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## *35 U.S.C. 261. Ownership; assignment.*

Subject to the provisions of this title, patents shall have the attributes of personal property.

Applications for patent, patents, or any interest therein, shall be assignable in law by an instrument in writing. The applicant, patentee, or his assigns or legal representatives may in like manner grant and convey

an exclusive right under his application for patent, or patents, to the whole or any specified part of the United States.

A certificate of acknowledgment under the hand and official seal of a person authorized to administer oaths within the United States, or, in a foreign country, of a diplomatic or consular officer of the United States or an officer authorized to administer oaths whose authority is proved by a certificate of a diplomatic or consular officer of the United States, or apostille of an official designated by a foreign country which, by treaty or convention, accords like effect to apostilles of designated officials in the United States, shall be prima facie evidence of the execution of an assignment, grant, or conveyance of a patent or application for patent.

An assignment, grant, or conveyance shall be void as against any subsequent purchaser or mortgagee for valuable consideration, without notice, unless it is recorded in the Patent and Trademark Office within three months from its date or prior to the date of such subsequent purchase or mortgage.

## *35 U.S.C. 262. Joint owners.*

In the absence of any agreement to the contrary, each of the joint owners of a patent may make, use, offer to sell, or sell the patented invention within the United States, or import the patented invention into the United States, without the consent of and without accounting to the other owners.

## *37 CFR 3.1. Definitions.*

For purposes of this part, the following definitions shall apply:

*Application* means a national application for patent, an international application that designates the United States of America, or an application to register a trademark unless otherwise indicated.

*Assignment* means a transfer by a party of all or part of its right, title and interest in a patent or patent application, or a transfer of its entire right, title and interest in a registered mark or a mark for which an application to register has been filed.

*Document* means a document which a party requests to be recorded in the Office pursuant to § 3.11 and which affects some interest in an application, patent, or registration.

*Office* means the Patent and Trademark Office.

*Recorded document* means a document which has been recorded in the Office pursuant to § 3.11.

*Registration* means a trademark registration issued by the Office.

## **301.01 Accessibility of Assignment Records**

### *37 CFR 1.12. Assignment records open to public inspection.*

(a)(1) Separate assignment records are maintained in the Patent and Trademark Office for patents and trademarks. The assignment records, relating to original or reissue patents, including digests and indexes, for assignments recorded on or after May 1, 1957, and assignment records relating to pending or abandoned trademark applications and to trademark registrations, for assignments recorded on or after January 1, 1955, are open to public inspection at the Patent and Trademark Office, and copies of those assignment records may be obtained upon request and payment of the fee set forth in §§ 1.19 and 2.6 of this chapter.

(2) All records of assignments of patents recorded before May 1, 1957, and all records of trademark assignments recorded before January 1, 1955, are maintained by the National Archives and Records Administration (NARA). The records are open to public inspection. Certified and uncertified copies of those assignment records are provided by NARA upon requests and payment of the fees required by NARA.

(b) Assignment records, digests, and indexes, relating to any pending or abandoned patent application are not available to the public. Copies of any such assignment records and information with respect thereto shall be obtainable only upon written authority of the applicant or applicant's assignee or attorney or agent or upon a showing that the person seeking such information is a bona fide prospective or actual purchaser, mortgagee, or licensee of such application, unless it shall be necessary to the proper conduct of business before the Office or as provided by these rules.

(c) Any request by a member of the public seeking copies of any assignment records of any pending or abandoned patent application preserved in confidence under § 1.14, or any information with respect thereto, must:

(1) Be in the form of a petition accompanied by the petition fee set forth in § 1.17(i); or

(2) Include written authority granting access to the member of the public to the particular assignment records from the applicant or applicant's assignee or attorney or agent of record.

(d) An order for a copy of an assignment or other document should identify the reel and frame number where the assignment or document is recorded. If a document is identified without specifying its correct reel and frame, an extra charge as set forth in § 1.21(j) will be made for the time consumed in making a search for such assignment.

Assignment documents relating to patents, registrations of trademarks, and applications for registration of trademarks are open to public inspection.

The Office will not open only certain parts of an assignment document to public inspection. If such a document contains two or more items, any one of which, if alone, would be open to such inspection, then the entire document will be open. Thus, if a document covers either a trademark or a patent in addition to one or more patent applications, it will be available to the public *ab initio*; and if it covers a number of patent applications, it will be so available as soon as any one of them is patented. Documents relating only to one or more pending applications for patent will not be open to public inspection.

If the application on which a patent was granted is a division or continuation of an earlier case, the assignment records of that earlier case will be open to public inspection; similar situations involving continuation-in-part applications will be considered on their individual merits upon petition to the Office of Petitions.

Assignment records relating to reissue applications are open to public inspection.

Requests for abstracts of title for assignments of patents recorded after May 1, 1957, are provided by the Certification Division upon request and payment of fee required in 37 CFR 1.19. Requests for copies of pre-1957 records for patents should be directed to the National Archives and Records Administration (NARA). Since

these records are maintained by NARA, it is more expeditious to request copies directly from NARA, rather than from the Office, which would then have to route the requests to NARA. Payment of the fees required by NARA should accompany all requests for copies.

All assignment records from 1837 to April 30, 1957 for patents are now maintained and are open for public inspection in the National Archives Research Room located at the Washington National Records Center Building, 4205 Suitland Road, Suitland, Maryland 20746. Assignment documents recorded before 1837 are maintained at the National Archives and Records Administration, 841 South Pickett Street, Alexandria, Virginia 22304.

## 302 Recording of Assignment Documents

### 37 CFR 3.11. Documents which will be recorded.

(a) Assignments of applications, patents, and registrations, accompanied by completed cover sheets as specified in §§ 3.28 and 3.31, will be recorded in the Office. Other documents, accompanied by completed cover sheets as specified in §§ 3.28 and 3.31, affecting title to applications, patents, or registrations, will be recorded as provided in this part or at the discretion of the Commissioner.

(b) Executive Order 9424 of February 18, 1944 (9 FR 1959, 3 CFR 1943-1948 Comp., p. 303) requires the several departments and other executive agencies of the Government, including Government-owned or Government-controlled corporations, to forward promptly to the Commissioner of Patents and Trademarks for recording all licenses, assignments, or other interests of the Government in or under patents or patent applications. Assignments and other documents affecting title to patents or patent applications and documents not affecting title to patents or patent applications required by Executive Order 9424 to be filed will be recorded as provided in this part.

### 37 CFR 3.58. Governmental registers.

(a) The Office will maintain a Departmental Register to record governmental interests required to be recorded by Executive Order 9424. This Departmental Register will not be open to public inspection but will be available for examination and inspection by duly authorized representatives of the Government. Governmental interests recorded on the Departmental Register will be available for public inspection as provided in § 1.12.

(b) The Office will maintain a Secret Register to record governmental interests required to be recorded by Executive Order 9424. Any instrument to be recorded will be placed on this Secret Register at the request of the department or agency submitting the same. No information will be given concerning any instrument in such record or register, and no examination or inspection thereof or of the index thereto will be permitted, except on the written authority of the head of the department or agency which submitted the instrument and requested secrecy, and the approval of such authority by the Commissioner of Patents and Trademarks. No instrument or record other than the one specified may be examined, and the examination must take place in the presence of a designated official of the Patent and Trademark Office. When the department or agency which submitted an instrument no longer requires secrecy with respect to that instrument, it must be recorded anew in the Departmental Register.

Effective September 4, 1992, Part 3 has been added to 37 CFR to set forth Office rules on recording assignments and other documents and the rights of an assignee.

### **302.01 Assignment Document Must Be Original or True Copy for Recording**

*37 CFR 3.24. Formal requirements for documents and cover sheets.*

The document and cover sheet must be legible. Either the original document or a true copy of the original document, may be submitted for recording. Only one side of each page shall be used. The paper used should be flexible, strong, white, non-shiny, durable, and preferably no larger than 21.6 x 33.1 cm. (8 1/2 x 14 inches) with a 2.5 cm. (one-inch) margin on all sides.

The Patent and Trademark Office will accept and record only an original, or a true copy of an original assignment or other document. See MPEP § 317.

Certification shall be made by the person submitting a copy of an original document that the document submitted is a true copy of the original. The certification is not required to be in oath or declaration form.

### **302.02 Translation of Assignment Document**

*37 CFR 3.26. English language requirement.*

The Office will accept and record non-English language documents only if accompanied by an English translation signed by the individual making the translation.

The assignment document, if not in the English language, will not be recorded unless accompanied by an English translation signed by the translator.

### **302.03 Identifying Patent or Application**

*37 CFR 3.21. Identification of patents and patent applications.*

An assignment relating to a patent must identify the patent by the patent number. An assignment relating to a national patent application must identify the national patent application by the application number (consisting of the series code and the serial number, e.g., 07/123,456). An assignment relating to an international patent application which designates the United States of America must identify the international application by the international application number (e.g., PCT/US90/01234). If an assignment of a patent application filed under § 1.53(b) is executed concurrently with, or subsequent to, the execution of the patent application, but before the patent application is filed, it must identify the patent application by its date of execution, name of each inventor, and title of the invention so that there can be no mistake as to the patent application intended. If an assignment of a provisional application under § 1.53(c) is executed before the provisional application is filed, it must identify the provisional application by name of each inventor and title of the invention so that there can be no mistake as to the provisional application intended.

The patent or patent application to which an assignment relates must be identified by patent number or application number unless the assignment is executed concurrently with or subsequent to the execution of the application but before the application is filed. Then, the application must be identified by the date of execution, the names(s) of the inventors, and the title of the invention. If an assignment of a provisional application is executed before the provisional application is filed, it must identify the provisional application by names(s) of the inventors and the title of the invention.

The Office makes every effort to provide applicants with the application numbers for newly filed patent applications as soon as possible. It is suggested, however, that an assignment be written to allow entry of the identifying number after the execution of the assignment. An example of acceptable wording is:

"I hereby authorize and request my attorney, (Insert name), of (Insert address), to insert here in parentheses (Application number , filed ) the filing date and application number of said application when known."

### **302.04 Foreign Assignee May Designate Domestic Representative**

*35 U.S.C. 293. Nonresident patentee; service and notice.*

Every patentee not residing in the United States may file in the Patent and Trademark Office a written designation stating the name and address of a person residing within the United States on whom may be served process or notice of proceedings affecting the patent or rights thereunder. If the person designated cannot be found at the address given in the last designation, or if no person has been designated, the United States District Court for the District of Columbia shall have jurisdiction and summons shall be served by publication or otherwise as the court directs. The court shall have the same jurisdiction to take any action respecting the patent or rights thereunder that it would have if the patentee were personally within the jurisdiction of the court.

*37 CFR 3.61. Domestic representative.*

If the assignee of a trademark application or registration is not domiciled in the United States, the assignee must designate, in writing to the Office, a domestic representative. An assignee of a patent application or patent may designate a domestic representative if the assignee is not residing in the United States. The designation shall state the name and address of a person residing within the United States on whom may be served process or notice of proceedings affecting the application, patent or registration or rights thereunder.

An assignee not domiciled in the United States may, by written document signed by such assignee, designate a domestic representative. The designation of domestic representative should always be a paper separate from any assignment document, in order that the paper of designation can be retained in the appropriate application

or patent file. Also, there should be a separate paper of designation of representative for each patent or application, so that a designation paper can be placed in each file. The designation of a domestic representative should be directed to the Office of the Solicitor for processing.

### 302.05 Address of Assignee

The address of the assignee may be recited in the assignment document and must be given in the required cover sheet. See MPEP § 302.07.

### 302.06 Fee for Recording

#### 37 CFR 3.41. Recording fees.

(a) All requests to record documents must be accompanied by the appropriate fee. Except as provided in paragraph (b) of this section, a fee is required for each application, patent and registration against which the document is recorded as identified in the cover sheet. The recording fee is set in § 1.21(h) of this chapter for patents and in § 2.6(q) of this chapter for trademarks.

(b) No fee is required for each patent application and patent against which a document required by Executive Order 9424 is to be filed if:

- (1) The document does not affect title and is so identified in the cover sheet (see § 3.31(c)(2)); and
- (2) The document and cover sheet are mailed to the Office in compliance with § 3.27(b).

The recording fee set forth in 37 CFR 1.21(h) is charged for each patent application and patent identified in the required cover sheet except as provided in 37 CFR 3.41(b).

### 302.07 Assignment Document Must Be Accompanied by a Cover Sheet

#### 37 CFR 3.28. Requests for recording.

Each document submitted to the Office for recording must be accompanied by at least one cover sheet as specified in § 3.31 referring either to those patent applications and patents, or to those trademark applications and registrations, against which the document is to be recorded. If a document to be recorded includes interests in, or transactions involving, both patents and trademarks, separate patent and trademark cover sheets must be submitted. Only one set of documents and cover sheets to be recorded should be filed. If a document to be recorded is not accompanied by a completed cover sheet, the document and any incomplete cover sheet will be returned pursuant to § 3.51 for proper completion of a cover sheet and resubmission of the document and a completed cover sheet.

#### 37 CFR 3.31. Cover sheet content.

(a) Each patent or trademark cover sheet required by § 3.28 must contain:

- (1) The name of the party conveying the interest;
  - (2) The name and address of the party receiving the interest;
  - (3) A description of the interest conveyed or transaction to be recorded;
  - (4) Each application number, patent number or registration number against which the document is to be recorded, or an indication that the document is filed together with a patent application;
  - (5) The name and address of the party to whom correspondence concerning the request to record the document should be mailed;
  - (6) The number of applications, patents or registrations identified in the cover sheet and the total fee;
  - (7) The date the document was executed;
  - (8) An indication that the assignee of a trademark application or registration who is not domiciled in the United States has designated a domestic representative (see § 3.61); and
  - (9) A statement by the party submitting the document that to the best of the person's knowledge and belief, the information contained on the cover sheet is true and correct and any copy submitted is a true copy of the original document; and
  - (10) The signature of the party submitting the document.
- (b) A cover sheet may not refer to both patents and trademarks.
- (c) Each patent cover sheet required by § 3.28 seeking to record a governmental interest as provided by § 3.11(b) must:
- (1) Indicate that the document is to be recorded on the Governmental Register, and, if applicable, that the document is to be recorded on the Secret Register (see § 3.58); and
  - (2) Indicate, if applicable, that the document to be recorded is not a document affecting title (see § 3.41(b)).

Each assignment document submitted to the Office for recording must be accompanied by a cover sheet as required by 37 CFR 3.28. The patent cover sheet must contain:

- (A) The name of the party conveying the interest;
- (B) The name and address of the party receiving the interest;
- (C) A description of the interest conveyed or transaction to be recorded;
- (D) Each patent application number or patent number against which the document is to be recorded, or an indication that the document is filed together with a patent application;
- (E) The name and address of the party to whom correspondence concerning the request to record the document should be mailed;
- (F) The number of patent applications and patents identified in the cover sheet and the total fee;
- (G) The date the document was executed;
- (H) A statement by the party submitting the document that to the best of the person's knowledge and belief, the information contained on the cover sheet is

true and correct and any copy submitted is a true copy of the original document; and

(I) The signature of the party submitting the document.

The term "party" as used in 37 CFR 3.31 means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or an appropriate official where a corporation's or other organization's name appears on the document.

Examples of the type of descriptions of the interest conveyed or transaction to be recorded that can be identified are:

- (A) assignment,
- (B) security agreement,
- (C) merger,
- (D) change of name,
- (E) license,
- (F) foreclosure,
- (G) lien, and
- (H) contract.

Cover sheets required by 37 CFR 3.28 seeking to record a governmental interest must also (1) indicate that the document is to be recorded on the Governmental Register, and, if applicable, that the document is to be recorded on the Secret Register (see 37 CFR 3.58); and (2) indicate, if applicable, that the document to be recorded is not a document affecting title.

A patent cover sheet may not refer to trademark applications or registrations.

### **302.08 Mailing Address for Submitting Assignment Documents**

*37 CFR 3.27. Mailing address for submitting documents to be recorded.*

(a) Except as provided in paragraph (b) of this section, documents and cover sheets to be recorded should be addressed to the Commissioner of Patents and Trademarks, Box Assignment, Washington, D.C. 20231, unless they are filed together with new applications or with a petition under § 3.81(b).

(b) A document required by Executive Order 9424 to be filed which does not affect title and is so identified in the cover sheet (see § 3.31(c)(2)) must be addressed and mailed to the Commissioner of Patents and Trademarks, Box Government Interest, Washington, D.C. 20231.

37 CFR 3.27 sets out how documents submitted for recording should be addressed to the Office. Except as provided in 37 CFR 3.27(b), to ensure prompt and proper processing, documents and their cover sheets should be

addressed to the Commissioner of Patents and Trademark, Box Assignment, Washington, DC 20231, unless they are filed together with new applications or with a petition under 37 CFR 3.81(b). Petitions under 37 CFR 3.81(b) should be addressed to the Assistant Commissioner for Patents, Box DAC, Washington, DC 20231. New applications and other petitions should be addressed to the Assistant Commissioner for Patents, Washington, DC 20231. A document required by Executive Order 9424 to be filed which does not affect title and is so identified on the cover sheet must be addressed and mailed to the Commissioner of Patents and Trademarks, Box Government Interest, Washington, DC 20231.

### **303 Assignment Documents Not Endorsed on Pending Applications**

Certified copies of patent applications as filed do not include an indication of assignment documents. Applicants desiring an indication of assignment documents of record should request separately certified copies of assignment documents and submit the fees required by 37 CFR 1.19.

When the determination of the assignment condition of an application is significant, as when applications of different inventors contain conflicting claims, it is necessary for the examiner to obtain assignment information from PALM or request a title report from Assignment Division. See MPEP § 320.

### **306 Assignment of Division, Continuation, Substitute, and Continuation—in—Part in Relation to Parent Case**

In the case of a division or continuation, a prior assignment recorded against the original application is applied to the division or continuation application because the assignment recorded against the original application gives the assignee rights to the subject matter common to both applications.

In the case of a substitute or continuation—in—part, a prior assignment of the original application is not applied to the substitute or continuation—in—part application because the assignment recorded against the original application gives the assignee rights to only the subject matter common to both applications. Substitute or continuation—in—part applications require a new assignment if they are to be issued to an assignee.

The front page of the printed patent includes all identifying parent data of continuation—in-part, continuation, divisional, and reissue applications. It should be noted, however, that inclusion of this information does not necessarily indicate that the claims are entitled to the benefit of the earlier filing date.

### 306.01 Assignment of an Application Claiming the Benefits of a Provisional Application

An application claiming the priority benefits of a provisional application under 35 U.S.C. 119(e) should not be called a continuation, division, or continuation—in-part even though the claim for priority from a provisional application would make it appear to be one of these types of continuing applications. The benefit of an earlier filing date for continuations, divisions, and continuations—in-part may be claimed under the provisions of 35 U.S.C. 120 while the benefit of an earlier filing date of a provisional application may be claimed under the provisions of 35 U.S.C. 119(e).

As set forth in MPEP § 306, assignments recorded against an original application gives the assignee rights to the subject matter common to both applications. Therefore, a prior assignment in a parent application carries over into continuation and division applications since all subject matter contained in the continuation or division application was included in the parent. Continuations—in-part require new assignments due to the additional material included therein.

If an application which claims the earlier filing date of a provisional application under 35 U.S.C. 119(e) includes only subject matter which formed a part of the provisional application, an assignment recorded against the provisional application will be effective in the later application, similar to the practice with respect to continuations and divisions filed under 35 U.S.C. 120. If an application claiming the earlier filing date of a provisional application includes subject matter that is not common with subject matter of the provisional application, new assignment papers must be submitted in the later application, similar to the practice with respect to continuations—in-part filed under 35 U.S.C. 120.

### 307 Issue to Assignee

#### 35 U.S.C. 152. Issue of patent to assignee.

Patents may be granted to the assignee of the inventor of record in the Patent and Trademark Office, upon the application made and the specification sworn to by the inventor, except as otherwise provided in this title.

#### 37 CFR 3.81. Issue of patent to assignee.

(a) For a patent application, if an assignment of the entire right, title and interest is recorded before the issue fee is paid, the patent may issue in the name of the assignee. If the assignee holds an undivided part interest, the patent may issue jointly to the inventor and the assignee. At the time the issue fee is paid, the name of the assignee must be provided if the patent is to issue solely or jointly to that assignee.

(b) If the assignment is submitted for recording after the date of payment of the issue fee, but prior to issuance of the patent, the assignee may petition that the patent issue to the assignee. Any such petition must be accompanied by the fee set forth in § 1.17(i)(1) of this chapter.

Normally, for the patent to issue to an assignee, the assignment must be recorded in the Patent and Trademark Office at a date not later than the day on which the issue fee is paid. If the assignment is submitted for recording after the day on which the issue fee is paid, the patent may issue to an assignee upon granting a petition filed under 37 CFR 3.81.

Only the first appearing name of an assignee will be printed on the patent where multiple names for the same party are identified on the Issue Fee Transmittal form, PTOL-85B. Such multiple names may occur when both a legal name and an “also known as” or “doing business as” name is also included. This printing practice will not, however, affect the existing practice of recording assignments with the Office in the Assignment Division. The assignee entry on form PTOL-85B should still be completed to indicate the assignment data as recorded in the Office. For example, the assignment filed in the Office and, therefore, the PTOL-85B assignee entry might read “Smith Company doing business as (d.b.a.) Jones Company.” The assignee entry on the printed patent will read “Smith Company.”

Irrespective of whether the assignee participates in the prosecution of the application, the patent issues to the assignee if so indicated on the Issue Fee Transmittal form PTOL-85B. Unless an assignee’s name and address are identified in item 3 of the Issue Fee Transmittal form PTOL-85B, the patent will issue to the applicant. Assignment data printed on the patent will be based solely on the information so supplied.

A request for a certificate of correction under 37 CFR 1.323 (see MPEP § 1481 and § 1485) arising from

incomplete or erroneous assignee's name furnished in item 3 of PTOL-85B will not be granted unless a petition under 37 CFR 1.183 has been granted. Any such petition under 37 CFR 1.183 should be directed to the Office of Petitions and should include:

- (A) the petition fee required by 37 CFR 1.17(h);
- (B) a request that 37 CFR 3.81(a) be waived to permit the correct name of the assignee to be provided after issuance of the patent;
- (C) a statement that the failure to include the correct assignee name on the PTOL-85B was inadvertent; and
- (D) a copy of the Notice of Recordation of Assignment Document.

### 309 Restrictions Upon Employees of Patent and Trademark Office

*35 U.S.C. 4. Restrictions on officers and employees as to interests in patents.*

Officers and employees of the Patent and Trademark Office shall be incapable, during the period of their appointments and for one year thereafter, of applying for a patent and of acquiring, directly or indirectly, except by inheritance or bequest, any patent or any right or interest in any patent, issued or to be issued by the Office. In patents applied for thereafter they shall not be entitled to any priority date earlier than one year after the termination of their appointment.

### 310 Government License Rights to Contractor-Owned Inventions Made Under Federally Sponsored Research and Development

Where a Government contractor retains U.S. domestic patent rights, the contractor is required to include the following statement at the beginning of the application and any patents issued thereon:

"The U.S. Government has a paid-up license in this invention and the right in limited circumstances to require the patent owner to license others on reasonable terms as provided for by the terms of (contract No. or Grant No.) awarded by (Agency)."

If reference is made in the first sentence of the application to prior copending applications of the applicant, such prior applications must be referred to in the first sentence of the specification (37 CFR 1.78(a) and MPEP § 201.11), and in this case the required "Government License Rights" statement should follow immediately as the second paragraph of the specification.

If there is no reference to an earlier application, the required "Government License Rights" statement should appear as the first paragraph of the specification. See 37 CFR 1.77.

### 311 Filing of Notice of Arbitration Awards

*35 U.S.C. 294. Voluntary arbitration.*

(a) A contract involving a patent or any right under a patent may contain a provision requiring arbitration of any dispute relating to patent validity or infringement arising under the contract. In the absence of such a provision, the parties to an existing patent validity or infringement dispute may agree in writing to settle such dispute by arbitration. Any such provision or agreement shall be valid, irrevocable, and enforceable, except for any grounds that exist at law or in equity for revocation of a contract.

(b) Arbitration of such disputes, awards by arbitrators and confirmation of awards shall be governed by title 9, United States Code, to the extent such title is not inconsistent with this section. In any such arbitration proceeding, the defenses provided for under section 282 of this title shall be considered by the arbitrator if raised by any party to the proceeding.

(c) An award by an arbitrator shall be final and binding between the parties to the arbitration but shall have no force or effect on any other person. The parties to an arbitration may agree that in the event a patent which is the subject matter of an award is subsequently determined to be invalid or unenforceable in a judgment rendered by a court of competent jurisdiction from which no appeal can or has been taken, such award may be modified by any court of competent jurisdiction upon application by any party to the arbitration. Any such modification shall govern the rights and obligations between such parties from the date of such modification.

(d) When an award is made by an arbitrator, the patentee, his assignee or licensee shall give notice thereof in writing to the Commissioner. There shall be a separate notice prepared for each patent involved in such proceeding. Such notice shall set forth the names and addresses of the parties, the name of the inventor, and the name of the patent owner, shall designate the number of the patent, and shall contain a copy of the award. If an award is modified by a court, the party requesting such modification shall give notice of such modification to the Commissioner. The Commissioner shall, upon receipt of either notice, enter the same in the record of the prosecution of such patent. If the required notice is not filed with the Commissioner, any party to the proceeding may provide such notice to the Commissioner.

(e) The award shall be unenforceable until the notice required by subsection (d) is received by the Commissioner.

*37 CFR 1.335. Filing of notice of arbitration awards.*

(a) Written notice of any award by an arbitrator pursuant to 35 U.S.C. 294 must be filed in the Patent and Trademark Office by the patentee, or the patentee's assignee or licensee. If the award involves more than one patent a separate notice must be filed for placement in the file of each patent. The notice must set forth the patent number, the names of the inventor and patent owner, and the names and addresses of the parties to the arbitration. The notice must also include a copy of the award.

(b) If an award by an arbitrator pursuant to 35 U.S.C. 294 is modified by a court, the party requesting the modification must file in the Patent and Trademark Office, a notice of the modification for placement in the file of each patent to which the modification applies. The notice



must set forth the patent number, the names of the inventor and patent owner, and the names and addresses of the parties to the arbitration. The notice must also include a copy of the court's order modifying the award.

(c) Any award by an arbitrator pursuant to 35 U.S.C. 294 shall be unenforceable until any notices required by paragraph (a) or (b) of this section are filed in the Patent and Trademark Office. If any required notice is not filed by the party designated in paragraph (a) or (b) of this section, any party to the arbitration proceeding may file such a notice.

The written notices required by this section should be directed to the attention of the Office of the Solicitor, which Office will be responsible for processing such notices.

### **313 Recording of Licenses, Security Interests, and Other Documents Other Than Assignments**

In addition to assignments and documents required to be recorded by Executive Order 9424, documents affecting title to a patent or application will be recorded in the Assignment Division of the Patent and Trademark Office. Other documents not affecting title may be recorded at the discretion of the Commissioner. 37 CFR 3.11(a).

Thus, some documents which relate to patents or applications will be recorded, although they do not constitute a transfer or change of title. Typical of these documents which are accepted for recording are license agreements and agreements which convey a security interest. Such documents are recorded in the public interest in order to give third parties notification of equitable interests or other matters relevant to the ownership of a patent or application.

Any document returned unrecorded, which the sender nevertheless believes represents an unusual case which justifies recordation, may be submitted to the Office of Petitions with a petition under 37 CFR 1.181 requesting recordation of the document.

The recordation of a document is not a determination of the effect of the document on the chain of title. The determination of what, if any, effect a document has on title will be made by the Office at such times as ownership must be established to permit action to be taken by the Office in connection with a patent or an application. See MPEP § 324.

### **314 Certificates of Change of Name or of Merger**

Certificates issued by appropriate authorities showing a change of name of a business or a merger of businesses are recordable. Although a mere change of name does not constitute a change in legal entity, it is properly a link in the chain of title. Documents of merger are also proper links in the chain of title. They may represent a change of entity as well as a change of name.

### **315 Indexing Against a Recorded Certificate**

Prior to amendment of the Rules of Practice to add Part 3 to 37 CFR, it had been the practice of the Patent and Trademark Office to process requests for "indexing" or "cross-referencing" additional patent numbers or application numbers against a document, other than an assignment, previously recorded in the Assignment Division, upon submission of a transmittal letter and recording fee. The Office no longer processes such indexing requests. Such requests do not comply with 37 CFR 3.11, 3.28, and 3.31, which require that each request for recordation include the document to be recorded and a cover sheet.

Therefore, even where a document has already been recorded in the Assignment Division in connection with a patent or patent application, a party that wishes recordation of that document with respect to additional patents and/or patent applications must submit the following to the Assignment Division:

(A) the original document, or a true copy of the original document (may consist of the previously recorded papers on which the Assignment Division has stamped the reel and frame numbers at which they are recorded, or a copy of such papers);

(B) a completed cover sheet (see 37 CFR 3.31 and MPEP § 302.07); and

(C) the appropriate recording fee (see 37 CFR 1.21(h) and 3.41).

The Office will assign a new recording date to that submission, update the assignment database, and microfilm the cover sheet and document, which shall become part of the official record.



### 317 Handling of Documents in the Assignment Division

All documents and cover sheets submitted for recording are examined for formal requirements in the Assignment Division in order to separate documents which are recordable from those which are not recordable.

Documents and cover sheets that are considered not to be recordable are returned to the sender by the Assignment Division with an explanation. If the sender disagrees or believes that the document represents an unusual case which justifies recordation, the sender may present the question to the Commissioner by way of petition under 37 CFR 1.181, filed with the Office of Petitions.

After an assignment and cover sheet have been recorded, they will be returned to the name and address indicated on the cover sheet to receive correspondence, showing the reel and frame number.

#### 317.01 Recording Date

##### *37 CFR 3.51. Recording date.*

The date of recording of a document is the date the document meeting the requirements for recording set forth in this part is filed in the Office. A document which does not comply with the identification requirements of § 3.21 will not be recorded. Documents not meeting the other requirements for recording, for example, a document submitted without a completed cover sheet or without the required fee, will be returned for correction to the sender where a correspondence address is available. The returned papers, stamped with the original date of receipt by the Office, will be accompanied by a letter which will indicate that if the returned papers are corrected and resubmitted to the Office within the time specified in the letter, the Office will consider the original date of filing of the papers as the date of recording of the document. The procedure set forth in § 1.8 or § 1.10 of this chapter may be used for resubmissions of returned papers to have the benefit of the date of deposit in the United States Postal Service. If the returned papers are not corrected and resubmitted within the specified period, the date of filing of the corrected papers will be considered to be the date of recording of the document. The specified period to resubmit the returned papers will not be extended.

The date of recording of a document is the date the document meeting the requirements for recording set forth in the regulations is filed in the Office. A document which does not comply with the identification requirements of 37 CFR 3.21 will not be recorded. Documents not meeting the other requirements for recording, for example, a document submitted without a completed cover sheet or without the required fee, will be returned for correction to the sender where a correspondence address is available.

### 317.02 Correction of Returned Documents and Cover Sheets

Assignment documents and cover sheets which are returned by Assignment Division will be stamped with the original date of receipt by the Office and will be accompanied by a letter which will indicate that if the returned papers are corrected and resubmitted to the Office within the time specified in the letter, the Office will consider the original date of filing of the papers as the date of recording of the document. See 37 CFR 3.51. The certification procedure under 37 CFR 1.8 or the "Express Mail" procedure under 37 CFR 1.10 may be used for resubmissions of returned papers to obtain the benefit of the date of deposit in the United States Postal Service. If the returned papers are not corrected and resubmitted within the specified period, the date of filing of the corrected papers will be considered to be the date of recording of the document. The specified period to resubmit the returned papers will not be extended.

#### 317.03 Effect of Recording

##### *37 CFR 3.54. Effect of recording.*

The recording of a document pursuant to § 3.11 is not a determination by the Office of the validity of the document or the effect that document has on the title to an application, a patent, or a registration. When necessary, the Office will determine what effect a document has, including whether a party has the authority to take an action in a matter pending before the Office.

##### *37 CFR 3.56. Conditional assignments.*

Assignments which are made conditional on the performance of certain acts or events, such as the payment of money or other condition subsequent, if recorded in the Office, are regarded as absolute assignments for Office purposes until canceled with the written consent of all parties or by the decree of a court of competent jurisdiction. The Office does not determine whether such conditions have been fulfilled.

The recording of a document is not a determination by the Office of the validity of the document or the effect that document has on the title to an application or patent. When necessary, the Office will determine what effect a document has, including whether a party has the authority to take an action in a matter pending before the Office. See MPEP § 324.

37 CFR 3.56 provides that an assignment, which at the time of its execution is conditional on a given act or event, will be treated by the Office as an absolute assignment. This rule serves as notification as to how a conditional assignment will be treated by the Office in any proceeding requiring a determination of the owner of an application, patent, or registration. Since the

Office will not determine whether a condition has been fulfilled, the Office will treat the submission of such an assignment for recordation as signifying that the act or event has occurred. A security agreement that does not convey the right, title, and interest of a patent property is not a conditional assignment.

### 318 Documents Not to be Placed in Files

Assignment documents submitted for recording should not be placed directly in application or patent files, but should be forwarded to Assignment Division for recording.

### 320 Title Reports

The "title report" is a form which can be used under certain circumstances by the Assignment Division to report to someone within the Office the name of the owner of an application or patent as shown by the Assignment Division records on the date the title report is made. For example, a title report is requested by the Reexamination Preprocessing Staff when a request for reexamination is filed. Title reports are for internal Office use only, and are not available for order by applicants or attorneys. Examiners may obtain a title report by requesting a title report from Assignment Division.

Note: The public can request a certified abstract of title. The fee for this service is set forth at 37 CFR 1.19(b)(4). See MPEP § 301.01 for a discussion of which assignment records are publicly available.

It is not normally necessary for title to be ascertained by an examiner by means of the "title report" form, since such information is not normally required to examine the application, and since examiners can obtain assignment information through PALM. See MPEP § 303.

### 323 Procedures for Correcting Errors in Recorded Assignment Document

An error in a recorded assignment document will be corrected by Assignment Division provided a "corrective document" is submitted. The "corrective document" must include the following:

(A) The original assignment document with the corrections made therein. The corrections must be initialed and dated by the party conveying the interest; and

(B) A new Recordation Form Cover Sheet (form PTO-1619).

The new recordation form cover sheet must identify the submission as a "corrective document" submission and indicate the reel and frame number where the incorrectly recorded assignment document appears. The person signing the new recordation form cover sheet must state that the information provided on the new cover sheet is true and correct and that any copy submitted is a true copy of the original document. The original cover sheet should be submitted with the corrective document. The corrective document will be recorded and given a new reel and frame number and recording date. The recording fee set forth in 37 CFR 1.21(h) is required for each patent application and patent against which the corrective document is being recorded. See MPEP § 302.06.

Corrections may be made on the original assignment document, for example, by lining out an incorrect patent or application number in a merger or change of name (see MPEP § 314).

Office policy regarding recordation of assignment documents is directed toward maintaining a complete history of claimed interests in property and, therefore, recorded assignment documents will not be expunged even if subsequently found to be invalid. See *In re Ratny*, 24 USPQ2d 1713 (Comm'r Pat. 1992).

### 323.01 Correction of Error in Recorded Cover Sheet

37 CFR 3.34. *Correction of cover sheet errors.*

(a) An error in a cover sheet recorded pursuant to § 3.11 will be corrected only if:

(1) The error is apparent when the cover sheet is compared with the recorded document to which it pertains, and

(2) A corrected cover sheet is filed for recordation.

(b) The corrected cover sheet must be accompanied by the originally recorded document or a copy of the originally recorded document and by the recording fee as set forth in § 3.41.

Any alleged error in a recorded cover sheet will only be corrected if the error is apparent from a comparison with the recorded assignment document. The corrected cover sheet should be directed to Assignment Division.

### 324 Establishing Right of Assignee to Take Action

37 CFR 3.73. *Establishing right of assignee to take action.*

(a) The inventor is presumed to be the owner of a patent application, and any patent that may issue therefrom, unless there is an

assignment. The original applicant is presumed to be the owner of a trademark application unless there is an assignment.

(b) When an assignee seeks to take action in a matter before the Office with respect to a patent application, trademark application, patent, registration, or reexamination proceeding, the assignee must establish its ownership of the property to the satisfaction of the Commissioner. Ownership is established by submitting to the Office, in the Office file related to the matter in which action is sought to be taken, documentary evidence of a chain of title from the original owner to the assignee (e.g., copy of an executed assignment submitted for recording) or by specifying (e.g., reel and frame number) where such evidence is recorded in the Office. The submission establishing ownership must be signed by a party authorized to act on behalf of the assignee. Documents submitted to establish ownership may be required to be recorded as a condition to permitting the assignee to take action in a matter pending before the Office.

When an assignee first seeks to take action in a matter before the Office with respect to a patent application, patent, or reexamination proceeding, the assignee must establish its ownership of the property to the satisfaction of the Commissioner. 37 CFR 3.73(b). The assignee's ownership may be established either:

(A) by submitting to the Office, in the Office file related to the matter in which action is sought to be taken, documentary evidence of a chain of title from the original owner to the assignee (e.g., copy of an executed assignment submitted for recording); or

(B) by specifying (e.g., reel and frame number) where such evidence is recorded in the Office.

Documents submitted to establish ownership may be required to be recorded as a condition to permitting the assignee to take action in a matter pending before the Office.

Once 37 CFR 3.73(b) is complied with by an assignee, that assignee may continue to take action in that application, patent, or reexamination proceeding without filing a 37 CFR 3.73(b) submission each time, provided that ownership has not changed.

The submission establishing ownership must be signed by a party authorized to act on behalf of the assignee. For example, the submission under 37 CFR 3.73(b) may be signed on behalf of the assignee in the following two manners if the assignee is an organization (e.g., corporation, partnership, university, government agency, etc.).

(A) The submission may be signed by a person in the organization having apparent authority to sign on behalf of the organization. An officer (president, vice-

president, secretary, or treasurer) is presumed to have authority to sign on behalf of the organization. The signature of the chairman of the board of directors is acceptable, but not the signature of an individual director. Modifications of these basic titles are acceptable, such as vice-president for sales, executive vice-president, assistant treasurer, vice-chairman of the board of directors. A person having a title (manager, director, administrator, general counsel) that does not clearly set forth that person as an officer of the assignee is not presumed to have authority to sign the submission on behalf of the assignee. A power of attorney from the inventors in an organization to a practitioner to prosecute a patent application does not make the practitioner an official of an assignee or empower the practitioner to sign the submission on behalf of the assignee.

(B) The submission may be signed by any person, if the submission includes an averment that the person is empowered to sign the submission on behalf of the assignee. Where a submission does not comply with (A) or (B) above, evidence of the person's authority to sign will be required.

Examples of situations where ownership must be established under 37 CFR 3.73(b) are when the assignee: signs a request for a continued prosecution application under 37 CFR 1.53(d), unless papers establishing ownership under 37 CFR 3.73(b) were filed in the prior application and ownership has not changed (MPEP § 201.06(d)); signs a request for status of an application or gives a power to inspect an application (MPEP § 102 and § 104); acquiesces to express abandonment of an application (MPEP § 711.01); appoints its own legal representative (37 CFR 3.71 and MPEP § 402.07); signs a terminal disclaimer (MPEP § 1490); consents to the filing of a reissue application (MPEP § 1410.01); consents to the correction of inventorship (MPEP § 201.03 or § 1481); files an application under 37 CFR 1.47(b) (MPEP § 409.03(b)) or 37 CFR 1.425; signs an Issue Fee Transmittal (PTOL-85B) (MPEP § 1306); or signs a reply to an Office action.

Examples of situations where ownership need not be established under 37 CFR 3.73(b) are when the assignee: signs a request for a continued prosecution application under 37 CFR 1.53(d), where papers establishing ownership under 37 CFR 3.73(b) were filed in the prior application and ownership has not changed (MPEP § 201.06(d)); signs a small entity statement (MPEP

§ 509.03); signs an affidavit or declaration of common ownership of two inventions (MPEP § 706.02(k)); signs a NASA or DOE property rights statement (MPEP § 151); signs an affidavit under 37 CFR 1.131 where the inventor is unavailable (MPEP § 715.04); signs a certificate under 37 CFR 1.8 (MPEP § 512); or files a request for reexamination of a patent under 37 CFR 1.510

(MPEP § 2210).

Form PTO/SB/ 96 may be used to establish ownership under 37 CFR 3.73(b).

Form PTO-1619, Recordation Form Cover Sheet, may be used as the cover sheet for recording documents relating to patent(s) and/or patent application(s) in the Office.

PTO/SB/86 (2-88)  
Approved for use through 09/30/2000. OMB 0851-0031  
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.

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant: \_\_\_\_\_

Application No.: \_\_\_\_\_ Filed: \_\_\_\_\_

Entitled: \_\_\_\_\_

\_\_\_\_\_, & \_\_\_\_\_  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- 1.  the assignee of the entire right, title, and interest; or
- 2.  an assignee of an undivided part interest

in the patent application identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B.  A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

- 1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
- 2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
- 3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

\_\_\_\_\_ Date

\_\_\_\_\_ Signature

\_\_\_\_\_ Typed or printed name

\_\_\_\_\_ Title

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, 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.



<p><b>FORM PTO-1619B</b> Expires 06/30/99 OMB 0851-0027</p>	<p><b>Page 2</b></p>	<p>U.S. Department of Commerce Patent and Trademark Office <b>PATENT</b></p>								
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<p><b>Application Number(s) or Patent Number(s)</b>      <input type="checkbox"/> Mark if additional numbers attached</p> <p><i>Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).</i></p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;"><b>Patent Application Number(s)</b></td> <td style="width: 50%; text-align: center;"><b>Patent Number(s)</b></td> </tr> <tr> <td style="text-align: center;"> <input style="width: 80px;" type="text"/>    <input style="width: 80px;" type="text"/>    <input style="width: 80px;" type="text"/> </td> <td style="text-align: center;"> <input style="width: 80px;" type="text"/>    <input style="width: 80px;" type="text"/>    <input style="width: 80px;" type="text"/> </td> </tr> <tr> <td style="text-align: center;"> <input style="width: 80px;" type="text"/>    <input style="width: 80px;" type="text"/>    <input style="width: 80px;" type="text"/> </td> <td style="text-align: center;"> <input style="width: 80px;" type="text"/>    <input style="width: 80px;" type="text"/>    <input style="width: 80px;" type="text"/> </td> </tr> <tr> <td style="text-align: center;"> <input style="width: 80px;" type="text"/>    <input style="width: 80px;" type="text"/>    <input style="width: 80px;" type="text"/> </td> <td style="text-align: center;"> <input style="width: 80px;" type="text"/>    <input style="width: 80px;" type="text"/>    <input style="width: 80px;" type="text"/> </td> </tr> </table> <p><i>If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.</i></p> <p style="text-align: right;">Month    Day    Year <input style="width: 100px;" type="text"/></p>			<b>Patent Application Number(s)</b>	<b>Patent Number(s)</b>	<input style="width: 80px;" type="text"/> <input style="width: 80px;" type="text"/> <input style="width: 80px;" type="text"/>	<input style="width: 80px;" type="text"/> <input style="width: 80px;" type="text"/> <input style="width: 80px;" type="text"/>	<input style="width: 80px;" type="text"/> <input style="width: 80px;" type="text"/> <input style="width: 80px;" type="text"/>	<input style="width: 80px;" type="text"/> <input style="width: 80px;" type="text"/> <input style="width: 80px;" type="text"/>	<input style="width: 80px;" type="text"/> <input style="width: 80px;" type="text"/> <input style="width: 80px;" type="text"/>	<input style="width: 80px;" type="text"/> <input style="width: 80px;" type="text"/> <input style="width: 80px;" type="text"/>
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<p><b>Statement and Signature</b></p> <p><i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.</i></p> <table style="width: 100%; border-collapse: collapse; margin-top: 20px;"> <tr> <td style="width: 33%; border-bottom: 1px solid black; padding-bottom: 5px;"><b>Name of Person Signing</b></td> <td style="width: 33%; border-bottom: 1px solid black; padding-bottom: 5px;"><b>Signature</b></td> <td style="width: 33%; border-bottom: 1px solid black; padding-bottom: 5px;"><b>Date</b></td> </tr> </table>			<b>Name of Person Signing</b>	<b>Signature</b>	<b>Date</b>					
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### GUIDELINES FOR COMPLETING PATENT RECORDATION FORM COVER SHEET

When using this (FORM PTO-1618 A,B, &C), a cover sheet and any necessary continuation sheets must be submitted with each document to be recorded. Enter all required information using standard business block-style print (such as courier 10 pitch). Completed cover sheets will be scanned for image capture. Photocopies of the cover sheets are acceptable. Information required for recordation will be extracted from the cover sheet and cover sheet continuation forms only. Submitted cover sheets and documents will become part of the public record. If a document to be recorded concerns both patents and trademarks, a separate patent and a separate trademark cover sheet, including any attached continuing information, must accompany the document. When the document concerns multiple conveyances or transfers a cover sheet completing this cover sheet and information, call 703 308-9723.

**Submission Type** - Each submission type requires a new cover sheet. Enter an "X" in the appropriate box indicating the type of submission. If the conveyance document is being submitted for recordation for the first time, enter an "X" in the box for New Assignment. If the submission is a Non-recordation, enter an "X" for Re-submission and provide the document Identification number of the original submission. Resubmitted non-recordation documents require a new cover sheet (the new cover sheet shall contain all of the appropriate data and fee required for recordation). If a previously recorded document requires correction due to a data entry error, enter an "X" for Public Correction and provide the reel and frame number of the original document. Requests to correct the data entry error must be submitted on a new cover sheet. The cover sheet shall contain the data element in question, the name, date and signature of the person submitting the request, and any other pertinent information, (enter the correspondent's name and address, if it has changed since recordation). If a previously recorded document was submitted with erroneous information, enter an "X" indicating Corrective Assignment and provide the reel and frame number. A Corrective Assignment requires a new cover sheet. If the submission type is not listed, enter an "X" in the Other box and specify the submission type as provided in 37CFR 1.334.

**Conveyance Type** - Enter an "X" in the appropriate box describing the nature of the conveying document. If the conveyance document is to be recorded in the Government Register, enter an "X" indicating either a License or Assignment and enter an "X" indicating in which file the document is to be filed, either the Departmental File or the Public File. If the conveyance type is not listed, enter an "X" in Other box, and specify the nature of the conveyance.

**Conveying Party(ies)** - Enter the full name(s) of the party(ies) conveying the interest. Use Name line 1 to enter the name of the first party conveying the interest. If the conveying party is an individual, enter the last name first, followed by the first name followed by the middle initial. Separate the last and first name by a comma followed by a blank space. For example, "Carter, Constance M." If the conveying party is a corporation and the corporation name begins with "The", the name must be entered as Longmire Cookie Company, The. If the name consists of more than 40 characters, abbreviate where possible (i.e. Inc. for Incorporated). Use Name line 2 to enter additional information, (i.e. "a corporation of Delaware", etc.). If the party is a government, and the government begins with "The", such as "The United States Government", the name must be entered as "Government of the United States of America, The." A blank space must follow the comma. If additional information follows the government names such as the agency representing the government, the names must be entered as "Government of the United States of America, as represented by the Department of Energy, The." Enter the execution date (i.e. the date the document is signed by the conveying party) using the numerical representation of the month, day, and year without slashes (/) formatted as (MMDDYYYY). Do not use European style date format. If there is a second party conveying an interest, fill in the Second Party Name lines 1 and 2 in a similar manner. If there are more than two conveying parties, enter an "X" in the box to indicate that additional information is attached. The names and execution dates of the additional conveying parties must be entered on the formatted Recordation Form Cover Sheet Continuation. Only the names which appear on this cover sheet and the Recordation Cover Sheet Continuation form(s) will be recorded.

**Receiving Party(ies)** - Enter the full name and address of the party(ies) receiving the interest. Use Name line 1 to enter the name of the first party receiving the interest. If the receiving party is an individual, enter last name first, followed by the first name followed by the middle initial. Separate the last and first name with a comma, followed by a blank space. For example, "Carter, Constance M." If the receiving party name is a business and consists of more than 40 characters, abbreviate where possible (i.e. Inc. for Incorporated). If the corporation name begins with "The", such as "The Longmire Cooking Company", the name must be entered as "Longmire Cookie Company, The". Enter additional information on Name line 2, (i.e. "a Corporation of Delaware", etc.). If the party is a government, and the government begins with "The", such as "The United States Government", the name must be entered as "Government of the United States of America, The." A blank space must follow the comma. If additional information follows the government names such as the agency

representing the government, the names must be entered as "Government of the United States of America, as represented by the Department of Energy, The." Enter up to three lines of address information using up to 40 characters per line of address: address line 1 is used to enter the street address; address line 2 is used to enter the floor/room number, suite number or department; and address line 3 is used to enter the City, State/Country and zip code. Use the two letter state code when entering the state, (i.e. VA for the State of Virginia). If there is more than one party receiving the interest, enter an "X" in the box to indicate that additional information is attached. The names and addresses of any additional receiving parties must be entered on a formatted Recordation Form Cover Sheet Continuation. Only the names which appear on this cover sheet and the Recordation Cover Sheet Continuation form(s) will be recorded.

**Correspondent Name and Address.** - Enter the full name and address of the party to whom correspondence is to be mailed. Each line of address allows up to 40 characters including spaces. Address information will be used to create a mailing label in order to return the document to the submitter. Enter the area code, telephone number and extension of the correspondent.

**Number of Pages.** - Enter the total number of pages contained in the conveyance document including any attachment(s). If the document to be recorded concerns both patents and trademarks, separate patent and trademark cover sheets must be submitted. Do not include the Recordation Form Cover Sheet pages in this total.

**Application Number(s) or Patent Number(s).** Enter the application number(s) (an 8 digit number consisting of a 2 digit series code and a 6 digit serial number) of the patent application property(ies) against which the document is to be recorded. Enter the application number as 06105889. Do not enter a slash (/) between the series code and the serial number. Enter the patent application number(s) in the space designated for patent application numbers. Provide the U.S. Serial Number, if one has been assigned to a Patent Cooperation Treaty (PCT) application which has entered the national stage. If a patent application has matured into a patent, enter the 7 digit patent number (i.e. 4890212) in the space designated for patent numbers. If the patent number does not contain 7 digits, leading zeros (0) should be used. For Plant/Reissue/Design patent numbers, the leading zeros should precede the number, not the alpha characters (i.e. PP05650, RE01187, D029490, 1500356). Do not enter both the patent application number and the patent number for the same property. Enter each application number(s) or patent number(s) in the designated boxes. If the assignment is being filed together with a new patent application, enter the date the patent application was signed by the first named executing inventor using the numerical representation of the month, day, and year without slashes (/) formatted as (MMDDYYYY). Do not use European style date format. Enter an "X" in the appropriate box to indicate if additional numbers are attached. Enter any such additional numbers on a Recordation Form Cover Sheet Continuation.

**Patent Cooperation Treaty (PCT) Application Number** - Enter the PCT application number only if a U.S. Serial Number has not been assigned. International application numbers must be complete (i.e. PCTUS9112345).

**Total Applications and Patents Involved** - Enter the total number of applications and registrations identified for recordation including properties indicated on any attached formatted Recordation Form Cover Sheet Continuation(s).

**Total Fee Enclosed and Deposit Account Number** - A fee is required for each application and patent property against which the document is to be recorded. If the submission concerns multiple conveyances or transfers, a fee must be submitted separately for each property of each conveyance or transfer. Enter the Fee Amount calculated per cover sheet. Enter the Total Fee Enclosed, if payment is made by other than deposit account. If payment is by deposit account, enter the total amount authorized to be charged to the deposit account or merely the "amount due." Enter the deposit account number for authorized charges. Enter an "X" in the Yes or No box indicating authorization to "charge additional fees" to the deposit account. If additional fees are required, the USPTO will generate a request to the USPTO Office of Finance to charge additional fees to the deposit account. A copy of this request will be returned to the submitter with the Notice of Recordation.

**Statement and Signature** - Enter the name of the person submitting the document. The submitter must sign and date page 2 of the cover sheet, confirming that to the best of the person's knowledge and belief, the information contained on the cover sheet is correct and that any copy of the document is a true copy of the original document. The person signing on page 2 of the cover sheet also authorizes the USPTO to charge additional fees to the Deposit Account, if the authorization box is checked and if additional fees are required. The signature and date must appear to the right of the typed name. The document may be signed by the person whose name appears on the documents to be recorded: In the case of an individual, the individual's signature,

the attorney representing such person or entity may sign the document.

**MANUAL OF PATENT EXAMINING PROCEDURE**