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Faculty Biographies

James A. Toupin

James Toupin is general counsel of the United States Patent and Trademark Office. As such, he is the chief legal officer of the Agency and has managerial responsibility for the operations of the Office of the Solicitor, the Office of General Law, the Office of Enrollment and Discipline, the Board of Patent Appeals and Interferences, and the Trademark Trial and Appeal Board.

Before coming to the USPTO as general counsel, Mr. Toupin was deputy general counsel of the U.S. International Trade Commission, where, among other duties, he supervised defense of the Commission's determinations in the Court of Appeals for the Federal Circuit and assisted in negotiations of the NAFTA and WTO agreements. Before entering government service, he was an attorney in private practice, specializing in intellectual property and unfair competition law and administrative agency litigation.

He holds a BA from Stanford University and a law degree from the Boalt Hall School of Law, University of California at Berkeley.

Mike Walker

P. Michael Walker is associate general counsel—intellectual property for E. I. du Pont de Nemours and Company in Wilmington, DE. His primary responsibilities include managing a group of about 45 patent attorneys, as well as certain patent support functions, and, together with the chief patent counsel, providing strategic direction to the intellectual property activities of the company.

He also participates in a number of intellectual property organizations, including the American Intellectual Property Law Association, the U.S. Bar–EPO Liaison Council, and the Intellectual Property Owner's organization. He is currently cochair of the IPO's committee on International Patent Enforcement.

Prior to his current assignment, Mr. Walker worked for four years at DuPont's European headquarters in Geneva, Switzerland where he was the intellectual property group leader responsible for DuPont's European patent and trademark staff. Before joining DuPont he worked in a private law firm in Philadelphia.

He participates in a number of volunteer organizations, including Literacy Volunteers of America and the United Way.

He received a BS from Drexel University and a JD from the University of Notre Dame.



The Patent and Trademark Office Speaks

October 21, 2002

Mike Walker
Associate General Counsel, Intellectual Property
E. I. du Pont de Nemours and Company

The PTO 21st Century Plan - The Corporate View

- A creative and comprehensive plan welcomed by stakeholders.
- Support for its broad objectives.
- Feedback on specific proposals.
 - Many are supported.
 - Some require additional study.
 - Some are objected to.

The US PTO - Some Context

- Stakeholders.
 - The PTO user community (patent owners).
 - Manufacturers and sellers of products or services.
 - The public at large.

The US PTO - Some Context

- US patents that are of high quality, valid and enforceable, and that issue within a reasonable time and at a reasonable cost are critical to the global marketplace...
- ... because US patents drive worldwide litigation and enforcement.

The 21st Century Plan

- Almost 400 pages.
- Covers many significant issues.
- This presentation will analyze some of the more important proposals from the point of view of the in-house patent counsel and the corporate patent owner.

The filters for patent reform.

- Any proposal for patent reform should pass through three filters to assess desirability.
- Does the proposal improve:
 - Quality.
 - Speed.
 - Cost-effectiveness.

The Plan - proposals supported.

- Improved hiring and training of examiners.
- Greater substantive harmonization with other patent offices.
- Simplified procedures.

The Plan - proposals supported.

- Competitive outsourcing of technical functions.
- Drive toward “e-Government”.
- Post-grant review for patents.
 - But must be a significant improvement over current procedure and must avoid problems inherent to similar European procedures.

The Plan - some proposals objected to or requiring study.

- Fee increases.
- Deferred examination.
- Four tracks examination.
- Mandatory information disclosure statements (IDS).

Fee increase.

- Oppose the Plan's fee increase proposal because it is designed to divert \$162 million to unrelated programs.
- Support reasonable increases to improve quality, speed and cost-effectiveness of the PTO.
- What fees are reasonable?

What is a reasonable fee increase

- Fees calculated based upon 5 year plan and projected filings.
- “Reasonable” does not include
 - arbitrary increases;
 - unnecessarily harsh increases intended to modify behavior.

Deferred examination.

- Implicit in the fee bill and part of “four tracks”.
- Does not pass the filter of speedy examination.
- Benefit to PTO of “drop out” applications far outweighed by burden of uncertainty created by unexamined patent applications.

Deferred examination.

- Effect of uncertainty.
 - Less competition in industry.
 - Fewer consumer choices.
 - Likelihood of litigation.
 - Filing of marginal inventions.
 - Poorer pre-filing searches.

Four tracks examination

- Examination based on searches by firms or other patent offices.
 - Support use of searches by other offices.
 - Question giving “near full faith and credit” to examination by other offices.
 - Object to use of only private searches.

Four tracks examination.

- Separation of search and examination.
 - Will it improve quality?

Four tracks examination.

- Track 3.
 - Permits delay examination of US application until examination of foreign priority application is complete.
 - Could lead to substantial deferral of examination of the US application.
 - Disadvantage for US applicants.

Mandatory IDS

- Requirement for applicant to explain relevancy of prior art when more than 20 citations.
- Also, a “duty of inquiry”.
- Goes beyond current duty of candor under Rule 56.
- Extremely burdensome to applicants.

Summary

- The Plan is welcomed by stakeholders.
- Broad objectives have wide support.
- Many proposals are supported, others need review.
- The filter for evaluation of proposals is quality, speed, cost-effectiveness.
- Dialogue between PTO and stakeholders to achieve mutual goals.



**Recent and Proposed Changes in Practice and Operations
at the United States Patent and Trademark Office:
Addressing the Challenges of the Increasing Economic Importance of
Intellectual Property**

Presentation for the American Corporate Counsel Association
October 21, 2002
James Toupin
General Counsel
U.S. Patent and Trademark Office

- I. Themes of Recent Legislative, Agency, and Judicial Developments**
- A. Increasing Demand for USPTO Services: Multi-year Double Digit growth in Patent and Trademark Registration Applications in the 1990s and 2000
 - B. Managing the Consequent Problems for Application Pendency and Maintaining and Improving Examination Quality
 - C. Balancing Notice Given by Applications or Issued Patents, with other Policies
- II. Background to the Present USPTO Proposals: American Inventors Protection Act (1999)**
- A. Patent Term Adjustment (PTA)
 - 1. 1999 legislation coming after multi-year period of soaring growth in patent applications and lengthening application pendency.
 - 2. Provides day-for-day adjustment for each failure or delay resulting in adjustment on three bases:
 - a. USPTO failure to take certain actions within specified time frames
 - b. USPTO failure to issue a patent within three years of the

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actual filing date (35 U.S.C. § 154(b)(1)(B)), including, in an international (PCT) application, the date national stage processing commences

c. Delays due to interference, secrecy order, or successful appellate review by BPAI or court reversing patentability determination (35 U.S.C. § 154(b)(1)(C))

d. Three-year period and specified time frame adjustments do not include, as defined by statute and regulation, delays due to applicant

B. Request for Continued Examination (RCE)

1. 35 U.S.C. § 132(b) provides for the continued examination of an application at the request of the applicant

2. Fee authorized by statute, and set by regulation at same as basic filing fee for a utility application

3. Continued prosecution application practice is expected to phase out over time (within 2-3 years) in utility and plant applications in favor of RCE practice

C. Eighteen-Month Publication

1. 35 U.S.C. § 122(b) in general requires publication of non-provisional utility patent applications at eighteen months from the earliest filing date claimed under 35 U.S.C. §§ 119(a)-(d), (e), 120, 121, or 365

2. Also allows at the applicant's request, for publication of an application earlier than at eighteen months from the earliest filing date claimed under title 35

3. Voluntary request: An applicant may request that an application not be published if the applicant certifies conspicuously at time of filing that invention has not been and will not be the subject of an application filed in another country (or under international agreement) that requires eighteen-month publication

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D. Inter Partes Reexamination

1. Allows third parties to participate throughout reexamination process
2. Both patentee and third party may appeal to Board of Patent Appeals and Interferences; only patentee may appeal to court
3. Third party estopped in court action as to any ground that might have raised in reexamination
4. Experience: Process little used.

E. Organizational Reform: Patent and Trademark Office Efficiency Act

1. Reorganizes USPTO as agency of the United States within the Department of Commerce
2. Goal: Create more business-like methods of operation.
3. Subject to policy direction of Secretary of Commerce, agency retains responsibility for management and administration, budget allocations, personnel, procurements and other administrative and management functions

III. Continuing to Address the Challenge: USPTO 2002 Strategic Plan, Published June 2002

A. Senate Appropriations Committee Challenge

1. Following 1999-2000 double digit annual growth in patent, trademark filings, Senate Appropriations Committee puts additional demands on USPTO to justify future budgets. Sen. Rep. 107-42 (July 20, 2001); see also H. Rep. 107-309 (July 13, 2001) (seeking requirements based budgeting, showing that increased funding will reduce time needed to receive patent)

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2. Expresses dissatisfaction with corporate plan that predicts patent pendency rising from 26.2 months to “unacceptable” 38.6 months by FY 2006
3. Requires thorough business plan demonstrating how resources will be used, what results achieved
4. Criticizes plan for full electronic patent process only in FY 2006 and lack of productivity increase from past IT investment
5. Calls patent process “archaic”
6. Requires 5-Year Strategic Plan
 - a. Reduce patent and trademark pendency and prepare to handle 21st Century workload
 - b. Improve patent quality
 - c. Include improved training and e-government

B. Patents Plan

1. Pendency and Efficiency Benchmarks
 - a. Achieve an average time to first action in patent applications that is more than 50 percent lower than the time projected in original business plan (i.e., 5.8 months in 2008 rather than 12.3 months)
 - b. Achieve and maintain 18 months patent pendency by 2008, compared to over 25 months in original business plan, while
 - c. Reducing total patent examiner hires through fiscal year 2008 by 2,500 compared to original business plan projection

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2. Efficiency and Quality Enhancement Strategies

- a. Accelerate processing time by implementing electronic file wrapper by October 1, 2004
- b. Competitively source classification and PCT search functions
- c. Concentrate Office expertise as much as possible on core government functions
- d. Expand international discussions to strengthen intellectual property rights globally and reduce duplication of effort among offices
- e. Enhance workforce capabilities by certifying competencies, expand "second pair of eyes" review in targeted areas
- f. Enhance practitioner input by update training certified over the Internet

3. Process Reform Proposals

a. Examination Process Reform

(1) Separate Filing Fee and Examination Fee: Applicant must request examination and pay examination fee or the USPTO will not examine the application

- The filing fee will be reduced
- Within the set time period, the request and fee for examination would be required to avoid abandonment

(2) With examination request, applicant must provide a search report in most situations

- Search may be an International Search Report by USPTO acting as PCT International Search Authority, another IP Office satisfying USPTO standards for recognition, or certified search service

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- Examiner may require an additional more appropriate search
 - Examiner will do an update search
 - Where warranted and subject to supervisory approval, examiner may perform a supplemental search
- (3) Excess claims fees due with the examination fee
- preliminary amendment may be made to reduce costs
- (4) A microentity (independent inventors meeting certain income and asset levels) may request that the USPTO conduct the search

b. Other Process Changes Proposed

- (1) Rocket docket
- (a) guaranteed 12-month processing
 - (b) with formalities, e-filing, amendments conditions
- (2) Post-grant cancellation process in Patent Board on all invalidity grounds,
- (a) with required initial showing to establish initial case, full discovery and expedited decision
 - (b) Substitute for inter-partes, third-party request reexamination

C. Trademarks Plan

1. E- Government (Implement in Trademarks on October 1, 2003)
- a. Electronic file wrapper with electronic file management – Trademark Information System (TIS)
 - b. Electronic file wrapper becomes the “official” record for examination purposes

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- c. Scanning on demand for paper files that have not been captured electronically – scanning occurs when a paper is received from the applicant or registrant that requires an office action.
 - d. Goal of 80% electronic communications
 - e. Lower fee for applications filed electronically vs. those filed using paper
 - f. Electronic Official Gazette
 - g. Reduced needs for personnel to handle paper leading to reduced compensation and contractor costs
2. Examination Process Alternatives
- a. Four options for filing and examination with four tier fee structure ranked by fee
 - (1) Lowest Fee: File electronically – 1st action 1 month, Reg./NOA 9 months or less, requires:
 - Likelihood of confusion search provided by Certified Search Service
 - Electronic filing and communications, with 30 day response to office actions
 - Complete application – all elements provided
 - All fees for all classes paid when application is filed
 - Use of U.S. Goods/Services Manual
 - (2) File electronically – 1st action 1 month, Reg./NOA 9 months or less, requires
 - Electronic filing and communications with 30 day response to office actions
 - Complete application – all elements provided
 - All fees for all classes paid when application is filed
 - Use of U.S. Goods/Services Manual

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(3) File electronically – 1st action 2 months; Reg./NOA 12 months

(4) File on paper – 1st action 2 months; Reg./NOA 12 months

b. Under Option 1 and 2, Office provides:

- (1) First action in one month or less
- (2) Barring a refusal of registration or opposition, registration or NOA in 9 months or less
- (3) “Second-set-of-eyes” review of all relative or absolute refusals to eliminate unnecessary refusals and to ensure the refusal itself is of high quality

c. Under all options:

- (1) Use a mix of attorney and non-attorney examiners for examination of all applications
 - Attorneys review applications for relative and absolute grounds of refusal
 - Non-attorney examiners review applications for all procedural issues
- (2) Re-certification of examining skills for attorneys and non-attorneys after a set period of time, e.g., every three years
 - In-process review to catch examination “problems” early in process and correct problems with training and guidance
 - Reinforced Trademark Assistance/Customer Relationship Management Center to assist customers and provide feedback on quality issues to Operations
 - New PAPs with focus on quality and electronic communications with applicants

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3. Legislative Proposals

- a. No signature – statutory presumption that filing application is indication of ownership and intent
- b. No examination of specimens but specimen would still be required for record
- c. Domestic representative optional – service by publication if no domestic representative. Foreign entities could only use U.S. counsel as representative before USPTO as is the case now.
- d. No need to provide “certified” copy of foreign registration – photocopy or facsimile sufficient
- e. Director to have authority to set response period by rule making

IV. The Judicial Input: Selected Recent Judicial Developments Affecting Patent Prosecution

- A. State Street Bank & Trust Co. v. Signature Financial Group, Inc., 149 F.3d 1368 (Fed. Cir.1998)
 1. Rejected notion that there is a business method exception to patentable subject matter
 2. Led to USPTO partnership with interested groups to develop adequate prior art library to search applications
 3. “Second pair of eyes” review successful in assuring quality of examination; 21st Century Plan will expand to other areas as needed.
- B. Festo Corp. v. Shoketsu Kinzoku Kogyo Kabushiki Co., 535 U.S.---- (2002), reviewing expansive Federal Circuit decision on prosecution history estoppel as bar to application of doctrine of equivalents:

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1. affirms Federal Circuit holding that narrowing amendment during prosecution for reasons other than prior art (e.g., enablement, best mode) may act as estoppel,
 2. agrees with Federal Circuit that prior flexible bar too broad in allowing application of doctrine of equivalents to all that might have been allowable except original claim language,
 3. overturns Federal Circuit holding that such narrowing amendment bars any application of doctrine of equivalents as to amended element
 4. Rather, narrowing amendment is presumption against recapture through doctrine of equivalents
 5. To overcome the presumption patentee must show that at the time of the amendment one skilled in the art could not reasonably be expected to have drafted a claim that would have literally encompassed the alleged equivalent – e.g.,
 - development not foreseeable
 - amendment for unrelated reasons
 - inadequacy of terms to express limitations.
- C. Johnson & Johnston Associates Inc. v. R.E. Service Co., Inc., 285 F.3d 1046 (Fed. Cir. 2002) (en banc)
1. subject matter disclosed but not claimed
 2. is surrendered to the public and
 3. cannot be recaptured through the doctrine of equivalents
- D. Symbol Technologies, Inc. v. Lemelson Medical, 277 F.3d 1361 (Fed. Cir. 2002) (petition for cert. filed, 71 USLW 3002, June 18, 2002)
1. prosecution laches may be available as a defense
 2. even where patentee did not violate USPTO rules

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For United States Patent and Trademark Office Information Contacts,
please visit <http://www.uspto.gov/web/info/index.html>.

General Information Concerning Patents

- Functions of the United States Patent and Trademark Office
- Purpose of this Booklet
- What Are Patents, Trademarks, Servicemarks, and Copyrights?
 - What Is a Patent?
 - What Is a Trademark or Servicemark?
 - What Is a Copyright?
- Patent Laws
- What Can Be Patented
- Novelty and Non-Obvious, Conditions for Obtaining a Patent.
- The United States Patent and Trademark Office
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- Attorneys and Agents
- Disclosure Document Program
- Provisional Application for Patent.
- Patent and Trademark Depository Libraries (PTDLs)
- Contacts
- Who May Apply for a Patent
- Application for Patent
 - Non-Provisional Application for a Patent.
 - Provisional Application for a Patent.
- Publication of Patent Applications.
- Oath or Declaration, Signature
- Filing Fees
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 - § 1.84 Standards for drawings
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- Foreign Applicants for United States Patents.
- Frequently-Asked Questions about Patents

GENERAL INFORMATION CONCERNING PATENTS

Functions of the United States Patent and Trademark Office

The United States Patent and Trademark Office (USPTO or Office) is an agency of the U.S. Department of Commerce. The role of the USPTO is to grant patents for the protection of inventions and to register trademarks. It serves the interest of inventors and businesses with respect to their inventions and corporate products, and service identifications. It also advises and assists the President of the United States, the Secretary of Commerce, the bureaus and offices of the Department of Commerce and other agencies of the government in matters involving all domestic and global aspects of "intellectual property." Through the preservation, classification, and dissemination of patent information, the Office promotes the industrial and technological progress of the nation and strengthens the economy.

In discharging its patent related duties, the USPTO examines applications and grants patents on inventions when applicants are entitled to them; it publishes and disseminates patent information, records assignments of patents, maintains search files of U.S. and foreign patents, and maintains a search room for public use in examining issued patents and records. The Office supplies copies of patents and official records to the public. It provides training to practitioners and their applicants as to requirements of the patent statutes and regulations, and it publishes the Manual of Patent Examining Procedure to elucidate these. Similar functions are performed relating to trademarks. By protecting intellectual endeavors and encouraging technological progress, USPTO seeks to preserve the United States' technological edge, which is key to our current and future competitiveness. The USPTO also disseminates patent and trademark information that promotes an understanding of intellectual property

protection and facilitates the development and sharing of new technologies worldwide.

Purpose of this Booklet

The purpose of this information file is to give users some general information about patents and the operations of the USPTO. It attempts to answer many of the questions commonly asked of the Office but is not intended to be a comprehensive textbook on patent law or a guide for the patent attorney. It is hoped that this information will be useful to inventors and prospective applicants for patents, to students, and to others who may be interested in patents by giving them a brief general introduction to the subject.

Additional information may be obtained from the publications listed under the sections "Publications of the Patent and Trademark Office" and "General Information and Correspondence." The USPTO does not publish any textbooks on patent law, but a number of such works for the specialist and for the general reader have been published by private concerns.

What Are Patents, Trademarks, Servicemarks, and Copyrights?

Some people confuse patents, copyrights, and trademarks. Although there may be some similarities among these kinds of intellectual property protection, they are different and serve different purposes.

What Is a Patent?

A patent for an invention is the grant of a property right to the inventor, issued by the United States Patent

and Trademark Office. Generally, the term of a new patent is 20 years from the date on which the application for the patent was filed in the United States or, in special cases, from the date an earlier related application was filed, subject to the payment of maintenance fees. U.S. patent grants are effective only within the United States, U.S. territories, and U.S. possessions. Under certain circumstances, patent term extensions or adjustments may be available.

The right conferred by the patent grant is, in the language of the statute and of the grant itself, “the right to exclude others from making, using, offering for sale, or selling” the invention in the United States or “importing” the invention into the United States. What is granted is not the right to make, use, offer for sale, sell or import, but the right to exclude others from making, using, offering for sale, selling or importing the invention. Once a patent is issued, the patentee must enforce the patent without aid of the USPTO.

There are three types of patents:

Utility patents may be granted to anyone who invents or discovers any new and useful process, machine, article of manufacture, or compositions of matters, or any new useful improvement thereof;

Design patents may be granted to anyone who invents a new, original, and ornamental design for an article of manufacture; and

Plant patents may be granted to anyone who invents or discovers and asexually reproduces any distinct and new variety of plants.

What Is a Trademark or Servicemark?

A trademark is a word, name, symbol, or device that is used in trade with goods to indicate the source of the goods and to distinguish them from the goods of others. A servicemark is the same as a trademark except that it identifies and distinguishes the source of a service rather than a product. The terms “trademark” and “mark” are commonly used to refer to both trademarks and servicemarks.

Trademark rights may be used to prevent others from using a confusingly similar mark, but not to prevent others from making the same goods or from selling the same goods or services under a clearly different mark. Trademarks which are used in interstate or

foreign commerce may be registered with the USPTO. The registration procedure for trademarks and general information concerning trademarks is described in a separate pamphlet entitled “Basic Facts about Trademarks.”

What Is a Copyright?

Copyright is a form of protection provided to the authors of “original works of authorship” including literary, dramatic, musical, artistic, and certain other intellectual works, both published and unpublished. The 1976 Copyright Act generally gives the owner of copyright the exclusive right to reproduce the copyrighted work, to prepare derivative works, to distribute copies or phonorecords of the copyrighted work, to perform the copyrighted work publicly, or to display the copyrighted work publicly.

The copyright protects the form of expression rather than the subject matter of the writing. For example, a description of a machine could be copyrighted, but this would only prevent others from copying the description; it would not prevent others from writing a description of their own or from making and using the machine. Copyrights are registered by the *Copyright Office of the Library of Congress*.

PATENT LAWS

The Constitution of the United States gives Congress the power to enact laws relating to patents, in Article I, section 8, which reads “Congress shall have power . . . to promote the progress of science and useful arts, by securing for limited times to authors and inventors the exclusive right to their respective writings and discoveries.” Under this power Congress has from time to time enacted various laws relating to patents. The first patent law was enacted in 1790. The patent laws underwent a general revision which was enacted July 19, 1952, and which came into effect January 1, 1953. It is codified in Title 35, United States Code. Additionally, on November 29, 1999, Congress enacted the American Inventors Protection Act of 1999 (AIPA), which further revised the patent laws. See Public Law 106-113, 113 Stat. 1501 (1999).

The patent law specifies the subject matter for which a patent may be obtained and the conditions for patentability. The law establishes the United States

Patent and Trademark Office to administer the law relating to the granting of patents and contains various other provisions relating to patents.

WHAT CAN BE PATENTED

The patent law specifies the general field of subject matter that can be patented and the conditions under which a patent may be obtained.

In the language of the statute, any person who “invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent,” subject to the conditions and requirements of the law. The word “process” is defined by law as a process, act or method, and primarily includes industrial or technical processes. The term “machine” used in the statute needs no explanation. The term “manufacture” refers to articles that are made, and includes all manufactured articles. The term “composition of matter” relates to chemical compositions and may include mixtures of ingredients as well as new chemical compounds. These classes of subject matter taken together include practically everything that is made by man and the processes for making the products.

The Atomic Energy Act of 1954 excludes the patenting of inventions useful solely in the utilization of special nuclear material or atomic energy for atomic weapons.

The patent law specifies that the subject matter must be “useful.” The term “useful” in this connection refers to the condition that the subject matter has a useful purpose and also includes operativeness, that is, a machine which will not operate to perform the intended purpose would not be called useful, and therefore would not be granted a patent.

Interpretations of the statute by the courts have defined the limits of the field of subject matter that can be patented, thus it has been held that the laws of nature, physical phenomena, and abstract ideas are not patentable subject matter.

A patent cannot be obtained upon a mere idea or suggestion. The patent is granted upon the new machine, manufacture, etc., as has been said, and not

upon the idea or suggestion of the new machine. A complete description of the actual machine or other subject matter for which a patent is sought is required.

NOVELTY AND NON-OBVIOUSNESS, CONDITIONS FOR OBTAINING A PATENT

In order for an invention to be patentable it must be new as defined in the patent law, which provides that an invention cannot be patented if: “(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for patent,” or “(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country more than one year prior to the application for patent in the United States . . .”

If the invention has been described in a printed publication anywhere in the world, or if it has been in public use or on sale in this country before the date that the applicant made his/her invention, a patent cannot be obtained. If the invention has been described in a printed publication anywhere, or has been in public use or on sale in this country more than one year before the date on which an application for patent is filed in this country, a patent cannot be obtained. In this connection it is immaterial when the invention was made, or whether the printed publication or public use was by the inventor himself/herself or by someone else. If the inventor describes the invention in a printed publication or uses the invention publicly, or places it on sale, he/she must apply for a patent before one year has gone by, otherwise any right to a patent will be lost. The inventor must file on the date of public use or disclosure, however, in order to preserve patent rights in many foreign countries.

Even if the subject matter sought to be patented is not exactly shown by the prior art, and involves one or more differences over the most nearly similar thing already known, a patent may still be refused if the differences would be obvious. The subject matter sought to be patented must be sufficiently different from what has been used or described before that it may be said to be nonobvious to a person having ordinary skill in the area of

technology related to the invention. For example, the substitution of one color for another, or changes in size, are ordinarily not patentable.

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Congress established the United States Patent and Trademark Office (USPTO or Office) to issue patents on behalf of the government. The Patent Office as a distinct bureau dates from the year 1802 when a separate official in the Department of State who became known as "Superintendent of Patents" was placed in charge of patents. The revision of the patent laws enacted in 1836 reorganized the Patent Office and designated the official in charge as Commissioner of Patents. The Patent Office remained in the Department of State until 1849 when it was transferred to the Department of Interior. In 1925 it was transferred to the Department of Commerce where it is today. In 1975, the name of the Patent Office was changed to the Patent and Trademark Office.

The United States Patent and Trademark Office administers the patent laws as they relate to the granting of patents for inventions, and performs other duties relating to patents. It examines applications for patents to determine if the applicants are entitled to patents under the law and grants the patents when they are so entitled; it publishes issued patents, most patent applications filed on or after November 29, 2000, at 18 months from the earliest filing date, and various publications concerning patents; records assignments of patents; maintains a search room for the use of the public to examine issued patents and records; and supplies copies of records and other papers, and the like. Similar functions are performed with respect to the registration of trademarks. The USPTO has no jurisdiction over questions of infringement and the enforcement of patents, nor over matters relating to the promotion or utilization of patents or inventions.

The head of the Office is the Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office (Director). The Director's staff includes the Deputy Under Secretary of Commerce and Deputy Director of the USPTO, the Commissioner for Patents, the

Commissioner for Trademarks, and other officials. As head of the Office, the Director superintends or performs all duties respecting the granting and issuing of patents and the registration of trademarks; exercises general supervision over the entire work of the USPTO; prescribes the rules, subject to the approval of the Secretary of Commerce, for the conduct of proceedings in the USPTO, and for recognition of attorneys and agents; decides various questions brought before the Office by petition as prescribed by the rules; and performs other duties necessary and required for the administration of the United States Patent and Trademark Office.

The work of examining applications for patents is divided among a number of examining technology centers (TC), each TC having jurisdiction over certain assigned fields of technology. Each TC is headed by group directors and staffed by examiners and support staff. The examiners review applications for patents and determine whether patents can be granted. An appeal can be taken to the Board of Patent Appeals and Interferences from their decisions refusing to grant a patent, and a review by the Director of the USPTO may be had on other matters by petition. The examiners also identify applications that claim the same invention and may initiate proceedings, known as interferences, to determine who was the first inventor.

In addition to the examining TCs, other offices perform various services, such as receiving and distributing mail, receiving new applications, handling sales of printed copies of patents, making copies of records, inspecting drawings, and recording assignments. At present, the USPTO has over 6,000 employees, of whom about half are examiners and others with technical and legal training. Patent applications are received at the rate of over 300,000 per year. The Office receives over five million pieces of mail each year.

GENERAL INFORMATION AND CORRESPONDENCE

All business with the United States Patent and Trademark Office (USPTO or Office) should be transacted in writing and all correspondence relating to patent matters should be addressed to " COMMISSIONER FOR PATENTS,

WASHINGTON, D.C. 20231.” If a special mail box is appropriate, the special mailbox should also be used. Mail properly addressed to different mail boxes should be mailed separately to ensure proper routing. For example, after final correspondence should be mailed to “Box AF, Commissioner for Patents, Washington DC 20231,” and assignments should be mailed to “Box ASSIGNMENTS, DIRECTOR- U.S. PATENT AND TRADEMARK OFFICE, WASHINGTON D.C. 20231.” Correspondents should be sure to include their full return addresses, including zip codes. The principal location of the USPTO is Crystal Plaza 3, 2021 Jefferson Davis Highway, Arlington, Virginia. The personal presence of applicants at the USPTO is unnecessary.

Applicants and attorneys are required to conduct their business with decorum and courtesy. Papers presented in violation of this requirement will be returned.

Separate letters (but not necessarily in separate envelopes) should be written for each distinct subject of inquiry, such as assignments, payments, orders for printed copies of patents, orders for copies of records, and requests for other services. None of these inquiries should be included with letters responding to Office actions in applications.

When a letter concerns a patent application, the correspondent must include the application number, filing date, and Art Unit number. When a letter concerns a patent, it must include the name of the patentee, the title of the invention, the patent number, and the date of issue.

An order for a copy of an assignment must give the book and page, or reel and frame of the record, as well as the name of the inventor; otherwise, an additional charge is made for the time consumed in making the search for the assignment.

Applications for patents, which are not published or issued as patents, are not generally open to the public, and no information concerning them is released except on written authority of the applicant, his/her assignee, or his/her attorney, or when necessary to the conduct of the business of the USPTO. Patent application publications and patents and related records, including records of any decisions, the

records of assignments other than those relating to assignments of unpublished patent applications, patent applications that are relied upon for priority in a patent application publication or patent, books, and other records and papers in the Office are open to the public. They may be inspected in the USPTO Search Room or copies may be ordered.

The Office cannot respond to inquiries concerning the novelty and patentability of an invention prior to the filing of an application; give advice as to possible infringement of a patent; advise of the propriety of filing an application; respond to inquiries as to whether, or to whom, any alleged invention has been patented; act as an expounder of the patent law or as counselor for individuals, except in deciding questions arising before it in regularly filed cases. Information of a general nature may be furnished either directly or by supplying or calling attention to an appropriate publication.

LIBRARY, SEARCH ROOM SEARCHES AND PATENT AND TRADEMARK DEPOSITORY LIBRARIES

The Scientific and Technical Information Center of the United States Patent and Trademark Office located at Crystal Plaza 3, 2C01, 2021 Jefferson Davis Highway, Arlington, VA, has available for public use over 120,000 volumes of scientific and technical books in various languages, about 90,000 bound volumes of periodicals devoted to science and technology, the official journals of 77 foreign patent organizations, and over 40 million foreign patents on paper, microfilm, microfiche, and CD-ROM. The Scientific and Technical Information Center is open to the public from 8:30 a.m. to 5:00 p.m., Monday through Friday except federal holidays.

The Patent Search Room located at Crystal Plaza 3, 1A01, 2021 Jefferson Davis Highway, Arlington, VA, is where the public may search and examine U.S. patents granted since 1790. Patents are arranged according to the U.S. Patent Classification System of over 400 classes and over 136,000 subclasses. By searching in these classified groupings of patents, it is possible to determine, before actually filing an application, whether an invention has been

anticipated by a U.S. patent, and it is also possible to obtain the information contained in patents relating to any field of endeavor. The Patent Search Room contains a set of U.S. patents arranged in numerical order and a complete set of the *Official Gazette*.

A Files Information Room also is maintained where the public may inspect the records and files of issued patents and other open records. Applicants, their attorneys or agents, and the general public are not entitled to use the records and files in the examiners' rooms. The Patent Search Room is open from 8 a.m. to 8 p.m. Monday through Friday except on federal holidays.

Many inventors attempt to make their own search of the prior patents and publications before applying for a patent. This may be done in the Patent Search Room of the USPTO, and in libraries, located throughout the United States, which have been designated as Patent and Trademark Depository Libraries (PTDLs). An inventor may make a preliminary search through the U.S. patents and publications to discover if the particular invention or one similar to it has been shown in the prior patent. An inventor may also employ patent attorneys or agents to perform the preliminary search. This search may not be as complete as that made by the USPTO during the examination of an application, but only serves, as its name indicates, a preliminary purpose. For this reason, the patent examiner may, and often does, reject claims in an application on the basis of prior patents or publications not found in the preliminary search.

Those who cannot come to the Patent Search Room may order from the USPTO copies of lists of original patents or of cross-referenced patents contained in the subclasses comprising the field of search, or may inspect and obtain copies of the patents at a Patent and Trademark Depository Library. The PTDLs receive current issues of U.S. patents and maintain collections of earlier issued patent and trademark information. The scope of these collections varies from library to library, ranging from patents of only recent years to all or most of the patents issued since 1790.

These patent collections are open to public use. Each of the PTDLs, in addition, offers the publications of the U.S. Patent Classification System (e.g., Manual of Classification, Index to the U.S. Patent

Classification System, Classification Definitions, etc.) and other patent documents and forms, and provides technical staff assistance in their use to aid the public in gaining effective access to information contained in patents. The collections are organized in patent number sequence.

Available in all PTDLs is the Cassis CD-ROM system. With various files, it permits the effective identification of appropriate classifications to search, provides numbers of patents assigned to a classification to facilitate finding the patents in a numerical file of patents, provides the current classification(s) of all patents, permits word searching on classification titles, and on abstracts, and provides certain bibliographic information on more recently issued patents.

Facilities for making paper copies from microfilm, the paper bound volumes or CD-ROM are generally provided for a fee.

Due to variations in the scope of patent collections among the PTDLs and in their hours of service to the public, anyone contemplating the use of the patents at a particular library is advised to contact that library, in advance, about its collection, services, and hours, so as to avert possible inconvenience. For a complete list of PTDLs, refer to the USPTO Web site at www.uspto.gov.

ATTORNEYS AND AGENTS

The preparation of an application for patent and the conducting of the proceedings in the United States Patent and Trademark Office (USPTO or Office) to obtain the patent is an undertaking requiring the knowledge of patent law and rules and Office practice and procedures, as well as knowledge of the scientific or technical matters involved in the particular invention.

Inventors may prepare their own applications and file them in the USPTO and conduct the proceedings themselves, but unless they are familiar with these matters or study them in detail, they may get into considerable difficulty. While a patent may be obtained in many cases by persons not skilled in this work, there would be no assurance that the patent obtained would adequately protect the particular invention.

Most inventors employ the services of registered patent attorneys or patent agents. The law gives the USPTO the power to make rules and regulations governing conduct and the recognition of patent attorneys and agents to practice before the USPTO. Persons who are not recognized by the USPTO for this practice are not permitted by law to represent inventors before the USPTO. The USPTO maintains a register of attorneys and agents. To be admitted to this register, a person must comply with the regulations prescribed by the Office, which require a showing that the person is of good moral character and of good repute and that he/she has the legal, and scientific and technical qualifications necessary to render applicants for patents a valuable service. Certain of these qualifications must be demonstrated by the passing of an examination. Those admitted to the examination must have a college degree in engineering or physical science or the equivalent of such a degree.

The USPTO registers both attorneys at law and persons who are not attorneys at law. The former persons are now referred to as "patent attorneys" and the latter persons are referred to as "patent agents." Both patent attorneys and patent agents are permitted to prepare an application for a patent and conduct the prosecution in the USPTO. Patent agents, however, cannot conduct patent litigation in the courts or perform various services which the local jurisdiction considers as practicing law. For example, a patent agent could not draw up a contract relating to a patent, such as an assignment or a license, if the state in which he/she resides considers drafting contracts as practicing law.

Some individuals and organizations that are not registered advertise their services in the fields of patent searching and invention marketing and development. Such individuals and organizations cannot represent inventors before the USPTO. They are not subject to USPTO discipline, and the Office cannot assist inventors in dealing with them.

The USPTO cannot recommend any particular attorney or agent, or aid in the selection of an attorney or agent, as by stating, in response to inquiry that a named patent attorney, agent, or firm, is "reliable" or "capable." The USPTO publishes a directory of all registered patent attorneys and agents who have indicated their availability to accept new

clients, arranged by states, cities, and foreign countries. The Directory may be purchased in paper form from the Government Printing Office or from the USPTO's Office of Electronic Information on the Cassis ASSIST CD-ROM disc. It is also available on the USPTO Web site at <http://www.uspto.gov/web/offices/dcom/olia/oed/roster/index.html>.

The telephone directories of most large cities have, in the classified section, a heading for patent attorneys under which those in that area are listed. Many large cities have associations of patent attorneys.

In employing a patent attorney or agent, the inventor executes a power of attorney or authorization of agent, which must be filed in the USPTO and is usually a part of the application papers. When a registered attorney or agent has been appointed, the Office does not communicate with the inventor directly but conducts the correspondence with the attorney or agent since he/she is acting for the inventor thereafter although the inventor is free to contact the USPTO concerning the status of his/her application. The inventor may remove the attorney or agent by revoking the power of attorney or authorization of agent.

The USPTO has the power to disbar, or suspend from practicing before it, persons guilty of gross misconduct, etc., but this can only be done after a full hearing with the presentation of clear and convincing evidence concerning the misconduct. The USPTO will receive and, in appropriate cases, act upon complaints against attorneys and agents. The fees charged to inventors by patent attorneys and agents for their professional services are not subject to regulation by the USPTO. Definite evidence of overcharging may afford basis for USPTO action, but the Office rarely intervenes in disputes concerning fees.

Disclosure Document Program

A service provided by the United States Patent and Trademark Office (USPTO or Office) is the acceptance and preservation for two years of "Disclosure Documents" as evidence of the date of conception of an invention.

A paper disclosing an invention (called a Disclosure Document) and signed by the inventor or inventors

may be forwarded to the USPTO by the inventor (or by any one of the inventors when there are joint inventors), by the owner of the invention, or by the attorney or agent of the inventor(s) or owner. The Disclosure Document will be retained for two years, and then be destroyed unless it is referred to in a separate letter in a related patent application filed within those two years.

THE DISCLOSURE DOCUMENT IS NOT A PATENT APPLICATION. THE DATE OF ITS RECEIPT IN THE USPTO WILL NOT BECOME THE EFFECTIVE FILING DATE OF ANY PATENT APPLICATION SUBSEQUENTLY FILED.

These documents will be kept in confidence by the USPTO without publication in accordance with 35 U.S.C. 122(b), effective November 29, 2000.

This program does not diminish the value of the conventional, witnessed, permanently bound, and page-numbered laboratory notebook or notarized records as evidence of conception of an invention, but it should provide a more credible form of evidence than that provided by the mailing of a disclosure to oneself or another person by registered mail.

WARNING to Inventors

The two-year retention period is not a "grace period" during which the inventor can wait to file his or her patent application without possible loss of benefits. It must be recognized that, in establishing priority of invention, an affidavit or testimony referring to a Disclosure Document must usually also establish diligence in completing the invention or in filing the patent application after the filing of the Disclosure Document.

Inventors are also reminded that any public use or sale in the United States or publication of the invention anywhere in the world more than one year prior to the filing of a patent application on that invention will prohibit the granting of an U. S. patent on it. Foreign patent laws in this regard may be much more restrictive than U.S. laws.

For more information about Disclosure Documents, please visit the USPTO Web site at <http://www.uspto.gov/>.

Provisional Application for Patent

Inventors also have the option of filing a *Provisional Application for Patent*. Provisional applications are described in more detail below. To receive more information on provisional applications, please visit the *USPTO Web site* or request a print brochure by calling 800-786-9199 or 703-308-4357.

Patent and Trademark Depository Libraries (PTDLs)

Two *Partnership Patent and Trademark Depository Libraries* (PTDLs) participate as USPTO's authorized "agents" in accepting documents filed under the Disclosure Document Program. This service provides a completed transaction on-site, eliminating the wait for USPTO notification of acceptance. The documents receive an identifying number and date at the time of receipt by the PTDL. Original documents are sent to the USPTO for processing and retention.

Great Lakes Patent and Trademark Center (GLPTC) at the Detroit Public Library

5201 Woodward Avenue (second level)
Detroit, MI 48202
Telephone: 313-833-3379 or 800-547-0619
Fax: 313-833-6481

South Central Intellectual Property Partnership at Rice University (SCIPPR)

Fondren Library - MS220
6100 South Main Street
Houston, TX 77521-1892
Telephone: 713-285-5196
Fax: 713-737-6341

A list of *Patent and Trademark Depository Libraries* can be found in the *Official Gazette* and on the USPTO Web site. Collections of patents and patent-related reference materials are available at the nationwide network of PTDLs. Contact the PTDL prior to your visit to learn about its collections, services, and hours.

Contacts

The Office of Independent Inventor Programs (OIIP) was established in March 1999 in order to meet the special needs of independent inventors. The OIIP

establishes new mechanisms to better disseminate information about the patent and trademark process and to foster regular communication between the USPTO and independent inventors.

A section of the USPTO's Web site is devoted to independent inventors (site is entitled "Independent Inventor Resources") and offers educational material covering all aspects of the patent and trademark process. The Web site also endeavors to educate independent inventors about fraudulent invention development and marketing firms and the scams that may affect these inventors and offers tips and warning signs on avoiding these scams. The site also publishes complaints against these firms and any responses received from them. The site further provides links to other USPTO sites, as well as links to other federal agencies.

The OIIP also offers educational and outreach programs, either alone or in conjunction with local Patent and Trademark Depository Libraries, independent inventor organizations, and Small Business Development Centers. These programs cover all aspects of the patent and trademark filing and prosecution process and can be arranged for your group or organization by contacting OIIP at the number or address listed below.

Write:
Director-
United States Patent and Trademark Office
Office of Independent Inventor Programs
Box 24
Washington, D.C. 20231
Telephone: 703-306-5568
Fax: 703-306-5570
E-mail: independentinventor@uspto.gov

The General Information Services Division (GISD) provides the primary point of contact to the independent inventor community and the general public for general information about filing a disclosure document, a provisional patent application, or a regular, non-provisional patent application.

GISD also offers copies of this brochure and all other USPTO brochures.

For additional information on the patent process, telephone the USPTO Information Line and

Patent Assistance Center at:
Telephone 1-800- PTO-9199
Fax: 703-305-7786
TTY: 703-305-7785

USPTO's home page is <http://www.uspto.gov>.

WHO MAY APPLY FOR A PATENT

According to the law, only the inventor may apply for a patent, with certain exceptions. If a person who is not the inventor should apply for a patent, the patent, if it were obtained, would be invalid. The person applying in such a case who falsely states that he/she is the inventor would also be subject to criminal penalties. If the inventor is dead, the application may be made by legal representatives, that is, the administrator or executor of the estate. If the inventor is insane, the application for patent may be made by a guardian. If an inventor refuses to apply for a patent or cannot be found, a joint inventor or, if there is no joint inventor available, a person having a proprietary interest in the invention may apply on behalf of the non-signing inventor.

If two or more persons make an invention jointly, they apply for a patent as joint inventors. A person who makes only a financial contribution is not a joint inventor and cannot be joined in the application as an inventor. It is possible to correct an innocent mistake in erroneously omitting an inventor or in erroneously naming a person as an inventor.

Officers and employees of the United States Patent and Trademark Office are prohibited by law from applying for a patent or acquiring, directly or indirectly, except by inheritance or bequest, any patent or any right or interest in any patent.

APPLICATION FOR PATENT

Non-Provisional Application for a Patent

A non-provisional application for a patent is made to the Commissioner for Patents and includes:

(1) A written document which comprises a specification (description and claims), and an oath or declaration;

(2) A drawing in those cases in which a drawing is necessary; and

(3) The filing fee. Applicant must determine that small entity status is appropriate before making an assertion of entitlement to small entity status and paying a small entity fee. Fees change each October. The fee schedule is posted on the USPTO Web site.

All application papers must be in the English language or a translation into the English language will be required along with the required fee set forth in 37 CFR 1.17(i). All application papers must be legibly written on only one side either by a typewriter or mechanical printer in permanent dark ink or its equivalent in portrait orientation on flexible, strong, smooth, non-shiny, durable and white paper.

The papers must be presented in a form having sufficient clarity and contrast between the paper and the writing to permit electronic reproduction. Each document in the application papers must all be the same size - either 21.0 cm by 29.7 cm (DIN size A4) or 21.6 cm by 27.9 cm (8 1/2 by 11 inches), with a top margins of at least 2.0 cm (3/4 inch), a left side margin of at least 2.5 cm (1 inch), a right side margin of at least 2.0 cm (3/4 inch) and a bottom margin of at least 2.0 cm (3/4 inch) with no holes made in the submitted papers. (The specification and drawings may be on A4 paper, and the preliminary amendment on 8 1/2 by 11 paper.) It is also required that the spacing on all papers be 1 1/2 or double-spaced and the application papers must be numbered consecutively (centrally located above or below the text) starting with page one.

The specification must conclude with a claim or claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as the invention. The portion of the application in which the applicant sets forth the claim or claims is an important part of the application, as it is the claims that define the scope of the protection afforded by the patent.

More than one claim may be presented provided they differ from each other. Claims may be presented in independent form (e.g. the claim stands by itself) or in dependent form, referring back to and further limiting another claim or claims in the same application. Any dependent claim which refers back

to more than one other claim is considered a "multiple dependent claim."

The application for patent is not forwarded for examination until all required parts, complying with the rules related thereto, are received. If any application is filed without all the required parts for obtaining a filing date (incomplete or defective), the applicant will be notified of the deficiencies and given a time period to complete the application filing (a surcharge may be required)—at which time a filing date as of the date of such a completed submission will be obtained by the applicant. If the omission is not corrected within a specified time period, the application will be returned or otherwise disposed of; the filing fee if submitted will be refunded less a handling fee as set forth in the fee schedule.

The filing fee and declaration or oath need not be submitted with the parts requiring a filing date. It is, however, desirable that all parts of the complete application be deposited in the Office together; otherwise each part must be signed and a letter must accompany each part, accurately and clearly connecting it with the other parts of the application. Failure to originally submit the declaration or filing fee will result in an incomplete application and the payment of a surcharge when these parts are later filed in response to a requirement by the Office.

All applications received in the USPTO are numbered in sequential order and the applicant will be informed of the application number and filing date by a filing receipt.

The filing date of an application for patent is the date on which a specification (including at least one claim) and any drawings necessary to understand the subject matter sought to be patented are received in the USPTO; or the date on which the last part completing the application is received in the case of a previously incomplete or defective application.

Provisional Application for a Patent

Since June 8, 1995, the USPTO has offered inventors the option of filing a provisional application for patent which was designed to provide a lower cost first patent filing in the United States and to give U.S. applicants parity with foreign applicants. Claims and

oath or declaration are NOT required for a provisional application. Provisional application provides the means to establish an early effective filing date in a patent application and permits the term "Patent Pending" to be applied in connection with the invention. Provisional applications may not be filed for design inventions.

The filing date of a provisional application is the date on which a written description of the invention, drawings if necessary, and the name of the inventor(s) are received in the USPTO. To be complete, a provisional application must also include the filing fee, and a cover sheet specifying that the application is a provisional application for patent. The applicant would then have up to 12 months to file a non-provisional application for patent as described above. The claimed subject matter in the later filed non-provisional application is entitled to the benefit of the filing date of the provisional application if it has support in the provisional application. If a provisional application is not filed in English, then any non-provisional application claiming priority to the provisional application must have a translation of the provisional application filed therein. See title 37, Code of Federal Regulations, Section 1.78(a)(5).

Provisional applications are NOT examined on their merits. A provisional application will become abandoned by the operation of law 12 months from its filing date. The 12-month pendency for a provisional application is not counted toward the 20-year term of a patent granted on a subsequently filed non-provisional application which relies on the filing date of the provisional application.

A surcharge is required for filing the basic filing fee or the cover sheet on a date later than the filing of the provisional application.

A brochure on Provisional Application for Patent is available by calling the USPTO General Information Services at 1-800-786-9199 or 703-308-4357 or by accessing USPTO's Web site at <http://www.uspto.gov/>.

Publication of Patent Applications

Publication of patent applications is required by the American Inventors Protection Act of 1999 for most

plant and utility patent applications filed on or after November 29, 2000. On filing of a plant or utility application on or after November 29, 2000, an applicant may request that the application not be published, but only if the invention has not been and will not be the subject of an application filed in a foreign country that requires publication 18 months after filing (or earlier claimed priority date) or under the Patent Cooperation Treaty. Publication occurs after expiration of an 18-month period following the earliest effective filing date or priority date claimed by an application. Following publication, the application for patent is no longer held in confidence by the Office and any member of the public may request access to the entire file history of the application.

As a result of publication, an applicant may assert provisional rights. These rights provide a patentee with the opportunity to obtain a reasonable royalty from a third party that infringes a published application claim provided actual notice is given to the third party by applicant, and a patent issues from the application with a substantially identical claim. Thus, damages for pre-patent grant infringement by another are now available.

OATH OR DECLARATION, SIGNATURE

The oath or declaration of the applicant (inventor) is required by law for a non-provisional application. The inventor must make an oath or declaration that he/she believes himself/herself to be the original and first inventor of the subject matter of the application, and he/she must make various other statements required by law and various statements required by the USPTO rules. If an application data sheet is filed, the USPTO rules require fewer statements in the oath or declaration. See title 37, Code of Federal Regulations, Sections 1.63 and 1.76. The oath must be sworn to by the inventor before a notary public or other officer authorized to administer oaths. A declaration may be used in lieu of an oath. Oaths or declarations are required for applications involving designs, plants, and utility inventions and for reissue applications. A declaration does not need to be notarized. When filing a continuation or divisional application a copy of an earlier-filed oath or declaration may be used. For applications (except

designs) filed prior to May 29, 2000, a continued prosecution application may be filed that requires neither a new oath or declaration, nor a copy of an oath or declaration from a prior application.

The oath or declaration must be signed by the inventor in person, or by the person entitled by law to make application on the inventor's behalf. A full first and last name with middle initial or name, if any, of each inventor are required. The mailing address and citizenship of each inventor are also required if an application data sheet is not used.

Forms for declarations are available by calling the USPTO General Information Services at 800-786-9199 or 703-308-4357 or by accessing USPTO Web site at <http://www.uspto.gov> under the section titled "PTO Forms." The papers in a complete application will not be returned for any purpose whatsoever, nor will the filing fee be returned. If applicants have not preserved copies of the papers, the Office will furnish copies for a fee.

FILING FEES

The filing fee of a non-provisional utility application (not design and plant applications) consists of a basic fee and additional fees. The basic fee entitles the applicant to present 20 claims, including not more than three in independent form. An additional fee is required for each claim in independent form which is in excess of three and an additional fee is required for each claim (whether independent or dependent) which is in excess of a total of 20 claims. If the application contains multiple dependent claims, additional fees are required.

If the owner of the invention is a small entity, (an independent inventor, a small business concern or a non-profit organization), the filing fees are reduced by half if small entity status is claimed. If small entity status is desired and appropriate, applicants should file a written assertion of small entity status in addition to paying the small entity filing fee. The written assertion may be a simple statement on a transmittal letter such as "Applicant claims small entity status." Applicants claiming small entity status should make an investigation as to whether small entity status is appropriate before claiming

such status. To avoid errors in the payment of fees, it is suggested that the table in the enclosed patent application transmittal letter be used to calculate the fee payment.

In calculating fees, a claim is singularly dependent if it incorporates by reference a single preceding claim that may be an independent or dependent claim. A multiple dependent claim or any claim depending therefrom shall be considered as separate dependent claims in accordance with the number of claims to which reference is made.

The law also provides for the payment of additional fees on presentation of additional claims after the application is filed. When an amendment is filed which presents additional claims over the total number already paid for, or additional independent claims over the number of independent claims already accounted for, it must be accompanied by any additional fees due.

Fees are subject to change in October of each year.

SPECIFICATION (DESCRIPTION AND CLAIMS)

The following order of arrangement should be observed in framing the application:

- (a) Application transmittal form.
- (b) Fee transmittal form.
- (c) Application Data Sheet.
- (d) Specification.
- (e) Drawings.
- (f) Oath or declaration.

The specification should have the following sections, in order:

- (1) Title of the Invention.
- (2) Cross Reference to related applications (if any). (Related applications may be listed on an application data sheet, either instead of or together with being listed in the specification.)
- (3) Statement of federally sponsored research/development (if any).
- (4) Reference to a "Sequence Listing," a table, or a computer program listing appendix submitted on a compact disc and an

incorporation by reference of the material on the compact disc including duplicates and the files on each compact disc shall be specified.

- (5) Background of the Invention.
- (6) Brief Summary of the Invention.
- (7) Brief description of the several views of the drawing (if any).
- (8) Detailed Description of the Invention.
- (9) Claim or claims.
- (10) Abstract of the disclosure.
- (11) Sequence listing (if any).

The specification must include a written description of the invention and of the manner and process of making and using it, and is required to be in such full, clear, concise, and exact terms as to enable any person skilled in the technological area to which the invention pertains, or with which it is most nearly connected, to make and use the same.

The specification must set forth the precise invention for which a patent is solicited, in such manner as to distinguish it from other inventions and from what is old. It must describe completely a specific embodiment of the process, machine, manufacture, composition of matter, or improvement invented, and must explain the mode of operation or principle whenever applicable. The best mode contemplated by the inventor for carrying out the invention must be set forth.

In the case of an improvement, the specification must particularly point out the part or parts of the process, machine, manufacture, or composition of matter to which the improvement relates, and the description should be confined to the specific improvement and to such parts as necessarily cooperate with it or as may be necessary to a complete understanding or description of it.

The title of the invention, which should be as short and specific as possible (no more than 500 characters), should appear as a heading on the first page of the specification, if it does not otherwise appear at the beginning of the application. A brief abstract of the technical disclosure in the specification including that which is new in the art to which the invention pertains, must be set forth on a separate page immediately following the claims. The abstract should be in the form of a single paragraph

of 150 words or less, under the heading "Abstract of the Disclosure."

A brief summary of the invention indicating its nature and substance, which may include a statement of the object of the invention should precede the detailed description. The summary should be commensurate with the invention as claimed and any object recited should be that of the invention as claimed.

When there are drawings, there shall be a brief description of the several views of the drawings, and the detailed description of the invention shall refer to the different views by specifying the numbers of the figures, and to the different parts by use of reference numerals.

The specification must conclude with a claim or claims particularly pointing out and distinctly claiming the subject matter that the applicant regards as the invention. The portion of the application in which the applicant sets forth the claim or claims is an important part of the application, as it is the claims that define the scope of the protection afforded by the patent and which questions of infringement are judged by the courts.

More than one claim may be presented provided they differ substantially from each other and are not unduly multiplied. One or more claims may be presented in dependent form, referring back to and further limiting another claim or claims in the same application. Any dependent claim which refers back to more than one other claim is considered a "multiple dependent claim."

Multiple dependent claims shall refer to such other claims in the alternative only. A multiple dependent claim shall not serve as a basis for any other multiple dependent claim. Claims in dependent form shall be construed to include all of the limitations of the claim incorporated by reference into the dependent claim. A multiple dependent claim shall be construed to incorporate all the limitations of each of the particular claims in relation to which it is being considered.

The claim or claims must conform to the invention as set forth in the remainder of the specification and the terms and phrases used in the claims must find clear support or antecedent basis in the description so that

the meaning of the terms in the claims may be ascertainable by reference to the description.

DRAWING

The applicant for a patent will be required by law to furnish a drawing of the invention whenever the nature of the case requires a drawing to understand the invention. However, the Director may require a drawing where the nature of the subject matter admits of it; this drawing must be filed with the application. This includes practically all inventions except compositions of matter or processes, but a drawing may also be useful in the case of many processes.

The drawing must show every feature of the invention specified in the claims, and is required by the Office rules to be in a particular form. The Office specifies the size of the sheet on which the drawing is made, the type of paper, the margins, and other details relating to the making of the drawing. The reason for specifying the standards in detail is that the drawings are printed and published in a uniform style when the patent issues, and the drawings must also be such that they can be readily understood by persons using the patent descriptions.

No names or other identification will be permitted within the "sight" of the drawing, and applicants are expected to use the space above and between the hole locations to identify each sheet of drawings. This identification may consist of the attorney's name and docket number or the inventor's name and application number and may include the sheet number and the total number of sheets filed (for example, "sheet 2 of 4"). The following rule, reproduced from title 37 of the Code of Federal Regulations, relates to the standards for drawings:

§ 1.84 Standards for drawings.

(a) Drawings. There are two acceptable categories for presenting drawings in utility and design patent applications:

(1) Black ink. Black and white drawings are normally required. India ink, or its equivalent that secures solid black lines, must be used for drawings, or

(2) Color. On rare occasions, color drawings may be necessary as the only practical medium by which to disclose the subject matter sought to be patented in a utility or design patent application or the subject matter of a statutory invention registration. The color drawings must be of sufficient quality such that all details in the drawings are reproducible in black and white in the printed patent. Color drawings are not permitted in international applications (see PCT Rule 11.13), or in an application, or copy thereof, submitted under the Office electronic filing system. The Office will accept color drawings in utility or design patent applications and statutory invention registrations only after granting a petition filed under this paragraph explaining why the color drawings are necessary. Any such petition must include the following:

- (i) The fee set forth in § 1.17(h);
- (ii) Three sets of color drawings;
- (iii) A black and white photocopy that accurately depicts, to the extent possible, the subject matter shown in the color drawing; and
- (iv) An amendment to the specification to insert (unless the specification contains or has been previously amended to contain) the following language as the first paragraph of the brief description of the drawings:

The patent or application file contains at least one drawing executed in color. Copies of this patent or patent application publication with color drawing(s) will be provided by the Office upon request and payment of the necessary fee.

(b) Photographs.

(1) Black and white. Photographs, including photocopies of photographs, are not ordinarily permitted in utility and design patent applications. The Office will accept photographs in utility and design patent applications, however, if photographs are the only practicable medium for illustrating the claimed invention. For example, photographs or photomicrographs of: electrophoresis gels, blots (e.g., immunological, western, southern, and northern), autoradiographs, cell cultures (stained and unstained), histological tissue cross sections (stained and unstained), animals, plants, in vivo

imaging, thin layer chromatography plates, crystalline structures, and, in a design patent application, ornamental effects, are acceptable. If the subject matter of the application admits of illustration by a drawing, the examiner may require a drawing in place of the photograph. The photographs must be of sufficient quality so that all details in the photographs are reproducible in the printed patent.

(2) Color photographs. Color photographs will be accepted in utility and design patent applications if the conditions for accepting color drawings and black and white photographs have been satisfied. See paragraphs (a)(2) and (b)(1) of this section.

(c) Identification of drawings. Identifying indicia, if provided, should include the title of the invention, inventor's name, and application number, or docket number (if any) if an application number has not been assigned to the application. If this information is provided, it must be placed on the front of each sheet and centered within the top margin.

(d) Graphic forms in drawings. Chemical or mathematical formulae, tables, and waveforms may be submitted as drawings and are subject to the same requirements as drawings. Each chemical or mathematical formula must be labeled as a separate figure, using brackets when necessary, to show that information is properly integrated. Each group of waveforms must be presented as a single figure, using a common vertical axis with time extending along the horizontal axis. Each individual waveform discussed in the specification must be identified with a separate letter designation adjacent to the vertical axis.

(e) Type of paper. Drawings submitted to the Office must be made on paper which is flexible, strong, white, smooth, non-shiny, and durable. All sheets must be reasonably free from cracks, creases, and folds. Only one side of the sheet may be used for the drawing. Each sheet must be reasonably free from erasures and must be free from alterations, overwritings, and interlineations. Photographs must be developed on paper meeting the sheet-size requirements of paragraph (f) of this section and the margin requirements of paragraph (g) of this section. See paragraph (b) of this section for other requirements for photographs.

(f) Size of paper. All drawing sheets in an application must be the same size. One of the shorter sides of the sheet is regarded as its top. The size of

the sheets on which drawings are made must be:

- (1) 21.0 cm. by 29.7 cm. (DIN size A4), or
- (2) 21.6 cm. by 27.9 cm. (8 1/2 by 11 inches).

(g) Margins. The sheets must not contain frames around the sight (i.e., the usable surface), but should have scan target points (i.e., cross-hairs) printed on two catty-corner margin corners. Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch), thereby leaving a sight no greater than 17.0 cm. by 26.2 cm. on 21.0 cm. by 29.7 cm. (DIN size A4) drawing sheets, and a sight no greater than 17.6 cm. by 24.4 cm. (6 15/16 by 9 5/8 inches) on 21.6 cm. by 27.9 cm. (8 1/2 by 11 inch) drawing sheets.

(h) Views. The drawing must contain as many views as necessary to show the invention. The views may be plan, elevation, section, or perspective views. Detail views of portions of elements, on a larger scale if necessary, may also be used. All views of the drawing must be grouped together and arranged on the sheet(s) without wasting space, preferably in an upright position, clearly separated from one another, and must not be included in the sheets containing the specifications, claims, or abstract. Views must not be connected by projection lines and must not contain center lines. Waveforms of electrical signals may be connected by dashed lines to show the relative timing of the waveforms.

(1) Exploded views. Exploded views, with the separated parts embraced by a bracket, to show the relationship or order of assembly of various parts are permissible. When an exploded view is shown in a figure that is on the same sheet as another figure, the exploded view should be placed in brackets.

(2) Partial views. When necessary, a view of a large machine or device in its entirety may be broken into partial views on a single sheet, or extended over several sheets if there is no loss in facility of understanding the view. Partial views drawn on separate sheets must always be capable of being linked edge to edge so that no partial view contains parts of another partial view. A smaller scale view should be included showing the whole formed by the partial views and indicating the positions of the parts shown. When a portion of a view is enlarged for magnification

purposes, the view and the enlarged view must each be labeled as separate views.

(i) Where views on two or more sheets form, in effect, a single complete view, the views on the several sheets must be so arranged that the complete figure can be assembled without concealing any part of any of the views appearing on the various sheets.

(ii) A very long view may be divided into several parts placed one above the other on a single sheet. However, the relationship between the different parts must be clear and unambiguous.

(3) Sectional views. The plane upon which a sectional view is taken should be indicated on the view from which the section is cut by a broken line. The ends of the broken line should be designated by Arabic or Roman numerals corresponding to the view number of the sectional view, and should have arrows to indicate the direction of sight. Hatching must be used to indicate section portions of an object, and must be made by regularly spaced oblique parallel lines spaced sufficiently apart to enable the lines to be distinguished without difficulty. Hatching should not impede the clear reading of the reference characters and lead lines. If it is not possible to place reference characters outside the hatched area, the hatching may be broken off wherever reference characters are inserted. Hatching must be at a substantial angle to the surrounding axes or principal lines, preferably 45°. A cross section must be set out and drawn to show all of the materials as they are shown in the view from which the cross section was taken. The parts in cross section must show proper material(s) by hatching with regularly spaced parallel oblique strokes, the space between strokes being chosen on the basis of the total area to be hatched. The various parts of a cross section of the same item should be hatched in the same manner and should accurately and graphically indicate the nature of the material(s) that is illustrated in cross section. The hatching of juxtaposed different elements must be angled in a different way. In the case of large areas, hatching may be confined to an edging drawn around the entire inside of the outline of the area to be hatched. Different types of hatching should have different conventional meanings as regards the nature of a material seen in cross section.

(4) Alternate position. A moved position may be shown by a broken line superimposed upon a suitable view if this can be done without crowding; otherwise, a separate view must be used for this purpose.

(5) Modified forms. Modified forms of construction must be shown in separate views.

(i) Arrangement of views. One view must not be placed upon another or within the outline of another. All views on the same sheet should stand in the same direction and, if possible, stand so that they can be read with the sheet held in an upright position. If views wider than the width of the sheet are necessary for the clearest illustration of the invention, the sheet may be turned on its side so that the top of the sheet, with the appropriate top margin to be used as the heading space, is on the right-hand side. Words must appear in a horizontal, left-to-right fashion when the page is either upright or turned so that the top becomes the right side, except for graphs utilizing standard scientific convention to denote the axis of abscissas (of X) and the axis of ordinates (of Y).

(j) Front page view. The drawing must contain as many views as necessary to show the invention. One of the views should be suitable for inclusion on the front page of the patent application publication and patent as the illustration of the invention. Views must not be connected by projection lines and must not contain center lines. Applicant may suggest a single view (by figure number) for inclusion on the front page of the patent application publication and patent.

(k) Scale. The scale to which a drawing is made must be large enough to show the mechanism without crowding when the drawing is reduced in size to two-thirds in reproduction. Indications such as "actual size" or "scale 1/2" on the drawings are not permitted since these lose their meaning with reproduction in a different format.

(l) Character of lines, numbers, and letters. All drawings must be made by a process which will give them satisfactory reproduction characteristics. Every line, number, and letter must be durable, clean, black (except for color drawings), sufficiently dense and dark, and uniformly thick and well defined. The weight of all lines and letters must be heavy enough to permit adequate reproduction. This requirement applies to all lines however fine, to shading, and to lines representing cut surfaces in sectional views. Lines and strokes of different thicknesses may be

used in the same drawing where different thicknesses have a different meaning.

(m) Shading. The use of shading in views is encouraged if it aids in understanding the invention and if it does not reduce legibility. Shading is used to indicate the surface or shape of spherical, cylindrical, and conical elements of an object. Flat parts may also be lightly shaded. Such shading is preferred in the case of parts shown in perspective, but not for cross sections. See paragraph (h)(3) of this section. Spaced lines for shading are preferred. These lines must be thin, as few in number as practicable, and they must contrast with the rest of the drawings. As a substitute for shading, heavy lines on the shade side of objects can be used except where they superimpose on each other or obscure reference characters. Light should come from the upper left corner at an angle of 45°. Surface delineations should preferably be shown by proper shading. Solid black shading areas are not permitted, except when used to represent bar graphs or color.

(n) Symbols. Graphical drawing symbols may be used for conventional elements when appropriate. The elements for which such symbols and labeled representations are used must be adequately identified in the specification. Known devices should be illustrated by symbols that have a universally recognized conventional meaning and are generally accepted in the art. Other symbols which are not universally recognized may be used, subject to approval by the Office, if they are not likely to be confused with existing conventional symbols, and if they are readily identifiable.

(o) Legends. Suitable descriptive legends may be used subject to approval by the Office, or may be required by the examiner where necessary for understanding of the drawing. They should contain as few words as possible.

(p) Numbers, letters, and reference characters.

(1) Reference characters (numerals are preferred), sheet numbers, and view numbers must be plain and legible, and must not be used in association with brackets or inverted commas, or enclosed within outlines, e.g., encircled. They must be oriented in the same direction as the view so as to avoid having to rotate the sheet. Reference characters should be arranged to follow the profile of the object depicted.

(2) The English alphabet must be used for letters, except where another alphabet is customarily

used, such as the Greek alphabet to indicate angles, wavelengths, and mathematical formulas.

(3) Numbers, letters, and reference characters must measure at least .32 cm. (1/8 inch) in height. They should not be placed in the drawing so as to interfere with its comprehension. Therefore, they should not cross or mingle with the lines. They should not be placed upon hatched or shaded surfaces. When necessary, such as indicating a surface or cross section, a reference character may be underlined and a blank space may be left in the hatching or shading where the character occurs so that it appears distinct.

(4) The same part of an invention appearing in more than one view of the drawing must always be designated by the same reference character, and the same reference character must never be used to designate different parts.

(5) Reference characters not mentioned in the description shall not appear in the drawings. Reference characters mentioned in the description must appear in the drawings.

(q) Lead lines. Lead lines are those lines between the reference characters and the details referred to. Such lines may be straight or curved and should be as short as possible. They must originate in the immediate proximity of the reference character and extend to the feature indicated. Lead lines must not cross each other. Lead lines are required for each reference character except for those which indicate the surface or cross section on which they are placed. Such a reference character must be underlined to make it clear that a lead line has not been left out by mistake. Lead lines must be executed in the same way as lines in the drawing. See paragraph (l) of this section.

(r) Arrows. Arrows may be used at the ends of lines, provided that their meaning is clear, as follows:

(1) On a lead line, a freestanding arrow to indicate the entire section towards which it points;

(2) On a lead line, an arrow touching a line to indicate the surface shown by the line looking along the direction of the arrow; or

(3) To show the direction of movement.

(s) Copyright or Mask Work Notice. A copyright or mask work notice may appear in the drawing, but must be placed within the sight of the drawing immediately below the figure representing the copyright or mask work material and be limited to letters having a print size of .32 cm. to .64 cm. (1/8 to

1/4 inches) high. The content of the notice must be limited to only those elements provided for by law. For example, "©1983 John Doe" (17 U.S.C. 401) and "*M* John Doe" (17 U.S.C. 909) would be properly limited and, under current statutes, legally sufficient notices of copyright and mask work, respectively. Inclusion of a copyright or mask work notice will be permitted only if the authorization language set forth in 1.71(e) is included at the beginning (preferably as the first paragraph) of the specification.

(t) Numbering of sheets of drawings. The sheets of drawings should be numbered in consecutive Arabic numerals, starting with 1, within the sight as defined in paragraph (g) of this section. These numbers, if present, must be placed in the middle of the top of the sheet, but not in the margin. The numbers can be placed on the right-hand side if the drawing extends too close to the middle of the top edge of the usable surface. The drawing sheet numbering must be clear and larger than the numbers used as reference characters to avoid confusion. The number of each sheet should be shown by two Arabic numerals placed on either side of an oblique line, with the first being the sheet number and the second being the total number of sheets of drawings, with no other marking.

(u) Numbering of views.

(1) The different views must be numbered in consecutive Arabic numerals, starting with 1, independent of the numbering of the sheets and, if possible, in the order in which they appear on the drawing sheet(s). Partial views intended to form one complete view, on one or several sheets, must be identified by the same number followed by a capital letter. View numbers must be preceded by the abbreviation "FIG." Where only a single view is used in an application to illustrate the claimed invention, it must not be numbered and the abbreviation "FIG." must not appear.

(2) Numbers and letters identifying the views must be simple and clear and must not be used in association with brackets, circles, or inverted commas. The view numbers must be larger than the numbers used for reference characters.

(v) Security markings. Authorized security markings may be placed on the drawings provided they are outside the sight, preferably centered in the top margin.

(w) Corrections. Any corrections on drawings submitted to the Office must be durable and permanent.

(x) Holes. No holes should be made by applicant in the drawing sheets.

(y) Types of drawings. See § 1.152 for design drawings, § 1.165 for plant drawings, and § 1.174 for reissue drawings.

Models, Exhibits, And Specimens

Models or exhibits are not required in most patent applications since the description of the invention in the specification and the drawings must be sufficiently full, clear, and complete and capable of being understood to disclose the invention without the aid of a model.

A working model, or other physical exhibit, may be required by the Office if deemed necessary. This is not done very often. A working model may be requested in the case of applications for patent for alleged perpetual motion devices.

When the invention relates to a composition of matter, the applicant may be required to furnish specimens of the composition, or of its ingredients or intermediates, for inspection or experiment. If the invention is a microbiological invention, a deposit of the micro-organism involved is required.

EXAMINATION OF APPLICATIONS AND PROCEEDINGS IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applications, other than provisional applications, filed in the United States Patent and Trademark Office (USPTO or Office) and accepted as complete applications are assigned for examination to the respective examining technology centers (TC) having charge of the areas of technology related to the invention. In the examining TC, applications are taken up for examination by the examiner to whom they have been assigned in the order in which they have been filed or in accordance with examining procedures established by the Director.

Applications will not be advanced out of turn for examination or for further action except as provided by the rules, or upon order of the Director to expedite the business of the Office, or upon a showing which, in the opinion of the Director, will justify advancing them.

The examination of the application consists of a study of the application for compliance with the legal requirements and a search through U.S. patents, publications of patent applications, foreign patent documents, and available literature, to see if the claimed invention is new, useful and nonobvious and if the application meets the requirements of the patent statute and rules of practice. A decision is reached by the examiner in the light of the study and the result of the search.

As a result of the examination by the Office, patents are granted in the case of about two out of every three applications for patents which are filed.

Restrictions

If two or more inventions are claimed in a single application, and are regarded by the Office to be of such a nature (e.g. independent and distinct) that a single patent should not be issued for both of them, the applicant will be required to limit the application to one of the inventions. The other invention may be made the subject of a separate application which, if filed while the first application is still pending, will be entitled to the benefit of the filing date of the first application. A requirement to restrict the application to one invention may be made before further action by the examiner.

Office Action

The applicant is notified in writing of the examiner's decision by an Office "action" which is normally mailed to the attorney or agent of record. The reasons for any adverse action or any objection or requirement are stated in the Office action and such information or references are given as may be useful in aiding the applicant to judge the propriety of continuing the prosecution of his/her application.

If the claimed invention is not directed to patentable subject matter, the claims will be rejected. If the examiner finds that the claimed invention lacks novelty or differs only in an obvious manner from

what is found in the prior art, the claims may also be rejected. It is not uncommon for some or all of the claims to be rejected on the first Office action by the examiner, relatively few applications are allowed as filed.

Applicant's Reply

The applicant must request reconsideration in writing, and must distinctly and specifically point out the supposed errors in the examiner's Office action. The applicant must reply to every ground of objection and rejection in the prior Office action. The applicant's reply must appear throughout to be a bona fide attempt to advance the case to final action or allowance. The mere allegation that the examiner has erred will not be received as a proper reason for such reconsideration.

In amending an application in reply to a rejection, the applicant must clearly point out why he/she thinks the amended claims are patentable in view of the state of the art disclosed by the prior references cited or the objections made. He/she must also show how the claims as amended avoid such references or objections. After reply by the applicant, the application will be reconsidered, and the applicant will be notified as to the status of the claims, that is, whether the claims are rejected, or objected to, or whether the claims are allowed, in the same manner as after the first examination. The second Office action usually will be made final.

Interviews with examiners may be arranged, but an interview does not remove the necessity of replying to Office actions within the required time.

Final Rejection

On the second or later consideration, the rejection or other action may be made final. The applicant's reply is then limited to appeal in the case of rejection of any claim and further amendment is restricted. Petition may be taken to the Director in the case of objections or requirements not involved in the rejection of any claim. Reply to a final rejection or action must include cancellation of, or appeal from the rejection of, each claim so rejected and, if any claim stands allowed, compliance with any requirement or objection as to form. In making such final rejection, the examiner repeats or states all

grounds of rejection then considered applicable to the claims in the application.

AMENDMENTS TO APPLICATION

Following are some details concerning amendments to the application: The applicant may amend before or after the first examination and action as specified in the rules, or when and as specifically required by the examiner.

After final rejection or action, amendments may be made canceling claims or complying with any requirement of form which has been made in an Office action. The admission of any such amendment or its refusal, and any proceedings relative thereto, shall not operate to relieve the application from its condition as subject to appeal or to save it from abandonment. If amendments touching the merits of the application are presented after final rejection, or after appeal has been taken, or when such amendment might not otherwise be proper, they may be admitted upon a showing of good and sufficient reasons why they are necessary and were not earlier presented.

No amendment can be made as a matter of right in appealed cases. After decision on appeal, amendments can only be made as provided in the rules.

The specifications, claims, and drawing must be amended and revised when required, to correct inaccuracies of description and definition or unnecessary words, and to provide substantial correspondence between the claims, the description, and the drawing. All amendments of the drawings or specifications, and all additions thereto must not include new matter beyond the original disclosure. Matter not found in either, involving a departure from or an addition to the original disclosure, cannot be added to the application even though supported by a supplemental oath or declaration, and can be shown or claimed only in a separate application.

Amendments to the specification must be made by the submission of clean new or replacement paragraph(s), section(s), specification, or claim(s). This practice will provide a specification (including claims) in clean, or substantially clean, form that can be effectively captured and converted by optical

character recognition (OCR) scanning during the patent printing process. This practice requires applicant to provide, in addition to the clean version of a replacement paragraph/section/claim, a marked-up version using applicant's choice of a conventional marking system to indicate the changes, which will aid the examiner in identifying the changes that have been made. The marked-up version must be based on the previous version and indicate (by markings) how the previous version has been modified to produce the clean version submitted in the current amendment. The term "previous version" means the version of record in the application as originally filed or from a previously entered amendment. In addition, when presenting new or amended claims, the applicant must point out how they avoid any reference or ground rejection of record, which may be pertinent, in a remarks/arguments section.

The following format is suggested in an amendment paper: (1) a clean version of each replacement paragraph/section/claim with clear instructions for entry, (2) starting on a separate page, any remarks/arguments (37 CFR 1.111 and MPEP 714), and (3) starting on a separate page, a marked-up version entitled "*Version with markings to show changes made.*"

No change in the drawing may be made except by permission of the Office. Changes in the construction shown in any drawing may be made only by submitting new drawings. A sketch in permanent ink showing proposed changes, to become part of the record, must be filed for approval by the Office before the new drawings are filed. The paper requesting amendments to the drawing should be separate from other papers.

The original numbering of the claims must be preserved throughout the prosecution. When claims are canceled, the remaining claims must not be renumbered. When claims are added by amendment or substituted for canceled claims, they must be numbered by the applicant consecutively beginning with the number next following the highest numbered claim previously presented. When the application is ready for allowance, the examiner, if necessary, will renumber the claims consecutively in the order in which they appear or in such order as may have been requested by applicant.

TIME FOR REPLY AND ABANDONMENT

The reply of an applicant to an action by the Office must be made within a prescribed time limit. The maximum period for reply is set at six months by the statute which also provides that the Director may shorten the time for reply to not less than 30 days. The usual period for reply to an Office action is three months. A shortened time for reply may be extended up to the maximum six-month period. An extension of time fee is normally required to be paid if the reply period is extended. The amount of the fee is dependent upon the length of the extension. Extensions of time are generally not available after an application has been allowed. If no reply is received within the time period, the application is considered as abandoned and no longer pending. However, if it can be shown that the failure to prosecute was unavoidable or unintentional, the application may be revived by the Director. The revival requires a petition to the Director, and a fee for the petition, which must be filed without delay. The proper reply must also accompany the petition if it has not yet been filed.

APPEAL TO THE BOARD OF PATENT APPEALS AND INTERFERENCES AND TO THE COURTS

If the examiner persists in the rejection of any of the claims in an application, or if the rejection has been made final, the applicant may appeal to the Board of Patent Appeals and Interferences in the United States Patent and Trademark Office. The Board of Patent Appeals and Interferences consists of the Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office, the Deputy Under Secretary of Commerce for Intellectual Property and Deputy Director of the USPTO, the Commissioner for Patents, and the administrative patent judges, but normally each appeal is heard by only three members. An appeal fee is required and the applicant must file a brief to support his/her position. An oral hearing will be held if requested upon payment of the specified fee.

As an alternative to appeal, in situations where an applicant desires consideration of different claims or further evidence, a request for continued examination (RCE) or continuation application is often filed. The RCE requires a fee and a submission (reply) that continues prosecution, on filing of the RCE. The continuation application is a new application which requires a filing fee and the applicant should include the claims and evidence for which further consideration is desired. If it is filed before expiration of the period for appeal and specific reference is made therein to the earlier application, applicant will be entitled to the earlier filing date for subject matter common to both applications. A continuation application may also be filed as a Continued Prosecution Application (CPA) by submitting a request and the appropriate fee, but only if the earlier application has a filing date before May 29, 2000.

If the decision of the Board of Patent Appeals and Interferences is still adverse to the applicant, an appeal may be taken to the Court of Appeals for the Federal Circuit or a civil action may be filed against the Director in the United States District Court for the District of Columbia. The Court of Appeals for the Federal Circuit will review the record made in the Office and may affirm or reverse the Office's action. In a civil action, the applicant may present testimony in the court, and the court will make a decision.

INTERFERENCES

Occasionally two or more applications are filed by different inventors claiming substantially the same patentable invention. The patent can only be granted to one of them, and a proceeding known as an "interference" is instituted by the Office to determine who is the first inventor and entitled to the patent. About one percent of the applications filed become involved in an interference proceeding. Interference proceedings may also be instituted between an application and a patent already issued, provided that the patent has not been issued, nor the application been published, for more than one year prior to the filing of the conflicting application, and provided also that the conflicting application is not barred from being patentable for some other reason.

Each party to such a proceeding must submit evidence of facts proving when the invention was made. In view of the necessity of proving the various facts and circumstances concerning the making of the invention during an interference, inventors must be able to produce evidence to do this. If no evidence is submitted a party is restricted to the date of filing the application as his/her earliest date. The priority question is determined by a board of three administrative patent judges on the evidence submitted. From the decision of the Board of Patent Appeals and Interferences, the losing party may appeal to the Court of Appeals for the Federal Circuit or file a civil action against the winning party in the appropriate United States district court.

The terms "conception of the invention" and "reduction to practice" are encountered in connection with priority questions. Conception of the invention refers to the completion of the devising of the means for accomplishing the result. Reduction to practice refers to the actual construction of the invention in physical form: in the case of a machine it includes the actual building of the machine, in the case of an article or composition it includes the actual making of the article or composition, in the case of a process it includes the actual carrying out of the steps of the process. Actual operation, demonstration, or testing for the intended use is also usually necessary. The filing of a regular application for patent completely disclosing the invention is treated as equivalent to reduction to practice. The inventor who proves to be the first to conceive the invention and the first to reduce it to practice will be held to be the prior inventor, but more complicated situations cannot be stated this simply.

ALLOWANCE AND ISSUE OF PATENT

If, on examination of the application, or at a later stage during the reconsideration of the application, the patent application is found to be allowable, a notice of allowance will be sent to the applicant, or to applicant's attorney or agent of record, if any, and a fee for issuing the patent is due within three months from the date of the notice. If timely payment of the issue fee is not made, the application will be regarded as abandoned. See current fee schedule.

A provision is made in the statute whereby the Director may accept the fee late, when the delay is shown to be unavoidable or unintentional. When the issue fee is paid, the patent issues as soon as possible after the date of payment, dependent upon the volume of printing on hand. The patent grant then is delivered or mailed on the day of its grant, or as soon thereafter as possible, to the inventor's attorney or agent if there is one of record, otherwise directly to the inventor. On the date of the grant, the patent file becomes open to the public for applications not opened earlier by publication of the application. See 37 CFR 1.211-1.221 regarding the publication of applications. Printed copies of the specification and drawing are available on the same date.

In cases where the publication of an invention by the granting of a patent would be detrimental to the national defense, the patent law gives the Director the power to withhold the grant of the patent and to order the invention kept secret for such period of time as the national interest requires.

Patent Term Extension and Adjustment

The terms of certain patents may be subject to extension or adjustment under 35 U.S.C. 154(b). Such extension or adjustment results from certain specified types of delays which may occur while an application is pending before the Office.

Utility and plant patents which issue from original applications filed between June 8, 1995 and May 28, 2000 may be eligible for patent term extension (PTE) as set forth in 37 CFR 1.701. Such PTE may result from delays due to interference proceedings under 35 U.S.C. 135(a), secrecy orders under 35 U.S.C. 181, or successful appellate review.

Utility and plant patents which issue from original applications filed on or after May 29, 2000 may be eligible for patent term adjustment (PTA) as set forth in 37 CFR 1.702 – 1.705. There are three main bases for PTA under 35 U.S.C. 154(b). The first basis for PTA is the failure of the Office to take certain actions within specific time frames set forth in 35 U.S.C. 154(b)(1)(A) (See 37 CFR 1.702(a) and 1.703(a)). The second basis for PTA is the failure of the Office to issue a patent within three years of the actual filing date of the application as

set forth in 35 U.S.C. 154(b)(1)(B) (See 37 CFR 1.702(b) and 1.703(b)). The third basis for PTA is set forth in 35 U.S.C. 154(b)(1)(C), and includes delays due to interference proceedings under 35 U.S.C. 135(a), secrecy orders under 35 U.S.C. 181, or successful appellate review (See 37 CFR 1.702(c)-(e) and 1.703(c)-(e)).

Any PTA which has accrued in an application will be reduced by the time period during which an applicant failed to engage in reasonable efforts to conclude prosecution of the application pursuant to 35 U.S.C. 154(b)(2)(C). A non-exclusive list of activities which constitute failure to engage in reasonable efforts to conclude prosecution is set forth in 37 CFR 1.704.

An initial PTA value is printed on the notice of allowance and issue fee due, and a final PTA value is printed on the front of the patent. Any request for reconsideration of the PTA value printed on the notice of allowance and issue fee due should be made in the form of an application for patent term adjustment, which must be filed prior to or at the same time as the payment of the issue fee. (See 37 CFR 1.705.)

NATURE OF PATENT AND PATENT RIGHTS

The patent is issued in the name of the United States under the seal of the United States Patent and Trademark Office, and is either signed by the Director of the USPTO or is electronically written thereon and attested by an Office official. The patent contains a grant to the patentee, and a printed copy of the specification and drawing is annexed to the patent and forms a part of it. The grant confers "the right to exclude others from making, using, offering for sale, or selling the invention throughout the United States or importing the invention into the United States" and its territories and possessions for which the term of the patent shall be generally 20 years from the date on which the application for the patent was filed in the United States or, if the application contains a specific reference to an earlier filed application under 35 U.S.C. 120, 121 or 365(c), from the date of the earliest such application was filed, and subject to the payment of maintenance fees as provided by law.

The exact nature of the right conferred must be carefully distinguished, and the key is in the words "right to exclude" in the phrase just quoted. The patent does not grant the right to make, use, offer for sale or sell or import the invention but only grants the exclusive nature of the right. Any person is ordinarily free to make, use, offer for sale or sell or import anything he/she pleases, and a grant from the government is not necessary. The patent only grants the right to exclude others from making, using, offering for sale or selling or importing the invention. Since the patent does not grant the right to make, use, offer for sale, or sell, or import the invention, the patentee's own right to do so is dependent upon the rights of others and whatever general laws might be applicable. A patentee, merely because he/she has received a patent for an invention, is not thereby authorized to make, use, offer for sale, or sell, or import the invention if doing so would violate any law. An inventor of a new automobile who has obtained a patent thereon would not be entitled to use the patented automobile in violation of the laws of a state requiring a license, nor may a patentee sell an article, the sale of which may be forbidden by a law, merely because a patent has been obtained.

Neither may a patentee make, use, offer for sale, or sell, or import his/her own invention if doing so would infringe the prior rights of others. A patentee may not violate the federal antitrust laws, such as by resale price agreements or entering into combination in restraints of trade, or the pure food and drug laws, by virtue of having a patent. Ordinarily there is nothing that prohibits a patentee from making, using, offering for sale, or selling, or importing his/her own invention, unless he/she thereby infringes another's patent which is still in force. For example, a patent for an improvement of an original device already patented would be subject to the patent on the device.

The term of the patent shall be generally 20 years from the date on which the application for the patent was filed in the United States or, if the application contains a specific reference to an earlier filed application under 35 U.S.C. 120, 121 or 365(c), from the date of the earliest such application was filed, and subject to the payment of maintenance fees as provided by law. A maintenance fee is due 3 1/2, 7 1/2 and 11 1/2 years after the original grant for all patents issuing from the applications filed on and

after December 12, 1980. The maintenance fee must be paid at the stipulated times to maintain the patent in force. After the patent has expired anyone may make, use, offer for sale, or sell or import the invention without permission of the patentee, provided that matter covered by other unexpired patents is not used. The terms may be extended for certain pharmaceuticals and for certain circumstances as provided by law.

MAINTENANCE FEES

All utility patents that issue from applications filed on and after December 12, 1980 are subject to the payment of maintenance fees which must be paid to maintain the patent in force. These fees are due at 3 1/2, 7 1/2 and 11 1/2 years from the date the patent is granted and can be paid without a surcharge during the "window-period" which is the six-month period preceding each due date, e.g., three years to three years and six months. (See fee schedule for a list of maintenance fees.) In submitting maintenance fees and any necessary surcharges, identification of the patents for which maintenance fees are being paid must include the patent number, and the application number of the U.S. application for the patent on which the maintenance fee is being paid. If the payment includes identification of only the patent number, the Office may apply payment to the to the patent identified by patent number in the payment or the Office may return the payment. (See 37, Code of Federal Regulations, section 1.366(c).)

Failure to pay the current maintenance fee on time may result in expiration of the patent. A six-month grace period is provided when the maintenance fee may be paid with a surcharge. The grace period is the six-month period immediately following the due date. The USPTO does not mail notices to patent owners that maintenance fees are due. If, however, the maintenance fee is not paid on time, efforts are made to remind the responsible party that the maintenance fee may be paid during the grace period with a surcharge.

CORRECTION OF PATENTS

Once the patent is granted, it is outside the jurisdiction of the USPTO except in a few respects.

The Office may issue without charge a certificate correcting a clerical error it has made in the patent when the printed patent does not correspond to the record in the Office. These are mostly corrections of typographical errors made in printing. Some minor errors of a typographical nature made by the applicant may be corrected by a certificate of correction for which a fee is required. The patentee may disclaim one or more claims of his/her patent by filing in the Office a disclaimer as provided by the statute.

When the patent is defective in certain respects, the law provides that the patentee may apply for a reissue patent. Following an examination in which the proposed changes correcting any defects in the original patent are evaluated, a reissue patent would be granted to replace the original and is granted only for the balance of the unexpired term. However, the nature of the changes that can be made by means of the reissue are rather limited; new matter cannot be added. In a different type of proceeding, any person may file a request for reexamination of a patent, along with the required fee, on the basis of prior art consisting of patents or printed publications. At the conclusion of the reexamination proceedings, a certificate setting forth the results of the reexamination proceeding is issued.

ASSIGNMENTS AND LICENSES

A patent is personal property and may be sold to others or mortgaged; it may be bequeathed by a will; and it may pass to the heirs of a deceased patentee. The patent law provides for the transfer or sale of a patent, or of an application for patent, by an instrument in writing. Such an instrument is referred to as an assignment and may transfer the entire interest in the patent. The assignee, when the patent is assigned to him or her, becomes the owner of the patent and has the same rights that the original patentee had.

The statute also provides for the assignment of a part interest, that is, a half interest, a fourth interest, etc., in a patent. There may also be a grant that conveys the same character of interest as an assignment but only for a particularly specified part of the United States. A mortgage of patent property passes ownership thereof to the mortgagee or lender until

the mortgage has been satisfied and a retransfer from the mortgagee back to the mortgagor, the borrower, is made. A conditional assignment also passes ownership of the patent and is regarded as absolute until canceled by the parties or by the decree of a competent court.

An assignment, grant, or conveyance of any patent or application for patent should be acknowledged before a notary public or officer authorized to administer oaths or perform notarial acts. The certificate of such acknowledgment constitutes prima facie evidence of the execution of the assignment, grant, or conveyance.

Recording of Assignments

The Office records assignments, grants, and similar instruments sent to it for recording, and the recording serves as notice. If an assignment, grant, or conveyance of a patent or an interest in a patent (or an application for patent) is not recorded in the Office within three months from its date, it is void against a subsequent purchaser for a valuable consideration without notice, unless it is recorded prior to the subsequent purchase.

An instrument relating to a patent should identify the patent by number and date (the name of the inventor and title of the invention as stated in the patent should also be given). An instrument relating to an application should identify the application by its application number and date of filing, the name of the inventor, and title of the invention as stated in the application should also be given. Sometimes an assignment of an application is executed at the same time that the application is prepared and before it has been filed in the Office. Such assignment should adequately identify the application, as by its date of execution and name of the inventor and title of the invention, so that there can be no mistake as to the application intended. If an application has been assigned and the assignment is recorded, on or before the date the issue fee is paid, the patent will be issued to the assignee as owner. If the assignment is of a part interest only, the patent will be issued to the inventor and assignee as joint owners.

Joint Ownership

Patents may be owned jointly by two or more persons as in the case of a patent granted to joint inventors, or

in the case of the assignment of a part interest in a patent. Any joint owner of a patent, no matter how small the part interest, may make, use, offer for sale and sell and import the invention for his or her own profit provided they do not infringe another's patent rights, without regard to the other owners, and may sell the interest or any part of it, or grant licenses to others, without regard to the other joint owner, unless the joint owners have made a contract governing their relation to each other. It is accordingly dangerous to assign a part interest without a definite agreement between the parties as to the extent of their respective rights and their obligations to each other if the above result is to be avoided.

The owner of a patent may grant licenses to others. Since the patentee has the right to exclude others from making, using, offering for sale, or selling or importing the invention, no one else may do any of these things without his/her permission. A patent license agreement is in essence nothing more than a promise by the licensor not to sue the licensee. No particular form of license is required; a license is a contract and may include whatever provisions the parties agree upon, including the payment of royalties, etc.

The drawing up of a license agreement (as well as assignments) is within the field of an attorney at law. Such attorney should be familiar with patent matters as well. A few States have prescribed certain formalities to be observed in connection with the sale of patent rights.

INFRINGEMENT OF PATENTS

Infringement of a patent consists of the unauthorized making, using, offering for sale, or selling any patented invention within the United States or U.S. Territories, or importing into the United States of any patented invention during the term of the patent. If a patent is infringed, the patentee may sue for relief in the appropriate federal court. The patentee may ask the court for an injunction to prevent the continuation of the infringement and may also ask the court for an award of damages because of the infringement. In such an infringement suit, the defendant may raise the question of the validity of the patent, which is then decided by the court. The defendant may also aver that what is being done does not constitute infringement. Infringement is determined primarily by the language of the claims of the patent and, if

what the defendant is making does not fall within the language of any of the claims of the patent, there is no literal infringement.

Suits for infringement of patents follow the rules of procedure of the federal courts. From the decision of the district court, there is an appeal to the Court of Appeals for the Federal Circuit. The Supreme Court may thereafter take a case by writ of certiorari. If the United States Government infringes a patent, the patentee has a remedy for damages in the United States Court of Federal Claims. The government may use any patented invention without permission of the patentee, but the patentee is entitled to obtain compensation for the use by or for the government. The Office has no jurisdiction over questions relating to infringement of patents. In examining applications for patent, no determination is made as to whether the invention sought to be patented infringes any prior patent. An improvement invention may be patentable, but it might infringe a prior unexpired patent for the invention improved upon, if there is one.

PATENT MARKING AND PATENT PENDING

A patentee who makes or sells patented articles, or a person who does so for or under the patentee is required to mark the articles with the word "Patent" and the number of the patent. The penalty for failure to mark is that the patentee may not recover damages from an infringer unless the infringer was duly notified of the infringement and continued to infringe after the notice.

The marking of an article as patented when it is not in fact patented is against the law and subjects the offender to a penalty. Some persons mark articles sold with the terms "Patent Applied For" or "Patent Pending." These phrases have no legal effect, but only give information that an application for patent has been filed in the USPTO. The protection afforded by a patent does not start until the actual grant of the patent. False use of these phrases or their equivalent is prohibited.

DESIGN PATENTS

The patent laws provide for the granting of design patents to any person who has invented any new and

nonobvious ornamental design for an article of manufacture. The design patent protects only the appearance of an article, but not its structural or functional features. The proceedings relating to granting of design patents are the same as those relating to other patents with a few differences. See current fee schedule for the filing fee for a design application. A design patent has a term of 14 years from grant, and no fees are necessary to maintain a design patent in force. If on examination it is determined that an applicant is entitled to a design patent under the law, a notice of allowance will be sent to the applicant or applicant's attorney, or agent, calling for the payment of an issue fee. The drawing of the design patent conforms to the same rules as other drawings, but no reference characters are allowed and the drawing should clearly depict the appearance, since the drawing defines the scope of patent protection. The specification of a design application is short and ordinarily follows a set form. Only one claim is permitted, following a set form that refers to the drawing(s).

PLANT PATENTS

The law also provides for the granting of a patent to anyone who has invented or discovered and asexually reproduced any distinct and new variety of plant, including cultivated sports, mutants, hybrids, and newly found seedlings, other than a tuber-propagated plant or a plant found in an uncultivated state.

Asexually propagated plants are those that are reproduced by means other than from seeds, such as by the rooting of cuttings, by layering, budding, grafting, inarching, etc.

With reference to tuber-propagated plants, for which a plant patent cannot be obtained, the term "tuber" is used in its narrow horticultural sense as meaning a short, thickened portion of an underground branch. Such plants covered by the term "tuber-propagated" are the Irish potato and the Jerusalem artichoke.

An application for a plant patent consists of the same parts as other applications. The term of a plant patent shall be 20 years from the date on which the application for the patent was filed in the United States or, if the application contains a specific reference to an earlier filed application under 35

U.S.C. 120, 121 or 365(c), from the date of the earliest such application was filed.

The specification should include a complete detailed description of the plant and the characteristics thereof that distinguish the same over related known varieties, and its antecedents, expressed in botanical terms in the general form followed in standard botanical text books or publications dealing with the varieties of the kind of plant involved (evergreen tree, dahlia plant, rose plant, apple tree, etc.), rather than a mere broad non-botanical characterization such as commonly found in nursery or seed catalogs. The specification should also include the origin or parentage of the plant variety sought to be patented and must particularly point out where and in what manner the variety of plant has been asexually reproduced. The Latin name of the genus and species of the plant should be stated. Where color is a distinctive feature of the plant, the color should be positively identified in the specification by reference to a designated color as given by a recognized color dictionary. Where the plant variety originated as a newly found seedling, the specification must fully describe the conditions (cultivation, environment, etc.) under which the seedling was found growing to establish that it was not found in an uncultivated state.

A plant patent is granted on the entire plant. It therefore follows that only one claim is necessary and only one is permitted.

The oath or declaration required of the applicant in addition to the statements required for other applications must include the statement that the applicant has asexually reproduced the new plant variety. If the plant is a newly found plant, the oath or declaration must also state that the plant was found in a cultivated area.

Plant patent drawings are not mechanical drawings and should be artistically and competently executed. The drawing must disclose all the distinctive characteristics of the plant capable of visual representation. When color is a distinguishing characteristic of the new variety, the drawing must be in color. Two duplicate copies of color drawings must be submitted. All color drawings should include a one-inch margin at the top for Office markings when the patent is printed.

Specimens of the plant variety, its flower or fruit, should not be submitted unless specifically called for by the examiner.

The filing fee on each plant application and the issue fee can be found in the fee schedule. For a qualifying small entity filing and issue fees are reduced by half. Plant patent applications may be published pursuant to Title 35, United States Code, Section 122(b), but the publication is not reduced for small entities.

All inquiries relating to plant patents and pending plant patent applications should be directed to the United States Patent and Trademark Office and not to the Department of Agriculture.

The Plant Variety Protection Act (Public Law 91577), approved December 24, 1970, provides for a system of protection for sexually reproduced varieties, for which protection was not previously provided, under the administration of a Plant Variety Protection Office within the Department of Agriculture. Requests for information regarding the protection of sexually reproduced varieties should be addressed to Commissioner, Plant Variety Protection Office, Agricultural Marketing Service, National Agricultural Library Bldg., Room 0, 10301 Baltimore Blvd., Beltsville, Md. 20705-2351.

TREATIES AND FOREIGN PATENTS

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in other countries must apply for a patent in each of the other countries or in regional patent offices. Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country, in accordance with the requirements of that country.

The laws of many countries differ in various respects from the patent law of the United States. In most foreign countries, publication of the invention before the date of the application will bar the right to a patent. In most foreign countries maintenance fees are required. Most foreign countries require that the patented invention must be manufactured in that

country after a certain period, usually three years. If there is no manufacture within this period, the patent may be void in some countries, although in most countries the patent may be subject to the grant of compulsory licenses to any person who may apply for a license.

There is a treaty relating to patents which is adhered to by 140 countries, including the United States, and is known as the Paris Convention for the Protection of Industrial Property. It provides that each country guarantees to the citizens of the other countries the same rights in patent and trademark matters that it gives to its own citizens. The treaty also provides for the right of priority in the case of patents, trademarks and industrial designs (design patents). This right means that, on the basis of a regular first application filed in one of the member countries, the applicant may, within a certain period of time, apply for protection in all the other member countries. These later applications will then be regarded as if they had been filed on the same day as the first application. Thus, these later applicants will have priority over applications for the same invention that may have been filed during the same period of time by other persons. Moreover, these later applications, being based on the first application, will not be invalidated by any acts accomplished in the interval, such as, for example, publication or exploitation of the invention, the sale of copies of the design, or use of the trademark. The period of time mentioned above, within which the subsequent applications may be filed in the other countries, is 12 months in the case of first applications for patent and six months in the case of industrial designs and trademarks.

Another treaty, known as the Patent Cooperation Treaty, was negotiated at a diplomatic conference in Washington, D.C., in June of 1970. The treaty came into force on January 24, 1978, and is presently adhered to by over 90 countries, including the United States. The treaty facilitates the filing of applications for patent on the same invention in member countries by providing, among other things, for centralized filing procedures and a standardized application format.

The timely filing of an international application affords applicants an international filing date in each country which is designated in the international

application and provides (1) a search of the invention and (2) a later time period within which the national applications for patent must be filed. A number of patent attorneys specialize in obtaining patents in foreign countries.

Under U.S. law it is necessary, in the case of inventions made in the United States, to obtain a license from the Director of the USPTO before applying for a patent in a foreign country. Such a license is required if the foreign application is to be filed before an application is filed in the United States or before the expiration of six months from the filing of an application in the United States unless a filing receipt with a license grant issued earlier. The filing of an application for patent constitutes the request for a license and the granting or denial of such request is indicated in the filing receipt mailed to each applicant. After six months from the U.S. filing, a license is not required unless the invention has been ordered to be kept secret. If the invention has been ordered to be kept secret, the consent to the filing abroad must be obtained from the Director of the USPTO during the period the order of secrecy is in effect.

Foreign Applicants for U.S. Patents

The patent laws of the United States make no discrimination with respect to the citizenship of the inventor. Any inventor, regardless of his/her citizenship, may apply for a patent on the same basis as a U.S. citizen. There are, however, a number of particular points of special interest to applicants located in foreign countries.

The application for patent in the United States must be made by the inventor and the inventor must sign the oath or declaration (with certain exceptions), differing from the law in many countries where the signature of the inventor and an oath of inventorship are not necessary. If the inventor is dead, the application may be made by his/her executor or administrator, or equivalent, and in the case of mental disability it may be made by his/her legal representative (guardian).

No U.S. patent can be obtained if the invention was patented abroad before applying in the United States by the inventor or his/her legal representatives or if a foreign application was filed more than 12 months

before filing in the United States. Six months are allowed in the case of a design patent.

An application for a patent filed in the United States by any person who has previously regularly filed an application for a patent for the same invention in a foreign country which affords similar privileges to citizens of the United States shall have the same force and effect for the purpose of overcoming intervening acts of others as if filed in the United States on the date on which the application for a patent for the same invention was first filed in such foreign country. This is the case, provided the application in the United States is filed within 12 months (six months in the case of a design patent) from the earliest date on which any such foreign application was filed and claims priority under 35 U.S.C. 119(b) to the foreign application. A copy of the foreign application certified by the patent office of the country in which it was filed is required to secure this right of priority.

If any application for patent has been filed in any foreign country by the applicant or by his/her legal representatives or assigns prior to his/her application in the United States, in order to claim priority under 35 U.S.C. 119(b) to the foreign application, the applicant must, in the oath or declaration accompanying the application, state the country in which the earliest such application has been filed, giving the date of filing the application. If foreign priority is claimed, any foreign application having a filing date before that of the application on which priority is claimed must also be identified in the oath or declaration. Where no claim for foreign priority under 35 U.S.C. 119(b) is made in the U.S. application, the applicant should identify in the oath or declaration those foreign applications disclosing similar inventions filed more than a year before the filing in the United States.

An oath or alternatively a declaration must be made with respect to every application. When the applicant is in a foreign country the oath or affirmation may be before any diplomatic or consular officer of the United States, or before any officer having an official seal and authorized to administer oaths in the foreign country, whose authority shall be proved by a certificate of a diplomatic or consular officer of the United States. The oath is attested in all cases by the proper official seal of the officer before whom the oath is made.

When the oath is taken before an officer in the country foreign to the United States, all the application papers (except the drawing) must be attached together and a ribbon passed one or more times through all the sheets of the application, and the ends of the ribbons brought together under the seal before the latter is affixed and impressed, or each sheet must be impressed with the official seal of the officer before whom the oath was taken. A declaration merely requires the use of a specific averment found in 37 CFR 1.68.

If the application is filed by the legal representative (executor, administrator, etc.) of a deceased inventor, the legal representative must make the oath or declaration.

When a declaration is used, the ribboning procedure is not necessary, nor is it necessary to appear before an official in connection with the making of a declaration.

A foreign applicant may be represented by any patent attorney or agent who is registered to practice before the United States Patent and Trademark Office.

Frequently-Asked Questions about Patents

1. Q. What do the terms “patent pending” and “patent applied for” mean?

A. They are used by a manufacturer or seller of an article to inform the public that an application for patent on that article is on file in the United States Patent and Trademark Office. The law imposes a fine on those who use these terms falsely to deceive the public.

2. Q. Is there any danger that the USPTO will give others information contained in my application while it is pending?

A. Most patent applications filed on or after November 29, 2000, will be published 18 months after the filing date of the application, or any earlier filing date relied upon under Title 35, United States Code. Otherwise, all patent applications are maintained in the strictest confidence until the patent is issued or the application is published. After the application has been published, however, a member of the public may request a copy of the application file. After the patent is issued, the Office file containing the application and all correspondence leading up to issuance of the patent is made available in the Files Information Unit for inspection by anyone, and copies of these files may be purchased from the Office.

3. Q. May I write to the USPTO directly about my application after it is filed?

A. The Office will answer an applicant's inquiries as to the status of the application, and inform you whether your application has been rejected, allowed, or is awaiting action. However, if you have a patent attorney or agent of record in the application file the Office will not correspond with both you and the attorney/agent concerning the merits of your application. All comments concerning your application should be forwarded through your attorney or agent.

4. Q. Is it necessary to go to the USPTO to transact business concerning patent matters?

A. No. Most business with the Office is conducted by written correspondence. Interviews regarding pending applications can be arranged with examiners if necessary and are often helpful.

5. Q. If two or more persons work together to make an invention, to whom will the patent be granted?

A. If each had a share in the ideas forming the invention as defined in the claims – even if only as to one claim, they are joint inventors and a patent will be issued to them jointly on the basis of a proper patent application. If, on the other hand, one of these persons has provided all of the ideas of the invention, and the other has only followed instructions in making it, the person who contributed the ideas is the sole inventor and the patent application and patent shall be in his/her name alone.

6. Q. If a first person furnishes all of the ideas to make an invention and a second person employs the first person or furnishes the money for building and testing the invention, should the patent application be filed by the first and second persons jointly?

A. No. The application must be signed by the true inventor, and filed in the USPTO, in the inventor's name. This is the person who furnishes the ideas (e.g. the first person in the above fact pattern), not the employer or the person who furnishes the money.

7. Q. Does the USPTO control the fees charged by patent attorneys and agents for their services?

A. No. This is a matter between you and your patent attorney or agent in which the Office takes no part. To avoid misunderstanding you may wish to ask for estimate charges for: (a) the search (b) preparation of the patent application, and (c) USPTO prosecution.

8. Q. Will the USPTO help me to select a patent attorney or agent to make my patent search or to prepare and prosecute my patent application?

A. No. The Office cannot make this choice for you. However, your own friends or general attorney may help you in making a selection from among those listed as registered practitioners on the Office roster. Also, some bar associations operate lawyer referral services that maintain lists of patent lawyers available to accept new clients.

9. Q. Will the USPTO advise me as to whether a certain patent promotion organization is reliable and trustworthy?

A. No. The Office has no control over such organizations. The Office will publish complaints regarding invention promoters and replies from the invention promoters. The Office will not undertake any investigation of the invention promoters. Questions or complaints should be directed to the Office of Independent Inventor Programs, United States Patent and Trademark Office, Washington, D.C. 20231 or call at (703) 306-5568.

It is advisable, however, to check on the reputation of invention promotion firms before making any commitments. It is suggested that you obtain this information from the Better Business Bureau of the city in which the organization is located, or from the bureau of commerce and industry or bureau of consumer affairs of the state in which the organization has its place of business. You may also undertake to make sure that you are dealing with reliable people by asking your own patent attorney or agent or by asking others who may know them.

10. Q. Are there any organizations in my area which can tell me how and where I may be able to obtain assistance in developing and marketing my invention?

A. Yes. In your own or neighboring communities you may inquire of such organizations as chambers of commerce and banks. Many communities have locally financed industrial development organizations, that can help you locate manufacturers and individuals who might be interested in promoting your idea.

11. Q. Are there any state government agencies that can help me in developing and marketing of my invention?

A. Yes. In nearly all states there are state planning and development agencies or departments of commerce and industry which seek new product and new process ideas to assist manufacturers and communities in the state. If you do not know the names or addresses of your state organizations you can obtain this information by writing to the governor of your state.

12. Q. Can the USPTO assist me in the developing and marketing of my patent?

A. No. The Office cannot act or advise concerning the business transactions or arrangements that are involved in the development and marketing of an invention. The Office, however, will publish for a fee, at the request of a patent owner, a notice in the *Official Gazette* that the patent is available for licensing or sale. In addition, the Office of Independent Inventor Programs (OIIP) was established in March 1999 in order to meet the special needs of independent inventors. The OIIP establishes new mechanisms to better disseminate information about the patent and trademark processes and to foster regular communication between the USPTO and independent inventors.

Basic Facts About TRADEMARKS

United States Patent and Trademark Office
2900 Crystal Drive
Arlington, Virginia 22202-3513

This booklet explains how to register a trademark. For more information and to apply for trademark registration, please go to the United States Patent and Trademark Office (USPTO) web site, at <http://www.uspto.gov>.

Basic Facts About Trademarks

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United States Patent and Trademark Office Homepage

Patent and Trademark Depository Libraries (PTDL)

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TRADEMARK, COPYRIGHT OR PATENT?

What is a trademark or service mark?

- A *trademark* is a word, phrase, symbol or design, or a combination of words, phrases, symbols or designs, that identifies and distinguishes the source of the goods of one party from those of others.
- A *service mark* is the same as a trademark, except that it identifies and distinguishes the source of a service rather than a product. Throughout this booklet, the terms "trademark" and "mark" refer to both trademarks and service marks.

Do Trademarks, Copyrights and Patents protect the same things?

No. Trademarks, copyrights and patents all differ. A copyright protects an original artistic or literary work; a patent protects an invention. For copyright information, go to <http://lcweb.loc.gov/copyright/>. For patent information, go to <http://www.uspto.gov>.

SHOULD I REGISTER MY MARK?

Is registration of my mark required?

No. You can establish rights in a mark based on legitimate use of the mark. However, owning a federal trademark registration on the Principal Register provides several advantages, e.g.,

- constructive notice to the public of the registrant's claim of ownership of the mark;
- a legal presumption of the registrant's ownership of the mark and the registrant's exclusive right to use the mark nationwide on or in connection with the goods and/or services listed in the registration;
- the ability to bring an action concerning the mark in federal court;
- the use of the U.S registration as a basis to obtain registration in foreign countries; and

- the ability to file the U.S. registration with the U.S. Customs Service to prevent importation of infringing foreign goods.

When can I use the trademark symbols TM, SM and ®?

Any time you claim rights in a mark, you may use the "TM" (trademark) or "SM" (service mark) designation to alert the public to your claim, regardless of whether you have filed an application with the USPTO. However, you may use the federal registration symbol "®" *only* after the USPTO actually *registers a mark*, and *not* while an application is pending. Also, you may use the registration symbol with the mark only on or in connection with the goods and/or services listed in the federal trademark registration.

WHAT DOES THE USPTO DO?

The United States Patent and Trademark Office (USPTO) reviews trademark applications for federal registration and determines whether an applicant meets the requirements for federal registration. We do not decide whether you have the right to use a mark (which differs from the right to register). Even without a registration, you may still use any mark adopted to identify the source of your goods and/or services. Once a registration issues, it is up to the owner of a mark to enforce its rights in the mark based on ownership of a federal registration.

USPTO employees will gladly answer questions about the application process. However, USPTO employees cannot:

- conduct trademark searches for the public;
- comment on the validity of registered marks;
- answer questions on whether a particular mark or type of mark is eligible for trademark registration; or
- offer legal advice or opinions about common law trademark rights, state registrations, or trademark infringement claims.

HOW DO I FILE A TRADEMARK APPLICATION?

Is there a form for filing my application?

Yes. Using the Trademark Electronic Application System (TEAS) available at <http://www.uspto.gov>, you can file your application directly over the Internet. Features of electronic filing include:

- *On-line Help.* Hyper-links provide help sections for each of the application fields.
- *Validation Function.* Helps avoid the possible omission of important information.
- *Immediate Reply.* The USPTO immediately issues an initial filing receipt via e-mail containing the assigned application serial number and a summary of the submission.
- *24 Hour Availability.* TEAS is available 24 hours a day, 7 days a week (except 11 p.m. Saturday to 6 a.m. Sunday), so receipt of a filing date is possible up until midnight EST.

If you do not have Internet access, you can access TEAS at any Patent and Trademark Depository Library (PTDL) throughout the United States. *See pp. 13-14 for a listing of locations and phone numbers.* Many public libraries also provide Internet access.

Are there other ways to file besides the Internet?

Yes. While we greatly prefer that you file electronically using TEAS, you may either mail or hand deliver a paper application to the USPTO. You can call the USPTO's automated telephone line, at (703) 308-9000 or (800) 786-9199 to obtain a printed form. *You may NOT submit an application by facsimile.* Our mailing address to file a new application is:

Commissioner for Trademarks
Box-New App-Fee
2900 Crystal Drive
Arlington, VA 22202-3513

Must I hire an attorney?

No. However, if you prepare and submit your own application, you must comply with all requirements of the trademark statute and rules. If you choose to appoint an attorney to represent your interests before the USPTO, we will correspond only with your attorney. The USPTO cannot help you select an attorney.

WHAT MUST THE APPLICATION INCLUDE?

An application must include the following elements before the USPTO will accept it:

- the name of the applicant;
- a name and address for correspondence;
- a clear drawing of the mark;
- a listing of the goods or services; and
- the filing fee for at least one class of goods or services.

If your application does not meet these requirements, the USPTO will return the application papers and refund any fees submitted.

If you file a paper application, and it meets the minimum filing requirements, the USPTO will assign a serial number and send a filing receipt. You should review this receipt for accuracy, and notify the USPTO of any errors, following the directions on the receipt.

An electronically-filed application must include the same information to receive a filing date. However, at the time of filing, an e-mail summary, including a serial number, is sent. No paper filing receipt is generated. If through later review the USPTO determines that the application did not include the required information, we will cancel the serial number and filing date, return the application, and refund the filing fee.

If you transmit your application over the Internet, the filing date is the date the transmission reaches the USPTO server. If you mail your application using "Express Mail," the filing date is the date of deposit of the application with the U.S. Postal Service.

Otherwise, the filing date of an application is the date the USPTO receives the application.

NOTE: Receiving a filing date does not mean that you have satisfied ALL registration requirements. To obtain a registration, you must comply with all application requirements, and overcome any refusal(s) issued by the examining attorney during examination.

Although only the minimum filing requirements *must* appear in your initial application to receive a filing date, submitting *all* available information requested in the application form will help reduce delays in processing your application. *See* below for more information about these requirements.

NAME OF THE APPLICANT

The application must be filed *in the name of the owner of the mark*. The owner of the mark is the person or entity who controls the nature and quality of the goods identified by the mark and/or the services rendered in connection with the mark. The owner may be an individual, corporation, partnership, or other type of legal entity.

Do I have to be a U.S. citizen to apply?

No. However, if you do not reside in the United States, you must appoint a "domestic representative" as part of the application process (*see below*).

NAME AND ADDRESS FOR CORRESPONDENCE

The name and address for correspondence is the address where the USPTO will send communications concerning the application. It may be that of the applicant or the applicant's legal representative. Also, an applicant residing outside the United States must list a domestic representative, that is, the name and address of any person residing in the U.S. "upon whom notices or process may be served for proceedings affecting the mark."

You must keep your mailing address up-to-date with the USPTO. If your address changes at any time during the application process, you must request *in writing* that we change the address. Please include at the top of the request a "heading" listing the applicant's name, mark, and the application serial number. Mail the change of address to:

Commissioner for Trademarks

2900 Crystal Drive
Arlington, VA 22202-3513

DEPICTION OF THE MARK ("THE DRAWING")

Every application must include *a clear drawing of the mark* you want to register. We use the drawing to file the mark in the USPTO search records and to print the mark in the *Official Gazette* and on the registration certificate.

TEAS (Trademark Electronic Application System) generates a proper drawing for you, based on the information you entered. If you are preparing the drawing page yourself, use white, non-shiny paper that is 8 1/2 inches wide by 11 inches long (21.59 cm by 27.94 cm), and include the following elements in a "heading":

- applicant's name;
- correspondence address;
- listing of goods and/or services; and
- dates of use (if already using the mark in commerce); or, wording "Intent to Use."

The representation of the mark must then appear below the heading, in the middle of the page, in the proper format for either a "typed" drawing or a "stylized or special form" drawing. *Once filed, you cannot make a material change to your mark.*

What is a "typed" drawing?

To apply to register a mark comprised of word(s), letter(s), and/or number(s), with no particular stylization or design element included in the mark, you should select the "typed" drawing format.

For this format, the mark must be typed in all capital letters, as in the following example:

NOTE: Actual size would be 8 1/2" x 11" (21.6 cm x 27.9 cm).

Applicant's Name: A-OK Software Development Group

Correspondence Address: 100 Main Street, Any Town, MO 12345

Goods and Services: Computer services, namely on-line magazine in the field of business management

Date of First Use: January 15, 1995

Date of First Use in Commerce: May 15, 1995

The Mark:

THEORYTEC

What is a "Stylized or Special Form" drawing?

If the particular style of lettering is important or the mark includes a design or logo, you must select the "stylized or special form" drawing format. The drawing page should show a black and white image of the mark, no larger than 4 inches by 4 inches (10.16 cm by 10.16 cm). The drawing in special form must be a substantially exact representation of the mark as it appears on the specimen or on the foreign registration, as appropriate.

Do not submit a drawing with color or gray shading, even if the mark is used in color; instead, specify any

color designations in a description of the mark within the body of the application, not on the drawing page (e.g., "The mark consists of a bird with a blue body and red wings"). Also, do not submit a drawing that combines typed matter and special form.

The following is an example of a proper special form drawing:

NOTE: Actual size would be 8 1/2" x 11" (21.6 cm x 27.9 cm), with an image no larger than 4 x 4 inches (10.16 cm by 10.16 cm).

Applicant's Name: Pinstripes, Inc.

Applicant's Address: 100 Main Street, Any Town, MO 12345

Goods and Services: Clothing, namely baseball caps and t-shirts

Date of First Use: Intent-to-Use Application

Date of First Use in Commerce: Intent-to-Use Application

The Mark:



PINSTripES

GOODS AND/OR SERVICES

You must list the specific goods/services for which registration is sought, *regardless* of the basis for the application. For information on "basis," *see below*.

- *If based on use in commerce*, you must already be using the mark in commerce on or in connection with *all* the goods and/or services listed.
- *If based on intent to use and/or a foreign application or registration*, you must have a bona fide intention to use the mark in commerce on or in connection with *all* the listed goods and/or services.

When specifying the goods and/or services, use clear, concise terms, *i.e.*, common commercial names and language that the general public easily understands. If you fail to list any recognizable goods or services, we will return your application and refund your fee.

Please note that the terms in the classification listing of goods and services in the "INTERNATIONAL SCHEDULE OF CLASSES OF GOODS AND SERVICES" (pp. 15-17) are generally too broad and should *not* be used alone as an identification. Also, an international class number alone is never an acceptable listing. For a listing of acceptable wording for goods and services, *see* the USPTO's *Acceptable Identification of Goods and Services Manual*, at <http://www.uspto.gov>.

Can I change the goods and/or services after filing my application?

You can clarify or limit the goods and/or services. However, you may not expand or broaden the identification of goods and/or services after filing the application.

APPLICATION FILING FEE

The filing fee for a trademark application is \$325 *per class* of goods/services. For a listing of classes, *see* pp. 15-17. Fee increases, when necessary, usually take effect on October 1 of any given year. Please call 1-800-PTO-9199 for up-to-date fee information.

The filing fee must be paid in United States currency. The USPTO accepts payment by credit card, check or money order, or through an existing USPTO

deposit account. Personal, business and certified checks are accepted and should be made payable to "Director of the USPTO." A form for authorizing charges to a credit card can be accessed through all TEAS forms. If you are filing on paper, you can download the form for authorizing credit card charges from the USPTO website at <http://www.uspto.gov>. For a complete listing of all trademark fees, *see* p. 18. **NOTE:** *If the application meets the minimum filing requirements and is given a filing date (see p. 2), the application filing fee cannot be refunded.*

BASIS FOR FILING

The application should include your "basis" for filing. Most applicants base their application on their *current use* of the mark *in commerce*, or their *intent to use* their mark in commerce in the future.

What is "use in commerce"?

For the purpose of obtaining federal registration, "commerce" means all commerce that the U.S. Congress may lawfully regulate; for example, interstate commerce or commerce between the U.S. and another country. "Use in commerce" must be a bona fide use of the mark in the ordinary course of trade, and not use simply made to reserve rights in the mark. Generally, acceptable use is as follows:

For goods: the mark must appear on the goods, the container for the goods, or displays associated with the goods, and the goods must be sold or transported in commerce.

For services: the mark must be used or displayed in the sale or advertising of the services, and the services must be rendered in commerce.

If you have already started using the mark in commerce, you may file based on that use. A "use" based application must include a sworn statement (usually in the form of a declaration) that the mark is in use in commerce, listing the date of first use of the mark anywhere and the date of first use of the mark in commerce. A properly worded declaration is included in the USPTO standard application form. The applicant or a person authorized to sign on behalf of the applicant (*see* p. 7) must sign the statement. The application should include a specimen showing use of the mark in commerce (*see* p. 6).

What is "intent to use"?

If you have not yet used the mark, but plan to do so in the future, you may file based on a good faith or bona fide intention to use the mark in commerce. *You do not have to use the mark before you file your application.*

An "intent to use" application must include a sworn statement (usually in the form of a declaration) that you have a bona fide intention to use the mark in commerce. A properly worded declaration is included in the USPTO standard application form. The applicant or a person authorized to sign on behalf of the applicant (*see p. 7*) must sign the statement.

NOTE: If you file based on intent to use, you must begin actual use of the mark in commerce before the USPTO will register the mark; that is, after filing an application based on "intent to use," you must later file another form ("Allegation of Use") to establish that use has begun. See "Additional Requirements for 'Intent to Use' Applications" for more information (p. 9).

Is there any other possible filing basis?

Yes. Although not as common, you may base your application on *international agreements*. Under certain international agreements, if you qualify, you may file in the U.S. based on a foreign application or on a registration in your country of origin.

SPECIMEN***What is a "specimen" of use?***

A specimen is *an actual example* of how you are using the mark in commerce on or in connection with the identified goods and/or services. This is not the same as the drawing of the mark, which merely represents what you are claiming as the mark (*see p. 3* for information about the drawing).

What is a proper specimen for use of a mark on goods (products)?

Normally, a specimen for a mark used on goods shows the mark on the actual goods or packaging for the goods. You may submit a tag or label for the goods; a container for the goods; a display associated with the goods; or a photograph of the goods that

shows use of the mark on the goods. Do *not* submit the actual product.

Invoices, announcements, order forms, bills of lading, leaflets, brochures, publicity releases, letterhead and business cards generally are NOT acceptable specimens for goods.

What is a proper specimen for use of a mark with services?

A specimen for a mark used in connection with services must show the mark used in the sale or advertising for the services. You may submit a sign; a brochure about the services; an advertisement for the services; a business card or stationery showing the mark in connection with the services; or a photograph showing the mark as used in rendering or advertising the services. There must be some reference to the type of services rendered on the specimen, *i.e.*, not just a display of the mark itself. For example, if the mark sought to be registered is "XYZ," a business card that only shows the mark "XYZ" would not be acceptable. A business card that states "XYZ REAL ESTATE SERVICES" would be acceptable.

How do I file the specimen?

If filing electronically, you must attach an image of your specimen in .gif or .jpg format. In order to show the context in which the mark is used, the image should include as much of the label or advertisement as possible.

If filing a paper application, the specimen submitted with the application must be flat and no larger than 8 1/2 by 11 inches. If you submit a larger specimen, the USPTO will create a facsimile of the specimen, insert it in the application file wrapper, and destroy the original submission. However, specimens consisting of videotapes, audiotapes, CDs or computer diskettes are acceptable for marks, such as sound marks, that cannot be used any other way.

When do I file the specimen?

- *For an application based on "use":* If you are using the mark in commerce and you file based on that use, you should submit one specimen for each class of goods/services listed in the original application.

- *For an application based on "intent to use":* You must submit one specimen for each class of goods/services when filing the "Allegation of Use." See section "Additional Requirements for 'Intent to Use' Applications" (p. 9).
- *For an application based solely on a foreign application or registration:* No specimen is required.

SIGNATURE

Who can sign the application?

A person who is properly authorized to sign a verification on behalf of the applicant is:

- a person with legal authority to bind the applicant; or
- a person with firsthand knowledge of the facts and actual or implied authority to act on behalf of the applicant; or
- an attorney as defined in 37 C.F.R. §10.1(c) who has an actual or implied written or verbal power of attorney from the applicant.

How do I sign a TEAS application?

In a TEAS application, you do not apply a conventional signature. Instead, you enter a "symbol" that you have adopted as a signature. The USPTO will accept *any* combination of letters, numbers, spaces and/or punctuation marks placed between two forward slash ("/") symbols. Examples of acceptable signatures for TEAS applications include */john doe/, /drl/, and /544-4925/*.

WHAT HAPPENS AFTER I FILE MY APPLICATION?

LEGAL AND PROCEDURAL REVIEW OF APPLICATION

After the USPTO determines that you have met the minimum filing requirements (*see* p. 2), the application is forwarded to an examining attorney. This may take a number of months. The examining

attorney reviews the application to determine whether it complies with all applicable rules and statutes and includes all required fees. Federal registration of trademarks is governed by the Trademark Act of 1946, 15 U.S.C. §1051 *et seq.*, and the Trademark Rules of Practice, 37 C.F.R. Part 2.

A complete examination includes a search for conflicting marks, and an examination of the written application, the drawing, and any specimen.

If the examining attorney decides that a mark should not be registered, the examining attorney will issue a letter (Office action) explaining any substantive reasons for refusal, and any technical or procedural deficiencies in the application. If only minor corrections are required, the examining attorney may contact the applicant by telephone or e-mail (if the applicant has authorized communication by e-mail). If the examining attorney sends an Office action, the applicant's response to the Office action *must be received in the Office* within six months of the mailing date of the Office action, or the application will be declared "abandoned."

If the applicant's response does not overcome all objections, the examining attorney will issue a final refusal. To attempt to overcome a final refusal, the applicant may, for an additional fee, appeal to the Trademark Trial and Appeal Board, an administrative tribunal within the USPTO.

Does the examining attorney search for conflicting marks?

Yes. After an application is filed, the assigned examining attorney will search the USPTO records to determine if a conflict, *i.e.*, a likelihood of confusion, exists between the mark in the application and another mark that is registered or pending in the USPTO. *The USPTO will not provide any preliminary search for conflicting marks* before an applicant files an application. The principal factors considered by the examining attorney in determining whether there would be a likelihood of confusion are:

- the similarity of the marks; and
- the commercial relationship between the goods and/or services listed in the application.

To find a conflict, the marks do *not* have to be identical, and the goods and/or services do not have

to be the same. It may be enough that the marks are *similar* and the goods and/or services *related*.

If a conflict exists between your mark and a registered mark, the examining attorney will refuse registration on the ground of likelihood of confusion. If a conflict exists between your mark and a mark in a pending application that was filed before your application, the examining attorney will notify you of the potential conflict. If the earlier-filed application registers, the Examining Attorney will refuse registration of your mark on the ground of likelihood of confusion.

Can I search for conflicting marks before filing?

Yes. You *should* search the USPTO records before filing your application to determine if any party is already claiming rights in a particular mark. You may conduct a search on-line at <http://tess.uspto.gov>, or by visiting the USPTO Trademark Public Search Library at 2900 Crystal Drive, 2nd Floor, Arlington, Virginia. The library is open 8:00 a.m. - 5:00 p.m., Monday through Friday except federal holidays. Both on-line searching and use of the Public Search Library are free.

Additionally, registered and pending trademarks may be searched at a Patent and Trademark Depository Library (PTDL). PTDLs are located throughout the U.S. *See* pp. 13-14 for a listing of their locations, or <http://www.uspto.gov>. Private trademark search firms will conduct a search for a fee. A listing of search firms can be found in the Yellow Pages of local phone directories or through an Internet search. *The USPTO cannot assist you in selecting a search firm.*

You can check the status of any pending application or registration through the Trademark Application and Registration Retrieval (TARR) database, available on-line at <http://www.uspto.gov>, or by calling the Trademark Status Line at (703) 305-8747.

Are there other reasons the examining attorney might refuse my mark?

Yes. In addition to likelihood of confusion (discussed above), an examining attorney will refuse registration if the mark is:

- primarily merely descriptive or deceptively misdescriptive of the goods/services;

- primarily geographically descriptive or primarily geographically deceptively misdescriptive of the goods/services;
- primarily merely a surname; or
- ornamental.

This is *not* a complete list of all possible grounds of refusal. *See* Chapter 1200 of the *Trademark Manual of Examining Procedure* (TMPEP), available at www.uspto.gov, for a complete discussion of the grounds for refusal of registration of a mark.

PUBLICATION FOR OPPOSITION

If the examining attorney raises no objections to registration, or if the applicant overcomes all objections, the examining attorney will approve the mark for publication in the *Official Gazette*, a weekly publication of the USPTO.

The USPTO will send a NOTICE OF PUBLICATION to the applicant stating the date of publication. Any party who believes it may be damaged by registration of the mark has thirty (30) days from the publication date to file either an opposition to registration or a request to extend the time to oppose. An opposition is similar to a proceeding in a federal court, but is held before the Trademark Trial and Appeal Board, a USPTO administrative tribunal. If no opposition is filed or if the opposition is unsuccessful, the application enters the next stage of the registration process. A Certificate of Registration will issue for applications based on use, or a Notice of Allowance will issue for intent-to-use applications.

CERTIFICATE OF REGISTRATION OR NOTICE OF ALLOWANCE

If the mark is published based upon the actual use of the mark in commerce, or on a foreign registration, and no party files an opposition or request to extend the time to oppose, the USPTO will normally register the mark and issue a registration certificate about twelve (12) weeks after the date the mark was published.

If the mark is published based upon the applicant's bona fide intention to use the mark in commerce, the USPTO will issue a NOTICE OF ALLOWANCE about twelve (12) weeks after the date the mark was

published, if no party files either an opposition or request to extend the time to oppose. The applicant then has six (6) months from the date of the NOTICE OF ALLOWANCE to either:

- use the mark in commerce and submit a STATEMENT OF USE; or
- request a six-month EXTENSION OF TIME TO FILE A STATEMENT OF USE.

Both forms are available at <http://www.uspto.gov>. See "Additional Requirements for 'Intent to Use' Applications," below. If the STATEMENT OF USE is filed and approved, the USPTO will issue the registration certificate.

ADDITIONAL REQUIREMENTS FOR "INTENT TO USE" APPLICATIONS

Before the USPTO will register a mark that is based upon a bona fide intention to use the mark in commerce, the owner must:

- use the mark in commerce; and
- file an Allegation of Use.

What is an Allegation of Use?

An *Allegation of Use* is a sworn statement signed by the applicant or a person authorized to sign on behalf of the applicant (*see p.7 regarding signature*) attesting to use of the mark in commerce. With the Allegation of Use, the owner must submit:

- a filing fee of \$100 per class of goods/services; and
- one specimen showing use of the mark in commerce for each class of goods/services.

A form for filing the allegation of use is available at <http://www.uspto.gov>.

When do I file an Allegation of Use?

You may file the Allegation of Use *only*

- on or before the day the examining attorney

approves the mark for publication in the *Official Gazette* (an Allegation of Use filed before the mark is approved for publication is called an *Amendment to Allege Use*); or

- on or after the day the USPTO issues the Notice of Allowance (an Allegation of Use filed after the Notice of Allowance is issued is called a Statement of Use).

The Amendment to Allege Use and the Statement of Use include the same information, and differ only as to the time when they are filed. If you file an Allegation of Use between the period *after* the mark is approved for publication but *before* the Notice of Allowance is issued, the USPTO will return it.

Is there a deadline for filing the Statement of Use after the Notice of Allowance issues?

Yes. Once the USPTO issues the Notice of Allowance, you have six (6) months to file the Statement of Use. The six-month period runs from the date the USPTO issues the Notice of Allowance, not the date you receive it. *If you have not used the mark in commerce, you must file a Request for an Extension of Time to File a Statement of Use* (Extension Request) before the end of the six-month period, or the application will be declared "abandoned."

What is a Request for an Extension of Time to file a Statement of Use?

An Extension Request is a sworn statement signed by the owner or a person authorized to sign on behalf of the owner (*see p. 7 regarding signature*), stating that the applicant still has a bona fide intention to use the mark in commerce, and needs additional time to use the mark in commerce. A filing fee of \$150 per class of goods/services must accompany the Extension Request. The form for filing the Extension Request is available at <http://www.uspto.gov>.

The Extension Request, if granted, gives the owner an additional six (6) months to either:

- use the mark in commerce and file a Statement of Use; or
- file another Extension Request.

You may continue to file Extension Requests every six (6) months. However, you must use the mark and file a Statement of Use within three (3) years of the

date the Notice of Allowance issues. *The USPTO will not register a mark if, after thirty-six (36) months from the mailing date of the Notice of Allowance, no Statement of Use has been filed.*

MAINTAINING A FEDERAL TRADEMARK REGISTRATION

Rights in a federally-registered trademark can last indefinitely if the owner continues to use the mark on or in connection with the goods and/or services in the registration and files all necessary documentation in the USPTO at the appropriate times. In general, the owner of a registration must periodically file:

- Affidavits of Continued Use or Excusable Nonuse under 15 U.S.C. §1058; and
- Applications for Renewal under 15 U.S.C. §1059.

Forms for filing these documents are available at <http://www.uspto.gov>. For further information on maintaining a federal trademark registration, please contact the Post Registration Division at (703) 308-9500.

USPTO CONTACTS FOR MORE INFORMATION

Below is a listing of various USPTO divisions' telephone and facsimile numbers. For general information about federal trademark registrations, or inquiries pertaining to a specific trademark application or registration, visit the USPTO web site at <http://www.uspto.gov>.

<i>Division</i>	<i>Phone</i>	<i>Fax</i>
Assignment Division <i>For recording assignments</i>	(703) 308-9723	(703) 308-7124
Certification Division <i>For certified copies of registrations</i>	(703) 308-9726	(703) 308-7048
Copy Sales Department <i>For copies of files and registrations</i>	(703) 305-8716	(703) 308-8759
Government Printing Office <i>For copies of the Official Gazette and other USPTO publications</i>	(202) 512-1800	(202) 512-2250
Intent to Use/Divisional Unit <i>For filing Statements of Use, Extension Requests and Requests to Divide Applications</i>	(703) 308-9550	(703) 308-7196
Office of the Commissioner for Trademarks <i>For filing petitions to the Commissioner</i>	(703) 308-8900	(703) 308-7220
Post Registration Division <i>For filing post registration documents</i>	(703) 308-9500	(703) 308-7178
Publication and Issue Division <i>For original certificate of registration</i>	(703) 308-9401	(703) 305-4100
Trademark Assistance Center <i>For general trademark information and printed application forms</i>	(703) 308-9000	(703) 308-7016
Trademark Trial and Appeal Board <i>For filing notices of opposition and petitions to cancel registrations</i>	(703) 308-9300	(703) 308-9333

OTHER TRADEMARK RESOURCES

United States Patent and Trademark Office Homepage <http://www.uspto.gov>

The USPTO web site is an invaluable resource for filing trademark applications, searching the trademark database (TESS), obtaining information on the status of trademark applications and registrations (TARR), and learning about the trademark application process and changes and developments at the USPTO.

Patent and Trademark Depository Libraries (PTDL)

PTDLs are libraries designated throughout the United States to receive patent and trademark information from the USPTO. While the references and resources available may vary at each library, all PTDLs maintain some collections of current and earlier-issued patents and trademarks and USPTO reference materials and provide direct, computerized access to USPTO data. For a complete list of PTDLs, *see* pp. 13-14.

PATENT AND TRADEMARK DEPOSITORY LIBRARIES

ALABAMA	Auburn: Ralph Brown Draughon Library, Auburn University	.334 844-1737
	Birmingham: Birmingham Public Library	.205 226-3620
ALASKA	Anchorage: Z. J. Loussac Public Library, Anchorage Municipal Libraries	.907 562-7323
ARIZONA	Tempe: Noble Science & Engineering Library, Arizona State University	.480 965-7010
ARKANSAS	Little Rock: Arkansas State Library	.501 682-2053
CALIFORNIA	Los Angeles: Los Angeles Public Library	.213 228-7220
	Sacramento: California State Library	.916 654-0069
	San Diego: San Diego Public Library	.619 236-5813
	San Francisco: San Francisco Public Library	.415 557-4500
	Sunnyvale: Sunnyvale Center for Innovation, Invention & Ideas	.408 730-7290
COLORADO	Denver: Denver Public Library	.303 640-6220
CONNECTICUT	Hartford: Hartford Public Library	.860 543-8628
	New Haven: New Haven Free Public Library	.203 946-7452
DELAWARE	Newark: University of Delaware Library	.302 831-2965
WASHINGTON, D.C.	Washington: Founders Library, Howard University	.202 806-7252
FLORIDA	Fort Lauderdale: Broward County Main Library	.954 357-7444
	Miami: Miami-Dade Public Library	.305 375-2665
	Orlando: University of Central Florida Libraries	.407 823-2562
	Tampa: Tampa Campus Library, University of South Florida	.813 974-2726
GEORGIA	Atlanta: Library & Information Center, Georgia Institute of Technology	.404 894-4508
HAWAII	Honolulu: Hawaii State Library	.808 586-3477
IDAHO	Moscow: University of Idaho Library	.208 885-6235
ILLINOIS	Chicago: Chicago Public Library	.312 747-4450
	Springfield: Illinois State Library	.217 782-5659
INDIANA	Indianapolis: Indianapolis-Marion County Public Library	.317 269-1741
	West Lafayette: Siegesmund Engineering Library, Purdue University	.765 494-2872
IOWA	Des Moines: State Library of Iowa	.515 242-6541
KANSAS	Wichita: Ablah Library, Wichita State University	.316 978-3155
KENTUCKY	Louisville: Louisville Free Public Library	.502 574-1611
LOUISIANA	Baton Rouge: Troy H. Middleton Library, Louisiana State University	.225 388-8875
MAINE	Orono: Raymond H. Fogler Library, University of Maine	.207 581-1678
MARYLAND	College Park: Engineering and Physical Sciences Library, U. of Maryland	.301 405-9157
MASSACHUSETTS	Amherst: Physical Sciences and Engineering Library, U. of Mass	.413 545-1370
	Boston: Boston Public Library	.617 536-5400, Ext. 2265
MICHIGAN	Ann Arbor: Media Union Library, The University of Michigan	.734 647-5735
	Big Rapids: Abigail S. Timme Library, Ferris State University	.231 591-3602
	Detroit: Great Lakes Patent & Trademark Center, Detroit Public Library	.313 833-3379
MINNESOTA	Minneapolis: Minneapolis Public Library & Information Center	.612 630-6120
MISSISSIPPI	Jackson: Mississippi Library Commission	.601 961-4111
MISSOURI	Kansas City: Linda Hall Library	.816 363-4600
	St. Louis: St. Louis Public Library	.314 241-2288, Ext. 390
MONTANA	Butte: Montana Tech Library of the University of Montana	.406 496-4281
NEBRASKA	Lincoln: Engineering Library, University of Nebraska-Lincoln	.402 472-3411
NEVADA	Las Vegas: Clark County Library District	.702 733-1165
	Reno: University Library, University of Nevada - Reno	.775 784-6500, Ext. 257

NEW HAMPSHIRE	Concord: New Hampshire State Library	603 271-2239
NEW JERSEY	Newark: Newark Public Library	973 733-7779
	Piscataway: Library of Science and Medicine, Rutgers University	732 445-2895
NEW MEXICO	Albuquerque: Centennial Science and Engineering Library, The University of New Mexico	505 277-4412
NEW YORK	Albany: New York State Library	518 474-5355
	Buffalo: Buffalo and Erie County Public Library	716 858-7101
	New York: Science, Industry & Business Library, New York Public Library	212 592-7000
	Rochester: Rochester Public Library	716 428-8110
	Stony Brook: Engineering Library, SUNY at Stony Brook	631 632-7148
NORTH CAROLINA	Raleigh: D. H. Hill Library, North Carolina State University	919 515-2935
NORTH DAKOTA	Grand Forks: Chester Fritz Library, University of North Dakota	701 777-4888
OHIO	Akron: Akron-Summit County Public Library	330 643-9075
	Cincinnati: The Public Library of Cincinnati and Hamilton County	513 369-6971
	Cleveland: Cleveland Public Library	216 623-2870
	Columbus: Science and Engineering Library, Ohio State University	614 292-3022
	Toledo: Toledo/Lucas County Public Library	419 259-5209
OKLAHOMA	Stillwater: Oklahoma State University	405 744-7086
OREGON	Portland: Paul L. Boley Law Library, Lewis & Clark College	503 768-6786
PENNSYLVANIA	Philadelphia: The Free Library of Philadelphia	215 686-5331
	Pittsburgh: The Carnegie Library of Pittsburgh	412 622-3138
	University Park: Paterno Library, Pennsylvania State University	814 865-6369
PUERTO RICO	Bayamon: Learning Resource Center, University of Puerto Rico	787 786-5225
	Mayagüez: General Library, Mayagüez Campus University of Puerto Rico	787 832-4040 Ext. 2022
RHODE ISLAND	Providence: Providence Public Library	401 455-8027
SOUTH CAROLINA	Clemson: R. M. Cooper Library, Clemson University	864 656-3024
SOUTH DAKOTA	Rapid City: Devereaux Library, South Dakota School of Mines and Technology	605 394-1275
TENNESSEE	Memphis: Memphis & Shelby County Public Library & Info Center	901 725-8877
	Nashville: Stevenson Science & Engineering Library, Vanderbilt Univ.	615 322-2717
TEXAS	Austin: McKinney Engineering Library, University of Texas at Austin	512 495-4500
	College Station: Sterling C. Evans Library, Texas A&M University	979 845-5745
	Dallas: Dallas Public Library	214 670-1468
	Houston: Fondren Library, Rice University	713 348-5483 Ext. 2587
	Lubbock: Texas Tech University Library	806 742-2282
UTAH	Salt Lake City: Marriott Library, University of Utah	801 581-8394
VERMONT	Burlington: Bailey/Howe Library, University of Vermont	802 656-2542
VIRGINIA	Richmond: James Branch Cabell Library, Virginia Commonwealth Univ.	804 828-1104
WASHINGTON	Seattle: Engineering Library, University of Washington	206 543-0740
WEST VIRGINIA	Morgantown: Evansdale Library, West Virginia University	304 293-4695, Ext. 5113
WISCONSIN	Madison: Kurt F. Wendt Library, University of Wisconsin-Madison	608 262-6845
	Milwaukee: Milwaukee Public Library	414 286-3051

Phone numbers and designated libraries are subject to change, please visit the USPTO web site at www.uspto.gov to verify current PTDL list information.

INTERNATIONAL SCHEDULE OF CLASSES OF GOODS AND SERVICES

Below is a listing of the current international classes of goods and services. There will be some revisions to the current international classification system, effective January 1, 2002. The changes will be posted on the USPTO Web site, at <http://www.uspto.gov>.

GOODS

1. Chemicals used in industry, science and photography, as well as in agriculture, horticulture and forestry; unprocessed artificial resins; unprocessed plastics; manures; fire extinguishing compositions; tempering and soldering preparations; chemical substances for preserving foodstuffs; tanning substances; adhesives used in industry.

2. Paints, varnishes, lacquers; preservatives against rust and against deterioration of wood; colorants; mordants; raw natural resins; metals in foil and powder form for painters, decorators, printers and artists.

3. Bleaching preparations and other substances for laundry use; cleaning, polishing, scouring and abrasive preparations; soaps; perfumery, essential oils, cosmetics, hair lotions; dentifrices.

4. Industrial oils and greases; lubricants; dust absorbing, wetting and binding compositions; fuels (including motor spirit) and illuminants; candles, wicks.

5. Pharmaceutical, veterinary, and sanitary preparations; dietetic substances adapted for medical use, food for babies; plasters, materials for dressings; material for stopping teeth, dental wax; disinfectants; preparations for destroying vermin; fungicides, herbicides.

6. Common metals and their alloys; metal building materials; transportable buildings of metal; materials of metal for railway tracks; nonelectric cables and wires of common metal; ironmongery, small items of metal hardware; pipes and tubes of metal; safes; goods of common metal not included in other classes; ores.

7. Machines and machine tools; motors and engines (except for land vehicles); machine coupling and transmission components (except for land vehicles); agricultural implements other than hand-operated; incubators for eggs.

8. Hand tools and implements (hand-operated); cutlery; side arms; razors.

9. Scientific, nautical, surveying, electric, photographic, cinematographic, optical, weighing, measuring, signalling, checking (supervision), life-saving and teaching apparatus and instruments; apparatus for recording, transmission or reproduction of sound or images; magnetic data carriers, recording discs; automatic vending machines and mechanisms for coin operated apparatus; cash registers, calculating machines, data processing equipment and computers; fire extinguishing apparatus.

10. Surgical, medical, dental, and veterinary apparatus and instruments, artificial limbs, eyes, and teeth; orthopedic articles; suture materials.

11. Apparatus for lighting, heating, steam generating, cooking, refrigerating, drying, ventilating, water supply, and sanitary purposes.

12. Vehicles; apparatus for locomotion by land, air, or water.

13. Firearms; ammunition and projectiles; explosives; fireworks.

14. Precious metals and their alloys and goods in precious metals or coated therewith, not included in other classes; jewelry, precious stones; horological and chronometric instruments.

15. Musical instruments.

-
16. Paper, cardboard and goods made from these materials, not included in other classes; printed matter; bookbinding material; photographs; stationery; adhesives for stationery or household purposes; artists' materials; paint brushes; typewriters and office requisites (except furniture); instructional and teaching material (except apparatus); plastic materials for packaging (not included in other classes); playing cards; printers' type; printing blocks.
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17. Rubber, gutta-percha, gum, asbestos, mica and goods made from these materials and not included in other classes; plastics in extruded form for use in manufacture; packing, stopping and insulating materials; flexible pipes, not of metal.
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18. Leather and imitations of leather, and goods made of these materials and not included in other classes; animal skins, hides; trunks and travelling bags; umbrellas, parasols and walking sticks; whips, harness and saddlery.
-
19. Building materials (non-metallic); nonmetallic rigid pipes for building; asphalt, pitch and bitumen; nonmetallic transportable buildings; monuments, not of metal.
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20. Furniture, mirrors, picture frames; goods (not included in other classes) of wood, cork, reed, cane, wicker, horn, bone, ivory, whalebone, shell, amber, mother-of-pearl, meerschaum and substitutes for all these materials, or of plastics.
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21. Household or kitchen utensils and containers (not of precious metal or coated therewith); combs and sponges; brushes (except paint brushes); brush-making materials; articles for cleaning purposes; steel-wool; unworked or semi-worked glass (except glass used in building); glassware, porcelain and earthenware not included in other classes.
-
22. Ropes, string, nets, tents, awnings, tarpaulins, sails, sacks and bags (not included in other classes); padding and stuffing materials (except of rubber or plastics); raw fibrous textile materials.
-
23. Yarns and threads, for textile use.
-
24. Textiles and textile goods, not included in other classes; beds and table covers.
-
25. Clothing, footwear, headgear.
-
26. Lace and embroidery, ribbons and braid; buttons, hooks and eyes, pins and needles; artificial flowers.
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27. Carpets, rugs, mats and matting, linoleum and other materials for covering existing floors; wall hangings (non-textile).
-
28. Games and playthings; gymnastic and sporting articles not included in other classes; decorations for Christmas trees.
-
29. Meat, fish, poultry and game; meat extracts; preserved, dried and cooked fruits and vegetables; jellies, jams, fruit sauces; eggs, milk and milk products; edible oils and fats.
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30. Coffee, tea, cocoa, sugar, rice, tapioca, sago, artificial coffee; flour and preparations made from cereals, bread, pastry and confectionery, ices; honey, treacle; yeast, baking powder; salt, mustard; vinegar, sauces (condiments); spices; ice.
-
31. Agricultural, horticultural and forestry products and grains not included in other classes; live animals; fresh fruits and vegetables; seeds, natural plants and flowers; foodstuffs for animals; malt.
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32. Beers; mineral and aerated waters and other nonalcoholic drinks; fruit drinks and fruit juices; syrups and other preparations for making beverages.
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33. Alcoholic beverages (except beers).
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34. Tobacco; smokers' articles; matches.

SERVICES

35. Advertising; business management; business administration; office functions.

36. Insurance; financial affairs; monetary affairs; real estate affairs.

37. Building construction; repair; installation services.

38. Telecommunications.

39. Transport; packaging and storage of goods; travel arrangement.

40. Treatment of materials.

41. Education; providing of training; entertainment; sporting and cultural activities.

42. Providing of food and drink; temporary accommodation; medical, hygienic and beauty care; veterinary and agricultural services; legal services; scientific and industrial research; computer programming; services that cannot be classified in other classes.

FEES FOR FILING TRADEMARK-RELATED DOCUMENTS

Effective January 10, 2000

Fee Code	37 CFR	Description	Fee
TRADEMARK PROCESSING FEES			
361	2.6(a)(1)	Application for registration, per class	325.00
362	2.6(a)(2)	Filing an Amendment to Allege Use under §1(c), per class	100.00
363	2.6(a)(3)	Filing a Statement of Use under §1(d)(1), per class	100.00
364	2.6(a)(4)	Filing a Request for a 6-month Extension of Time to File a Statement of Use under §1(d)(2), per class	150.00
365	2.6(a)(5)	Application for renewal, per class	400.00
366	2.6(a)(6)	Additional fee for filing a renewal application during the grace period, per class	100.00
367	2.6(a)(7)	Publication of mark under §12(c), per class	100.00
368	2.6(a)(8)	Issuing a new certificate of registration	100.00
369	2.6(a)(9)	Certificate of Correction, registrant's error	100.00
370	2.6(a)(10)	Filing disclaimer to registration	100.00
371	2.6(a)(11)	Filing amendment to registration	100.00
372	2.6(a)(12)	Filing §8 Affidavit, per class	100.00
373	2.6(a)(13)	Filing §15 Affidavit, per class	200.00
381	2.6(a)(14)	Additional fee for filing §8 Affidavit during the grace period, per class	100.00
375	2.6(a)(15)	Petition to the Commissioner	100.00
376	2.6(a)(16)	Petition for cancellation, per class	300.00
377	2.6(a)(17)	Notice of opposition, per class	300.00
378	2.6(a)(18)	Ex parte appeal, per class	100.00
379	2.6(a)(19)	Dividing an application, per new application (file wrapper) created	100.00
382	2.6(a)(20)	For correcting a deficiency in §8 Affidavit	100.00
380	2.6(a)(21)	For correcting a deficiency in a renewal application	100.00
TRADEMARK SERVICE FEES			
461	2.6(b)(1)(i)	Printed copy of each registered mark, regular service	3.00
462	2.6(b)(1)(ii)	Printed copy of each registered mark, delivery on next bus. day to USPTO box or fax delivery within one bus. day to US/Canada/Mexico	6.00
463	2.6(b)(1)(iii)	Printed copy of each registered mark expedited delivery by commercial delivery service	25.00
464	2.6(b)(4)(i)	Certified copy of registered mark, with title and/or status, regular service	15.00
465	2.6(b)(4)(ii)	Certified copy of registered mark, with title and/or status, exp. local service	30.00
466	2.6(b)(2)(i)	Certified or uncertified copy of trademark application filed, regular service	15.00
467	2.6(b)(2)(ii)	Certified or uncertified copy of trademark application filed, exp. local service	30.00
468	2.6(b)(3)	Certified or uncertified copy of trademark-related file wrapper and contents	50.00
469	2.6(b)(5)	Certified or uncertified copy of trademark document, unless otherwise provided	25.00
470	2.6(b)(7)	For assignment records, abstracts of title and certification per registration	25.00
475	1.19(g)	Comparing and certifying copies, per document, per copy	25.00
480	2.6(b)(9)	Self-service copy charge, per page	25
481	2.6(b)(6)(i)	Recording trademark assignment, agreement or other paper, first mark per document	40.00
482	2.6(b)(6)(ii)	Recording trademark assignment, agreement or other paper, second or subsequent marks in the same document	25.00
484	2.6(b)(10)	Labor charges for services, per hour or fraction thereof	40.00
485	2.6(b)(11)	Unspecified other services	AT COST
488	2.6(b)(8)	Each hour of X-SEARCH terminal session time	40.00
490	1.24	Trademark coupons	3.00
617	1.21(m)	For processing each payment refused (including a check returned "unpaid") or charged back by a financial institution	50.00

REMITTANCES FROM FOREIGN COUNTRIES MUST BE PAYABLE AND IMMEDIATELY NEGOTIABLE IN THE UNITED STATES FOR THE FULL AMOUNT OF THE FEE REQUIRED

You may verify current fee information by calling 1-800-786-9199 or by visiting the USPTO web site at www.uspto.gov.