



EFS-Web

Quick Start Guide

**CITATION OF PRIOR ART UNDER 37
CFR 1.501**



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1. Introduction

This guide is for Citation of Prior Art and Written Statements under 35 USC 301 and 37 CFR 1.501. For general information on submitting applications electronically via EFS-Web please review the EFS-Web Quick Start Guide located at <http://www.uspto.gov/patents/process/file/efs/guidance/EFSS-WebQuickStartGuide.pdf>

The Citation of Prior Art and Written Statements in a Patent File provides a mechanism for patent owners and third parties during the period of enforceability of a patent to cite prior art consisting of patents or printed publications and patent owner claim scope statements which are pertinent to and have a bearing upon the patentability of any claim of the patent. A submission must include a statement of pertinence and manner of applying the cited references to at least one claim of the patent. If the submission is made by the patent owner, an explanation of pertinence and manner may include an explanation of how the claims differ from the cited references. Such citations shall be entered in the patent file except as set forth in § 1.502 and 1.902.

The resource page for Citation of Prior Art and Written Statements can be found at:

http://www.uspto.gov/aia_implementation/patents.jsp#heading-8

Frequently asked questions regarding changes that permit the filing of Written Statements can be found at:

http://www.uspto.gov/aia_implementation/faqs-citation-of-patent-owner-statements.jsp

This Quick Start Guide will provide you with the information you need in order to understand how to file a Citation of Prior Art and Written Statements submission, including a brief overview of the process and screen shots that identify critical aspects of the submission.

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

2. Basic Guidelines for Filing a Citation of Prior Art and Written Statements Submission

- You must be able to access EFS-Web.
- The radio button “Prior Art Submission into a Patent File under 37 CFR 1.501” **must** be selected.
- You can be either a Registered or Unregistered eFiler. Only Registered eFilers may save a submission as a work-in-progress for up to 7 days.
- A submission into a Patent File under 37 CFR 1.501 may be made in any utility patent. The patent must be in good standing and not in an expired status.
- A submission into a Patent File under 37 CFR 1.501 is **not** permitted in design or plant patents.

- Before being entered into the image file wrapper (IFW) record of an application, a submission into a Patent File will be reviewed for compliance.
- There is no fee required for the Prior Art Submission into a Patent File under 37 CFR 1.501

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

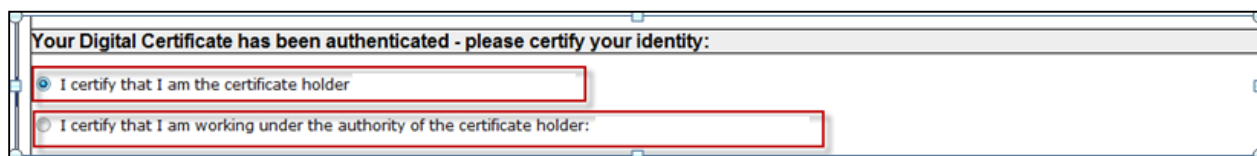
3. Filing a Prior Art into a Patent File Submission

3.1 Signing-On to EFS-Web

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

3.1.1 Registered eFiler

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



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

To submit a Prior Art Submission into a Patent File, select the “**Existing application/patent**” radio button. The Web screen will expand to display additional options. Select the radio button located next to “**Prior Art Submission into a Patent File under 37 CFR 1.501**” and enter the Application Number and Patent Number. The Patent Number can be obtained by looking up the application number in the Public Patent Application Information Retrieval (PAIR) System located at <http://portal.uspto.gov/external/portal/pair> and viewing the Bibliographic Data. If the Patent Number is not available or not known, the Prior Art Submission into a Patent File cannot be filed electronically and may be filed in paper instead.

EFS Registered

Registered eFilers Please Read Announcements

Certification

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

EFSWeb demo test.

IMPORTANT: Please read the [Legal Framework for using EFS-Web](#). For information on the Paperwork Reduction Act as it pertains to: ePetitions, third party submissions under 37 CFR 1.290, Web-based application data sheets, and citations of prior art and written statements under 37 CFR 1.501, please see the [OMB Clearance and PRA Burden Statement page](#).

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

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

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

*Main Functions

New application/proceeding

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

Existing application/patent/proceeding f

Select Type of Submission for Existing Application/Proceeding

Documents/Fees for an existing application/proceeding (applicant/representative only)
(A request for continued examination (RCE) and continued prosecution application (CPA) are considered existing documents)

ePetition (for automatic processing and immediate grant, if all petition requirements are met)

eProcessing (Electronic Terminal Disclaimer and other requests for automatic processing)

Pre-Grant Publication under 37 CFR 1.211 to 1.221 f

Third-Party Preissuance Submission under 37 CFR 1.290 f
(for utility, design, or plant application only, and not a reissue application or reexam proceeding)

Prior Art Submission into a Patent File under 37 CFR 1.501 f
(NOT to be used as a request for reexamination)

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

* Patent Number (EXAMPLE: 9,999,999; 9999999) f

* Pursuant to 37 CFR 11.18(b), the party presenting any paper to the Office, whether a practitioner or non-practitioner, is certifying that all statements made therein of the party's own knowledge are true, all statements made therein on information and belief are believed to be true, and all statements made therein are made with the knowledge that whoever, in any matter within the jurisdiction of the Office, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, or knowingly and willfully makes any false, fictitious, or fraudulent statements or representations, or knowingly and willfully makes or uses any false writing or document knowing the same to contain any false, fictitious, or fraudulent statement or entry, shall be subject to the penalties set forth under 18 U.S.C. 1001 and any other applicable criminal statute.

You must select the check box acknowledging that you have read the 37 CFR 11.18(b) statement in order to proceed with the submission. Next, to enter the data for the Prior Art Submission into a Patent File, click on the “**Continue**” button.

3.1.2 Unregistered eFiler

Once you have signed-on to EFS-Web as an Unregistered efiler, you will need to enter your last name, first name and e-mail address.

To submit a Prior Art Submission into a Patent File, select the “**Existing application/patent**” radio button. The Web screen will expand to display additional options. Select the radio button located next to “**Prior Art Submission into a Patent File under 37 CFR 1.501**” and enters the Application Number and Patent Number. The Patent Number can be obtained by looking up the application number in the Public Patent Application Information Retrieval (PAIR) System located at <http://portal.uspto.gov/external/portal/pair> and viewing the Bibliographic Data. If the Patent Number is not available or not known, the Prior Art Submission cannot be filed electronically and may be filed in paper instead.

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

3.2 Entering Data for a Prior Art Submission

On the “Application Data” screen, only the application number will be displayed. On this screen, enter the data for the items that are being submitted in the Prior Art Submission in the appropriate sections of the screen (e.g., U.S. Patents, U.S. Patent Application Publications, Foreign Patents and Published Foreign Patent Applications, and Non-Patent Publications). A minimum of 1 item and a maximum of 10 may be listed per electronic submission. If you need to list more than 10, please make a subsequent submission to add the additional items. A form PTO/SB/42 will be automatically generated based on the data entered on this screen. You will be able to review the auto-generated PTO/SB/42 later on the “Review Documents” screen.

Please select the correct option for the Submitter type. If the filer is a third party, please select the option for Third Party, and select the check box acknowledging that you will be attaching a copy of the Certificate of Service or a document showing that service was not practical under 37 CFR 1.248(a).

Prior Art Submission into a Patent File under 37 CFR 1.501 i	
Application Number	9999999
Title of Invention	TESTING AND RECOVERY IN A MULTILAYER DEVICE
First Named Inventor	Adrian E. Ong
Customer Number or Correspondence Address	99999
Filed By	Joe Inventor
Attorney Docket Number	R-RA0689.CIP2.US
Application Type	Utility under 35 USC 111(a)
<p>Submitter is: <input type="radio"/> Patent Owner <input checked="" type="radio"/> Third Party</p> <p><input checked="" type="checkbox"/> I will be attaching a copy of the Certificate of service or a document showing that service was not practical. See 37 CFR 1.248(a).</p>	

3.2.1 U.S. Patents

In the “**U.S. Patents**” section, a valid 7 digit U.S. patent number must be entered in the Patent Number field. The patent number entered will be validated against the USPTO database and the First Named Inventor and Issue Date fields will be automatically filled in upon selecting the “**Add Another**” or “**Continue**” button.

EFS Unregistered	
<div style="display: flex; justify-content: space-between; font-size: small;"> Unregistered of Users Please Read Announcements Application Data Attach Documents Review Documents Confirm & Submit Pay Fees Receipt </div>	
Application Data	
<small>A submission has not been filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO. The Acknowledgement Receipt is evidence of this submission. All items denoted by * are required.</small>	
Prior Art Submission into a Patent File under 37 CFR 1.501 i	
Application Number	9999999
Title of Invention	TESTING AND RECOVERY IN A MULTILAYER DEVICE
First Named Inventor	Adrian E. Ong
Customer Number or Correspondence Address	99999
Filed By	Joe Inventor
Attorney Docket Number	R-RA0689.CIP2.US
Application Type	Utility under 35 USC 111(a)
<p>Submitter is: <input type="radio"/> Patent Owner <input checked="" type="radio"/> Third Party</p> <p><input checked="" type="checkbox"/> I will be attaching a copy of the Certificate of service or a document showing that service was not practical. See 37 CFR 1.248(a).</p> <p>Instructions: Using the field below, enter each item to be listed (U.S. patent, U.S. patent application publication, foreign patent, published foreign patent application, or other printed publication). A form PTO/SB/42 will be automatically generated, when the submission is complete. You will have an opportunity to review the accuracy of the data entered before making the submission and remove any items if necessary.</p>	
U.S. PATENTS i	
<small>Complete the fields below to enter a U.S. patent document. Click the "Add Another" button to enter each additional U.S. patent document. The required explanation of pertinence and manner of applying the submitted reference(s) in accordance with 37 CFR 1.501(b) will be uploaded on the "Attached Documents" screen.</small>	
<div style="border: 1px solid #ccc; padding: 5px;"> <p><small>*Patent Number (EXAMPLE: 9,999,999, 9999999 or D999999)</small></p> <p><input style="width: 100%;" type="text" value="1234567"/></p> <p style="text-align: right;"><input type="button" value="Add Another"/></p> </div>	

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

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

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

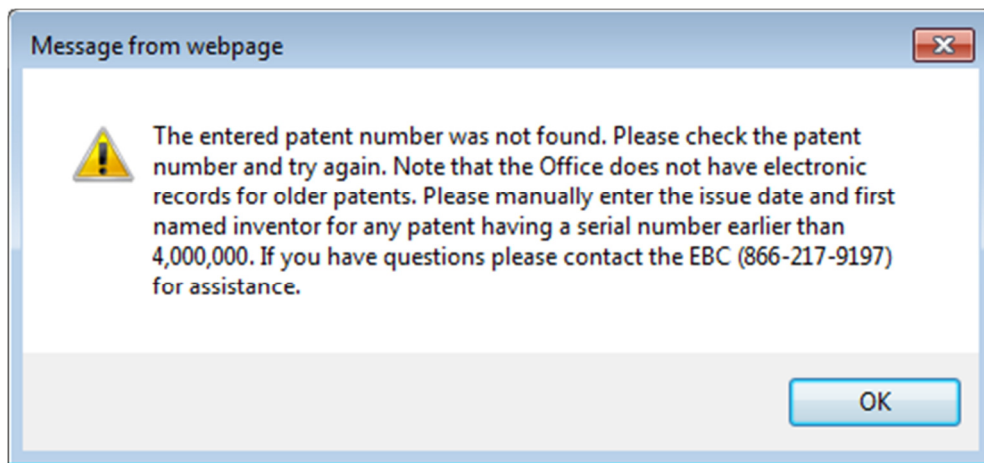
U.S. PATENTS ⓘ

Complete the fields below to enter a U.S. patent document. Click the “Add Another” button to enter each additional U.S. patent document. The required explanation of pertinence and manner of applying the submitted reference(s) in accordance with 37 CFR 1.501(b) will be uploaded on the “Attached Documents” screen.

Patent Number	Issue Date	Title Of Invention	First Named inventor
1234567	01/01/0001	ECR 371 - itn 2276	<input type="button" value="Remove"/>

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

If a patent number is entered and no electronic version of the patent is available, a warning will appear on the screen.



After clicking OK on the message, verify the patent number and enter the Issue Date and First Named Inventor.

U.S. PATENTS ⓘ

Complete the fields below to enter a U.S. patent document. Click the “Add Another” button to enter each additional U.S. patent document. The required explanation of pertinence and manner of applying the submitted reference(s) in accordance with 37 CFR 1.501(b) will be uploaded on the “Attached Documents” screen.

Patent Number	Issue Date	Title Of Invention	First Named inventor
1234567	01/01/0001	ECR 371 - itn 2276	<input type="button" value="Remove"/>

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

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

*Issue Date (MM/DD/YYYY)


*First Named Inventor

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

3.2.2 U.S. Patent Application Publications

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

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

U.S. PATENT APPLICATION PUBLICATIONS 	
<small>Complete the fields below to enter a U.S. patent application publication. Click the "Add Another" button to enter each additional U.S. patent application publication. The required explanation of the pertinence and manner of applying the submitted reference(s) in accordance with 37 CFR 1.501(b) will be uploaded on the "Attached Documents" screen.</small>	
*Publication Number (EXAMPLE: YYYY9999999) <input type="text" value="20019999999"/>	Kind Code <input type="text"/>
*Publication Date (MM/DD/YYYY) <input type="text" value="01"/> / <input type="text" value="01"/> / <input type="text" value="2001"/>	*First Named Inventor <input type="text" value="John Doe"/>
<input type="button" value="Add Another"/>	

3.2.3 Foreign Patents and Published Foreign Patent Applications

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

An English language translation must be attached for any non-English language foreign patent or published foreign patent application publication. Translations need not be certified and a reliable machine translation may be submitted. You may indicate a translation document will be attached by selecting the **“Translation Attached”** check box. If you select this check box, you must upload the translation document on the **“Attach Documents”** screen.

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

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

FOREIGN PATENTS AND PUBLISHED FOREIGN PATENT APPLICATIONS

Complete the fields below to enter a foreign patent or published foreign patent application. Click the “Add Another Patent Document” button to enter each additional foreign patent or published foreign patent application. The required explanation of the pertinence and manner of applying the submitted reference(s) in accordance with 37 CFR 1.501(b) will be uploaded on the “Attached Documents” screen. Upload a copy of the foreign patent or published foreign patent application and any English language translation, as required, on the “Attach Documents” screen.

*Number: 1234567

*Country Code: CA

Kind Code: []

*Applicant, Patentee or First Named Inventor: John Doe

*Publication Date (MM/DD/YYYY): 10 / 10 / 2010

Translation Attached

3.2.4 Non-Patent Publications


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

An English language translation must be attached for any non-English language publication. Translations need not be certified and a reliable machine translation may be submitted. You may indicate a translation document will be attached by selecting the “**Translation Attached**” check box. If you select this checkbox, you must upload the translation document on the “**Attach Documents**” screen.

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

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

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


NON-PATENT PUBLICATIONS 	
<p>Complete the fields below to enter a non-patent publication. Click the "Add Another Non-Patent Publication" button to enter each additional non-patent publication. The required explanation of the pertinence and manner of applying the submitted reference(s) in accordance with 37 CFR 1.501(b) will be uploaded on the "Attached Documents" screen. Upload a copy of the non-patent publication and any English language translation, as required, on the "Attach Documents" screen.</p>	
<p>*Author (if any), title of the publication, page(s) being submitted, publication date, publisher (where available), and place of publication (where available)</p> <p>Jane Doe, Title, pages 1-4, 07/07/2007, US</p> <p>You have 208 characters left.</p>	<p><input type="checkbox"/> Translation Attached</p> <p><input checked="" type="checkbox"/> Evidence of Publication Attached</p> <p><input type="button" value="Add Another"/></p>

3.2.5 Patent Owner Claim Statement Documents

The Patent Owner Claim Scope Statement under 37 CFR 1.501 permits filing of documents containing statements of the patent owner, filed by the patent owner in a proceeding before a Federal court or the Office, in which the patent owner took a position on the scope of any claim of the patent. Any statement submitted under 37 C.F.R. 1.501 must be accompanied by any other documents, pleadings, or evidence from the proceeding in which the statement was filed that address the written statement, and such statement and accompanying information under this paragraph must be submitted in redacted form to exclude information subject to an applicable protective order. Also, any statement must be accompanied by the information required by 37 1.501(a) (3) (iii). Please refer to the procedure set forth at 77 Federal Register 46626 before submitting a Patent Owner Claim Scope Statement. The information must be submitted in multiple separate documents.

Use the box to identify each document being attached, including the document containing the patent owner claim scope statement. The identification provided in the box below must comply with 37 CFR 1.501(a)(3)(i)-(ii). Enter one document at a time, and then click the "Add Another" button to enter the next document. The information recorded here will be listed on the PTO/SB/42 generated from the data entered on this screen.

You will be able to upload the documents on the "Attach Documents" screen.


PATENT OWNER CLAIM STATEMENT DOCUMENTS 	
<p>The Patent Owner Claim Scope Statement under 37 CFR 1.501 permits filing of documents containing statements of the patent owner, filed by the patent owner in a proceeding before a Federal court or the Office, in which the patent owner took a position on the scope of any claim of the patent. Any statement submitted under 37 C.F.R. 1.501 must be accompanied by any other documents, pleadings, or evidence from the proceeding in which the statement was filed that address the written statement, and such statement and accompanying information under this paragraph must be submitted in redacted form to exclude information subject to an applicable protective order. Also, any statement must be accompanied by the information required by 37 1.501(a)(3)(iii). Please refer to the procedure set forth at 77 Federal Register 46626 before submitting a Patent Owner Claim Scope Statement. The information must be submitted in multiple separate documents.</p> <p>Use the box below to identify each document being attached, including the document containing the patent owner claim scope statement. The identification provided in the box below must comply with 37 CFR 1.501(a)(3)(i)-(ii). Enter one document at a time, and then click the checkbox titled "Add Another" to enter the next document. The information recorded here will be listed on an PTO/SB/42 generated from the data entered on this screen.</p> <p>After all information is entered on the current screen, an "Attach Documents" screen will be provided in which to upload the listed documents containing the patent owner claim scope statement, the information required under 37 CFR 1.501(a)(3)(iii), and any other documents required by 37 C.F.R. 1.501(a)(2).</p>	
<p><input checked="" type="checkbox"/> On the "Attach Documents" screen, I will attach the below-listed documents containing the patent owner claim scope statement, accompanying information, and an explanation for each claim scope statement in accordance with 37 CFR 1.501(a)(2) AND (3)(iii) respectively.</p> <p>Name/Title of Document, page(s) being submitted, filing date, proceeding, forum/court in accordance with 37 CFR 1.501(a)(3)(i-ii)</p> <p>Patent Case 0001, 10/10/2010, US vs. John Doe</p> <p>You have 205 characters left.</p>	<p><input type="button" value="Add Another"/></p>

3.2.6 Explanation of the Pertinence and Manner of Applying Prior Art

A submission of prior art must include an explanation of the pertinence and manner of applying any prior art submitted above to at least one claim of the patent. For any patent owner claim scope statement, a submission must include an explanation of the pertinence and manner of applying the claim scope statement to at least one claim of the patent. Please refer to the procedure set forth at 77 Federal Register 46626.


If the submission is made by the patent owner, it may include an explanation of how the claims differ from any prior art or any written statements and accompanying information listed above.

Document(s) containing such explanation(s) should be attached on the "Attach Documents" screen.

EXPLANATION OF THE PERTINENCE AND MANNER OF APPLYING PRIOR ART 	
<small>A submission of prior art must include an explanation of the pertinence and manner of applying any prior art submitted above to at least one claim of the patent. For any patent owner claim scope statement, a submission must include an explanation of the pertinence and manner of applying the claim scope statement to at least one claim of the patent. Please refer to the procedure set forth at 77 Federal Register 46626.</small>	
<small>If the submission is made by the patent owner, it may include an explanation of how the claims differ from any prior art or any written statements and accompanying information listed above.</small>	
<small>Document(s) containing such explanation(s) are to be attached on the following "Attach Documents" screen. Please check the box below to indicate that such document(s) will be attached.</small>	
<input checked="" type="checkbox"/>	<small>Enclosed: document(s) containing explanation(s) of the pertinence and manner of applying the submitted reference(s) and/or statements in accordance with 37 CFR 1.501(b). Required field cannot be empty.</small>

3.2.7 Request for Notification of Non-Compliant Prior Art Submission into a Patent File

By completing the **"Request for Notification of Non-Compliant Prior Art Submission Into a Patent File"** section, you will be notified by e-mail or postal mail if the submission is found to be non-compliant. This section is not required to be completed. To request electronic notification of a non-compliant submission, you must select the check box and enter an e-mail address. To request postal notification of a non-compliant submission, you must select the check box and enter a physical mailing address. The request for notification of non-compliance and the e-mail or physical address provided will not be made of record in the application.

EXPLANATION OF THE PERTINENCE AND MANNER OF APPLYING PRIOR ART 	
<small>A submission of prior art must include an explanation of the pertinence and manner of applying any prior art submitted above to at least one claim of the patent. For any patent owner claim scope statement, a submission must include an explanation of the pertinence and manner of applying the claim scope statement to at least one claim of the patent. Please refer to the procedure set forth at 77 Federal Register 46626.</small>	
<small>If the submission is made by the patent owner, it may include an explanation of how the claims differ from any prior art or any written statements and accompanying information listed above.</small>	
<small>Document(s) containing such explanation(s) are to be attached on the following "Attach Documents" screen. Please check the box below to indicate that such document(s) will be attached.</small>	
<input checked="" type="checkbox"/>	<small>Enclosed: document(s) containing explanation(s) of the pertinence and manner of applying the submitted reference(s) and/or statements in accordance with 37 CFR 1.501(b). Required field cannot be empty.</small>

Prior Art Submission into a Patent File Submissions is required to be signed. At the bottom of the **"Application Data"** screen, provide a valid S-signature, and complete the Name and Registration Number (if applicable) fields. *(Please refer to EFS Web Legal Framework, Section F. Signature Policy.)*

Click on the **"Continue"** button to proceed to the next screen.

3.2.8 Attach Documents

Once you have provided all of the necessary information on the “**Application Data**” screen, two (2) PDF documents will be auto-generated: (1) a form PTO/SB/42 (“501-submission.pdf”) that identifies each document entered, and (2) if applicable, a request for notification of non-compliant Prior Art Submission (“Prior-art-notification-request.pdf”).

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

EFS Unregistered

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

Attach Documents

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

Application Number: 9999999
Title of Invention: TESTING AND RECOVERY IN A MULTILAYER DEVICE
First Named Inventor: Adrian E. Ong
Customer Number or Correspondence Address: 99999
Filed By: Joe Inventor
Attorney Docket Number: R-RA0689.CIP2.US
Application Type: Utility under 35 USC 111(a)

Files to be Submitted	Multi-Doc	Category	Document Description
501-submission.pdf	NO	1.501 Prior Art Submission	Prior Art submission by a Third Party under Rule 37 CFR 1.501 during the period of enforceability of a patent
Prior-art-notification-request.pdf	NO	1.501 Prior Art Submission	Request for Notif of Non-compliant 1.501 Submission

1 No file chosen

Does your PDF file contain multiple documents? Yes No

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

If you need help:

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

On the “**Attach Documents**” screen, you can also upload any additional required documents, such as copies of any listed Foreign Patent, Published Foreign Patent Application, and/or Non-Patent Publication, and any English-language translation and Patent Owner Claim Scope documents. Failure to upload the required documents will result in a non-compliant submission. See 37 1.501(a) (3) (iii).

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

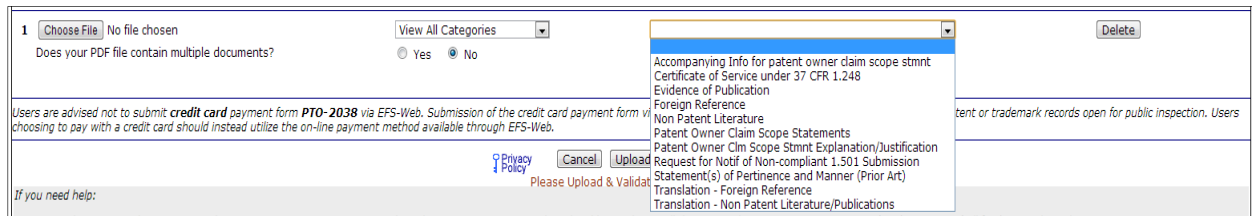
Step 2: Once the document is uploaded, you will need to index it correctly. For the “**Category**” drop down menu select “**1.501 Prior Art Submission**” and on the “**Document Description**” drop down menu select the correct document description for the document being filed. The following document descriptions are available:

- Accompanying Info for Patent Owner Claim Scope Statement
- Certificate of Service under 37 CFR 1.248
- Evidence of Publication
- Foreign Reference (for copies of Foreign Patents and Published Foreign Patent Applications)

- NPL Documents (for copies of Non-Patent Publications)
- Patent Owner Claim Scope Statements
- Patent Owner Claim Scope Statements Explanation/Justification
- Statement(s) of Pertinence and Manner (Prior Art)
- Translation - Foreign Reference
- Translation - Non-Patent Literature/Publications

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

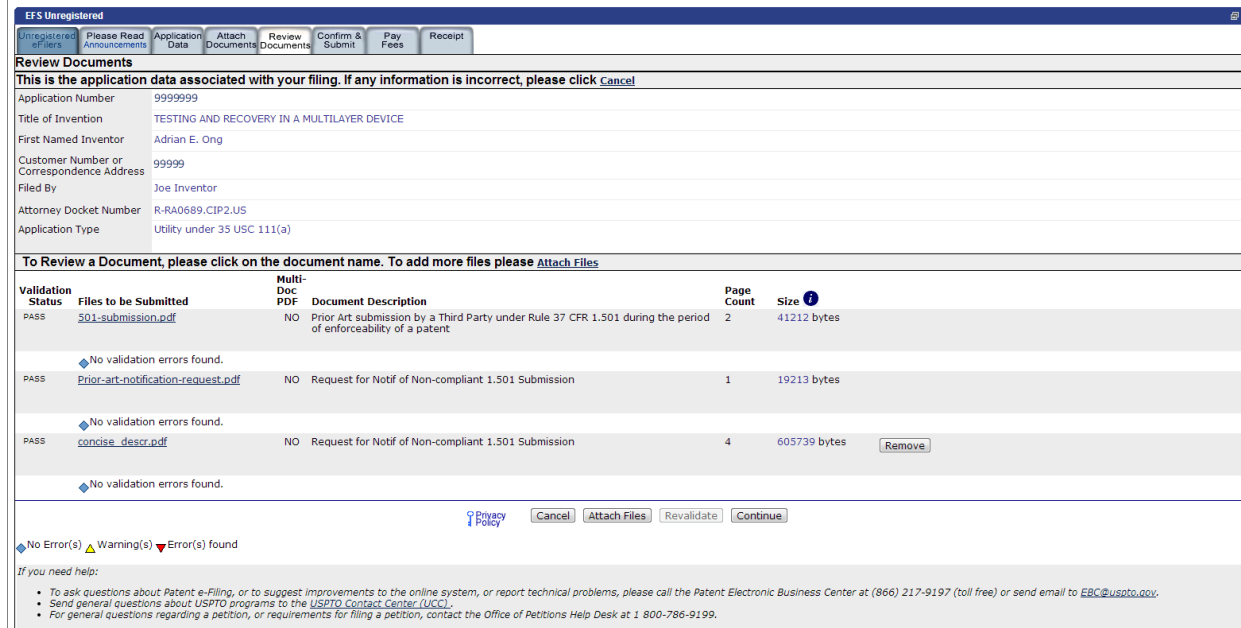
If you do not have any required documents to upload, click on the **“Review”** button.



3.2.9 Review Documents

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

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



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

3.2.10 Confirm and Submit

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

Since no payment is required, click on “**File Prior Art Submission**” button.

EF S Unregistered

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

Confirm & Submit

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

Prior Art Submission into a Patent File under 37 CFR 1.501

Application Number: 9999999
 Title of Invention: TESTING AND RECOVERY IN A MULTILAYER DEVICE
 First Named Inventor: Adrian E. Ong
 Customer Number or Correspondence Address: 99999
 Filed By: Joe Inventor
 Attorney Docket Number: R-RA0689_CIP2_US
 Application Type: Utility under 35 USC 111(a)

Electronic Request

If the following information is incorrect, please click here to edit the Prior Art Citation Submission.

Submitter is: Patent Owner Third Party
 I will be attaching a copy of the Certificate of service or a document showing that service was not practical. See 37 CFR 1.248(a).

U.S. PATENTS			
Patent Number	Issue Date	Title of Invention	First Named Inventor
6123456	09/26/2000	CATALYTIC HYDROGENATION TO REMOVE GAS FROM X-RAY TUBE COOLING OIL	ROBERT LYONS

U.S. PATENT APPLICATION PUBLICATIONS			
Publication Number	Kind Code	Publication Date	First Named Inventor
20019999999		01/01/2001	John Doe

FOREIGN PATENTS AND PUBLISHED FOREIGN PATENT APPLICATIONS				
Number	Country Code	Kind Code	Publication Date	Applicant, Patentee or First Named Inventor
1234567	CA		10/10/2010	John Doe
				Translation Attached <input type="checkbox"/>

NON-PATENT PUBLICATIONS		
Author (if any), title of the publication, page(s) being submitted, publication date, publisher (where available), and place of publication (where available)	Translation Attached	Evidence of Publication Attached
Jane Doe, Title, pages 1-4, 07/07/2007, US	<input type="checkbox"/>	<input checked="" type="checkbox"/>

PATENT OWNER CLAIM STATEMENT DOCUMENTS	
Name/Title of Document, page(s) being submitted, filing date, proceeding, forum/court in accordance with 37 CFR 1.501(a)(3)(I-II)	
Patent Case 0001, 10/10/2010, US vs. John Doe	

EXPLANATION OF THE PERTINENCE AND MANNER OF APPLYING PRIOR ART

*Enclosed: document(s) containing explanation(s) of the pertinence and manner of applying the submitted reference(s) and/or statements in accordance with 37 CFR 1.501(b).

REQUEST FOR NOTIFICATION OF NON-COMPLIANT PRIOR ART SUBMISSION INTO A PATENT FILE

The undersigned requests notification to the following address in the event the prior art submission into a patent file is determined to be non-compliant.

E-mail Address: test@test.com

Mailing Address:

*Name 1:

Name 2:

*Street Address 1:

Street Address 2:

*City:

State:

*Country:

Postal Code:

Telephone Number:

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

Sequence	Files to be Submitted	Page Count	Document Description	File Size	Validation Status Message
1	501-submission.pdf No validation errors found.	2	Prior Art submission by a Third Party under Rule 37 CFR 1.501 during the period of enforceability of a patent	41212 byte	PASS
2	Prior-art-notification-request.pdf No validation errors found.	1	Request for Notif of Non-compliant 1.501 Submission	19213 byte	PASS
3	concise_descr.pdf No validation errors found.	4	Request for Notif of Non-compliant 1.501 Submission	605739 byte	PASS

SIGNATURE

*Signature: /s/
 *Name: Joe Inventor
 Registration Number, if applicable:

Cancel | File Prior Art Submission

If you need help:

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



- Accessibility
- Privacy Policy
- Terms of Use
- Security
- Emergencies/Security Alerts
- Information Quality Guidelines
- Federal Activities Inventory Reform (FAIR) Act
- Notification and Federal Employee Antidiscrimination and Retaliation (NoFEARA) Act
- Budget & Performance
- Freedom of Information Act (FOIA)
- Department of Commerce NoFEAR Act Report
- Regulations.gov
- STOP!Fakes.gov
- Department of Commerce
- USA.gov
- Strategy Targeting Organized Piracy (STOP!)
- Careers
- Site Index
- Contact Us
- USPTO Webmaster

3.2.11 Acknowledgement Receipt

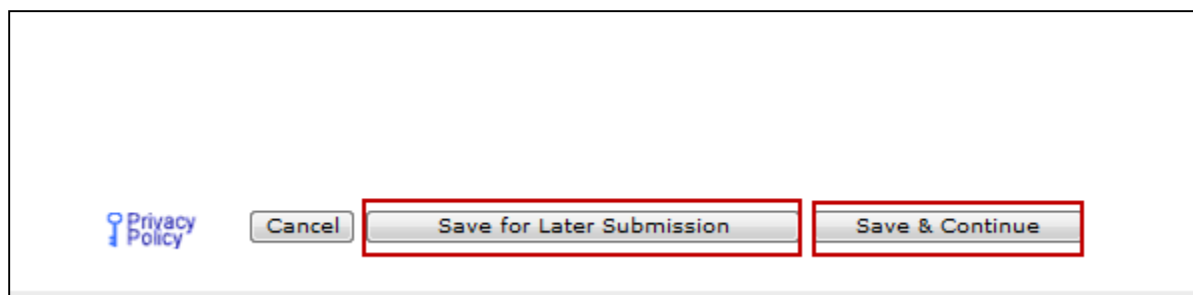
Once you have provided all of the necessary payment information and your payment is processed successfully, you will receive your Acknowledgement Receipt on the “**Receipt**” screen. You may print or save the receipt. Registered eFilers will also have the option of viewing the Acknowledgement Receipt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

Submitted Files	Page Count	Document Description	File Size	Warnings
501-submission.pdf	2	Prior Art submission by a Third Party under Rule 37 CFR 1.501 during the period of enforceability of a patent	41212 bytes	PASS
Prior-art-notification-request.pdf	1	Request for Notif of Non-compliant 1.501 Submission	19213 bytes	PASS
concise_descr.pdf	4	Request for Notif of Non-compliant 1.501 Submission	605739 bytes	PASS

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

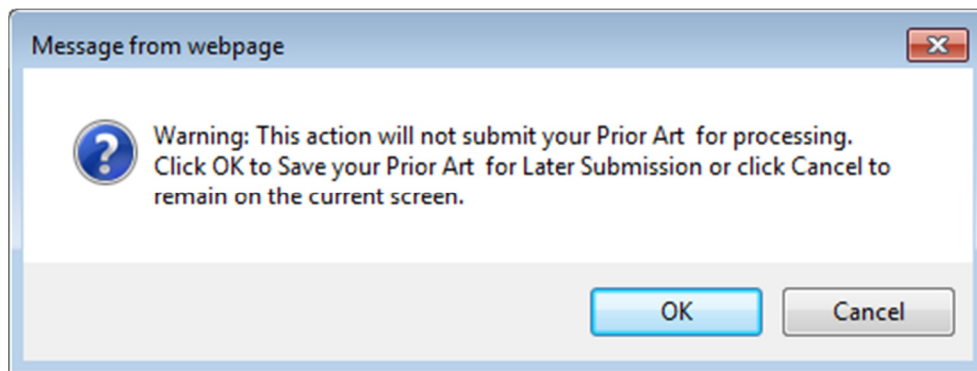
3.3 Save Submission Feature for Registered eFilers

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



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

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



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

The following documents have been saved for later submission.				
Files to be Submitted	Page Count	Document Description	File Size	Validation Status Message
501-submission.pdf	2	1.501 Submission by Patent Owner	41250 byte	◆ PASS
Prior-art-notification-request.pdf	1	Request for Notif of Non-compliant 1.501 Submission	19213 byte	◆ PASS
Documents will be saved for your convenience until midnight Eastern Time on 21-NOV-2013 and then will be deleted.				

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

EFS Registered

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

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

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

Advisory (03OCT2011): Effective on Monday, Sept. 26, applicants may file a Track I application via EFS-Web.
[See Quick Start Guide, Form, Federal Register notice](#)
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Your Digital Certificate has been authenticated - please certify your identity:

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

—*Main Functions—

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

Existing application/patent i

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Saved Packages by Customer Number i

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<input checked="" type="radio"/>	18-OCT-2011	99999999	My Important Invention	99-999999	Joe Inventor	Joe Inventor/	Delete

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4. Reference Materials

4.1 WIPO ST.3 Country Codes

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

AFGHANISTAN	AF
AFRICAN INTELLECTUAL PROPERTY ORGANIZATION (OAPI) ⁽¹⁾	OA
AFRICAN REGIONAL INTELLECTUAL PROPERTY ORGANIZATION (ARIPO) ⁽¹⁾	AP
ALBANIA	AL
ALGERIA	DZ
ANDORRA	AD
ANGOLA	AO
ANGUILLA	AI
ANTIGUA AND BARBUDA	AG
ARGENTINA	AR
ARMENIA	AM
ARUBA	AW
AUSTRALIA	AU
AUSTRIA	AT
AZERBAIJAN	AZ
BAHAMAS	BS
BAHRAIN	BH
BANGLADESH	BD
BARBADOS	BB
BELARUS	BY
BELGIUM	BE
BELIZE	BZ
BENELUX OFFICE FOR INTELLECTUAL PROPERTY (BOIP) ⁽²⁾	BX
BENIN	BJ
BERMUDA	BM
BHUTAN	BT
BOLIVIA	BO
BOSNIA AND HERZEGOVINA	BA
BOTSWANA	BW
BOUVET ISLAND	BV
BRAZIL	BR
BRUNEI DARUSSALAM	BN
BULGARIA	BG
BURKINA FASO	BF
BURUNDI	BI
CAMBODIA	KH
CAMEROON	CM
CANADA	CA
CAPE VERDE ...	CV
CAYMAN ISLANDS	KY
CENTRAL AFRICAN REPUBLIC	CF
CHAD	TD
CHILE	CL
CHINA	CN
COMMUNITY PLANT VARIETY OFFICE (EUROPEAN COMMUNITY) (CPVO)	QZ
COLOMBIA	CO
COMOROS	KM

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

HOLY SEE ...	VA
HONDURAS	HN
HONG KONG (See The Hong Kong Special Administrative Region of the People's Republic of China)	
HUNGARY	HU
ICELAND	IS
INDIA	IN
INDONESIA	ID
INTERNATIONAL BUREAU OF THE WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO) ⁽⁴⁾	IB, WO
IRAN, ISLAMIC REPUBLIC OF	IR
IRAQ	IQ
IRELAND	IE
ISLE OF MAN	IM
ISRAEL	IL
ITALY	IT
JAMAICA	JM
JAPAN	JP
JERSEY	JE
JORDAN	JO
KAZAKHSTAN	KZ
KENYA	KE
KIRIBATI	KI
KOREA (see Democratic People's Republic of Korea; Republic of Korea)	
KUWAIT	KW
KYRGYZSTAN	KG
LAO PEOPLE'S DEMOCRATIC REPUBLIC	LA
LATVIA	LV
LEBANON	LB
LESOTHO	LS
LIBERIA	LR
LIBYAN ARAB JAMAHIRIYA	LY
LIECHTENSTEIN	LI
LITHUANIA	LT
LUXEMBOURG	LU
MACAO	MO
MACEDONIA (see The former Yugoslav Republic of Macedonia)	
MADAGASCAR	MG
MALAWI	MW
MALAYSIA ...	MY
MALDIVES ...	MV
MALI	ML
MALTA	MT
MAURITANIA	MR
MAURITIUS	MU
MEXICO	MX
MOLDOVA (see Republic of Moldova)	
MONACO	MC
MONGOLIA	MN
MONTENEGRO.	ME
MONTSERRAT	MS
MOROCCO	MA
MOZAMBIQUE	MZ
MYANMAR	MM
NAMIBIA	NA
NAURU	NR
NEPAL	NP
NETHERLANDS.	NL

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

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

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

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

4.2 WIPO ST.16 Kind Codes

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