and 3(b).

1002 Revised to reflect amendment to 37 CFR 1.181. Revised to indicate that the 2-month time period in 37 CFR 1.181(f) applies to petitions under any section that does not specify the time period within which a petition must be filed (e.g., 37 CFR 1.182 and 1.183).

1002.02(b) The title of this section has been changed to read "Petitions and Requests Decided by the Office of the Deputy Commissioner for Patent Examination Policy." Revised to update list of petitions and requests decided by the Office of the Deputy Commissioner for Patent Examination Policy.

1002.02(c) The title of this section has been changed to read "Petitions and Requests Decided by the Technology Center Directors." Revised to update list of petitions and requests decided by TC Directors.

1002.02(c)(1) The title of this section has been changed to read "Petitions Decided by the Director of Technology Center 3640."

1002.02(c)(2) The title of this section has been changed to read "Petitions Decided by the Director of Technology Center 1600."

1002.02(c)(3) The title of this section has been changed to read "Petitions Decided by the Director of Technology Center 2900." Revised to update list of petitions decided by the TC Director of 2900.

1002.02(d) Revised to update list of petitions and matters decided by Supervisory Patent Examiners.

1002.02(f) Revised to update list of petitions and matters decided by the Chief Administrative Patent Judge of the Board of Patent Appeals and Interferences.

1002.02(k) This section has been deleted and replaced by new sections 1002.02(k)(1), 1002.02(k)(2), and 1002.02(k)(3).

1002.02(q) Revised to update list of petitions and requests decided by OIPE.

1002.02(r) Revised to update list of petitions and requests decided by the Director of Office of Patent Publication.

1002.02(s) The title of this section has been changed to read "Petitions and Matters Decided by the Special Program Examiners in the Technology Centers."

1003 The title of this section has been changed to read "Matters Submitted to Technology Center Directors." Revised to update list of matters submitted to TC Directors.

1004 Revised to update list of actions which require the attention of a primary examiner.

1005 Revised to update list of actions which may not be signed by an examiner with partial signatory authority.

CHAPTER 1100:

1101 Revised to indicate that art unit 3662 handles applications including a request for a SIR that are electrical in nature and those that are related to computer science. Also revised to indicate that publication of an application may be a desirable alternative to requesting a SIR since publication of the application is achieved without any waiver of patent rights.

1107 Revised to set forth the procedures to follow in preparing a nonprovisional application with a SIR request for publication.

CHAPTER 1200:

1203 Revised to reflect amendment to 35 U.S.C. 6.

1205 Revised to reflect amendment to 37 CFR 1.191. New subsection headings added to address appeal by patent applicant and appeal by patent owner. Also revised to indicate that the provisions of 37 CFR 1.550(c) applies to *ex parte* reexamination proceedings.

1208 Revised to reflect amendment to 37 CFR 1.193 and to indicate that an appeal conference is now mandatory in all cases in which an acceptable brief has been filed. Upon receipt of the appeal case by the Board of Patent Appeals and Interferences, the Board should review the application prior to assigning an appeal number to determine whether an appeal conference has been held. If there is no appropriate indication that an appeal conference has been held, the Board should return the application to the appropriate TC Director for corrective action.

1208.03 Revised to reflect amendment to 37 CFR 1.193.

1211.03 This section has been added to address remand by the Board to the examiner for further search.

1214.01 The material in this section has been rearranged.

1215.01 Revised to indicate that prior to a decision by the Board, if an applicant wishes to withdraw an application from appeal and to reopen prosecution of the application, applicant may file an RCE under 37 CFR 1.114.

1216 Revised to add a new subsection regarding judicial review of *ex parte* reexamination proceedings.

1216.01 A new subsection has been added to address the standards of review by the Court of Appeals for the Federal Circuit.

CHAPTER 1300:

1302.01 Revised to indicate that the abstract should be limited to 150 words.

1302.04 Revised to indicate that corrections of errors and omissions in the claims must be made by a formal examiner's amendment, signed by a primary examiner and placed in the application file and a copy sent to the applicant. Also revised to indicate that 37 CFR 1.121(g) permits the Office to make amendments to the specification, including claims, by examiner's amendments without paragraph/section/claim replacement in the interest of expediting prosecution.

1302.05(a) Revised to indicate that when the original drawings cannot be located and the application is otherwise in condition for allowance, a replacement drawing should be obtained from OIPE's records of the application as originally filed.

1302.12 Revised to indicate that references listed by the examiner on a PTO-892 form will be indicated with an asterisk in the "Reference Cited" section of the front page of a patent document.

1302.14 Revised to reflect amendment to 37 CFR 1.104(e). A new subsection heading directed to applicant's comments on the reasons for allowance has been added.

1303 Revised to reflect amendment to 37 CFR 1.311.

1303.01 Revised to indicate that reference to an issue batch number is no longer necessary since the Office no longer stores and tracks applications according to issue batches.

1306 Revised to indicate that applicants may fax post allowance correspondence to the correspondence branch in the Office of Patent Publications.

1306.01 Revised to reflect amendment to 37 CFR 1.314.

1306.03 Added a new subsection to address procedures for ordering an allowed application.

1308 Revised to reflect amendment to 37 CFR 1.313. New subsections added to address withdrawal from issue at the initiative of the applicant prior to the payment of the issue fee and after the payment of the issue fee.

1309 Revised to reflect amendments to 35 U.S.C. 2 and 153.

1309.01 This section has been moved to MPEP Chapter 2700.

CHAPTER 1400:

1402 Revised to indicate that in the situation where it is necessary to submit for the first time both the claim for priority and the certified copy of the priority document in the reissue application, and the utility or plant application which became the patent to be reissued was filed on or after November 29, 2000, the reissue applicant will have to file a petition for unintentionally delayed priority claim under 37 CFR 1.55(c) in addition to filing a reissue application.

1410	Revised to indicate that a re-typed specification is not acceptable in a reissue application. The full copy of the printed patent in double column format must be used. Also revised to indicate that if the patent is not assigned, the reissue applicant should affirmatively state that the patent is not assigned.
1410.01	Revised to reflect amendments to 37 CFR 1.172 and 3.73.
1411	Revised to reflect amendment to 37 CFR 1.173 and to indicate that for reissue applications filed on or after November 7, 2000, the application must be furnished in the form of a copy of the printed patent in double column format with one page of the patent appearing on only one side of each individual page of the specification of the reissue application.
1412.03	Added a new subsection to address the oath or declaration requirements in a broadening reissue application.
1412.04	Revised to indicate that where a reissue application seeks to correct inventorship in the patent and the inventors sign the reissue oath or declaration, the correct inventive entity must sign the reissue oath or declaration.
1413	Revised to reflect amendments to 37 CFR 1.173(a)(2) and (b)(3). Also revised to indicate that the prior reissue practice of transferring drawings from the patent file has been eliminated, since clean photocopies of the printed patent drawings are acceptable for use in the printing of the reissue patent.
1414	Revised to reflect amendment to 37 CFR 1.175.
1414.01	Added a new subsection to address supplemental oath or declaration in a broadening reissue.
1415	The title of this section has been changed to read "Reissue Filing Fees."
1416	Revised to reflect amendment to 37 CFR 1.178.
1417	Added a new subsection to address the situation where a priority claim under 35 U.S.C. 119(a)-(d) is newly perfected in the reissue application.
1418	The title of this section has been changed to read "Notification of Prior/Concurrent Proceedings and Decisions Thereon, and of Information Known to be Material to Patentability." Also revised to indicate that 37 CFR 1.178(b) requires reissue applicants to call to the attention of the

Office any prior or concurrent proceeding in which the patent (for which reissue is requested) is or was involved and the results of such proceedings.

1430 Revised to indicate that the filing of a request for continued examination (RCE) under 37 CFR 1.114 of a reissue application will not be announced in the *Official Gazette*.

1440 Revised to reflect amendment to 37 CFR 1.176.

1441 The title of this section has been changed to read "Two-Month Delay Period."

1441.01 Added new section to address protest in reissue applications.

1450 Revised to reflect amendment to 37 CFR 1.176.

1451 Revised to reflect amendment to 37 CFR 1.177.

1452 Added new section to address request for continued examination of reissue application.

1453 Revised to reflect amendments to 37 CFR 1.121(h) and 1.173(b) to (g), regarding the manner of making amendments in reissue applications.

1455 The material regarding transfer of drawings has been deleted. Revised to indicate that changes to the specification, including the claims, made by the Office in an examiner's amendment may be made by specific instructions to insert or delete subject matter set forth in the examiner's amendment pursuant to 37 CFR 1.121(g). Added a new subsection to address final review of the reissue application by the examiner.

1470 Added a new section to address public access of reissue applications.

1480 Revised to reflect amendment to 37 CFR 1.322. Added a new subsection to address third party information on mistakes in patent.

1481 Revised to reflect amendments to 37 CFR 1.323 and 1.324.

1490 Revised to add new subsection headings.

CHAPTER 1500:

1502.01 Revised to identify additional differences between design and utility patent applications.

1503.01 Revised to reflect amendment to 37 CFR 1.154.

1503.02 Revised to reflect amendment to 37 CFR 1.152. Revised to indicate that the Office is *sua sponte* waiving the requirement of 37 CFR 1.84(a)(2)(iii) for a black and white photocopy of color drawings or color photographs.

1504.02 Revised to reflect amendment to 35 U.S.C. 102.

1504.03 Revised to reflect amendment to 35 U.S.C. 103.

1504.04 Rewritten to indicate that when an amendment affecting the claim is submitted that introduces new matter into the drawing, specification, or title and a rejection under 35 U.S.C. 112, 1st paragraph is made, the examiner should specifically identify in the Office action the subject matter which is not considered to be supported by the original disclosure. A statement by the examiner that merely generalizes that the amended drawing, specification, or title contains new matter is insufficient.

1504.06 The discussion regarding a nonstatutory double patenting rejection based on *In re Schneller* has been deleted.

1504.20 Revised to indicate that in the absence of a statement in the design application as originally filed incorporating by reference the disclosure of an earlier filed application, the disclosure in a continuing application may not be amended to conform to that of the earlier filed application for which priority is claimed. A mere statement that an application is a continuation or division of an earlier filed application is not an incorporation of anything into the application containing such reference for purposes of satisfying the disclosure requirements of 35 U.S.C. 112, 1st paragraph.

1504.30 New section added to set forth the expedited examination procedures for design applications.

Chapter 1600:

1601 Added language describing the rights associated with a plant patent, the term of a plant patent, and the publication of plant patent applications pursuant to 35 U.S.C. 122(b).

1603 Revised to reflect amendment to 37 CFR 1.163(b). Also revised to indicate where information pertaining to the oath or declaration, specification, claims, and drawings is located in MPEP Chapter 1600.

1605 Removed plant color coding sheet (Form PTO/SB/20) and reference thereto. Added indication that the Latin name of the genus and species of the plant claimed should be stated.

1606 Revised to indicate that if the drawings or photographs are in color, two copies of the drawings or photographs are required. Also revised to indicate that the requirement under 37 CFR 1.165(b) for a black and white photocopy of any color drawing or photograph has been waived.

1612 The list of states that are party to the UPOV Convention has been updated. Revised to indicate that the United States adheres to the 1991 text of the UPOV Convention and has a reservation under Article 35(2) of the text (which allows plant patents rather than breeder's rights certificates).

1613 New section added to reflect addition of 35 U.S.C. 119(f), and to explain that an application for a plant patent may rely upon an application for plant breeder's rights filed in a WTO member country (or in a foreign UPOV Contracting Party) for priority under 35 U.S.C. 119(a) through (c).

Chapter 1700:

1701 Added language to indicate that no USPTO employee may pursue a bounty offered by a private sector source for identifying prior art, and that acceptance of payments from outside sources for prior art search activities may subject the employee to administrative disciplinary action.

1703 Rewritten to update the description of the *Official Gazette* and the information published therein.

1730 Updated description of general information available on the USPTO Internet site. Updated information pertaining to patent related databases, and added description of the Patent Applications Database. Added language describing the Patent Electronic Business Center, including Patent Application Information Retrieval (PAIR) and the Electronic Filing System (EFS). Updated and reorganized format of information under the heading "Miscellaneous."

CHAPTER 1800:

Intro Updated to indicate information available from the website of the World Intellectual Property Organization (WIPO).

1801 Revised to reference the WTO administered Agreement on Trade-Related Aspects of Intellectual Property (TRIPS Agreement).

1803 Revised to indicate that if the United States is the only PCT Contracting State designated in an international application, the international application will not be published by the International Bureau (IB) at 18 months. Nonetheless, the USPTO will publish the application under 35 U.S.C. 122(b) after it has entered the national stage in the United States.

1807 Revised to indicate that the PCT Applicant's Guide can be viewed or ordered online from WIPO's website.

1811 Updated to make reference to the procedure for receiving the international application on behalf of the International Bureau under PCT Rule 19.4 when the USPTO is not a competent receiving Office for the international application under PCT Rule 19.1(a), but at least one applicant is a resident or national of any PCT Contracting State.

1812 Revised to include a reference to the PCT-EASY software.

1817 Revised to include all PCT Member States as of August 15, 2001.

1820 Revised to indicate that the Chief Executive Officer, Chief Operating Officer, and Chief Financial Officer of an organization are presumed to have authority to sign on behalf of the organization. Also revised to indicate that the Office no longer requires proof of authority of the legal representative of a deceased inventor.

1821 Revised to reflect amendment to 37 CFR 1.434. Revised to indicate that reduced fees are payable in respect of an international application containing the request in PCT-EASY format filed, together with a PCT-EASY diskette, with a receiving Office which accepts the filing of such international applications. Also revised to indicate that the Request may not contain any matter that is not specified in PCT Rules 4.1 to 4.17 or permitted under PCT Rule 4.18(a) by the Administrative Instructions. Revised to discuss *ex officio* correction of the agent's file reference in view of *Helfgott & Karas P.C. v. Dickinson.*

1823.02 Revised to include guidelines on how to qualify for paying a reduced basic fee (when filing an international application with a lengthy sequence listing) by filing the sequence listing on compact disc with no paper copy.

1825 Revised to indicate that if the drawings contain text matter not in English but in a language accepted under PCT Rule 12.1(a) by the International Bureau as a Receiving Office, the international application will be transmitted to the International Bureau for processing in its capacity as a Receiving Office, and that if the drawings contain text matter not in a language accepted under PCT Rule 12.1(a) by the International Bureau as

a Receiving Office, the application will be denied an international filing date.

1826 Revised to indicate that U.S. national practice (37 CFR 1.72(b)), like PCT practice, now allows a maximum of 150 words in the abstract.

1827 Revised to indicate that a complete list of Patent Cooperation Treaty fee amounts can be found on the PCT Legal Office page of the USPTO web site.

1828 Revised in view of amended PCT Rule 4.10. An applicant may claim the priority of an application filed in or for a State which is a Member of the World Trade Organization (WTO), even if that State is not party to the Paris Convention for the Protection of Industrial Property (Paris Convention). However, a PCT Contracting State that is not a Member of the WTO would not be obliged to recognize the effects of such a priority claim.

1836 Updated the discussion of "obvious errors" to indicate that the improper identification of the application number has been held to be an "obvious error" under PCT Rule 91 when the applicant did include the proper agent's file reference and other information properly identifying the application file.

1840 Revised to reflect amendment to 35 U.S.C. 362. Revised to add India and South Africa to the list of States (countries) for which the USPTO will act as an International Searching Authority.

1847 Revised to reflect amendment to 37 CFR 1.446. Revised to explain refund of the search fee under 37 CFR 1.446(d). Also revised to explain refund of the handling fee under 37 CFR 1.446(e).

1848 Revised to reference USPTO guidelines for accepting international applications with lengthy sequence listings under Part 8 of the Administrative Instructions. The guidelines have been reproduced in MPEP § 1823.02.

1851 Revised to indicate how Standard ST. 16 can be located on WIPO's website. Updated the discussion of kind codes appearing on documents published by the USPTO and by other patent offices located throughout the world.

1857.01 New section added to explain when an international publication published under PCT Article 21(2)(a) is available as a reference as of its international filing date.

1864.02	Updated to include revised PCT Rule 54.1
1865	Revised to include India and South Africa in the list of countries for whose residents and nationals the USPTO will serve as an International Preliminary Examining Authority if the U.S. was the International Searching Authority.
1870	Updated to include revised PCT Rule 66.7.
1878	Revised to indicate that two copies of each newly cited reference should be included in the PCT Chapter II file when it is sent to PCT Operations for the mailing of the form PCT/IPEA/408. Updated to discuss the time limits (PCT Rule 69.2) for the IPEA to establish the international preliminary examination report (IPER). Revised to indicate that as a general rule, a 1-month time limit for reply to the written opinion should be set by the examiner if the written opinion (Form PCT/IPEA/408) has not been completed by the examiner within 24 months following the application's "priority date."
1879	Revised to discuss the time limits (PCT Rule 69.2) for the IPEA to establish the international preliminary examination report (IPER).
1890	Revised to reflect that the DO/EO, and not OIPE, mails the notice of acceptance and the filing receipt to the applicant when the national stage application is complete.
1893	Revised to cross-reference MPEP § 1895.01, subsection (E) and MPEP § 1896 for discussions of when the filing date of an international application is to be taken into account in determining patentability or validity. Revised to discuss the availability of patents as prior art under 35 U.S.C. 102(e).
1893.01	Revised to reflect amendment to 35 U.S.C. 371.
1893.01(a)	Revised to reflect amendment to 37 CFR 1.494.
1893.01(b)	Revised to reflect amendment to 37 CFR 1.495.
1893.01(e)	Revised to reflect amendment to 37 CFR 1.497. Updated to cross-reference MPEP § 409.01(b) and to indicate that the Office no longer requires proof of authority of the legal representative of a deceased or legally incapacitated inventor.

1893.03 Updated to include the text of 37 CFR 1.496. Revised to include a discussion of the reduced basic national fee payable if an application includes only claims which have been indicated in an IPER prepared by the USPTO to satisfy the criteria of PCT Article 33(1)-(4). Revised to indicate that applications in which the reduced basic national fee has been paid will be taken up out of order by the examiner.

1893.03(a) Revised to include a discussion of a submission pursuant to 35 U.S.C. 154(d)(4) for establishing an effective date for provisional rights resulting from the filing of a PCT application.

1893.03(c) Section titled "The Certified Copy" has been revised to indicate that the requirement for the certified copy of the priority document is set forth in 37 CFR 1.55(a)(2). Section titled "Priority Claim Under 35 U.S.C. 119(e), or 120 and 365(c)" revised to reflect revisions to 37 CFR 1.78.

1893.03(e) Revised to indicate that it is improper for the examiner of the U.S. national stage application to require an abstract on a separate sheet during national stage processing of an international application.

1895 Revised to include the requirement for an indication whether the prior PCT international application was published under PCT Article 21(2) in English in the first sentence of the specification if the continuing U.S. national application was filed on or after November 29, 2000.

1895.01 Revised discussion under heading "E. Filing Date For Prior Art Purposes Under 35 U.S.C. 102(e)." Revised the suggested language for the first sentence of an application filed under 35 U.S.C. 111(a) to include the language "...published in English under PCT Article 21(2)..." when the application claims priority to an international application.

1896 Revised to include a discussion of PCT Article 64(4). Section titled "Effective Date as a Reference" revised and expanded to include subsections titled "Publications Under 35 U.S.C. 122(b) as References" and "U.S. Patents as References."

CHAPTER 1900:

1901 Revised to reflect amendment to 37 CFR 1.291. Revised to indicate that all protests must be submitted prior to the publication of the application or the mailing of a notice of allowance, whichever occurs first.

1901.05 Revised to indicate that original applications are required by 35 U.S.C. 122 to be kept in confidence unless published pursuant to 35 U.S.C. 122(b). Revised to indicate that after an application is published pursuant

to 35 U.S.C. 122(b), a copy of the file wrapper of the published application may be requested by filing a written request under 37 CFR 1.14(c)(2) including the fee as set forth in 37 CFR 1.19(b)(2).

CHAPTER 2000:

2001 Revised to reflect amendment to 37 CFR 1.56.

2001.04 Updated to include a cross-reference to MPEP § 609. Updated discussion of withdrawal from issue under 37 CFR 1.313. Added a discussion of duty of disclosure in continuation-in-part applications under 37 CFR 1.56(e). Revised to indicate that the Office may order or conduct reexamination proceedings based on prior art that was cited but whose relevance to patentability of the claims was not discussed in any prior related Office proceeding.

2004 Cross-reference to MPEP § 2165-2165.04 added for additional information about the best mode requirement. Added discussion of *Semiconductor Energy Laboratory Co. v. Samsung Electronics Co.*

2005 New section comparing meaning of "material to patentability" under 37 CFR 1.56 with meaning of "reasonably necessary to properly examine or treat the matter" under 37 CFR 1.105.

Chapter 2100:

2106 Revised to add examples of inventions that have a practical application because they produce a useful, concrete and tangible result. Also revised to indicate that software aspects of an invention may be described functionally, and that merely using a computer to automate a known process does not by itself impart nonobviousness to an invention.

2107 Rewritten to incorporate guidelines for examination of applications for compliance with the utility requirement (utility examination guidelines). Material previously in this section moved to MPEP § 2107.01.

2107.01 Revised to incorporate material previously in MPEP § 2107, and to update information for consistency with utility examination guidelines. Material previously in this section moved to MPEP § 2107.02.

2107.02 Revised to incorporate material previously in MPEP § 2107.01, and to update information for consistency with utility examination guidelines. Material previously in this section moved to MPEP § 2107.03.

2107.03 New section added to incorporate material previously in MPEP § 2107.02.

2111.02	Rewritten to clarify that the preamble has the import that the claim as a whole suggests for it, and to discuss the determination of whether claim preamble recitations are structural limitations or mere statements of purpose or use.
2111.03	Revised to explain that for the purposes of searching for and applying prior art under 35 U.S.C. 102 or 103, absent a clear indication in the specification or claims of what the basic and novel characteristics actually are, the term "consisting essentially of" will be construed as equivalent to "comprising." Also revised to clarify the interpretation of transitional phrases such as "having" and "composed of" in view of recent Federal Circuit decisions.
2125	Revised to add discussion of recent Federal Circuit decision.
2133.03(c)	Revised to add discussion of recent Federal Circuit decisions.
2136	Revised to reflect amendment to 35 U.S.C. 102(e). Specifies that when examining any application filed on or after November 29, 2000 or any application that has been voluntarily published, the application is subject to the current version of 35 U.S.C. 102(e), whereas when examining any application filed prior to November 29, 2000 which has not been voluntarily published, the application is subject to the former version of 35 U.S.C. 102(e).
2136.01	Revised to reflect amendment to 35 U.S.C. 102(e). Also revised to indicate that for applications filed on or after November 29, 1999, a provisional rejection under 35 U.S.C. 102(e)/103 is not proper if the application contains evidence that the application and the prior art reference were owned by the same person, or subject to an obligation of assignment to the same person, at the time the invention was made.
2136.02	Revised to reflect amendment to 35 U.S.C. 102(e). Also revised to indicate that for applications filed on or after November 29, 1999, a rejection under 35 U.S.C. 102(e)/103 is not proper if the application contains evidence that the application and the prior art reference were owned by the same person, or subject to an obligation of assignment to the same person, at the time the invention was made.
2136.03	Revised to reflect amendment to 35 U.S.C. 102(e). Revised to indicate the prior art date of an application publication under 35 U.S.C. 122(b) that claims the benefit of the international filing date of an international application; the prior art date of an international application publication;

	and the prior art date of a U.S. patent granted on an international application that met the requirements of 35 U.S.C. 371(c)(1), (2), and (4).
2136.04	Revised to reflect amendment to 35 U.S.C. 102(e).
2136.05	Revised to reflect amendment to 35 U.S.C. 102(e).
2137.01	Revised to indicate that a request under 37 CFR 1.48(a) is required to correct any error in naming the inventors.
2138	Rewritten to clarify when subject matter qualifying as prior art under 35 U.S.C. 102(g) may form the basis for an *ex parte* rejection.
2138.04	Revised to add discussion of recent Federal Circuit decision.
2138.05	Revised to add discussion of recent Federal Circuit decisions explaining that recognition of the invention by another may inure to the benefit of the inventor.
2143.01	Revised to add discussion of recent Federal Circuit decision.
2163	Rewritten to incorporate guidelines for the examination of patent applications under the 35 U.S.C. 112, 1st paragraph, written description requirement (written description guidelines).
2163.02	Revised to be consistent with the written description guidelines.
2163.03	Revised to be consistent with the written description guidelines.
2163.04	Rewritten to clarify the burden on the examiner with regard to the written description requirement and updated for consistency with the written description guidelines.
2163.05	Revised to clarify how broadening a claim can raise an issue regarding whether the inventor had possession of a broader, more generic invention. Also updated for consistency with the written description guidelines.
2163.07	Added discussion of recent Federal Circuit decision.
2163.07(a)	Added an explanation of the evidence necessary to establish inherency.
2164.06(a)	Added discussion of recent Federal Circuit decision.
2164.07	Updated for consistency with the utility examination guidelines.

2165	Added discussion of recent Federal Circuit decision.
2165.01	Added discussion of recent Federal Circuit decisions.
2173.02	Added discussion indicating that in reviewing a claim for compliance with 35 U.S.C. 112, 2nd paragraph, the examiner must consider the claim as a whole to determine whether the claim apprises one of ordinary skill in the art of its scope.
2173.05(c)	Revised to clarify that while a single claim that includes both a broad and a narrower range may be indefinite, it is proper under 35 U.S.C. 112, second paragraph to present a dependent claim that sets forth a narrower range for an element than the range set forth in the range from which it depends.
2173.05(e)	Added language indicating that a claim is not *per se* indefinite if the body of the claim recites additional elements that do not appear in the preamble.
2173.05(h)	Revised information under the "*Subgenus Claim*" heading to indicate that genus, subgenus, and Markush-type claims, if properly supported by the disclosure, provide acceptable ways to present claims of different scope.
2173.05(i)	Added language indicating that if alternative elements are positively recited in the specification, they may be explicitly excluded in the claims.
2173.05(m)	Revised to clarify when claims are rejected as prolix.
2173.05(o)	Revised to indicate that there is no *per se* rule that "double inclusion" is improper in a claim.
2181	Revised to incorporate supplemental examination guidelines for determining the applicability of 35 U.S.C. 112, 6th paragraph.
2182	Added language indicating that the specification need not describe the equivalents of the structures, material, or acts corresponding to the means- (or step-) plus-function element.
2183	Added factors that will support a conclusion that a prior art element is equivalent to the corresponding element disclosed in the specification.
2184	Updated for consistency with the supplemental examination guidelines for determining the applicability of 35 U.S.C. 112, 6th paragraph.

CHAPTER 2200:

2201 Revised to identify the statutes and rules that pertain to *inter partes* reexamination proceedings.

2202 Revised to reflect amendment to 37 CFR 1.501.

2206 Revised to indicate that prior art citations received in the Office will be forwarded to the Technology Center (TC) that currently examines the class and subclass in which the patent to which the prior art citations are addressed is classified as an original. Notification to the patent owner that a citation of prior art has been placed in the file wrapper has been modified to provide a check box for specifying whether the citation of prior art has been placed in the patent file wrapper or in the reexamination proceeding file wrapper. Revised to indicate that any unusual problems concerning the citation of prior art by the patent owner should be brought to the attention of the Office of Patent Legal Administration.

2210 Updated to include revised 35 U.S.C. 302. Updated to include revised 37 CFR 1.510, including the revision to 37 CFR 1.510(b)(4) which requires a copy of the entire patent in double column format.

2212 Revised to reflect amendment to 37 CFR 1.510(a).

2214 Revised to reflect amendments to 37 CFR 1.510(a) and (b). Revised to indicate that, when filing a request for the *ex parte* reexamination of a patent, a copy of the patent including the front face, drawings, and specification/claims (in double column format) is required. Updated to include revised form PTO/SB/57 (also referred to as form PTO-1465).

2217 Revised to reflect amendments to 35 U.S.C. 102(e) and (g).

2219 Revised to indicate that the copy of the patent for which reexamination is requested should be provided in a double column format.

2220 Revised to indicate that a third party requester must serve a copy of the request on the patent owner, and that both the copy of the request served on the patent owner and the copy of the request filed in the Office must include a certificate of service. The third party requester must set forth on the certificate of service the name and address of the party served and the method of service.

2222 "Dissemination Services Division" changed to --Document Services Division--

2226 Revised to indicate that the reexamination preprocessing staff, which handles the opening of all mail marked "Box Reexam," and all initial

clerical processing of requests for reexamination, is now located in the Office of Patent Legal Administration, Central Reexamination Unit (CRU), rather than in the Office of Initial Patent Examination (OIPE).

2227 See 2226 above.

2228 See 2226 above.

2229 See 2226 above.

2232 Revised to include new procedures for public access to reexamination files in view of the availability of electronically scanned files from the Reexamination Processing System (REPS).

2233 Revised to indicate that the working groups in the Technology Centers (TCs) have designated the legal instrument examiners to act as reexamination clerks, as part of their assigned duties, and thus to perform those clerical duties and responsibilities in the groups which are unique to reexamination. The TC Special Program Examiners (SPREs) and Paralegal Specialists have the responsibility to oversee clerical processing and serve as a resource for questions. Revised to cross-reference MPEP § 2236 and to indicate that reexamination requests are assigned to an examiner other than the examiner who was involved in the examination of the patent application.

2234 Revised to reflect amendments to 37 CFR 1.121 and 1.530. Revised to indicate that 37 CFR 1.121(g) does not apply in reexamination proceedings. Examiners must present the entire claim or paragraph being amended by examiner's amendment.

2235 Revised to indicate that reexamination file data can be retrieved using PALM Intranet by entering the reexamination control number in the space provided for an application number.

2236 Revised to explain new policy for assigning reexamination requests to examiners. Reexamination requests are to be assigned to an examiner different from the examiner(s) who examined the patent application.

2239 Revised to reflect amendment to 37 CFR 1.520.

2239 Updated in view of revised procedure for ordering a reexamination at the Commissioner's initiative. If an order to reexamine is to be issued, the decision is prepared in the Office of Patent Legal Administration, signed by the Deputy Commissioner for Patent Examination Policy, and mailed by OPLA.

2240	Revised to reflect amendments to 35 U.S.C. 303 and 37 CFR 1.515. Revised to clarify that if a decision to deny an order for reexamination is made, the requester may seek review by a petition under 37 CFR 1.181.
2242	Revised to include a discussion of *Heinl v. Godici*. Updated to indicate that any situations requiring clarification should be brought to the attention of the Office of Patent Legal Administration (OPLA).
2246	Revised to reflect amendments to 35 U.S.C. 304 and 37 CFR 1.525. Revised to indicate that when granting a decision ordering reexamination, where the question is raised, or where it is not clear that a patent or printed publication pre-dates the patent claims, a discussion should be provided as to why the patent or printed publication is in fact available against the patent claims.
2247	Revised what is to be included by the examiner in support of his or her conclusion that no substantial new question of patentability has been raised (when denying a request for reexamination).
2248	Revised to reflect amendment to 37 CFR 1.515. Revised to include a discussion of the procedure for reassigning the reexamination proceeding if a petition under 37 CFR 1.515(c) is granted.
2249	Revised to reflect amendments to 37 CFR 1.530(a)-(c).
2250	Revised to reflect amendment to 37 CFR 1.121. Revised the discussion of the manner of making amendments in reexamination proceedings.
2250.01	Revised to reflect amendment to 37 CFR 1.530(d)(3). Revised to indicate that in the event a figure is canceled, the figure must be surrounded by brackets and identified as "Canceled." Updated to include new procedures for reviewing patent drawings. A draftsperson's "stamp" to indicate approval is no longer required on patent drawings, and these stamps are no longer to be used by draftspersons.
2250.02	New section added to address Correction of Inventorship during reexamination proceedings.
2251	Revised to reflect amendment to 37 CFR 1.535.
2252	Revised to reflect amendment to 37 CFR 1.540.
2254	Revised to reflect amendment to 37 CFR 1.550.

2258	Revised to reflect amendments to 37 CFR 1.552, 102(e), and 102(g). Revised to indicate that, when a request for reexamination of a reissued patent has been filed, any amendment made by the patent owner should treat the changes made by the granted reissue patent as the text of the patent, and all bracketing and underlining is to be made with respect to the patent as changed by the reissue.
2260	Revised to reflect amendment to 37 CFR 1.104.
2265	Revised to reflect amendment to 37 CFR 1.550(c). Revised to indicate that the patent owner is entitled to know the examiner's ruling on a timely response filed after final rejection before being required to file a notice of appeal. Notification of the examiner's ruling should reach the patent owner with sufficient time for the patent owner to consider the ruling and act on it.
2266	Revised to reflect amendments to 37 CFR 1.111 and 1.550(b) - (h).
2266.01	Updated to reflect that, in a reexamination proceeding, the patent owner cannot file a request for continued examination (RCE) under 37 CFR 1.114.
2266.03	Revised to reflect amendments to 37 CFR 1.550(f)-(h). Revised to discuss the requirements of "proof of service" when one party to a reexamination proceeding serves a paper on another party. The party submitting the paper to the Office must attach a certificate of service to the paper. It is required that the name and address of the party served, and the method of service be set forth in the certificate of service. Further, a copy of the certificate of service must be attached with the copy of the paper that is served on the other party.
2268	Revised discussion of petitions based on unavoidable delay under 37 CFR 1.137(a). Added discussion of petitions based on unintentional delay under 37 CFR 1.137(b). Added discussion of renewed petitions under 37 CFR 1.137(a) and (b).
2271	Updated to reflect that, in a reexamination proceeding, the patent owner cannot file a request for continued examination (RCE) under 37 CFR 1.114. Revised to state that a patentability review conference is required before issuing a final rejection in a reexamination proceeding.
2271.01	Added discussion of patentability review conferences in detail.

2272 Updated to reflect that, in a reexamination proceeding, the patent owner cannot file a request for continued examination (RCE) under 37 CFR 1.114. Revised discussion of the amount of time given to respond to a final rejection in a reexamination proceeding. If a response to the final rejection is filed, the time period set in the final rejection is automatically extended by 1 month if the response is the first response after the final rejection. The period for response should be appropriately extended in the examiner's advisory action if there is insufficient time for the patent owner to consider the examiner's ruling and act on it.

2273 Revised to help patent owners identify when they are entitled to appeal a rejection to the Board of Patent Appeals and Interferences. In an *ex parte* reexamination of a patent that issued from an original application filed on or after November 29, 1999, the patent owner may appeal to the Board only after a claim has been finally rejected.

2275 Revised to reflect amendment to 37 CFR 1.193.

2279 Revised to help patent owners identify when they are entitled to appeal a decision of the Board of Patent Appeals and Interferences to the United States Court of Appeals for the Federal Circuit (CAFC), and when they are entitled to appeal a decision of the Board of Patent Appeals and Interferences to the United States District Court for the District of Columbia. In an *ex parte* reexamination of a patent that issued from an original application filed on or after November 29, 1999, the patent owner may appeal only to the United States Court of Appeals for the Federal Circuit pursuant to 35 U.S.C. 141.

2281 Revised to reflect amendment to 37 CFR 1.560. Revised to indicate that the Office of Patent Legal Administration (OPLA) may authorize interviews to take place other than in the Office within Office hours.

2282 Revised to reflect amendment to 37 CFR 1.565(a).

2283 Revised to reflect amendments to 37 CFR 1.565(a) and (c). The section on "Merger of Reexaminations" was revised to indicate that in the event that a housekeeping amendment is required by the merger decision (to place identical amendments in all files) but is not timely submitted, any claim that does not contain identical text in all of the merged proceedings should be rejected under 35 U.S.C. 112, 2nd paragraph, as being indefinite as to the content of the claim, and thus failing to particularly point out the invention.

2284 Revised to reflect amendments to 37 CFR 1.565(a) and (e). Revised the section titled "Attempting to Provoke an Interference With a Patent

Involved in a Reexamination Proceeding." The section relating to motions to suspend under 37 CFR 1.635 was amended to include a discussion of the relationship between requests to suspend under 37 CFR 1.565(e) and petitions to invoke the supervisory authority of the Commissioner under 37 CFR 1.644(a)(2). Revised to indicate that petitions to stay filed subsequent to the date of the order for reexamination will be referred to the Office of Patent Legal Administration (OPLA) for decision, and that all decisions on the merits of petitions to stay a reexamination proceeding because of an interference will be made in OPLA.

2285 Revised to reflect amendment to 37 CFR 1.565(d). Revised to indicate that the decision as to whether the proceedings are to be merged, or which proceeding (if any) is to be stayed is made in the Office of Patent Legal Administration (OPLA). Revised to indicate that, when a reexamination of a reissued patent has been requested, any amendment made in the reexamination proceeding should treat the changes made by the reissue as the text of the patent, and all bracketing and underlining should be made with respect to the patent as changed by the reissue. The section titled "Conduct of Merged Reissue Application Examination and Reexamination Proceedings" was amended to include a discussion of housekeeping amendments. The section titled "Conduct of Merged Reissue Application Examination and Reexamination Proceedings" was amended to indicate that once the files are returned to the examiner for issuance of an Office action, the examiner should prepare an Office action at the most advanced point possible for the first proceeding. The section titled "Conduct of Merged Reissue Application Examination and Reexamination Proceedings" was amended to indicate that, in contrast to when a CPA of the reissue application is filed, if an RCE is filed, the reissue application is not considered to be expressly abandoned and the merged proceeding will continue.

2286 Revised to reflect amendment to 37 CFR 1.565(b).

2287 Revised to state that a patentability review conference is required before issuing a "Notice of Intent to Issue Reexamination Certificate" (NIRC), unless the NIRC is being issued: (A) following and consistent with a decision by the Board of Patent Appeals and Interferences (or court) on the merits of the proceeding; or (B) as a consequence of the patent owner's failure to respond or take other action where such a response or action is necessary to maintain pendency of the proceeding and, as a result of which failure to respond, all of the claims will be canceled. The section titled "Reexamination Reminders" was revised, in paragraph (J), to indicate that a draftsperson's "stamp" to indicate approval of the drawings is no longer required on patent drawings, and these stamps are no longer to be used by draftspersons. The section titled "Examiner's Amendment" was amended

to include an indication that the exception for examiner's amendments set forth in 37 CFR 1.121(g) does not apply to examiner's amendments in reexamination proceedings.

2288 Revised to reflect amendments to 35 U.S.C. 307(a) and 37 CFR 1.570.

2289 Revised to indicate that after leaving the Technology Centers (TCs), all reexamination cases go through a screening process currently performed in the Office of Patent Legal Administration (OPLA).

2290 Revised to indicate that reexamination certificates published on or after January 2, 2001 include the kind code designation "C," and to cross-reference MPEP § 901.4(a) for a complete list of the kind codes used by the United States Patent and Trademark Office. Updated to include a reexamination certificate including the "C" kind code designation.

2293 Revised to reflect amendment to 35 U.S.C. 307(b).

2296 Removed the "Reasons for Patentability - PTOL 476" and the "Removal of file for copying - PTOL 470" from the list of forms to be used in reexamination actions. Added a reference to the "Request for *Ex Parte* Reexamination Transmittal Form, PTO/SB/57," available from the USPTO web site.

CHAPTER 2300:

2300.01 Revised to reflect amendment to 35 U.S.C. 135. Amended to cross-reference MPEP §§ 2309 through 2309.02 for the procedures for preparation of interference papers by the examiner. The list of notices and comments was revised to include the following additions:
Final Rule:
49 FR 48416 (Dec.12, 1984), 1050 O.G. 385 (Jan.29, 1985);
Notices of Rulemaking:
64 FR 12901 (Mar. 16, 1999); 65 FR 56792 (Sept. 20, 2000), 1239 O.G. 125 (Oct. 17, 2000); 65 FR 70489 (Nov. 24, 2000), 1241 O.G. 68 (Dec. 19, 2000);
Notices:
Admissibility of Electronic Records in Interferences, 1208 O.G. 35 (Mar. 10, 1998); *Publication of Opinions and Orders Entered by the Board of Patent Appeals and Interferences*, 1217 O.G. 17 (Dec. 1, 1998); *Interference Practice – Interference Rules Which Require a Party to "Show the Patentability" of a Claim*, 1217 O.G. 17 (Dec. 1, 1998); *Interference Practice – New Procedures for Handling Interference Cases at the Board of Patent Appeals and Interferences*, 1217 O.G. 18 (Dec. 1, 1998).

2301.01(b)	Revised to indicate that in determining whether to propose an interference, the primary examiner must be of the opinion that an interference exists, and that an Interference Practice Specialist (IPS) may be consulted for advice.
2301.02	Revised to reflect amendment to 37 CFR 1.601. Revised to indicate the USPTO permits an interference between one or more applications and one or more patents "provided it does not create an interference between patents."
2303	Revised to remove the explanation of what is required for the claim in one application to be considered to be drawn to the "same patentable invention" as a claim in a second application.
2304	Revised to include a cross reference to MPEP §§ 2309 through 2309.02 for the procedures for preparation of interference papers by the examiner. Revised to include a reference to 35 U.S.C. 135(b), which bars an applicant from copying a claim from an issued patent more than one year after the patent has issued, and which now also bars an applicant in a second application from copying a claim from a first application more than one year after the publication date of the first application when the second application is an application that was filed after the publication date of the first application.
2305	Revised to indicate that the examiner should ensure that a claim suggested to the applicant is not barred under 35 U.S.C. 135(b)(2).
2305.04	"Publishing Division" changed to --Office of Patent Publication--. Revised to indicate that the Interference Practice Specialist, and not the primary examiner, consults with the administrative patent judge during an interference proceeding.
2306	Revised to reflect amendment to 37 CFR 1.606. Revised to remove the explanation of what is required for a claim in an application to be considered to be drawn to the "same patentable invention" as a patent claim. Revised to eliminate the statement that 35 U.S.C. 291 grants the jurisdiction over an interference involving only patents to the courts. Revised to remove a discussion of the *rebuttable* presumption that any patent claim designated to correspond to a count does not embrace separate patentable inventions. Revised to remove the statement that, at the time an interference is declared, no count will be narrower in scope than any application claim that is patentable over the prior art and designated to correspond to the count or any patent claim designated to correspond to the count.

2307 Revised to indicate that 35 U.S.C. 122(b) may bar presenting a claim drawn to "substantially the same subject matter" as a claim appearing in a published application.

2309 Rewritten to indicate the steps an examiner should take once a potential interference has been identified.

2309.01 This section has been deleted.

2309.02 Revised to make reference to the fact that, in order to be entitled to foreign priority benefit for utility or plant applications filed on or after November 29, 2000, the applicant must submit the priority claim within the time required by 37 CFR 1.55(a)(1) or file a grantable petition, including the surcharge set forth in 37 CFR 1.17(t), for an unintentionally delayed priority claim under 37 CFR 1.55(c). Updated to include new form PTO-850 (revised Nov. 28, 2000). Amended to indicate that if two of the parties have the same attorney or agent, the examiner will in a separate memorandum call the attention of the Board to that fact when the Interference Initial Memorandum is forwarded. The administrative patent judge, when the interference is declared, can then take such action as may be appropriate under 37 CFR 1.613(b).

2309.05 This section has been deleted.

2340 Revised to delete the statement that under 37 CFR 1.640, an administrative patent judge will address all motions. Revised to delete the statement that a hearing (in person or by telephone) may be held on a motion in the discretion of an administrative patent judge.

2358 Revised to indicate that a judgment that does not resolve all counts or that remands the interference for further proceedings is not final for purposes of judicial review and not immediately appealable to the courts. Revised to eliminate the statement that the files will be retained at the Board until all court proceedings have terminated.

2363 "Publishing Division" changed to --Office of Patent Publication--.

Chapter 2400:

2401 Added reference to revised deposit rules and revised sequence rules.

2404.01 Revised to clarify the situations under which the Office will certify that a deposit has been stated to have been made under conditions which make it available to the public as of the issue date of the patent grant.

2405	Revised to update the list of International Depositary Authorities recognized under the Budapest Treaty.
2411.03	Revised to reflect amendments to 37 CFR 1.136 and 1.809 which indicate that the period of time within which a deposit may be made is not extendable if set forth in the "Notice of Allowability" or in an Office action having a mail date on or after the mail date of such notice. Also revised to advise applicants to make any necessary deposit well prior to the payment of the issue fee to leave sufficient time to make the necessary amendment to the specification.
2420	Revised to indicate that the sequence rules allow submissions of nucleotide and/or amino acid sequences and associated information on compact discs.
2421.03	Revised to indicate that applications filed on or after November 29, 2000 will be retained in the Office of Initial Patent Examination until any noncompliant sequence listing that renders an application unsuitable for examination is corrected.
2422.03	Revised to reflect amendment to 37 CFR 1.821, and to describe the requirements for a compact disc submission of a "Sequence Listing."
2422.04	Revised to indicate that the "Sequence Listing" submitted pursuant to 37 CFR 1.821(c) , whether on paper or compact disc, is the official copy of the "Sequence Listing."
2423.01	Revised to clarify how to properly use "modified base" and "modified and unusual amino acid" codes.
2426	Added information describing how to amend material submitted on compact disc(s).
2427.01	Revised to add reference to form paragraphs which should be used when notifying an applicant that a compact disc submitted in accordance with 37 CFR 1.52(e) (i.e., containing a computer program listing, Sequence Listing, or table) does not comply with all the requirements of 37 CFR 1.52(e). Also revised to renumber the form paragraphs which should be used when notifying applicant of errors in the Sequence Listing.
2429	Revised to add helpful hints pertaining to a Sequence Listing submitted on compact disc.

2430 Revised to describe the features and availability of PatentIn 3.0 and PatentIn 3.1.

2435 Added to indicate that, in certain patents and patent application publications with lengthy Sequence Listings, the Sequence Listings will be published only in electronic form.

CHAPTER 2500:

2501 Revised to reflect amendment to 35 U.S.C. 41. "Office of Public Records Dissemination Support Division Records Branch" changed to --Office of Public Records Document Services Division Special Handling Branch--.

2506 Revised to indicate that the filing of a request for *ex parte* or *inter partes* reexamination and/or the publication of a reexamination certificate does not alter the schedule of maintenance fee payments of the original patent.

2510 Revised to explain how to submit maintenance fee documents by facsimile or over the Internet as alternatives to mail or "Express Mail." Revised to indicate that form PTO-2038 should be used for the payment of maintenance fees by credit card.

2511 This section has been deleted. The subject matter formerly in MPEP § 2511 has been moved to MPEP § 2510.

2515 Revised to reflect amendments to 37 CFR 1.366(c) and (f). Revised to explain how the Office intends to handle a maintenance fee payment when the payment is submitted without a clear indication of both the patent and the application number to which the payment is to be applied.

2520 Revised to indicate that the USPTO website may be contacted for current maintenance fee amounts.

2522 Revised to indicate that form PTO-2038 should be used for the payment of maintenance fees by credit card.

2530 Revised to explain how the Office intends to handle a maintenance fee payment when the payment is submitted without a clear indication of both the patent and the application number to which the payment is to be applied.

2540 Revised to indicate that the "Fee Address" Indication Form, PTO/SB/47, is available from the USPTO website.

2542	Revised to explain that a change of correspondence address made prior to the filing of an oath or declaration is made as provided in 37 CFR 1.33(a)(1), whereas a change of correspondence address made after the filing of an executed oath or declaration is made as provided in 37 CFR 1.33(a)(2). Revised to indicate that a change of correspondence address filed during the enforceable life of a patent may be sent to the Office of Public Records, Document Services Division, Special Handling Branch, and to suggest the use of form PTO/SB/122 to request a change of correspondence address in a patent application and the use of form PTO/SB/123 to request a change of correspondence address in an issued patent.
2550	Revised in view of the simplified practice for asserting small entity status under 37 CFR 1.27.
2560	"Office of Public Records Dissemination Support Division Records Branch" changed to --Office of Public Records Document Services Division Special Handling Branch--.
2595	Forms PTO/SB/45, and PTO/SB/47 replaced with updated forms.

CHAPTER 2700:

Chapter 2700	Added to address issues pertaining to patent term, term extensions or adjustments for delays within the USPTO under 35 U.S.C. 154, and term extensions for delays at other agencies under 35 U.S.C. 156.
2701	Added to incorporate and clarify information pertaining to patent terms and extensions previously appearing in MPEP § 1309.01. Also added explanation of expiration date of patents with terminal disclaimer.
2710	Added to describe the adjustment (extension) provisions, if any, available for patents issuing on applications filed in specified date ranges.
2720	Added to describe patent term adjustment (extension) provisions available for patents issuing on applications filed between June 8, 1995 and May 28, 2000.
2730	Added to describe patent term adjustment provisions available for patents issuing on applications filed on or after May 29, 2000.
2750 through 2764	Added to describe policy and procedures relevant to patent term extension available under 35 U.S.C. 156 and 37 CFR 1.701 through 1.791 for premarket regulatory review.

Chapter 100 Secrecy, Access, National Security, and Foreign Filing

101 General

35 U.S.C. 122. Confidential status of applications; publication of patent applications.

(a) CONFIDENTIALITY.— Except as provided in subsection (b), applications for patents shall be kept in confidence by the Patent and Trademark Office and no information concerning the same given without authority of the applicant or owner unless necessary to carry out the provisions of an Act of Congress or in such special circumstances as may be determined by the Director.

(b) PUBLICATION.—

(1) IN GENERAL.—

(A) Subject to paragraph (2), each application for a patent shall be published, in accordance with procedures determined by the Director, promptly after the expiration of a period of 18 months from the earliest filing date for which a benefit is sought under this title. At the request of the applicant, an application may be published earlier than the end of such 18-month period.

(B) No information concerning published patent applications shall be made available to the public except as the Director determines.

(C) Notwithstanding any other provision of law, a determination by the Director to release or not to release information concerning a published patent application shall be final and nonreviewable.

(2) EXCEPTIONS.—

(A) An application shall not be published if that application is—

(i) no longer pending;

(ii) subject to a secrecy order under section 181 of this title;

(iii) a provisional application filed under section 111(b) of this title; or

(iv) an application for a design patent filed under chapter 16 of this title.

(B)(i)If an applicant makes a request upon filing, certifying that the invention disclosed in the application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing, the application shall not be published as provided in paragraph (1).

(ii) An applicant may rescind a request made under clause (i) at any time.

(iii) An applicant who has made a request under clause (i) but who subsequently files, in a foreign country or under a multilateral international agreement specified in clause (i), an application directed to the invention disclosed in the application filed in the Patent and Trademark Office, shall notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.

(iv) If an applicant rescinds a request made under clause (i) or notifies the Director that an application was filed in a foreign country or under a multilateral international agreement specified in clause (i), the application shall be published in accordance with the provisions of paragraph (1) on or as soon as is practical after the date that is specified in clause (i).

(v) If an applicant has filed applications in one or more foreign countries, directly or through a multilateral international agreement, and such foreign filed applications corresponding to an application filed in the Patent and Trademark Office or the description of the invention in such foreign filed applications is less extensive than the application or description of the invention in the application filed in the Patent and Trademark Office, the applicant may submit a redacted copy of the application filed in the Patent and Trademark Office eliminating any part or description of the invention in such application that is not also contained in any of the corresponding applications filed in a foreign country. The Director may only publish the redacted copy of the application unless the redacted copy of the application is not received within 16 months after the earliest effective filing date for which a benefit is sought under this title. The provisions of section 154(d) shall not apply to a claim if the description of the invention published in the redacted application filed under this clause with respect to the claim does not enable a person skilled in the art to make and use the subject matter of the claim.

(c) PROTEST AND PRE-ISSUANCE OPPOSITION.— The Director shall establish appropriate procedures to ensure that no protest or other form of pre-issuance opposition to the grant of a patent on an application may be initiated after publication of the application without the express written consent of the applicant.

(d) NATIONAL SECURITY.— No application for patent shall be published under subsection (b)(1) if the publication or disclosure of such invention would be detrimental to the national security. The Director shall establish appropriate procedures to

ensure that such applications are promptly identified and the secrecy of such inventions is maintained in accordance with chapter 17 of this title.

18 U.S.C. 2071. Concealment, removal, or mutilation generally.

(a) Whoever willfully and unlawfully conceals, removes, mutilates, obliterates, or destroys, or attempts to do so, or, with intent to do so takes and carries away any record, proceeding, map, book, paper, document, or other thing, filed or deposited with any clerk or officer of any court of the United States, or in any public office, or with any judicial or public officer of the United States, shall be fined under this title or imprisoned not more than three years, or both.

(b) Whoever, having the custody of any such record, proceeding, map, book, document, paper, or other thing, willfully and unlawfully conceals, removes, mutilates, obliterates, falsifies, or destroys the same, shall be fined under this title or imprisoned not more than three years, or both; and shall forfeit his office and be disqualified from holding any office under the United States. As used in this subsection, the term "office" does not include the office held by any person as a retired officer of the Armed Forces of the United States.

37 CFR 1.14. Patent applications preserved in confidence.

(a) *Confidentiality of patent application information.* Patent applications that have not been published under 35 U.S.C. 122(b) are generally preserved in confidence pursuant to 35 U.S.C. 122(a). Information concerning the filing, pendency, or subject matter of an application for patent, including status information, and access to the application, will only be given to the public as set forth in § 1.11 or in this section.

(1) Status information is:

(i) Whether the application is pending, abandoned, or patented;

(ii) Whether the application has been published under 35 U.S.C. 122(b); and

(iii) The application "numerical identifier" which may be:

(A) The eight-digit application number (the two-digit series code plus the six-digit serial number); or

(B) The six-digit serial number plus any one of the filing date of the national application, the international filing date, or date of entry into the national stage.

(2) Access is defined as providing the application file for review and copying of any material in the application file.

(b) *When status information may be supplied.* Status information of an application may be supplied by the Office to the public if any of the following apply:

(1) Access to the application is available pursuant to paragraph (e) of this section;

(2) The application is referred to by its numerical identifier in a published patent document (*e.g.*, a U.S. patent, a U.S. patent application publication, or an international application publication), or in a U.S. application open to public inspection (§ 1.11(b), or paragraph (e)(2)(i) or (e)(2)(ii) of this section);

(3) The application is a published international application in which the United States of America has been indicated as a designated state; or

(4) The application claims the benefit of the filing date of an application for which status information may be provided pursuant to paragraphs (b)(1) through (b)(3) of this section.

(c) *When copies may be supplied.* A copy of an application-as-filed or a file wrapper and contents may be supplied by the Office to the public, subject to paragraph (i) of this section (which addresses international applications), if any of the following apply:

(1) *Application-as-filed.*

(i) If a U.S. patent application publication or patent incorporates by reference, or includes a specific reference under 35 U.S.C. 119(e) or 120 to, a pending or abandoned application, a copy of that application-as-filed may be provided to any person upon written request including the fee set forth in § 1.19(b)(1); or

(ii) If an international application, which designates the U.S. and which has been published in accordance with PCT Article 21(2), incorporates by reference or claims priority under PCT Article 8 to a pending or abandoned U.S. application, a copy of that application-as-filed may be provided to any person upon written request including a showing that the publication of the application in accordance with PCT Article 21(2) has occurred and that the U.S. was designated, and upon payment of the appropriate fee set forth in § 1.19(b)(1).

(2) *File wrapper and contents.* A copy of the specification, drawings, and all papers relating to the file of an abandoned or pending published application may be provided to any person upon written request, including the fee set forth in § 1.19(b)(2). If a redacted copy of the application was used for the patent application publication, the copy of the specification, drawings, and papers may be limited to a redacted copy.

(d) *Power to inspect a pending or abandoned application.* Access to an application may be provided to any person if the application file is available, and the application contains written authority (*e.g.*, a power to inspect) granting access to such person. The written authority must be signed by:

(1) An applicant;

(2) An attorney or agent of record;

(3) An authorized official of an assignee of record (made of record pursuant to § 3.71 of this chapter); or

(4) A registered attorney or agent named in the papers accompanying the application papers filed under § 1.53 or the national stage documents filed under § 1.494 or § 1.495, if an executed oath or declaration pursuant to § 1.63 or § 1.497 has not been filed.

(e) *Public access to a pending or abandoned application.* Access to an application may be provided to any person, subject to paragraph (i) of this section, if a written request for access is submitted, the application file is available, and any of the following apply:

(1) The application is open to public inspection pursuant to § 1.11(b); or

(2) The application is abandoned, it is not within the file jacket of a pending application under § 1.53(d), and it is referred to:

(i) In a U.S. patent application publication or patent;

(ii) In another U.S. application which is open to public inspection either pursuant to § 1.11(b) or paragraph (e)(2)(i) of this section; or

(iii) In an international application which designates the U.S. and is published in accordance with PCT Article 21(2).

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All U.S. Patent and Trademark Office employees are legally obligated to preserve pending applications for patents in confidence until they are published or patented. 35 U.S.C. 122 and 18 U.S.C. 2071 impose statutory requirements which cover the handling of patent applications and related documents. Suspension, removal, and even criminal penalties may be imposed for violations of these statutes.

In order to provide prompt and orderly service to the public, application files must be readily available to authorized U.S. Patent and Trademark Office employees at all times. Accordingly, in carrying or transporting applications and related papers, care must be exercised by U.S. Patent and Trademark Office employees, especially in corridors and elevators, to ensure that applications and related papers are always under employee surveillance and control. Application files must not be displayed or handled so as to permit perusal or inspection by any unauthorized member of the public.

Interoffice mail must be sent in appropriate envelopes.

No part of any application or paper related thereto should be reproduced or copied except for official purposes.

No patent application or related document may be removed from the premises occupied by the U.S. Patent and Trademark Office, except for handling as required by the issue process, unless specifically authorized by the Commissioner. If such authorization is given, the employee having custody will be responsible for maintaining confidentiality and otherwise conforming with the requirements of law.

Applications must not be placed in desk drawers or other locations where they might be easily overlooked or are not visible to authorized personnel.

Whenever an application is removed from the operating area having custody of the file, a charge on the PALM system must be properly and promptly made.

Papers arriving within the Technology Center (TC) must be properly and promptly placed within the appropriate files. If papers are received with faulty identifications, this should be corrected at once. If papers are received at a destination for which they are not intended due to faulty identification or routing, appropriate corrective action should be taken at once to ensure the prompt receipt thereof at destination. See MPEP § 508.01 and § 508.03.

All U.S. Patent and Trademark Office employees should bear in mind at all times the critical importance of ensuring the confidentiality and accessibility of patent application files and related documents, and in addition to the specific procedures referred to above, should take all appropriate action to that end.

Examiners, classifiers, and other U.S. Patent and Trademark Office employees who assist public searchers by outlining or indicating a field of search, should also bear in mind the critical importance of ensuring the confidentiality of information revealed by a searcher when requesting field of search assistance. See MPEP § 1701. Statutory requirements and curbs regarding the use of information obtained by an employee through government employment are imposed by 15 U.S.C. 15(b) and 18 U.S.C. 1905.

Examiners, while holding interviews with attorneys and applicants, should be careful to prevent exposures of files and drawings of other applicants.

Extreme care should be taken to prevent inadvertent and/or inappropriate disclosure of the filing date or application number of any application. This applies not only to Office actions but also to notes (usually in pencil) in the file wrapper.

TELEPHONE AND IN-PERSON REQUESTS FOR INFORMATION CONCERNING PENDING OR ABANDONED APPLICATIONS

Normally no information concerning pending or abandoned patent applications (except applications which have been published, reissue applications and reexamination proceedings) may be given to the public without the authorization of the applicant, the assignee of record, or the attorney or agent of record. See 35 U.S.C. 122 and 37 CFR 1.14. Other exceptions are specified in 37 CFR 1.14.

When handling an incoming telephone call or an in-person request for information regarding an unpublished pending or abandoned patent application, no information should be disclosed until the identity of the requester can be adequately verified as set forth below. Particular care must be exercised when a

request is made for the publication date or publication number, or issue date and patent number assigned to a *pending* patent application. If the publication or issue date is later than the current date (i.e., the date of the request), such information may be given *only* to the applicant, or the assignee of record, or the attorney or agent of record.

The following procedure should be followed before any information about an unpublished pending or abandoned patent application is given over the telephone:

(A) Obtain the caller's full name, the application number, and the caller's telephone number. Ask the caller if there is an attorney or agent of record.

(1) If there is an attorney or agent of record, ask for his or her registration number. If the registration number is not known, ask for the name of the attorney or agent of record. Inform caller that an attorney or agent of record will be called after verification of his/her identity and that information concerning the application will be released to that attorney or agent.

(2) If there is no attorney or agent of record, ask the caller why he or she is entitled to information concerning the application. If the caller identifies himself or herself as an applicant or an authorized representative of the assignee of record, ask for the correspondence address of record and inform caller that his or her association with the application must be verified before any information concerning the application can be released and that he or she will be called back. If the caller indicates that he or she is not an applicant or an authorized representative of the assignee of record then status information may only be given pursuant to MPEP § 102.

(B) Verify that information concerning the application can be released by checking PALM or the application file.

(1) If the caller stated there was an attorney or agent of record, PALM Intranet or the 2954 PALM screen should be used to verify the registration number given or to obtain the registration number of an attorney or agent of record. Then PALM Intranet or the 3552 PALM screen (using the registration number) should be used to obtain a telephone number for an attorney or agent of record.

(2) If the caller identified himself or herself as an applicant or an authorized representative of the assignee of record, PALM Intranet or the 2950 PALM screen should be used to verify the correspondence address of record. PALM Intranet or the 2954 PALM screen should be used to determine if there is an attorney or agent of record. If there is an attorney or agent of record, their telephone number can be obtained from PALM Intranet or the 3552 PALM screen.

(C) Return the call using the telephone number as specified below.

(1) If an attorney or agent is of record in the application, information concerning the application should only be released by calling the attorney's or agent's telephone number obtained from PALM Intranet or the 3552 PALM screen.

(2) If the applicant or an authorized representative of the assignee of record requests information, and there is no attorney or agent of record and the correspondence address of record has been verified, information concerning the application can be released to the caller using the telephone number given by the caller. If the caller's association with the application cannot be verified, no information concerning the application will be released. However, the caller should be informed that the caller's association with the application could not be verified.

In handling an in-person request, ask the requester to wait while verifying their identification as in (B) above.

102 Information as to Status of an Application

37 CFR 1.14. Patent applications preserved in confidence.

(a) *Confidentiality of patent application information.* Patent applications that have not been published under 35 U.S.C. 122(b) are generally preserved in confidence pursuant to 35 U.S.C. 122(a). Information concerning the filing, pendency, or subject matter of an application for patent, including status information, and access to the application, will only be given to the public as set forth in § 1.11 or in this section.

(1) Status information is:

(i) Whether the application is pending, abandoned, or patented;

(ii) Whether the application has been published under 35 U.S.C. 122(b); and

(iii) The application "numerical identifier" which may be:

(A) The eight-digit application number (the two-digit series code plus the six-digit serial number); or

(B) The six-digit serial number plus any one of the filing date of the national application, the international filing date, or date of entry into the national stage.

(2) Access is defined as providing the application file for review and copying of any material in the application file.

(b) *When status information may be supplied.* Status information of an application may be supplied by the Office to the public if any of the following apply:

(1) Access to the application is available pursuant to paragraph (e) of this section;

(2) The application is referred to by its numerical identifier in a published patent document (*e.g.*, a U.S. patent, a U.S. patent application publication, or an international application publication), or in a U.S. application open to public inspection (§ 1.11(b), or paragraph (e)(2)(i) or (e)(2)(ii) of this section);

(3) The application is a published international application in which the United States of America has been indicated as a designated state; or

(4) The application claims the benefit of the filing date of an application for which status information may be provided pursuant to paragraphs (b)(1) through (b)(3) of this section.

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Status information of an application means only the following information:

(A) whether the application is pending, abandoned, or patented;

(B) whether the application has been published; and

(C) the application number or the serial number plus any one of the filing date of the national application, the international filing date or the date of entry into the national stage.

A requester seeking status information regarding an application should check the Patent Application Information Retrieval (PAIR) system on the U.S. Patent and Trademark Office (USPTO) website at www.uspto.gov/ebc. Alternatively, the requester may contact the File Information Unit (see MPEP § 1730). The File Information Unit (FIU) will check the relevant Office records and will inform the requester whether the application has been published or has issued as a patent. If the application has been published, the FIU will inform the requester of the publication number and publication date, and if the application has issued as a patent, the patent number, issue date and classification. If the application has not been published, but is pending or abandoned then the FIU should determine whether the requester is:

(A) an inventor;

(B) an attorney or agent of record in the application;

(C) an assignee of record in the application; or

(D) a person with written authority from (A), (B), or (C).

If the requester is (A), (B), (C), or (D), as set forth above, then the requester is entitled to status information. If the requester is inquiring about whether a reply was received or when an Office action can be expected, the requester should be directed to call the Technology Center (TC) to which the application is assigned. The assignment of an application to a TC can be determined from PALM Intranet or the 2952 PALM screen.

If the requester is not (A), (B), (C), or (D), as set forth above, and the application is (1) identified by application number (or serial number and filing date) in a published patent document, or (2) an application claiming the benefit of the filing date of an application identified by application number (or serial number and filing date) in a published patent document, then a written request including a copy of a published patent document (United States or foreign) which refers to the specific application must be provided when requesting status information for the application. If the published patent document is not in English, then a translation of the pertinent part thereof must also be included. The published patent document may be presented in person to the FIU or in written correspondence to the U.S. Patent and Trademark Office, for example, by facsimile transmission. Any written correspondence must include a return address or facsimile number. If the application is referred to by application number or serial number and filing date in a published patent document (e.g., a U.S. patent, a U.S. patent application publication, or an international application publication), or in a U.S. application open to public inspection, pursuant to 37 CFR 1.14(b)(2), the requester is entitled to status information for the application. (The published patent document will at least identify the application from which the patent itself was issued.) PALM Intranet or the 2960 PALM screen should be used to determine the status of the application. If the requester asks whether there are any applications on file which claim the benefit of the filing date of the identified application, pursuant to 37 CFR 1.14(b)(4), status informa-

tion (application number, filing date and whether the application is pending, abandoned or patented) for the applications claiming benefit of the identified application may be given to the requester as well. PALM Intranet or the 2962 PALM screen should be used to determine the application number and filing date of any applications claiming the benefit of the filing date of the identified application. The requester should be informed of the national applications listed in the "child" section of the screen. If the child application is not shown to have been patented on the 2962 PALM screen, the 2960 PALM transaction should be used to determine whether the application is pending or abandoned. Alternatively, the 2963 PALM transaction may be used with the patent number for continuity data for the patent. Other information contained on the screen, such as whether the application is a Continuation-in-Part (CIP), continuation or divisional application, the date of abandonment of the application, and the issue date, may be confidential information and should not be communicated. As to the extent of the chain of applications for which status information is available, the rule applies only to subsequent and not prior applications.

Furthermore, if the requester is not (A), (B), (C), or (D), as set forth above, but the application is a national stage application or any application claiming the benefit of the filing date of a published international application and the United States of America has been indicated as a Designated State in the international application, pursuant to 37 CFR 1.14(b)(3) and (b)(4), the requester is entitled to status information for the national stage application as well as any application claiming the benefit of the filing date of the published international application. A copy of the first page of the published international application or of the corresponding page of the PCT Gazette must be supplied with the status request. If the requester asks whether an international application has entered the national stage, then the 3133 PALM screen should be used and the requester should be informed of any national stage application indicated. If status information is requested for any application claiming the benefit of the filing date of the referenced published international application, there is no single PALM transaction for this request. The status request should be forwarded to the PCT Help desk for a response to this inquiry (see MPEP § 1730). Alternatively, inquiries relating to applications claiming the benefit of the filing date of a published international application may be directed to the PCT Help desk. Only the serial number and filing date, or application number, as well as whether the application is pending, abandoned, or patented may be given for the national stage application and for any applications claiming the benefit of the filing date of the referenced published international application. Other information contained on the screen, such as whether the application is a CIP, continuation or divisional application, the date of abandonment of the application and issue date may be confidential information and should not be communicated.

STATUS LOCATION INFORMATION FOR OFFICE PERSONNEL

When it is desired to determine the current location or status of an application, Office personnel should use PALM.

However, inasmuch as not 06 series applications prior to 714,000 are currently in the PALM system, Office personnel requesting status/location information on those applications determined not to be in the PALM system will be requested to contact the FIU (see MPEP § 1730) where the numerical index records of the above mentioned applications are maintained.

103 Right of Public to Inspect Patent Files and Some Application Files

37 CFR 1.11. Files open to the public.

(a) The specification, drawings, and all papers relating to the file of an abandoned published application, except if a redacted copy of the application was used for the patent application publication, a patent, or a statutory invention registration are open to inspection by the public, and copies may be obtained upon the payment of the fee set forth in § 1.19(b)(2). See § 2.27 for trademark files.

(b) All reissue applications, all applications in which the Office has accepted a request to open the complete application to inspection by the public, and related papers in the application file, are open to inspection by the public, and copies may be furnished upon paying the fee therefor. The filing of reissue applications, other than continued prosecution applications under § 1.53(d) of reissue applications, will be announced in the *Official Gazette*. The announcement shall include at least the filing date, reissue application and original patent numbers, title, class and subclass, name of the inventor, name of the owner of record, name of the attorney or agent of record, and examining group to which the reissue application is assigned.

(c) All requests for reexamination for which the fee under § 1.20(c) has been paid, will be announced in the *Official Gazette.* Any reexaminations at the initiative of the Commissioner pursuant to § 1.520 will also be announced in the *Official Gazette.* The announcement shall include at least the date of the request, if any, the reexamination request control number or the Commissioner initiated order control number, patent number, title, class and subclass, name of the inventor, name of the patent owner of record, and the examining group to which the reexamination is assigned.

(d) All papers or copies thereof relating to a reexamination proceeding which have been entered of record in the patent or reexamination file are open to inspection by the general public, and copies may be furnished upon paying the fee therefor.

(e) The file of any interference involving a patent, a statutory invention registration, a reissue application, or an application on which a patent has been issued or which has been published as a statutory invention registration, is open to inspection by the public, and copies may be obtained upon paying the fee therefor, if:

(1) The interference has terminated or

(2) An award of priority or judgment has been entered as to all parties and all counts.

PUBLISHED U.S. PATENT APPLICATIONS

37 CFR 1.14. Patent applications preserved in confidence.

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(c)(2)*File wrapper and contents.* A copy of the specification, drawings, and all papers relating to the file of an abandoned or pending published application may be provided to any person upon written request, including the fee set forth in § 1.19(b)(2). If a redacted copy of the application was used for the patent application publication, the copy of the specification, drawings, and papers may be limited to a redacted copy.

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If a patent application has been published pursuant to 35 U.S.C. 122(b), then a copy of the specification, drawings, and all papers relating to the file of that published application (whether abandoned or pending) may be provided to any person upon written request and payment of the fee set forth in 37 CFR 1.19(b)(2). If a redacted copy of the application was used for the patent application publication, the copy of the application will be limited to the redacted copy of the application and the redacted materials provided under 37 CFR 1.217(d).

If the published patent application is pending, the application file itself will not be available to the public for inspection. Only copies of the application file may be obtained pursuant to 37 CFR 1.14(c)(2). If the published patent application is abandoned, the entire application is available to the public for inspection and obtaining copies. See 37 CFR 1.11(a).

OBTAINING A COPY OF A PENDING APPLICATION AS ORIGINALLY FILED THAT IS INCORPORATED BY REFERENCE IN A U.S. PATENT APPLICATION PUBLICATION OR A U.S. PATENT, OR RELIED UPON FOR PRIORITY

37 CFR 1.14. Patent applications preserved in confidence.

(a) *Confidentiality of patent application information.* Patent applications that have not been published under 35 U.S.C. 122(b) are generally preserved in confidence pursuant to 35 U.S.C. 122(a). Information concerning the filing, pendency, or subject matter of an application for patent, including status information, and access to the application, will only be given to the public as set forth in § 1.11 or in this section.

(1) Status information is:

(i) Whether the application is pending, abandoned, or patented;

(ii) Whether the application has been published under 35 U.S.C. 122(b); and

(iii) The application "numerical identifier" which may be:

(A) The eight-digit application number (the two-digit series code plus the six-digit serial number); or

(B) The six-digit serial number plus any one of the filing date of the national application, the international filing date, or date of entry into the national stage.

(2) Access is defined as providing the application file for review and copying of any material in the application file.

*****

(c) *When copies may be supplied.* A copy of an application-as-filed or a file wrapper and contents may be supplied by the Office to the public, subject to paragraph (i) of this section (which addresses international applications), if any of the following apply:

(1) *Application-as-filed.*

(i) If a U.S. patent application publication or patent incorporates by reference, or includes a specific reference under 35 U.S.C. 119(e) or 120 to, a pending or abandoned application, a copy of that application-as-filed may be provided to any person upon written request including the fee set forth in § 1.19(b)(1); or

(ii) If an international application, which designates the U.S. and which has been published in accordance with PCT Article 21(2), incorporates by reference or claims priority under PCT Article 8 to a pending or abandoned U.S. application, a copy of that application-as-filed may be provided to any person upon written request including a showing that the publication of the application in accordance with PCT Article 21(2) has occurred and that the U.S. was designated, and upon payment of the appropriate fee set forth in § 1.19(b)(1).

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The incorporation by reference of a pending application in a U.S. patent application publication, a U.S. patent, or a published international application

designating the United States constitutes a special circumstance under 35 U.S.C. 122 warranting that a copy of the application-as-filed be provided upon written request. In addition, if a U.S. patent application publication, a U.S. patent, or a published international application designating the U.S. claims benefit under 35 U.S.C. 119(e) or 120 to a U.S. patent application, a copy of that application-as-filed may be provided upon written request. The written request, including a copy of the page of the patent application publication, U.S. patent, or published international application including the incorporation by reference or specific reference under 35 U.S.C. 119(e) or 120, and the requisite fee set forth in 37 CFR 1.19(b)(1), should be directed to the Certification Division. However, an incorporation by reference that is made as part of a transmittal letter for the application, or that is a part of the text of the application that has been canceled and which does not appear as part of the printed patent, may not be relied upon to obtain a copy of the application as originally filed. A petition for access with an explanation of special circumstances other than the not-printed incorporation by reference will be required.

APPLICATION FILES AVAILABLE UPON REQUEST

37 CFR 1.14. Patent applications preserved in confidence.

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(e) *Public access to a pending or abandoned application.* Access to an application may be provided to any person, subject to paragraph (i) of this section, if a written request for access is submitted, the application file is available, and any of the following apply:

(1) The application is open to public inspection pursuant to § 1.11(b); or

(2) The application is abandoned, it is not within the file jacket of a pending application under § 1.53(d), and it is referred to:

(i) In a U.S. patent application publication or patent;

(ii) In another U.S. application which is open to public inspection either pursuant to § 1.11(b) or paragraph (e)(2)(i) of this section; or

(iii) In an international application which designates the U.S. and is published in accordance with PCT Article 21(2).

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Certain applications are available to the public without a petition for access. ABANDONED applications meeting the requirements of 37 CFR 1.14(e)(2) and any application that is open to the public under 37 CFR 1.11 may be obtained by any person upon written request to the File Information Unit without the specific written authority of the applicant, assignee, attorney or agent of record or Commissioner. The following applications are available from the File Information Unit: (1) An ABANDONED application referred to in a U.S. patent application publication or U.S. patent, or in an application that is open to public inspection; and (2) a pending File Wrapper Continuation application (FWC) filed under former 37 CFR 1.62 of an abandoned application that meets the requirements of 37 CFR 1.14(e)(2). Under former 37 CFR 1.62(f), where access is permitted to an application within the file wrapper of a FWC application, the applicant has waived the right to keep all earlier filed applications in the same file wrapper in confidence.

An abandoned application that is in the file wrapper of a pending Continued Prosecution Application (CPA) filed under 37 CFR 1.53(d) is not available without the specific written authority of the applicant, assignee, attorney or agent of record, or Commissioner. 37 CFR 1.14(e)(2).

37 CFR 1.14(e)(1) relates only to United States applications that are open to public inspection. See 37 CFR 1.14(i) for access to international applications where the U.S. is designated. If an abandoned application is referred to in an international application that designates the U.S. and is published in accordance with PCT Article 21(2), access to the abandoned application is available under 37 CFR 1.14(e)(2)(iii).

An abandoned application referenced in a U.S. patent application publication, U.S. patent or a U.S. application that is open to public inspection may be ordered for inspection by any member of the public through the File Information Unit. Orders for files stored in repositories within the Crystal City (Arlington, Virginia) area are normally filled within 4 to 8 hours. Orders for files stored at the Federal Records Center in Suitland, Maryland, are normally filled within 4 to 5 days. An abandoned file received by a member of the public must be returned to the charge counter in the File Information Unit before closing the same day it is received. If the abandoned application is contained within a pending FWC application, the requester will generally be routed to the appropriate Technology Center (TC) to inquire as to

the availability of the pending FWC application. If the pending FWC application is available, then it will be forwarded to the File Information Unit for the requester to pick-up.

Furthermore, copies of a patent application-as-filed and the contents of a patent application file wrapper may be ordered from the Certification Division with a facsimile request and payment of the appropriate fee under 37 CFR 1.19(b) by USPTO Deposit Account, American Express®, Discover®, MasterCard®, or Visa® by any person having a right to access to the originally filed application or patent. Regular service requests for an application-as-filed are processed in about 17 days, and expedited requests for an application as filed are processed in about 7 days. Copies of a patent related file wrapper are generally made in about 25 days.

The Office does not provide for access to non-United States applications.

Form PTO/SB/68 may be used to request access.

PTO/SB/68 (04-01)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

REQUEST FOR ACCESS TO AN APPLICATION UNDER 37 CFR 1.14(e)

In re Application of	
Application Number	Filed
Art Unit	Examiner

Paper No._____

Assistant Commissioner for Patents
Washington, DC 20231

1. ☐ I hereby request access under 37 CFR 1.14(e)(2) to the application file record of the above-identified ABANDONED Application, which is not within the file jacket of a pending Continued Prosecution Application (CPA) (37 CFR 1.53(d)) and is: (CHECK ONE)

☐ (A) referred to in:

United States Patent Application Publication No. _____, page _____, line_____,

United States Patent Number_____, column _____, line _____, or

an International Application which was filed on or after November 29, 2000 and which designates the United States, WIPO Pub. No. _____, page _____, line_ ____.

☐ (B) referred to in an application that is open to public inspection as set forth in 37 CFR 1.11(b) or 1.14(e)(2)(i), i.e., Application No._____, paper No. _____, page _____, line _____.

2. ☐ I hereby request access under 37 CFR 1.14(e)(1) to an application in which the applicant has filed an authorization to lay open the complete application to the public.

_____ Signature

_____ Date

_____ Typed or printed name

FOR PTO USE ONLY

Approved by: _____. (initials)

Unit: _____.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PETITION FOR ACCESS

37 CFR 1.14. Patent applications preserved in confidence.

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(j) *Access or copies in other circumstances.* The Office, either *sua sponte* or on petition, may also provide access or copies of all or part of an application if necessary to carry out an Act of Congress or if warranted by other special circumstances. Any petition by a member of the public seeking access to, or copies of, all or part of any pending or abandoned application preserved in confidence pursuant to paragraph (a) of this section, or any related papers, must include:

(1) The fee set forth in § 1.17(h); and

(2) A showing that access to the application is necessary to carry out an Act of Congress or that special circumstances exist which warrant petitioner being granted access to all or part of the application.

Any interested party may file a petition, accompanied by the petition fee, to the Commissioner for access to an application. Inasmuch as the post office address is necessary for the complete identification of the petitioner, it should always be included complete with ZIP Code number. In addition, telephone and facsimile numbers should be provided to expedite handling of the petition. Petitions for access are handled in the Office of Patent Legal Administration, unless the application is involved in an interference. See MPEP § 1002.02(b).

The petition may be filed either with proof of service of copy upon the applicant, assignee of record, or attorney or agent of record in the application to which access is sought, or the petition may be filed in duplicate, in which case the duplicate copy will be sent by the Office to the applicant, assignee of record, or attorney or agent of record in the application (hereinafter "applicant"). A separate petition, with fee, must be filed for each application file to which access is desired. Each petition should show not only why access is desired, but also why petitioner believes he or she is entitled to access. The applicant will normally be given a limited period such as 3 weeks within which to state any objection to the granting of the petition for access and reasons why it should by denied. If applicant states that he or she has no objection to the requested access, the petition will be granted. If objection is raised or applicant does not respond, the petition will be decided on the record. If access is granted to the application, any objections filed by the applicant will be available to the petitioner since these papers are in the application file. If access to the application is denied, petitioner will not receive copies of any objections filed by the applicant. A determination will be made whether "special circumstances" are present which warrant a grant of access under 35 U.S.C. 122. See below when the application is the basis of a claim for benefit of an earlier filing date under 35 U.S.C. 120 or part of the application is incorporated by reference in a United States patent. "Special circumstances" could be found where an applicant has relied upon his or her application as a means to interfere with a competitor's business or customers. See *In re Crossman,* 187 USPQ 367 (PTO Solicitor 1975); *In re Trimless Cabinets,* 128 USPQ 95 (Comm'r Pat. 1960); and *Ex parte Bonnie-B Co.*, 1923 C.D. 42, 313 O.G. 453 (Comm'r Pat. 1922). Furthermore, "special circumstances" could be found where an attorney or agent of record in an application in which a provisional double patenting rejection is made does not have power of attorney in the copending application having a common assignee or inventor. However, a more expeditious means of obtaining access would be to obtain power to inspect from an assignee or inventor. See MPEP § 104 and § 106.01.

ACCESS WHERE PATENT CLAIMS 35 U.S.C. 120 BENEFIT

37 CFR 1.14. Patent applications preserved in confidence.

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(c) *When copies may be supplied.* A copy of an application-as-filed or a file wrapper and contents may be supplied by the Office to the public, subject to paragraph (i) of this section (which addresses international applications), if any of the following apply:

(1) *Application-as-filed.*

(i) If a U.S. patent application publication or patent incorporates by reference, or includes a specific reference under 35 U.S.C. 119(e) or 120 to, a pending or abandoned application, a copy of that application-as-filed may be provided to any person upon written request including the fee set forth in § 1.19(b)(1); or

(ii) If an international application, which designates the U.S. and which has been published in accordance with PCT Article 21(2), incorporates by reference or claims priority under PCT Article 8 to a pending or abandoned U.S. application, a copy of that application-as-filed may be provided to any person upon written request including a showing that the publication of the application in accordance with PCT Article 21(2) has occurred and that the U.S. was designated, and upon payment of the appropriate fee set forth in § 1.19(b)(1).

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Whenever a patent relies on the filing date of an earlier but still pending application, the public is entitled to see the entire prior application as filed as well as the portion of the prosecution of the earlier application, if any, that relates to the common subject matter, claimed in the patent. *In re Dreyfus*, 137 USPQ 475 (Comm'r Pat. 1961). If applicant objects to the petition for access, he or she must submit along with the objection two sets of a copy of the portion of any materials relating to the prosecution in the application of the subject matter claimed in the patent. Failure to submit these materials will result in the entire application file being made available to petitioner. The Office will not attempt to separate the noted materials from the remainder of the application. Compare *In re Marsh Eng'g. Co.*, 1913 C.D. 183 (Comm'r Pat. 1913).

ACCESS WHERE PART OF AN APPLICATION IS INCORPORATED BY REFERENCE IN A U.S. PATENT APPLICATION PUBLICATION OR A U.S. PATENT

37 CFR 1.14(c)(1) permits a member of the public, without a petition for access, to obtain a copy of a pending application as originally filed, when the application is incorporated by reference in a U.S. patent application publication or a U.S. patent, upon the filing of an appropriate request and the payment of the required fee. However, if only part of the application is incorporated by reference, for example, where an application states, "the disclosure of a valve on page 5, lines 5-35, of application No. XX/YYY,YYY, is hereby incorporated by reference," then a petition for access is required to obtain access to or a copy of the incorporated material. Incorporation by reference of part of an application in a U.S. patent application publication or a U.S. patent constitutes a special circumstances under 35 U.S.C. 122(a) warranting that access to that part of the original disclosure of the application be granted on petition. The incorporation by reference will be interpreted as a waiver of confidentiality of only that part of the original disclosure, as filed, and not the entire application file. *In re Gallo*, 231 USPQ 496 (Comm'r Pat. 1986). If applicant objects to access to the entire application file, applicant must file two copies of the information incorporated by reference along with the objection. In the example given, applicant would be required to provide two copies of page 5, lines 5-35 of the XX/YYY,YYY application. Failure to provide the material within the time period provided will result in the entire application content (including prosecution history) being made available to the petitioner. The Office will not attempt to separate the noted materials from the remainder of the application. Compare *In re Marsh Eng'g. Co.*, 1913 C.D. 183 (Comm'r Pat. 1913).

ACCESS TO PROVISIONAL APPLICATIONS

In provisional applications, access or certified copies will only be given to parties with written authority from a named inventor, the assignee of record, or the attorney or agent of record. Since provisional applications do not require an oath or declaration, there may be no power of attorney in the application. If there is no power of attorney in the provisional application, a certified copy requested by the registered attorney or agent named in the papers accompanying the provisional application papers will be supplied to the correspondence address of the provisional application. Provisional applications are also available in the same manner as any other application. For example, an application that is relied upon for priority in a U.S. patent and is abandoned is available under 37 CFR 1.14(e)(2)(i).

APPLICATION AT BOARD OF PATENT APPEALS AND INTERFERENCES

The Board of Patent Appeals and Interferences handles all petitions for access to applications involved in an interference. See 37 CFR 1.612.

DEFENSIVE PUBLICATIONS

If a defensive publication has been published, the entire application is available to the public for inspection and obtaining copies. See MPEP § 711.06.

REISSUE APPLICATIONS

37 CFR 1.11(b) opens all reissue applications filed after March 1, 1977 to inspection by the general public. 37 CFR 1.11(b) also provides for announcement of the filings of reissue applications in the *Official Gazette* (except for continued prosecution applications filed under 37 CFR 1.53(d)). This announcement will give interested members of the public an

opportunity to submit to the examiner information pertinent to patentability of the reissue application.

The filing of a continued prosecution application under 37 CFR 1.53(d) of a reissue application will not be announced in the *Official Gazette*. Although the filing of a continued prosecution application of a reissue application constitutes the filing of a reissue application, the announcement of the filing of such continued prosecution application would be redundant in view of the announcement of the filing of the prior reissue application in the *Official Gazette*.

37 CFR 1.11(b) is applicable only to those reissue applications filed on or after March 1, 1977. Those reissue applications previously on file will not be automatically open to inspection but a liberal policy will be followed by the Special Program Examiner in granting petitions for access to such applications.

For those reissue applications filed on or after March 1, 1977, the following procedure will be observed-

(A) The filing of reissue applications will be announced in the *Official Gazette* (except for continued prosecution applications filed under 37 CFR 1.53(d)) and will include certain identifying data as specified in 37 CFR 1.11(b). Any member of the general public may request access to a particular reissue application filed after March 1, 1977. Since no record of such request is intended to be kept, an oral request will suffice. In the File Information Unit (Record Room), only the regular application charge card need be completed and submitted. The charge card will not be made part of a pending or abandoned reissue application.

(B) The pending reissue application files will be maintained in the TCs and inspection thereof will be supervised by TC personnel. Although no general limit is placed on the amount of time spent reviewing the files, the Office may impose limitations, if necessary. No access will be permitted while the application is actively being processed.

(C) Where the reissue application has left the TC for administrative processing, requests for access should be directed to the appropriate supervisory personnel in the division or branch where the application is currently located.

(D) The reissue application file is not available to the public once the reissue application file has been released and forwarded by the TC for publication of the reissue patent. This would include any reissue application files which have been selected for a quality review check at the Office of Patent Quality Review. Unless prosecution is reopened pursuant to a quality review check, the reissue application files are not available to the public until the reissue patent issues. This is because the reissue application file has been put into a special format for printing purposes and to prevent disruption of the publication process.

(E) Requests for copies of papers in the reissue application file must be in writing addressed to Box 10, Commissioner of Patents and Trademarks, Washington, DC 20231 and may be either mailed or delivered to the Customer Service Window. The price for a copy of an application as filed is set forth in 37 CFR 1.19(b)(1). Since no useful purpose is seen for retaining such written request for copies of papers in reissue applications, they should be destroyed after the order has been completed.

REQUEST FOR REEXAMINATION

All requests for reexamination and related patent files are available to the public. An announcement of the filing of each request in which the entire fee has been paid and of each reexamination ordered at the initiative of the Commissioner under 37 CFR 1.520 will be published in the *Official Gazette*. Procedures for access and obtaining copies are normally the same as those for reissue applications indicated above. See also MPEP § 2232 for certain times when the reexamination file is not available for public inspection.

DECISIONS OF U.S. PATENT AND TRADEMARK OFFICE

37 CFR 1.14. Patent applications preserved in confidence.

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(g) *Decisions by the Commissioner or the Board of Patent Appeals and Interferences.* Any decision by the Commissioner or the Board of Patent Appeals and Interferences which would not otherwise be open to public inspection may be published or made available for public inspection if:

(1) The Commissioner believes the decision involves an interpretation of patent laws or regulations that would be of precedential value; and

(2) The applicant, or a party involved in an interference for which a decision was rendered, is given notice and an opportunity to object in writing within two months on the ground that the decision discloses a trade secret or other confidential information. Any objection must identify the deletions in the text of the deci-

sion considered necessary to protect the information, or explain why the entire decision must be withheld from the public to protect such information. An applicant or party will be given time, not less than twenty days, to request reconsideration and seek court review before any portions of a decision are made public under this paragraph over his or her objection.

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37 CFR 1.14(g) states the conditions under which significant decisions of the U.S. Patent and Trademark Office that would not otherwise be open to public inspection will be made available to the public. 37 CFR 1.14(g) includes decisions of the Board of Patent Appeals and Interferences and the Commissioner. The section is applicable to decisions deemed by the Commissioner to involve an interpretation of patent laws or regulation that would be of significant precedent value, where such decisions are contained in either pending or abandoned applications or in interference files not otherwise open to the public. It is applicable whether or not the decision is a final decision of the U.S. Patent and Trademark Office.

37 CFR 1.14(g) is considered to place a duty on the U.S. Patent and Trademark Office to identify significant decisions and to take the steps necessary to inform the public of such decisions, by publication of such decisions, in whole or in part. It is anticipated, however, that no more than a few dozen decisions per year will be deemed of sufficient importance to warrant publication under the authority of this section.

FOIA REQUESTS

37 CFR 1.15. Requests for identifiable records.

(a) Requests for records, not disclosed to the public as part of the regular informational activity of the Patent and Trademark Office and which are not otherwise dealt with in the rules in this part shall be made in writing, with the envelope and the letter clearly marked "Freedom of Information Request." Each such request, so marked, should be submitted by mail addressed to the "Patent and Trademark Office, Freedom of Information Request Control Desk, Box 8, Washington, D.C. 20231," or hand delivered to the Office of the Solicitor, Patent and Trademark Office, Arlington, Virginia. The request will be processed in accordance with the procedures set forth in Part 4 of Title 15, Code of Federal Regulations.

(b) Any person whose request for records has been initially denied in whole or in part, or has not been timely determined, may submit a written appeal as provided in § 4.8 of Title 15, Code of Federal Regulations.

(c) Procedures applicable in the event of service of process or in connection with testimony of employees on official matters and production of official documents of the Patent and Trademark Office in civil legal proceedings not involving the United States shall be those established in parts 15 and 15a of Title 15, Code of Federal Regulations.

Many decisions of the Office are available on the FOIA section of the U.S. Patent and Trademark Office website at www.uspto.gov/web/offices/com/sol/foia/index.html.

104 Power to Inspect Application

37 CFR 1.14. Patent applications preserved in confidence.

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(d) *Power to inspect a pending or abandoned application.* Access to an application may be provided to any person if the application file is available, and the application contains written authority (*e.g.*, a power to inspect) granting access to such person. The written authority must be signed by:

(1) An applicant;

(2) An attorney or agent of record;

(3) An authorized official of an assignee of record (made of record pursuant to § 3.71 of this chapter); or

(4) A registered attorney or agent named in the papers accompanying the application papers filed under § 1.53 or the national stage documents filed under § 1.494 or § 1.495, if an executed oath or declaration pursuant to § 1.63 or § 1.497 has not been filed.

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If an executed oath or declaration pursuant to 37 CFR 1.63 or 1.497 has been filed, no person but the applicant (any one of joint applicants), an attorney or agent of record, or an assignee whose assignment is of record, will be permitted to have access to the file of any pending application, except as provided for under 37 CFR 1.11(b), former 37 CFR 1.62(f), or under the interference rules, unless written authority from one of the above indicated parties, identifying the application to be inspected and the name of the person authorized to have access, is made of record, or upon the written order of the Commissioner, which will also become a part of the record of the application.

A person acting in a representative capacity under 37 CFR 1.34(a) may execute a power to inspect an application only if the attorney or agent was named in the application transmittal papers filed under 37 CFR 1.53 or the national stage documents filed under 37 CFR 1.494 or 1.495 and an executed oath or declaration has not been filed. Once an executed oath or declaration has been filed, any previously filed power to inspect signed by an registered attorney or agent

who is not of record will cease to have effect. For a discussion of power of attorney in an application, see MPEP § 402.

Approval by the primary examiner of a power to inspect is *not* required. The technical support staff of the Technology Center (TC) to which the application is assigned ascertains that the power is properly signed by one of the above indicated parties, and if acceptable, enters it into the file. If the power to inspect is unacceptable, notification of nonentry is written by the technical support staff to the person who signed the power.

When a power to inspect is received while a file is under the jurisdiction of a service branch, such as the Customer Services Division, the Service Branch of the Board of Patent Appeals and Interferences, and the Publishing Division of the Office of Patent Publication, the question of permission to inspect is decided by the head of the branch who, if he or she approves, indicates the approval directly on the power.

A "power to inspect" is, in effect, the same as a "power to inspect and make copies."

Where an applicant relied on his or her application as a means to interfere with a competitor's business or customers, permission to inspect the application may be given the competitor by the Commissioner. *Ex parte Bonnie-B Co.,* 1923 C.D. 42, 313 O.G. 453, (Comm'r Pat. 1922). Such permission is via petition for access under 37 CFR 1.14(j).

An unrestricted power to inspect given by an applicant is, under existing practice, recognized as in effect until and unless rescinded. The same is true in the case of one given by the attorney or agent of record, or assignee so long as such attorney or agent, or assignee retains his or her connection with the application.

Permission to inspect given by the Commissioner, however, is not of a continuing nature, since the conditions that justified the permission to inspect when given may not apply at a later date.

ACCESS TO PATENT APPLICATIONS PROVISIONAL AND NONPROVISIONAL AND INTERFERENCE FILES

In order to ensure that access to patent applications, other than reissue applications filed after March 1, 1977, and interference files is given only to persons who are entitled thereto or who are specially authorized to have access under 37 CFR 1.14 and to ensure also that the file record identifies any such specially authorized person who has been given access to a file, the following practice will be observed by all personnel of the U.S. Patent and Trademark Office:

(A) Access, as provided for in the rules, will be given on *oral request* to any applicant, patentee, assignee, or attorney or agent of record in an application or patent only upon *proof of identity* or upon recognition based on personal acquaintance.

(B) Where a power of attorney or authorization of agent was given to a registered firm prior to July 2, 1971, access will be given upon oral request as in paragraph (A) above to any registered member or employee of the firm who has signatory power for the firm.

(C) Unregistered employees of attorneys or agents, public stenographers, and all other persons not within the provisions of paragraphs (A) and (B) above will be given access only upon presentation of a *written authorization for access* (power to inspect) signed by a person specified in paragraph (A) above, which authorization will be entered as a part of the official file. The power to inspect must *specifically* name the person who is entitled to inspect and copy the application. An associate or representative of the named person is not entitled to access to the application on behalf of the authorized person. Further, the power to inspect must specifically identify the application by application number and be limited to a single application.

(D) In provisional applications, access or certified copies will only be given to parties with written authority from a named inventor, the assignee of record, or the attorney or agent of record. Since provisional applications do not require an oath or declaration, there may be no power of attorney in the application. If the person requesting a certified copy is not a named inventor, assignee of record, or an attorney or agent of record, the requested certified copy will be supplied to the correspondence address of the provisional application.

105 Suspended or Excluded Practitioner Cannot Inspect

U.S. Patent and Trademark Office (USPTO) employees are forbidden to hold either oral or written communication with an attorney or agent who has been suspended or excluded from practice by the USPTO regarding an application unless it be one in which said attorney or agent is the applicant. Power to inspect given to such an attorney or agent will not be accepted.

106 Control of Inspection by Assignee

The assignee of record of the entire interest in an application may intervene in the prosecution of the application, appointing an attorney or agent of his or her own choice. See 37 CFR 3.71. Such intervention, however, does not exclude the applicant from access to the application to see that it is being prosecuted properly, unless the assignee makes specific request to that effect. Any request to prevent the inventor from obtaining access to the file should be filed as a separate paper, 37 CFR 1.4(c), and should be directed to the Office of Petitions. If the request is granted, the inventor will be informed that he or she will only be permitted to inspect the application on sufficient showing why such inspection is necessary to conserve his or her rights. *In re The Kellogg Switchboard & Supply Company,* 1906 C.D. 274 (Comm'r Pat. 1906).

106.01 Rights of Assignee of Part Interest

While it is only the assignee of record of the entire interest who can intervene in the prosecution of an application or interference to the exclusion of the applicant, an assignee of a part interest or a licensee of exclusive right is entitled to inspect the application. See also MPEP § 402.10 for applications accorded status under 37 CFR 1.47.

110 Confidential Nature of International Applications

PCT Article 30.

Confidential Nature of the International Application.

(1)(a) Subject to the provisions of subparagraph (b), the International Bureau and the International Searching Authorities shall not allow access by any person or authority to the international application before the international publication of that application, unless requested or authorized by the applicant.

(b) The provisions of subparagraph (a) shall not apply to any transmittal to the competent International Searching Authority, to transmittals provided for under Article 13, and to communications provided for under Article 20.

(2)(a) No national Office shall allow access to the international application by third parties unless requested or authorized by the applicant, before the earliest of the following dates:

(i) date of the international publication of the international application,

(ii) date of receipt of the communication of the international application under Article 20,

(iii) date of receipt of a copy of the international application under Article 22.

(b) The provisions of subparagraph (a) shall not prevent any national Office from informing third parties that it has been designated, or from publishing that fact. Such information or publication may, however, contain only the following data: identification of the receiving Office, name of the applicant, international filing date, international application number, and title of the invention.

(c) The provisions of subparagraph (a) shall not prevent any designated Office from allowing access to the international application for the purposes of the judicial authorities.

(3) The provisions of paragraph (2)(a) shall apply to any receiving Office except as so far as transmittals provided for under Article 12(1) are concerned.

(4) For the purposes of this Article, the term "access" covers any means by which third parties may acquire cognizance, including individual communication and general publication, provided, however, that no national Office shall generally publish an international application or its translation before the international publication or, if international publication has not taken place by the expiration of 20 months from the priority date, before the expiration of 20 months from the said priority date.

PCT Article 38.

Confidential Nature of the International Preliminary Examination.

(1) Neither the International Bureau nor the International Preliminary Examining Authority shall, unless requested or authorized by the applicant, allow access within the meaning, and with the proviso, of Article 30(4) to the file of the international preliminary examination by any person or authority at any time, except by the elected Offices once the international preliminary examination report has been established.

(2) Subject to the provisions of paragraph (1) and Articles 36(1) and (3) and 37(3)(b), neither the International Bureau nor the International Preliminary Examining Authority shall, unless requested or authorized by the applicant, give information on the issuance or non-issuance of an international preliminary examination report and on the withdrawal or non-withdrawal of the demand or of any election.

35 U.S.C. 368. Secrecy of certain inventions; filing international applications in foreign countries.

(a) International applications filed in the Patent and Trademark Office shall be subject to the provisions of chapter 17 of this title.

(b) In accordance with article 27 (8) of the treaty, the filing of an international application in a country other than the United States on the invention made in this country shall be considered to constitute the filing of an application in a foreign country within the meaning of chapter 17 of this title, whether or not the United States is designated in that international application.

(c) If a license to file in a foreign country is refused or if an international application is ordered to be kept secret and a permit refused, the Patent and Trademark Office when acting as a Receiving Office, International Searching Authority, or International Preliminary Examining Authority, may not disclose the contents of such application to anyone not authorized to receive such disclosure.

Although most international applications are published soon after the expiration of 18 months from the priority date, PCT Article 21(2)(a), such publication does not open up the Home Copy or Search Copy to the public for inspection, except as provided in 37 CFR 1.14(i).

37 CFR 1.14. Patent applications preserved in confidence.

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(i) *International applications.*

(1) Copies of international application files for international applications which designate the U.S. and which have been published in accordance with PCT Article 21(2), or copies of a document in such application files, will be furnished in accordance with PCT Article 30 and 38 and PCT Rules 94.2 and 94.3, upon written request including a showing that the publication of the application has occurred and that the U.S. was designated, and upon payment of the appropriate fee (see § 1.19(b)(2) or 1.19(b)(3)), if:

(i) With respect to the Home Copy, the international application was filed with the U.S. Receiving Office;

(ii) With respect to the Search Copy, the U.S. acted as the International Searching Authority; or

(iii) With respect to the Examination Copy, the United States acted as the International Preliminary Examining Authority, an International Preliminary Examination Report has issued, and the United States was elected.

(2) A copy of an English language translation of an international application which has been filed in the United States Patent and Trademark Office pursuant to 35 U.S.C. 154(2)(d)(4) will be furnished upon written request including a showing that the publication of the application in accordance with PCT Article 21(2) has occurred and that the U.S. was designated, and upon payment of the appropriate fee (§ 1.19(b)(2) or § 1.19(b)(3)).

(3) Access to international application files for international applications which designate the U.S. and which have been published in accordance with PCT Article 21(2), or copies of a document in such application files, will be furnished in accordance with PCT Article 30 and 38 and PCT Rules 94.2 and 94.3, upon written request including a showing that the publication of the application has occurred and that the U.S. was designated.

(4) In accordance with PCT Article 30, copies of an international application-as-filed under paragraph (c)(1) of this section will not be provided prior to the international publication of the application pursuant to PCT Article 21(2).

(5) Access to international application files under paragraphs (e) and (i)(3) of this section will not be permitted with respect to the Examination Copy in accordance with PCT Article 38.

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Effective November 29, 2000, 37 CFR 1.14(i) was amended to provide greater access to international application files kept by the U.S. Patent and Trademark Office (USPTO). 37 CFR 1.14(i) as amended applies to international applications having an international filing date on or after November 29, 2000. Specifically, 35 U.S.C. 374 equates the publication under the PCT of an international application designating the U.S. to the publication of a U.S. application under 35 U.S.C. 122(b). After publication of an application under 35 U.S.C. 122(b), the USPTO will make available copies of the application files and also allow for access to those files in accordance with 37 CFR 1.14(c) and (e), respectively. Therefore, after publication of an international application designating the U.S. under PCT Article 21, the USPTO will make available copies of, and allow access to, those international application files which are kept in the USPTO (see 37 CFR 1.14(i)).

37 CFR 1.14(i)(1) sets forth those conditions upon which copies of international application files may be provided to the public. 37 CFR 1.14(i)(1)(i) and (ii) address the situation where the U.S. acted as the receiving Office and the International Searching Authority, respectively. Under these provisions, copies of the Home and Search Copies of the international file will be provided upon request. 37 CFR 1.14(i)(1)(iii) addresses the situation in which the U.S. acted as the International Preliminary Examining Authority (IPEA), the U.S. was elected, and the international preliminary examination report (IPER) has issued. PCT Rule 94.2 provides that after issuance of the IPER, the IPEA shall provide copies of any documents in the examination file to the elected Offices upon request. PCT Rule 94.3 permits the elected Offices to provide access to any documents in its files

after international publication has occurred. Therefore, the USPTO acting in its capacity as an elected Office, will provide a copy of the examination file in an international application to a third party upon submission of a request complying with the requirements of 37 CFR 1.14(i)(1)(iii). Requests for copies of an international application file under 37 CFR 1.14(i)(1) must be in the form of a written request and must include a showing that the international application has been published and that the U.S. was designated. Such a showing should preferably be in the form of the submission of a copy of the front page of the published international application. Additionally, requests for copies of international application files must also be accompanied by the appropriate fee (37 CFR 1.19(b)(2) or (b)(3)).

37 CFR 1.14(i)(2) provides that copies of English language translations of international applications, which were published in a non-English language and which designated the U.S., and which have been submitted to the Office pursuant to 35 U.S.C. 154(d)(4), will also be available to the public. The USPTO will not provide general notification to the public of the filing of English language translations under 35 U.S.C. 154. Under 35 U.S.C. 154, it is the responsibility of the applicant to notify any possible infringers for the purposes of obtaining provisional rights.

37 CFR 1.14(i)(3) addresses access to the Home Copy and the Search Copy of the international application. Access to the Examination Copy of the international application is prohibited under 37 CFR 1.14(i)(5) as required by PCT Article 38.

115 Review of Applications for National Security and Property Rights Issues

All provisional applications filed under 35 U.S.C. 111(b), nonprovisional applications filed under 35 U.S.C. 111(a), and international applications filed under the PCT, in the U.S. Patent and Trademark Office (USPTO) are reviewed for the purposes of issuance of a foreign filing license pursuant to 35 U.S.C. 184. See also 37 CFR 5.1(b). These applications are screened upon receipt in the USPTO for subject matter that, if disclosed, might impact the national security. Such applications are referred to the appropriate agencies for consideration of restrictions on disclosure of the subject matter. Authority for this referral can be found in 35 U.S.C. 181 which provides, in part:

> Whenever the publication or disclosure of an invention by the publication of an application or by the granting of a patent, in which the Government does not have a property interest, might, in the opinion of the Commissioner of Patents, be detrimental to the national security, he shall make the application for patent in which such invention is disclosed available for inspection to the Atomic Energy Commission, the Secretary of Defense, and the chief officer of any other department or agency of the Government designated by the President as a defense agency of the United States.

If the agency concludes that disclosure of the invention would be detrimental to the national security, a secrecy order is recommended to the Commissioner. The Commissioner then issues a Secrecy Order and withholds the publication of the application or the grant of a patent for such period as the national interest requires.

Applications on inventions made outside the U.S. and on inventions in which a U.S. Government defense agency has a property interest will not be made available to defense agencies (see 37 CFR 5.1(f)). While 35 U.S.C. 181 does not expressly limit security review to applications made in the U.S., the licensing requirement of 35 U.S.C. 184, which limits the need for a license only to inventions made in this country, has been interpreted to limit review under 35 U.S.C. 181 to inventions made in the U.S.

For those applications in which the Government has a property interest (including applications indicating national security classified subject matter), responsibility for notifying the Commissioner of the need for a Secrecy Order resides with the agency having that interest. Applications that are national security classified (see 37 CFR 1.9(i)) may be so indicated by use of authorized national security markings (e.g., "Confidential," "Secret," or "Top Secret"). National security classified documents filed in the USPTO must be either hand-carried to Licensing and Review or mailed to the Office in compliance with 37 CFR 5.1(a) and Executive Order 12958 of April 17, 1995. As set forth in 37 CFR 5.1(d), the applicant in a national security classified patent application must obtain a secrecy order or provide authority to cancel the markings.

A second purpose for the screening of all applications is to identify inventions in which DOE or NASA

might have property rights. See 42 U.S.C. 2182 and 42 U.S.C. 2457 and MPEP § 150.

A third function of the screening procedure is to process foreign filing license petitions under 37 CFR 5.12(a). See MPEP § 140.

Some applications have a label (Form PTO-1305) on the upper right hand corner of the face of the file wrapper. A Notice of Allowance and Issue Fee Due may not be mailed for those applications if the "REV" on the label is circled (although the examiner may be given credit for a disposal). Such cases must be forwarded to Licensing and Review to have the security review completed before the Notice of Allowance can be mailed. Cases in which only "DOE" and/or "NASA" is circled should be counted for allowance and the notice of allowance mailed before being sent to Licensing and Review for processing under the Atomic Energy and Space Acts.

While the initial screening is performed only by designated personnel, all examiners have a responsibility to be alert for obviously sensitive subject matter either in the original disclosure or subsequently introduced, for example, by amendment. Applications that may disclose sensitive subject matter must be forwarded to Licensing & Review with the significant subject matter identified by a check mark in the margin of the paper or by some equivalent marking.

120 Secrecy Orders

37 CFR 5.1. Correspondence.

(a) All correspondence in connection with this part, including petitions, should be addressed to "Commissioner for Patents (Attention Licensing and Review), Washington, D.C. 20231."

(b) Application as used in this part includes provisional applications filed under 35 U.S.C. 111(b) (§ 1.9(a)(2) of this chapter), nonprovisional applications filed under 35 U.S.C. 111(a) or entering the national stage from an international application after compliance with 35 U.S.C. 371 (§ 1.9(a)(3)), or international applications filed under the Patent Cooperation Treaty prior to entering the national stage of processing (§ 1.9(b)).

(c) Patent applications and documents relating thereto that are national security classified (see § 1.9(i) of this chapter) and contain authorized national security markings (*e.g.*, "Confidential," "Secret" or "Top Secret") are accepted by the Office. National security classified documents filed in the Office must be either hand-carried to Licensing and Review or mailed to the Office in compliance with paragraph (a) of this section.

(d) The applicant in a national security classified patent application must obtain a secrecy order pursuant to § 5.2(a). If a national security classified patent application is filed without a notification pursuant to § 5.2(a), the Office will set a time period within which either the application must be declassified, or the application must be placed under a secrecy order pursuant to § 5.2(a), or the applicant must submit evidence of a good faith effort to obtain a secrecy order pursuant to § 5.2(a) from the relevant department or agency in order to prevent abandonment of the application. If evidence of a good faith effort to obtain a secrecy order pursuant to § 5.2(a) from the relevant department or agency is submitted by the applicant within the time period set by the Office, but the application has not been declassified or placed under a secrecy order pursuant to § 5.2(a), the Office will again set a time period within which either the application must be declassified, or the application must be placed under a secrecy order pursuant to § 5.2(a), or the applicant must submit evidence of a good faith effort to again obtain a secrecy order pursuant to § 5.2(a) from the relevant department or agency in order to prevent abandonment of the application.

(e) An application will not be published under § 1.211 of this chapter or allowed under § 1.311 of this chapter if publication or disclosure of the application would be detrimental to national security. An application under national security review will not be published at least until six months from its filing date or three months from the date the application was referred to a defense agency, whichever is later. A national security classified patent application will not be published under § 1.211 of this chapter or allowed under § 1.311 of this chapter until the application is declassified and any secrecy order under § 5.2(a) has been rescinded.

(f) Applications on inventions made outside the United States and on inventions in which a U.S. Government defense agency has a property interest will not be made available to defense agencies.

37 CFR 5.2. Secrecy order.

(a) When notified by the chief officer of a defense agency that publication or disclosure of the invention by the granting of a patent would be detrimental to the national security, an order that the invention be kept secret will be issued by the Commissioner of Patents and Trademarks.

(b) Any request for compensation as provided in 35 U.S.C. 183 must not be made to the Patent and Trademark Office, but directly to the department or agency which caused the secrecy order to be issued.

(c) An application disclosing any significant part of the subject matter of an application under a secrecy order pursuant to paragraph (a) of this section also falls within the scope of such secrecy order. Any such application that is pending before the Office must be promptly brought to the attention of Licensing and Review, unless such application is itself under a secrecy order pursuant to paragraph (a) of this section. Any subsequently filed application containing any significant part of the subject matter of an application under a secrecy order pursuant to paragraph (a) of this section must either be hand-carried to Licensing and Review or mailed to the Office in compliance with § 5.1(a).

37 CFR 5.3. Prosecution of application under secrecy orders; withholding patent.

Unless specifically ordered otherwise, action on the application by the Office and prosecution by the applicant will proceed during

the time an application is under secrecy order to the point indicated in this section:

(a) National applications under secrecy order which come to a final rejection must be appealed or otherwise prosecuted to avoid abandonment. Appeals in such cases must be completed by the applicant but unless otherwise specifically ordered by the Commissioner will not be set for hearing until the secrecy order is removed.

(b) An interference will not be declared involving national applications under secrecy order. However, if an applicant whose application is under secrecy order seeks to provoke an interference with an issued patent, a notice of that fact will be placed in the file wrapper of the patent. (See § 1.607(d)).

(c) When the national application is found to be in condition for allowance except for the secrecy order the applicant and the agency which caused the secrecy order to be issued will be notified. This notice (which is not a notice of allowance under § 1.311 of this chapter) does not require reply by the applicant and places the national application in a condition of suspension until the secrecy order is removed. When the secrecy order is removed the Patent and Trademark Office will issue a notice of allowance under § 1.311 of this chapter, or take such other action as may then be warranted.

(d) International applications under secrecy order will not be mailed, delivered or otherwise transmitted to the international authorities or the applicant. International applications under secrecy order will be processed up to the point where, if it were not for the secrecy order, record and search copies would be transmitted to the international authorities or the applicant.

37 CFR 5.4. Petition for rescission of secrecy order.

(a) A petition for rescission or removal of a secrecy order may be filed by, or on behalf of, any principal affected thereby. Such petition may be in letter form, and it must be in duplicate.

(b) The petition must recite any and all facts that purport to render the order ineffectual or futile if this is the basis of the petition. When prior publications or patents are alleged the petition must give complete data as to such publications or patents and should be accompanied by copies thereof.

(c) The petition must identify any contract between the Government and any of the principals, under which the subject matter of the application or any significant part thereof was developed, or to which the subject matter is otherwise related. If there is no such contract, the petition must so state.

(d) Appeal to the Secretary of Commerce, as provided by 35 U.S.C. 181, from a secrecy order cannot be taken until after a petition for rescission of the secrecy order has been made and denied. Appeal must be taken within sixty days from the date of the denial, and the party appealing, as well as the department or agency which caused the order to be issued, will be notified of the time and place of hearing.

37 CFR 5.5. Permit to disclose or modification of secrecy order.

(a) Consent to disclosure, or to the filing of an application abroad, as provided in 35 U.S.C. 182, shall be made by a "permit" or "modification" of the secrecy order.

(b) Petitions for a permit or modification must fully recite the reason or purpose for the proposed disclosure. Where any proposed disclosee is known to be cleared by a defense agency to receive classified information, adequate explanation of such clearance should be made in the petition including the name of the agency or department granting the clearance and the date and degree thereof. The petition must be filed in duplicate.

(c) In a petition for modification of a secrecy order to permit filing abroad, all countries in which it is proposed to file must be made known, as well as all attorneys, agents and others to whom the material will be consigned prior to being lodged in the foreign patent office. The petition should include a statement vouching for the loyalty and integrity of the proposed disclosees and where their clearance status in this or the foreign country is known all details should be given.

(d) Consent to the disclosure of subject matter from one application under secrecy order may be deemed to be consent to the disclosure of common subject matter in other applications under secrecy order so long as not taken out of context in a manner disclosing material beyond the modification granted in the first application.

(e) Organizations requiring consent for disclosure of applications under secrecy order to persons or organizations in connection with repeated routine operation may petition for such consent in the form of a general permit. To be successful such petitions must ordinarily recite the security clearance status of the disclosees as sufficient for the highest classification of material that may be involved.

SECRECY ORDER TYPES

Three types of Secrecy Orders, each of a different scope, are issued as follows:

(A) Secrecy Order and Permit for Foreign Filing in Certain Countries — to be used for those patent applications that contain technical data whose export is controlled by the guidelines contained in DoD Directive 5230.25 dated November 6, 1984 which reviews export control under 10 U.S.C. 140(c) and the Militarily Critical Technology List (MCTL).

(B) Secrecy Order and Permit for Disclosing Classified Information — to be used for those patent applications which contain technical data that is properly classified or classifiable (no Government interest) under a security guideline where the patent application owner has a current DoD Security Agreement, DD Form 441. If the application is classifiable, this secrecy order allows disclosure of the technical information as if it were classified as prescribed in the Industrial Security Manual (ISM).

(C) Secrecy Order — to be used for those patent applications that contain technical data properly classifiable under a security guideline where the patent

application owner does not have a DoD Security Agreement. The order prevents disclosure of the subject matter to anyone without an express written consent from the Commissioner. However, quite often this type of secrecy order includes a permit "Permit A" which relaxes the disclosure restrictions as set forth in the permit.

The first Secrecy Order is intended to permit the widest utilization of the technical data in the patent application while still controlling any publication or disclosure which would result in an unlawful exportation. This type of Secrecy Order is based on the applicable export controls in either the Commodity Control List (CCL) or the Munitions Lists of the International Traffic in Arms Regulation (ITAR), and identifies the countries where corresponding patent applications may be filed. Countries with which the United States has reciprocal security agreements are: Australia, Belgium, Canada, Denmark, France, Germany, Greece, Italy, Japan, Luxembourg, Netherlands, Norway, Portugal, Spain, Sweden, Turkey and the United Kingdom. Please note that applications subject to a secrecy order cannot be filed directly with the European Patent Office since no reciprocal security agreement with this organization exists. Applications must be filed in the individual EPO member countries identified above.

The intent of the second Secrecy Order is to treat classified technical data presented as a patent application in the same manner as any other classified material. Accordingly, this Secrecy Order will include a notification of the classification level of the technical data in the application.

The third type of Secrecy Order is used where the other types of Orders do not apply, including Orders issued by direction of agencies other than the Department of Defense.

A Secrecy Order should not be construed in any way to mean that the Government has adopted or contemplates adoption of the alleged invention disclosed in an application; nor is it any indication of the value of such invention.

RELATED SUBJECT MATTER

The Secrecy Orders apply to the subject matter of the invention, not just to the patent application itself. Thus, the Secrecy Order restricts disclosure or publication of the invention in any form. Furthermore, other patent applications already filed or later filed which contain any significant part of the subject matter of the application also fall within the scope of the Order and must be brought to the attention of Licensing & Review if such applications are not already under Secrecy Order by the Commissioner.

The effects of a Secrecy Order are detailed in the notifying letter and include restrictions on disclosure of the invention and delay of any patent grant until the Order is rescinded.

CORRESPONDENCE

When the Secrecy Order issues, the law specifies that the subject matter or any material information relevant to the application, including unpublished details of the invention, shall not be published or disclosed to any person not aware of the invention prior to the date of the Order, including any employee of the principals except as permitted by the Secrecy Order. The law also requires that all information material to the subject matter of the application be kept in confidence, unless written permission to disclose is first obtained from the Commissioner of Patents and Trademarks except as provided by the Secrecy Order. Therefore, all correspondence to be filed in an application which is subject to a secrecy order and which is directly related to the subject matter covered by the Secrecy Order must be transmitted to the Office in a manner which would preclude disclosure to unauthorized individuals and addressed as set forth in 37 CFR 5.1(a). Use of facsimile transmission is not permitted. 37 CFR 1.6(d)(6).

Subject matter under Secrecy Order must be safeguarded under conditions that will provide adequate protection and prevent access by unauthorized persons.

When applicants desire to change the Power of Attorney in an application under Secrecy Order, the name, date of birth and Social Security number of the new attorney(s) should be included in the change notice so that Licensing and Review may conduct the necessary access security clearance checks.

Applicants should also ensure that the correspondence address (37 CFR 1.33) of any application under Secrecy Order represents a location suitable for the receipt of security information.

PCT APPLICATIONS

If the Secrecy Order is applied to an international application, the application will not be forwarded to the International Bureau as long as the Secrecy Order remains in effect. If the Secrecy Order remains in effect at the end of the time limit under PCT Rule 22.3, the international application will be considered withdrawn (abandoned) because the Record Copy of the international application was not received in time by the International Bureau. 37 CFR 5.3(d), PCT Article 12(3), and PCT Rule 22.3. If the United States of America has been designated, however, it is possible to save the U.S. filing date, by fulfilling the requirements of 35 U.S.C. 371(c) prior to the withdrawal.

CHANGES IN SECRECY ORDERS

Applicants may petition for rescission or modification of the Secrecy Order. For example, if the applicant believes that certain existing facts or circumstances would render the Secrecy Order ineffectual, he or she may informally contact the sponsoring agency to discuss these facts or formally petition the Commissioner to rescind the Order. Rescission of a Secrecy Order may also be effected in some circumstances by expunging the sensitive subject matter from the disclosure, provided the sensitive subject matter is not necessary for an enabling disclosure under 35 U.S.C. 112, first paragraph. See MPEP § 724.05. The defense agency identified with the Secrecy Order as sponsoring the Order should be contacted directly for assistance in determining what subject matter in the application is sensitive, and whether the agency would agree to rescind the Order upon expunging this subject matter. The applicant may also petition the Commissioner for a permit to disclose the invention to another or to modify the Secrecy Order stating fully the reason or purpose for disclosure or modification. An example of such a situation would be a request to file the application in a foreign country. The requirements for petitions are described in 37 CFR 5.4 and 5.5. The law also provides that if an appeal is necessary, it may be taken to the Secretary of Commerce. Any petition or appeal should be addressed to the Commissioner for Patents, Attention: Licensing and Review, Washington, DC 20231.

IMPROPER OR INADVERTENT DISCLOSURE

If, prior to or after the issuance of the Secrecy Order, any significant part of the subject matter or material information relevant to the application has been or is revealed to any U.S. citizen in the United States, the principals must promptly inform such person of the Secrecy Order and the penalties for improper disclosure. If such part of the subject matter was or is disclosed to any person in a foreign country or foreign national in the U.S., the principals must not inform such person of the Secrecy Order, but instead must promptly furnish to the Commissioner for Patents, U.S. Patent and Trademark Office, Attention: Licensing and Review Washington, D.C. 20231 the following information to the extent not already furnished: date of disclosure; name and address of the disclosee; identification of such subject matter; and any authorization by a U.S. government agency to export such subject matter. If the subject matter is included in any foreign patent application or patent, this should be identified.

EXPIRATION

Under the provision of 35 U.S.C. 181, a Secrecy Order remains in effect for a period of 1 year from its date of issuance. A Secrecy Order may be renewed for additional periods of not more than 1 year upon notice by a government agency that the national interest so requires. The applicant is notified of any such renewal.

The expiration of or failure to renew a Secrecy Order does not lessen in any way the responsibility of the principals for the security of the subject matter if it is subject to the provisions of Exec. Order No. 12958 or the Atomic Energy Act of 1954, as amended, 42 U.S.C. 141 *et. seq.* and 42 U.S.C. 2181 *et. seq.* or other applicable law unless the principals have been expressly notified that the subject patent application has been declassified by the proper authorities and the security markings have been authorized to be canceled or removed.

121 Handling of Applications and Other Papers Bearing Security Markings

Under Executive Order for Classified National Security Information (Exec. Order No. 12958, 60 FR

19825 (April 20, 1995)) standards are prescribed for the marking, handling, and care of official information which requires safeguarding in the interest of security.

Papers marked as prescribed in the Executive Order, and showing that such marking is applied by, or at the direction of, a government agency, are accepted in patent applications. All applications or papers in the U.S. Patent and Trademark Office bearing words such as "Secret" or "Confidential" must be promptly referred to Technology Center (TC) Working Group 3640 for clarification or security treatment. Under no circumstances can any such application, drawing, exhibit, or other paper be placed in public records, such as the patented files, until all security markings have been considered and declassified or otherwise explained.

Authorized security markings may be placed on the patent application drawings when filed provided that such markings are outside the illustrations and that they are removed when the material is declassified. 37 CFR 1.84(v).

130 Examination of Secrecy Order Cases

All applications in which a Secrecy Order has been imposed are examined in Technology Center (TC) Working Group 3640 and Art Unit 3662. If the Order is imposed subsequent to the docketing of an application in another TC, the application will be transferred to TC Working Group 3640.

Secrecy Order cases are examined for patentability as in other cases, but may not be passed to issue; nor will an interference be declared where one or more of the conflicting cases is classified or under Secrecy Order. See MPEP § 2309.06. When requested to do so by examiners outside TC Working Group 3640 and Art Unit 3662, examiners in TC Working Group 3640 or, if appropriate, examiners of Art Unit 3662, will conduct the interference searches of those interference files containing briefcards from classified or Secrecy Order cases.

In case of a final rejection, while such action must be properly replied to, and an appeal, if filed, must be completed by the applicant to prevent abandonment, such appeal will not be set for hearing by the Board of Patent Appeals and Interferences until the Secrecy Order is removed, unless specifically ordered by the Commissioner.

When a Secrecy Order case is in condition for allowance, a notice of allowability (Form D-10) is issued, thus closing the prosecution. Any amendments received thereafter are not entered or responded to until such time as the Secrecy Order is rescinded. At such time, amendments which are free from objection will be entered; otherwise they are denied entry.

Due to the additional administrative burdens associated with handling papers in Secrecy Order cases, the full statutory period for reply will ordinarily be set for all Office actions issued on such cases.

Sometimes applications bearing national security markings but no Secrecy Order come up for examination. In this case, the examiner should require the applicant to seek imposition of a Secrecy Order or authority to cancel the markings. This should preferably be done with the first action and, in any event, prior to final disposition of the application. Pursuant to 37 CFR 5.1(d), if no Secrecy Order has issued in a national security classified patent application, the Office will set a time period within which the applicant must take one of the following three actions in order to prevent abandonment of the application:

(A) obtain a Secrecy Order;

(B) declassify the application; or

(C) submit evidence of a good faith effort to obtain a Secrecy Order pursuant to 37 CFR 5.2(a).

Pursuant to 37 CFR 5.1(e), a national security classified patent application will not be allowed until the application is declassified and any Secrecy Order pursuant to 37 CFR 5.2(a) has been rescinded.

140 Foreign Filing Licenses

35 U.S.C. 184. Filing of application in foreign country.

Except when authorized by a license obtained from the Commissioner of Patents a person shall not file or cause or authorize to be filed in any foreign country prior to six months after filing in the United States an application for patent or for the registration of a utility model, industrial design, or model in respect of an invention made in this country. A license shall not be granted with respect to an invention subject to an order issued by the Commissioner of Patents pursuant to section 181 of this title without the concurrence of the head of the departments and the chief officers of the agencies who caused the order to be issued. The license may be granted retroactively where an application has been filed abroad through error and without deceptive intent and the application does not disclose an invention within the scope of section 181 of this title.

The term "application" when used in this chapter includes applications and any modifications, amendments, or supplements thereto, or divisions thereof.

The scope of a license shall permit subsequent modifications, amendments, and supplements containing additional subject matter if the application upon which the request for the license is based is not, or was not, required to be made available for inspection under section 181 of this title and if such modifications, amendments, and supplements do not change the general nature of the invention in a manner which would require such application to be made available for inspection under such section 181. In any case in which a license is not, or was not, required in order to file an application in any foreign country, such subsequent modifications, amendments, and supplements may be made, without a license, to the application filed in the foreign country if the United States application was not required to be made available for inspection under section 181 and if such modifications, amendments, and supplements do not, or did not, change the general nature of the invention in a manner which would require the United States application to have been made available for inspection under such section 181.

35 U.S.C. 185. Patent barred for filing without license.

Notwithstanding any other provisions of law any person, and his successors, assigns, or legal representatives, shall not receive a United States patent for an invention if that person, or his successors, assigns, or legal representatives shall, without procuring the license prescribed in section 184 of this title, have made, or consented to or assisted another's making, application in a foreign country for a patent or for the registration of a utility model, industrial design, or model in respect of the invention. A United States patent issued to such person, his successors, assigns, or legal representatives shall be invalid, unless the failure to procure such license was through error and without deceptive intent, and the patent does not disclose subject matter within the scope of section 181 of this title.

35 U.S.C. 186. Penalty.

Whoever, during the period or periods of time an invention has been ordered to be kept secret and the grant of a patent thereon withheld pursuant to section 181 of this title, shall, with knowledge of such order and without due authorization, willfully publish or disclose or authorize or cause to be published or disclosed the invention, or material information with respect thereto, or whoever willfully, in violation of the provisions of section 184 of this title, shall file or cause or authorize to be filed in any foreign country an application for patent or for the registration of a utility model, industrial design, or model in respect of any invention made in the United States, shall, upon conviction, be fined not more than $10,000 or imprisoned for not more than two years, or both.

The amendments made to 35 U.S.C. 184, 185, and 186 by Public Law 100-418 apply to all United States patents granted before, on, or after August 23, 1988, to all applications for United States patents pending on or filed after August 23, 1988, and to all licenses under 35 U.S.C. 184 granted before, on, or after August 23, 1988.

More specifically, paragraphs (c) and (d) of section 9101 of Public Law 100-418 read as follows:

Sec. 9101. INCREASED EFFECTIVENESS OF PATENT LAW

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(c)REGULATIONS.-- The Commissioner of Patents and Trademarks shall prescribe such regulations as may be necessary to implement the amendments made by this section.

(d)EFFECTIVE DATE.-- (1) Subject to paragraphs (2), (3), and (4) of this subsection, the amendments made by this section shall apply to all United States patents granted before, on, or after the date of enactment of this section, to all applications for United States patents pending on or filed after such date of enactment, and to all licenses under section 184 granted before, on, or after the date of enactment of this section.

(2)The amendments made by this section shall not affect any final decision made by a court or the Patent and Trademark Office before the date of enactment of this section with respect to a patent or application for patent, if no appeal from such decision is pending and the time for filing an appeal has expired.

(3)No United States patent granted before the date of enactment of this section shall abridge or affect the right of any person or his successors in business who made, purchased, or used, prior to such date of enactment, anything protected by the patent, to continue the use of, or sell to others to be used or sold, the specific thing so made, purchased, or used, if the patent claims were invalid or otherwise unenforceable on a ground obviated by this section and the person made, purchased, or used the specific thing in reasonable reliance on such invalidity or unenforceability. If a person reasonably relied on such invalidity or unenforceability, the court before which such matter is in question may provide for the continued manufacture, use, or sale of the thing made, purchased, or used as specified, or for the manufacture, use, or sale of which substantial preparation was made before the date of enactment of this section, and it may also provide for the continued practice of any process practiced, or for the practice of which substantial preparation was made, prior to the date of enactment of this section, to the extent and under such terms as the court deems equitable for the protection of investments made or business commenced before such date of enactment.

(4)The amendments made by this section shall not affect the right of any party in any case pending in court on the date of enactment of this section to have its rights or liabilities --

(A)under any patent before the court, or

(B)under any patent granted after such date of enactment which is related to the patent before the court by deriving priority right under section 120 or 121 of title 35, United States Code, from a patent or an application for patent common to both patents, determined on the basis of the substantive law in effect before the date of enactment of this section.

35 U.S.C. 187. Nonapplicability to certain persons

The prohibitions and penalties of this chapter shall not apply to any officer or agent of the United States acting within the scope of his authority, nor to any person acting upon his written instructions or permission.

35 U.S.C. 188. Rules and regulations, delegation of power.

The Atomic Energy Commission, the Secretary of a defense department, the chief officer of any department or agency of the Government designated by the President as a defense agency of the United States, and the Secretary of Commerce, may separately issue rules and regulations to enable the respective department or agency to carry out the provisions of this chapter, and may delegate any power conferred by this chapter.

37 CFR 5.11. License for filing in a foreign country an application on an invention made in the United States or for transmitting an international application.

(a) A license from the Commissioner of Patents and Trademarks under 35 U.S.C. 184 is required before filing any application for patent including any modifications, amendments, or supplements thereto or divisions thereof or for the registration of a utility model, industrial design, or model, in a foreign patent office or any foreign patent agency or any international agency other than the United States Receiving Office, if the invention was made in the United States and:

(1) An application on the invention has been filed in the United States less than six months prior to the date on which the application is to be filed, or

(2) No application on the invention has been filed in the United States.

(b) The license from the Commissioner of Patents and Trademarks referred to in paragraph (a) would also authorize the export of technical data abroad for purposes relating to the preparation, filing or possible filing and prosecution of a foreign patent application without separately complying with the regulations contained in 22 CFR parts 121 through 130 (International Traffic in Arms Regulations of the Department of State), 15 CFR part 779 (Regulations of the Office of Export Administration, International Trade Administration, Department of Commerce) and 10 CFR part 810 (Foreign Atomic Energy Programs of the Department of Energy).

(c) Where technical data in the form of a patent application, or in any form, is being exported for purposes related to the preparation, filing or possible filing and prosecution of a foreign patent application, without the license from the Commissioner of Patents and Trademarks referred to in paragraphs (a) or (b) of this section, or on an invention not made in the United States, the export regulations contained in 22 CFR parts 120 through 130 (International Traffic in Arms Regulations of the Department of State), 15 CFR parts 768-799 (Export Administration Regulations of the Department of Commerce) and 10 CFR part 810 (Assistance to Foreign Atomic Energy Activities Regulations of the Department of Energy) must be complied with unless a license is not required because a United States application was on file at the time of export for at least six months without a secrecy order under § 5.2 being placed thereon.The term "exported" means export as it is defined in 22 CFR part 120, 15 CFR part 779 and activities covered by 10 CFR part 810.

(d) If a secrecy order has been issued under § 5.2, an application cannot be exported to, or filed in, a foreign country (including an international agency in a foreign country), except in accordance with § 5.5.

(e) No license pursuant to paragraph (a) of this section is required:

(1) If the invention was not made in the United States, or

(2) If the corresponding United States application is not subject to a secrecy order under § 5.2, and was filed at least six months prior to the date on which the application is filed in a foreign country, or

(3) For subsequent modifications, amendments and supplements containing additional subject matter to, or divisions of, a foreign patent application if:

(i) A license is not, or was not, required under paragraph (e)(2) of this section for the foreign patent application;

(ii) The corresponding United States application was not required to be made available for inspection under 35 U.S.C. 181; and

(iii) Such modifications, amendments, and supplements do not, or did not, change the general nature of the invention in a manner which would require any corresponding United States application to be or have been available for inspection under 35 U.S.C. 181.

(f) A license pursuant to paragraph (a) of this section can be revoked at any time upon written notification by the Patent and Trademark Office. An authorization to file a foreign patent application resulting from the passage of six months from the date of filing of a United States patent application may be revoked by the imposition of a secrecy order.

37 CFR 5.12. Petition for license.

(a) Filing of an application for patent for inventions made in the United States will be considered to include a petition for license under 35 U.S.C. 184 for the subject matter of the application. The filing receipt will indicate if a license is granted. If the initial automatic petition is not granted, a subsequent petition may be filed under paragraph (b) of this section.

(b) A petition for license must include the fee set forth in § 1.17(h) of this chapter, the petitioner's address, and full instructions for delivery of the requested license when it is to be deliv-

ered to other than the petitioner. The petition should be presented in letter form.

37 CFR 5.13. Petition for license; no corresponding application.

If no corresponding national or international application has been filed in the United States, the petition for license under § 5.12(b) must also be accompanied by a legible copy of the material upon which a license is desired. This copy will be retained as a measure of the license granted.

37 CFR 5.14. Petition for license; corresponding U.S. application.

(a) When there is a corresponding United States application on file, a petition for license under § 5.12(b) must also identify this application by application number, filing date, inventor, and title, but a copy of the material upon which the license is desired is not required. The subject matter licensed will be measured by the disclosure of the United States application.

(b) Two or more United States applications should not be referred to in the same petition for license unless they are to be combined in the foreign or international application, in which event the petition should so state and the identification of each United States application should be in separate paragraphs.

(c) Where the application to be filed or exported abroad contains matter not disclosed in the United States application or applications, including the case where the combining of two or more United States applications introduces subject matter not disclosed in any of them, a copy of the application as it is to be filed in the foreign country or international application which is to be transmitted to a foreign international or national agency for filing in the Receiving Office, must be furnished with the petition. If however, all new matter in the foreign or international application to be filed is readily identifiable, the new matter may be submitted in detail and the remainder by reference to the pertinent United States application or applications.

37 CFR 5.15. Scope of license.

(a) Applications or other materials reviewed pursuant to §§ 5.12 through 5.14, which were not required to be made available for inspection by defense agencies under 35 U.S.C. 181, will be eligible for a license of the scope provided in this paragraph. This license permits subsequent modifications, amendments, and supplements containing additional subject matter to, or divisions of, a foreign patent application, if such changes to the application do not alter the general nature of the invention in a manner which would require the United States application to have been made available for inspection under 35 U.S.C. 181. Grant of this license authorizing the export and filing of an application in a foreign country or the transmitting of an international application to any foreign patent agency or international patent agency when the subject matter of the foreign or international application corresponds to that of the domestic application. This license includes authority:

(1) To export and file all duplicate and formal application papers in foreign countries or with international agencies;

(2) To make amendments, modifications, and supplements, including divisions, changes or supporting matter consisting of the illustration, exemplification, comparison, or explanation of subject matter disclosed in the application; and

(3) To take any action in the prosecution of the foreign or international application provided that the adding of subject matter or taking of any action under paragraphs (a)(1) or (2) of this section does not change the general nature of the invention disclosed in the application in a manner which would require such application to have been made available for inspection under 35 U.S.C. 181 by including technical data pertaining to:

(i) Defense services or articles designated in the United States Munitions List applicable at the time of foreign filing, the unlicensed exportation of which is prohibited pursuant to the Arms Export Control Act, as amended, and 22 CFR parts 121 through 130; or

(ii) Restricted Data, sensitive nuclear technology or technology useful in the production or utilization of special nuclear material or atomic energy, dissemination of which is subject to restrictions of the Atomic Energy Act of 1954, as amended, and the Nuclear Non-Proliferation Act of 1978, as implemented by the regulations for Unclassified Activities in Foreign Atomic Energy Programs, 10 CFR part 810, in effect at the time of foreign filing.

(b) Applications or other materials which were required to be made available for inspection under 35 U.S.C. 181 will be eligible for a license of the scope provided in this paragraph. Grant of this license authorizes the export and filing of an application in a foreign country or the transmitting of an international application to any foreign patent agency or international patent agency. Further, this license includes authority to export and file all duplicate and formal papers in foreign countries or with foreign and international patent agencies and to make amendments, modifications, and supplements to, file divisions of, and take any action in the prosecution of the foreign or international application, provided subject matter additional to that covered by the license is not involved.

(c) A license granted under § 5.12(b) pursuant to § 5.13 or § 5.14 shall have the scope indicated in paragraph (a) of this section, if it is so specified in the license. A petition, accompanied by the required fee (§ 1.17(h)), may also be filed to change a license having the scope indicated in paragraph (b) of this section to a license having the scope indicated in paragraph (a) of this section. No such petition will be granted if the copy of the material filed pursuant to § 5.13 or any corresponding United States application was required to be made available for inspection under 35 U.S.C. 181. The change in the scope of a license will be effective as of the date of the grant of the petition.

(d) In those cases in which no license is required to file the foreign application or transmit the international application, no license is required to file papers in connection with the prosecution of the foreign or international application not involving the disclosure of additional subject matter.

(e) Any paper filed abroad or transmitted to an international patent agency following the filing of a foreign or international application which changes the general nature of the subject matter disclosed at the time of filing in a manner which would require such application to have been made available for inspection under 35 U.S.C. 181 or which involves the disclosure of subject matter

listed in paragraphs (a)(3)(i) or (ii) of this section must be separately licensed in the same manner as a foreign or international application. Further, if no license has been granted under § 5.12(a) on filing the corresponding United States application, any paper filed abroad or with an international patent agency which involves the disclosure of additional subject matter must be licensed in the same manner as a foreign or international application.

(f) Licenses separately granted in connection with two or more United States applications may be exercised by combining or dividing the disclosures, as desired, provided:

(1) Subject matter which changes the general nature of the subject matter disclosed at the time of filing or which involves subject matter listed in paragraphs (a)(3) (i) or (ii) of this section is not introduced and,

(2) In the case where at least one of the licenses was obtained under § 5.12(b), additional subject matter is not introduced.

(g) A license does not apply to acts done before the license was granted. See § 5.25 for petitions for retroactive licenses.

37 CFR 5.18. Arms, ammunition, and implements of war.

(a) The exportation of technical data relating to arms, ammunition, and implements of war generally is subject to the International Traffic in Arms Regulations of the Department of State (22 CFR parts 120 through 130); the articles designated as arms, ammunitions, and implements of war are enumerated in the U.S. Munitions List (22 CFR part 121). However, if a patent applicant complies with regulations issued by the Commissioner of Patents and Trademarks under 35 U.S.C. 184, no separate approval from the Department of State is required unless the applicant seeks to export technical data exceeding that used to support a patent application in a foreign country. This exemption from Department of State regulations is applicable regardless of whether a license from the Commissioner is required by the provisions of §§ 5.11 and 5.12 (22 CFR part 125).

(b) When a patent application containing subject matter on the Munitions List (22 CFR part 121) is subject to a secrecy order under § 5.2 and a petition is made under § 5.5 for a modification of the secrecy order to permit filing abroad, a separate request to the Department of State for authority to export classified information is not required (22 CFR part 125).

37 CFR 5.19. Export of technical data.

(a) Under regulations (15 CFR 770.10(j)) established by the Department of Commerce, a license is not required in any case to file a patent application or part thereof in a foreign country if the foreign filing is in accordance with the regulations (§§ 5.11 through 5.25) of the Patent and Trademark Office.

(b) An export license is not required for data contained in a patent application prepared wholly from foreign-origin technical data where such application is being sent to the foreign inventor to be executed and returned to the United States for subsequent filing in the U.S. Patent and Trademark Office (15 CFR 779A.3(e)).

37 CFR 5.20. Export of technical data relating to sensitive nuclear technology.

Under regulations (10 CFR 810.7) established by the United States Department of Energy, an application filed in accordance with the regulations (§§ 5.11 through 5.25) of the Patent and Trademark Office and eligible for foreign filing under 35 U.S.C. 184, is considered to be information available to the public in published form and a generally authorized activity for the purposes of the Department of Energy regulations.

37 CFR 5.25. Petition for retroactive license.

(a) A petition for retroactive license under 35 U.S.C. 184 shall be presented in accordance with § 5.13 or § 5.14(a), and shall include:

(1) A listing of each of the foreign countries in which the unlicensed patent application material was filed,

(2) The dates on which the material was filed in each country,

(3) A verified statement (oath or declaration) containing:

(i) An averment that the subject matter in question was not under a secrecy order at the time it was filed abroad, and that it is not currently under a secrecy order,

(ii) A showing that the license has been diligently sought after discovery of the proscribed foreign filing, and

(iii) An explanation of why the material was filed abroad through error and without deceptive intent without the required license under § 5.11 first having been obtained, and

(4) The required fee (§ 1.17(h)).

In the interests of national security, the United States government imposes restrictions on the export of technical information. These restrictions are administered by the Departments of Commerce, State, and/or Energy depending on the subject matter involved. For the filing of patent applications in foreign countries, the authority for export control has been delegated to the Commissioner of Patents and Trademarks.

There are two ways in which permission to file a patent application abroad may be obtained: either a petition for a foreign filing license may be granted (37 CFR 5.12) or an applicant may wait 6 months after filing a patent application in the USPTO (35 U.S.C. 184) at which time a license on that subject matter is no longer required as long as no Secrecy Order has been imposed. 37 CFR 5.11(e)(2).

There are several means by which a foreign filing license may be issued. First, every U.S. origin application filed in the USPTO is considered to include an implicit petition for a foreign filing license. The grant of a license is not immediate or even ensured. If the application is not marked by the security screeners, the petition is granted. This is indicated to the applicant by the presence on the filing receipt of the phrase "Foreign Filing License Granted" and a date. The license becomes effective on the date shown. Further, grant of this license is made of record in the

application file by means of a similar notation on the file wrapper of the application below the "Foreign/ PCT Applications" data or on the PALM bib-data sheet. The scope of this license is quite broad as set forth in 37 CFR 5.15(a).

Explicit petitions for foreign filing licenses will also be accepted in accordance with 37 CFR 5.12(b). Applicants may be interested in such petitions in cases:

(A) in which the filing receipt license is not granted;

(B) in which the filing receipt has not yet been issued (37 CFR 5.14(a) or (b));

(C) in which there is no corresponding U.S. application (37 CFR 5.13);

(D) in which subject matter additional to that already licensed is sought to be licensed (37 CFR 5.14(c) and 5.15(e)); or

(E) in which expedited handling is requested.

The scope of any license granted on these petitions is indicated on the license.

Petitions under 37 CFR 5.14(a) or (b) as well as any license granted on the petition are given paper numbers and endorsed on the file wrapper. Petitions under 37 CFR 5.14(c) are not ordinarily made of record in the file.

Applicants granted a license under 37 CFR 5.12(b) having the relatively narrow scope indicated in 37 CFR 5.15(b) may petition under 37 CFR 5.15(c) to convert the license to the broad scope of 37 CFR 5.15(a). A fee is charged for such a petition. See 37 CFR 1.17(h). If the petition is granted, the change in the scope of the license is effective as of that day.

Finally, a retroactive license may be sought if an unlicensed foreign filing has occurred through error and without deceptive intent. However, the requirements of 37 CFR 5.25 must be fulfilled in order for such a petition to be granted. Note that licenses under 37 CFR 5.25 are only made retroactive with respect to specific acts of foreign filing, and therefore the countries, the actual dates of filing and the establishing of the nature of the error must be provided for each act of proscribed foreign filing for which a retroactive license is sought. Also, the required verified statement must be in oath or declaration form.

Upon written notification from the U.S. Patent and Trademark Office, any foreign filing license required by 37 CFR 5.11(a) may be revoked. Ordinarily, revocation indicates that additional review of the licensed subject matter revealed the need for referral of the application to the appropriate defense agencies. Revocation of a filing receipt license (37 CFR 5.12(a)) does not necessarily mean that a petition under 37 CFR 5.12(b) for a license of narrower scope will not be granted. The revocation becomes effective on the date on which the notice is mailed. Foreign filings which occurred prior to revocation need not be abandoned or otherwise specially treated; however, additional filings without a license are not permitted unless 6 months have elapsed from the filing of any corresponding U.S. application. Papers and other documents needed in support of prosecution of foreign applications may be sent abroad if they comply with any pertinent export regulations. Of course, if and once a Secrecy Order is issued, the restrictions thereof must immediately be observed.

Only the imposition of a Secrecy Order will cause revocation of the authority which arises from 35 U.S.C. 184 to file a foreign patent application 6 months or later after the date of filing of a corresponding U.S. patent application.

The penalties for failing to obtain any necessary license to file a patent application abroad are set forth in 35 U.S.C. 182, 35 U.S.C. 185, and 35 U.S.C. 186 and include loss of patenting rights in addition to possible fine or imprisonment.

150 Statements to DOE and NASA

37 CFR 1.14. Patent applications preserved in confidence.

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(f) *Applications reported to Department of Energy.* Applications for patents which appear to disclose, purport to disclose or do disclose inventions or discoveries relating to atomic energy are reported to the Department of Energy, which Department will be given access to the applications. Such reporting does not constitute a determination that the subject matter of each application so reported is in fact useful or is an invention or discovery, or that such application in fact discloses subject matter in categories specified by 42 U.S.C. 2181(c) and (d).

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Title 42 United States Code, Section 2182 reads in part:

> No patent for any invention or discovery, useful in the production or utilization of special nuclear material or atomic energy, shall be issued unless the applicant files

with the application, or within thirty days after request therefor by the Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office (unless the Commission advises the Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office that its rights have been determined and that accordingly no statement is necessary) a statement under oath setting forth the full facts surrounding the making or conception of the invention or discovery described in the application and whether the invention or discovery was made or conceived in the course of or under any contract, subcontract, or arrangement entered into with or for the benefit of the Commission, regardless of whether the contract, subcontract, or arrangement involved the expenditure of funds by the Commission. The Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office shall as soon as the application is otherwise in condition for allowance forward copies of the application and the statement to the Commission.

Similarly, 42 U.S.C. 2457 provides in part:

(c) *Patent application.* No patent may be issued to any applicant other than the Administrator for any invention which appears to the Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office (hereafter in this section referred to as the "Director") to have significant utility in the conduct of aeronautical and space activities unless the applicant files with the Director, with the application or within thirty days after request therefor by the Director, a written statement executed under oath setting forth the full facts concerning the circumstances under which such invention was made and stating the relationship (if any) of such invention to the performance of any work under any contract of the Administration. Copies of each statement and application to which it relates shall be transmitted forthwith by the Commissioner to the Administrator.

Property rights statements to DOE or NASA may be filed at any time but should be updated if necessary to accurately reflect property rights at the time the application is allowed.

Shortly after filing, an informal request for a property rights statement will be mailed to those applicants whose nonprovisional applications have been marked by the USPTO security screeners as being of interest to DOE or NASA. Provisional applications are not subject to DOE or NASA property rights review. While no formal time period is set, a response by applicants within 45 days will expedite processing. If the statement submitted during this period is defective, another letter is sent from Licensing and Review detailing the deficiencies and giving applicant another opportunity to respond during this period of informal correspondence.

If no response to the initial so called 45-Day Letter is received or if repeated efforts to correct a defective statement evidence an absence of cooperation on the part of the applicant, a formal request for a statement in accordance with the statutes will be made. A 30-day statutory period for response is then set. There is no provision for an extension of this time period. If no proper and timely statement is received, the application will be held abandoned and the applicant so notified. Such applications may be revived under the provisions of 35 U.S.C. 137. *In re Rutan,* 231 USPQ 864 (Comm'r Pat. 1986).

Any papers pertaining to property rights under section 152 of the Atomic Energy Act, 42 U.S.C. 2182, (DOE), or section 305(c) or the National Aeronautics and Space Act, 42 U.S.C. 2457, (NASA), that have not been associated with the application file, or have not been made of record in the file and processed by the Licensing and Review section, must be sent to the Licensing and Review section immediately.

151 Content of the Statements

The law requires the statement to set forth "the full facts" surrounding the conception and making of the invention. These facts should include those which are unique to that invention. The use of form paragraphs or printed forms which set forth only broad generalized statements of fact is not ordinarily regarded as meeting the requirements of these statutes.

The word "applicant" in both of these statutes has been construed to mean the inventor or joint inventors in person. Accordingly, in the ordinary situation, the statements must be signed by the inventor or the joint inventors, if available. This construction is consistent with the fact that no other person could normally be more knowledgeable of the "full facts concerning the circumstances under which such invention was made," (42 U.S.C. 2457) or, "full facts surrounding the making or conception of the invention or discovery" (42 U.S.C. 2182). If a request under 37 CFR 1.48 for correction of inventorship is granted during pendency of an application in which a property rights statement has been filed, a supplemental statement executed by any added inventor(s) is required and

should promptly be filed with the Licensing and Review section.

In instances where an applicant does not have first-hand knowledge whether the invention involved work under any contract, subcontract, or arrangement with or for the benefit of the Atomic Energy Commission, or had any relationship to any work under any contract of the National Aeronautics and Space Administration, and includes in his or her statement information of this nature derived from others, his or her statement should identify the source of his or her information. Alternatively, the statement by the applicant could be accompanied by a supplemental declaration or oath, as to the contractual matters, by the assignee or other person, e.g., an employee thereof, who has the requisite knowledge.

When an applicant is deceased or incompetent, or where it is shown to the satisfaction of this Office that he or she refuses to furnish a statement or cannot be reached after diligent efforts, declarations or statements under oath setting forth the information required by the statutes may be accepted from an officer or employee of the assignee who has sufficient knowledge of the facts. The offer of such substitute statements should be based on the actual unavailability of or refusal by the applicant, rather than mere inconvenience. Where it is shown that one of the joint inventors is deceased or unavailable, a statement by all of the other inventor(s) may be accepted.

The following is an acceptable format for statements to DOE or NASA assuming that no government funds or other considerations were involved in the making or conception of the invention. It is important that the information provided in the statement be an accurate reflection of the fact situation at the time the statement is made. While the sample below is in the form of a declaration, a sworn oath is equally acceptable.

Note that the statement must be in the form of an oath or declaration. Further note that the statement must be signed by <u>all</u> the inventors. See also the notice entitled "Statements Filed Under Atomic Energy Act and NASA Act" published in 914 O.G. 1 (Sept. 4, 1973) for further information.

I (We) _____ citizens of _____ residing at _____ declare: That I (we) made and conceived the invention described and claimed in patent application number _____ filed in the United States of America on _____ titled _____.

(Include completed I. or II. below)

I. (for Inventors Employed by an Organization)
That I (we) made and conceived this invention while employed by _____.

That the invention is related to the work I am (we are) employed to perform and was made within the scope of my (our) employment duties;

That the invention was made during working hours and with the use of facilities, equipment, materials, funds, information and services of_____.

Other relevant facts are: _____.

That to the best of my (our) knowledge and belief based upon information provided by _____ of _____:

—OR—

II. (For Self–Employed Inventors)
That I (we) made and conceived this invention on my (our) own time using only my (our) own facilities, equipment, materials, funds, information and services.

Other relevant facts are _____

That to the best of my (our) knowledge and belief:

(Include III. and/or IV. below as appropriate)

III. The invention or discovery was not made or conceived in the course of, or in connection with, or under the terms of any contract, subcontract or arrangement entered into with or for the benefit of the United States Atomic Energy Commission or its successors Energy Research and Development Administration or the Department of Energy.

—AND/OR—

IV. The invention was not made under nor is there any relationship of the invention to the performance of any work under any contract of the National Aeronautics and Space Administration.

V. The undersigned inventor(s) declare(s) further that all statements made herein of his or her (their) own knowledge are true and that all statements made on information and belief are believed to be true and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Inventor's Signature _____
Post Office Address_____
Date _____
Inventor's Signature_____
Post Office Address_____
Date _____

Chapter 200 Types, Cross-Noting, and Status of Application

201 Types of Applications

35 U.S.C. 111. Application.

(a) IN GENERAL.—

(1) WRITTEN APPLICATION.—An application for patent shall be made, or authorized to be made, by the inventor, except as otherwise provided in this title, in writing to the Director.

(2) CONTENTS.—Such application shall include—

(A) a specification as prescribed by section 112 of this title;

(B) a drawing as prescribed by section 113 of this title; and

(C) an oath by the applicant as prescribed by section 115 of this title.

(3) FEE AND OATH.—The application must be accompanied by the fee required by law. The fee and oath may be submitted after the specification and any required drawing are submitted, within such period and under such conditions, including the payment of a surcharge, as may be prescribed by the Director.

(4) FAILURE TO SUBMIT.—Upon failure to submit the fee and oath within such prescribed period, the application shall be regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the fee and oath was unavoidable or unintentional. The filing date of an application shall be the date on which the specification and any required drawing are received in the Patent and Trademark Office.

(b) PROVISIONAL APPLICATION.—

(1) AUTHORIZATION.—A provisional application for patent shall be made or authorized to be made by the inventor, except as otherwise provided in this title, in writing to the Director. Such application shall include—

(A) a specification as prescribed by the first paragraph of section 112 of this title; and

(B) a drawing as prescribed by section 113 of this title.

(2) CLAIM.—A claim, as required by the second through fifth paragraphs of section 112, shall not be required in a provisional application.

(3) FEE.—

(A) The application must be accompanied by the fee required by law.

(B) The fee may be submitted after the specification and any required drawing are submitted, within such period and under such conditions, including the payment of a surcharge, as may be prescribed by the Director.

(C) Upon failure to submit the fee within such prescribed period, the application shall be regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the fee was unavoidable or unintentional.

(4) FILING DATE.—The filing date of a provisional application shall be the date on which the specification and any required drawing are received in the Patent and Trademark Office.

(5) ABANDONMENT.—Notwithstanding the absence of a claim, upon timely request and as prescribed by the Director, a provisional application may be treated as an application filed under subsection (a). Subject to section 119(e)(3) of this title, if no such request is made, the provisional application shall be regarded as abandoned 12 months after the filing date of such application and shall not be subject to revival after such 12-month period.

(6) OTHER BASIS FOR PROVISIONAL APPLICATION.—Subject to all the conditions in this subsection and section 119(e) of this title, and as prescribed by the Director, an application for patent filed under subsection (a) may be treated as a provisional application for patent.

(7) NO RIGHT OF PRIORITY OR BENEFIT OF EARLIEST FILING DATE.—A provisional application shall not be entitled to the right of priority of any other application under section 119 or 365(a) of this title or to the benefit of an earlier filing date in the United States under section 120, 121, or 365(c) of this title.

(8) APPLICABLE PROVISIONS.—The provisions of this title relating to applications for patent shall apply to provisional applications for patent, except as otherwise provided, and except that provisional applications for patent shall not be subject to sections 115, 131, 135, and 157 of this title.

(Amended Aug. 27, 1982, Public Law 97-247, sec. 5, 96 Stat. 319; Dec. 8, 1994, Public Law 103-465, sec. 532(b)(3), 108 Stat. 4986; Nov. 29, 1999, Public Law 106-113, sec. 1000(a)(9), 113 Stat. 1501A-582, 588 (S. 1948 secs. 4732(a)(10)(A), 4801(a)).)

37 CFR 1.9. Definitions.

(a)(1)A national application as used in this chapter means a U.S. application for patent which was either filed in the Office under 35 U.S.C. 111, or which entered the national stage from an international application after compliance with 35 U.S.C. 371.

(2) A provisional application as used in this chapter means a U.S. national application for patent filed in the Office under 35 U.S.C. 111(b).

(3) A nonprovisional application as used in this chapter means a U.S. national application for patent which was either filed in the Office under 35 U.S.C. 111(a), or which entered the national stage from an international application after compliance with 35 U.S.C. 371.

(b) An international application as used in this chapter means an international application for patent filed under the Patent Cooperation Treaty prior to entering national processing at the Designated Office stage.

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NATIONAL APPLICATIONS (35 U.S.C. 111) VS. NATIONAL STAGE APPLICATIONS (35 U.S.C. 371)

Nonprovisional and provisional applications are national applications. Treatment of national applications under 35 U.S.C. 111 and national stage applications under 35 U.S.C. 371 are similar but not identical. Note the following examples:

(A) Restriction practice under MPEP § 806+ is applied to national applications under 35 U.S.C. 111(a) while unity of invention practice under MPEP Chapter 1800 is applied to national stage applications under 35 U.S.C. 371.

(B) National nonprovisional applications filed under 35 U.S.C. 111(a) without an executed oath or declaration or filing fee are governed by the notification practice set forth in 37 CFR 1.53(f) while national stage applications filed under 35 U.S.C. 371 without an oath or declaration or national stage fee are governed by the notification practice set forth in 37 CFR 1.494 and 1.495.

National patent applications fall under three broad types:

(A) applications for patent under 35 U.S.C. 101 relating to a "new and useful process, machine, manufacture, or composition of matter, etc.";

(B) applications for plant patents under 35 U.S.C. 161; and

(C) applications for design patents under 35 U.S.C. 171.

The first type of patents are sometimes referred to as "utility" patents or "mechanical" patents when being contrasted with plant or design patents. The specialized procedure which pertains to the examination of applications for design and plant patents are treated in detail in Chapters 1500 and 1600, respectively. National applications include original (nonprovisional), provisional, plant, design, reissue, divisional, and continuation applications (which may be filed under 37 CFR 1.53(b)), continued prosecu-

tion applications (CPA) (filed under 37 CFR 1.53(d)) and continuation-in-part applications (which may be filed under 37 CFR 1.53(b)).

201.01 Sole

An application wherein the invention is presented as that of a single person is termed a sole application.

201.02 Joint

A joint application is one in which the invention is presented as that of two or more persons. See MPEP § 605.07.

201.03 Correction of Inventorship in an Application

Correction of inventorship in an application is permitted by amendment under 35 U.S.C. 116, which is implemented by 37 CFR 1.48. The utilization of a request under 37 CFR 1.48 will generally correct the inventorship in the application in which it is filed. 37 CFR 1.48(a) is directed at correcting the inventorship in an application where the inventorship was improperly set forth in the executed oath or declaration filed in the application. 37 CFR 1.48(b) is directed at correcting the inventorship where the executed oath or declaration had correctly set forth the inventorship but due to prosecution of the application, e.g., claim cancellation or amendment, fewer than all of the currently named inventors are the actual inventors of the remaining claims. 37 CFR 1.48(c) is directed at correcting the inventorship where the executed oath or declaration had correctly set forth the inventorship but due to amendment of the claims to include previously unclaimed but disclosed subject matter, one or more inventors of the amended subject matter must be added to the current inventorship. 37 CFR 1.48(d) is directed at provisional applications where an inventor is to be added. 37 CFR 1.48(e) is directed at provisional applications where an inventor is to be deleted. 37 CFR 1.48(f) operates to automatically correct the inventorship upon filing of a first executed oath or declaration under 37 CFR 1.63 by any of the inventors in a nonprovisional application or upon filing of a cover sheet in a provisional application.

Correction of inventorship may also be obtained by the filing of a continuing application under 37 CFR 1.53 without the need for filing a request under 37 CFR 1.48, either in the application containing the inventorship error (to be abandoned) or in the continuing application. The continuing application must be filed with the correct inventorship named therein. The filing of a continuing application to correct the inventorship is appropriate if at least one of the correct inventors has been named in the prior application (35 U.S.C. 120 and 37 CFR 1.78(a)(1)). That is, at least one of the correct inventors must be named in the executed oath or declaration filed in the prior application, or where no executed oath or declaration has been submitted in the prior application but the names of the inventors were set forth in the application papers pursuant to 37 CFR 1.41(a)(1). Where the names of the inventors are to be added, correction of inventorship can be accomplished by filing a continuing application under 37 CFR 1.53(b) with a newly executed oath or declaration under 37 CFR 1.63(a). Where the name of an inventor(s) is to be deleted, applicant can file a continuing application with a request for deletion of the name of the inventor(s). The continuing application may be filed under 37 CFR 1.53(b) or 37 CFR 1.53(d). Note the requirements of 37 CFR 1.78 (a)(1)(ii)-(iv).

In certain instances where the statement of the lack of deceptive intent of the inventor to be added or deleted cannot be obtained, a petition under 37 CFR 1.183 requesting waiver of that requirement may be possible.

For provisional applications, it may not be necessary to correct the inventorship under 37 CFR 1.48 (d) and (e) unless there would be no overlap of inventors upon the filing of the nonprovisional application with the correct inventorship. See this MPEP section, headings "37 CFR 1.48(d)" and "37 CFR 1.48(e)."

The need to correct the inventorship in any U.S. nonprovisional or provisional application may in part be dependent upon whether a foreign filing under the Paris Convention will occur subsequent to the U.S. filing. See MPEP § 201.13.

37 CFR 1.48 does not apply to reissue applications as is noted in its title, whether correcting an inventorship error in the patent to be reissued or in the reissue application itself. Where an error in inventorship in a patent is to be corrected via a reissue application, see MPEP § 1412.04. Where such an error is to

be corrected via a certificate of correction under 37 CFR 1.324, see MPEP § 1481.

Where a request under 37 CFR 1.48 is denied in a final agency action, the examiner must determine whether a rejection under 35 U.S.C. 102(f) or (g) is appropriate. Where the request under 37 CFR 1.48 has been entered (for a decision thereon) and is dismissed (due to a defect that can be corrected) consideration under 35 U.S.C. 102(f) or (g) would be premature.

Although 37 CFR 1.48 does not contain a diligence requirement for filing the request, once an inventorship error is discovered, timeliness requirements under 37 CFR 1.116 and 37 CFR 1.312 apply. For allowed applications where the issue fee has been paid prior to the entry of a request under 37 CFR 1.48, if the request under 37 CFR 1.48 is dismissed or denied in an Office action, the application must be withdrawn from issue so that applicant would be given time to correct the defect(s). If the request under 37 CFR 1.48 is granted, then it would not be necessary to withdraw the application from issue.

Requests under 37 CFR 1.48 are generally decided by the primary examiner except:

(A) When the application is involved in an interference (decided by the Board of Patent Appeals and Interferences);

(B) When the application is a national stage application filed under 35 U.S.C. 371 which, as of the date of filing of the request, has not been accepted as satisfying the requirements for entry into the national stage (decided in the PCT Legal Office);

(C) When accompanied by a petition under 37 CFR 1.183 requesting waiver of a requirement under 37 CFR 1.48(a) or (c), e.g., waiver of the statement of lack of deceptive intent by an inventor to be added or deleted, or waiver of the reexecution of the declaration by all of the inventors (decided in the Office of Petitions); and

(D) When a second conversion under 37 CFR 1.48(a) is attempted (decided by the Technology Center (TC) Director).

When any request for correction of inventorship under 37 CFR 1.48(a)-(c) is granted, the examiner will acknowledge any addition or deletion of the names of inventors by using either form paragraph 2.14 or form paragraph 2.14.01 in the next Office communication to applicant or his/her attorney. It will be necessary to revise the PALM records, issue a corrected filing receipt, and change the bib-data sheet on the file wrapper. The correction should be noted on the original oath or declaration by writing in red ink in the left column "See Paper No. __ for inventorship corrections." See MPEP § 605.04(g).

¶ 2.14 Correction of Inventorship Under 37 CFR 1.48(a) or (c), Sufficient

In view of the papers filed **[1]**, it has been found that this nonprovisional application, as filed, through error and without deceptive intent, improperly set forth the inventorship, and accordingly, this application has been corrected in compliance with 37 CFR 1.48 (**[2]**). The inventorship of this application has been changed by **[3]**.

The application will be forwarded to the Office of Initial Patent Examination (OIPE) for issuance of a corrected filing receipt, and correction of the file jacket and PTO PALM data to reflect the inventorship as corrected.

Examiner Note:

1. In bracket 2, insert --a-- or --c--, as appropriate.
2. In bracket 3, insert explanation of correction made, including addition or deletion of appropriate names.

¶ 2.14.01 Correction of Inventorship Under 37 CFR 1.48(b), Sufficient

In view of the papers filed **[1]**, the inventorship of this nonprovisional application has been changed by the deletion of **[2]**.

The application will be forwarded to the Office of Initial Patent Examination (OIPE) for issuance of a corrected filing receipt, and correction of the file jacket and PTO PALM data to reflect the inventorship as corrected.

Examiner Note:

1. This form paragraph is to be used only for 37 CFR 1.48(b) corrections.
2. In bracket 2, insert the names of the deleted inventor(s).

The grant or denial of a request under 37 CFR 1.48(a) may result in the lack of inventorship overlap between a parent application and a continuing application and the consequent inability to claim benefit in the continuing application of the parent application's filing date under 35 U.S.C. 120. Intervening references must then be considered.

For correction of inventorship in a patent, see 37 CFR 1.324 and MPEP § 1481.

A request under 37 CFR 1.48 will not be required:

(A) Where an application is to issue with the correct inventorship based on the allowed claims even though the application may have been filed with an

incorrect inventorship based on the claims as originally submitted;

(B) Where a typographical or transliteration error in the spelling of an inventor's name is discovered, the Office should simply be notified of the error. A new oath or declaration is not required. Reference to the notification will be made on the previously filed oath or declaration;

(C) Where an inventor's name has been changed after the application has been filed, see MPEP § 605.04(c);

(D) Where a court has issued an order under 35 U.S.C. 256 for correction of the inventorship of a patent, it should be submitted directly to the Certificate of Correction Division along with the Office's certificate of correction form, PTO-1050. A new oath or declaration under 37 CFR 1.63 is not required;

(E) Where there is no change of individual but an incorrect name was given, see 37 CFR 1.182 and MPEP § 605.04(g);

(F) In a nonprovisional application filed under 35 U.S.C. 111(a), where the first-filed executed oath or declaration was filed on or after December 1, 1997 and names the correct inventors, but the inventive entity on the executed oath or declaration differs from that which was set forth on filing of the application, e.g., the application transmittal letter or an unexecuted oath or declaration. See 37 CFR 1.48(f)(1);

(G) In a provisional application filed under 35 U.S.C. 111(b), where the cover sheet was filed on or after December 1, 1997 which names the correct inventors, but the inventive entity on the cover sheet differs from that which was set forth on filing of the provisional application without a cover sheet. See 37 CFR 1.48(f)(2).

APPLICATIONS FILED UNDER 37 CFR 1.53(f) - NO OATH/DECLARATION

The Office will issue a filing receipt listing the inventors identified at the time of filing of the application even if the application was filed under 37 CFR 1.53(f) without an executed oath or declaration. Where the first-filed executed oath or declaration was filed on or after December 1, 1997 and sets forth an inventive entity which is different from the inventive entity initially set forth at the time of filing of the application, the actual inventorship of the application will be taken from the executed oath or declaration. See 37 CFR 1.41(a)(1). A request under 37 CFR 1.48(a) will not be necessary. See 37 CFR 1.48(f).

Where the first-filed executed oath or declaration was submitted prior to December 1, 1997 in an application filed without an executed oath or declaration, if the inventive entity identified on the executed oath or declaration differs from the inventive entity identified at the time of filing of the application, a request under 37 CFR 1.48(a) or (c) must also be submitted. Upon the grant of the request under 37 CFR 1.48 by the primary examiner, the application will be returned to the Office of Initial Patent Examination (OIPE) for the mailing of a corrected filing receipt.

The original named inventors should not execute or submit an oath or declaration under 37 CFR 1.63 merely to timely complete the filing requirements in reply to a "Notice to File Missing Parts of Application" where the possibility of an error in inventorship has been discovered or signed by someone who cannot properly make the averments therein. Additional time to reply to the Notice is available under 37 CFR 1.136(a) and possibly under 37 CFR 1.136(b). See MPEP § 710.02(d).

Example

A nonprovisional application is filed (either prior to, on or after December 1, 1997) naming A as the sole inventor without an executed declaration under 37 CFR 1.63. Only claim 1 is presented.

A "Notice to File Missing Parts of Application" is mailed prior to December 1, 1997. In timely reply thereto after December 1, 1997, a preliminary amendment adding claim 2, and a declaration under 37 CFR 1.63 executed by inventors A and B are submitted with B being added in view of claim 2. A request under 37 CFR 1.48(c) is not required, in that 37 CFR 1.48(f)(1) will act to set forth an inventorship of A and B.

Similarly, where a preliminary amendment canceling or amending claims concomitantly requires the deletion of an inventor, such deletion may be accomplished by the submission of a first-filed executed oath or declaration on or after December 1, 1997 naming the actual inventive entity. A request under 37 CFR 1.48(b) would not be necessary.

37 CFR 1.48(a)

37 CFR 1.48. Correction of inventorship in a patent application, other than a reissue application, pursuant to 35. U.S.C. 116.

(a) *Nonprovisional application after oath/declaration filed.* If the inventive entity is set forth in error in an executed § 1.63 oath or declaration in a nonprovisional application, and such error arose without any deceptive intention on the part of the person named as an inventor in error or on the part of the person who through error was not named as an inventor, the inventorship of the nonprovisional application may be amended to name only the actual inventor or inventors. If the nonprovisional application is involved in an interference, the amendment must comply with the requirements of this section and must be accompanied by a motion under § 1.634. Amendment of the inventorship requires:

(1) A request to correct the inventorship that sets forth the desired inventorship change;

(2) A statement from each person being added as an inventor and from each person being deleted as an inventor that the error in inventorship occurred without deceptive intention on his or her part;

(3) An oath or declaration by the actual inventor or inventors as required by § 1.63 or as permitted by §§ 1.42, 1.43 or § 1.47;

(4) The processing fee set forth in § 1.17(i); and

(5) If an assignment has been executed by any of the original named inventors, the written consent of the assignee (see § 3.73(b) of this chapter).

*****

Under 37 CFR 1.48(a), if the correct inventor or inventors are not named in an executed oath or declaration under 37 CFR 1.63 in a nonprovisional application for patent, the application can be amended to name only the actual inventor or inventors so long as the error in the naming of the inventor or inventors occurred without any deceptive intention on the part of the person named as an inventor in error or the person who through error was not named as an inventor.

37 CFR 1.48(a) requires that the amendment be accompanied by: (1) a request to correct the inventorship that sets forth the desired inventorship change; (2) a statement from each person being added and from each person being deleted as an inventor that the error occurred without deceptive intention on his or her part; (3) an oath or declaration by each actual inventor or inventors as required by 37 CFR 1.63 or as permitted by 37 CFR 1.42, 1.43 or 1.47; (4) the fee set forth in 37 CFR 1.17 (i); and (5) the written consent of any existing assignee, if any of the originally named inventors has executed an assignment.

Correction may be requested in cases where the person originally named as inventor was in fact not an inventor or the sole inventor of the subject matter being claimed. If such error occurred without any deceptive intention on the part of the inventor named and/or not named in error, the Office has the authority to substitute the true inventive entity for the erroneously named inventive entity. Instances where corrections can be made include changes from: a mistaken sole inventor to a different but actual sole inventor; a mistakenly identified sole inventor to different, but actual, joint inventors; a sole inventor to joint inventors to include the original sole inventor; erroneously identified joint inventors to different but actual joint inventors; erroneously identified joint inventors to a different, but actual, sole inventor. (Note that 35 U.S.C. 120 and 37 CFR 1.78 require an overlap of inventorship, hence, refiling, rather than requesting under 37 CFR 1.48, to change inventorship where the change would not result in an inventorship overlap may result in the loss of a priority claim.)

A. *Statement of Lack of Deceptive Intention*

Where a similar inventorship error has occurred in more than one application for which correction is requested wherein petitioner seeks to rely on identical statements, only one original set need be supplied if copies are submitted in all other applications with a reference to the application containing the originals (original oaths or declarations under 37 CFR 1.63 and written consent of assignees along with separate processing fees must be filed in each application).

The statement required from each inventor being added or deleted may simply state that the inventorship error occurred without deceptive intention. The statement need not be a verified statement (see MPEP § 605).

On very infrequent occasions, the requirements of 37 CFR 1.48(a) have been waived upon the filing of a request and fee under 37 CFR 1.183 (along with the request and fee under 37 CFR 1.48(a)) to permit the filing of a statement by less than all the parties required to submit a statement. *In re Cooper*, 230 USPQ 638, 639 (Dep. Assist. Comm'r Pat. 1986). However, such a waiver will not be considered unless the facts of record unequivocally support the correction sought. *In re Hardee*, 223 USPQ 1122, 1123 (Comm'r Pat. 1984). As 37 CFR 1.48(a) is intended

as a simple procedural remedy and does not represent a substantive determination as to inventorship, issues relating to the inventors' or alleged inventors' actual contributions to conception and reduction to practice are not appropriate for consideration in determining whether the record unequivocally supports the correction sought.

In those situations where an inventor to be added refuses to submit a statement supporting the addition or such party cannot be reached, waiver under 37 CFR 1.183 of the requirement for a statement from that party would be appropriate upon a showing of such refusal or inability to reach the inventor. Every existing assignee of the original named inventors must give its consent to the requested correction. Where there is more than one assignee giving its consent, the extent of that interest (percentage) should be shown. Where no assignment has been executed by the inventors, or if deletion of a refusing inventor is requested, waiver will not be granted absent unequivocal support for the correction sought. Petitions under 37 CFR 1.47 are not applicable to the requirement for statements from each originally named inventor.

An available remedy to obtain correction of inventorship where waiver of a required statement is not available to correct the inventorship in a particular application is to refile the application naming the correct inventive entity. A request under 37 CFR 1.48(a) would not then be required in the newly filed application as no correction would be needed. Furthermore, a request under 37 CFR 1.48(a) would also not be required in the prior application that was refiled, since the prior application will be abandoned. Benefit of the parent application's filing date would be available under 35 U.S.C. 120 provided there is at least one inventor overlap between the two applications. (Note: a sole-to-sole correction would not obtain benefit under 35 U.S.C. 120).

B. Oath or Declaration

An oath or declaration under 37 CFR 1.63 by each actual inventor must be presented. While each inventor need not execute the same oath or declaration, each oath or declaration executed by an inventor must contain a complete listing of all inventors so as to clearly indicate what each inventor believes to be the appropriate inventive entity. Where individual declarations are executed, they must be submitted as individual declarations rather than combined into one declaration. For example, where the inventive entity is A and B, a declaration may not be executed only by A naming only A as the inventor and a different declaration may not be executed only by B naming only B as the inventor, which two declarations are then combined into one declaration with a first page of boiler plate, a second page with A's signature, and a second page with B's signature (so that it appears that the declaration was executed with the entire inventive entity appearing in the declaration when it did not).

Conflicting oaths or declarations filed: If the first executed oaths or declarations that are submitted name different inventive entities (e.g., one declaration names A, B, and C as inventors and a second declaration names D as the inventor) and are filed on the same day, the application will be considered to name the inventors named in both declarations (A, B, C, and D) and a new oath or declaration in compliance with 37 CFR 1.63 including the entire inventive entity will be required. Where an application is filed with an executed declaration under 37 CFR 1.63 naming an inventive entity that is in conflict with another paper filed in the application, such as the transmittal letter, the executed declaration will govern. However, where an executed declaration is never submitted and the application papers are in conflict as to the inventorship, each party identified as an inventor on filing will be considered to have been named as part of the inventive entity. See 37 CFR 1.41(a)(1).

37 CFR 1.47 is available to meet the requirement for an oath or declaration under 37 CFR 1.63 as for example where A, B, and C were originally named as inventors and D who refuses to cooperate is to be later added as an inventor. The oath or declaration under 37 CFR 1.63 of inventor D may be supplied pursuant to 37 CFR 1.47(a), but note that the required 37 CFR 1.48(a)(2) statement must still be supplied by inventor D (an unlikely event in view of the inability to obtain the executed oath or declaration under 37 CFR 1.63), or waiver thereof petitioned under 37 CFR 1.183. Alternatively, where D is to be added as an inventor (where inventors A, B, and C have previously executed the application under 37 CFR 1.63) and it is original inventor A who refuses to cooperate, the statement under 37 CFR 1.48(a)(2) is only required to be signed by inventor D. Originally named inventor A is merely required to reexecute an oath or declaration

in compliance with 37 CFR 1.63. Petitions under 37 CFR 1.47 are only applicable to an original oath or declaration and are not applicable to the reexecution of another oath or declaration by A. In such circumstances, a petition under 37 CFR 1.183 should be considered requesting waiver of the requirement of 37 CFR 1.64 that each of the actual inventors, i.e., inventor A, execute the oath or declaration, particularly where assignee consent is given to the requested correction. Absent assignee consent, the petition under 37 CFR 1.183 requesting waiver of the reexecution of the oath or declaration will be evaluated as to whether the nonsigning inventor was actually given the opportunity to reexecute the oath or declaration, or whether the nonsigning inventor could not be reached.

Applications filed with a petition under 37 CFR 1.47 and a request under 1.48(a) will be forwarded to the Office of Petitions, after mailing the filing receipt by the Office of Initial Patent Examination, for consideration of the petition and the request. In those instances wherein a request under 37 CFR 1.48(a) and a petition under 37 CFR 1.47 have both been filed in an application, the Office of Petitions may first issue a decision on the request under 37 CFR 1.48(a) so as to determine the appropriate oath or declaration under 37 CFR 1.63 required for the petition under 37 CFR 1.47.

The oath or declaration submitted subsequent to the filing date (37 CFR 1.53(f)) of an application filed under 37 CFR 1.53(b) must clearly identify the previously filed specification it is intended to execute. See MPEP § 601.01(a).

C. *Fee*

Where waiver under 37 CFR 1.183 is requested in relation to a requirement under 37 CFR 1.48(a), a processing fee under 37 CFR 1.48(a) and a petition fee under 37 CFR 1.183 are required. Similarly, where in addition to a request under 37 CFR 1.48, two petitions under 37 CFR 1.183 are presented, e.g., one requesting waiver of a requirement under 37 CFR 1.48 and the other requesting waiver of the reexecution of an oath or declaration under 37 CFR 1.64, three fees are required (one for the request filed under 37 CFR 1.48 and two for the petitions filed under 37 CFR 1.183).

Where a similar error has occurred in more than one application a separate processing fee must be submitted in each application in which correction is requested.

If the processing fee has not been submitted or authorized the request will be dismissed.

D. *Written Consent of Assignee*

The written consent of every existing assignee of the original named inventors must be submitted. 37 CFR 1.48(a)(5). 37 CFR 1.48(a) does not limit assignees to those who are recorded in the U.S. Patent and Trademark Office records. The Office employee deciding the request should check the file record for any indication of the existence of an assignee (e.g., a small entity assertion from an assignee.)

Where no assignee exists requester should affirmatively state that fact. If the file record including the request is silent as to the existence of an assignee it will be presumed that no assignee exists. Such presumption should be set forth in the decision to alert requesters to the requirement.

The individual signing on behalf of the assignee giving its consent to the requested inventorship correction, should specifically state that he or she has the authority to act on behalf of the assignee. In the absence of such a statement, the consent will be accepted if it is signed by an appropriate official of the assignee (e.g., president, vice president, secretary, treasurer, or derivative thereof) if the official's title has been made of record. A general statement of authority to act for the assignee, or on the specific matter of consent, or the appropriate title of the party signing on behalf of the assignee should be made of record in the consent. However, if it appears in another paper of record, e.g., small entity assertion, it is also acceptable. Further, the assignee must establish its ownership of the application in accordance with 37 CFR 3.73. MPEP § 324.

E. *Continuing Applications*

35 U.S.C. 120 permits a continuing application to claim the benefit of the filing date of a copending, previously filed, parent application provided there is inventorship overlap between the continuing application and the parent application. If the inventive entity of a continuing application includes an inventor named in the parent application, the inventorship overlap required by 35 U.S.C. 120 is met.

Example

The parent application names inventors A and B and claims inventions 1 and 2. Inventor A contributes only to invention 1 and inventor B contributes only to invention 2. A restriction requirement is made and invention 1 was elected. Upon allowance of claims directed to invention 1 and cancellation of claims directed to invention 2, a request under 37 CFR 1.48(b) was filed requesting deletion of inventor B. The request under 37 CFR 1.48(b) was granted by the primary examiner. Prior to the issuance of the parent application, a divisional application claiming benefit under 35 U.S.C. 120 to the parent application, is filed claiming only invention 2 and naming only inventor B. The inventorship overlap required by 35 U.S.C. 120 is met in this instance even though at the time of filing of the divisional application, the inventorship overlap was lost as a result of the deletion of an inventor in the parent application. The overlap of inventorship need not be present on the date the continuing application is filed nor present when the parent application issues or becomes abandoned.

On filing a continuing application under 37 CFR 1.53(b) or (d) it should not be assumed that an error in inventorship made in a parent application was in fact corrected therein in response to a request under 37 CFR 1.48(a) unless a decision from the U.S. Patent and Trademark Office to that effect was received by the requester. In a continued prosecution application (CPA) filed under 37 CFR 1.53(d), a request to add an inventor to a parent application that was not acted on (e.g., filed after final rejection) will be automatically considered in the CPA. Until the request is granted, however, the inventorship remains the same as the prior application. A continuing application naming the additional inventor can be filed under 35 U.S.C. 111(a) and 37 CFR 1.53(b) with a newly executed oath or declaration by the new inventive entity along with a request for priority under 35 U.S.C. 120 without the need for a decision on the request under 37 CFR 1.48 filed in the parent application.

Should an error in inventorship in a parent application be discovered, whether it is the need to add and/or to delete inventors, when preparing to file a continuing application, the continuing application may be filed under 37 CFR 1.53(b) with the correct inventive entity without the need for a request under 37 CFR 1.48(a) in the parent or continuing application provided the parent application is to be abandoned on filing of the continuing application. In filing the continuing application under 37 CFR 1.53(b), a copy of an oath or declaration from the prior application can only be used where inventors are to be deleted (37 CFR 1.53(b)(1) and 37 CFR 1.63(d)(1)(ii)), but not where inventors are to be added. Where inventors are to be added, a newly executed oath or declaration must be submitted. See 37 CFR 1.63(d)(5).

After discovery of an inventorship error, the application can also be refiled under 37 CFR 1.53(d)(4) as a CPA where inventors are only to be deleted.

In filing a continuing application to correct the inventorship, whether utilizing a copy of the oath or declaration from the prior application under 37 CFR 1.53(b) or a CPA filing under 37 CFR 1.53(d), it is important to recognize that 37 CFR 1.78 requires for priority purposes that the prior application must either have had the filing fee, or the retention fee as set forth in 37 CFR 1.21(l), paid within the period set forth in 37 CFR 1.53(f) so as to establish copendency. See 37 CFR 1.78(a)(1)(iii) and 37 CFR 1.78(a)(1)(iv).

Should a continuing application be filed either under 37 CFR 1.53(b)(1) where a copy of the oath or declaration from the prior application is utilized, or under 37 CFR 1.53(d) as a CPA, and purports to add an inventor, the inventorship of the prior application will be retained in the continuing application as addition of an inventor is not permitted in these instances. The absence of a request to correct the inventorship submitted with the continuing application will not affect the filing date of the continuing application. However, the retained inventorship must then be corrected by the filing of a request under 37 CFR 1.48(a) in the continuing application stating that the error in failing to name the additional inventor in the prior application was without deceptive intention. Where an inventor is to be added, it is recommended that a continuing application be filed under 37 CFR 1.53(b) with a newly executed oath or declaration and not be filed with a copy of the oath or declaration from the prior application. This procedure eliminates the need for a request under 37 CFR 1.48.

An inventorship error discovered while prosecuting a continuing application that occurred in both an abandoned parent application and the continuing

application can be corrected in both applications by filing a single request in the continuing application (e.g., A + B named in parent, B + C named in continuing application, actual inventorship is C +D thereby eliminating inventorship overlap and resulting loss of priority claim under 35 U.S.C. 120 if the error is not corrected in abandoned parent application as well as in continuation application). Absent such loss of inventorship overlap, correction need not be made in the abandoned application.

When entering the national stage under 35 U.S.C. 371, correction of inventorship is via the provisions of 37 CFR 1.48(a). Whereas the first sentence of 37 CFR 1.48(a) refers to errors in the 37 CFR 1.63 oath or declaration, this is analogous to the misnaming of the applicant/inventor in the international application, and the procedure under 37 CFR 1.48(a) applies.

¶ 2.13 Correction of Inventorship Under 37 CFR 1.48(a), Insufficient

The request to correct the inventorship of this nonprovisional application under 37 CFR 1.48(a) is deficient because:

Examiner Note:

1. This form paragraph should only be used in response to requests to correct an error in the naming of the prior inventors in non-provisional applications. If the request is merely to delete an inventor because claims were canceled or amended such that the deleted inventor is no longer an actual inventor of any claim in the application, use form paragraph 2.13.01 instead of this form paragraph.

Potential rejections

A rejection under 35 U.S.C. 102(f) or (g) must be considered if the request is denied.

The grant or denial of the request may result in the loss of inventorship overlap between a parent application and a continuing application and an inability to claim benefit in the continuing application of the parent application's filing date under 35 U.S.C. 120. Intervening references must then be considered.

2. A primary examiner may not decide the request if:

(a) the request is also accompanied by a petition under 37 CFR 1.183 requesting waiver of one of the requirements explicitly set forth in 37 CFR 1.48(a) (typically a refusal of one of the inventors to be added or deleted to execute the required statement of facts) - the request for correction of inventorship and request for waiver of the rules should be forwarded to the Office of Petitions; or

(b) it represents an attempt to effect a second conversion under 37 CFR 1.48(a) - the second attempt must be returned to the TC Director.

3. One or more of form paragraphs 2.13a - 2.13e should follow this form paragraph, as applicable.

4. Where it appears that: 1) the inventor(s) to be added or deleted may be hostile and will not execute a required statement of facts, and 2) the actual inventorship would overlap the original inventorship (37 CFR 1.78), follow this form paragraph with form paragraph 2.13f.

5. Requests under 37 CFR 1.41 to change inventorship where an executed oath or declaration has not been filed are to be acted upon by OIPE.

6. Where there is a correction in a person's name, e.g., due to misspelling, or marriage, a request under 37 CFR 1.48 is inappropriate. See MPEP § 605.04(b) and (c) for name changes.

7. An initial executed oath or declaration under 37 CFR 1.63 may change the inventorship as originally set forth when the application is filed without an executed oath or declaration without request for correction of inventorship (37 CFR 1.48(f)).

¶ 2.13a Statement of Facts Problem (for Use Following FP 2.13, If Applicable)

The statement of facts by an inventor or inventors to be added or deleted does not explicitly state that the inventorship error occurred without deceptive intent on his or her part or cannot be construed to so state.

¶ 2.13b No New Oath or Declaration (for Use Following FP 2.13 or 2.13.02, If Applicable)

An oath or declaration by each actual inventor or inventors listing the entire inventive entity has not been submitted.

¶ 2.13c Required Fee Not Submitted (for Use Following FP 2.13, 2.13.01 or 2.13.02, If Applicable)

It lacks the required fee under 37 CFR 1.17(i).

¶ 2.13d Written Consent Missing (for Use Following FP 2.13 or 2.13.02, If Applicable)

It lacks the written consent of any assignee of one of the originally named inventors.

¶ 2.13e 37 CFR 3.73(b) Submission (for Use Following FP 2.13 or 2.13.02, If Applicable)

A 37 CFR 3.73(b) submission has not been received to support action by the assignee.

¶ 2.13f Hostile Inventor(s)/Inventorship Overlap (for Use Following FP 2.13, If Applicable)

As it appears that a party required by 37 CFR 1.48(a)(2) to submit a statement of facts may not be willing to submit such statement, applicant should consider either: a) submission of a petition under 37 CFR 1.183 to waive that requirement if the original named inventor(s) has assigned the entire right and interest to an assignee who has given its consent to the requested inventorship correction, MPEP § 201.03, Verified Statement of Facts, or b) refiling the application (where addition is needed under 37 CFR 1.53(b) with a new oath or declaration and any necessary petition under 37 CFR 1.47, or where only deletion is needed, either under 37 CFR 1.53(b) utilizing a copy of a prior oath or declaration 37 CFR 1.63(d)(1)(iv), or under 37 CFR 1.53(d)), thereby eliminating the need for a 37 CFR 1.48 request.

¶ 2.13.01 Correction of Inventorship Under 37 CFR 1.48(b), Insufficient

The request for the deletion of an inventor in this nonprovisional application under 37 CFR 1.48(b) is deficient because:

Examiner Note:

1. This form paragraph should only be used when the inventorship was previously correct when originally executed but an inventor is being deleted because claims have been amended or canceled such that he or she is no longer an inventor of any remaining claim in the non-provisional application. If the inventorship is being corrected because of an error in naming the correct inventors, use form paragraph 2.13 instead of this form paragraph.
2. Follow this form paragraph with one or both of form paragraphs 2.13c and 2.13g.
3. See note 1 of form paragraph 2.13, Potential rejections.

¶ 2.13g Statement Under 37 CFR 1.48(b)(2) Problem (for Use Following FP 2.13.01, If Applicable)

The request was not accompanied by the statement required under 37 CFR 1.48 (b)(2).

¶ 2.13.02 Correction of Inventorship Under 37 CFR 1.48(c), Insufficient

The request to correct the inventorship in this nonprovisional application under 37 CFR 1.48(c) requesting addition of an inventor(s) is deficient because:

Examiner Note:

1. This form paragraph should only be used when the inventorship was previously correct when the application was originally executed, but the inventorship now needs to be changed due to subsequent addition of subject matter from the specification to the claims, which subject matter was contributed by a party not originally named as an inventor.
2. See note 2 of form paragraph 2.13.
3. Follow this form paragraph with any of form paragraphs 2.13b-12.13e or 2.13h.
4. See note 1 of form paragraph 2.13.01, Potential rejections.
5. See notes 4-7 of form paragraph 2.13.

¶ 2.13h Statement of Facts, Added Inventor (for Use Following FP 2.13.02, If Applicable)

The statement of facts by the inventor(s) to be added does not explicitly state that the amendment of the inventorship is necessitated by amendment of the claims and that the inventorship error occurred without deceptive intent on the part of the inventor(s) to be added, or cannot be construed to so state.

¶ 2.14 Correction of Inventorship Under 37 CFR 1.48(a) or (c), Sufficient

In view of the papers filed **[1]**, it has been found that this nonprovisional application, as filed, through error and without deceptive intent, improperly set forth the inventorship, and accordingly, this application has been corrected in compliance with 37 CFR 1.48 (**[2]**). The inventorship of this application has been changed by **[3]**.

The application will be forwarded to the Office of Initial Patent Examination (OIPE) for issuance of a corrected filing receipt, and correction of the file jacket and PTO PALM data to reflect the inventorship as corrected.

Examiner Note:

1. In bracket 2, insert --a-- or --c--, as appropriate.
2. In bracket 3, insert explanation of correction made, including addition or deletion of appropriate names.

¶ 2.14.01 Correction of Inventorship Under 37 CFR 1.48(b), Sufficient

In view of the papers filed **[1]**, the inventorship of this nonprovisional application has been changed by the deletion of **[2]**.

The application will be forwarded to the Office of Initial Patent Examination (OIPE) for issuance of a corrected filing receipt, and correction of the file jacket and USPTO PALM data to reflect the inventorship as corrected.

Examiner Note:

1. This form paragraph is to be used only for 37 CFR 1.48(b) corrections.
2. In bracket 2, insert the names of the deleted inventor(s).

37 CFR 1.48(b)

37 CFR 1.48. Correction of inventorship in a patent application, other than a reissue application, pursuant to 35. U.S.C. 116.

*****

(b) *Nonprovisional application—fewer inventors due to amendment or cancellation of claims.* If the correct inventors are named in a nonprovisional application, and the prosecution of the nonprovisional application results in the amendment or cancellation of claims so that fewer than all of the currently named inventors are the actual inventors of the invention being claimed in the nonprovisional application, an amendment must be filed requesting deletion of the name or names of the person or persons who are not inventors of the invention being claimed. If the application is involved in an interference, the amendment must comply with the requirements of this section and must be accompanied by a motion under § 1.634. Amendment of the inventorship requires:

(1) A request, signed by a party set forth in § 1.33(b), to correct the inventorship that identifies the named inventor or inventor's being deleted and acknowledges that the inventor's invention is no longer being claimed in the nonprovisional application; and

(2) The processing fee set forth in § 1.17(i).

*****

37 CFR 1.48(b) provides for deleting the names of persons originally properly included as inventors, but whose invention is no longer being claimed in a nonprovisional application. Such a situation would arise where claims have been amended or deleted during prosecution because they are unpatentable or as a

result of a requirement for restriction of the application to one invention, or for other reasons. A request under 37 CFR 1.48(b) to delete an inventor would be appropriate prior to an action by the TC where it is decided not to pursue particular aspects of an invention attributable to some of the original named inventors.

37 CFR 1.48(b) requires that the amendment be accompanied by: (1) a request including a statement identifying each named inventor who is being deleted and acknowledging that the inventor's invention is no longer being claimed in the application; and (2) a fee under 37 CFR 1.17(i). The statement may be signed by applicant's registered attorney or agent who then takes full responsibility for ensuring that the inventor is not being improperly deleted from the application. Written consent of any assignee is not required for requests filed under 37 CFR 1.48(b).

37 CFR 1.48(c)

37 CFR 1.48. Correction of inventorship in a patent application, other than a reissue application, pursuant to 35. U.S.C. 116.

*****

(c) *Nonprovisional application—inventors added for claims to previously unclaimed subject matter.* If a nonprovisional application discloses unclaimed subject matter by an inventor or inventors not named in the application, the application may be amended to add claims to the subject matter and name the correct inventors for the application. If the application is involved in an interference, the amendment must comply with the requirements of this section and must be accompanied by a motion under § 1.634. Amendment of the inventorship requires:

(1) A request to correct the inventorship that sets forth the desired inventorship change;

(2) A statement from each person being added as an inventor that the addition is necessitated by amendment of the claims and that the inventorship error occurred without deceptive intention on his or her part;

(3) An oath or declaration by the actual inventors as required by § 1.63 or as permitted by §§ 1.42, 1.43, or § 1.47;

(4) The processing fee set forth in § 1.17(i); and

(5) If an assignment has been executed by any of the original named inventors, the written consent of the assignee (see § 3.73(b) of this chapter).

*****

37 CFR 1.48(c) provides for the situation where a nonprovisional application discloses unclaimed subject matter by an inventor or inventors not named in the application when an executed declaration under 37 CFR 1.63 was first filed. In such a situation, the nonprovisional application may be amended pursuant to 37 CFR 1.48(c) to add claims directed to the originally unclaimed but disclosed subject matter and also to name the correct inventors for the application based on the newly added claims. Any claims added to the application must be supported by the disclosure as filed and cannot add new matter.

37 CFR 1.48(c) requires that the amendment must be accompanied by: (1) a request to correct the inventorship that sets forth the desired inventorship change; (2) a statement from each person being added as an inventor that the amendment is necessitated by an amendment to the claims and that the inventorship error occurred without deceptive intention on his or her part; (3) an oath or declaration by each actual inventor; (4) the fee under 37 CFR 1.17(i); and (5) the written consent of any assignee of the original named inventors.

37 CFR 1.48(d)

37 CFR 1.48. Correction of inventorship in a patent application, other than a reissue application, pursuant to 35. U.S.C. 116.

*****

(d) *Provisional application—adding omitted inventors.* If the name or names of an inventor or inventors were omitted in a provisional application through error without any deceptive intention on the part of the omitted inventor or inventors, the provisional application may be amended to add the name or names of the omitted inventor or inventors. Amendment of the inventorship requires:

(1) A request, signed by a party set forth in § 1.33(b), to correct the inventorship that identifies the inventor or inventors being added and states that the inventorship error occurred without deceptive intention on the part of the omitted inventor or inventors; and

(2) The processing fee set forth in § 1.17(q).

*****

37 CFR 1.48(d) provides a procedure for adding the name of an inventor in a provisional application, where the name was originally omitted without deceptive intent.

37 CFR 1.48(d) requires that the amendment be accompanied by: (1) a request to correct the inventorship that sets forth the desired inventorship change; (2) a statement that the inventorship error occurred without deceptive intention on the part of the omitted inventor or inventors; and (3) the fee set forth in

37 CFR 1.17(q). The statement of lack of deceptive intent may be included in the request and may be signed by a registered attorney or agent. A statement of lack of deceptive intent is not required from any of the original or to be added inventors.

37 CFR 1.48(e)

37 CFR 1.48. Correction of inventorship in a patent application, other than a reissue application, pursuant to 35. U.S.C. 116.

*****

(e) *Provisional application—deleting the name or names of the inventor or inventors.* If a person or persons were named as an inventor or inventors in a provisional application through error without any deceptive intention on the part of such person or persons, an amendment may be filed in the provisional application deleting the name or names of the person or persons who were erroneously named. Amendment of the inventorship requires:

(1) A request to correct the inventorship that sets forth the desired inventorship change;

(2) A statement by the person or persons whose name or names are being deleted that the inventorship error occurred without deceptive intention on the part of such person or persons;

(3) The processing fee set forth in § 1.17(q); and

(4) If an assignment has been executed by any of the original named inventors, the written consent of the assignee (see § 3.73(b) of this chapter).

*****

37 CFR 1.48(e) provides a procedure for deleting the name of a person who was erroneously named as an inventor in a provisional application. Under 35 U.S.C. 119(e), as contained in Public Law 103 - 465, a later filed application under 35 U.S.C. 111(a) may claim priority benefits based on a copending provisional application so long as the applications have at least one inventor in common. An error in naming a person as an inventor in a provisional application would not require correction by deleting the erroneously named inventor from the provisional application since this would have no effect upon the ability of the provisional application to serve as a basis for a priority claim under 35 U.S.C. 119(e). However, if applicant chooses to correct the inventive entity of a provisional application, 37 CFR 1.48(e) sets forth the procedures for deleting the name of a person erroneously named as an inventor in a provisional application.

37 CFR 1.48(e) requires that the amendment be accompanied by: (1) a request to correct the inventorship that sets forth the desired inventorship change; (2) a statement of lack of deceptive intent by the person whose name is being deleted establishing that the error occurred without deceptive intention on his or her part; (3) the fee set forth in 37 CFR 1.17(q); and (4) the written consent of any assignee.

37 CFR 1.48(f)

37 CFR 1.48. Correction of inventorship in a patent application, other than a reissue application, pursuant to 35. U.S.C. 116.

*****

(f)(1) *Nonprovisional application—filing executed oath/declaration corrects inventorship.* If the correct inventor or inventors are not named on filing a nonprovisional application under § 1.53(b) without an executed oath or declaration under § 1.63 by any of the inventors, the first submission of an executed oath or declaration under § 1.63 by any of the inventors during the pendency of the application will act to correct the earlier identification of inventorship. See §§ 1.41(a)(4) and 1.497(d) for submission of an executed oath or declaration to enter the national stage under 35 U.S.C. 371 and § 1.494 or § 1.495 naming an inventive entity different from the inventive entity set forth in the international stage.

(2) *Provisional application filing cover sheet corrects inventorship.* If the correct inventor or inventors are not named on filing a provisional application without a cover sheet under § 1.51(c)(1), the later submission of a cover sheet under § 1.51(c)(1) during the pendency of the application will act to correct the earlier identification of inventorship.

*****

37 CFR 1.48(f)(1) and (f)(2) will act to automatically correct an earlier identification of inventorship in a nonprovisional application by the filing of an initial executed oath or declaration and in a provisional application by the filing of an initial cover sheet. A request and fee is not required for the inventorship correction to occur.

The provision in 37 CFR 1.48(f)(1) for changing the inventorship only applies if an executed oath or declaration under 37 CFR 1.63 has not been submitted by any of the inventors. In this situation, the submission of an executed oath or declaration under 37 CFR 1.63 by any of the inventors is sufficient to correct an earlier identification of inventorship. A first-filed oath or declaration under 37 CFR 1.63 executed by less than all of the inventors initially identified will, under 37 CFR 1.48(f)(1), determine the inventorship in the

application. Any subsequent oath or declaration filed by a different inventive entity will not be effective under 37 CFR 1.48(f)(1) to correct the inventorship that was specified in the first-filed oath or declaration.

37 CFR 1.48(f)(1) is not applicable for national stage applications filed under 35 U.S.C. 371 where the inventorship has been erroneously named in the international application. Accordingly, if the inventorship set forth in the oath or declaration filed in the national stage application differs from the inventorship specified in the international application, the oath or declaration must be accompanied by a request under 37 CFR 1.48(a).

37 CFR 1.48(g)

37 CFR 1.48. Correction of inventorship in a patent application, other than a reissue application, pursuant to 35. U.S.C. 116.

*****

(g) *Additional information may be required.* The Office may require such other information as may be deemed appropriate under the particular circumstances surrounding the correction of inventorship.

201.04 Parent Application

The term "parent" is applied to an earlier application of an inventor disclosing a given invention. Such invention may or may not be claimed in the first application. Benefit of the filing date of copending parent application may be claimed under 35 U.S.C. 120. The term parent will not be used to describe a provisional application.

201.04(a) Original Application

"Original" is used in the patent statute and rules to refer to an application which is not a reissue application. An original application may be a first filing or a continuing application.

201.04(b) Provisional Application

35 U.S.C. 111. Application.

*****

(b) PROVISIONAL APPLICATION.—

(1) AUTHORIZATION.—A provisional application for patent shall be made or authorized to be made by the inventor, except as otherwise provided in this title, in writing to the Director. Such application shall include—

(A) a specification as prescribed by the first paragraph of section 112 of this title; and

(B) a drawing as prescribed by section 113 of this title.

(2) CLAIM.—A claim, as required by the second through fifth paragraphs of section 112, shall not be required in a provisional application.

(3) FEE.—

(A) The application must be accompanied by the fee required by law.

(B) The fee may be submitted after the specification and any required drawing are submitted, within such period and under such conditions, including the payment of a surcharge, as may be prescribed by the Director.

(C) Upon failure to submit the fee within such prescribed period, the application shall be regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the fee was unavoidable or unintentional.

(4) FILING DATE.—The filing date of a provisional application shall be the date on which the specification and any required drawing are received in the Patent and Trademark Office.

(5) ABANDONMENT.—Notwithstanding the absence of a claim, upon timely request and as prescribed by the Director, a provisional application may be treated as an application filed under subsection (a). Subject to section 119(e)(3) of this title, if no such request is made, the provisional application shall be regarded as abandoned 12 months after the filing date of such application and shall not be subject to revival after such 12-month period.

(6) OTHER BASIS FOR PROVISIONAL APPLICATION.—Subject to all the conditions in this subsection and section 119(e) of this title, and as prescribed by the Director, an application for patent filed under subsection (a) may be treated as a provisional application for patent.

(7) NO RIGHT OF PRIORITY OR BENEFIT OF EARLIEST FILING DATE.—A provisional application shall not be entitled to the right of priority of any other application under section 119 or 365(a) of this title or to the benefit of an earlier filing date in the United States under section 120, 121, or 365(c) of this title.

(8) APPLICABLE PROVISIONS.—The provisions of this title relating to applications for patent shall apply to provisional applications for patent, except as otherwise provided, and except that provisional applications for patent shall not be subject to sections 115, 131, 135, and 157 of this title.

37 CFR 1.9. Definitions.

(a)(1)A national application as used in this chapter means a U.S. application for patent which was either filed in the Office under 35 U.S.C. 111, or which entered the national stage from an international application after compliance with 35 U.S.C. 371.

(2) A provisional application as used in this chapter means a U.S. national application for patent filed in the Office under 35 U.S.C. 111(b).

(3) A nonprovisional application as used in this chapter means a U.S. national application for patent which was either filed in the Office under 35 U.S.C. 111(a), or which entered the national stage from an international application after compliance with 35 U.S.C. 371.

*****

37 CFR 1.53. Application number, filing date, and completion of application.

*****

(c) *Application filing requirements - Provisional application.* The filing date of a provisional application is the date on which a specification as prescribed by the first paragraph of 35 U.S.C. 112, and any drawing required by § 1.81(a) are filed in the Patent and Trademark Office. No amendment, other than to make the provisional application comply with the patent statute and all applicable regulations, may be made to the provisional application after the filing date of the provisional application.

(1) A provisional application must also include the cover sheet required by § 1.51(c)(1), which may be an application data sheet (§ 1.76), or a cover letter identifying the application as a provisional application. Otherwise, the application will be treated as an application filed under paragraph (b) of this section.

(2) An application for patent filed under paragraph (b) of this section may be converted to a provisional application and be accorded the original filing date of the application filed under paragraph (b) of this section. The grant of such a request for conversion will not entitle applicant to a refund of the fees that were properly paid in the application filed under paragraph (b) of this section. Such a request for conversion must be accompanied by the processing fee set forth in § 1.17(q) and be filed prior to the earliest of:

(i) Abandonment of the application filed under paragraph (b) of this section;

(ii) Payment of the issue fee on the application filed under paragraph (b) of this section;

(iii) Expiration of twelve months after the filing date of the application filed under paragraph (b) of this section; or

(iv) The filing of a request for a statutory invention registration under § 1.293 in the application filed under paragraph (b) of this section.

(3) A provisional application filed under paragraph (c) of this section may be converted to a nonprovisional application filed under paragraph (b) of this section and accorded the original filing date of the provisional application. The conversion of a provisional application to a nonprovisional application will not result in either the refund of any fee properly paid in the provisional application or the application of any such fee to the filing fee, or any other fee, for the nonprovisional application. Conversion of a provisional application to a nonprovisional application under this paragraph will result in the term of any patent to issue from the application being measured from at least the filing date of the provisional application for which conversion is requested. Thus, applicants should consider avoiding this adverse patent term impact by filing a nonprovisional application claiming the benefit of the provisional application under 35 U.S.C. 119(e) (rather than converting the provisional application into a nonprovisional application pursuant to this paragraph). A request to convert a provisional application to a nonprovisional application must be accompanied by the fee set forth in § 1.17(i) and an amendment including at least one claim as prescribed by the second paragraph of 35 U.S.C. 112, unless the provisional application under paragraph (c) of this section otherwise contains at least one claim as prescribed by the second paragraph of 35 U.S.C.112. The nonprovisional application resulting from conversion of a provisional application must also include the filing fee for a nonprovisional application, an oath or declaration by the applicant pursuant to §§ 1.63, 1.162, or 1.175, and the surcharge required by § 1.16(e) if either the basic filing fee for a nonprovisional application or the oath or declaration was not present on the filing date accorded the resulting nonprovisional application (*i.e.*, the filing date of the original provisional application). A request to convert a provisional application to a nonprovisional application must also be filed prior to the earliest of:

(i) Abandonment of the provisional application filed under paragraph (c) of this section; or

(ii) Expiration of twelve months after the filing date of the provisional application filed under this paragraph (c).

(4) A provisional application is not entitled to the right of priority under 35 U.S.C. 119 or 365(a) or § 1.55, or to the benefit of an earlier filing date under 35 U.S.C. 120, 121 or 365(c) or § 1.78 of any other application. No claim for priority under 35 U.S.C. 119(e) or § 1.78(a)(4) may be made in a design application based on a provisional application. No request under § 1.293 for a statutory invention registration may be filed in a provisional application. The requirements of §§ 1.821 through 1.825 regarding application disclosures containing nucleotide and/or amino acid sequences are not mandatory for provisional applications.

*****

One of the provisions of the Uruguay Round Agreements Act which is effective as of June 8, 1995, is the establishment of a domestic priority system. The Act provides a mechanism to enable domestic applicants to quickly and inexpensively file provisional applications. Under the provisions of 35 U.S.C. 119(e), applicants are entitled to claim the benefit of priority in a given application in the United States. The domestic priority period will not count in the measurement of the 20-year patent term. See 35 U.S.C. 154(a)(3). Thus, domestic applicants are placed on equal footing with foreign applicants with respect to the patent term.

The parts of a provisional application that are required are set forth in 37 CFR 1.51(c) and MPEP § 601.01(b). The filing date of a provisional application is the date on which (1) a specification which complies with 35 U.S.C. 112, first paragraph, and (2) any drawing required by 37 CFR 1.81(a) are filed. A provisional application must also include a cover

sheet or cover letter identifying the application as a provisional application. Otherwise, the application will be treated as an application filed under 37 CFR 1.53(b). The filing fee is set forth in 37 CFR 1.16(k).

NOTE:

(A) No claim is required in a provisional application.

(B) No oath or declaration is required in a provisional application.

(C) Provisional applications will not be examined for patentability, placed in an interference, or made the subject of a statutory invention registration.

A provisional application will automatically be abandoned 12 months after its filing date and will not be subject to revival to restore it to pending status thereafter. See 35 U.S.C. 111(b)(5). Public Law 106-113 amended 35 U.S.C. 119(e)(3) to extend the period of pendency of a provisional application to the next succeeding business day if the day that is 12 months after the filing date of a provisional application falls on a Saturday, Sunday, or Federal holiday within the District of Columbia. See also 37 CFR 1.7(b). 35 U.S.C. 119(e)(3) as amended by Public Law 106-113 is effective as of November 29, 1999 and applies to any provisional applications filed on or after June 8, 1995 but has no effect on any patent which is the subject of litigation in an action commenced before November 29, 1999.

For example, if a provisional application was filed on January 15, 1999, the last day of pendency of the provisional application under 35 U.S.C. 111(b)(5) and 35 U.S.C. 119(e)(3) is extended to January 18, 2000 (January 15, 2000 is a Saturday and Monday, January 17, 2000 is a Federal holiday and therefore, the next succeeding business day is Tuesday, January 18, 2000). A nonprovisional application claiming the benefit of the provisional application must be filed no later than January 18, 2000.

A provisional application is not entitled to claim priority benefits based on any other application under 35 U.S.C. 119, 120, 121, or 365. If applicant attempts to claim the benefit of an earlier U.S. or foreign application in a provisional application, the filing receipt will not reflect the improper priority claim. Moreover, if a nonprovisional application claims the benefit of the filing date of a provisional application, and states that the provisional application relies upon the filing date of an earlier application, the claim for priority earlier than the filing date of the provisional application will be disregarded.

An application filed under 37 CFR 1.53(b) may be converted to a provisional application provided a petition requesting the conversion is submitted along with the fee as set forth in 37 CFR 1.17(q). The petition and fee must be submitted prior to the earlier of the abandonment of the nonprovisional application, the payment of the issue fee, the expiration of 12 months after the filing date of the nonprovisional application, or the filing of a request for statutory invention registration. The grant of any such petition will not entitle applicant to a refund of the fees which were properly paid in the application filed under 37 CFR 1.53(b). See MPEP § 601.01(c)

Public Law 106-113 amended 35 U.S.C. 111(b)(5) to permit a provisional application filed under 37 CFR 1.53(c) be converted to a nonprovisional application filed under 37 CFR 1.53(b). 35 U.S.C. 111(b)(5) as amended by Public Law 106-113 is effective as of November 29, 1999 and applies to any provisional applications filed on or after June 8, 1995. A request to convert a provisional application to a nonprovisional application must be accompanied by the fee set forth in 37 CFR 1.17(i) and an amendment including at least one claim as prescribed by 35 U.S.C. 112, unless the provisional application otherwise contains at least one such claim. The request must be filed prior to the earliest of the abandonment of the provisional application or the expiration of twelve months after the filing date of the provisional application. The filing fee for a nonprovisional application, an executed oath or declaration under 37 CFR 1.63, and the surcharge under 37 CFR 1.16(e), if appropriate, are also required. The grant of any such request will not entitle applicant to a refund of the fees which were properly paid in the application filed under 37 CFR 1.53(c). Conversion of a provisional application to a nonprovisional application will result in the term of any patent issuing from the application being measured from at least the filing date of the provisional application. This adverse patent term impact can be avoided by filing a nonprovisional application claiming the benefit of the provisional application under 35 U.S.C. 119(e), rather than requesting conversion of the provisional application to a nonprovisional application. See 37 CFR 1.53(c)(3).

Design applications may not make a claim for priority of a provisional application under 35 U.S.C. 119(e). See 35 U.S.C. 172 and 37 CFR 1.78(a)(4).

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PTO/SB/16 (02-01)
Approved for use through10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

PROVISIONAL APPLICATION FOR PATENT COVER SHEET

This is a request for filing a PROVISIONAL APPLICATION FOR PATENT under 37 CFR 1.53(c).

Express Mail Label No.

INVENTOR(S)

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

☐ *Additional inventors are being named on the ___ separately numbered sheets attached hereto*

TITLE OF THE INVENTION (280 characters max)

Direct all correspondence to: **CORRESPONDENCE ADDRESS**

☐ Customer Number [ ] → *Place Customer Number Bar Code Label here*

OR *Type Customer Number here*

☐ Firm *or* Individual Name					
Address					
Address					
City		State		ZIP	
Country		Telephone		Fax	

ENCLOSED APPLICATION PARTS ***(check all that apply)***

☐ Specification *Number of Pages* [ ]
☐ Drawing(s) *Number of Sheets* [ ]
☐ Application Data Sheet. See 37 CFR 1.76
☐ CD(s), Number [ ]
☐ Other (specify) [ ]

METHOD OF PAYMENT OF FILING FEES FOR THIS PROVISIONAL APPLICATION FOR PATENT

☐ Applicant claims small entity status. See 37 CFR 1.27.
☐ A check or money order is enclosed to cover the filing fees
☐ The Commissioner is hereby authorized to charge filing fees or credit any overpayment to Deposit Account Number: [ ]
☐ Payment by credit card. Form PTO-2038 is attached.

FILING FEE AMOUNT ($) [ ]

The invention was made by an agency of the United States Government or under a contract with an agency of the United States Government.

☐ No.
☐ Yes, the name of the U.S. Government agency and the Government contract number are: _____

Respectfully submitted,

Date / /

SIGNATURE _____

TYPED or PRINTED NAME _____

TELEPHONE _____

REGISTRATION NO. *(if appropriate)* [ ]
Docket Number: [ ]

USE ONLY FOR FILING A PROVISIONAL APPLICATION FOR PATENT

This collection of information is required by 37 CFR 1.51. The information is used by the public to file (and by the PTO to process) a provisional application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 8 hours to complete, including gathering, preparing, and submitting the complete provisional application to the PTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Box Provisional Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

PROVISIONAL APPLICATION COVER SHEET

Additional Page

PTO/SB/16 (02-01)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Docket Number		Type a plus sign (+) inside this box →	

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

Number ____ of ____

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

201.05 Reissue Application

A reissue application is an application for a patent to take the place of an unexpired patent that is defective in some one or more particulars. A detailed treatment of reissues will be found in Chapter 1400.

201.06 Division Application

A later application for an independent or distinct invention, carved out of a pending application and disclosing and claiming only subject matter disclosed in the earlier or parent application, is known as a divisional application or "division." It may be filed pursuant to 37 CFR 1.53(b) or 1.53(d). 37 CFR 1.60 and 1.62 have been deleted as of December 1, 1997. The practices set forth in former 37 CFR 1.60 and former 1.62 have been incorporated into 37 CFR 1.53(b) and 1.53(d), respectively. Continued prosecution application (CPA) practice set forth in 37 CFR 1.53(d) has replaced the file wrapper continuing (FWC) practice set forth in former 37 CFR 1.62. Therefore, divisional applications previously filed under 37 CFR 1.60 or 1.62 should now be filed under 37 CFR 1.53(b) or 1.53(d). Both the parent and divisional applications must have at least one common applicant. The divisional application should set forth at least that portion of the earlier disclosure which is germane to the invention as claimed in the divisional application. In order to file a divisional application under 37 CFR 1.53(d), the prior nonprovisional application must be: (A) a utility or plant application that was filed under 35 U.S.C. 111(a) before May 29, 2000, and is complete as defined by 37 CFR 1.51(b); (B) a design application that is complete as defined by 37 CFR 1.51(b); or (C) the national stage of an international application that was filed under 35 U.S.C. 363 before May 29, 2000, and is in compliance with 35 U.S.C. 371. See 37 CFR 1.53(d)(1). Divisional applications of utility or plant applications filed on or after May 29, 2000 should be filed under 37 CFR 1.51(b). An application claiming the benefits of a provisional application under 35 U.S.C. 119(e) should not be called a "division" of the provisional application since the application will have its patent term calculated from its filing date, whereas an application filed under 35 U.S.C. 120, 121, or 365(c) will have its patent term calculated from the date on which the earliest application was filed, provided a specific reference is made to the earlier filed application(s). 35 U.S.C. 154(a)(2) and (a)(3).

In the interest of expediting the processing of newly filed divisional applications, filed as a result of a restriction requirement, applicants are requested to include the appropriate U.S. Patent and Trademark Office classification of the divisional application and the status and location of the parent application, on the papers submitted. The appropriate classification for the divisional application may be found in the Office communication of the parent application wherein the requirement was made. It is suggested that this classification designation be placed in the upper right hand corner of the letter of transmittal accompanying these divisional applications or in an application data sheet as set forth in 37 CFR 1.76(b)(3).

Use form paragraph 2.01 to remind applicant of possible division status.

¶ 2.01 Definition of Division

This application appears to be a division of Application No. **[1]**, filed **[2]**. A later application for a distinct or independent invention, carved out of a pending application and disclosing and claiming only subject matter disclosed in the earlier or parent application, is known as a divisional application or "division." The divisional application should set forth only that portion of the earlier disclosure which is germane to the invention as claimed in the divisional application.

Examiner Note:

1. In bracket 1, insert the Application No.(series code and serial no.) of the parent application.
2. In bracket 2, insert the filing date of the parent application.
3. An application claiming the benefits of a provisional application under 35 U.S.C. 119(e) should not be called a "division" of the provisional application since the application will have its patent term calculated from its filing date, whereas an application filed under 35 U.S.C. 120, 121, or 365(c) will have its term calculated from the date on which the earliest application was filed, provided a specific reference is made to the earlier filed application(s), 35 U.S.C. 154(a)(2) and (a)(3).

A design application may be considered to be a division of a utility application (but not of a provisional application), and is entitled to the filing date thereof if the drawings of the earlier filed utility application show the same article as that in the design application sufficiently to comply with 35 U.S.C. 112, first paragraph. However, such a divisional design application may only be filed under the procedure set forth in 37 CFR 1.53(b) not under 37 CFR 1.53(d). Note that 37 CFR 1.60 and 37 CFR 1.62

have been deleted as of December 1, 1997. See MPEP § 1504.20.

While a divisional application may depart from the phraseology used in the parent application there may be no departure therefrom in substance or variation in the disclosure that would amount to "new matter" if introduced by amendment into the parent application. Compare MPEP § 201.08 and § 201.11.

For notation to be put on the file wrapper by the examiner in the case of a divisional application, see MPEP § 202.02.

201.06(a) Former 37 CFR 1.60 Divisional-Continuation Procedure

[Note: 37 CFR 1.60 was deleted effective December 1, 1997. See 1203 O.G. 63, October 21, 1997. A continuation or divisional application filed under 37 CFR 1.60 on or after December 1, 1997, will automatically be treated as an application filed under 37 CFR 1.53(b). All continuation and divisional applications filed under 37 CFR 1.60 prior to December 1, 1997 will continue to be processed and examined under the procedures set forth in former 37 CFR 1.60. Thus, the following discussion of divisional-continuation practice under former 37 CFR 1.60 is being retained in the MPEP and all references to the rules in this section are directed to the rules that were in effect prior to December 1, 1997.]

37 CFR 1.60. Continuation or divisional application for invention disclosed in a prior nonprovisional application

(a) [Reserved]

(b) An applicant may omit signing of the oath or declaration in a continuation or divisional application (filed under the conditions specified in 35 U.S.C.120 or 121 and § 1.78(a)) if:

(1) the prior application was a nonprovisional application and a complete application as set forth in § 1.51(a)(1);

(2) applicant indicates that the application is being filed pursuant to this section and files a true copy of the prior complete application as filed including the specification (with claims), drawings, oath or declaration showing the signature or an indication it was signed, and any amendments referred to in the oath or declaration filed to complete the prior application;

(3) the inventors named in the continuation or divisional application are the same or less than all the inventors named in the prior application; and

(4) the application is filed before the patenting, or abandonment of, or termination of proceedings on the prior application. The copy of the prior application must be accompanied by a statement that the application papers filed are a true copy of the prior complete application. Such statement must be by the applicant or applicant's attorney or agent and must be a verified statement if made by a person not registered to practice before the Patent and Trademark Office. Only amendments reducing the number of claims or adding a reference to the prior application (§ 1.78(a)) will be entered before calculating the filing fee and granting the filing date. If the continuation or divisional application is filed by less than all the inventors named in the prior application, a statement must accompany the application when filed requesting deletion of the names of the person or persons who are not inventors of the invention being claimed in the continuation or divisional application. Except as provided in paragraph (d) of this section, if a true copy of the prior application as filed is not filed with the application or if the statement that the application papers are a true copy is omitted, the application will not be given a filing date earlier than the date upon which the copy and statement are filed, unless a petition with the fee set forth in § 1.17(i) is filed which satisfactorily explains the delay in filing these items.

(c) If an application filed pursuant to paragraph (b) of this section is incomplete for reasons other than those specified in paragraph (d) of this section, applicant will be notified and given a time period within which to complete the application in order to obtain a filing date as of the date of filing the omitted item provided the omitted item is filed before patenting or abandonment of or termination of proceedings on the prior application. If the omission is not corrected within the time period set, the application will be returned or otherwise disposed of; the fee, if submitted, will be refunded less the handling fee set forth in § 1.21(n).

(d) If an application filed pursuant to paragraph (b) of this section is otherwise complete, but does not include the appropriate filing fee or a true copy of the oath or declaration from the prior complete application, showing the signature or an indication it was signed, a filing date will be granted and applicant will be so notified and given a period of time within which to file the fee, or the true copy of the oath or declaration and to pay the surcharge as set forth in § 1.16(e) in order to prevent abandonment of the application. The notification pursuant to this paragraph may be made simultaneously with any notification pursuant to paragraph(c) of this section.

37 CFR 1.60 PRACTICE

The 37 CFR 1.60 practice was developed to provide a procedure for filing a continuation or divisional application where hardships existed in obtaining the signature of the inventor on such an application during the pendency of the prior nonprovisional application. It is suggested that the use of the 37 CFR 1.60 practice be limited to such instances in view of the additional work required by the Office to enter preliminary amendments. If no hardship exists in obtaining the signature of the inventor, the application should be filed under 37 CFR 1.53(b)(1) not under 37 CFR 1.60. It is pointed out that a continuation or

divisional application may be filed under 37 CFR 1.53(b)(1), 37 CFR 1.60, or 37 CFR 1.62. 37 CFR 1.60 or 37 CFR 1.62 practice may not be used when filing an application where the immediate prior application was a provisional application under 35 U.S.C. 119(e).

37 CFR 1.60 practice permits persons having authority to prosecute a prior copending nonprovisional application to file a continuation or divisional application without requiring the inventor to again execute an oath or declaration under 35 U.S.C. 115, if the continuation or divisional application is an exact copy of the prior nonprovisional application as executed and filed. It is not necessary to file a new oath or declaration which includes a reference to the nonfiling of an application for an inventor's certificate in 37 CFR 1.60 applications filed after May 1, 1975. Likewise, it is not necessary to have the inventor sign a new oath or declaration merely to include a reference to the duty of disclosure if the parent application was filed prior to January 1, 1978, or to indicate that the inventor has reviewed and understands the contents of the application if the parent application was filed prior to October 1, 1983.

Where the immediate prior nonprovisional application was not signed (for example, where it was filed under the former 37 CFR 1.147 or current 37 CFR 1.60 or 37 CFR 1.62 practice), a copy of the most recent nonprovisional application having a signed oath or declaration in the chain of copending prior nonprovisional applications under 35 U.S.C. 120 must be used.

The basic concept of 37 CFR 1.60 practice is that since the inventor has already made the affirmation required by 35 U.S.C. 115, it is not necessary to make another affirmation in a later application that discloses and claims only the same subject matter. It is for this reason that a 37 CFR 1.60 application must be an exact duplicate of an earlier nonprovisional application executed by the inventor. It is permissible to retype pages to provide clean copies.

37 CFR 1.60 APPLICATION CONTENT

As mentioned previously, a 37 CFR 1.60 application must consist of a copy of an executed nonprovisional application as filed (specification, claims, drawings, and oath or declaration). The application must also include a clear indication that a filing under 37 CFR 1.60 is desired. The use of transmittal form PTO/SB/13 is urged since it acts as a checklist for both applicant and the Office and includes a specific request for an application under 37 CFR 1.60. If an application is filed under 37 CFR 1.60, all requirements of that rule must be met.

Although a copy of all original claims in the prior nonprovisional application must appear in the 37 CFR 1.60 application, some of the claims may be canceled by request in the 37 CFR 1.60 application in order to reduce the filing fee (see form PTO/SB/13, item 5). Any preliminary amendment presenting additional claims (claims not in the prior application as filed) should accompany the request for filing an application under 37 CFR 1.60, but such an amendment will not be entered until after the filing date has been granted. Any claims added by amendment should be numbered consecutively beginning with the number next following the highest numbered original claim in the prior executed nonprovisional application. The Office of Initial Patent Examination should not review preliminary amendments (in the transmitted letter or separate paper accompanying the application) for evidence of missing claims in applications filed under 37 CFR 1.60. Any errors in the numbering of claims in preliminary amendment(s) can be corrected in the examining groups. Amendments made in the prior nonprovisional application do not carry over into the 37 CFR 1.60 application. Any preliminary amendment should accompany the 37 CFR 1.60 application and be directed to "the accompanying 37 CFR 1.60 application" and not to the prior nonprovisional application. Applicants should submit preliminary amendments on filing or promptly thereafter to assure examiner consideration when the 37 CFR 1.60 application is picked up for examination.

All application copies must comply with 37 CFR 1.52 and must be on paper which permits entry of amendments thereon in ink.

A copy of the nonprovisional application must be prepared and submitted by the applicant, or his or her attorney or agent, and include a statement that it is a true copy. The copy of the oath or declaration need not show a copy of the inventor's or notary's signature provided that all other data is shown and an indication is made on the oath or declaration that the oath or declaration has been signed. For example, if the inventor's or notary's signature is not shown on the copy of

the oath or declaration, the notation "/s/" may be added to the copy of the oath or declaration on the line provided for the signature to indicate that the original oath or declaration was signed.

In order to obtain a filing date under 37 CFR 1.60 a copy of all pages of the application, including description, claims, any drawings, and the statement that the application papers are a true copy of the prior application are required to be submitted. If all these items are not submitted, remedy is by way of petition under 37 CFR 1.60(b) and payment of the fee under 37 CFR 1.17(i). Paragraph (d) of 37 CFR 1.60 which was added effective Jan. 4, 1993, provides for the filing fee and/or true copy of the oath or declaration from the prior nonprovisional application to be filed on a date later than the filing date with payment of the surcharge set forth in 37 CFR 1.16(e).

Claims for priority rights under 35 U.S.C. 119(a)-(d) must be made in 37 CFR 1.60 applications if it is desired to have the foreign priority data appear on the issued patent. *In re Van Esdonk*, 187 USPQ 671 (Comm'r Pat. 1975). Reference should be made to certified copies filed in a prior application if reliance thereon is made.

If the claims presented by amendment in a 37 CFR 1.60 application are directed to matter shown and described in the prior nonprovisional application but not substantially embraced in the statement of invention or claims originally presented, the applicant should file a supplemental oath or declaration under 37 CFR 1.67 as promptly as possible.

In view of the fact that 37 CFR 1.60 applications are limited to continuations and divisions, no new matter may be introduced in a 37 CFR 1.60 application, 35 U.S.C. 132. Continuation-in-part applications may only be filed under 37 CFR 1.53(b)(1) or 37 CFR 1.62.

A statement to the effect that the submitted copy is believed to be a true copy of the prior nonprovisional application as filed to the best of his or her information and belief is sufficient, if an explanation is made as to why the statement must be based only on belief.

If the 37 CFR 1.60 application is being filed by less than all the inventors named in the prior nonprovisional application, a statement must accompany the application, when it is filed, requesting deletion of the names of the person or persons who are not inventors of the invention being claimed in the 37 CFR 1.60 application. For example, this situation could occur when a divisional application is being filed directed to one of the inventions disclosed and claimed in the prior nonprovisional application. No petition under 37 CFR 1.48 for correction of inventorship is required when filing under 37 CFR 1.60 unless there was an error in the omission of a named inventor in the prior nonprovisional application which was not corrected prior to the filing of the 37 CFR 1.60 application.

If the inventorship shown on the original oath or declaration has been changed and approved during the prosecution of the prior nonprovisional application, the 37 CFR 1.60 application papers must indicate such a change has been made and approved by providing a copy of the petition for correction of inventorship under 37 CFR 1.48 in order that the changed inventorship may be indicated in the 37 CFR 1.60 application. The 37 CFR 1.60 application papers should also include any additions or changes in an inventor's citizenship, residence or post office address made and approved in the prior nonprovisional application.

If small entity status has been established in a parent application, it is not necessary to again file a statement under 37 CFR 1.27 if the small entity status is desired in a 37 CFR 1.60 application. The 37 CFR 1.60 application must, however, include a reference to the statement in the parent application if the small entity, status is still proper and desired (37 CFR 1.28(a)).

If the parent application was filed by other than the inventor under 37 CFR 1.47, a copy of <u>all</u> the petition papers filed under 37 CFR 1.47 must also be filed.

FORMAL DRAWINGS REQUIRED

Formal drawings are required in 37 CFR 1.60 applications as in other applications. A request to transfer drawings from a prior nonprovisional application does not relieve the applicant from the obligation to file a copy of the drawings originally filed in the prior nonprovisional application. If informal drawings are filed with the application papers, the examiner should use form paragraph 2.02 for formal drawing requirement.

¶ 2.02 Former 37 CFR 1.60, Drawing Requirement

This application, filed under former 37 CFR 1.60, lacks formal drawings. The informal drawings filed in this application are acceptable for examination purposes. When the application is

allowed, applicant will be required to submit new formal drawings. In unusual circumstances, the formal drawings from the abandoned parent application may be transferred by the grant of a petition under 37 CFR 1.182.

Examiner Note:

This form paragraph is to be used only when the parent application contains approved formal drawings and has been abandoned.

Any drawing corrections requested but not made in the prior nonprovisional application should be repeated in the 37 CFR 1.60 application if such changes are still desired.

Use form paragraph 2.04 for instructions to applicant where drawing corrections have been requested in the parent application.

¶ 2.04 Correction of Drawings in Former 37 CFR 1.60 Cases

The drawings in this application are objected to by the Draftsperson as informal. Any drawing corrections requested, but not made in the prior application, should be repeated in this application if such changes are still desired. If the drawings were changed and approved during the prosecution of the prior application, a petition may be filed under 37 CFR 1.182 requesting the transfer of such drawings, provided the parent application has been abandoned. However, a copy of the drawings as originally filed must be included in the 37 CFR 1.60 application papers to indicate the original content.

Examiner Note:

Use form paragraphs 6.39 and 6.40 with this paragraph.

COPIES OF AFFIDAVITS

Affidavits and declarations, such as those under 37 CFR 1.131 and 37 CFR 1.132 filed during the prosecution of the prior nonprovisional application do not automatically become a part of the 37 CFR 1.60 application. Where it is desired to rely on an earlier filed affidavit, the applicant should make such remarks of record in the 37 CFR 1.60 application and include a copy of the original affidavit filed in the prior nonprovisional application.

Use form paragraph 2.03 for instructions to applicant concerning affidavits and declarations in the parent application.

¶ 2.03 Affidavits or Declarations in Parent Application

Applicant refers to an affidavit or declaration filed in the parent application. Affidavits or declarations, such as those submitted under 37 CFR 1.131 and 37 CFR 1.132, filed during the prosecution of the parent application do not automatically become a part of this application. Where it is desired to rely on an earlier filed affidavit or declaration, the applicant should make the remarks of record in the later application and include a copy of the original affidavit or declaration filed in the parent application.

Examiner Note:

This form paragraph is to be used in applications filed under 37 CFR 1.53(b) and former 37 CFR 1.60. Do not use this form paragraph in applications filed under 37 CFR 1.53(d) and former 37 CFR 1.62 applications, since affidavits and/or declarations, such as those submitted under 37 CFR 1.131 and 37 CFR 1.132 filed during the prosecution of the parent nonprovisional application automatically become a part of the 37 CFR 1.53(d) and former 37 CFR 1.62 applications.

ABANDONMENT OF THE PRIOR NONPROVISIONAL APPLICATION

Under 37 CFR 1.60 practice the prior nonprovisional application is not automatically abandoned upon filing of the 37 CFR 1.60 application. If the prior nonprovisional application is to be expressly abandoned, such a paper must be signed in accordance with 37 CFR 1.138. A registered attorney or agent not of record acting in a representative capacity under 37 CFR 1.34(a) may also expressly abandon a prior nonprovisional application as of the filing date granted to a continuing application when filing such a continuing application.

If the prior nonprovisional application which is to be expressly abandoned has a notice of allowance issued therein, the prior nonprovisional application can become abandoned by the nonpayment of the issue fee. However, once an issue fee has been paid in the prior application, even if the payment occurs following the filing of a continuation application under 37 CFR 1.60, a petition to withdraw the prior nonprovisional application from issue must be filed before the prior nonprovisional application can be abandoned (37 CFR 1.313).

If the prior nonprovisional application which is to be expressly abandoned is before the Board of Patent Appeals and Interferences, a separate notice should be forwarded by the applicant to such Board, giving notice thereof.

After a decision by the Court of Appeals for the Federal Circuit (CAFC) in which the rejection of all claims is affirmed, proceedings are terminated on the date of receipt of the Court's certified copy of the decision by the Patent and Trademark Office. *Continental Can Company, Inc., v. Schuyler,* 168 USPQ 625 (D.D.C. 1970). See MPEP § 1216.01.

EXAMINATION

The practice relating to making first action rejections final applies also to 37 CFR 1.60 applications. See MPEP § 706.07(b).

Any preliminary amendment filed with a 37 CFR 1.60 application which is to be entered after granting of the filing date should be entered by the technical support staff of the Technology Center (TC) where the application is finally assigned to be examined. Any errors in the numbering of claims in preliminary amendment(s) can be corrected in the examining groups. Accordingly, these applications should be classified and assigned to the proper TC by taking into consideration the claims that will be before the examiner upon entry of such a preliminary amendment.

If the examiner finds that a filing date has been granted erroneously because the application was incomplete, e.g., pages of specification missing or drawing sheets missing, the application should be returned to the Office of Initial Patent Examination (OIPE) via the Office of Petitions.

Form PTO/SB/13 is designed as an aid for use by both applicant and the U.S. Patent and Trademark Office and should simplify filing and processing of applications under 37 CFR 1.60.

PTO/SB/13 (11-96)
Approved for use through 6/30/99. OMB 0651-0033
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

REQUEST FOR FILING A PATENT APPLICATION UNDER 37 CFR 1.60

DOCKET NUMBER	ANTICIPATED CLASSIFICATION OF THIS APPLICATION		PRIOR APPLICATION EXAMINER	ART UNIT
	CLASS	SUBCLASS		

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

This is a request for filing a ☐ continuation ☐ divisional application under 37 CFR 1.60, of pending prior Application Number ____ / _____, filed on _____ entitled _____

_____

1. Enclosed is a copy of the latest inventor-signed prior application, including a copy of the oath or declaration showing the original signature or an indication it was signed. I hereby verify that the papers are a true copy of the latest signed prior application number ____ / _____, and further that all statements made herein of my own knowledge are true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c))	- 20 =		x $_____ =	$
	INDEPENDENT CLAIMS (37 CFR 1.16(b))	- 3 =		x $_____ =	
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			+ $_____ =	
			BASIC FEE (37 CFR 1.16(a))		+
			Total of above Calculations =		
	Reduction by 50% for filing by small entity (Note 37 CFR 1.9, 1.27, 1.28).				
				TOTAL =	

2. ☐ A verified statement to establish small entity status under 37 CFR 1.9 and 1.27
   ☐ is enclosed.
   ☐ was filed in prior application number ____ / _____ and such status is still proper and desired (37 CFR 1.28(a)).
3. ☐ The Commissioner is hereby authorized to charge any fees which may be required under 37 CFR 1.16 and 1.17, or credit any overpayment to Deposit Account No. _____. A duplicate copy of this sheet is enclosed.
4. ☐ A check in the amount of $ _____ is enclosed.
5. ☐ Cancel in this application original claims _____ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
6. ☐ The inventor(s) of the invention being claimed in this application is (are):
7. ☐ This application is being filed by less than all the inventors named in the prior application. In accordance with 37 CFR 1.60(b), the Commissioner is requested to delete the name(s) of the following person or persons who are not inventors of the invention being claimed in this application:
8. ☐ Amend the specification by inserting before the first line the sentence: "This application is a ☐ continuation ☐ division of application number ___ / _____, filed _____, (status, abandoned, pending, etc.)."

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 0.5 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTO/SB/13 (11-96)
Approved for use through 6/30/99. OMB 0651-0033
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

(REQUEST FOR FILING A PATENT APPLICATION UNDER 37 CFR 1.60, PAGE 2)

9. ☐ New formal drawings are enclosed.

10. ☐ Priority of foreign application number _____, filed on _____ in _____ is claimed under 35 U.S.C. 119(a) - (d).
    ☐ The certified copy has been filed in prior application number ___/_____, filed _____.

11. ☐ A preliminary amendment is enclosed.

12. ☐ The prior application is assigned of record to _____

13. ☐ Also enclosed:

14. ☐ The power of attorney in the prior application is to: _____

    a. ☐ The power of attorney appears in the original papers in the prior application.

    b. ☐ Since the power does not appear in the original papers, a copy of the power in the prior application is enclosed.

    c. ☐ Address all future correspondence to: (May only be completed by applicant, or attorney or agent of record.)

☐ Customer Number [ ] → *Place Customer Number Bar Code Label here*
OR *Type Customer Number here*
☐ Firm or Individual Name

Address
Address
City State ZIP
Country
Telephone Fax

Date Signature
Typed or printed name

☐ Inventor(s)
☐ Assignee of complete interest. Certification under 37 CFR 3.73(b) is enclosed.
☐ Attorney or agent of record
☐ Filed under 37 CFR 1.34(a)
Registration number if acting under 37 CFR 1.34(a). _____

[Page 2 of 2]

201.06(b) Former 37 CFR 1.62 File Wrapper Continuing Procedure

[Note: 37 CFR 1.62 was deleted effective December 1, 1997. See 1203 O.G. 63, October 21, 1997. A continuation or divisional application filed under former 37 CFR 1.62 on or after December 1, 1997, will be treated as an application filed under 37 CFR 1.53(d) unless the application is a utility or plant application filed on or afer May 29, 2000, in which case it will be treated as a request for continued examination (RCE) under 37 CFR 1.11, see MPEP 706.07(h), paragraph IV. If the application filed on or after December 1, 1997, under former 37 CFR 1.62 is a continuation-in-part (CIP) application, the application will be treated as an improper application. In which case, the applicant will be notified and given an opportunity to file a petition under 37 CFR 1.53(e) to have the application converted to an application filed under 37 CFR 1.53(b).

A petition under 37 CFR 1.53(e) to accept and treat an improper application filed under former 37 CFR 1.62 as a proper application filed under 37 CFR 1.53(b) must include: (1) the $130.00 petition fee; (2) a true copy of the complete nonprovisional application, as filed, designated as the prior nonprovisional application in the application papers filed under former 37 CFR 1.62; (3) any amendments entered in the prior nonprovisional application; (4) any amendments submitted but not entered in the prior nonprovisional application and directed to be entered in the application papers filed under former 37 CFR 1.62; and (5) an executed oath or declaration under 37 CFR 1.63, if one has not already been submitted with the application papers filed under former 37 CFR 1.62.

All continuation, divisional and CIP applications filed under former 37 CFR 1.62 prior to December 1, 1997, will continue to be processed and examined under the procedures set forth in former 37 CFR 1.62. Thus, the following discussion of former 37 CFR 1.62 practice is being retained in the MPEP and all references to the rules in this section are directed to the rules that were in effect prior to December 1, 1997.]

37 CFR 1.62. File wrapper continuing procedure

(a) A continuation, continuation-in-part, or divisional application, which uses the specification, drawings and oath or declaration from a prior nonprovisional application which is complete as defined by § 1.51(a)(1), and which is to be abandoned, may be filed under this section before the payment of the issue fee, abandonment of, or termination of proceedings on the prior application, or after payment of the issue fee if a petition under § 1.313(b)(5) is granted in the prior application. The filing date of an application filed under this section is the date on which a request is filed for an application under this section including identification of the application number and the names of the inventors named in the prior complete application. If the continuation, continuation-in-part, or divisional application is filed by less than all the inventors named in the prior application a statement must accompany the application when filed requesting deletion of the names of the person or persons who are not inventors of the invention being claimed in the continuation, continuation-in-part, or divisional application.

(b) The filing fee for a continuation, continuation-in-part, or divisional application under this section is based on the number of claims remaining in the application after entry of any preliminary amendment and entry of any amendments under § 1.116 unentered in the prior application which applicant has requested to be entered in the continuing application.

(c) In the case of a continuation-in-part application which adds and claims additional disclosure by amendment, an oath or declaration as required by § 1.63 must also be filed. In those situations where a new oath or declaration is required due to additional subject matter being claimed, additional inventors may be named in the continuing application. In a continuation or divisional application which discloses and claims only subject matter disclosed in a prior application, no additional oath or declaration is required and the application must name as inventors the same or less than all the inventors named in the prior application.

(d) If an application which has been accorded a filing date pursuant to paragraph (a) of this section does not include the appropriate basic filing fee pursuant to paragraph (b) of this section, or an oath or declaration by the applicant in the case of a continuation-in-part application pursuant to paragraph (c) of this section, applicant will be so notified and given a period of time within which to file the fee, oath, or declaration and to pay the surcharge as set forth in § 1.16(e) in order to prevent abandonment of the application. The notification pursuant to this paragraph may be made simultaneously with any notification of a defect pursuant to paragraph (a) of this section.

(e) An application filed under this section will utilize the file wrapper and contents of the prior application to constitute the new continuation, continuation-in-part, or divisional application but will be assigned a new application number. Changes to the prior application must be made in the form of an amendment to the prior application as it exists at the time of filing the application under this section. No copy of the prior application or new specification is required. The filing of such a copy or specification will be considered improper, and a filing date as of the date of deposit of the request for an application under this section will not be granted to the application unless a petition with the fee set forth in

§ 1.17(i) is filed with instructions to cancel the copy or specification.

(f) The filing of an application under this section will be construed to include a waiver of confidence by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, or information concerning either the prior application or any continuing application filed under the provisions of this section may be given similar access to, or similar information concerning, the other application(s) in the file wrapper.

(g) The filing of a request for a continuing application under this section will be considered to be a request to expressly abandon the prior application as of the filing date granted the continuing application.

(h) The applicant is urged to furnish the following information relating to the prior and continuing applications to the best of his or her ability:

(1) Title as originally filed and as last amended;

(2) Name of applicant as originally filed and as last amended;

(3) Current correspondence address of applicant;

(4) Identification of prior foreign application and any priority claim under 35 U.S.C. 119.

(5) The title of the invention and names of the applicants to be named in the continuing application.

(i) Envelopes containing only application papers and fees for filing under this section should be marked "Box FWC".

(j) If any application filed under this section is found to be improper, the applicant will be notified and given a time period within which to correct the filing error in order to obtain a filing date as of the date the filing error is corrected provided the correction is made before the payment of the issue fee, abandonment of, or termination of proceedings on the prior application. If the filing error is not corrected within the time period set, the application will be returned or otherwise disposed of; the fee, if submitted, will be refunded less the handling fee set forth in § 1.21(n).

An applicant may file a continuation or division of a pending patent application by simply filing a request therefor under 37 CFR 1.62 identifying the Application Number. (series code and serial number) of the prior complete nonprovisional application and paying the necessary application filing fee. The filing of a copy of the prior nonprovisional application (required under 37 CFR 1.60) is unnecessary and improper under the procedure set forth in 37 CFR 1.62. To file a continuation-in-part application, an amendment (not a new specification) adding the additional subject matter and an oath or declaration relating thereto are also required.

A request for an FWC application under 37 CFR 1.62 may be signed by a registered practitioner acting in a representative capacity under 37 CFR 1.34(a). However, correspondence concerning the continuing application will be sent by the Office to the correspondence address as it appears on the prior nonprovisional application until a new power of attorney, or change of correspondence address signed by an attorney or agent of record in the prior application, is filed in the FWC.

The "file wrapper continuing" (FWC) procedure is set forth in 37 CFR 1.62. Under this simplified procedure, any continuing application such as a continuation, continuation-in-part, or divisional application may be filed. The papers in the copending prior nonprovisional application, which application will become automatically expressly abandoned will be used and any changes thereto desired when filing the FWC application must be made by amendment. Under the FWC procedure, a new application number is assigned and the specification, drawings, and other papers in the parent application file wrapper are used as the papers in the continuing application. Changes in inventorship may be made. The "file wrapper continuing" (FWC) procedure is available for utility, design, plant, and reissue applications to file continuing applications of the same type (utility, design, plant, reissue) as the parent application. An application which claims the benefits of a provisional application may not be filed under the provisions of 37 CFR 1.62. Use of the FWC procedure will automatically result in express abandonment of the prior nonprovisional application as of the filing date accorded the continuation, continuation-in-part, or divisional application.

The FWC procedure can be used for any continuation, continuation-in-part, or divisional application provided the applicant wishes the copending prior nonprovisional application to become abandoned. If a continuation or divisional application is desired without abandonment of the parent application, the procedure under 37 CFR 1.60 should be used. Applicant also has the option of filing new application papers with a reexecuted oath or declaration under 37 CFR 1.53(b)(1).

Under 37 CFR 1.62, the specification, claims, and drawings, and any amendments in the prior nonprovisional application are used in the continuation, continuation-in-part, or divisional application. A new filing fee is required in accordance with 35 U.S.C. 41 and 37 CFR 1.16. The only other statutory requirement under 35 U.S.C. 111(a) is a signed oath or declaration.

Since a continuation or divisional application cannot contain new matter, the oath or declaration filed in the prior nonprovisional application would supply all the information required under the statute and rules to have a complete application and to obtain a filing date. Accordingly, the previously filed oath or declaration will be considered to be the oath or declaration of the 37 CFR 1.62 continuation or division. However, if a continuation-in-part application is being filed, or a correction of inventorship is being made, then a new oath or declaration must be signed and filed by the applicant.

The original disclosure of an application filed under 37 CFR 1.62 will be the original parent application, amendments entered in the parent application, and amendments filed on the filing date and referred to in the oath or declaration by the inventor(s). However, the filing fee will be based on the claims in the 37 CFR 1.62 application after entry of any unentered amendments under 37 CFR 1.116 in the prior application whose entry has been requested by the applicant and any preliminary amendment which may accompany the FWC request and filing fee. The Certificate of Mailing Procedure under 37 CFR 1.8 does not apply to filing a request for a "File Wrapper Continuing" application since the filing of such a request is considered to be a filing of national application papers for the purpose of obtaining an application filing date (37 CFR 1.8(a)(i)).

The applicant may file a signed FWC request and the regular filing fee under 37 CFR 1.16 and other necessary papers with the Patent and Trademark Office, either by mail addressed to "Box FWC" or in person with the Customer Service Center. An individual check or deposit account authorization should accompany each FWC application, since combined checks delay processing.

The Mail Center sorts out all "Box FWC" envelopes upon receipt and delivers them to a reader for prompt special handling. The reader applies the "Mail Room" date stamp and marks the categories of the fees. The papers for each FWC application are assigned a regular national application number and placed in a "Jumbo" size file wrapper. The Special Handling Branch reviews the FWC request for accuracy and completeness and assigns the filing date if everything appears to be in order. There is no need for any processing of the FWC application by the Initial Patent Examination Division of the Office of Initial Patent Examination (OIPE) since there are no papers to be examined and the FWC application is routed to the group assigned the prior nonprovisional application. When the FWC application file wrapper is received in the examining group, the parent application is promptly obtained and processed by a technical support staff member.

All of the correspondence from the Office in a FWC application refers to the FWC application number and filing date and is processed in the same manner as any other continuation, continuation-in-part or divisional application. The first action final rejection procedures set forth in MPEP § 706.07(b) apply to FWC applications filed under 37 CFR 1.62. The PALM system can supply information to authorized persons as to the location of the parent application file wrapper and ties the parent application number to the FWC application number.

The provisions of 37 CFR 1.62 provide that if any application in the file wrapper is available to the public that all applications in the file wrapper will be available to the public.

Paragraph (a) of 37 CFR 1.62 sets forth the minimum requirements for obtaining a filing date. Paragraphs (b) and (c) of 37 CFR 1.62 set forth the filing fee and oath or declaration requirements. Paragraph 1.62(d) relates to later filing of the filing fee or oath or declaration as provided for in 35 U.S.C. 111(a).

EXTENSIONS OF TIME

If an extension of time is necessary to establish continuity between the prior application and the FWC application, the petition for extension of time must be filed as a separate paper directed to the prior nonprovisional application. A general authorization to charge fees to a deposit account filed in the FWC application will not be construed as a petition for extension of time in the prior application. See *In re Kokaji*, 2 USPQ2d 1309 (Comm'r Pat. 1987). Any petition for extension of time directed to the prior application must be accompanied by its own certificate of mailing under 37 CFR 1.8 (if mailed by first class mail (including "Priority Mail" and "Express Mail"); see MPEP § 512) or should have the "Express Mail" mailing label number in accordance with 37 CFR 1.10 (if mailed by "Express Mail"; see MPEP § 513), if the benefits of those rules are desired. For the

purposes of 37 CFR 1.8(a)(1)(i)(A), first class mail is interpreted as including "Express Mail" and "Priority Mail" deposited with the USPS.

CERTIFIED COPY

A certified copy of a continuation-in-part application filed under 37 CFR 1.62 will be prepared by the Certification Branch upon request. The certified copy will consist of a copy of the prior complete application as filed, all amendments entered in the prior application as of the FWC filing date, any amendment filed with the request for a continuation-in-part application under 37 CFR 1.62, any unentered amendment under 37 CFR 1.116 in the prior application whose entry was requested by the applicant in the FWC application, and the oath or declaration under 37 CFR 1.63 filed to complete the FWC application.

SMALL ENTITY STATUS

If small entity status was established in the parent application of an application filed under 37 CFR 1.62, and such status is desired and proper in a 37 CFR 1.62 application, it is not necessary that a new statement under 37 CFR 1.27 be filed but rather reference may be made to the statement filed in the parent application.

PRIORITY CLAIM

Claims under 35 U.S.C. 119(a)-(d) and 120 for the benefit of the filing dates of earlier applications in a parent application will automatically carry over to an application filed under 37 CFR 1.62. Applicants are encouraged to repeat and update such claims at the time of filing a 37 CFR 1.62 application so that such claims will not be overlooked. A member of the technical support staff should check if priority data has been entered on the file wrapper.

Form paragraph 2.28 may be used to remind applicant to insert parent application data.

¶ 2.28 Reference in Former 37 CFR 1.62 Continuing Applications

This application filed under former 37 CFR 1.62 lacks the necessary reference to the prior application. A statement reading "This is a **[1]** of Application No. **[2]**, filed **[3]**." should be entered following the title of the invention or as the first sentence of the specification. Also, the current status of the nonprovisional parent application(s) should be included.

Examiner Note:

1. In bracket 1, insert --division--, --continuation--, or --continuation-in-part--.
2. Use only in "file wrapper continuing" applications under former 37 CFR 1.62.

Form PTO/SB/14 is designed as an aid for use by applicant for filing an application under 37 CFR 1.62.

PTO/SB/14 (11-96)
Approved for use through 6/30/99. OMB 0651-0033
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

REQUEST FORM FOR FILING A PATENT APPLICATION UNDER 37 CFR 1.62

DOCKET NUMBER	ANTICIPATED CLASSIFICATION OF THIS APPLICATION		PRIOR APPLICATION EXAMINER	ART UNIT
	CLASS	SUBCLASS		

Address to:
Assistant Commissioner for Patents
Box FWC
Washington, D.C. 20231

This is a Request for filing a ☐ continuation-in-part, ☐ continuation, ☐ divisional application under 37 CFR 1.62 of prior application Number ___ / _______, filed on ______________ entitled ______________________ ____ by the following named inventor(s):

FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE / COUNTRY
FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE / COUNTRY
FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE / COUNTRY

☐ Additional inventors are being named on separately numbered sheet(s) attached hereto.

The above identified prior application in which no payment of the issue fee, abandonment of, or termination of proceedings has occurred, is hereby expressly abandoned under 37 CFR 1.62(g) as of the filing date of this new application. Please use all the contents of the prior application file wrapper, including the drawings, as the basic papers for the new application. (No new specification is required, 37 CFR 1.62(e).) (Note: 37 CFR 1.60 may be used for continuation or divisional applications where the prior application is not to be abandoned.)

1. ☐ Enter the unentered amendment previously filed on ____________________ under 37 CFR 1.116 in the prior application.
2. ☐ A preliminary amendment is enclosed.
3. ☐ This application is being filed by less than all the inventors named in the application. The Commissioner is requested under 37 CFR 1.62(a) to delete the names of the following person or persons from the prior application who are not inventors of the invention being claimed in this application:

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c))	- 20 =		x $_______ =	$
	INDEPENDENT CLAIMS (37 CFR 1.16(b))	- 3 =		x $_______ =	
	MULTIPLE DEPENDENT CLAIMS (if applicable)(37 CFR 1.16(d))			+ $_______ =	
				BASIC FEE (37 CFR 1.16(a))	+ _______
				Total of above Calculations =	
	Reduction by 50% for filing by small entity (Note 37 CFR 1.9, 1.27, 1.28).				
				TOTAL =	

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 0.5 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Offiicer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box FWC, Washington, DC 20231.

PTO/SB/14 (11-96)
Approved for use through 6/30/99. OMB 0651-0033
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

(REQUEST FORM FOR FILING A PATENT APPLICATION UNDER 37 CFR 1.62, Page 2)

4. ☐ A verified statement to establish small entity status under 37 CFR 1.9 and 1.27
   ☐ is enclosed.
   ☐ was filed in the prior application and such status is still proper and desired (37 CFR 1.28(a)).
5. ☐ The Commissioner is hereby authorized to charge fees under 37 CFR 1.16 and 1.17 which may be required, or credit any overpayment to Deposit Account No. _____. (A duplicate copy of this form is enclosed.)
6. ☐ A check in the amount of $ _____ is enclosed.
7. ☐ A new oath or declaration in compliance with 37 CFR 1.63 is included since this application is a continuation-in-part which discloses and claims additional matter.
8. ☐ Amend the specification by inserting before the first line the sentence:

   This application is a ☐ continuation-in-part, ☐ continuation, ☐ division, of application number ____ / _____, filed _____, now abandoned.
9. ☐ Priority of foreign application number _____, filed on _____ in (country) _____ is claimed under 35 U.S.C. 119(a) - (d).
10. ☐ The prior application is assigned of record to _____
11. ☐ The power of attorney in the prior application is to: (name & address) _____
12. ☐ Also enclosed: _____

Address all future correspondence to: (May only be completed by applicant, or attorney or agent of record)

☐ Customer Number [ ] → *Place Customer Number Bar Code Label here*
Type Customer Number here

OR

☐ Firm or Individual Name

Address

Address

City State ZIP

Country

Telephone Fax

It is understood that secrecy under 35 U.S.C. 122 is hereby waived to the extent that if information or access is available to any one of the applications in the file wrapper of a 37 CFR 1.62 application, be it either this application or a prior application in the same file wrapper, the Patent and Trademark Office may provide similar information or access to all the other applications in the same file wrapper.

Date _____ Signature _____

Typed or printed name _____

☐ Inventor(s)
☐ Assignee of complete interest. Certification under 37 CFR 3.73(b) is enclosed.
☐ Attorney or agent of record
☐ Filed under 37 CFR 1.34(a)
Registration number if acting under 37 CFR 1.34(a)_____.

[Page 2 of 2]

201.06(c) 37 CFR 1.53(b) and 37 CFR 1.63(d) Divisional-Continuation Procedure

37 CFR 1.53. Application number, filing date, and completion of application.

*****

(b) *Application filing requirements - Nonprovisional application.* The filing date of an application for patent filed under this section, except for a provisional application under paragraph (c) of this section or a continued prosecution application under paragraph (d) of this section, is the date on which a specification as prescribed by 35 U.S.C. 112 containing a description pursuant to § 1.71 and at least one claim pursuant to § 1.75, and any drawing required by § 1.81(a) are filed in the Patent and Trademark Office. No new matter may be introduced into an application after its filing date. A continuing application, which may be a continuation, divisional, or continuation-in-part application, may be filed under the conditions specified in 35 U.S.C. 120, 121 or 365(c) and § 1.78(a).

(1) A continuation or divisional application that names as inventors the same or fewer than all of the inventors named in the prior application may be filed under this paragraph or paragraph (d) of this section.

(2) A continuation-in-part application (which may disclose and claim subject matter not disclosed in the prior application) or a continuation or divisional application naming an inventor not named in the prior application must be filed under this paragraph.

*****

37 CFR 1.63. Oath or Declaration.

*****

(d)(1)A newly executed oath or declaration is not required under § 1.51(b)(2) and § 1.53(f) in a continuation or divisional application, provided that:

(i) The prior nonprovisional application contained an oath or declaration as prescribed by paragraphs (a) through (c) of this section;

(ii) The continuation or divisional application was filed by all or by fewer than all of the inventors named in the prior application;

(iii) The specification and drawings filed in the continuation or divisional application contain no matter that would have been new matter in the prior application; and

(iv) A copy of the executed oath or declaration filed in the prior application, showing the signature or an indication thereon that it was signed, is submitted for the continuation or divisional application.

(2) The copy of the executed oath or declaration submitted under this paragraph for a continuation or divisional application must be accompanied by a statement requesting the deletion of the name or names of the person or persons who are not inventors in the continuation or divisional application.

(3) Where the executed oath or declaration of which a copy is submitted for a continuation or divisional application was originally filed in a prior application accorded status under § 1.47, the copy of the executed oath or declaration for such prior application must be accompanied by:

(i) A copy of the decision granting a petition to accord § 1.47 status to the prior application, unless all inventors or legal representatives have filed an oath or declaration to join in an application accorded status under § 1.47 of which the continuation or divisional application claims a benefit under 35 U.S.C. 120, 121, or 365(c); and

(ii) If one or more inventor(s) or legal representative(s) who refused to join in the prior application or could not be found or reached has subsequently joined in the prior application or another application of which the continuation or divisional application claims a benefit under 35 U.S.C. 120, 121, or 365(c), a copy of the subsequently executed oath(s) or declaration(s) filed by the inventor or legal representative to join in the application.

(4) Where the power of attorney (or authorization of agent) or correspondence address was changed during the prosecution of the prior application, the change in power of attorney (or authorization of agent) or correspondence address must be identified in the continuation or divisional application. Otherwise, the Office may not recognize in the continuation or divisional application the change of power of attorney (or authorization of agent) or correspondence address during the prosecution of the prior application.

(5) A newly executed oath or declaration must be filed in a continuation or divisional application naming an inventor not named in the prior application.

*****

IN GENERAL

37 CFR 1.53(b) is the section under which all applications are filed EXCEPT: (A) an application resulting from entry of an international application into the national stage under 35 U.S.C. 371 and 37 CFR 1.494 or 37 CFR 1.495; (B) a provisional application under 35 U.S.C. 111(b) and 37 CFR 1.53(c); or (C) a continued prosecution application (CPA) under 37 CFR 1.53(d). Applications submitted under 37 CFR 1.53(b), as well as CPAs submitted under 37 CFR 1.53(d), are applications filed under 35 U.S.C. 111(a). An application filed under 37 CFR 1.53(b) may be an original, a continuation, a divisional, a continuation-in-part, or a substitute. (See MPEP § 201.09 for substitute application.) The application may be for a "utility" patent under 35 U.S.C. 101, a design patent under 35 U.S.C. 171, a plant patent under 35 U.S.C. 161, or a reissue under 35 U.S.C. 251.

37 CFR 1.53(b) is the "default" application. An application that is not (A) the result of the entry of an international application into the national stage after

compliance with 35 U.S.C. 371 and 37 CFR 1.494 or 37 CFR 1.495, (B) a provisional application under 37 CFR 1.53(c), or (C) a CPA under 37 CFR 1.53(d), is an application filed under 37 CFR 1.53(b). An application will be treated as one filed under 37 CFR 1.53(b) unless otherwise designated.

In order to be complete for filing date purposes, all applications filed under 37 CFR 1.53(b) must include a specification as prescribed by 35 U.S.C. 112 containing a description pursuant to 37 CFR 1.71 and at least one claim pursuant to 37 CFR 1.75, and any drawing required by 37 CFR 1.81(a). The statutory filing fee and an oath or declaration in compliance with 37 CFR 1.63 (and 37 CFR 1.175 (if a reissue) or 37 CFR 1.162 (if for a plant patent)) are also required by 37 CFR 1.51(b) for a complete application, but the filing fee and oath or declaration may be filed after the application filing date upon payment of the surcharge set forth in 37 CFR 1.16(e). See 37 CFR 1.53(f).

Any application filed on or after December 1, 1997, which is identified by the applicant as an application filed under 37 CFR 1.60 will be processed as an application under 37 CFR 1.53(b) (using the copy of the specification, drawings and signed oath/declaration filed in the prior application supplied by the applicant). Any submission of an application including or relying on a copy of an oath or declaration that would have been proper under 37 CFR 1.60 will be a proper filing under 37 CFR 1.53(b).

A new application containing a copy of an oath or declaration under 37 CFR 1.63 referring to an attached specification is indistinguishable from a continuation or divisional application containing a copy of an oath or declaration from a prior application submitted pursuant to 37 CFR 1.63(d). Unless an application is submitted with a statement that the application is a continuation or divisional application, see 37 CFR 1.78(a)(2), the Office will process the application as a new non-continuing application. Applicants are advised to clearly designate any continuation, divisional, or continuation-in-part application as such to avoid the issuance of a filing receipt that does not indicate that the application is a continuation, divisional, or continuation-in-part.

OATH/DECLARATION

37 CFR 1.63(d) provides that a newly executed oath or declaration is not required in a continuation or divisional application filed by all or by fewer than all of the inventors named in a prior nonprovisional application containing a signed oath or declaration as required by 37 CFR 1.63, provided that a copy of the signed oath or declaration filed in the prior application is submitted for the continuation or divisional application and the specification and drawings filed in the continuation or divisional application do not contain any subject matter that would have been new matter in the prior application. The copy of the oath or declaration must show the signature of the inventor(s) or contain an indication thereon that the oath or declaration was signed (e.g., the notation "/s/" on the line provided for the signature).

It is not necessary to have the inventor sign a new oath or declaration merely to include a reference to the duty of disclosure if the parent application was filed prior to January 1, 1978, to indicate that the inventor has reviewed and understands the contents of the application if the parent application was filed prior to October 1, 1983, or to indicate the inventor's post office address if the parent application was filed prior to December 1, 1997, and the inventor's mailing or post office address is identified elsewhere in the application.

When a copy of an oath or declaration from a prior application is filed in a continuation or divisional application under 37 CFR 1.53(b), special care should be taken by the applicant to ensure that the copy is matched with the correct application file. Applicant should file the copy of the oath or declaration with a cover letter explaining that the copy of the oath or declaration is for the attached application or for a previously-filed 37 CFR 1.53(b) application (identified by application number which consists of a two-digit series code, e.g ., 08/, and a six-digit serial number, e.g., 123,456). An adhesive label may be attached to the front of the copy of the oath or declaration. The label should clearly state that the copy of the oath or declaration is intended for the attached application submitted therewith or for Application No. XX/YYY,YYY. During initial processing, attachments (e.g., a cover letter) to application papers may be separated. Therefore, applicant should not rely solely upon a cover letter. Note: 37 CFR 1.5(a) states that no

correspondence relating to an application should be filed prior to receipt of the application number information from the Patent and Trademark Office.

37 CFR 1.63(d) requires a copy of the signed oath or declaration from the prior application. In instances in which the oath or declaration filed in the prior application is itself a copy of an oath or declaration from a prior application, either a copy of the copy of the oath or declaration in the prior application or a direct copy of the original oath or declaration is acceptable, as both are a copy of the oath or declaration in the prior application, see 37 CFR 1.4(d)(1)(ii).

The patent statute and rules of practice do not require that an oath or declaration include a date of execution, and no objection should be made to an oath or declaration because it lacks either a recent date of execution or any date of execution. The applicant's duty of candor and good faith including compliance with the duty of disclosure requirements of 37 CFR 1.56 is continuous and applies to the continuing application.

A newly executed oath or declaration is required in a continuation or divisional application filed under 37 CFR 1.53(b) naming an inventor not named in the prior application, and in a continuation-in-part application.

SPECIFICATION AND DRAWINGS

A continuation or divisional application may be filed under 35 U.S.C. 111(a) using the procedures set forth in 37 CFR 1.53(b), by providing: (A) a copy of the prior application, including a copy of the signed oath or declaration in such prior application, as filed; (B) a new specification and drawings and a copy of the signed oath or declaration as filed in the prior application provided the new specification and drawings do not contain any subject matter that would have been new matter in the prior application; or (C) a new specification and drawings and a newly executed oath or declaration provided the new specification and drawings do not contain any subject matter that would have been new matter in the prior application. If a continuation or divisional application filed with a newly executed oath or declaration contains subject matter that would have been new matter in the prior application, the application will have to be amended to indicate that it is a continuation-in-part application rather than a continuation or a divisional application. The specification and drawings of a continuation or divisional application filed under 37 CFR 1.53(b) are not limited to a reproduction or "true copy" of the prior application, i.e., the applicant may revise the specification for clarity or contextual purposes *vis-à-vis* the specification originally filed in the prior application in the manner that an applicant may file a substitute specification, see 37 CFR 1.125, or amend the drawings of an application so long as it does not result in the introduction of new matter. It is the applicant's responsibility to review any new specification or drawings submitted for a continuation or divisional application under 37 CFR 1.53(b) and 37 CFR 1.63(d) to determine that it contains no new matter. An applicant is advised to simply file a continuing application with a newly executed oath or declaration when it is questionable as to whether the continuing application adds material that would have been new matter if presented in the prior application. If one or more claims are allowed in the continuation or divisional application which are directed to matter shown and described in the prior nonprovisional application but not claimed in the prior application, the applicant should be required to file a supplemental oath or declaration under 37 CFR 1.67(b).

Where a copy of the oath or declaration from a prior application was filed in a continuation or divisional application, if the examiner determines that new matter is present relative to the prior application, the examiner should so notify the applicant in the next Office action (preferably the first Office action). The examiner should require: (A) a new oath or declaration along with the surcharge set forth in 37 CFR 1.16(e); and (B) that the application be redesignated as a continuation-in-part.

INCORPORATION BY REFERENCE

In a continuation or divisional application, the safeguard (petition and fee under former 37 CFR 1.60(b)) concerning the filing of an application lacking all of the pages of the specification or sheets of drawings of the prior application has not been retained in 37 CFR 1.53(b) since the specification and drawings of a continuation or divisional application are not limited to a reproduction or a "true copy" of the prior application. As a safeguard, however,an applicant may incorporate by reference the prior application by including, in the continuation or divisional application-as-filed, a

statement that such specifically enumerated prior application or applications are "hereby incorporated herein by reference." The statement may appear in the specification or in the application transmittal letter. The incorporation by reference statement can only be relied upon to permit the entering of a portion of the prior application into the continuation or divisional application when the portion of the prior application has been inadvertently omitted from the submitted application papers in the continuation or divisional application. The inclusion of this incorporation by reference of the prior application(s) will permit an applicant to amend the continuation or divisional application to include any subject matter in such prior application(s), without the need for a petition provided the continuation or divisional application is entitled to a filing date notwithstanding the incorporation by reference.

A priority claim under 35 U.S.C. 120 in a continuation or divisional application does not amount to an incorporation by reference of the application(s) to which priority is claimed.

For the incorporation by reference to be effective as a proper safeguard against the omission of a portion of a prior application, the incorporation by reference statement must be included in the specification-as-filed, or transmittal letter-as-filed, or in an amendment specifically referred to in an oath or declaration executing the application.

Mere reference to another application, patent, or publication is not an incorporation of anything therein into the application containing such reference for the purpose of the disclosure required by 35 U.S.C. 112, first paragraph. *In re de Seversky*, 474 F.2d 671, 177 USPQ 144 (CCPA 1973). See MPEP § 608.01(p).

A. *Application NOT Entitled to a Filing Date*

Material needed to accord an application a filing date may not be incorporated by reference. Therefore, if a continuation or divisional application as originally filed incorporates by reference material omitted from the application papers, which is needed to accord the application a filing date, the application will **not** be entitled to a filing date. A petition under 37 CFR 1.182 and the required petition fee, including an amendment submitting the necessary omitted material, requesting that the necessary omitted material contained in the prior application and submitted in the amendment, be included in the continuation or divisional application based upon the incorporation by reference statement, is required in order to accord the application a filing date as of the date of deposit of the continuation or divisional application. An amendment submitting the omitted material and relying upon the incorporation by reference will not be entered in the continuation or divisional application unless a decision granting the petition states that the application is accorded a filing date and that the amendment will be entered.

B. *Application Entitled to a Filing Date*

If a continuation or divisional application as originally filed is entitled to a filing date despite the omission of a portion of the prior application(s), applicant will be permitted to add the omitted material by way of an amendment provided a statement was included in the application as originally filed that incorporates by reference the prior application(s). If the application as originally filed includes a proper incorporation by reference of the prior application(s), an omitted specification page(s) and/or drawing figure(s) identified in a "Notice of Omitted Item(s)" may be added by amendment provided the omitted item(s) contains only subject matter in common with such prior application(s). In such case, applicant need **not** respond to the "Notice of Omitted Item(s)." Applicant should submit the amendment adding the omitted material prior to the first Office action to avoid delays in the prosecution of the application. See MPEP § 601.01(d) and § 601.01(g).

INVENTORSHIP

To continue the practice in former 37 CFR 1.60(b)(4) of permitting the filing of a continuation or divisional application by all or by fewer than all of the inventors named in a prior application without a newly executed oath or declaration, 37 CFR 1.63(d)(2) provides that the copy of the oath or declaration submitted for a continuation or divisional application under 1.53(b) and 37 CFR 1.63(d) must be accompanied by a statement from applicant, applicant's representative or other authorized party requesting the deletion of the names of the person or persons who are not inventors in the continuation or divisional application. Where the continuation or divisional application and a copy of the oath or declaration from

the prior application are filed without a statement from an authorized party requesting deletion of the names of any person or persons named in the prior application, the continuation or divisional application will be treated as naming as inventors the person or persons named in the copy of the executed oath or declaration from the prior application. Accordingly, if a petition or request under 37 CFR 1.48(a) or (c) was granted in the prior application, the oath or declaration filed in a continuation or divisional application pursuant to 37 CFR 1.53(b) and 37 CFR 1.63(d) should be a copy of the oath or declaration executed by the added inventor(s) filed in the prior application. The statement requesting the deletion of the names of the person or persons who are not inventors in the continuation or divisional application must be signed by person(s) authorized pursuant to 37 CFR 1.33(b) to sign an amendment in the continuation or divisional application.

A newly signed oath or declaration in compliance with 37 CFR 1.63 is required where an inventor who was not named as an inventor in the signed oath or declaration filed in the prior application is to be named in a continuation or divisional application filed under 37 CFR 1.53(b). The newly signed oath or declaration must be signed by all the inventors.

RULE 47 ISSUES

37 CFR 1.63(d)(3) provides for the situation in which the executed oath or declaration, of which a copy is submitted for a continuation or divisional application, was originally filed in a prior application accorded status under 37 CFR 1.47. 37 CFR 1.63(d)(3)(i) requires a copy of any decision granting a petition to accord 37 CFR 1.47 status to such application, unless all nonsigning inventor(s) or legal representative (pursuant to 37 CFR 1.42 or 1.43) have filed an oath or declaration to join in an application of which the continuation or divisional application claims a benefit under 35 U.S.C. 120, 121 or 365(c). Where one or more, but not all, nonsigning inventor or legal representative (pursuant to 37 CFR 1.42 or 1.43) subsequently joins in any application of which the continuation or divisional application claims a benefit under 35 U.S.C. 120, 121 or 365(c), 37 CFR 1.63(d)(3)(ii) also requires a copy of any oath or declaration filed by the inventor or legal representative who subsequently joined in such application.

New continuation or divisional applications filed under 37 CFR 1.53(b) which contain a copy of an oath or declaration that is not signed by one of the inventors and a copy of the decision according 37 CFR 1.47 status in the prior application, should be forwarded by the Office of Initial Patent Examination (OIPE) to the Office of Petitions before being forwarded to the Technology Center (TC). The Office of Petitions will mail applicant a letter stating that "Rule 47" status has been accorded to the continuation or divisional application, but will not repeat the notice to the nonsigning inventor nor the announcement in the *Official Gazette*. See 37 CFR 1.47(c).

CHANGE OF ATTORNEY/CORRESPONDENCE ADDRESS

37 CFR 1.63(d)(4) provides that where the power of attorney (or authorization of agent) or correspondence address was changed during the prosecution of the prior application, the change in power of attorney (or authorization of agent) or correspondence address must be identified in the continuation or divisional application. Otherwise, the Office may not recognize in the continuation or divisional application the change of power of attorney (or authorization of agent) or correspondence address which occurred during the prosecution of the prior application.

SMALL ENTITY STATUS

If small entity status has been established in a parent application and is still proper and desired in a continuation or divisional application filed under 37 CFR 1.53(b), a new assertion as to the continued entitlement to small entity status under 37 CFR 1.27 is required.

COPIES OF AFFIDAVITS

Affidavits or declarations, such as those submitted under 37 CFR 1.130, 1.131 and 1.132 filed during the prosecution of the prior nonprovisional application do not automatically become a part of a continuation or divisional application filed under 37 CFR 1.53(b). Where it is desired to rely on an earlier filed affidavit or declaration, the applicant should make such remarks of record in the 37 CFR 1.53(b) application and include a copy of the original affidavit or declaration filed in the prior nonprovisional application.

Use form paragraph 2.03 for instructions to applicant concerning affidavits or declarations filed in the parent application.

¶ 2.03 Affidavits or Declarations in Parent Application

Applicant refers to an affidavit or declaration filed in the parent application. Affidavits or declarations, such as those submitted under 37 CFR 1.131 and 37 CFR 1.132, filed during the prosecution of the parent application do not automatically become a part of this application. Where it is desired to rely on an earlier filed affidavit or declaration, the applicant should make the remarks of record in the later application and include a copy of the original affidavit or declaration filed in the parent application.

Examiner Note:

This form paragraph is to be used in applications filed under 37 CFR 1.53(b) and former 37 CFR 1.60. Do not use this form paragraph in applications filed under 37 CFR 1.53(d) and former 37 CFR 1.62 applications, since affidavits and/or declarations, such as those submitted under 37 CFR 1.131 and 37 CFR 1.132 filed during the prosecution of the parent nonprovisional application automatically become a part of the 37 CFR 1.53(d) and former 37 CFR 1.62 applications.

EXTENSIONS OF TIME

If an extension of time is necessary to establish continuity between the prior application and the continuing application filed under 37 CFR 1.53(b), the petition for an extension of time must be filed as a separate paper directed to the prior nonprovisional application. Under 37 CFR 1.136(a)(3), an authorization to charge all required fees, fees under 37 CFR 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time for its timely submission. A continuing application filed under 37 CFR 1.53(b) is a new application which is assigned a new application number and filing date and is placed in a new file wrapper maintained separately from the file of the prior application. The filing of a continuing application is not a paper directed or placed in the file of the prior application and is not a "reply" to the last Office action in the prior application. Thus, a petition for an extension of time and the fee set forth in 37 CFR 1.17 are required to be filed as a separate paper in the prior application. Any petition for an extension of time directed to the prior application must be accompanied by its own certificate of mailing under 37 CFR 1.8 (if mailed by first class mail) or under 37 CFR 1.10 (if mailed by Express Mail), if the benefits of those rules are desired.

ABANDONMENT OF THE PRIOR NONPROVISIONAL APPLICATION

Under 37 CFR 1.53(b) and 37 CFR 1.63(d) practice, the prior nonprovisional application is not automatically abandoned upon filing of the continuing application. If the prior nonprovisional application is to be expressly abandoned, such a paper must be signed in accordance with 37 CFR 1.138. A registered attorney or agent not of record acting in a representative capacity under 37 CFR 1.34(a) may also expressly abandon a prior nonprovisional application as of the filing date granted to a continuing application when filing such a continuing application.

If the prior nonprovisional application which is to be expressly abandoned has a notice of allowance issued therein, the prior nonprovisional application can become abandoned by the nonpayment of the issue fee. However, once an issue fee has been paid in the prior application, even if the payment occurs following the filing of a continuing application under 37 CFR 1.53(b) and 37 CFR 1.63(d), a petition to withdraw the prior nonprovisional application from issue must be filed before the prior nonprovisional application can be abandoned (37 CFR 1.313).

If the prior nonprovisional application which is to be expressly abandoned is before the Board of Patent Appeals and Interferences, a separate notice should be forwarded by the appellant to the Board, giving them notice thereof.

After a decision by the Court of Appeals for the Federal Circuit (CAFC) in which the rejection of all claims is affirmed, proceedings are terminated on the date of receipt of the Court's certified copy of the decision by the U.S. Patent and Trademark Office. *Continental Can Company, Inc. v. Schuyler*, 326 F. Supp. 283, 168 USPQ 625 (D.D.C. 1970). See MPEP § 1216.01.

EXAMINATION

The practice relating to making first action rejections final also applies to continuation and divisional applications filed under 37 CFR 1.53(b) and 37 CFR 1.63(d). See MPEP § 706.07(b).

Any preliminary amendment filed with a 37 CFR 1.53(b) application which is to be entered after granting of the filing date should be entered by the technical support personnel of the TC where the application is finally assigned to be examined. Any errors in the

numbering of claims in preliminary amendment(s) can be corrected in the TCs. Accordingly, these applications should be classified and assigned to the proper TC by taking into consideration the claims that will be before the examiner upon entry of such a preliminary amendment.

Where a copy of the oath or declaration from a prior application was filed in a continuation or divisional application, if the examiner determines that new matter is present relative to the prior application, the examiner should so notify the applicant in the next Office action (preferably the first Office action). The examiner should require: (A) a new oath or declaration along with the surcharge set forth in 37 CFR 1.16(e); and (B) that the application be redesignated as a continuation-in-part. See MPEP § 608.04(b) when new matter is contained in a preliminary amendment.

If the examiner finds that pages of the specification or drawings figures described in the specification are missing and the application is a continuation or divisional application filed under 37 CFR 1.53(b) using a copy of the oath or declaration filed in the prior application under 37 CFR 1.63(d), the examiner must check to determine whether the continuation or divisional application, as originally filed, includes a statement incorporating by reference the prior application(s). The statement may appear in the specification or in the application transmittal letter. The inclusion of this incorporation by reference of the prior application(s) will permit applicant to amend the continuation or divisional application to include subject matter in the prior application(s) without the need for a petition. See also the subsection above regarding "Incorporation by Reference." If the continuation or divisional application filed under 37 CFR 1.53(b) and 37 CFR 1.63(d) does not include the incorporation by reference statement in the application papers as originally filed and applicant has not been informed of the omitted items, the application should be returned to OIPE for mailing of a "Notice of Omitted Item(s)."

201.06(d) 37 CFR 1.53(d) Continued Prosecution Application (CPA) Practice

37 CFR 1.53. Application number, filing date, and completion of application.

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(d) *Application filing requirements - Continued prosecution (nonprovisional) application.*

(1) A continuation or divisional application (but not a continuation-in-part) of a prior nonprovisional application may be filed as a continued prosecution application under this paragraph, provided that:

(i) The prior nonprovisional application is either:

(A) A utility or plant application that was filed under 35 U.S.C. 111(a) before May 29, 2000, and is complete as defined by § 1.51(b); or

(B) A design application that is complete as defined by § 1.51(b); or

(C) The national stage of an international application that was filed under 35 U.S.C. 363 before May 29, 2000, and is in compliance with 35 U.S.C. 371; and

(ii) The application under this paragraph is filed before the earliest of:

(A) Payment of the issue fee on the prior application, unless a petition under § 1.313(c) is granted in the prior application;

(B) Abandonment of the prior application; or

(C) Termination of proceedings on the prior application.

(2) The filing date of a continued prosecution application is the date on which a request on a separate paper for an application under this paragraph is filed. An application filed under this paragraph:

(i) Must identify the prior application;

(ii) Discloses and claims only subject matter disclosed in the prior application;

(iii) Names as inventors the same inventors named in the prior application on the date the application under this paragraph was filed, except as provided in paragraph (d)(4) of this section;

(iv) Includes the request for an application under this paragraph, will utilize the file jacket and contents of the prior application, including the specification, drawings and oath or declaration from the prior application, to constitute the new application, and will be assigned the application number of the prior application for identification purposes; and

(v) Is a request to expressly abandon the prior application as of the filing date of the request for an application under this paragraph.

(3) The filing fee for a continued prosecution application filed under this paragraph is:

(i) The basic filing fee as set forth in § 1.16; and

(ii) Any additional § 1.16 fee due based on the number of claims remaining in the application after entry of any

amendment accompanying the request for an application under this paragraph and entry of any amendments under § 1.116 unentered in the prior application which applicant has requested to be entered in the continued prosecution application.

(4) An application filed under this paragraph may be filed by fewer than all the inventors named in the prior application, provided that the request for an application under this paragraph when filed is accompanied by a statement requesting deletion of the name or names of the person or persons who are not inventors of the invention being claimed in the new application. No person may be named as an inventor in an application filed under this paragraph who was not named as an inventor in the prior application on the date the application under this paragraph was filed, except by way of correction of inventorship under § 1.48.

(5) Any new change must be made in the form of an amendment to the prior application as it existed prior to the filing of an application under this paragraph. No amendment in an application under this paragraph (a continued prosecution application) may introduce new matter or matter that would have been new matter in the prior application. Any new specification filed with the request for an application under this paragraph will not be considered part of the original application papers, but will be treated as a substitute specification in accordance with § 1.125.

(6) The filing of a continued prosecution application under this paragraph will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public, who is entitled under the provisions of § 1.14 to access to, copies of, or information concerning either the prior application or any continuing application filed under the provisions of this paragraph, may be given similar access to, copies of, or similar information concerning the other application or applications in the file jacket.

(7) A request for an application under this paragraph is the specific reference required by 35 U.S.C. 120 to every application assigned the application number identified in such request. No amendment in an application under this paragraph may delete this specific reference to any prior application.

(8) In addition to identifying the application number of the prior application, applicant should furnish in the request for an application under this paragraph the following information relating to the prior application to the best of his or her ability:

(i) Title of invention;
(ii) Name of applicant(s); and
(iii) Correspondence address.

(9) Envelopes containing only requests and fees for filing an application under this paragraph should be marked "Box CPA." Requests for an application under this paragraph filed by facsimile transmission should be clearly marked "Box CPA."

(10)See § 1.103(b) for requesting a limited suspension of action in an application filed under this paragraph.

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IN GENERAL

In addition to the provisions of 37 CFR 1.53(b), a continuation or divisional (but not a continuation-in-part) application may be filed under 37 CFR 1.53(d) if the prior application is: (A) a utility or plant application that was filed under 35 U.S.C. 111(a) before May 29, 2000, and is complete as defined by 37 CFR 1.51(b); (B) a design application that is complete as defined by 37 CFR 1.51(b); or (C) the national stage of an international application that was filed under 35 U.S.C. 363 before May 29, 2000, and is in compliance with 35 U.S.C. 371. Applicant may wish to consider filing a request for continued examination (RCE) under 37 CFR 1.114 for utility or plant applications filed on or after May 29, 2000. See MPEP § 706.07(h). A continuation or divisional application filed under 37 CFR 1.53(d) is called a "Continued Prosecution Application" or "CPA." A CPA has a number of advantages compared to a continuation or divisional application filed under 37 CFR 1.53(b). For example, the papers required to be filed in the U.S. Patent and Trademark Office in order to secure a filing date under 37 CFR 1.53(d) are minimal compared to 37 CFR 1.53(b). In addition, the Office will not normally issue a new filing receipt for a CPA. See 37 CFR 1.54(b). The Office will, however, issue filing receipts for CPAs filed on or after November 29, 2000, to provide information regarding eighteen-month publication (e.g., projected publication date of the application) to applicants. The Office will perform the pre-examination processing of any CPA in the Technology Center (TC) to which the prior application was assigned. A CPA may also be filed by facsimile transmission or by hand-delivery directly to the TC to which the prior application was assigned. The use of these techniques for filing a CPA will avoid the delay inherent in routing a new application from the Office of Initial Patent Examination (OIPE) to the appropriate TC. As a result, the time delay between the filing date and the first Office action should be less for a CPA than for an application filed under 37 CFR 1.53(b). For examination priority purposes only, the USPTO will treat continuation CPAs as if they were "amended" applications (as of the CPA filing date) and not as "new" applications. This treatment is limited to CPAs in which the prior application has an Office action issued by the examiner. If no Office action has been issued in the prior application, the CPA will be treated, for examination purposes, like a "new" application unless a petition to make special under 37 CFR 1.102 is filed in the CPA. As "amended" applications generally have a shorter time

frame for being acted on by examiners than "new" applications, the treatment of a CPA as an "amended" application will result in a first Office action being mailed in the CPA much sooner than if it had been filed as a continuation application under 37 CFR 1.53(b) (or under former 37 CFR 1.60 or 1.62). Therefore, applicants are strongly encouraged to file any preliminary amendment in a CPA at the time the CPA is filed. See 37 CFR 1.115 and MPEP § 714.03(a).

A request for a CPA expressly abandons the prior application as of the filing date of the request for the CPA. See 37 CFR 1.53(d)(2)(v). Therefore, where the prior application is not to be abandoned, any continuation or divisional application must be filed under 37 CFR 1.53(b). If applicant wants the USPTO to disregard a previously filed request for a CPA (and not recognize its inherent request to expressly abandon the prior application) and to treat the paper as the filing of an application under 37 CFR 1.53(b), the applicant must file a petition under 37 CFR 1.182. A request to expressly abandon an application is not effective until the abandonment is acknowledged, including the express abandonment of the prior application of a CPA that occurs by operation of 37 CFR 1.53(d)(2)(v). The express abandonment of the prior application is acknowledged and becomes effective upon processing and entry of the CPA into the file of the prior application. Thus, such a petition under 37 CFR 1.182 should be filed expeditiously since the petition will not be granted once the request for a CPA has been entered into the prior application (and the inherent request to expressly abandon the prior application has been acknowledged). If the request for a CPA has been entered into the prior application by the time the petition under 37 CFR 1.182 and the application file are before the deciding official for a decision on the petition, the petition will be denied. It is noted, however, that if the applicant intended to file a second application (either a continuation or a divisional) without abandoning the prior application, applicant can still achieve that result without loss of the benefit of the original filing date by: (A) continuing the prosecution of the original application via the CPA; and (B) filing a new continuation/divisional under 37 CFR 1.53(b) claiming benefit of the CPA and its parent applications under 35 U.S.C. 120 during the pendency of the CPA.

The CPA procedure set forth in 37 CFR 1.53(d) is available for "utility," plant, and reissue applications filed before May 29, 2000, and for any design applications when filing either a continuation or divisional application of the same type ("utility," design, plant, reissue) as the prior nonprovisional application. Since no new matter may be introduced in a CPA, the procedure set forth in 37 CFR 1.53(d) is not available for filing a continuation-in-part application. All continuation-in-part applications must be filed under 37 CFR 1.53(b) and a newly executed oath or declaration is required.

Under the CPA procedure, the continuation or divisional application will utilize the file wrapper and contents of the prior nonprovisional application, including the specification, drawings and oath or declaration from the prior nonprovisional application, and will be assigned the same application number as the prior nonprovisional application. Any changes to the continuation or divisional application desired when filing the CPA must be made in the form of an amendment to the prior application as it existed prior to filing the CPA, see 37 CFR 1.53(d)(5). Any new specification filed with the CPA request will <u>not</u> be considered part of the original application papers, but will be treated as a substitute specification in accordance with 37 CFR 1.125. However, the applicant must comply with the requirements of 37 CFR 1.125(b) before the substitute specification will be entered into the CPA. Since 37 CFR 1.125(b) requires that a substitute specification be accompanied by, *inter alia*, a statement that the substitute specification includes no new matter, any substitute specification containing new matter will be denied entry by the examiner. Any preliminary amendment to the written description and claims, other than a substitute specification, filed with a CPA request will ordinarily be entered. Any new matter which is entered, however, will be required to be canceled pursuant to 35 U.S.C. 132 from the descriptive portion of the specification. Further, any claim(s) which relies upon such new matter for support will be rejected under 35 U.S.C. 112, first paragraph. See MPEP § 2163.06. In the event that a substitute specification or preliminary amendment containing new matter was filed with a request for a CPA, applicant may file a petition under 37 CFR 1.182 requesting that the substitute specification or preliminary amendment be removed from the CPA

application file, and be accorded the status as a separate application by being placed in a new file wrapper and assigned a new application number, with the new application being accorded a filing date as of the date the request for a CPA and substitute specification/preliminary amendment were filed. Of course, a request for a CPA is not improper simply because the request is accompanied by a substitute specification or preliminary amendment containing new matter. Thus, an applicant will not be entitled to a refund of the filing fee paid in a proper CPA as a result of the granting of a petition under 37 CFR 1.182 requesting that the substitute specification or preliminary amendment be removed from the CPA application file.

A CPA may be based on a prior CPA so long as the prior CPA is complete under 37 CFR 1.51(b) and was filed before May 29, 2000, or is a design application. There is no other limit to the number of CPAs that may be filed in a chain of continuing applications. However, only one CPA may be pending at one time based on the same prior nonprovisional application.

Under 37 CFR 1.53(d), the specification, claims, and drawings, and any amendments entered in the prior nonprovisional application are used in the CPA. A new filing fee is required in accordance with 35 U.S.C. 41 and 37 CFR 1.16. The only other statutory requirement under 35 U.S.C. 111(a) is a signed oath or declaration. Since a CPA cannot contain new matter, the oath or declaration filed in the prior nonprovisional application would supply all the information required under the statute and rules to have a complete application and to obtain a filing date. Accordingly, the previously filed oath or declaration will be considered to be the oath or declaration of the CPA.

The original disclosure of a CPA is the same as the original disclosure of the parent non-continued prosecution application and amendments entered in the parent application(s). However, any subject matter added by amendment in the parent application which is deemed to be new matter in the parent application will also be considered new matter in the CPA. No amendment filed in a CPA, even if filed on the filing date of the CPA, may include new matter.

Envelopes containing only requests and fees for filing a CPA should be marked "Box CPA" and requests for a CPA filed by facsimile transmission should be clearly marked "Box CPA." See 37 CFR 1.53(d)(9).

If application papers are in any way designated as a CPA filing under 37 CFR 1.53(d) (e.g., contain a reference to 37 CFR 1.53(d), CPA, or continued prosecution application), the application papers will be treated by the Office as a CPA filed under 37 CFR 1.53(d), even if the application papers also contain other inconsistent designations (e.g., if the papers are also designated as an application filed under 37 CFR 1.53(b) or include a reference to a "continuation-in-part CPA"). If, however, the transmittal paper is designated as a RCE under 37 CFR 1.114 (e.g., contains a reference to 37 CFR 1.114, RCE, or request for continued examination), the paper will be treated as a RCE, even if other papers being filed (e.g., an amendment or information disclosure statement) make reference to a continued prosecution application or CPA. If the transmittal paper is ambiguous as to whether it is a CPA or a RCE, and the application is eligible for either a CPA or a RCE, the transmittal paper will be treated as a request for a CPA under 37 CFR 1.53(d). See MPEP § 706.07(h), paragraph III.B.

CONDITIONS FOR FILING A CPA

A continuation or divisional application may be filed under 37 CFR 1.53(d), if the prior nonprovisional application is: (A) a utility or plant application that was filed under 35 U.S.C. 111(a) before May 29, 2000, and is complete as defined by 37 CFR 1.51(b); (B) a design application that is complete as defined by 37 CFR 1.51(b); or (C) the national stage of an international application that was filed under 35 U.S.C. 363 before May 29, 2000, and is in compliance with 35 U.S.C. 371. The term "prior nonprovisional application" in 37 CFR 1.53(d)(1) means the nonprovisional application immediately prior to the CPA. A complete application as defined by 37 CFR 1.51(b) and a "national stage of an international application... in compliance with 35 U.S.C. 371" must each contain, *inter alia*, the appropriate filing fee and a signed oath or declaration under 37 CFR 1.63.

In addition, a continuation or divisional application filed under 37 CFR 1.53(d) must be filed before the earliest of: (A) payment of the issue fee on the prior application, unless a petition under 37 CFR 1.313(c) is granted in the prior application; (B) abandonment of the prior application; or (C) termination of proceedings on the prior application.

INITIAL PROCESSING

A CPA request will be initially processed by the TC assigned the prior application. The TC will verify that (A) the prior application is a utility or plant application or a national stage of an international application filed before May 29, 2000, or is a design application, (B) the correct application number of the prior nonprovisional application is identified in the request, (C) the request is properly signed, (D) the prior nonprovisional application was pending on, and that the issue fee has not been paid in the prior nonprovisional application on or prior to, the filing date of the CPA request, (E) the prior nonprovisional application was complete under 37 CFR 1.51(b) (e.g., the filing fee has been paid and a signed oath or declaration under 37 CFR 1.63 has been filed in the prior application), and (F) the proper filing fee has been paid in the CPA. If a CPA request of a utility or plant application or a national stage of an international application that was filed on or after May 29, 2000 is filed, the CPA is improper and will automatically be treated as a request for continued examination (RCE) under 37 CFR 1.114, see MPEP § 706.07(h), paragraph IV. If one or more other conditions for filing a CPA have not been satisfied or the proper filing fee has not been paid, the applicant will be so notified and no examination will be made in the CPA until the filing error has been corrected or the proper filing fee submitted. See 37 CFR 1.53(h). If an examiner discovers that an improper or incomplete CPA has been forwarded to the examiner in error, the application should be immediately returned to a supervisory applications examiner (SAE) within the TC. The improper or incomplete CPA is not to be returned to OIPE.

INCORRECT PARENT APPLICATION NUMBER IDENTIFIED

A request for a CPA must identify the prior nonprovisional application (37 CFR 1.53(d)(2)(i)) by application number (series code and serial number) or by serial number and filing date. Where a paper requesting a CPA is filed which does not properly identify the prior nonprovisional application number, the TC should attempt to identify the proper application number by reference to other identifying information provided in the CPA papers, e.g., name of the inventor, filing date, title of the invention, and attorney's docket number of the prior application. If the TC is able to identify the correct application number of the prior application, the correct application number should be entered in red ink on the paper requesting the CPA and the entry should be dated and initialed. If the TC is unable to identify the application number of the prior application and the party submitting the CPA papers is a registered practitioner, the practitioner may be requested by telephone to supply a letter signed by the practitioner providing the correct application number. If all attempts to obtain the correct application number are unsuccessful, the paper requesting the CPA should be returned by the TC to the sender where a return address is available. The returned CPA request must be accompanied by a cover letter which will indicate to the sender that if the returned CPA request is resubmitted to the U.S. Patent and Trademark Office with the correct application number within two weeks of the mail date on the cover letter, the original date of receipt of the CPA request will be considered by the U.S. Patent and Trademark Office as the date of receipt of the CPA request. See 37 CFR 1.5(a). A copy of the returned CPA request and a copy of the date-stamped cover letter should be retained by the TC. Applicants may use either the Certificate of Mailing or Transmission procedure under 37 CFR 1.8 or the "Express Mail" procedure under 37 CFR 1.10 for resubmissions of returned CPA requests if they desire to have the benefit of the date of deposit in the United States Postal Service. If the returned CPA request is not resubmitted within the two-week period with the correct application number, the TC should cancel the original "Office Date" stamp on the CPA request and re-stamp the returned CPA request with the date of receipt of the resubmission or with the date of deposit as "Express Mail" with the United States Postal Service, if the CPA request is resubmitted under 37 CFR 1.10. Where the CPA request is resubmitted later than two weeks after the return mailing by the U.S. Patent and Trademark Office, the later date of receipt or date of deposit as "Express Mail" of the resubmission will be considered to be the filing date of the CPA request. The two-week period to resubmit the returned CPA request is not extendible. See 37 CFR 1.5(a).

In addition to identifying the application number of the prior application, applicant is urged to furnish in the request for a CPA the following information

relating to the prior application to the best of his or her ability: (A) title of invention; (B) name of applicant(s); and (C) correspondence address. See 37 CFR 1.53(d)(8).

SIGNATURE REQUIREMENT

A CPA is a request to expressly abandon the prior application (37 CFR 1.53(d)(2)(v)) and, therefore, must be properly signed. For a listing of the individuals who may properly sign a CPA request, see 37 CFR 1.33(b). In a joint application with no attorney or agent, all applicants must sign the CPA request in order for the CPA request to be considered properly signed. An unsigned or improperly signed CPA request will be placed in the file of the prior application, and is entitled to an application filing date, but is ineffective to abandon the prior application. A CPA will NOT be examined until the CPA request is properly signed.

A request for a CPA may be signed by a registered practitioner acting in a representative capacity under 37 CFR 1.34(a). However, correspondence concerning the CPA will be sent by the Office to the correspondence address as it appears in the prior nonprovisional application until a new power of attorney, or change of correspondence address signed by an attorney or agent of record in the prior application, is filed in the CPA.

A request for a CPA may also be signed by the assignee or assignees of the entire interest. However, the request must be accompanied by papers establishing the assignee's ownership under 37 CFR 3.73(b), unless such papers were filed in the prior application and ownership has not changed.

FILING DATE

The filing date of a CPA is the date on which a request on a separate paper for a CPA is filed. A request for a CPA cannot be submitted as a part of papers filed for another purpose, see 37 CFR 1.53(d)(2), (e.g., the filing of a request for a CPA within an amendment after final for the prior application is an improper request for a CPA).

A paper requesting a CPA may be sent to the U.S. Patent and Trademark Office by mail (see MPEP § 501), by facsimile transmission (see MPEP § 502.01) or it may be filed directly at the Attorney's Window located in Room 1B03 of Crystal Plaza 2, 2011 South Clark Place, Arlington, VA. In addition, a CPA request may be delivered in person to the TC where the prior application is assigned. All CPA requests should be clearly marked "Box CPA."

The date of receipt accorded to a CPA request sent by facsimile transmission is the date the complete transmission is received by an Office facsimile unit, unless the transmission is completed on a Saturday, Sunday, or Federal holiday within the District of Columbia. Correspondence for which transmission was completed on a Saturday, Sunday, or Federal holiday within the District of Columbia, will be accorded a receipt date of the next succeeding day which is not a Saturday, Sunday, or Federal holiday within the District of Columbia. A CPA transmitted to the U.S. Patent and Trademark Office should be transmitted to the TC or art unit to which the prior application is assigned.

In order to encourage applicants to transmit CPA requests directly to the TC or art unit to which the prior application is assigned, the USPTO will only acknowledge receipt of a CPA request filed by facsimile transmission where the CPA request is transmitted directly to the TC or art unit to which the prior application is assigned. Applicants filing a CPA by facsimile transmission may include a "Receipt for Facsimile Transmitted CPA" (PTO/SB/29A) containing a mailing address and identifying information (e.g., the prior application number, filing date, title, first named inventor) with the request for a CPA. The USPTO will: (A) separate the "Receipt for Facsimile Transmitted CPA" from the CPA request papers; (B) date-stamp the "Receipt for Facsimile Transmitted CPA"; (C) verify that the identifying information provided by the applicant on the "Receipt for Facsimile Transmitted CPA" is the same information provided on the accompanying request for a CPA; and (D) mail the "Receipt for Facsimile Transmitted CPA" to the mailing address provided on the "Receipt for Facsimile Transmitted CPA." The "Receipt for Facsimile Transmitted CPA" cannot be used to acknowledge receipt of any paper(s) other than the request for a CPA. A returned "Receipt for Facsimile Transmitted CPA" may be used as *prima facie* evidence that a request for a CPA containing the identifying information provided on the "Receipt for Facsimile Transmitted CPA" was filed by facsimile transmission on the date stamped thereon by the USPTO. As the USPTO

will verify only the identifying information contained on the request for a CPA, and will not verify whether the CPA was accompanied by other papers (e.g., a preliminary amendment), the "Receipt for Facsimile Transmitted CPA" cannot be used as evidence that papers other than a CPA were filed by facsimile transmission in the USPTO. Likewise, applicant-created "receipts" for acknowledgment of facsimile transmitted papers (whether created for the acknowledgment of a CPA or other papers) cannot be used as evidence that papers were filed by facsimile in the USPTO. Applicants are cautioned not to include information on a "Receipt for Facsimile Transmitted CPA" that is intended for retention in the application file, as the USPTO does not plan on retaining a copy of such receipts in the file of the application.

An applicant filing a CPA by facsimile must include an authorization to charge the basic filing fee to a deposit account or to a credit card using PTO-2038 (See MPEP § 509), or the application will be treated under 37 CFR 1.53(f) as having been filed without the basic filing fee (as fees cannot otherwise be transmitted by facsimile).

37 CFR 1.6(f) provides for the situation in which the Office has no evidence of receipt of a CPA transmitted to the Office by facsimile transmission. 37 CFR 1.6(f) requires that a showing thereunder include, *inter alia*, a copy of the sending unit's report confirming transmission of the application or evidence that came into being after the complete transmission of the application and within one business day of the complete transmission of the application.

The Certificate of Mailing Procedure under 37 CFR 1.8 does not apply to filing a request for a CPA, since the filing of such a request is considered to be a filing of national application papers for the purpose of obtaining an application filing date (37 CFR 1.8(a)(2)(i)(A)). Thus, if (A) the Patent and Trademark Office mails a final Office action on July 2, 1997 (Wednesday), with a shortened statutory period of 3 months to reply and (B) a petition for a three-month extension of time (and the fee) and a CPA are received in the U.S. Patent and Trademark Office on January 5, 1998 (Monday), accompanied by a certificate of mailing under 37 CFR 1.8 dated January 2, 1998 (Friday), then the prior application was abandoned on January 3, 1998, and the CPA is improper because the CPA was not filed before the abandonment of the prior application. As a further example, if (A) the U.S. Patent and Trademark Office mails a final Office action on July 2, 1997 (Wednesday), with a shortened statutory period of 3 months to reply and (B) applicant submits a petition for a three-month extension of time (and the fee) and a CPA request via facsimile transmission accompanied by a certificate of transmission under 37 CFR 1.8 at 9:00 PM (PST) on January 2, 1998 (Friday), but the U.S. Patent and Trademark Office does not receive the complete transmission until 12:01 AM (EST) on January 3, 1998 (Saturday), then the CPA is improper because the CPA request was not filed until January 5, 1998, see 37 CFR 1.6(a)(3), which is after the abandonment (midnight on Friday, January 2, 1998) of the prior application.

FILING FEE

The filing fee for a CPA is: (A) the basic filing fee as set forth in 37 CFR 1.16; and (B) any additional fee required by 37 CFR 1.16 based on the number of claims remaining in the application after entry of any amendment accompanying the CPA and entry of any amendments under 37 CFR 1.116 not entered in the prior nonprovisional application which applicant has requested to be entered in the CPA. See 37 CFR 1.53(d)(3).

A general authorization to charge fees to a deposit account which was filed in the prior application carries over from the prior nonprovisional application to a CPA. Thus, where a general authorization to charge fees to a deposit account was filed in the prior application the TC should charge the necessary filing fee of the CPA to the deposit account. Because small entity status does not automatically carry over from the prior application to the CPA, unless the request for a CPA specifically indicates that the filing fee is to be charged in the small entity amount or otherwise includes an assertion of entitlement to small entity status, the large entity filing fee should be charged.

Where a general authorization to charge fees to a deposit account was filed in the prior application and applicant desires to file a CPA without paying the filing fee on the filing date of the application, applicant may file the CPA with specific instructions revoking the general authorization filed in the prior application.

Where a filing date has been assigned to a CPA, but the basic filing fee is insufficient or has been omitted,

applicant will be so notified by the TC and given a period of time in which to file the missing fee and to pay the surcharge set forth in 37 CFR 1.16(e) in order to prevent abandonment of the application. The time period usually set is 2 months from the date of notification. This time period is subject to the provisions of 37 CFR 1.136(a). A CPA will not be placed upon the files for examination until all of its required parts, including the filing fee and surcharge, if necessary, are received. See 37 CFR 1.53(h). Thus, it would be inappropriate to conduct an interview or to issue an action on the merits in the CPA until the filing fee and surcharge, if necessary, are received.

EXTENSIONS OF TIME

If an extension of time is necessary to establish continuity between the prior application and the CPA, the petition for extension of time should be filed as a separate paper directed to the prior nonprovisional application. However, a CPA is not improper simply because the request for a CPA is combined in a single paper with a petition for extension of time. The "separate paper" requirement of 37 CFR 1.53(d)(2) is intended to preclude an applicant from burying a request for a CPA in a paper submitted primarily for another purpose, e.g., within an amendment after final for the prior application.

While the filing of a CPA is not strictly a reply to an Office action mailed in a prior application, a request for a CPA is a paper directed to and placed in the file of the prior application, and seeks to take action in (i.e., expressly abandon) the prior application. Thus, it will be considered a "reply" for purposes of 37 CFR 1.136(a)(3). As a result, an authorization in the prior application to charge all required fees, fees under 37 CFR 1.17, or all required extension of time fees to a deposit account or to a credit card (See MPEP § 509) will be treated as a constructive petition for an extension of time in the prior application for the purpose of establishing continuity with the CPA. The correct extension fee to be charged in the prior application would be the extension fee necessary to establish continuity between the prior application and the CPA on the filing date of the CPA.

If an extension of time directed to the prior application is filed as a separate paper, it must be accompanied by its own certificate of mailing under 37 CFR 1.8 (if mailed by first class mail) or under 37 CFR 1.10 (if mailed by Express Mail), if the benefits of those rules are desired.

NOTICE OF CPA FILING

Since a "Notice of Abandonment" is not mailed in the prior application as a result of the filing of a CPA nor is a filing receipt normally mailed for a CPA (a filing receipt will be mailed in a CPA filed on or after November 29, 2000 to notify applicant of the projected publication date of the application), the examiner should advise the applicant that a request for a CPA has been granted by including form paragraph 2.30 in the first Office action of the CPA.

¶ 2.30 CPA Status Acceptable

The request filed on **[1]** for a Continued Prosecution Application (CPA) under 37 CFR 1.53(d) based on parent Application No. **[2]** is acceptable and a CPA has been established. An action on the CPA follows.

Examiner Note:

1. Use this form paragraph in the first Office action of a CPA to advise the applicant that a request for a CPA is acceptable and that a CPA has been established. This notice should be given, since applicant is not notified of the abandonment of the parent nor is a filing receipt normally sent for a CPA.
2. In bracket 1 insert the filing date of the request for a CPA.
3. In bracket 2 insert the Application Number of the parent application.

A "conditional" request for a CPA will not be permitted. Any "conditional" request for a CPA submitted as a separate paper with an amendment after final in an application will be treated as an unconditional request for a CPA of the application. This will result (by operation of 37 CFR 1.53(d)(2)(v)) in the abandonment of the prior application, and (if so instructed in the request for a CPA) the amendment after final in the prior application will be treated as a preliminary amendment in the CPA. The examiner should advise the applicant that a "conditional" request for a CPA has been treated as an unconditional request for a CPA and has been accepted by including form paragraph 2.35 in the first Office action of the CPA.

¶ 2.35 CPA Status Acceptable - Conditional Request

Receipt is acknowledged of the "conditional" request for a Continued Prosecution Application (CPA) filed on **[1]** under 37 CFR 1.53(d) based on prior Application No. **[2]**. Any "conditional" request for a CPA submitted as a separate paper is treated as an unconditional request for a CPA. Accordingly, the request for a CPA application is acceptable and a CPA has been established. An action on the CPA follows.

Examiner Note:

1. Use this form paragraph in the first Office action of a CPA to advise the applicant that a "conditional" request for a CPA is treated as an unconditional request and the CPA is acceptable and that a CPA has been established. This notice should be given, since applicant is not notified of the abandonment of the parent nor is a filing receipt normally sent for a CPA.
2. In bracket 1 insert the filing date of the request for a CPA.
3. In bracket 2 insert the Application Number identified in the CPA request.

Where the examiner recognizes that a paper filed in the prior application contains a request for a CPA, but the request is not in a separate paper, the examiner should, if possible, contact applicant by telephone to notify applicant that the request for a CPA is ineffective or notify the applicant in the next Office action that the CPA request is ineffective by using form paragraph 2.31.

¶ 2.31 CPA Status Not Acceptable - Request Not on Separate Paper

Receipt is acknowledged of the request for a Continued Prosecution Application (CPA) filed on [1] under 37 CFR 1.53(d) based on Application No. [2]. However, because the request was not submitted on a separate paper as required by 37 CFR 1.53(d)(2), the request is not acceptable and no CPA has been established.

Examiner Note:

1. Use this form paragraph to inform applicant that a request for a CPA is not in compliance with 37 CFR 1.53(d)(2) and, therefore, no CPA has been established.
2. In bracket 1 insert the filing date of the paper containing the request for a CPA.
3. In bracket 2 insert the Application Number identified in the CPA request.

INVENTORSHIP

The inventive entity set forth in the prior nonprovisional application automatically carries over into the CPA UNLESS the request for a CPA is accompanied by or includes on filing a statement requesting the deletion of the name or names of the person or persons who are not inventors of the invention being claimed in the CPA. 37 CFR 1.53(d)(4). The statement requesting the deletion of the names of the person or persons who are not inventors in the continuation or divisional application must be signed by person(s) authorized pursuant to 37 CFR 1.33(b) to sign an amendment in the continuation or divisional application. The examiner should acknowledge receipt of a statement filed with a CPA requesting the deletion of the name or names of the person or persons who are not inventors of the invention being claimed in the CPA in the first Office action in the CPA by using form paragraph 2.32.

¶ 2.32 Request To Delete a Named Inventor

Receipt is acknowledged of the statement requesting that [1] be deleted as a named inventor which was filed with the Continued Prosecution Application (CPA) on [2]. The inventorship has been corrected as requested.

Examiner Note:

1. Use this form paragraph where a Continued Prosecution Application (CPA) is filed accompanied by a statement requesting deletion of the name or names of the person or persons who are not inventors of the invention being claimed in the new application. Any request to delete a named inventor in a CPA filed after the CPA is filed must be accompanied by a request under 37 CFR 1.48.
2. In bracket 1 insert the name or names of the inventor(s) requested to be deleted.
3. In bracket 2 insert the filing date of the CPA.

After the first Office action is mailed, the application file should be sent to OIPE for revision of its records to reflect the change of inventorship. The examiner should note the change of inventorship on the original oath or declaration by writing in red ink in the left column "See Paper No. __ for inventorship changes." See MPEP § 201.03 and § 605.04(g). Any request by applicant for a corrected filing receipt to show the change in inventorship should not be submitted until after the examiner has acknowledged the change in inventorship in an Office action. Otherwise, the "corrected" filing receipt may not show the change in inventorship.

The inventive entity of the CPA will be the same as the inventive entity of the prior application even if the CPA papers include a transmittal letter or a new oath or declaration naming an inventor not named in the prior application. However, the new oath or declaration will be placed in the application file. Upon review of the application, the examiner will notify the applicant in the first Office action using form paragraph 2.33 that the inventive entity of the prior application has been carried over into the CPA. If the inventive entity set forth in the transmittal letter of the new oath or declaration is desired, then a request under 37 CFR 1.48 along with the required fee set forth in 37 CFR 1.17(i) must be filed. No new oath or declaration need be filed with the later-filed request under 37 CFR 1.48 if such was submitted on filing of the CPA. If a request under 37 CFR 1.48 is not filed, it

should be noted that the filing in a CPA of a transmittal letter or a new oath or declaration containing an inventor not named in the prior nonprovisional application may result in the claims in the CPA being rejected under 35 U.S.C. 102(f).

¶ 2.33 New Inventor Identified

It is noted that **[1]** identified as a named inventor in the Continued Prosecution Application (CPA) filed under 37 CFR 1.53(d) on **[2]**, but no request under 37 CFR 1.48, as is required, was filed to correct the inventorship. Any request to add an inventor must be in the form of a request under 37 CFR 1.48. Otherwise, the inventorship in the CPA shall be the same as in the prior application.

Examiner Note:

1. Use this form paragraph where a request for a Continued Prosecution Application (CPA) identifies one or more inventors who were not named as inventors in the prior application on the filing date of the CPA.
2. In bracket 1 insert the name or names of the inventor(s) requested to be added followed by either --was-- or --were--, as appropriate.
3. In bracket 2 insert the filing date of the CPA.

No inventor may be added to a CPA except by way of a request under 37 CFR 1.48. Also, after the filing date of the CPA, no inventor may be deleted in a CPA, except by way of a request under 37 CFR 1.48. A request for correction of inventorship under 37 CFR 1.48 filed in the prior nonprovisional application, but not considered in the prior nonprovisional application at the time the CPA is filed, will be considered in the CPA.

BENEFIT OF EARLIER FILING DATE

A request for a CPA is a specific reference under 35 U.S.C. 120 to every application assigned the application number identified in the request, and 37 CFR 1.78(a)(2) provides that a request for a CPA is the specific reference under 35 U.S.C. 120 to the prior application. That is, the CPA includes the request for an application under 37 CFR 1.53(d) and the recitation of the application number of the prior application in such request is the "specific reference to the earlier filed application" required by 35 U.S.C. 120. No further amendment to the specification of the CPA nor a reference in the CPA's application data sheet is required by 35 U.S.C. 120 or 37 CFR 1.78(a) to identify or reference the prior application, as well as any other application assigned the application number of the prior application (e.g., in instances in which a CPA is the last in a chain of CPAs).

Where an application claims a benefit under 35 U.S.C. 120 of a chain of applications, the application must make a reference to the first (earliest) application and every intermediate application. See *Sampson v. Ampex Corp.*, 463 F.2d 1042, 1044-45, 174 USPQ 417, 418-19 (2d Cir. 1972); *Sticker Indus. Supply Corp. v. Blaw-Knox Co.*, 405 F.2d 90, 93, 160 USPQ 177, 179 (7th Cir. 1968); *Hovlid v. Asari*, 305 F.2d 747, 751, 134 USPQ 162, 165 (9th Cir. 1962). See also MPEP § 201.11. In addition, every intermediate application must also make a reference to the first (earliest) application and every application after the first application and before such intermediate application.

In the situation in which there is a chain of CPAs, each CPA in the chain will, by operation of 37 CFR 1.53(d)(7), contain the required specific reference to its immediate prior application, as well as every other application assigned the application number identified in such request. Put simply, a specific reference to a CPA by application number and filing date will constitute a specific reference to: (A) the non-continued prosecution application originally assigned such application number (the prior application as to the first CPA in the chain); and (B) every CPA assigned the application number of such non-continued prosecution application.

Where the non-continued prosecution application originally assigned such application number itself claims the benefit of a prior application or applications under 35 U.S.C. 119(e), 120, 121, or 365(c), 37 CFR 1.78(a)(2) and (a)(5) continue to require that such application contain a reference to any such prior application(s). The reference(s) can be in an application data sheet (37 CFR 1.76) or in the first sentence of the specification. See 37 CFR 1.78(a)(2) and (a)(5). If an application (including reissue) that was filed on or after November 29, 2000 claims benefit to an earlier-filed international application, the first sentence of the specification must be amended to include an indication of whether the international application was published under PCT Article 21(2) in English (regardless of whether the benefit for such application is claimed in an application data sheet). See 37 CFR 1.78(a)(2). As a CPA uses the application file of the prior application, a specific reference in the prior application (as to the CPA) will constitute a specific

reference in the CPA, as well as every CPA in the event that there is a chain of CPAs.

Where an applicant in an application filed under 37 CFR 1.53(b) seeks to claim the benefit of a CPA under 35 U.S.C. 120 or 121 (as a continuation, divisional, or continuation-in-part), 37 CFR 1.78(a)(2) requires a reference to the CPA by application number in the first sentence of such application unless such reference is made in an application data sheet. 37 CFR 1.78(a)(2) provides that "[t]he identification of an application by application number under this section is the specific reference required by 35 U.S.C. 120 to every application assigned that application number." Thus, where a referenced CPA is in a chain of CPAs, this reference will constitute a reference under 35 U.S.C. 120 and 37 CFR 1.78(a)(2) to every CPA in the chain as well as the non-continued prosecution application originally assigned such application number.

Therefore, regardless of whether an application is filed under 37 CFR 1.53(b) or (d), a claim under 35 U.S.C. 120 to the benefit of a CPA is, by operation of 37 CFR 1.53(d)(7) and 37 CFR 1.78(a)(2), a claim to every application assigned the application number of such CPA. In addition, applicants will not be permitted to choose to delete such a claim as to certain applications assigned that application number (e.g., for patent term purposes). See 37 CFR 1.53(d)(7).

Further, an applicant in a CPA is not permitted to amend the first sentence of the specification to provide the specific reference to the prior application, or to provide such a reference in an application data sheet. Any such amendment will not be entered. The applicant should be advised in the next Office action that any such amendment to the specification or reference in the application data sheet has not been entered by using form paragraph 2.34 or 2.36. If the application claims benefit to an international application and is filed on or after November 29, 2000, the first sentence of the specification must be amended to include an indication of whether the international application was published under PCT Article 21(2) in English (regardless of whether the benefit for such application is claimed in an application data sheet). See 37 CFR 1.78(a)(2). If the application does not include such a required indication, applicant should be advised in the next Office action that such an indication is missing by using form paragraph 2.37.

¶ 2.34 Reference in CPA to Prior Application (by Amendment to the Specification)

The amendment filed **[1]** requesting that the specification be amended to refer to the present Continued Prosecution Application (CPA) as a **[2]** application of Application No. **[3]** has not been entered. As set forth in 37 CFR 1.53(d)(7), a request for a CPA is the specific reference required by 35 U.S.C. 120 to every application assigned the application number identified in such request. Thus, there is no need to amend the first sentence of the specification to refer back to the prior application and any such amendment shall be denied entry.

Examiner Note:

1. Use this form paragraph to inform the applicant that an amendment to the first sentence of the specification referring to the CPA as a continuing application of the prior application has not been entered and will not be entered if submitted again.
2. In bracket 1, insert the filing date of the amendment.
3. In bracket 2, insert either --continuation-- or --divisional--.
4. In bracket 3, insert the Application Number of the prior nonprovisional application.

¶ 2.36 Reference in CPA (in an Application Data Sheet) to Prior Application

The application data sheet filed **[1]** including a reference to the present Continued Prosecution Application (CPA) as a **[2]** application of Application No. **[3]** has not been entered. As set forth in 37 CFR 1.53(d)(7), a request for a CPA is the specific reference required by 35 U.S.C. 120 to every application assigned the application number identified in such request. Thus, there is no need for such a reference to the prior application in an application data sheet nor in the specification of the application and such amendment shall be denied entry.

Examiner Note:

1. Use this form paragraph to inform the applicant that an application data sheet (37 CFR 1.76) including a reference to the CPA as a continuation or divisional application of the prior application has not been entered and will not be entered if submitted again.
2. In bracket 1, insert the filing date of the application data sheet.
3. In bracket 2, insert either --continuation-- or --divisional--.
4. In bracket 3, insert the Application Number of the prior nonprovisional application.

¶ 2.37 Reference to an International Application

This application claims benefit to international application No. **[1]** filed on **[2]**. Applications that are filed on or after November 29, 2000, and that claim benefit to an earlier-filed international application must include in the first sentence of the specification an indication of whether the international application was published in English under PCT Article 21(2) (regardless of whether the benefit for such application is claimed in an application data sheet). See 37 CFR 1.78(a)(2). The indication, as required by 37 CFR 1.78(a)(2), is missing. Applicant must supply the missing indication as an amendment to the specification in the reply to this Office actions.

Examiner Note:

1. Use this form paragraph to inform the applicant that an amendment to the first sentence of the specification indicating that the international application was published in English under PCT Article 21(2) is required.
2. Use only for applications (including CPAs) filed on or after November 29, 2000.
3. In bracket 1, insert the application number of the prior international application.
4. In bracket 2, insert the filing date of the prior international application.

Claims under 35 U.S.C. 119(a)-(d) and (e) for the benefit of the filing dates of earlier applications in a parent application will automatically carry over to a CPA.

WAIVER OF CONFIDENTIALITY

A CPA is construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to obtain access to, copies of, or information concerning either the prior application or any continuing application filed under the provisions of 37 CFR 1.53(d) may be given similar access to, copies of, or similar information concerning, the other application(s) in the application file. 37 CFR 1.53(d)(6). However, all applications in the file jacket of a pending CPA are treated as pending, rather than abandoned, in determining whether copies of, and access to, such applications will be granted. See, e.g., 37 CFR 1.14(e)(2). See MPEP § 103 for further discussion of access to an abandoned application contained in the file of a pending CPA.

CERTIFIED COPY

A certified copy of a CPA will be prepared by the Certification Branch upon request. The certified copy will consist of a copy of the most recent non-continued prosecution application in the chain of CPAs. The filing date of the CPA will be shown in the certified copy as the filing date of the most recent non-continued prosecution application in the chain of CPAs.

PATENT APPLICATION PUBLICATION

Unless the application is a design application, a CPA filed on or after November 29, 2000 will be published as a patent application publication using only the original disclosure of the first-filed non-CPA application in the CPA application file, unless non-publication is requested or the application papers are replaced through the electronic filing system. See 37 CFR 1.215(c).

SMALL ENTITY STATUS

Small entity status established in the parent application does not automatically carry over to a CPA. Status as a small entity must be specifically established in every application in which the status is available and desired. 37 CFR 1.27(c)(4) provides that the refiling of an application as a continued prosecution application under 37 CFR 1.53(d) requires a new assertion of continued entitlement to small entity status.

TERMINAL DISCLAIMER

A terminal disclaimer filed in the parent application carries over to a CPA. The terminal disclaimer filed in the parent application carries over because the CPA retains the same application number as the parent application, i.e., the application number to which the previously filed terminal disclaimer is directed. If applicant does not want the terminal disclaimer to carry over to the CPA, applicant must file a petition under 37 CFR 1.182 along with the required petition fee, requesting the terminal disclaimer filed in the parent application not be carried over to the CPA. See MPEP § 1490, "Withdrawing a Terminal Disclaimer," subheading entitled "A. Before Issuance of Patent."

PRIOR ELECTION

An election made in the prior application carries over to the CPA only if all of the following conditions are met: (A) the CPA is designated as a continuation or is not designated at all (i.e ., the CPA is **NOT** designated as a divisional); (B) there was an express election by the applicant in reply to a restriction requirement in the prior application; (C) the CPA presents claim(s) drawn only to invention(s) claimed in the prior application; and (D) the CPA does not contain an indication that a shift in election is desired.

Where all of the conditions are met, the examiner's first action should repeat the restriction requirement made in the prior application to the extent it is still applicable in the CPA and include a statement that prosecution is being continued on the invention elected and prosecuted by applicant in the prior application.

INFORMATION DISCLOSURE STATEMENTS AND PRELIMINARY AMENDMENTS

All information disclosure statements filed in the prior application that comply with the content requirements of 37 CFR 1.98 will be considered in a CPA by the examiner. No specific request that the previously submitted information be considered in a CPA is required.

In addition, all information disclosure statements that comply with the content requirements of 37 CFR 1.98 and are filed before the mailing of a first Office action on the merits will be considered by the examiner, regardless of whatever else has occurred in the examination process up to that point in time. The submission of an information disclosure statement after the first Office action is mailed could delay prosecution and result in the loss of patent term. Therefore, applicants are encouraged to file any information disclosure statement in a CPA as early possible, preferably at the time of filing the CPA. For further discussion of information disclosure statements, see MPEP § 609.

Applicants are also encouraged to file all preliminary amendments at the time of filing a CPA because the entry of any preliminary amendment filed after the filing date of the CPA could be denied under 37 CFR 1.115 if the preliminary amendment unduly interferes with the preparation of a first Office action. See MPEP § 714.03(a). In a situation where the applicant needs more time to prepare a preliminary amendment or to file an information disclosure statement, applicant can request a three-month suspension of action under 37 CFR 1.103(b). The three-month suspension of action under 37 CFR 1.103(b) must be filed at the time of filing a CPA. See MPEP § 709 .

COPIES OF AFFIDAVITS

Affidavits and declarations, such as those under 37 CFR 1.130, 1.131 and 1.132 filed during the prosecution of the parent nonprovisional application, automatically become a part of the CPA. Therefore, no copy of the original affidavit or declaration filed in the parent nonprovisional application need be filed in the CPA.

FORMS

Form PTO/SB/29, "Continued Prosecution Application (CPA) Request Transmittal" and Form PTO/SB/29A, "Receipt For Facsimile Transmitted CPA" may be used by applicant for filing a CPA under 37 CFR 1.53(d). The forms used by the TCs to notify applicants of defects regarding applications filed under 37 CFR 1.53(d) are shown below. "Notice of Improper Application, No Filing Date Granted" Form PTO-2011; "Notice of Improper CPA Filing Under 37 CFR 1.53(d), No Filing Date Granted" Form PTO-2012; "Notice To File Missing Parts Of Application (CPA), Filing Date Granted" Form PTO-2021; "Notice Of Incomplete Reply (CPA) (Filing Date Granted)" Form PTO-2018; and "Notice Of Abandonment Under 37 CFR 1.53(f) (CPA) (Filing Date Granted)" Form PTO-2019.

PTO/SB/29 (10-00)
Approved for use through 10/31/2002. OMB 0651-0032
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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

CONTINUED PROSECUTION APPLICATION (CPA) REQUEST TRANSMITTAL

Submit an original, and a duplicate for fee processing.
(Only for Continuation or Divisional applications under 37 CFR 1.53(d))

CHECK BOX, if applicable: ☐ DUPLICATE

Address to:
Assistant Commissioner for Patents
Box CPA
Washington, DC 20231

Attorney Docket No. of Prior Application	
First Named Inventor	
Examiner Name	
Group Art Unit	
Express Mail Label No.	

This is a request for a ☐ continuation or ☐ divisional application under 37 CFR 1.53(d), (continued prosecution application (CPA)) of prior application number _____/_____, filed on_____, entitled_____.

NOTES

FILING QUALIFICATIONS: *The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. Effective May 29, 2000, a CPA may only be filed in a utility or a plant application if the prior nonprovisional application was filed before May 29, 2000. A CPA may be filed in a design application regardless of the filing date of the prior application. See "Request for Continued Examination Practice changes to and Provisional Application Practice,"* Final Rule, *65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg.14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office (Apr. 11, 2000).*

C-I-P NOT PERMITTED: *A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).*

EXPRESS ABANDONMENT OF PRIOR APPLICATION: *The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.*

ACCESS TO PRIOR APPLICATION: *The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.*

35 U.S.C. 120 STATEMENT: *In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).*

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

1. ☐ Enter the unentered amendment previously filed on _____ under 37 CFR 1.116 in the prior nonprovisional application.
2. ☐ A preliminary amendment is enclosed.
3. This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4).
   a. ☐ ***DELETE*** the following inventor(s) named in the prior nonprovisional application:
   .....
   .....
   b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
4. ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
5. Information Disclosure Statement (IDS) is enclosed:
   a. ☐ PTO-1449
   b. ☐ Copies of IDS Citations

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box CPA, Washington, DC 20231.

PTO/SB/29 (10-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c) or (j))	-20* =		x $_____ =	$
	INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i))	-3** =		x $_____ =	
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			+ $_____ =	
				BASIC FEE (37 CFR 1.16)	
			Total of above Calculations =		
	Reduction by 50% for filing by small entity (Note 37 CFR 1.27).				
	* *Reissue claims in excess of 20 and over original patent.* ** *Reissue independent claims over original patent.*			TOTAL =	

6. ☐ Small entity status: Applicant claims small entity status. See 37 CFR 1.27.
7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. _____-_____:
   a. ☐ Fees required under 37 CFR 1.16.
   b. ☐ Fees required under 37 CFR 1.17.
   c. ☐ Fees required under 37 CFR 1.18.
8. ☐ A check in the amount of $_____ is enclosed.
9. ☐ Payment by credit card. Form PTO-2038 is attached.
10. ☐ Applicant requests suspension of action under 37 CFR 1.103(b) for a period of _____months (not to exceed 3 months) and the fee under 37 CFR 1.17(i) is enclosed.
11. ☐ New Attorney Docket Number, if desired _____
    [Prior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.]
12. a. ☐ Receipt For Facsimile Transmitted CPA (PTO/SB/29A)
    b. ☐ Return Receipt Postcard (Should be specifically itemized, See MPEP 503)
13. ☐ Other: .....

NOTE: ***The prior application's correspondence address will carry over to this CPA UNLESS a new correspondence address is provided below.***

14. NEW CORRESPONDENCE ADDRESS

☐ *Customer Number or Bar Code Label* *(Insert Customer No. or Attach bar code label here)* *or* ☐ *New correspondence address below*

Name					
Address					
City		*State*		*Zip Code*	
Country		*Telephone*		*Fax*	

15. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name (Print / Type)	
Signature	
Registration No. (Attorney/Agent)	
Date	

[Page 2 of 2]

PTO/SB/29A (08-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

If this RECEIPT is included with a request for a CPA filed by facsimile transmission, it will be date stamped and mailed to the ADDRESS in item 1.

1. ADDRESS — *Applicant's Mailing Address for this receipt must be CLEARLY PRINTED or TYPED in the box below.*

RECEIPT FOR FACSIMILE TRANSMITTED CPA

(To accompany a request for a Continued Prosecution Application (CPA) under 37 CFR 1.53(d) filed by facsimile transmission)

***NOTE:* By this receipt, the USPTO (a) acknowledges that a request for a CPA was filed by facsimile transmission on the date stamped below by the USPTO and (b) verifies only that the application number provided by the applicant on this receipt is the same as the application number provided on the accompanying request for a CPA. This receipt CANNOT be used to acknowledge receipt of any paper(s) other than the request for a CPA.**

2. APPLICATION IDENTIFICATION:
(Provide at least enough information to identify the application)

a. For prior application

Application No.: .....

Filing Date: .....

Title: .....

Attorney Docket No.: .....

First Named Inventor: .....

b. For instant CPA application

New Attorney Docket No.: .....
(if applicable)

The USPTO date stamp, which appears in the box to the right, is an acknowledgement by the USPTO of receipt of a request for a CPA filed by facsimile transmission on the date indicated below.

(THIS AREA FOR PTO DATE STAMP USE)

USPTO HANDLING INSTRUCTIONS:

Please stamp area to the right with the date the complete transmission of the request for a CPA was received in the USPTO and also include the USPTO organization name that provided the date stamp (stamp may include both items). Verify that the application number provided by applicant on this receipt is the same as the application number provided by applicant on the request for a CPA accompanying this receipt. If there is an inconsistency between the application number provided on this receipt and the request for a CPA, strike through the inconsistent application number provided on this receipt and insert the correct application number, if possible. Then place in a window envelope and mail.

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE

DATE MAILED:

NOTICE OF IMPROPER APPLICATION
No Filing Date Granted

The above-identified application was deposited as an application under 37 CFR 1.62; however, 37 CFR 1.62 practice has been abolished. Applications purporting to be an application under 37 CFR 1.62 are treated as having been filed under 37 CFR 1.53(d) as a continued prosecution application. *37 CFR 1.53(d) requires that a continued prosecution application be a continuation or divisional application (not a continuation-in-part application), and does not permit the introduction of subject matter that would have been new matter in the prior application.* The above-identified application does not meet the requirements of 37 CFR 1.53(d) to be accepted as a continued prosecution application as it is a continuation-in-part application.

As the above-identified application cannot be accepted as an application under 37 CFR 1.53(d), applicant is advised to file a petition under 37 CFR 1.53(e) and $130.00 petition fee (*37 CFR 1.17(i)*) to have the above-identified application accepted under 37 CFR 1.53(b). Unless the above-identified application was deposited with a complete specification, including claims, all drawings described in the specification and a signed oath or declaration in compliance with 37 CFR 1.63, the petition under 37 CFR 1.53(e) must also be accompanied by: (1) a true copy of the complete prior application as originally filed, including the specification, drawings and signed oath or declaration; (2) any amendments entered in the prior application; any amendments submitted but not entered in the prior application and directed to be entered in the 37 CFR 1.62 application papers; and (4) a signed oath or declaration in compliance with 37 CFR 1.63 and the surcharge required by 37 CFR 1.16(e). The true copy of the prior application, any amendments entered in the prior application or not entered in the prior application but directed to be entered on the filing date of the above-identified application, and any preliminary amendment submitted with the 37 CFR 1.62 application papers will constitute the original disclosure of the resulting application under 37 CFR 1.53(b).

Any assertion that the above-identified application may be accepted as an application under 37 CFR 1.53(d), or any request to have the above-identified application accepted as an application under 37 CFR 1.53(b), **must** be by way of petition under 37 CFR 1.53(e) directed to the attention of the Office of Petitions. Any such petition must be accompanied by the $130.00 petition fee *(37 CFR 1.17(i))*. If the petition alleges that no defect exists, a request for refund of the petition fee may be included in the petition. A petition under 37 CFR 1.53(e) as discussed above **must** be submitted within **TWO MONTHS** of the date of this notice *(37 CFR 1.181(f))* or the application may be returned or otherwise disposed of and the filing fee, if submitted, will be refunded less the $130.00 handling fee *(37 CFR 1.21(n))*. THIS TIME LIMIT MAY NOT BE EXTENDED PURSUANT TO 37 CFR 1.136.

A copy of this notice MUST be returned with the reply.

Direct the reply and any questions about this notice to:

_____, Examining Group _____.

(703) 30_____-_____.

FORM **PTO- 2011** (Rev 1/98) **PART 1 - ATTORNEY/APPLICANT COPY**

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE

DATE MAILED:

NOTICE OF IMPROPER CPA FILING UNDER 37 CFR 1.53(d)
No Filing Date Granted

The Continued Prosecution Application (CPA) request deposited on _____ is improper under 37 CFR 1.53(d) and has **not** been granted a filing date for reason(s) indicated below.

Any assertions that the above-mentioned CPA request is proper under 37 CFR 1.53(d) must be by way of petition directed to the attention of the Office of Petitions. Any such petition must be accompanied by the $130.00 petition fee *(37 CFR 1.17(i))*. If the petition alleges that no defect exists, a request for refund of the petition fee may be included in the petition.

Any petition **must** be submitted within **TWO MONTHS** of the date of this notice *(37 CFR 1.181(f))* or the application may be returned or otherwise disposed of and the filing fee, if submitted, will be refunded less the $130.00 handling fee *(37 CFR 1.21(n))*. THIS TIME LIMIT MAY NOT BE EXTENDED PURSUANT TO 37 CFR 1.136.

☐ 1. The prior application is not a complete (37 CFR 1.51(b)) application or the national stage of a PCT international application that is in compliance with 35 U.S.C. 371.

☐ 2. The request for a CPA was not filed before the payment of the issue fee on the prior application. The issue fee was paid on the prior application on _____.

☐ 3. The request for a CPA was not filed before the abandonment of, or termination of proceedings on, the prior application. The prior application was abandoned, or proceedings terminated on _____.

☐ 4. A petition under 37 CFR 1.136(a) and appropriate fee are necessary to establish copendency between this CPA and the prior application.

☐ 5. OTHER:

A copy of this notice MUST be returned with the reply.

Direct the reply and any questions about this Notice to:

_____,

Examining Group _____.

(703) 30_____-_____.

FORM **PTO-2012** (Rev. 1/98) **PART 1 - ATTORNEY/APPLICANT COPY**

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARK
Washington, D.C. 20231

APPLICATION NUMBER	FILING /RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE

DATE MAILED:

NOTICE TO FILING MISSING PARTS OF APPLICATION (CPA)
Filing Date Granted

The Continued Prosecution Application (CPA) request filed on _____ is entitled to a filing date under 37 CFR 1.53(d)(1). The CPA request, however, lacks the filing fee(s) and/or items indicated below.

Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file the fee(s), item(s), and any surcharge required below to avoid abandonment of this CPA. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The total amount owed by applicant is the sum of items 1(a) or (b), 2, and 3 (if checked) below.

☐ 1. The statutory basic filing fee is:
☐ missing.
☐ insufficient.

(a) Applicant must submit $_____ to complete the basic filing fee and the $130.00 surcharge set forth in 37 CFR 1.16(e) (non-small entity), or $_____ to complete the basic filing fee as a small entity and the $65.00 surcharge set forth in 37 CFR 1.16(e) and file a small entity statement under 37 CFR 1.27 claiming such status (if the prior application was entitled to small entity status and such status is still proper and desired, a new small entity statement is not required (37 CFR 1.28)).

(b) Applicant must submit $_____ to complete the basic filing fee as a small entity and the $65.00 surcharge set forth in 37 CFR 1.16(e).

☐ 2. Additional claim fees of
$_____ (non-small entity) or $_____ (small entity) for _____ independent claims over 3.
$_____ (non-small entity) or $_____ (small entity) for _____ claims over 20.
$_____ (non-small entity) or $_____ (small entity) for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3. A $50.00 processing fee is required since your check was returned without payment (37 CFR 1.21 (m)).

☐ 4. The CPA request is unsigned. Applicant must file a signed duplicate or ratification of the CPA request.

☐ 5. Other: _____

A copy of this Notice MUST be returned with the reply.

Direct the reply and any questions about this Notice to:

_____

Examining Group _____

(703) 30__ - _____

FORM PTO-2021 (REV. 2-98)
*U.S. GPO: 1998-433-221/82105

PART 1 - ATTORNEY/APPLICANT COPY

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE

DATE MAILED:

NOTICE OF INCOMPLETE REPLY (CPA)
(Filing Date Granted)

The reply filed on _____ to the Notice to File Missing Parts of Application (CPA) (Notice) mailed on _____ has been entered into the application. The reply, however, is incomplete for the following reason(s):

☐ 1. The filing fee required by the Notice has not been received. The amount of $ _____ is due.

☐ 2. The surcharge of $ _____ has not been received.

☐ 3. The reply does not include _____

_____ as required by the Notice.

A complete reply must be timely filed to prevent **ABANDONMENT** of the above-identified application.

The period for reply remains as set forth in the Notice. You may, however, obtain an EXTENSION OF TIME under the provisions of 37 CFR 1.136(a) by filing a petition accompanied by the appropriate fee *(37 CFR 1.17(a))*.

A copy of this notice MUST be returned with the reply.

Direct the reply and any questions about this Notice to:

_____.

Examining Group _____.

(703) 30___-_____.

FORM **PTO-2018** (Rev 12/97) **PART 1 - ATTORNEY/APPLICANT COPY**

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE

DATE MAILED:

NOTICE OF ABANDONMENT UNDER 37 CFR 1.53(f) (CPA)
(Filing Date Granted)

The above-identified Continued Prosecution Application (CPA) is abandoned for failure to timely or completely reply to the Notice to File Missing Parts of Application (CPA) (Notice) mailed on _____.

☐ No reply was received.
☐ The reply received on _____ was untimely.
☐ The reply received on _____ was incomplete. The reply did not include:

☐ 1. The surcharge required for filing the basic filing fee on a date later than the filing date of a nonprovisional application *(37 CFR 1.16(e))*.
☐ 2. The basic filing fee required by the Notice *(37 CFR 1.16 (a), (f), (g), (h))*. *(Note: A nonprovisional application may not be relied on for benefits under 35 U.S.C. 120 and 37 CFR 1.78 unless the processing and retention fee set forth in 37 CFR 1.21(l) is paid within the one year period set forth in 37 CFR 1.53(f)).*
☐ 3. The additional claims fee and/or multiple dependent claims fee required by the Notice *(37CFR 1.16(b), (c), (d), (i), (j))*.

☐ The letter of Express Abandonment filed on _____ is acknowledged; however, the application is abandoned for failure to timely or completely reply to the Notice as indicated above.

A petition to the Commissioner under 37 CFR 1.137 may be filed requesting that the application be revived.

Under 37 CFR 1.137(a), a petition requesting the application be revived on the grounds of **UNAVOIDABLE DELAY** must be filed promptly after the applicant becomes aware of the abandonment and such petition must be accompanied by: (1) an adequate showing of the cause of unavoidable delay; (2) the required reply to the above-identified Notice; (3) the petition fee set forth in 37 CFR 1.17(l); and (4) a terminal disclaimer if required by 37 CFR 1.137(c).

Under 37 CFR 1.137(b), a petition requesting the application be revived on the grounds of **UNINTENTIONAL DELAY** must be filed promptly after applicant becomes aware of the abandonment and such petition must be accompanied by: (1) a statement that the entire delay was unintentional; (2) the required reply to the above-identified Notice; (3) the petition fee set forth in 37 CFR 1.17(m); and (4) a terminal disclaimer if required by 37 CFR 1.137(c).

Any questions concerning petitions to revive should be directed to "Office of Petitions" at (703) 305-9282.

_____.

Examining Group _____.

(703) 30___-_____.

FORM **PTO-2019** (Rev 12/97) **PART 1 - ATTORNEY/APPLICANT COPY**

201.07 Continuation Application

A continuation is a second application for the same invention claimed in a prior nonprovisional application and filed before the original becomes abandoned or patented. The continuation application may be filed under 37 CFR 1.53(b) or 1.53(d). The applicant in the continuation application must include at least one inventor named in the prior nonprovisional application. The disclosure presented in the continuation must be the same as that of the original application; i.e., the continuation should not include anything which would constitute new matter if inserted in the original application.

An application claiming the benefits of a provisional application under 35 U.S.C. 119(e) should not be called a "continuation" of the provisional application since an application that claims benefit of a provisional application is a nonprovisional application of a provisional application, not a continuation, division, or continuation-in-part of the provisional application.

At any time before the patenting or abandonment of or termination of proceedings on his or her earlier nonprovisional application, an applicant may have recourse to filing a continuation in order to introduce into the application a new set of claims and to establish a right to further examination by the primary examiner. An application under 37 CFR 1.53(d), however, must be filed prior to payment of the issue fee unless a petition under 37 CFR 1.313(c) is granted in the prior application. In addition, a continuation or divisional application may only be filed under 37 CFR 1.53(d) if the prior nonprovisional application is: (A) a utility or plant application that was filed under 35 U.S.C. 111(a) before May 29, 2000, and is complete as defined by 37 CFR 1.51(b); (B) a design application that is complete as defined by 37 CFR 1.51(b); or (C) the national stage of an international application that was filed under 35 U.S.C. 363 before May 29, 2000, and is in compliance with 35 U.S.C. 371.

For notation to be put on the file wrapper by the examiner in the case of a continuation application, see MPEP § 202.02.

Use form paragraph 2.05 to remind applicant of possible continuation status.

¶ 2.05 Possible Status as Continuation

This application discloses and claims only subject matter disclosed in prior application no **[1]**, filed **[2]**, and names an inventor or inventors named in the prior application. Accordingly, this application may constitute a continuation or division. Should applicant desire to obtain the benefit of the filing date of the prior application, attention is directed to 35 U.S.C. 120 and 37 CFR 1.78.

Examiner Note:

1. This form paragraph should only be used if it appears that the application may be a continuation, but priority has not been properly established.
2. An application claiming the benefits of a provisional application under 35 U.S.C. 119(e) should not be called a "continuation" of the provisional application since an application that claims benefit of a provisional application is a nonprovisional application of a provisional application, not a continuation, division, or continuation-in-part of the provisional application.

201.08 Continuation-in-Part Application

A continuation-in-part is an application filed during the lifetime of an earlier nonprovisional application, repeating some substantial portion or all of the earlier nonprovisional application and *adding matter not disclosed* in the said earlier nonprovisional application. (*In re Klein*, 1930 C.D. 2, 393 O.G. 519 (Comm'r Pat. 1930)). The continuation-in-part application may only be filed under 37 CFR 1.53(b).

A continuation-in-part application CANNOT be filed as a continued prosecution application (CPA) under 37 CFR 1.53(d).

An application claiming the benefit of a provisional application under 35 U.S.C. 119(e) should not be called a "continuation-in-part" of the provisional application since an application that claims benefit of a provisional application is a nonprovisional application of a provisional application, not a continuation, division, or continuation-in-part of the provisional application.

The mere filing of a continuation-in-part does not itself create a presumption that the applicant acquiesces in any rejections which may be outstanding in the copending national nonprovisional application or applications upon which the continuation-in-part application relies for benefit.

A continuation-in-part filed by a sole applicant may also derive from an earlier joint application showing a portion only of the subject matter of the later application, subject to the conditions set forth in 35 U.S.C.

120 and 37 CFR 1.78. Subject to the same conditions, a joint continuation-in-part application may derive from an earlier sole application.

Unless the filing date of the earlier nonprovisional application is actually needed, for example, in the case of an interference or to overcome a reference, there is no need for the Office to make a determination as to whether the requirement of 35 U.S.C. 120, that the earlier nonprovisional application discloses the invention of the second application in the manner provided by the first paragraph of 35 U.S.C. 112, is met and whether a substantial portion of all of the earlier nonprovisional application is repeated in the second application in a continuation-in-part situation. Accordingly, an alleged continuation-in-part application should be permitted to claim the benefit of the filing date of an earlier nonprovisional application if the alleged continuation-in-part application complies with the following formal requirements of 35 U.S.C. 120:

(A) The first application and the alleged continuation-in-part application were filed with at least one common inventor;

(B) The alleged continuation-in-part application was "filed before the patenting or abandonment of or termination of proceedings on the first application or an application similarly entitled to the benefit of the filing date of the first application"; and

(C) The alleged continuation-in-part application "contains or is amended to contain a specific reference to the earlier filed application." (The specific reference may be in an application data sheet. See 37 CFR 1.76.)

For notation to be put on the file wrapper by the examiner in the case of a continuation-in-part application see MPEP § 202.02. See MPEP § 708 for order of examination.

Use form paragraph 2.06 to remind applicant of possible continuation-in-part status.

¶ 2.06 Possible Status as Continuation-in-Part

This application repeats a substantial portion of prior Application No. **[1]**, filed **[2]**, and adds and claims additional disclosure not presented in the prior application. Since this application names an inventor or inventors named in the prior application, it may constitute a continuation-in-part of the prior application. Should applicant desire to obtain the benefit of the filing date of the prior application, attention is directed to 35 U.S.C. 120 and 37 CFR 1.78.

Examiner Note:

1. This form paragraph should only be used when it appears that the application may qualify as a continuation-in-part, but no priority claim has been perfected.
2. An application claiming the benefits of a provisional application under 35 U.S.C. 119(e) should not be called a "continuation-in-part" of the provisional application since an application that claims benefit of a provisional application is a nonprovisional application of a provisional application, not a continuation, division, or continuation-in-part of the provisional application.

201.09 Substitute Application

The use of the term "Substitute" to designate any application which is in essence the duplicate of an application by the same applicant abandoned before the filing of the later application, finds official recognition in the decision *Ex parte Komenak*, 1940 C.D. 1, 512 O.G. 739 (Comm'r Pat. 1940). Current practice does not require applicant to insert in the specification reference to the earlier application; however, attention should be called to the earlier application. The notation on the file wrapper (see MPEP § 202.02) that one application is a "Substitute" for another is printed in the heading of the patent copies. See MPEP § 202.02.

As is explained in MPEP § 201.11, a "Substitute" does not obtain the benefit of the filing date of the prior application.

Use form paragraph 2.07 to remind applicant of possible substitute status.

¶ 2.07 Definition of a Substitute

Applicant refers to this application as a "substitute" of Application No. **[1]**, filed **[2]**. The use of the term "substitute" to designate an application which is in essence the duplicate of an application by the same applicant abandoned before the filing of the later case finds official recognition in the decision, *Ex parte Komenak*, 1940 C.D. 1, 512 O.G. 739 (Comm'r Pat. 1940). The notation on the file wrapper (See MPEP § 202.02) that one case is a "substitute" for another is printed in the heading of the patent copies. A "substitute" does not obtain the benefit of the filing date of the prior application.

201.10 Refile

No official definition has been given the term "Refile," though it is sometimes used as an alternative for the term "Substitute."

If the applicant designates his or her application as "Refile" and the examiner finds that the application is in fact a duplicate of a former application by the same party which was abandoned prior to the filing of the second application, the examiner should require the

substitution of the word "substitute" for "refile", since the former term has official recognition.

Use form paragraph 2.08 to remind applicant of possible refile status.

¶ 2.08 Definition of a Refile

It is noted that applicant refers to this application as a "refile." No official definition has been given the term "refile," though it is sometimes used as an alternative for the term "substitute." Since this application appears to be in fact a duplicate of a former application which was abandoned prior to the filing of the second case, the substitution of the word "substitute" for "refile" is required since the term "substitute" has official recognition. Applicant is required to make appropriate corrections.

201.11 Continuity Between Applications: When Entitled to Filing Date

Under certain circumstances an application for patent is entitled to the benefit of the filing date of a prior nonprovisional application or provisional application which has at least one common inventor. The conditions are specified in 35 U.S.C. 120 and 35 U.S.C. 119(e).

35 U.S.C. 120. Benefit of earlier filing date in the United States.

An application for patent for an invention disclosed in the manner provided by the first paragraph of section 112 of this title in an application previously filed in the United States, or as provided by section 363 of this title, which is filed by an inventor or inventors named in the previously filed application shall have the same effect, as to such invention, as though filed on the date of the prior application, if filed before the patenting or abandonment of or termination of proceedings on the first application or on an application similarly entitled to the benefit of the filing date of the first application and if it contains or is amended to contain a specific reference to the earlier filed application. No application shall be entitled to the benefit of an earlier filed application under this section unless an amendment containing the specific reference to the earlier filed application is submitted at such time during the pendency of the application as required by the Director. The Director may consider the failure to submit such an amendment within that time period as a waiver of any benefit under this section. The Director may establish procedures, including the payment of a surcharge, to accept an unintentionally delayed submission of an amendment under this section.

35 U.S.C. 119. Benefit of earlier filing date; right of priority.

*****

(e)(1) An application for patent filed under section 111(a) or section 363 of this title for an invention disclosed in the manner provided by the first paragraph of section 112 of this title in a provisional application filed under section 111(b) of this title, by an inventor or inventors named in the provisional application, shall have the same effect, as to such invention, as though filed on the date of the provisional application filed under section 111(b) of this title, if the application for patent filed under section 111(a) or section 363 of this title is filed not later than 12 months after the date on which the provisional application was filed and if it contains or is amended to contain a specific reference to the provisional application. No application shall be entitled to the benefit of an earlier filed provisional application under this subsection unless an amendment containing the specific reference to the earlier filed provisional application is submitted at such time during the pendency of the application as required by the Director. The Director may consider the failure to submit such an amendment within that time period as a waiver of any benefit under this subsection. The Director may establish procedures, including the payment of a surcharge, to accept an unintentionally delayed submission of an amendment under this subsection during the pendency of the application

(2) A provisional application filed under section 111(b) of this title may not be relied upon in any proceeding in the Patent and Trademark Office unless the fee set forth in subparagraph (A) or (C) of section 41(a)(1) of this title has been paid.

(3) If the day that is 12 months after the filing date of a provisional application falls on a Saturday, Sunday, or Federal holiday within the District of Columbia, the period of pendency of the provisional application shall be extended to the next succeeding secular or business day.

There are six conditions for receiving the benefit of an earlier filing date under 35 U.S.C. 120 or under 35 U.S.C. 119(e).

(A) The second application must be an application for a patent for an invention which is also disclosed in the first application (the parent or original nonprovisional application or provisional application); the disclosure of the invention in the first application and in the second application must be sufficient to comply with the requirements of the first paragraph of 35 U.S.C. 112. See *Transco Prods., Inc. v. Performance Contracting, Inc.*, 38 F.3d 551, 32 USPQ2d 1077 (Fed. Cir. 1994).

Form paragraphs 2.09 and 2.10 should be used where the disclosure of the second application is not for an invention disclosed in the first application.

¶ 2.09 Heading for Conditions for Domestic Priority Under 35 U.S.C. 119(e) or 120

Applicant has not complied with one or more conditions for receiving the benefit of an earlier filing date under 35 U.S.C. **[1]** as follows:

Examiner Note:

1. In bracket 1, insert either or both --119(e)-- or --120--.
2. One or more of the following form paragraphs 2.10 to 2.12 must follow depending upon the circumstances.

¶ 2.10 Disclosure Must Be the Same

The second application must be an application for a patent for an invention which is also disclosed in the first application (the parent or provisional application); the disclosure of the invention in the parent application and in the second application must be sufficient to comply with the requirements of the first paragraph of 35 U.S.C. 112. See *Transco Products, Inc. v. Performance Contracting, Inc.*, 38 F.3d 551, 32 USPQ2d 1077 (Fed. Cir. 1994).

Examiner Note:

1. This form paragraph must be preceded by heading form paragraph 2.09.
2. Form paragraph 2.29 should be used where the claim(s) of the nonprovisional application lack(s) support in the disclosure of the provisional application.

¶ 2.29 Domestic Priority Not Granted

Applicant's claim for domestic priority under 35 U.S.C. 119(e) is acknowledged. However, the provisional application upon which priority is claimed fails to provide adequate support under 35 U.S.C. 112 for claim **[1]** of this application. **[2]**

Examiner Note:

1. This form paragraph may be used when there is lack of support in the provisional application for the pending claims in the nonprovisional application.
2. In bracket 2, provide an explanation of lack of support.

(B) With respect to claiming benefit under 35 U.S.C. 120, 121, or 365(c), the second application must be copending with the first application or with an application similarly entitled to the benefit of the filing date of the first application. With respect to claiming benefit under 35 U.S.C. 119(e) to provisional applications, effective November 29, 1999, Public Law 106-113 amended 35 U.S.C119(e)(2) to eliminate the copendency requirement for a nonprovisional application claiming benefit of a provisional application. However, pursuant to 35 U.S.C. 119(e)(1), the nonprovisional application must be filed not later than 12 months after the date on which the provisional application was filed. If the day that is 12 months after the filing date of a provisional application falls on a Saturday, Sunday, or Federal holiday within the District of Columbia, the period of pendency of the provisional application is extended to the next succeeding business day and the nonprovisional application may be filed on that next succeeding business day. See 35 U.S.C. 119(e)(3), 37 CFR 1.7(b), and MPEP § 201.04(b) and § 505.

(C) The second application must contain a specific reference to the prior application(s) in the specification or in an application data sheet. In addition, if a nonprovisional application (including reissue) that is filed on or after November 29, 2000 claims benefit of an international application, the first sentence of the specification must be amended to indicate whether the international application was published under PCT Article 21(2) in English.

A request for a continued prosecution application (CPA) filed under 37 CFR 1.53(d) is itself the specific reference required by 35 U.S.C. 120 and 37 CFR 1.78(a)(2) to every application assigned the same application number identified in the request. (Note: The CPA is assigned the same application number as the prior application.) In a CPA, a specific reference in the first sentence of the specification following the title, or in an application data sheet, to a prior application assigned the same application number is not required and should not be made. No amendment in a CPA may delete the specific reference to the prior application assigned the same application number. A specific reference to an application not assigned the same application number, but relied on for benefit under 35 U.S.C. 120 and 37 CFR 1.78(a)(2) is required. In addition, if a CPA that is filed on or after November 29, 2000 claims benefit of an international application, the first sentence of the specification must be amended to indicate whether the international application was published under PCT Article 21(2) in English. Cross references to other related applications not assigned the same application as the CPA may be made when appropriate.

Form paragraphs 2.09 and 2.12 should be used to indicate reference to the prior application. Form paragraphs 2.09 and 2.37 should be used to inform applicant that the indication of whether the international application was published under PCT Article 21(2) in English is required.

¶ 2.12 Application Must Contain a Reference to Parent

An application in which the benefits of an earlier application are desired must contain a specific reference to the prior application(s) in the first sentence of the specification or in an application data sheet (37 CFR 1.78(a)(2) and (a)(5)).

Examiner Note:

1. This form paragraph must be preceded by heading form paragraph 2.09.
2. This form paragraph should not be used for a continued prosecution application (CPA). In a continued prosecution application (CPA) filed under 37 CFR 1.53(d), a specific reference in the first sentence of the specification or in an application data sheet to the prior application is not required and should not be made. The specific reference requirement of 35 U.S.C. 120 is met by the transmittal request for the CPA which is considered to be part of the CPA application (37 CFR 1.53(d)(2)(iv) and (d)(7)).

¶ 2.37 Reference to an International Application

This application claims benefit to international application No. **[1]** filed on **[2]**. Applications that are filed on or after November 29, 2000, and that claim benefit to an earlier-filed international application must include in the first sentence of the specification an indication of whether the international application was published in English under PCT Article 21(2) (regardless of whether the benefit for such application is claimed in an application data sheet). See 37 CFR 1.78(a)(2). The indication, as required by 37 CFR 1.78(a)(2), is missing. Applicant must supply the missing indication as an amendment to the specification in the reply to this Office actions.

Examiner Note:

1. Use this form paragraph to inform the applicant that an amendment to the first sentence of the specification indicating that the international application was published in English under PCT Article 21(2) is required.
2. Use only for applications (including CPAs) filed on or after November 29, 2000.
3. In bracket 1, insert the application number of the prior international application.
4. In bracket 2, insert the filing date of the prior international application.

(D) The second application must be filed by an inventor or inventors named in the previously filed application.

(E) For utility or plant applications (including reissues) filed on or after November 29, 2000, benefit claims under 35 U.S.C. 119(e), 120, 121 and 365(c) must be made during the pendency of the application and within the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior application. See 37 CFR 1.78 (a)(2) and (a)(5). This time period is not extendable and a failure to submit the reference required by 35 U.S.C. 119(e) and/or 120, where applicable, within this time period is considered a waiver of any benefit of such prior application under 35 U.S.C. 119(e), 120, 121 and 365(c). For a more detailed explanation, see "TIME PERIOD FOR MAKING A CLAIM FOR BENEFIT (37 CFR 1.78(a)(2) and (a)(5)" below

(F) For utility or plant applications that are filed on or after November 29, 2000, and which claim benefit of a provisional application which was filed in a language other than English, an English language translation of the non-English language provisional application and a statement that the translation is accurate must be filed with the benefit claim and within the required time period under 37 CFR 1.78(a)(5).

Form paragraph 2.38 may be used to notify applicant that an English translation of the non-English language provisional application is required.

¶ 2.38 Reference to a Non-English Language Provisional Application

This application claims benefit to a provisional application No. **[1]**, filed on **[2]**, in a language other than English. Applications that are filed on or after November 29, 2000, and that claim benefit of a provisional application filed in a non-English language, must include an English translation of the non-English language provisional application and a statement that the translation is accurate. See 37 CFR 1.78(a)(5). The **[3]** as required by 37 CFR 1.78(a)(5) is missing. Applicant must supply the missing **[4]** in the reply to this Office action prior to the expiration of the time period set in 37 CFR 1.78(a)(5). If the time period set in 37 CFR 1.78(a)(5) has expired, applicant must also file a petition for unintentional delayed benefit claim during the pendency of the nonprovisional application (37 CFR 1.78(a)(6)).

Examiner Note:

1. Use this form paragraph to notify applicant that an English translation of the non-English language provisional application and/or a statement that the translation is accurate is required.
2. Use only for utility or plant nonprovisional applications (including CPAs) filed on or after November 29, 2000.
3. In bracket 1, insert the application number of the non-English language provisional application.
4. In bracket 2, insert the filing date of the prior provisional application.
5. In brackets 3 and 4, insert --English translation and a statement that the translation is accurate-- or --statement that the translation is accurate--, where appropriate.

COPENDENCY

Copendency is defined in the clause which requires that the second application must be filed before (1) the patenting, or (2) the abandonment of, or (3) the termination of proceedings in the first application. With respect to provisional applications, Public Law 106-113 amended 35 U.S.C. 119(e)(2) to eliminate the copendency requirement for a nonprovisional application claiming benefit of a provisional application. 35 U.S.C. 119(e)(2) as amended by Public Law

106-113 is effective as of November 29, 1999 and applies to any provisional applications filed on or after June 8, 1995 but has no effect on any patent which is the subject of litigation in an action commenced before November 29, 1999.

Use form paragraphs 2.09 and 2.11 to indicate copendency is required.

¶ 2.11 Application Must Be Copending With Parent

This application is claiming the benefit of a prior filed nonprovisional application under 35 U.S.C. 120, 121, or 365(c). Copendency between the current application and the prior application is required.

Examiner Note:

1. This form paragraph must be preceded by heading form paragraph 2.09.
2. Do not use this form paragraph for priority claims under 35 U.S.C. 119(e) to provisional applications.

If the first application issues as a patent, it is sufficient for the second application to be copending with it if the second application is filed on the same date, or before the date that the patent issues on the first application. Thus, the second application may be filed under 37 CFR 1.53(b) while the first is still pending before the examiner, or is in issue, or even between the time the issue fee is paid and the patent issues. In view of the new patent publication process, it is anticipated that utility patents will be published within four weeks of payment of the issue fee. Applicants are encouraged to file any continuing applications no later than the date the issue fee is paid, to avoid issuance of the first application before the continuing application is filed.

If the first application is abandoned, the second application must be filed before the abandonment in order for it to be copending with the first. The term "abandoned," refers to abandonment for failure to prosecute (MPEP § 711.02), express abandonment (MPEP § 711.01), and abandonment for failure to pay the issue fee (37 CFR 1.316).

The expression "termination of proceedings" includes the situations when an application is abandoned or when a patent has been issued, and hence this expression is the broadest of the three.

After a decision by the Court of Appeals for the Federal Circuit in which the rejection of all claims is affirmed, proceedings are terminated on the date of receipt of the Court's certified copy of the decision by the U.S. Patent and Trademark Office. *Continental Can Company, Inc. v. Schuyler*, 168 USPQ 625 (D.D.C. 1970). There are several other situations in which proceedings are terminated as is explained in MPEP § 711.02(c).

When proceedings in an application are terminated, the application is treated in the same manner as an abandoned application, and the term "abandoned application" may be used broadly to include such applications.

The term "continuity" is used to express the relationship of copendency of the same subject matter in two different applications of the same inventor. The second application may be referred to as a continuing application when the first application is not a provisional application. Continuing applications include those applications which are called divisions, continuations, and continuations-in-part. As far as the right under the statute is concerned the name used is immaterial, the names being merely expressions developed for convenience. The statute is so worded that the first application may contain more than the second, or the second application may contain more than the first, and in either case the second application is entitled to the benefit of the filing date of the first as to the common subject matter.

REFERENCE TO FIRST APPLICATION

The third requirement of the statute is that the second (or subsequent) application must contain a specific reference to the first application. This should appear as the first sentence of the specification following the title preferably as a separate paragraph (37 CFR 1.78(a)) and/or in an application data sheet (37 CFR 1.76). If the specific reference is only contained in the application data sheet, then the priority information will be included on the front page of any patent or patent application publication, but will not be included in the first sentence of the specification.

A request for a continued prosecution application (CPA) filed under 37 CFR 1.53(d) is itself the specific reference required by 35 U.S.C. 120 and 37 CFR 1.78(a)(2) to every application assigned the same application number identified in the request. (Note: The CPA is assigned the same application number as the prior application.) In a CPA, a specific reference in the first sentence of the specification following the title, or in an application data sheet, to a prior application assigned the same application number is not

required and may not be made. Any such reference will be deleted. No amendment in a CPA may delete the specific reference to the prior application assigned the same application number. A specific reference to an application not assigned the same application number, but relied on for benefit under 35 U.S.C. 120 and 37 CFR 1.78(a)(2) is required. Cross references to other related applications not assigned the same application as the CPA may be made when appropriate.

When a nonprovisional application (other than a CPA) is entitled under 35 U.S.C. 120 to an earlier U.S. effective filing date, a statement such as "This is a division (continuation, continuation-in-part) of Application No. ---, filed ---" should appear as the first sentence of the description or in an application data sheet, except in the case of design applications where it should appear as set forth in MPEP § 1504.20. In the case of an application filed under 37 CFR 1.53(b) as a division, continuation or continuation-in-part of a CPA, there should be only one reference to the series of applications assigned the same application number, with the filing date cited being that of the original noncontinued application. Where a nonprovisional application is claiming the benefit under 35 U.S.C. 120 of a prior national stage application filed under 35 U.S.C. 371, a suitable reference would read "This application is a continuation of U.S. Application No. 08/---, filed ---, which was the National Stage of International Application No. PCT/DE95/---, filed ---." In addition, if a nonprovisional application (including reissue) that is filed on or after November 29, 2000 claims benefit of an international application, the first sentence of the specification must be amended to indicate whether the international application was published in English under PCT Article 21(2). When the nonprovisional application is entitled to an earlier U.S. effective filing date of one or more provisional applications under 35 U.S.C. 119(e), a statement such as "This application claims the benefit of U.S. Provisional Application No. 60/---, filed ---, and U.S. Provisional Application No. 60/ ---, filed ---." should appear as the first sentence of the description or in an application data sheet. In addition, for an application which is claiming the benefit under 35 U.S.C. 120 of a prior application, which in turn claims the benefit of a provisional application under 35 U.S.C. 119(e), a suitable reference would read, "This application is a continuation of U.S. Application No. 08/---, filed ---, now abandoned, which claims the benefit of U.S. Provisional Application No. 60/---, filed ---." Status of nonprovisional parent applications (whether it is patented or abandoned) should also be included. If a parent application has become a patent, the expression, "Patent No. _ _ " should follow the filing date of the parent application. If a parent application has become abandoned, the expression "abandoned" should follow the filing date of the parent application. In the case of design applications, it should appear as set forth in MPEP § 1504.20. In view of this requirement, the right to rely on a prior application may be waived or refused by an applicant by refraining from inserting a reference to the prior application in the specification of the later one. If the examiner is aware of the fact that an application is a continuing application of a prior one, he or she should merely call attention to this in an Office action by using the wording of form paragraphs 2.15 or 2.16.

¶ 2.15 Reference to Parent Application, 35 U.S.C. 119(e) or 120 Benefit

If applicant desires priority under 35 U.S.C. **[1]** based upon a previously filed copending application, specific reference to the earlier filed application must be made in the instant application. This should appear as the first sentence of the specification following the title, preferably as a separate paragraph. The status of nonprovisional parent application(s) (whether patented or abandoned) should also be included. If a parent application has become a patent, the expression "now Patent No. _____" should follow the filing date of the parent application. If a parent application has become abandoned, the expression "now abandoned" should follow the filing date of the parent application.

If the application is a utility or plant application filed on or after November 29, 2000, any claim for priority must be made during the pendency of the application and within the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior application. See 37 CFR 1.78(a)(2) and (a)(5). This time period is not extendable and a failure to submit the reference required by 35 U.S.C. 119(e) and/or 120, where applicable, within this time period is considered a waiver of any benefit of such prior application(s) under 35 U.S.C. 119(e), 120, 121 and 365(c). A priority claim filed after the required time period may be accepted if it is accompanied by a grantable petition to accept an unintentionally delayed claim for priority under 35 U.S.C. 119(e), 120, 121 and 365(c). The petition must be accompanied by (1) a surcharge under 37 CFR 1.17(t), and (2) a statement that the entire delay between the date the claim was due under 37 CFR 1.78(a)(2) or (a)(5) and the date the claim was filed was unintentional. The Commissioner may require additional information where there is a question whether the delay was unintentional. The petition should be directed to the Office of

Petitions, Box DAC, Assistant Commissioner for Patents, Washington, DC 20231.

Examiner Note:

1. In bracket 1, insert --119(e)-- or --120--.
2. In a continued prosecution application (CPA) filed under 37 CFR 1.53(d), a specific reference in the first sentence of the specification, or in an application data sheet, to the prior application is not required and may not be made. The specific reference requirement of 35 U.S.C. 120 is met by the transmittal request for the CPA which is considered to be part of the CPA application. 37 CFR 1.53(d)(2)(iv) and (d)(7).

¶ 2.16 Reference to Copending Application

It is noted that this application appears to claim subject matter disclosed in prior copending Application No. **[1]**, filed **[2]**. A reference to the prior application must be inserted as the first sentence of the specification of this application or in an application data sheet (37 CFR 1.76), if applicant intends to rely on the filing date of the prior application under 35 U.S.C. 119(e) or 120. See 37 CFR 1.78(a). Also, the current status of all nonprovisional parent applications referenced should be included.

If the application is a utility or plant application filed on or after November 29, 2000, any claim for priority must be made during the pendency of the application and within the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior application. See 37 CFR 1.78(a)(2) and (a)(5). This time period is not extendable and a failure to submit the reference required by 35 U.S.C. 119(e) and/or 120, where applicable, within this time period is considered a waiver of any benefit of such prior application(s) under 35 U.S.C. 119(e), 120, 121 and 365(c). A priority claim filed after the required time period may be accepted if it is accompanied by a grantable petition to accept an unintentionally delayed claim for priority under 35 U.S.C. 119(e), 120, 121 and 365(c). The petition must be accompanied by (1) a surcharge under 37 CFR 1.17(t), and (2) a statement that the entire delay between the date the claim was due under 37 CFR 1.78(a)(2) or (a)(5) and the date the claim was filed was unintentional. The Commissioner may require additional information where there is a question whether the delay was unintentional. The petition should be directed to the Office of Petitions, Box DAC, Assistant Commissioner for Patents, Washington, DC 20231.

Examiner Note:

In a continued prosecution application (CPA) filed under 37 CFR 1.53(d), a specific reference in the first sentence of the specification, or in an application data sheet, to the prior application is not required and may not be made. The specific reference requirement of 35 U.S.C. 120 is met by the transmittal request for the CPA which is considered to be part of the CPA application. 37 CFR 1.53(d)(2)(iv) and (d)(7).

If the examiner is aware of a prior application he or she should note it in an Office action, as indicated above, but should not require the applicant to call attention to the prior application.

In an application filed under former 37 CFR 1.60 applicant, in the amendment canceling the nonelected claims, should include directions to enter "This is a division (continuation) of application No....., filed ....." as the first sentence. Where the applicant has inadvertently failed to do this the wording of form paragraph 2.17 should be used. Where the application filed under former 37 CFR 1.60 is otherwise ready for allowance, the examiner should insert the quoted sentence by examiner's amendment.

Applications are sometimes filed with a division, continuation, or continuation-in-part oath or declaration, in which the oath or declaration refers back to a prior application. If there is no reference in the specification of an application filed under former 37 CFR 1.60, in such cases, the examiner should merely call attention to this fact in his or her Office action, utilizing the wording of form paragraph 2.17.

¶ 2.17 Reference in Continuation/Divisional Applications Under Former 37 CFR 1.60

This application filed under former 37 CFR 1.60 lacks the necessary reference to the prior application. A statement reading "This is a **[1]** of Application No. **[2]**, filed **[3]**." should be entered following the title of the invention or as the first sentence of the specification. Also, the current status of all nonprovisional parent applications referenced should be included.

Examiner Note:

1. In bracket 1, insert either --division-- or --continuation--.
2. Use only in former 37 CFR 1.60 applications. For File Wrapper Continuing applications under former 37 CFR 1.62, use form paragraph 2.28.
3. Do not use if the prior application is a provisional application.
4. Do not use if the application is a continued prosecution application (CPA) filed under 37 CFR 1.53(d).

Where the applicant has inadvertently failed to make a reference to the parent application in an application filed under former 37 CFR 1.60 or 1.62 which is otherwise ready for issue, the examiner should insert the required reference by a formal examiner's amendment.

Sometimes a pending application is one of a series of applications wherein the pending application is not copending with the first filed application but is copending with an intermediate application entitled to the benefit of the filing date of the first application. If applicant desires that the pending application have the benefit of the filing date of the first filed application he or she must, besides making reference to the

intermediate application, also make reference to the first application. See *Hovlid v. Asari*, 305 F. 2d 747, 134 USPQ 162 (9th Cir. 1962); and *Sticker Indus. Supply Corp. v. Blaw-Knox Co.*, 405 F.2d 90, 160 USPQ 177 (7th Cir. 1968).

There is no limit to the number of prior applications through which a chain of copendency may be traced to obtain the benefit of the filing date of the earliest of a chain of prior copending applications. See *In re Henriksen*, 399 F2.d 253, 158 USPQ 224 (CCPA 1968).

A second application which is not copending with the first application, which includes those called substitutes in MPEP § 201.09, is not entitled to the benefit of the filing date of the prior application and the bars to the grant of a patent are computed from the filing date of the second application. An applicant is not required to refer to such applications in an application data sheet or in the specification of the later filed application, but is required to otherwise call the examiner's attention to the earlier application if it or its contents or prosecution are material as defined in 37 CFR 1.56(b). If the examiner is aware of such a prior abandoned application he or she should make a reference to it in an Office action in order that the record of the second application will show this fact.

If an applicant refers to a prior noncopending abandoned application in the specification or in an application data sheet, the manner of referring to it should make it evident that it was abandoned before filing the second.

For notations to be placed on the file wrapper in the case of continuing applications, see MPEP § 202.02 and § 1302.09.

Effective June 8, 1995, Public Law 103-465 amended 35 U.S.C. 154 to change the term of a patent to 20 years measured from the filing date of the earliest U.S. application for which benefit under 35 U.S.C. 120, 121, or 365(c) is claimed. The 20-year patent term applies to all utility and plant patents issued on applications filed on or after June 8, 1995. As a result of the 20-year patent term, it is expected, in certain circumstances, that applicants may cancel their claim to priority by amending the specification or submitting a new application data sheet (no supplemental declaration is necessary) to delete any references to prior applications. In a continued prosecution application (CPA) filed under 37 CFR 1.53(d), no amendment may delete the specific reference to a prior application assigned the same application number. (Note: In the CPA, the request is the specific reference required by 35 U.S.C. 120 and 37 CFR 1.78(a)(2) to every application assigned the same application number identified in the request. Further, in a CPA, a specific reference in the first sentence of the specification following the title, or in an application data sheet, to a prior application assigned the same application number is not required and should not be made.) Upon entry of the amendment, the examiner must return the application to the Office of Initial Patent Examination (OIPE), accompanied by a completed OIPE Data Base Routing Slip, for correction of the file wrapper label and for updating the PALM data base. For 09/ series applications, it will not be necessary to forward the application to OIPE for correction of the parent application data in PALM. The correction or entry of the data in the PALM data base can be made by technical support staff of the TC. Upon entry of the data, a new PALM bib-data sheet should be printed and placed in the file wrapper. See also MPEP § 707.05 and § 1302.09.

SAME INVENTOR OR INVENTORS

The statute also requires that the applications claiming benefit of the earlier filing date under 35 U.S.C. 119(e) or 120 be filed by an inventor or inventors named in the previously filed application or provisional application.

TIME PERIOD FOR MAKING A CLAIM FOR BENEFIT 37 CFR 1.78(a)(2) AND (a)(5))

The time period requirement under 37 CFR 1.78(a)(2) and (a)(5) is only applicable to utility or plant applications filed on or after November 29, 2000.

The American Inventors Protection Act of 1999 (AIPA), Public Law 106-113, amended 35 U.S.C. 119 and 120 to provide that the Office may set a time period for the filing of benefit claims and establish procedures to accept an unintentionally delayed benefit claim. The Office has implemented these statutory changes, in part, by amending 37 CFR 1.78 to include: (A) a time period within which a benefit claim to a prior nonprovisional or provisional application must be stated or it is considered waived; and (B) provisions for the acceptance of the unintentionally

delayed submission of a claim to the benefit of a prior nonprovisional or provisional application.

As a result, benefit claims under 35 U.S.C. 119(e), 120, 121 and 365(c) must be made during the pendency of the application and within the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior application. See 37 CFR 1.78(a)(2) and (a)(5). In addition, if the prior application is a provisional application filed in a language other than English, an English language translation of the provisional application must be submitted during the same time period. See 37 CFR 1.78(a)(5). This time period is not extendable and a failure to submit the reference required by 35 U.S.C. 119(e) and/or 120, where applicable, within this time period is considered a waiver of any benefit of such prior application(s) under 35 U.S.C. 119(e), 120, 121 and 365(c).

If the reference required by 35 U.S.C. 120 and 37 CFR 1.78(a)(2) is not submitted within the required time period, a petition for an unintentionally delayed claim may be filed. The petition must be accompanied by: (A) a surcharge under 37 CFR 1.17(t); and (B) a statement that the entire delay between the date the claim was due under 37 CFR 1.78(a)(2) and the date the claim was filed was unintentional. The Commissioner may require additional information where there is a question whether the delay was unintentional. See 37 CFR 1.78(a)(3).

Likewise, if the reference required by 35 U.S.C. 119(e) and 37 CFR 1.78(a)(5) is not submitted within the required time period, a petition for an unintentionally delayed claim may be filed. The petition for an unintentionally delayed benefit claim must be submitted during the pendency of the nonprovisional application. The petition must be accompanied by: (A) a surcharge under 37 CFR 1.17(t); and (B) a statement that the entire delay between the date the claim was due under 37 CFR 1.78(a)(5) and the date the claim was filed was unintentional. The Commissioner may require additional information where there is a question whether the delay was unintentional. See 37 CFR 1.78(a)(6).

Petitions for an unintentionally delayed benefit claim should be forwarded to the Office of Petitions. See MPEP § 1002.02(b).

If a benefit claim is filed after the required time period and without a petition as required by 37 CFR 1.78(a)(3) or (a)(6), the applicant should be informed that the benefit claim was not entered and that a petition needs to be filed using form paragraph 2.39.

¶ 2.39 35 U.S.C. 119(e), 120, 121 or 365(c) Benefit Claim is Untimely

The benefit claim filed on **[1]** was not entered because the required reference was not filed during the pendency of the application and prior to the later of four months from the filing date of the application or sixteen months from the filing date of the prior application. See 37 CFR 1.78(a)(2) and (a)(5). If applicant desires priority under 35 U.S.C. **[2]** based upon a previously filed copending application, applicant must file a petition for an unintentionally delayed benefit claim under 37 CFR 1.78(a)(3) or (a)(6). The petition must be accompanied by: (1) a surcharge under 37 CFR 1.17(t); and (2) a statement that the entire delay between the date the claim was due under 37 CFR 1.78(a)(2) or (a)(5) and the date the claim was filed was unintentional. The Commissioner may require additional information where there is a question whether the delay was unintentional. The petition should be directed to the Office of Petitions, Box DAC, Assistant Commissioner for Patents, Washington, DC 20231.

Examiner Note:

1. Use this form paragraph only for utility or plant applications filed on or after November 29, 2000.
2. In bracket 1, insert the filing date of the amendment or paper containing the benefit claim.
3. In bracket 2, insert --119(e)--, --120--, --121--, or --365(c)--.

WHEN NOT ENTITLED TO BENEFIT OF FILING DATE

Where the first application (a nonprovisional application) is found to be fatally defective because of insufficient disclosure to support allowable claims, a second application filed as a "continuation-in-part" of the first application to supply the deficiency is not entitled to the benefit of the filing date of the first application. *Hunt Co. v. Mallinckrodt Chemical Works*, 177 F.2d 583, 587, 83 USPQ 277, 281 (2d Cir. 1949) and cases cited therein.

Any claim in a continuation-in-part application which is directed *solely* to subject matter adequately disclosed under 35 U.S.C. 112 in the parent nonprovisional application is entitled to the benefit of the filing date of the parent nonprovisional application. However, if a claim in a continuation-in-part application recites a feature which was not disclosed or adequately supported by a proper disclosure under 35 U.S.C. 112 in the parent nonprovisional application, but which was first introduced or adequately supported in the continuation-in-part application such a claim is entitled only to the filing date of the

continuation-in-part application; *In re Chu*, 66 F.3d 292, 36 USPQ2d 1089 (Fed. Cir. 1995); *Transco Products, Inc. v. Performance Contracting Inc.*, 38 F.3d 551, 32 USPQ2d 1077 (Fed. Cir. 1994); *In re Von Lagenhoven*, 458 F.2d 132, 136, 173 USPQ 426, 429 (CCPA 1972); and *Chromalloy American Corp. v. Alloy Surfaces Co., Inc.*, 339 F. Supp. 859, 874, 173 USPQ 295, 306 (D. Del. 1972).

By way of further illustration, if the claims of a continuation-in-part application which are only entitled to the continuation-in-part filing date, "read on" such published, publicly used or sold, or patented subject matter (e.g., as in a genus- species relationship) a rejection under 35 U.S.C. 102 would be proper. Cases of interest in this regard are as follows: *Mendenhall v. Cedarapids Inc.*, 5 F.3d 1557, 28 USPQ2d 1081 (Fed. Cir. 1993); *In re Lukach*, 442 F.2d 967, 169 USPQ 795 (CCPA 1971); *In re Hafner*, 410 F.2d 1403, 161 USPQ 783 (CCPA 1969); *In re Ruscetta*, 255 F.2d 687, 118 USPQ 101 (CCPA 1958); *In re Steenbock*, 83 F.2d 912, 30 USPQ 45 (CCPA 1936); *Ex parte Hageman*, 179 USPQ 747 (Bd. App. 1971).

201.11(a) Filing of Continuation or Continuation-in-Part Application During Pendency of International Application Designating the United States

It is possible to file a U.S. national application under 35 U.S.C. 111(a) and 37 CFR 1.53(b) during the pendency (prior to the abandonment) of an international application which designates the United States without completing the requirements for entering the national stage under 35 U.S.C. 371(c). See MPEP §1895. The ability to take such action is based on provisions of the United States patent law. 35 U.S.C. 363 provides that "An international application designating the United States shall have the effect from its international filing date under article 11 of the treaty, of a national application for patent regularly filed in the Patent and Trademark Office...". 35 U.S.C. 371(d) indicates that failure to timely comply with the requirements of 35 U.S.C. 371(c) "shall be regarded as abandonment by the parties thereof...". It is therefore clear that an international application which designates the United States has the effect of a pending U.S. application from the international application filing date until its abandonment as to the United States. The first sentence of 35 U.S.C. 365(c) specifically provides that "In accordance with the conditions and requirements of section 120 of this title,... a national application shall be entitled to the benefit of the filing date of a prior international application designating the United States." The condition of 35 U.S.C. 120 relating to the time of filing requires the later application to be "filed before the patenting or abandonment of or termination of proceedings on the first application...". The filing of a continuation or continuation-in-part application of an international application may be useful to patent applicants where the oath or declaration required by 35 U.S.C. 371(c)(4) cannot be filed as required by 37 CFR 1.494 or 1.495. An applicant filing an application under 35 U.S.C. 111(a) and 37 CFR 1.53(b) may obtain additional time to file the oath or declaration under 37 CFR 1.53(f) and 1.136(a).

A continuing application under 35 U.S.C. 365(c) and 120 must be filed before the abandonment or patenting of the prior nonprovisional application. See 37 CFR 1.494 and 1.495.

201.12 Assignment Carries Title

Assignment of an original application carries title to any divisional, continuation, or reissue application stemming from the original application and filed after the date of assignment. See MPEP § 306. When the assignment is in a provisional application, see MPEP § 306.01.

201.13 Right of Priority of Foreign Application

Under certain conditions and on fulfilling certain requirements, an application for patent filed in the United States 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. The conditions are specified in 35 U.S.C. 119(a)-(d) and (f).

35 U.S.C. 119. Benefit of earlier filing date; right of priority.

(a) An application for patent for an invention filed in this country by any person who has, or whose legal representatives or assigns have, previously regularly filed an application for a patent for the same invention in a foreign country which affords similar privileges in the case of applications filed in the United States or

to citizens of the United States, or in a WTO member country, shall have the same effect as the same application would have if filed in this country on the date on which the application for patent for the same invention was first filed in such foreign country, if the application in this country is filed within twelve months from the earliest date on which such foreign application was filed; but no patent shall be granted on any application for patent for an invention which had been patented or described in a printed publication in any country more than one year before the date of the actual filing of the application in this country, or which had been in public use or on sale in this country more than one year prior to such filing.

(b)(1)No application for patent shall be entitled to this right of priority unless a claim is filed in the Patent and Trademark Office, identifying the foreign application by specifying the application number on that foreign application, the intellectual property authority or country in or for which the application was filed, and the date of filing the application, at such time during the pendency of the application as required by the Director.

(2) The Director may consider the failure of the applicant to file a timely claim for priority as a waiver of any such claim.The Director may establish procedures, including the payment of a surcharge, to accept an unintentionally delayed claim under this section.

(3) The Director may require a certified copy of the original foreign application, specification, and drawings upon which it is based, a translation if not in the English language, and such other information as the Director considers necessary. Any such certification shall be made by the foreign intellectual property authority in which the foreign application was filed and show the date of the application and of the filing of the specification and other papers.

(c) In like manner and subject to the same conditions and requirements, the right provided in this section may be based upon a subsequent regularly filed application in the same foreign country instead of the first filed foreign application, provided that any foreign application filed prior to such subsequent application has been withdrawn, abandoned, or otherwise disposed of, without having been laid open to public inspection and without leaving any rights outstanding, and has not served, nor thereafter shall serve, as a basis for claiming a right of priority.

(d) Applications for inventors' certificates filed in a foreign country in which applicants have a right to apply, at their discretion, either for a patent or for an inventor's certificate shall be treated in this country in the same manner and have the same effect for purpose of the right of priority under this section as applications for patents, subject to the same conditions and requirements of this section as apply to applications for patents, provided such applicants are entitled to the benefits of the Stockholm Revision of the Paris Convention at the time of such filing.

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37 CFR 1.55. Claim for foreign priority.

(a) An applicant in a nonprovisional application may claim the benefit of the filing date of one or more prior foreign applications under the conditions specified in 35 U.S.C. 119(a) through (d) and (f), 172, and 365(a) and (b).

(1)(i)In an original application filed under 35 U.S.C. 111(a), the claim for priority must be presented during the pendency of the application, and within the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior foreign application This time period is not extendable. The claim must identify the foreign application for which priority is claimed, as well as any foreign application for the same subject matter and having a filing date before that of the application for which priority is claimed, by specifying the application number, country (or intellectual property authority), day, month, and year of its filing. The time period in this paragraph does not apply to an application for a design patent.

(ii) In an application that entered the national stage from an international application after compliance with 35 U.S.C. 371, the claim for priority must be made during the pendency of the application and within the time limit set forth in the PCT and the Regulations under the PCT.

(2) The claim for priority and the certified copy of the foreign application specified in 35 U.S.C. 119(b) or PCT Rule 17 must, in any event, be filed before the patent is granted. If the claim for priority or the certified copy of the foreign application is filed after the date the issue fee is paid, it must be accompanied by the processing fee set forth in § 1.17(i), but the patent will not include the priority claim unless corrected by a certificate of correction under 35 U.S.C. 255 and § 1.323

(3) When the application becomes involved in an interference (§ 1.630), when necessary to overcome the date of a reference relied upon by the examiner, or when deemed necessary by the examiner, the Office may require that the claim for priority and the certified copy of the foreign application be filed earlier than provided in paragraphs (a)(1) or (a)(2) of this section.

(4) An English language translation of a non-English language foreign application is not required except when the application is involved in an interference (§ 1.630), when necessary to overcome the date of a reference relied upon by the examiner, or when specifically required by the examiner. If an English language translation is required, it must be filed together with a statement that the translation of the certified copy is accurate.

*****

The period of 12 months specified in this section is 6 months in the case of designs, 35 U.S.C. 172. See MPEP § 1504.10.

The conditions, for benefit of the filing date of a prior application filed in a foreign country, may be listed as follows:

(A) The foreign application must be one filed in "a foreign country which affords similar privileges in the case of applications filed in the United States or to citizens of the United States or in a WTO member country."

(B) The foreign application must have been filed by the same applicant (inventor) as the applicant in

the United States, or by his or her legal representatives or assigns.

(C) The application, or its earliest parent United States application under 35 U.S.C. 120, must have been filed within 12 months from the date of the earliest foreign filing in a "recognized" country as explained below.

(D) The foreign application must be for the same invention as the application in the United States.

(E) For an original application filed under 35 U.S.C. 111(a) (other than a design application) on or after November 29, 2000, the claim for priority must be presented during the pendency of the application, and within the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior foreign application. This time period is not extendable.

(F) For applications that entered the national stage from an international application filed on or after November 29, 2000, after compliance with 35 U.S.C. 371, the claim for priority must be made during the pendency of the application and within the time limit set forth in the PCT Article and Regulations.

(G) In the case where the basis of the claim is an application for an inventor's certificate, the requirements of 37 CFR 1.55(b) must also be met.

Applicant may be informed of possible priority rights under 35 U.S.C. 119(a)-(d) by using the wording of form paragraph 2.18.

¶ 2.18 Right of Priority Under 35 U.S.C. 119(a)-(d)

Applicant is advised of possible benefits under 35 U.S.C. 119(a)-(d), wherein an application for patent filed in the United States may be entitled to the benefit of the filing date of a prior application filed in a foreign country.

RECOGNIZED COUNTRIES OF FOREIGN FILING

The right to rely on a foreign application is known as the right of priority in international patent law and this phrase has been adopted in the U.S. statute. The right of priority originated in a multilateral treaty of 1883, to which the United States adhered in 1887, known as the Paris Convention for the Protection of Industrial Property (Paris Convention). The treaty is administered by the World Intellectual Property Organization (WIPO) at Geneva, Switzerland. This treaty has been revised several times, the latest revision in effect being written in Stockholm in July 1967 (copy at Appendix P of this Manual). Articles 13-30 of the Stockholm Revision became effective on September 5, 1970. Articles 1-12 of the Stockholm Revision became effective on August 25, 1973. One of the many provisions of the treaty requires each of the adhering countries to accord the right of priority to the nationals of the other countries and the first United States statute relating to this subject was enacted to carry out this obligation. There is another treaty between the United States and some Latin American countries which also provides for the right of priority. A foreign country may also provide for this right by reciprocal legislation.

The United States and Taiwan signed an agreement on priority for patent and trademark applications on April 10, 1996, and Taiwan is now a country for which the right of priority is recognized in the United States. Applicants seeking patent protection in the United States may avail themselves of the right of priority based on patent applications filed in Taiwan, on or after April 10, 1996.

An application for patent filed in the United States on or after January 1, 1996, by any person who has, or whose legal representatives or assigns have, previously filed an application for patent in Thailand shall have the benefit of the filing date in Thailand in accordance with 35 U.S.C. 119 and 172.

NOTE: Following is a list of countries with respect to which the right of priority referred to in 35 U.S.C. 119(a)-(d) has been recognized. The letter "I" following the name of the country indicates that the basis for priority in the case of these countries is the Paris Convention for the Protection of Industrial Property (613 O.G. 23, 53 Stat. 1748). The letter "P" after the name of the country indicates the basis for priority of these countries is the Inter-American Convention relating to Inventions, Patents, Designs, and Industrial Models, signed at Buenos Aires, August 20, 1910 (207 O.G. 935, 38 Stat. 1811). The letter "L" following the name of the country indicates the basis for priority is reciprocal legislation in the particular country. The letter "W" following the name of the country indicates the basis for priority is membership in the World Trade Organization (WTO). See 35 U.S.C. 119(a). Applications for plant breeder's rights filed in WTO member countries and foreign UPOV contracting parties

may be relied upon for priority pursuant to 35 U.S.C. 119(f) and MPEP chapter 1600.

Albania (I, W),
Algeria (I),
Angola (W),
Antigua and Barbuda (I, W),
Argentina (I),
Armenia (I),
Australia (I, W),
Austria (I, W),
Azerbaijan (I),
Bahamas (I),
Bahrain (I, W),
Bangladesh (I, W),
Barbados (I, W),
Belarus (I, W),
Belgium (I, W),
Belize (I, W),
Benin (I, W),
Bhutan (I),
Bolivia (I, P, W),
Bosnia and Herzegovina (I),
Botswana (I, W),
Brazil (I, P, W),
Brunei Darussalam (W),
Bulgaria (I, W),
Burkina Faso (I, W),
Burundi (I, W),
Cambodia (I),
Cameroon (I, W),
Canada (I, W),
Central African Republic (I, W),
Chad (I, W),
Chile (I, W),
China (I),
Colombia (I, W),
Congo (I, W),
Costa Rica (I, P, W),
Cote d'Ivoire (I, W),
Croatia (I, W),
Cuba (I, P, W),
Cyprus (I, W),
Czech Republic (I, W),
Democratic People's Republic of Korea (I),
Democratic Republic of the Congo (I, W),
Denmark (I, W),
Djibouti (W),
Dominica (I, W),
Dominican Republic (I, P, W),
Ecuador (I, P, W),
Egypt (I, W),
El Salvador (I, W),
Equatorial Guinea (I),
Estonia (I, W),
European Community (W),
Fiji (W),
Finland (I, W),
France (I, W),
Gabon (I, W),
Gambia (I, W),
Georgia (I, W),
Germany (I, W),
Ghana (I, W),
Greece (I, W),
Grenada (I, W),
Guatemala (I, P, W),
Guinea (I, W),
Guinea-Bissau (I , W),
Guyana (I, W),
Haiti (I, P, W),

Holy See (I),

Honduras (I, P, W),

Hong Kong Special Administrative Region of China (I, W),

Hungary (I, W),

Iceland (I, W),

India (I, W),

Indonesia (I, W),

Iran (Islamic Republic of) (I),

Iraq (I),

Ireland (I, W),

Israel (I, W),

Italy (I, W),

Jamaica (I, W),

Japan (I, W),

Jordan (I, W),

Kazakstan (I),

Kenya (I, W),

Kuwait (W),

Kyrgyzstan (I, W),

Lao People's Democratic Republic (I),

Latvia (I, W),

Lebanon (I),

Lesotho (I, W),

Liberia (I),

Libya (I),

Libyan Arab Jamahiriya (I),

Liechtenstein (I, W),

Lithuania (I, W),

Luxembourg (I, W),

Macau Special Administrative Region of China (I, W),

Madagascar (I, W),

Malawi (I, W),

Malaysia (I, W),

Maldives (W),

Mali (I, W),

Malta (I, W),

Mauritania (I, W),

Mauritius (I, W),

Mexico (I, W),

Monaco (I),

Mongolia (I, W),

Morocco (I, W),

Mozambique (I, W),

Myanmar (W),

Namibia (W),

Nepal (I),

Netherlands (I, W,),

New Zealand (I, W),

Nicaragua (I, P, W),

Niger (I, W),

Nigeria (I, W),

Norway (I, W),

Oman (I, P),

Pakistan (W),

Panama (I, W),

Papua New Guinea (I, W),

Paraguay (I, P, W),

Peru (I, W),

Philippines (I, W),

Poland (I, W),

Portugal (I, W),

Qatar (I, W),

Republic of Korea (I, W),

Republic of Moldova (I, W),

Romania (I, W),

Russian Federation (I),

Rwanda (I, W),

Saint Kitts and Nevis (I, W),

Saint Lucia (I, W),

Saint Vincent and the Grenadines (I, W),

San Marino (I),

Sao Tome and Principe (I),

Senegal (I, W),

Sierra Leone (I, W),

Singapore (I, W),

Slovakia (I, W),

Slovenia (I, W),

Solomon Islands (W),

South Africa (I, W),

Spain (I, W),

Sri Lanka (I, W),

Sudan (I),

Suriname (I, W),

Swaziland (I, W),

Sweden (I, W),

Switzerland (I, W),

Syrian Arab Republic (I),

Taiwan (L),

Tajikistan (I),

Tanzania, United Republic of (I, W),

Thailand (L, W),

The former Yugoslav Republic of Macedonia (I),

Togo (I, W),

Tonga (I),

Trinidad and Tobago (I, W),

Tunisia (I, W),

Turkey (I, W),

Turkmenistan (I),

Uganda (I, W),

Ukraine (I),

United Arab Emirates (I, W),

United Kingdom (I, W),

Uruguay (I, P, W),

Uzbekistan (I),

Venezuela (I, W),

Viet Nam (I),

Yugoslavia (I),

Zambia (I, W),

Zimbabwe (I, W).

Sixteen African Countries have joined together to create a common patent office and to promulgate a common law for the protection of inventions, trademarks, and designs. The common patent office is called "Organisation Africain de la Propriete Intellectuelle" (OAPI) and is located in Yaounde, Cameroon. The English title is "African Intellectual Property Organization." The member countries using the OAPI Patent Office are Benin, Cameroon, Central African Republic, Chad, Congo, Gabon, Cote d'Ivoire, Mauritania, Niger, Senegal, Republic of Togo, Burkina Faso Guinea, Guinea-Bissau, Mali and Equatorial Guinea. Since all these countries adhere to the Paris Convention for the Protection of Industrial Property, priority under 35 U.S.C. 119(a)-(d) may be claimed of an application filed in the OAPI Patent Office.

If any applicant asserts the benefit of the filing date of an application filed in a country not on this list, the examiner should inquire of the Office of Legislation and International Affairs to determine if there has been any change in the status of that country. It should be noted that the right is based on the *country* of the foreign filing and not upon the citizenship of the applicant.

RIGHT OF PRIORITY (35 U.S.C. 119(a)-(d) AND 365) BASED ON A FOREIGN APPLICATION FILED UNDER A BILATERAL OR MULTILATERAL TREATY

Under Article 4A of the Paris Convention for the Protection of Industrial Property a right of priority may be based either on an application filed under the national law of a foreign country adhering to the Convention or on a foreign application filed under a bilateral or multilateral treaty concluded between two or more such countries. Examples of such treaties are The Hague Agreement Concerning the International Deposit of Industrial Designs, the Benelux Designs Convention, and the Libreville Agreement of September 13, 1962, relating to the creation of an African Intellectual Property Office. The Convention on the

Grant of European Patents and the Patent Cooperation Treaty (MPEP § 201.13(b)) are further examples of such treaties.

A. *The Priority Claim*

A priority claim need not be in any special form and may be a statement signed by a registered attorney or agent. A priority claim can be made on filing: (A) by including a copy of an unexecuted or executed oath or declaration specifying a foreign priority claim (see 37 CFR 1.63(c)(2)); or (B) by submitting an application data sheet specifying a foreign priority claim (see 37 CFR 1.76).

In claiming priority of a foreign application previously filed under such a treaty, certain information must be supplied to the U.S. Patent and Trademark Office. In addition to the application number and the date of the filing of the application, the following information is required: (A) the name of the treaty under which the application was filed; and (B) the name and location of the national or intergovernmental authority which received such application.

B. *Certification of the Priority Papers*

35 U.S.C. 119(b)(3) authorizes the Office to require the applicant to furnish a certified copy of priority papers. Applicants are required to submit the certified copy of the foreign application specified in 35 U.S.C. 119(b) or PCT Rule 17 before the patent is granted. If the claim for priority or the certified copy of the foreign application is filed after the date the issue fee is paid, it must be accompanied by the processing fee set forth in 37 CFR 1.17(i), but the patent will not include the priority claim unless corrected by a certificate of correction under 35 U.S.C. 255 and 37 CFR 1.323. See 37 CFR1.55(a)(2). Certification by the authority empowered under a bilateral or multilateral treaty to receive applications which give rise to a right of priority under Article 4A(2) of the Paris Convention will be deemed to satisfy the certification requirement.

C. *Identity of Inventors*

The inventors of the U.S. nonprovisional application and of the foreign application must be the same, for a right of priority does not exist in the case of an application of inventor A in the foreign country and inventor B in the United States, even though the two applications may be owned by the same party. However, the application in the foreign country may have been filed by the assignee, or by the legal representative or agent of the inventor which is permitted in some foreign countries, rather than by the inventor himself, but in such cases the name of the inventor is usually given in the foreign application on a paper filed therein. An indication of the identity of inventors made in the oath or declaration accompanying the U.S. nonprovisional application by identifying the foreign application and stating that the foreign application had been filed by the assignee, or the legal representative, or agent, of the inventor, or on behalf of the inventor, as the case may be, is acceptable. Joint inventors A and B in a nonprovisional application filed in the United States Patent and Trademark Office may properly claim the benefit of an application filed in a foreign country by A and another application filed in a foreign country by B, i.e., A and B may each claim the benefit of their foreign filed applications. See MPEP § 605.07.

D. *Time for Filing U.S. Nonprovisional Application*

The United States nonprovisional application, or its earliest parent nonprovisional application under 35 U.S.C. 120, must have been filed within 12 months of the earliest foreign filing. In computing this 12 months, the first day is not counted; thus, if an application was filed in Canada on January 3, 1983, the U.S. nonprovisional application may be filed on January 3, 1984. The Convention specifies in Article 4C(2) that "the day of filing is not counted in this period." (This is the usual method of computing periods, for example a 6-month period for reply to an Office action dated January 2 does not expire on July 1, but the reply may be made on July 2.) If the last day of the 12 months is a Saturday, Sunday, or Federal holiday within the District of Columbia, the U.S. nonprovisional application is in time if filed on the next succeeding business day; thus, if the foreign application was filed on September 4, 1981, the U.S. nonprovisional application is in time if filed on September 7, 1982, since September 4, 1982, was a Saturday and September 5, 1982 was a Sunday and September 6, 1982 was a Federal holiday. Since January 1, 1953, the Office has not received applications on Saturdays and, in view of 35 U.S.C. 21, and the Convention which provides "if the last day of the period is an offi-

cial holiday, or a day on which the Office is not open for the filing of applications in the country where protection is claimed, the period shall be extended until the first following working day" (Article 4C(3), if the 12 months expires on Saturday, the U.S. application may be filed on the following Monday. Note *Ex parte Olah*, 131 USPQ 41 (Bd. App. 1960). See, e.g., *Dubost v. U.S. Patent and Trademark Office*, 777 F.2d 1561, 1562, 227 USPQ 977, 977 (Fed. Cir. 1985).

E. Filing of Papers During Unscheduled Closings of the U.S. Patent and Trademark Office

37 CFR 1.9(h) provides that the definition of "Federal holiday within the District of Columbia" includes an official closing of the Office. When the entire U.S. Patent and Trademark Office is officially closed for business for an entire day, for reasons due to adverse weather or other causes, the Office will consider each such day a "Federal holiday within the District of Columbia" under 35 U.S.C. 21. Any action or fee due on such a day may be taken, or fee paid, on the next succeeding business day the Office is open. In addition, 37 CFR 1.6(a)(1) provides "[t]he U.S. Patent and Trademark Office is not open for the filing of correspondence on any day that is a Saturday, Sunday or Federal holiday within the District of Columbia" to clarify that any day that is a Saturday, Sunday or Federal holiday within the District of Columbia is a day that the U.S. Patent and Trademark Office is not open for the filing of applications within the meaning of Article 4C(3) of the Paris Convention. Note further that in accordance with 37 CFR 1.6(a)(2), even when the Office is not open for the filing of correspondence on any day that is a Saturday, Sunday or Federal holiday within the District of Columbia, correspondence deposited as Express Mail with the USPS in accordance with 37 CFR 1.10 will be considered filed on the date of its deposit, regardless of whether that date is a Saturday, Sunday or Federal holiday within the District of Columbia (under 35 U.S.C. 21(b) or 3 CFR 1.7).

When the U.S. Patent and Trademark Office is open for business during any part of a business day between 8:30 a.m. and 5:00 p.m., papers are due on that day even though the Office may be officially closed for some period of time during the business day because of an unscheduled event. The procedures of 37 CFR 1.10 may be used for filing applications.

Information regarding whether or not the Office is officially closed on any particular day may be obtained by calling (703) 308-4357 which transposes to (703) 308-HELP.

F. First Foreign Application

The 12 months is from earliest foreign filing except as provided in 35 U.S.C 119(c). If an inventor has filed an application in France on January 4, 1982, and an identical application in the United Kingdom on March 3, 1982, and then files in the United States on February 2, 1983, the inventor is not entitled to the right of priority at all; the inventor would not be entitled to the benefit of the date of the French application since this application was filed more than twelve months before the U.S. application, and the inventor would not be entitled to the benefit of the date of the United Kingdom application since this application is not the first one filed. *Ahrens v. Gray*, 1931 C.D. 9, 402 O.G. 261 (Bd. App. 1929). If the first foreign application was filed in a country which is not recognized with respect to the right of priority, it is disregarded for this purpose.

Public Law 87-333 modified 35 U.S.C. 119(c) to extend the right of priority to "subsequent" foreign applications if one earlier filed had been withdrawn, abandoned, or otherwise disposed of, under certain conditions.

The United Kingdom and a few other countries have a system of "post-dating" whereby the filing date of an application is changed to a later date. This "post-dating" of the filing date of the application does not affect the status of the application with respect to the right of priority; if the original filing date is more than one year prior to the U.S. filing no right of priority can be based upon the application. See *In re Clamp*, 151 USPQ 423 (Comm'r Pat. 1966).

If an applicant has filed two foreign applications in recognized countries, one outside the year and one within the year, and the later application discloses additional subject matter, a claim in the U.S. application specifically limited to the additional disclosure would be entitled to the date of the second foreign application since this would be the first foreign application for that subject matter.

EFFECT OF RIGHT OF PRIORITY

The right to rely on the foreign filing extends to overcoming the effects of intervening references or uses, but there are certain restrictions. For example, the 1 year bar of 35 U.S.C. 102(b) dates from the U.S. filing date and not from the foreign filing date; thus if an invention was described in a printed publication, or was in public use in this country, in November 1981, a foreign application filed in January 1982, and a U.S. application filed in December 1982, granting a patent on the U.S. application is barred by the printed publication or public use occurring more than one year prior to its actual filing in the United States.

The right of priority can be based upon an application in a foreign country for a so-called "utility model," called Gebrauchsmuster in Germany.

201.13(a) Right of Priority Based Upon an Application for an Inventor's Certificate

37 CFR 1.55. Claim for foreign priority.

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(b) An applicant in a nonprovisional application may under certain circumstances claim priority on the basis of one or more applications for an inventor's certificate in a country granting both inventor's certificates and patents. To claim the right of priority on the basis of an application for an inventor's certificate in such a country under 35 U.S.C. 119(d), the applicant when submitting a claim for such right as specified in paragraph (a) of this section, shall include an affidavit or declaration. The affidavit or declaration must include a specific statement that, upon an investigation, he or she is satisfied that to the best of his or her knowledge, the applicant, when filing the application for the inventor's certificate, had the option to file an application for either a patent or an inventor's certificate as to the subject matter of the identified claim or claims forming the basis for the claim of priority.

An inventor's certificate may form the basis for rights of priority under 35 U.S.C. 119(d) only when the country in which they are filed gives to applicants, at their discretion, the right to apply, on the same invention, either for a patent or for an inventor's certificate. The affidavit or declaration specified under 37 CFR 1.55(b) is only required for the purpose of ascertaining whether, in the country where the application for an inventor's certificate originated, this option generally existed for applicants with respect to the particular subject matter of the invention involved. The requirements of 35 U.S.C. 119(d) and 37 CFR 1.55(b) are not intended, however, to probe into the eligibility of the particular applicant to exercise the option in the particular priority application involved.

It is recognized that certain countries that grant inventors' certificates also provide by law that their own nationals who are employed in state enterprises may only receive inventors' certificates and not patents on inventions made in connection with their employment. This will not impair their right to be granted priority in the United States based on the filing of the inventor's certificate.

Accordingly, affidavits or declarations filed pursuant to 37 CFR 1.55(b) need only show that in the country in which the original inventor's certificate was filed, applicants generally have the right to apply at their own option either for a patent or an inventor's certificate as to the particular subject matter of the invention.

Priority rights on the basis of an inventor's certificate application will be honored only if the applicant had the option or discretion to file for either an inventor's certificate or a patent on his or her invention in his or her home country. Certain countries which grant both patents and inventor's certificates issue only inventor's certificates on certain subject matter, generally pharmaceuticals, foodstuffs, and cosmetics.

To ensure compliance with the treaty and statute, 37 CFR 1.55(b) provides that at the time of claiming the benefit of priority for an inventor's certificate, the applicant or his or her attorney must submit an affidavit or declaration stating that the applicant when filing his or her application for the inventor's certificate had the option either to file for a patent or an inventor's certificate as to the subject matter forming the basis for the claim of priority.

Effective Date

37 CFR 1.55(b) originally went into effect on August 25, 1973, which is the date on which the international treaty entered into force with respect to the United States. The rights of priority based on an earlier filed inventor's certificate shall be granted only with respect to U.S. patent applications where *both* the earlier application and the U.S. patent application were filed in their respective countries following this effective date.

201.13(b) Right of Priority Based Upon an International Application Filed Under the Patent Cooperation Treaty

35 U.S.C. 365. Right of priority; benefit of the filing date of a prior application.

(a) In accordance with the conditions and requirements of subsections (a) through (d) of section 119 of this title, a national application shall be entitled to the right of priority based on a prior filed international application which designated at least one country other than the United States.

(b) In accordance with the conditions and requirements of section 119(a) of this title and the treaty and the Regulations, an international application designating the United States shall be entitled to the right of priority based on a prior foreign application, or a prior international application designating at least one country other than the United States.

(c) In accordance with the conditions and requirements of section 120 of this title, an international application designating the United States shall be entitled to the benefit of the filing date of a prior national application or a prior international application designating the United States, and a national application shall be entitled to the benefit of the filing date of a prior international application designating the United States. If any claim for the benefit of an earlier filing date is based on a prior international application which designated but did not originate in the United States, the Director may require the filing in the Patent and Trademark Office of a certified copy of such application together with a translation thereof into the English language, if it was filed in another language.

35 U.S.C. 365(a) provides that a national application shall be entitled to the right of priority based on a prior international application of whatever origin, which designated any country other than, or in addition to, the United States. Of course, the conditions prescribed by section 119(a)-(d) of title 35 U.S.C., which deals with the right of priority based on earlier filed foreign applications, must be complied with.

35 U.S.C. 365(b) provides that an international application designating the United States shall be entitled to the right of priority of a prior foreign application which may either be another international application or a regularly filed foreign application. The international application upon which the claim of priority is based can either have been filed in the United States or a foreign country; however, it must contain the designation of at least one country other than, or in addition to, the United States.

As far as the actual place of filing is concerned, for the purpose of 35 U.S.C. 365(a) and (b) and 35 U.S.C. 119(a)-(d) and (f), an international application designating a country is considered to be a national application regularly filed in that country on the international filing date irrespective of whether it was physically filed in that country, in another country, or in an intergovernmental organization acting as Receiving Office for a country.

An international application which seeks to establish the right of priority will have to comply with the conditions and requirements as prescribed by the Treaty and the PCT Regulations, in order to avoid rejection of the claim to the right of priority. Reference is especially made to the requirement of making a declaration of the claim of priority at the time of filing of the international application (Article 8(1) of the Treaty and Rule 4.10 of the PCT Regulations) and the requirement of either filing a certified copy of the priority document with the international application, or submitting a certified copy of the priority document to the International Bureau at a certain time (Rule 17 of the PCT Regulations). The submission of the priority document to the International Bureau is only required in those instances where priority is based on an earlier filed foreign *national* application.

Thus, if the priority document is an earlier national application and did not accompany the international application when filed with the Receiving Office, an applicant must submit such document to the International Bureau not later than 16 months after the priority date. However, should an applicant request early processing of his or her international application in accordance with Article 23(2) of the Treaty, the priority document would have to be submitted to the International Bureau at that time (Rule 17.1(a) of the PCT Regulations). If priority is based on an earlier international application, a copy does not have to be filed, either with the Receiving Office or the International Bureau, since the latter is already in possession of such international application.

The formal requirements for obtaining the right of priority under 35 U.S.C. 365 differ somewhat from those imposed by 35 U.S.C. 119(a)-(d) and (f), although the 1-year bar of 35 U.S.C. 102(b), as required by the last clause of section 119(a) is the same. However, the substantive right of priority is the same, in that it is derived from Article 4 of the Paris Convention for the Protection of Industrial Property (Article 8(2) of the Treaty).

35 U.S.C. 365(c) recognizes the benefit of the filing date of an earlier application under 35 U.S.C. 120. Any international application designating the United States, whether filed with a Receiving Office in this country or abroad, and even though other countries may have also been designated, has the effect of a regular national application in the United States, as of the international filing date. As such, any later filed national application, or international application designating the United States, may claim the benefit of the filing date of an earlier international application designating the United States, if the requirements and conditions of section 120 of title 35 U.S.C. are fulfilled. Under the same circumstances, the benefit of the earlier filing date of a national application may be obtained in a later filed international application designating the United States. In those instances, where the applicant relies on an international application designating, but not originating in, the United States the Commissioner may require submission of a copy of such application together with an English translation, since in some instances, and for various reasons, a copy of that international application or its translation may not otherwise be filed in the U.S. Patent and Trademark Office. In addition, for nonprovisional applications filed on or after November 29, 2000 that claim priority under 35 U.S.C.120 and 365(c) to an earlier international application, the first sentence of the specification must include an indication of whether the international application was published in English under PCT Article21(2).

PCT Rule 17.

The Priority Document

17.1. Obligation to Submit Copy of Earlier National or International Application

(a) Where the priority of an earlier national or international application is claimed under Article 8, a copy of that earlier application, certified by the authority with which it was filed ("the priority document"), shall, unless already filed with the receiving Office together with the international application in which the priority claim is made, and subject to paragraph (b), be submitted by the applicant to the International Bureau or to the receiving Office not later than 16 months after the priority date, provided that any copy of the said earlier application which is received by the International Bureau after the expiration of that time limit shall be considered to have been received by that Bureau on the last day of that time limit if it reaches it before the date of international publication of the international application.

(b) Where the priority document is issued by the receiving Office, the applicant may, instead of submitting the priority document, request the receiving Office to prepare and transmit the priority document to the International Bureau. Such request shall be made not later than 16 months after the priority date and may be subjected by the receiving Office to the payment of a fee.

(c) If the requirements of neither of the two preceding paragraphs are complied with, any designated State may disregard the priority claim, provided that no designated Office shall disregard the priority claim before giving the applicant an opportunity to furnish the priority document within a time limit which shall be reasonable under the circumstances.

17.2. Availability of Copies

(a) Where the applicant has complied with Rule 17.1(a) or (b), the International Bureau shall, at the specific request of the designated Office, promptly but not prior to the international publication of the international application, furnish a copy of the priority document to that Office. No such Office shall ask the applicant himself to furnish it with a copy. The applicant shall not be required to furnish a translation to the designated Office before the expiration of the applicable time limit under Article 22. Where the applicant makes an express request to the designated Office under Article 23(2) prior to the international publication of the international application, the International Bureau shall, at the specific request of the designated Office, furnish a copy of the priority document to that Office promptly after receiving it.

(b) The International Bureau shall not make copies of the priority document available to the public prior to the international publication of the international application.

(c) Where the international application has been published under Article 21, the International Bureau shall furnish a copy of the priority document to any person upon request and subject to reimbursement of the cost unless, prior to that publication:

(i) the international application was withdrawn,

(ii) the relevant priority claim was withdrawn or considered, under Rule 26bis.2(b), not to have been made.

(iii) *[Deleted]*

(d) *[Deleted]*

37 CFR 1.451. The priority claim and priority document in an international application.

(a) The claim for priority must, subject to paragraph (d) of this section, be made on the Request (PCT Rule 4.10) in a manner complying with sections 110 and 115 of the Administrative Instructions.

(b) Whenever the priority of an earlier United States national application or international application filed with the United States Receiving Office is claimed in an international application, the applicant may request in a letter of transmittal accompanying the international application upon filing with the United States Receiving Office or in a separate letter filed in the United States Receiving Office not later than 16 months after the priority date, that the United States Patent and Trademark Office prepare a certified copy of the prior application for transmittal to the International Bureau (PCT Article 8 and PCT Rule 17). The fee for preparing a certified copy is set forth in § 1.19(b)(1).

(c) If a certified copy of the priority document is not submitted together with the international application on filing, or, if the priority application was filed in the United States and a request and appropriate payment for preparation of such a certified copy do not accompany the international application on filing or are not filed within 16 months of the priority date, the certified copy of the priority document must be furnished by the applicant to the International Bureau or to the United States Receiving Office within the time limit specified in PCT Rule 17.1(a).

(d) The applicant may correct or add a priority claim in accordance with PCT Rule 26bis.1.

201.14 Right of Priority, Formal Requirements

Under the statute (35 U.S.C. 119(b)), an applicant who wishes to secure the right of priority must comply with certain formal requirements within a time specified. If these requirements are not complied with the right of priority is lost and cannot thereafter be asserted.

For nonprovisional applications filed prior to November 29, 2000 and which have not been voluntarily published, the requirements of the statute are (a) that the applicant must file a claim for the right and (b) he or she must also file a certified copy of the original foreign application; these papers must be filed within a certain time limit. The maximum time limit specified in the statute is that the claim for priority and the priority papers must be filed before the patent is granted, but the statute gives the Commissioner authority to set this time limit at an earlier time during the pendency of the application. Where a claim for priority under 35 U.S.C. 119(b) has not been made in the parent application, the claim for priority may be made in a continued prosecution application (CPA) filed under 37 CFR 1.53(d) or FWC application filed under former 37 CFR 1.62, provided the parent application has been filed within 12 months from the date of the earliest foreign filing. If the required papers are not filed within the time limit set the right of priority is lost. A reissue was granted in *Brenner v. State of Israel*, 400 F.2d 789, 158 USPQ 584 (D.C. Cir. 1968), where the only ground urged was failure to file a certified copy of the original foreign application to obtain the right of foreign priority under 35 U.S.C. 119 before the patent was granted.

It should be particularly noted that these papers must be filed in all cases even though they may not be necessary during the pendency of the application to overcome the date of any reference. The statute also gives the Commissioner authority to require a translation of the foreign documents if not in the English language and such other information as the Commissioner may deem necessary.

For original applications filed under 35 U.S.C.111(a) (other than a design application) on or after November 29, 2000 and applications in which applicant requests voluntary publication, the requirements of the statute are that the applicant must (a) file a claim for the right of priority and (b) identify the original foreign application by specifying the application number of the foreign application, the intellectual property authority or country in which the application was filed and the date of filing of the application. These papers must be filed within a certain time limit. The time limit specified in 35 U.S.C.119(b)(1) is that the claim for priority and the required identification information must be filed at such time during the pendency of the application as set by the Commissioner. The Commissioner has by rule set this time limit as the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior foreign application. See 37 CFR 1.55(a)(1)(i). This time period is not extendable. In an application that entered the national stage from an international application after compliance with 35 U.S.C. 371, the claim for priority must be made during the pendency of the application and within the time limit set forth in the PCT and the Regulations under the PCT. See 37 CFR 1.55(a)(1)(ii). Claims for foreign priority not presented within the time period specified in 37 CFR 1.55(a)(1)(i) are considered to have been waived. If a claim for priority under 35 U.S.C.119(a) - (d) or (f), or 365(a) is presented after the time period set in 37 CFR 1.55(a)(1)(i), the claim may be accepted if it includes the required identification information and is accompanied by a grantable petition to accept the unintentionally delayed claim for priority. See 37 CFR 1.55(c). In addition, 35 U.S.C. 119(b)(3) gives the Commissioner authority to require a certified copy of the foreign application and an English translation if the foreign application is not in the English language and such other information as the Commissioner may deem necessary. The Commissioner has by rule, 37 CFR 1.55(a)(2), required a certified copy of the foreign application to be submitted before the patent is granted. If the certified copy of

the foreign application is submitted after the payment of the issue fee, it must be accompanied by the processing fee set forth in 37 CFR 1.17(i). See MPEP § 201.14(a).

Unless provided in an application data sheet, 37 CFR 1.63 requires that the oath or declaration must identify the foreign application for patent or inventor's certificate for which priority is claimed under 37 CFR 1.55, and any foreign applications having a filing date before that of the application on which priority is claimed, by specifying the application number, country, day, month, and year of its filing.

201.14(a) Right of Priority, Time for Filing Papers

The time for filing the priority papers required by the statute is specified in 37 CFR 1.55(a).

37 CFR 1.55. Claim for foreign priority.

(a) An applicant in a nonprovisional application may claim the benefit of the filing date of one or more prior foreign applications under the conditions specified in 35 U.S.C. 119(a) through (d) and (f), 172, and 365(a) and (b).

(1)(i)In an original application filed under 35 U.S.C. 111(a), the claim for priority must be presented during the pendency of the application, and within the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior foreign application This time period is not extendable. The claim must identify the foreign application for which priority is claimed, as well as any foreign application for the same subject matter and having a filing date before that of the application for which priority is claimed, by specifying the application number, country (or intellectual property authority), day, month, and year of its filing. The time period in this paragraph does not apply to an application for a design patent.

(ii) In an application that entered the national stage from an international application after compliance with 35 U.S.C. 371, the claim for priority must be made during the pendency of the application and within the time limit set forth in the PCT and the Regulations under the PCT.

(2) The claim for priority and the certified copy of the foreign application specified in 35 U.S.C. 119(b) or PCT Rule 17 must, in any event, be filed before the patent is granted. If the claim for priority or the certified copy of the foreign application is filed after the date the issue fee is paid, it must be accompanied by the processing fee set forth in § 1.17(i), but the patent will not include the priority claim unless corrected by a certificate of correction under 35 U.S.C. 255 and § 1.323

(3) When the application becomes involved in an interference (§ 1.630), when necessary to overcome the date of a reference relied upon by the examiner, or when deemed necessary by the examiner, the Office may require that the claim for priority and the certified copy of the foreign application be filed earlier than provided in paragraphs (a)(1) or (a)(2) of this section.

(4) An English language translation of a non-English language foreign application is not required except when the application is involved in an interference (§ 1.630), when necessary to overcome the date of a reference relied upon by the examiner, or when specifically required by the examiner. If an English language translation is required, it must be filed together with a statement that the translation of the certified copy is accurate.

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(c) Unless such claim is accepted in accordance with the provisions of this paragraph, any claim for priority under 35 U.S.C. 119(a) through (d) and (f), or 365(a) not presented within the time period provided by paragraph (a) of this section is considered to have been waived. If a claim for priority under 35 U.S.C. 119(a) through (d) and (f), or 365(a) is presented after the time period provided by paragraph (a) of this section, the claim may be accepted if the claim identifying the prior foreign application by specifying its application number, country (or intellectual property authority), and the day, month, and year of its filing was unintentionally delayed. A petition to accept a delayed claim for priority under 35 U.S.C. 119(a) through (d) and (f), or 365(a) must be accompanied by:

(1) The surcharge set forth in § 1.17(t); and

(2) A statement that the entire delay between the date the claim was due under paragraph (a)(1) of this section and the date the claim was filed was unintentional. The Commissioner may require additional information where there is a question whether the delay was unintentional.

It should first be noted that the Commissioner has by rule specified an earlier ultimate date than the date the patent is granted for filing a claim and a certified copy. For original applications filed under 35 U.S.C. 111(a) (other than a design application) on or after November 29, 2000 and applications in which applicant requests voluntary publication, a claim for foreign priority must be presented during the pendency of the application, and within the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior foreign application. See 37 CFR1.55(a)(1)(i). This time period is not extendable. For applications that entered the national stage from an international application filed on or after November 29, 2000, after compliance with 35 U.S.C. 371, the claim for priority must be made during the pendency of the application and within the time limit set forth in the PCT and the Regulations under the PCT. Any foreign priority claim not presented within the time period set in 37 CFR 1.55(a)(1)(i) is considered to have been waived. If a claim for foreign priority is presented after the time period set in 37 CFR 1.55(a)(1)(i), the claim may be accepted if the claim properly identifies the prior

foreign application and is accompanied by a grantable petition to accept an unintentionally delayed claim for priority. A grantable petition to accept an unintentionally delayed claim for priority must include the surcharge set forth in 37 CFR 1.17(t) and a statement that the entire delay between the date the claim was due under 37 CFR 1.55(a)(1) and the date the claim was filed was unintentional. The Commissioner may require additional information where there is a question whether the delay was unintentional. See 37 CFR1.55(c).

For nonprovisional applications filed prior to November 29, 2000 and which have not been voluntarily published, and for design applications, a claim for foreign priority may be made up until the time when the patent is granted. Priority claims and certified copies of foreign applications filed after payment of the issue fee will be placed in the application file but will not be reviewed, as explained in further detail below.

For all applications, assuming the claim for foreign priority has been made, the latest time at which the papers may be filed without a processing fee (37 CFR 1.17(i)) is the date of the payment of the issue fee, except that, under certain circumstances, they are required at an earlier date. These circumstances are specified in the rule as:

(A) in the case of interferences in which event the papers must be filed within the time specified in the interference rules;

(B) when necessary to overcome the date of a reference relied on by the examiner; and

(C) when specifically required by the examiner.

The claim for foreign priority and the certified copy of the foreign application specified in 35 U.S.C. 119(b) or PCT Rule 17 must, in any event, be filed before the patent is granted. If the claim for foreign priority or the certified copy of the foreign application is filed after the date of payment of the issue fee but prior to the date of grant of the patent, the priority claim or certified copy must be accompanied by a processing fee set forth in 37 CFR 1.17(i). The priority claim or certified copy will be placed in the file record but there will be no review of the papers and the patent when published will not include the priority claim. A certificate of correction under 35 U.S.C. 255 and 37 CFR 1.323 can be filed to have the priority claim or certified copy considered after publication of the patent. In addition, for original applications filed under 35 U.S.C. 111(a) (other than a design application) on or after November 29, 2000, and any applications which have been voluntarily published, a grantable petition to accept an unintentionally delayed claim for priority under 37 CFR 1.55(c) must also be filed with the certificate of correction.

In view of the shortened periods for prosecution leading to allowances, it is recommended that priority papers be filed as early as possible. Although 37 CFR 1.55(a)(2) permits the filing of priority papers up to and including the date for payment of the issue fee, it is advisable that such papers be filed promptly after filing the application. Frequently, priority papers are found to be deficient in material respects, such as for example, the failure to include the correct certified copy, and there is not sufficient time to remedy the defect. Occasionally, a new oath or declaration may be necessary where the original oath or declaration omits the reference to the foreign filing date for which the benefit is claimed. The early filing of priority papers would thus be advantageous to applicants in that it would afford time to explain any inconsistencies that exist or to supply any additional documents that may be necessary.

It is also suggested that a pencil notation of the application number of the corresponding U.S. application be placed on the priority papers. Such notation should be placed directly on the priority papers themselves even where a cover letter is attached bearing the U.S. application data. Experience indicates that cover letters and priority papers occasionally become separated, and without the suggested pencil notations on the priority papers, correlating them with the corresponding U.S. application becomes exceedingly difficult, frequently resulting in severe problems for both the Office and applicant. Adherence to the foregoing suggestion for making a pencil notation on the priority document of the U.S. application data will result in a substantial lessening of the problem.

If the priority claim in an original application filed under 35 U.S.C. 111(a) (other than a design application) on or after November 29, 2000, or in an application which applicant has requested voluntary publication, is submitted after the time period set forth in 37 CFR 1.55(a)(1) and without the required petition (37 CFR 1.55(c)), the examiner may use the following

form paragraph to inform applicant that the foreign priority claim will not be entered.

¶ 2.21.01 35 U.S.C. 119(a)-(d) or (f) or 365(a) Foreign Priority Claim is Untimely

The foreign priority claim filed on [1] was not entered because the foreign priority claim was not filed during the time period set forth in 37 CFR 1.55(a)(1). For original applications filed under 35 U.S.C. 111(a) (other than a design application) on or after November 29, 2000, and any applications which applicant has requested voluntary publication, the time period is during the pendency of the application and within the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior foreign application. For applications that have entered national stage from an international application filed on or after November 29, 2000, after compliance with 35 U.S.C. 371, the claim for priority must be made during the pendency of the application and within the time limit set forth in the PCT and the Regulations under the PCT. See 37 CFR 1.55(a)(1)(ii). If applicant desires priority under 35 U.S.C. 119(a)-(d), (f) or 365(a) based upon a prior foreign application, applicant must file a petition for an unintentionally delayed priority claim (37 CFR 1.55(c)). The petition must be accompanied by (1) a surcharge under 37 CFR 1.17(t), and (2) a statement that the entire delay between the date the claim was due under 37 CFR 1.55(a)(1) and the date the claim was filed was unintentional. The Commissioner may require additional information where there is a question whether the delay was unintentional. The petition should be directed to the Office of Petitions, Box DAC, Assistant Commissioner for Patents, Washington, D.C. 20231.

Examiner Note:

1. Use this form paragraph only for original applications filed under 35 U.S.C. 111(a) on or after November 29, 2000 and applications which applicant has requested voluntary publication. DO NOT use for foreign applications.
2. In bracket 1, insert the date the amendment or paper containing the foreign priority claim was filed.

201.14(b) Right of Priority, Papers Required

The filing of the priority papers under 35 U.S.C. 119(a)-(d) makes the record of the file of the United States patent complete. The U.S. Patent and Trademark Office does not normally examine the papers to determine whether the applicant is in fact entitled to the right of priority and does not grant or refuse the right of priority, except as described in MPEP § 201.15 and in cases of interferences.

The papers required are the claim for priority and the certified copy of the foreign application. For original applications filed under 35 U.S.C. 111(a) (other than design applications) on or after November 29, 2000, and applications which applicant has requested voluntary publication, the claim for foreign priority must identify the foreign application for which priority is claimed by specifying the application number, country (or intellectual property authority), day, month, and year of its filing. In addition, the claim for priority must also identify any foreign application for the same subject matter having a filing date before that of the foreign application for which priority is claimed.

For all applications, the claim to priority need be in no special form, and may be made by a person authorized to sign correspondence under 37 CFR1.33(b). No special language is required in making the claim for priority, and any expression which can be reasonably interpreted as claiming the benefit of the foreign application is accepted as the claim for priority. The claim for priority may appear in the oath or declaration, an application data sheet (37 CFR1.76), or the application transmittal letter with the recitation of the foreign application. See MPEP § 201.13, paragraph A.

The certified copy which must be filed is a copy of the original foreign application with a certification by the patent office of the foreign country in which it was filed. Certified copies ordinarily consist of a copy of the specification and drawings of the applications as filed with a certificate of the foreign patent office giving certain information. "Application" in this connection is not considered to include formal papers such as a petition. A copy of the foreign patent as issued does not comply since the application as filed is required; however, a copy of the printed specification and drawing of the foreign patent is sufficient if the certification indicates that it corresponds to the application as filed. A French patent stamped "Service De La Propriete Industrielle - Conforme Aux Pieces Deposees A L' Appui de La Demande" and additionally bearing a signed seal is also acceptable in lieu of a certified copy of the French application.

When the claim to priority and the certified copy of the foreign application are received while the application is pending before the examiner, the examiner should make no examination of the papers except to see that they correspond in number, date and country to the application identified in the oath or declaration and contain no obvious formal defects. The subject matter of the application is not examined to determine whether the applicant is actually entitled to the benefit

of the foreign filing date on the basis of the disclosure thereof. In addition, for original applications filed under 35 U.S.C. 111(a) (other than design applications) on or after November 29, 2000, and any applications which applicant has requested voluntary publication, the examiner should make sure that the claim for foreign priority is timely. Examiners may use form paragraph 2.21.01 to notify applicant that the foreign priority claim is untimely.

DURING INTERFERENCE

If priority papers are filed in an interference, it is not necessary to file an additional certified copy in the application file. The administrative patent judge will place them in the application file.

LATER FILED APPLICATIONS, REISSUES

Where the benefit of a foreign filing date based on a foreign application is claimed in a later filed application (i.e., continuation, continuation-in-part, division) or in a reissue application and a certified copy of the foreign application as filed, has been filed in a parent or related application, it is not necessary to file an additional certified copy in the later application. A reminder of this provision is found in form paragraph 2.20. The applicant when making such claim for priority may simply identify the application containing the certified copy. In such cases, the examiner should acknowledge the claim on form PTOL-326. Note copy in MPEP § 707.

If the applicant fails to call attention to the fact that the certified copy is in the parent or related application and the examiner is aware of the fact that a claim for priority under 35 U.S.C. 119(a)-(d) or (f) was made in the parent application, the examiner should call applicant's attention to these facts in an Office action, so that if a patent issues on the later or reissue application, the priority data will appear in the patent. In such cases, the language of form paragraph 2.20 should be used.

¶ 2.20 Priority Papers in Parent Application

Applicant is reminded that in order for a patent issuing on the instant application to obtain the benefit of priority based on priority papers filed in parent Application No. [1] under 35 U.S.C. 119(a)-(d) or (f), a claim for such foreign priority must be made in this application. In making such claim, applicant may simply identify the application containing the priority papers.

Where the benefit of a foreign filing date, based on a foreign application, is claimed in a later filed application or in a reissue application and a certified copy of the foreign application, as filed, has not been filed in a parent or related application, a claim for priority may be made in the later application. *In re Tangsrud*, 184 USPQ 746 (Comm'r Pat. 1973). When such a claim is made in the later application and a certified copy of the foreign application is placed therein, the examiner should acknowledge the claim on form PTOL-326. Note copy in MPEP § 707.

WHERE AN ACTUAL MODEL WAS ORIGINALLY FILED IN GERMANY

The German design statute does not permit an applicant having an establishment or domicile in the Federal Republic of Germany to file design patent applications with the German Patent Office. These German applicants can only obtain design protection by filing papers or an actual deposit of a model with the judicial authority ("Amtsgericht") of their principal establishment or domicile. Filing with the German Patent Office is exclusively reserved for applicants who have neither an establishment or domicile in the Federal Republic of Germany. The deposit in an "Amtsgericht" has the same effect as if deposited at the German Patent Office and results in a "Geschmacksmuster" which is effective throughout Germany.

In implementing the Paris Convention, 35 U.S.C. 119(a)-(d) and (f) requires that a copy of the original foreign application, specification, and drawings certified by the patent office of the foreign country in which filed, shall be submitted to the U.S. Patent and Trademark Office, in order for an applicant to be entitled to the right of priority in the United States.

Article 4, section A(2) of the Paris Convention however states that "(a)ny filing that is equivalent to a regular national filing under the domestic legislation of any country of the Union . . . shall be recognized as giving rise to the right of priority." Article 4D(3) of the Convention further provides that countries of the Union may require any person making a declaration of priority to produce a copy of the previously filed application (description, drawings, etc.) certified as correct by the authority which received this application.

As far as the physical production of a copy of the earlier filed paper application is concerned, an applicant should have no difficulty in providing a copy, certified by the authority which received it, if the earlier filed application contained drawings illustrating the design. A problem, however, arises when the only prior "regular national filing" consisted of the deposit of an actual model of the design. 35 U.S.C. 119 is silent on this subject.

Therefore, the U.S. Patent and Trademark Office will receive as evidence of an earlier filed German design application under 35 U.S.C. 119(a)-(d), drawings or acceptable clear photographs of the deposited model faithfully reproducing the design embodied therein together with other required information, certified as being a true copy by an official of the court with which the model was originally deposited.

35 U.S.C. 119(a)-(d), prior to amendment by the American Inventor' s Protection Act of 1999 (AIPA), Public Law 106-113, provides for the certification of the earlier filed application by the patent office of the foreign country in which it was filed. Because Article 4D(3) of the Paris Convention which 35 U.S.C. 119(a)-(d) implements refers to certification ". . . by the authority which received such application . . .", the reference to "patent office" in the statute is construed to extend also to the authority which is in charge of the design register, i.e., the applicable German court. As a consequence, an additional certification by the German Patent Office will not be necessary especially since Article 4D(3) of the Paris Convention provides that authentication shall not be required. Effective November 29, 2000, the AIPA amended 35 U.S.C. 119(b)(3) to state that certification "...shall be made by the foreign intellectual property authority in which the foreign application was filed." 35 U.S.C. 119(b)(3) as amended by the AIPA applies to applications filed under 35 U.S.C 111(a) and international applications complying with 35 U.S.C. 371, with filing dates on or after November 29, 2000.

Although, as stated above, a "regular national filing" gives rise to the right of priority, the mere submission of a certified copy of the earlier filed foreign application, however, may not be sufficient to perfect that right in this country. For example, among other things, an application filed in a foreign country must contain a disclosure of the invention adequate to satisfy the requirements of 35 U.S.C. 112, in order to form the basis for the right of priority in a later filed United States application.

201.14(c) Right of Priority, Practice

Before going into the practice with respect to those instances in which the priority papers are used to overcome a reference, there will first be described the practice when there is no occasion to use the papers, which will be in the majority of cases. In what follows in this section it is assumed that no reference has been cited which requires the priority date to be overcome.

UNTIMELY CLAIM FOR PRIORITY

If the foreign priority claim in an original application filed under 35 U.S.C.111(a) (other than a design application) on or after November 29, 2000 or an application in which applicant has requested voluntary publication, is submitted after the time period set in 37 CFR 1.55(a)(1)(i) and without a petition under 37 CFR 1.55(c), the examiner may use form paragraph 2.21.01 to notify applicant that the foreign priority claim will not be entered.

NO IRREGULARITIES AND PRIORITY CLAIM TIMELY

When the papers under 35 U.S.C. 119(a)-(d) are received within the time period set forth in 37 CFR 1.55(a)(1), if applicable, they are to be endorsed on the contents page of the file as "Letter (or amendment) and foreign application". Assuming that the papers are timely and regular in form and that there are no irregularities in dates, the examiner in the next Office action will advise the applicant that the papers have been received on form PTOL-326 or by use of form paragraph 2.26.

¶ 2.26 Claimed Foreign Priority - Papers Filed

Receipt is acknowledged of papers submitted under 35 U.S.C. 119(a)-(d), which papers have been placed of record in the file.

Where the priority papers have been filed in another application, use form paragraph 2.27.

¶ 2.27 Acknowledge Foreign Priority Paper in Parent

Acknowledgment is made of applicant's claim for foreign priority under 35 U.S.C. 119 (a)-(d). The certified copy has been filed in parent Application No. **[1]**, filed on **[2]**.

Examiner Note:

1. For problems with foreign priority, see form paragraphs 2.18 to 2.24.

2. In bracket 1, insert series code and serial no. of parent.

The examiner will enter the information specified in MPEP § 202.03 on the face of the file wrapper or on the PALM bib-data sheet for 09/ series applications.

PAPERS INCONSISTENT WITH A TIMELY PRIORITY CLAIM

If the certified copy filed does not correspond to the foreign application identified in the application oath or declaration or an application data sheet, or if the application oath or declaration or an application data sheet does not refer to the particular foreign application, the applicant has not complied with the requirements of the rule relating to the oath or declaration. In such instances, the Office action, after acknowledging receipt of the papers, should require the applicant to explain the inconsistency and to file a new oath or declaration or an application data sheet stating correctly the facts concerning foreign applications required by 37 CFR 1.63 by using form paragraph 2.21.

¶ 2.21 Oath, Declaration or Application Data Sheet Does Not Contain Reference to Foreign Filing

Receipt is acknowledged of papers filed under 35 U.S.C. 119(a)-(d) based on an application filed in **[1]** on **[2]**. Applicant has not complied with the requirements of 37 CFR 1.63(c), since the oath or declaration does not acknowledge the filing of any foreign application. A new oath or declaration is required in the body of which the present application should be identified by application number and filing date.

Other situations requiring some action by the examiner are exemplified by other form paragraphs.

NO CLAIM FOR PRIORITY

Where applicant has filed a certified copy but has not made a claim for priority, use form paragraph 2.22.

¶ 2.22 Certified Copy Filed, But No Claim Made

Receipt is acknowledged of a certified copy of the **[1]** application referred to in the oath or declaration or in an application data sheet. If this copy is being filed to obtain the benefits of the foreign filing date under 35 U.S.C. 119(a)-(d), applicant should also file a claim for such priority as required by 35 U.S.C. 119(b). If the application being examined is an original application filed under 35 U.S.C. 111(a) (other than a design application) on or after November 29, 2000, or an application in which applicant has requested voluntary publication, the claim for priority must be presented during the pendency of the application, and within the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior foreign application. See 37 CFR 1.55(a)(1)(i). If the application being examined has entered the national stage from an international application filed on or after November 29, 2000, after compliance with 35 U.S.C. 371, the claim for priority must be made during the pendency of the application and within the time limit set forth in the PCT and Regulations of the PCT. See 37 CFR 1.55(a)(1)(ii). Any claim for priority under 35 U.S.C. 119(a)-(d) or (f) or 365(a) or (b) not presented within the time period set forth in 37 CFR 1.55(a)(1) is considered to have been waived. If a claim for foreign priority is presented after the time period set forth in 37 CFR 1.55(a)(1), the claim may be accepted if the claim properly identifies the prior foreign application and is accompanied by a grantable petition to accept an unintentionally delayed claim for priority. See 37 CFR 1.55(c).

Examiner Note:

1. In bracket 1, insert the application number of the foreign application.

NOTE: Where the applicant's accompanying letter states that the certified copy is filed for priority purposes or for the convention date, it is accepted as a claim for priority.

FOREIGN APPLICATIONS ALL FILED MORE THAN A YEAR BEFORE EARLIEST EFFECTIVE U.S. FILING

Where the earlier foreign application was filed more than 12 months prior to the U.S. application, use form paragraph 2.23.

¶ 2.23 Foreign Filing More Than 12 Months Earlier

Acknowledgment is made of applicant's claim for priority under 35 U.S.C. 119(a)-(d) based upon an application filed in **[1]** on **[2]**. A claim for priority under 35 U.S.C. 119(a)-(d) cannot be based on said application, since the United States application was filed more than twelve months thereafter.

Examiner Note:

1. In bracket 1, insert the country name.
2. In bracket 2, insert the filing date of the foreign application.

SOME FOREIGN APPLICATIONS FILED MORE THAN A YEAR BEFORE U.S. FILING

For example, where a British provisional specification was filed more than a year before a U.S. application, but the British complete application was filed within the year, and certified copies of both were submitted, language similar to the following should be used: "Receipt is acknowledged of papers filed on September 18, 1979, purporting to comply with the requirements of 35 U.S.C. 119(a)-(d). It is not seen

how the claim for priority can be based on the British specification filed January 23, 1978, because the instant application was filed more than one year thereafter. However, the printed heading of the patent will note the claimed priority date based on the complete specification; i.e., November 1, 1978, for such subject matter as was not disclosed in the provisional specification."

CERTIFIED COPY NOT THE FIRST FOREIGN APPLICATION

Form paragraph 2.24 may be used to notify applicant that the date for which foreign priority is claimed is not the date of the first filed foreign application acknowledged in the oath or declaration.

¶ 2.24 Claimed Foreign Priority Date Not the Earliest Date

Receipt is acknowledged of papers filed on **[1]** purporting to comply with the requirements of 35 U.S.C. 119(a)-(d) and they have been placed of record in the file. Attention is directed to the fact that the date for which foreign priority is claimed is not the date of the first filed foreign application acknowledged in the oath or declaration.

NO CERTIFIED COPY

Where priority is claimed but no certified copy of the foreign application has been filed, use form paragraph 2.25.

¶ 2.25 Claimed Foreign Priority, No Papers Filed

Acknowledgment is made of applicant's claim for foreign priority based on an application filed in **[1]** on **[2]**. It is noted, however, that applicant has not filed a certified copy of the **[3]** application as required by 35 U.S.C. 119(b).

Examiner Note:

1. In bracket 1, insert the country name.
2. In bracket 2, insert the filing date of the foreign application.
3. In bracket 3, insert the application number of the foreign application.

Any unusual situation may be referred to the Technology Center (TC) Director.

APPLICATION IN ISSUE

When priority papers for applications which have been sent to the Publishing Division are received, the priority papers should be sent to the Publishing Division.

When the claim for foreign priority or the certified copy of the foreign application is filed after the date of payment of the issue fee but prior to the date of grant of the patent, the priority claim or certified copy must be accompanied by a processing fee set forth in 37 CFR 1.17(i). The priority claim or certified copy will be placed in the file record but there will be no review of the papers and the patent when published will not include the priority claim. A certificate of correction under 35 U.S.C. 255 and 37 CFR 1.323 can be filed to have the priority claim or certified copy considered after publication of the patent. In addition, for original applications filed under 35 U.S.C.111(a) (other than design applications) on or after November 29, 2000 or applications in which applicant has requested voluntary publication, a grantable petition to accept an unintentionally delayed claim for priority under 37 CFR 1.55(c) must be filed with the certificate of correction.

RETURN OF PAPERS

It is sometimes necessary for the examiner to return papers filed under 35 U.S.C. 119(a)-(d) either upon request of the applicant, for example, to obtain a translation of the certified copy of the foreign application, or because they fail to meet a basic requirement of the statute, such as where all foreign applications were filed more than a year prior to the U.S. filing date.

When the papers have not been given a paper number and endorsed on the file wrapper, it is not necessary to secure approval of the Commissioner for their return but they should be sent to the TC Director for cancellation of the Office stamps. Where the papers have been made of record in the file (given a paper number and endorsed on the file wrapper), a request for permission to return the papers should be addressed to the Commissioner of Patents and Trademarks and forwarded to the TC Director for approval. Where the return is approved, the written approval should be placed in the file wrapper. Any questions relating to the return of papers filed under 35 U.S.C. 119(a)-(d) should be directed to the Office of the Assistant Commissioner for Patents.

FILLING OUT THE FOREIGN PRIORITY SECTION OF THE FILE WRAPPER LABEL (PTO-436L)

Where foreign applications are listed on the 37 CFR 1.63 oath or declaration or application data sheet, the examiner should check that such foreign

applications are properly listed on the file wrapper, correcting errors of typography or format as necessary, and initialing the "verified" line when the information on the file wrapper, matches the oath or declaration or application data sheet. See MPEP § 202.03. Should there be an error on the oath or declaration, or application data sheet itself, the examiner should require a new oath or declaration, or application data sheet, where appropriate. If a foreign application listed on the oath or declaration, or application data sheet is not listed on the file wrapper, the examiner should print in black ink the country, application number, and filing date under "Foreign/PCT Applications" on the file wrapper or on the PALM bib-data sheet. Applications listed on the file wrapper but filed in countries not qualifying for benefits under 35 U.S.C. 119(a)-(d) should be lined through in red ink. A listing of countries qualifying for benefits under 35 U.S.C. 119(a)-(d) appears at MPEP § 201.13.

Below the "Foreign/PCT applications" portion, the "yes" box for "Foreign priority claimed" should be checked only when priority has been properly claimed as provided in 37 CFR 1.55. Otherwise, the Examiner should check "no". Where a claim is made for one or more listed foreign applications and not for one or more other listed foreign applications, the data on the file wrapper concerning the unclaimed applications should be lined through in pencil and the "yes" box checked.

The "yes" box for "35 U.S.C. 119 conditions met" should be checked when there are any foreign applications listed that meet all of the requirements of 35 U.S.C. 119(a)-(d). In such cases, any listed foreign application that does not meet all of the requirements of 35 U.S.C. 119(a)-(d) should be lined through in pencil.

201.14(d) Proper Identification of Priority Application

In order to help overcome problems in determining the proper identification of priority applications for patent documentation and printing purposes, the following tables have been prepared which set out for various countries the forms of acceptable presentation of application numbers.

The tables should enable applicants, examiners and others to extract from the various formats the minimum required data which comprises a proper citation.

Proper identification of priority applications is essential to establishing accurate and complete relationships among various patent documents which reflect the same invention. Knowledge of these relationships is essential to search file management, technology documentation and various other purposes.

The tables show the forms of presentation of application numbers as used in the records of the source or originating patent office. They also show, under the heading "Minimum Significant Part of the Number," the simplified form of presentation which should be used in United States Patent and Trademark Office records.

Note particularly that in the simplified format that:

(A) Alpha symbols preceding numerals are eliminated in all cases except Hungary.

(B) A decimal character and numerical subset as part of a number is eliminated in all cases except France.

(C) Use of the dash (—) is reduced, but is still an essential element of application numbers, in the case of Czechoslovakia and Japan.

MINIMUM SIGNIFICANT PART OF AN APPLICATION NUMBER PROVIDING UNIQUE IDENTIFICATION OF AN APPLICATION

Table I—Countries Using Annual Application Number Series

Country #	Example of application number at source	Minimum significant part of the number	Remarks
Austria [AT]	A 12116/69	12116/69	The letter A is common to all patent applications.
Czechoslovakia [CS]	PV3628-72	3628-72	PV is an abbreviation meaning "application of invention."
Denmark [DK]	68/2986	68/2986	
Egypt [EG]	487-1968	487-1968	
Country #	Example of application number at source	Minimum significant part of the number	Remarks
Finland [FI]	3032/69 (old numbering system) 752032 (new numbering system)	3032/69 752032	New numbering system introduced on January 1, 1975. First two digits indicate year of application.
France [FR]	69.38066 7319346	68.38066 7319346	Deletion of the intermediary full stop from this number onwards.
Note: All French applications are numbered in a single annual series, e.g., demande de brevet, demande de certificate d'addition (first addition, second addition, etc.)			Annual series of numbers is used for all applications of patent documents. The number allotted to an application at its filing (national registration number) is also the number of the granted patent.

Table I—Countries Using Annual Application Number Series—Continued			
Country #	Example of application number at source	Minimum significant part of the number	Remarks
Germany, Fed. Rep. of [DE]	P 1940738// 6-24 G6947580.5	1940738 Δ6947580	P=Patent. The first two digits of the number represent the last two digits of the year of application less 50 (e.g., 1969 less 50=19; 1973 less 50=23). The first digit after the slash is an error control digit. The two digits following the dash indicate the examining division. G= Gebrauschsmuster. The first two digits of the number represent the last two digits of the year of application. The difference in numbering scheme of the first two digits affords unique identification of this type of application. However, see note below (Δ). The digit after the period is for error control.
Ireland	1152/69	1152/69	
Italy [IT]	28039-A/70	28039/70	Application numbers are not presented on published patent documents or given in an official gazette. An exclusive block of application numbers is given annually to each of 93 provincial bureaus where patent applications may be filed. In 1973, 90,000 numbers were allotted, wherein an estimated total of 30,000 applications were expected to be filed. While, as a consequence, gaps will exist in the ultimately used numbers, each application has a unique number. For this purpose, neither the dash nor the letter identifying the receiving bureau, which follows the application number, is needed.
Japan [JP]	46-69807 46-81861	46-69807 Δ46-81861	The two digits before the dash indicate the year (1925 or 1988) of the Emperor's reign in which the application was filed (46=1971). Patent and utility model applications are numbered in separate series.
Netherlands [NL]	7015038	7015038	First two digits indicate year of application.
Norway [NO]	1748/70 (old numbering system) 74001 (new numbering system)	1748/70 74001	New numbering system introduced on January 1, 1974. First two digits indicate year of application.
South Africa [ZA]	70/4865	70/4865	

Table I—Countries Using Annual Application Number Series—Continued

Country #	Example of application number at source	Minimum significant part of the number	Remarks
Sweden [SE]	16414/70 7300001-0 (new system)	16414/70 7300001	The new numbering system was introduced January 1, 1973. First two digits indicate year of application. The digit after the dash is used for computer control.
Switzerland [CH]	15978/70	15978/70	
United Kingdom [GB]	41352/70	41352/70	
Yugoslavia [YU]	P1135/66	1135/66	
Zambia [ZM]	142/70	142/70	
Argentina [AR]	231790	231790	
Australia [AU]	59195/69	59195/69	Long series spread over several years. New series started in 1970.
Belgium [BE]	96469	96469	Application numbers are not presented on published patent documents or given in an official gazette. A series of parallel numbers is provided to each of 10 offices which, respectively, may receive applications (control office + 9 provincial bureaus) and assign application numbers. Series was started in 1958. Since an application number does not uniquely identify a BE document, the patent number is often cited as the "priority application number."
Brazil [BR]	222986	222986	
Bulgaria [BG]	11572	11572	
Canada [CA]	103828	103828	
Colombia [CO]	126050	126050	

Table II—Countries Using Other Than Application Number Series

Country #	Example of application number at source	Minimum significant part of the number	Remarks
Brazil [BR]	222986	222986	
Bulgaria [BG]	11572	11572	
Canada [CA]	103828	103828	
Colombia [CO]	126050	126050	
Cuba [CU]	33384	33384	
German (Dem. Rep.) [DD]	AP84c/ 137355 WP135b/ 147203	137355 147203	AP=Ausschliessungspatent; WP=Wirtschaftspatent. The other symbols before the slash are classification symbols. A single numbering series covers both AP and WP applications.
Greece [GR]	44114	44114	
Hungary [HU]	OE 107	OE 107	The letters preceding the number are essential for identifying the application. They are the first letter and the first following vowel of the applicant's name. There is a separate numbering sequence for each pair of letters.
Israel [IL]	35691	35691	
Luxembourg [LU]	60093	60093	
Mexico [MX]	123723	123723	
Monaco [MC]	908	908	
New Zealand [NZ]	161732	161732	
OAPI [OA]	52118	52118	
Philippines [PH]	11929	11929	
Poland [PO]	P144826 44987	144826 Δ44987	

Table II—Countries Using Other Than Application Number Series—Continued

Country #	Example of application number at source	Minimum significant part of the number	Remarks
Portugal [PT]	P52-555-5607	52555 Δ5607	
Romania [RO]	65211	65211	
Soviet Union	1397205-15	1397205	The numbers following the slash denote the examination division and a processing division.
United States [US]	889877	889877	The highest number assigned in the series of numbers started in January 1960. New series started in January 1970, January 1979, Δ January 1987, January 1993, and January 1998.

ICIREPAT Country Code is indicated in brackets, e.g., [AR].

Δ In order to distinguish utility model applications from patent applications, it is necessary to identify them as to type of application in citations or references. This may be done by using the name of the application type in conjunction with the number or by using the symbol "U" in brackets or other enclosure following the number.

201.15 Right of Priority, Overcoming a Reference

The only times during *ex parte* prosecution that the examiner considers the merits of an applicant's claim of priority is when a reference is found with an effective date between the date of the foreign filing and the date of filing in the United States and when an interference situation is under consideration. If at the time of making an action the examiner has found such an intervening reference, he or she simply rejects whatever claims may be considered unpatentable thereover, without paying any attention to the priority date (assuming the papers have not yet been filed). The applicant in his or her reply may argue the rejection if it is of such a nature that it can be argued, or present the foreign papers for the purpose of overcoming the date of the reference. If the applicant argues the reference, the examiner, in the next action in the application, may specifically require the foreign papers to be filed in addition to repeating the rejection if it is still considered applicable, or he or she may merely continue the rejection.

Form paragraph 2.19 may be used in this instance.

¶ 2.19 Overcome Rejection by Translation

Applicant cannot rely upon the foreign priority papers to overcome this rejection because a translation of said papers has not been made of record in accordance with 37 CFR 1.55. See MPEP § 201.15.

Examiner Note:

This form paragraph should follow a rejection based on an intervening reference.

In those cases where the applicant files the foreign papers for the purpose of overcoming the effective date of a reference, a translation is required if the foreign papers are not in the English language. When the examiner requires the filing of the papers, the translation should also be required at the same time. This translation must be filed together with a statement that the translation of the certified copy is accurate. When the necessary papers are filed to overcome the date of the reference, the examiner's action, if he or she determines that the applicant is not entitled to the priority date, is to repeat the rejection on the reference, stating the reasons why the applicant is not considered entitled to the date. If it is determined that the applicant is entitled to the date, the rejection is withdrawn in view of the priority date.

If the priority papers are already in the file when the examiner finds a reference with the intervening effective date, the examiner will study the papers, if they are in the English language, to determine if the applicant is entitled to their date. If the applicant is found to be entitled to the date, the reference is simply not used but may be cited to applicant on form PTO-892. If the applicant is found not entitled to the date, the unpatentable claims are rejected on the reference with an explanation. If the papers are not in the English language and there is no translation, the examiner may reject the unpatentable claims and at the same time require an English translation for the purpose of determining the applicant's right to rely on the foreign filing date.

The foreign application may have been filed by and in the name of the assignee or legal representative or agent of the inventor, as applicant. In such cases, if the certified copy of the foreign application corresponds with the one identified in the oath or declaration as required by 37 CFR 1.63 and no discrepancies appear, it may be assumed that the inventors are entitled to the claim for priority. If there is disagreement as to inventors on the certified copy, the priority date should be refused until the inconsistency or disagreement is resolved.

The most important aspect of the examiner's action pertaining to a right of priority is the determination of the identity of invention between the U.S. and the foreign applications. The foreign application may be considered in the same manner as if it had been filed in this country on the same date that it was filed in the foreign country, and the applicant is ordinarily entitled to any claims based on such foreign application that he or she would be entitled to under our laws and practice. The foreign application must be examined for the question of sufficiency of the disclosure under 35 U.S.C. 112, as well as to determine if there is a basis for the claims sought.

In applications filed from the United Kingdom there may be submitted a certified copy of the "provisional specification," which may also in some cases be accompanied by a copy of the "complete specification." The nature and function of the United Kingdom provisional specification is described in an article in the Journal of the Patent Office Society of November 1936, pages 770-774. According to United Kingdom law the provisional specification need not contain a complete disclosure of the invention in the sense of 35 U.S.C. 112, but need only describe the general nature of the invention, and neither claims nor drawings are required. Consequently, in considering such provisional specifications, the question of completeness of disclosure is important. If it is found that the United Kingdom provisional specification is insufficient for lack of disclosure, reliance may then be had on the complete specification and its date, if one has been presented, the complete specification then being treated as a different application and disregarded as to the requirement to file within 1 year.

In some instances, the specification and drawing of the foreign application may have been filed at a date subsequent to the filing of the petition in the foreign country. Even though the petition is called the application and the filing date of this petition is the filing date of the application in a particular country, the date accorded here is the date on which the specification and drawing were filed.

It may occasionally happen that the U.S. application will be found entitled to the filing date of the foreign application with respect to some claims and not with respect to others. Occasionally a sole or joint applicant may rely on two or more different foreign applications and may be entitled to the filing date of one of them with respect to certain claims and to another with respect to other claims.

201.16 Using Certificate of Correction to Perfect Claim for Priority Under 35 U.S.C. 119(a)-(d) or (f)

35 U.S.C. 119. Benefit of Earlier Filing Date; Right of Priority.

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(b)(1)No application for patent shall be entitled to this right of priority unless a claim is filed in the Patent and Trademark Office, identifying the foreign application by specifying the application number on that foreign application, the intellectual property authority or country in or for which the application was filed, and the date of filing the application, at such time during the pendency of the application as required by the Director.

(2) The Director may consider the failure of the applicant to file a timely claim for priority as a waiver of any such claim.The Director may establish procedures, including the payment of a surcharge, to accept an unintentionally delayed claim under this section.

(3) The Director may require a certified copy of the original foreign application, specification, and drawings upon which it