

Resources for Inventors, Innovators, and Entrepreneurs

Elizabeth L. Dougherty

Director of Inventor Education, Outreach, and Recognition

Office of Innovation Development

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UNITED STATES
PATENT AND TRADEMARK OFFICE



Setting the Stage



What's inside the black box?



Education and Information

- Web-based resources
 - IP Awareness Assessment Tool
 - Videos/Tutorials/Webinars
 - Filing Information and Initiatives
 - Forms and Fee Information
 - Guidance
- Conferences and seminars
- Smithsonian collaboration

Select Tools for Success



uspto

IP Awareness Assessment Tool

ipAwarenessAssessment Beta II **uspto** **NIST**

A business and inventors IP evaluation tool

IP Awareness Assessment
The IP Awareness Assessment, developed under the joint efforts of United States Patent and Trademark Office (USPTO) and National Institute of Standards and Technology/Manufacturing Extension Partnership (NIST/MEP), allows you to assess your intellectual property awareness. Following the completion of the assessment, you will receive a customized training material. [Learn more](#)

Feedback
Your **feedback** and comments are crucial for improving the IP Awareness Assessment.

Inventor Assistance Program

Important Notice
Please note that any information provided here does not constitute legal advice, but is intended to increase your IP awareness. When filing an application for obtaining specific IP rights, it is recommended that you obtain professional legal assistance. The IP Awareness Assessment contains links to external websites. USPTO does not maintain those external sites and is not responsible for the material found therein.

Welcome to the Intellectual Property Awareness Assessment Tool. The IP Assessment includes the below five general categories, that are included in all assessments.

- **IP Strategies & Best Practices**
- **International IP Rights**
- **IP Asset Tracking**
- **Licensing Technology to Others**
- **Using Technology of Others**

There are five additional categories that all can take or, which may be customized through a Pre-assessment. These five categories include:

- **Copyrights**
- **Design Patents**
- **Trademarks**
- **Trade Secrets**
- **Utility Patents**

Not all businesses have all categories of IP Assets so they have an opportunity to opt out of certain categories by using the customizer or Pre-assessment or may opt to take the full assessment of ten categories containing 62 questions.

The full assessment requires about 20-30 minutes to complete. The customizer or Pre-assessment can reduce the required time by 10-15 minutes.

>> enter the IP Awareness Assessment

Before starting the assessment, please note:

- Save the link for this page as a favorite/bookmark on your browser.
- In the "Internet Options" of your browser, deselect/uncheck history on exit. This will allow you to return and resume your assessment session in case you cannot finish it in one sitting. This will also allow you to access your training materials and assessment results at your convenience.
- As you are answering the assessment questions, choose the answer that best applies to your business or circumstances as an independent inventor or individual. Where applicable, choose all the responses that apply to your situation.
- Responses or data collected in the assessment are not stored or used by the USPTO or NIST MEP.

Visit USPTO on the Web

www.USPTO.gov

The screenshot shows the USPTO website homepage. At the top left is the 'uspto' logo and the text 'UNITED STATES PATENT AND TRADEMARK OFFICE'. To the right are links for 'About Us', 'Careers', and 'Contact Us'. Below this is a search bar with the text 'Search uspto.gov' and a magnifying glass icon. A navigation bar contains 'Patents', 'Trademarks', and 'Learning and Resources', along with a 'Quick Links' button. The main content area features a sidebar with three items: '1. Getting Started', '2. Application Process', and '3. Maintaining Your Patent'. The 'Getting Started' item is highlighted, and the main content area displays the heading 'Getting Started with Patents' followed by the text: 'Applying for a patent successfully requires a strong understanding of the application process. This is the first step to a successful application.' To the right of this text is a 'Helpful Resources:' section with a list of links: 'General Information Concerning Patents', 'Patent Process Overview', 'Using Legal Services', 'International Patent Cooperation', 'Patent and Trademark Resource Centers (PTRCs)', and 'Patent Statistics'.

uspto UNITED STATES PATENT AND TRADEMARK OFFICE

About Us | Careers | Contact Us

Search uspto.gov

Patents Trademarks Learning and Resources Quick Links

1. Getting Started

2. Application Process

3. Maintaining Your Patent

Getting Started with Patents

Applying for a patent successfully requires a strong understanding of the application process. This is the first step to a successful application.

Helpful Resources:

- > [General Information Concerning Patents](#)
- > [Patent Process Overview](#)
- > [Using Legal Services](#)
- > [International Patent Cooperation](#)
- > [Patent and Trademark Resource Centers \(PTRCs\)](#)
- > [Patent Statistics](#)

Features of the Website

- Apply Online for a Patent using EFS-Web
- Obtain Status of a Patent Application
- Determine when application will be picked up for examination, see [First Office Action Estimator](#)
- Search US Patent Database
- Search Patent Classification Manual
- Download Forms and Fee Schedules
- Patent Help Resources
- Access Details of All Currently Pending Published Patent Applications (Public PAIR)



Overview of Website



The screenshot shows the USPTO website header and navigation. The header includes the USPTO logo, the text "UNITED STATES PATENT AND TRADEMARK OFFICE", and links for "About Us", "Careers", and "Contact Us". A search bar is located on the right. The navigation menu has three main items: "Patents", "Trademarks", and "Learning and Resources", with "Learning and Resources" highlighted in blue. A "Quick Links" button is also present. Below the navigation, the "Getting Started with Patents" section is visible, featuring a sidebar with three steps: "1. Getting Started", "2. Application Process", and "3. Maintaining Your Patent". The main content area contains the heading "Getting Started with Patents" and a paragraph: "Applying for a patent successfully requires a strong understanding of the application process. This is the first step to a successful application." To the right, there is a "Helpful Resources:" section with a list of links: "General Information Concerning Patents", "Patent Process Overview", "Using Legal Services", "International Patent Cooperation", "Patent and Trademark Resource Centers (PTRCs)", and "Patent Statistics". A red arrow points from the "Learning and Resources" menu item down to the text below.

Click on
“Learning and
Resources”



USPTO Resources for Kids and Educators

The screenshot shows the USPTO Kids website homepage. At the top left is the **uspto** logo and the text "UNITED STATES PATENT AND TRADEMARK OFFICE". To the right are links for "About Us", "Careers", and "Contact Us", and a search bar with the text "Search uspto.gov".

The main content area is divided into several sections:

- Kids:** An orange box with a lightbulb icon and the text "Kids". Surrounding text includes "smart", "curious", "fantastic", and "remarkable".
- Teens:** A yellow box with gear icons and the text "Teens". Surrounding text includes "innovative", "ingenious", "tenacious", and "intelligent".
- Parents & Teachers:** A blue box with an icon of hands and the text "PARENTS & TEACHERS". Surrounding text includes "supportive", "proud", "nurturing", "encouraging", and "patient".
- Video:** A video player showing a scene with a large "X" logo containing a globe and the text "EXTRAORDINARY INNOVATIONS". The video progress bar shows "0:00 / 7:35".

At the bottom, there is a navigation bar with icons and labels for:

- EVENTS** (blue speech bubble icon)
- DOWNLOADS** (yellow downward arrow icon)
- VIDEOS** (purple play button icon)
- ACTIVITIES** (yellow stars icon)
- COLLECTIBLES** (orange fan icon)
- IP PATCH** (yellow patch icon)
- COOL IP** (purple people icon)
- LINKS** (blue chain link icon)

Web Resources

- **Wide variety**

Inventors & Entrepreneurs Resources



Patents for Inventors

The patent process can be challenging if you are not familiar with it. Below are links with useful information regarding the patent process.

- › [Patents](#)
- › [Patent Help](#)
- › [Patent Process Overview](#)
- › [Search for Patents](#)
- › [Inventors Assistance Center](#)
- › [Official Gazette for Patents](#)



Trademarks for Inventors & Entrepreneurs

The trademark process can be confusing for a beginner, so the links below provide useful information on registering a trademark with the USPTO.

- › [Trademark Basics](#)
- › [Trademark Electronic Search System \(TESS\)](#)
- › [Trademark Electronic Application System \(TEAS\)](#)
- › [Trademark Status and Document Retrieval \(TSDR\)](#)
- › [Electronic Trademark Assignment System \(ETAS\)](#)
- › [Assignments on the Web \(AOTW\)](#)
- › [Trademark Trial and Appeal Board \(TTAB\)](#)
- › [Trademark Manual of Examining Procedure \(TMEP\)](#)



Inventors & Entrepreneurs Assistance

The Inventors Assistance Center (IAC) provides patent information and services to the public. The IAC is staffed by former supervisory patent examiners and experienced primary examiners who answer general questions concerning patent examining policy and procedure. The Trademark Assistance Center can answer general questions about the trademark process or provide guidance on the type of information to include on a form, but may not provide specific legal advice.

- › [Inventors Assistance Center](#)
- › [Patents Ombudsman Program](#)
- › [BusinessUSA](#)
- › [Trademark Assistance Center](#)



Education & Information

Online chat transcripts and additional information for inventors.

- › [Scam Prevention](#)
- › [Provisional Application for Patent](#)
- › [General Information Concerning Patents](#)
- › [A Guide to Filing a Nonprovisional Utility Patent Application](#)
- › [A Guide to Filing A Design Patent Application](#)
- › [Basic Facts About Trademarks](#)



Scam Prevention

While the USPTO does not investigate complaints or participate in any legal proceedings against invention promoters/promotion firms, under the American Inventors Protection Act of 1999, the USPTO will provide a public forum for the publication of complaints concerning invention promoters/promotion firms.



Pro Se - Pro Bono

Are you an inventor or small business who has limited resources and needs help applying for a patent on an invention? If so, you may be eligible to receive pro bono ("for free") attorney representation through the Nationwide Pro Bono Program.

- › [Pro Se](#)
- › [Interest Form](#)



Current Events

Information about conferences and conventions.

- › [Upcoming Events](#)
- › [Inventors Eye | Events & Announcements](#)



State Resources

- › [United States Map](#)

Patent Searching

<http://www.uspto.gov/patents-application-process/search-patents>

- Search U.S. patents and U.S. published patent applications
 - Full text and image databases
- Global Patent Search Network
 - Provides access to Chinese patent documentation
- Links to International Patent Offices for searching
- Search tutorial:



Ombudsman Program

- Enhances the USPTO's ability to assist applicants or their representatives with issues that arise during patent application prosecution.



Contact an Ombudsman by:

<http://www.uspto.gov/patents/ombudsman.jsp>

Scam Prevention

- Scam Prevention
 - Non-USPTO Solicitations
 - Invention Promoters



UNITED STATES PATENT RENEWAL SERVICE

910 17th St. NW 8th Floor • Washington, D.C. 20006 • (202) 584-0039

| PATENT NUMBER | ISSUE DATE | U.S. SERIAL NUMBER | APPLICATION FILE YEAR | SMALL ENTITY | PAYMENT YEAR | PRS NUMBER |
|---------------|------------|--------------------|-----------------------|--------------|--------------|------------|
| [REDACTED] | [REDACTED] | [REDACTED] | 2002 | Y | 3.5 | 678800PRN2 |

*****MIXED AADC 901

[REDACTED]
[REDACTED]
[REDACTED]



PATENT CANCELLATION NOTICE

REPLY NO LATER THAN 7/13/07

Your Patent has entered its third year of registration. Every US Patent owner must file an MFT Form and pay a Maintenance Fee after 3.5 years of registration to renew the Patent and avoid having the Patent canceled by the United States Patent and Trademark Office (USPTO). Failure to file an MFT Form and make the Maintenance Payment triggers a six month grace period during which you may renew your Patent by filing the MFT Form late and paying a penalty. If you do not file the MFT Form and make your Maintenance Payment within the penalty period, the USPTO will cancel your patent and you will lose your rights to exclusive use of the patent.

To receive the necessary documents for you to renew your Patent and avoid cancellation and late fee penalties, complete the form below and return with your payment of \$175.00.

RESPOND NO LATER THAN 7/13/07 TO AVOID POTENTIAL LATE FEE

Cut or Tear Here

| UNITED STATES PATENT RENEWAL SERVICE | | FORM |
|---|---|-------------------|
| 910 17th St. NW 8th Floor • Washington, D.C. 20006 • (202) 584-0039 | | PR-3.5 |
| 37 CODE OF FEDERAL REGULATIONS 1.362(G) REQUIRED INFORMATION | | 2007 |
| FILE DATA: | TYPE OR PRINT ANY CORRECTIONS BELOW | |
| PATENT NUMBER: [REDACTED] ISSUE DATE: [REDACTED] U.S. SERIAL NUMBER: [REDACTED] APPLICATION FILE YEAR: 2002 SMALL ENTITY STATUS: Y PAYMENT YEAR: 3.5 USPRS NUMBER: 678800PRN2 | INVENTOR/ASSIGNEE: CONTACT NAME: COMPANY NAME: STREET ADDRESS: CITY, STATE, ZIP: PHONE NUMBER: | |
| SIGNATURE | | AMOUNT OF PAYMENT |
| I certify under penalty of perjury that the above statements are true and correct to the best of my knowledge. | | \$175.00 |
| Authorized Signatory: _____ | | |
| <small>39 USC/3001: THIS SERVICE HAS NOT BEEN APPROVED OR ENDORSED BY THE FEDERAL GOVERNMENT AND THIS OFFER IS NOT BEING MADE BY AN AGENCY OF THE FEDERAL GOVERNMENT. THE FEE FOR THIS SERVICE IS NOT REQUIRED TO BE PAID BY OR TO ANY GOVERNMENTAL AGENCY. THIS IS NOT A BILL.</small> | | |

PRSP-0101

Return to USPRS in the enclosed envelope. Do not forget to include your check.



PRSPF-0306V1



UNITED STATES TRADEMARK REGISTRATION OFFICE
Trademark Registration and Monitoring Division
633 West Fifth Street
28TH Floor
Los Angeles CA 90071-2005



TRADEMARK
NOTHING

IMPORTANT NOTIFICATION REGARDING
YOUR FEDERAL TRADEMARK

Serial Number: [REDACTED]
Filing Date: [REDACTED]
Primary Code: 35
Intl Code: 35

UNITED STATES PATENT AND TRADEMARK OFFICE
600 Dulany St. Ste. 1
Alexandria, VA 22314-5791

PROCESSING FEE → \$375.00



DESCRIPTION

Owner

UNITED STATES PATENT AND TRADEMARK OFFICE

Trademark
NOTHING

Serial Number

[REDACTED]

Registration Number

[REDACTED]

Filing Date: 20030313

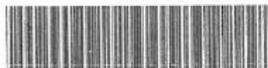
PRIMARY CODE: 35

INTERN. CODE: 35

Reference: TRB-1781712

Fee: \$375

Reply By: NOW DUE



2011-2REQ-5FGJ-USTRO

U.S. Customs & Border Protection (CBP), a bureau of the Department of Homeland Security, maintains a trademark recordation system for marks registered at the **United States Patent and Trademark Office**. Parties who register their marks on the Principal Register may record these marks with CBP, to assist CPB in its efforts to prevent the importation of goods that infringe registered marks. The recordation database includes information regarding all recorded marks, including images of these marks. CBP officers monitor imports to prevent the importation of goods bearing infringing marks and can access the recordation database at each of the 317 ports of entry.

Upon receipt of this form and your payment **United States Trademark Registration Office** will:
A) Record your U.S. Trademark Registration with the **U.S. Customs & Border Protection (CBP)** and send you notice(s) when the blocking of such goods occurs. B) Monitor your trademark using USTRO's proprietary search engine and notify you regarding possible third party trademark infringement(s) (enforcing your intellectual property rights and protecting a trademark from confusingly similar names is essential and the sole responsibility of the owner and not the USPTO (United States Patent and Trademark Office). C) Send you reminder notices of the following filing requirements. 1) **First Filing Deadline: 15 U.S.C. §§1058, 1141k**: You must file a Declaration of Use (or Excusable Nonuse) between the 5th and 6th years after the registration date. 2) **SECOND FILING DEADLINE: 15 U.S.C. §1059**: YOU MUST FILE A DECLARATION OF USE (OR EXCUSABLE NONUSE) AND AN APPLICATION FOR RENEWAL BETWEEN THE 9TH AND 10TH YEARS AFTER THE REGISTRATION DATE. **WARNING: YOUR REGISTRATION WILL BE CANCELED IF YOU DO NOT FILE THE DOCUMENTS ABOVE DURING THE SPECIFIED TIME PERIODS.**

39 USC 3001(d)(2)(A): THIS IS NOT A BILL. THIS IS A SOLICITATION. YOU ARE UNDER NO OBLIGATION TO PAY THE AMOUNT STATED ABOVE UNLESS YOU ACCEPT THIS OFFER. THIS PRODUCT OR SERVICE HAS NOT BEEN APPROVED OR ENDORSED BY ANY GOVERNMENTAL AGENCY, AND THIS OFFER IS NOT BEING MADE BY AN AGENCY OF THE GOVERNMENT.

United States Trademark Registration Office is trademark enforcement, registration and monitoring service to help you protect your intellectual property rights and your Trademark from possible third party trademark infringement(s). We will monitor and notify you of confusingly similar marks, but the responsibility is ultimately in the trademark owner's hands. Reversal of a trademark registration may require legal action from the trademark owner. Information submitted by the terms and conditions set forth on the reverse side of this form.

DETACH AND MAIL THIS STUB WITH YOUR PAYMENT

DO NOT STAPLE, TAPE OR CLIP PAYMENT STUB OR CHECK

35

UNITED STATES PATENT AND
TRADEMARK OFFICE
600 Dulany St. Ste. 1
Alexandria, VA 22314-5791



2REQ-5FGJ-USTRO

SERIAL NUMBER

[REDACTED]

INDICATE AMOUNT PAID

PROCESSING FEE → \$375.00

\$

Contact Name* _____

Phone* (____) _____

Email Address* _____

MAKE CHECKS PAYABLE TO:
Please write the SERIAL NO on the
lower left corner of your check or
money order.

US TRADEMARK REGISTRATION OFFICE
Registration and Monitoring Division
633 West Fifth Street
28TH Floor
Los Angeles CA 90071-2005



Consider Using a Patent Attorney or Patent Agent

- View USPTO listing of registered attorneys and agents
- Law School Clinical Programs and pro bono assistance available in some areas



Pro Bono

Free legal assistance to inventors

In general, there are three basic requirements:

- Income below a certain threshold;
- Knowledge of the patent system; and
- Possession of an actual invention (not just an idea).

Certificate Training Course



The screenshot displays a video player interface. The main content area shows a slide with the United States Patent and Trademark Office logo and the title "Basic Patent Training For Independent Inventors and Small Businesses". Below the slide, a text box states: "A full transcript can be found under the 'Notes' tab". The video player controls at the bottom show "Slide 1 / 30 | Stopped" and a timer at "00:00 / 00:23".

On the right side, a sidebar titled "certification package" is visible. It includes the name "John Calvert" and the role "Administrator - Inventor Assistance Program". Below this is a table of contents with columns for "Outline", "Thumb", "Notes", and "Search". The table lists 23 slides with their respective durations. A progress bar at the bottom of the sidebar indicates "39 Minutes 13 Seconds Remaining".

| Outline | Thumb | Notes | Search |
|-----------------------------|-------|-------|----------|
| Slide Title | | | Duration |
| ▶ 1. Introduction/Access... | | | 00:23 |
| 2. Constitutional Power | | | 00:29 |
| 3. I have an Idea! | | | 01:14 |
| 4. File Provisional App... | | | 01:56 |
| 5. Requirements? | | | 01:02 |
| 6. Questions | | | 00:05 |
| 7. Provisional Pitfalls | | | 01:08 |
| 8. Provisionals: What ... | | | 00:36 |
| 9. Dates of Provisional | | | 00:31 |
| 10. Dates of Provisional | | | 01:01 |
| 11. Dates of Provisional | | | 00:38 |
| 12. Non-provisional a... | | | 01:60 |
| 13. Non-provisional a... | | | 00:52 |
| 14. Design Application? | | | 01:23 |
| 15. Foreign Filing? | | | 01:06 |
| 16. Application Prosec... | | | 01:22 |
| 17. Examination | | | 01:56 |
| 18. Office Action | | | 01:25 |
| 19. Claims and Amen... | | | 01:42 |
| 20. Response to Offic... | | | 02:11 |
| 21. Applicant Response | | | 01:07 |
| 22. Appeals | | | 01:46 |
| 23. Advanced Prose... | | | 01:43 |

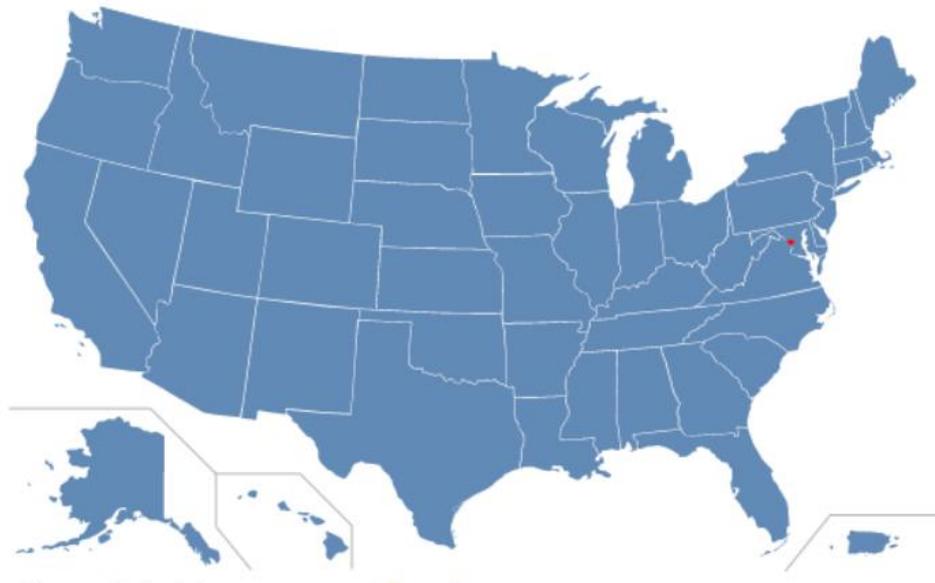
www.uspto.gov/video/cbt/certpck/index.htm

Pro Bono

Patent Pro Bono Program

The Program provides free legal assistance to under-resourced inventors interested in securing patent protection for their inventions.

 [Inventors](#)  [Attorneys](#)  [News & Events](#)



Pro Se Assistance

- The Pro Se Assistance Program offers various services for the public, including:
- Dedicated personnel for assisting people filing applications without the assistance of an attorney
- Walk-in assistance for the general public at USPTO Headquarters (by appointment)

Pro Se Assistance (cont'd)

- A fully equipped public computer workstation for walk-in visitors at the USPTO
- Targeted support to connect applicants with relevant resources and information
- Online resources found at [uspto.gov](https://www.uspto.gov)
- 1(800)786-9199

Pro Se Checklist

- http://www.uspto.gov/sites/default/files/inventors/Checklist_for_Filing_a_Nonprovisional_Utility.pdf

Application Checklist

A patent application is a collection of documents that conform to U.S. laws, rules, and guidelines outlined in the Manual of Patent Examining Procedure. The specific list of documents and forms depends on a number of factors, including the type of patent application, the protection sought, and the invention itself. The Pro Se Assistance Program makes this checklist of documents and forms available for your use in preparing your application. While not comprehensive, it contains the most commonly required elements to form a nonprovisional utility patent application.

Nonprovisional Utility Patent Application Checklist



oto

Subscribe to our mailing list and receive the latest stories, advice, and tips for inventors, entrepreneurs, and small business owners. It's free and it takes just one easy step.

Current Issue



Spark of Genius
[Growing the Distance](#)

If you find a problem that needs solving, chances are there are others who have the same problem. Sometimes, however, you need to convince them they have a problem.

also in this issue

[The Dreams Ideas Are Made Of](#)

[Meet the Inaugural Class of
Invention Ambassadors](#)

Patents Pick-5
[Patent Cures for the Summertime
Blues](#)

Advice
[Patent Owners – Beware of
Maintenance Fee Scam](#)

Events and Announcements
[August and September](#)

AUGUST 2014

Past Issues



Patent and Trademark Resources Centers

<http://www.uspto.gov/learning-and-resources/support-centers/patent-and-trademark-resource-centers-ptrcs>

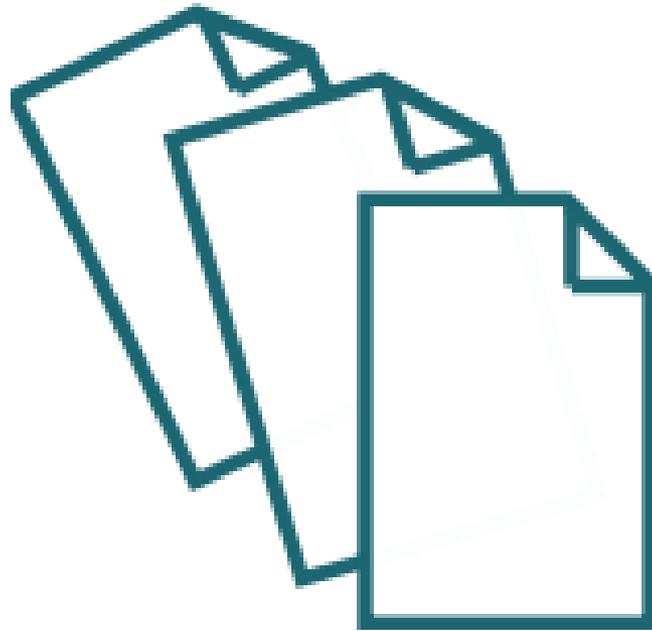
- Over 80 located nationwide
- Offer training and events
- Search assistance at PTRCs and on-line training:
 - CBT: How to Conduct a Preliminary U.S. Patent Search
 - Seven step strategy Guide

State Resources – Virginia

- **Pro-Bono** services are designed to assist financially under-resourced independent inventors and small businesses. Pro-bono assistance is available, to be considered and apply go to www.fedcirbar.org/olc/pub/LVFC/cpages/misc/pto.jsp (link is external)
- **Patent attorneys and agents**
[Registered Patent Attorneys/Agents](#) in Virginia
- **Universities with Intellectual Property Law Clinics** - Law School Clinic Certification Pilot program allows law students enrolled in a participating law school's clinic program to practice Intellectual Property Law before the USPTO under the strict guidance of a Law School Faculty Clinic Supervisor. The program currently consists of students practicing in both patent and trademark law before the USPTO
- **University of Richmond**
<http://law.richmond.edu/about/centers/ip-clinic/index.html> (link is external)
jmun@richmond.edu (link sends e-mail)
ipi@richmond.edu (link sends e-mail)
- **George Mason University**
http://www.law.gmu.edu/academics/clinics/patent_applications (link is external)
- **Inventor Organizations**
- Inventors Network of the Capital Area
dcinventors.org (link is external)
- Virginia Inventors Forum, Inc.
www.virginiainnovators.org (link is external)



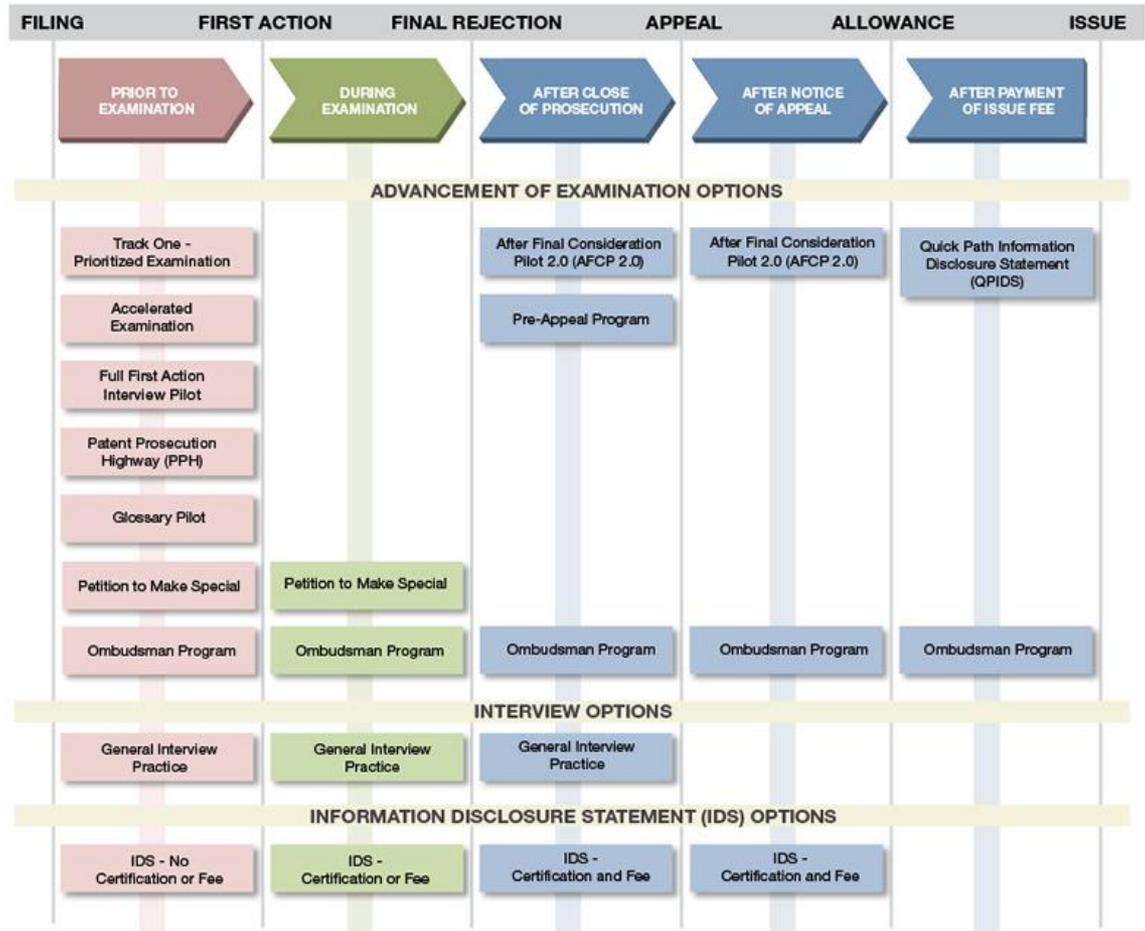
Preparing to File a Patent Application



Patent Application Initiatives

<http://www.uspto.gov/patent/initiatives/uspto-patent-application-initiatives-timeline>

There are numerous programs that may speed up the examination process



You can get to the program pages by selecting a tile.

USPTO's Prioritized Patent Examination Program



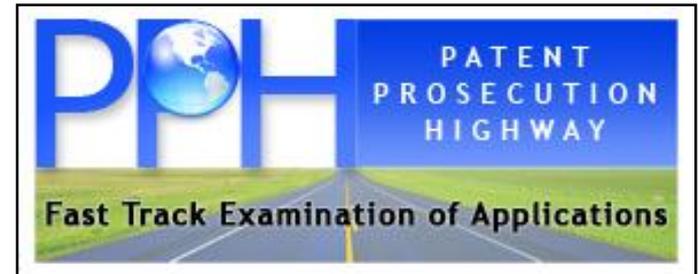
Need to FAST track your patent? Use Track One!

- Fast innovation is America's competitive edge. If you need to move your ideas quickly, USPTO's Track One prioritized examination will allow you to get a final disposition within about twelve months.
- The USPTO offers Track One for prioritized examination of your utility and plant patent applications.
- Track One gives your application special status with fewer requirements than the current accelerated examination program and without having to perform a pre-examination search.
- \$4000/\$2000/\$1000



Patent Prosecution Highway (PPH)

- Participating patent offices have agreed that when an applicant receives a final ruling from a first patent office that at least one claim is allowed, the applicant may request fast track examination of corresponding claim(s) in a corresponding patent application that is pending in a second patent office.



Patent Prosecution Highway

What is PPH?

- Enables an applicant who has received a determination of allowable claims from one office to **obtain fast track processing** of corresponding claims in other offices.
- A system of **work sharing** that improves examination efficiency by **reducing duplication of effort** among patent offices.

Patent Forms

http://www.uspto.gov/forms/aia_forms.jsp

Exemplary list:

- Find all patent forms on USPTO web site
 - For **general assistance** in completing the patent forms below or to request paper copies of the forms, contact **General Information Services Division at 1-800-786-9199 (1-800-PTO-9199) or 571-272-1000, and select option 2**.
 - All forms provided in Adobe Acrobat

| Appeal | | |
|--------------------------------------|---------|--|
| AIA/31 | 03/2014 | Notice of Appeal |
| AIA/32 | 03/2013 | Request for Oral Hearing Before the Patent Trial and Appeal Board |
| AIA/33 | 03/2013 | Pre-Appeal Brief Request for Review (more information) |
| AIA/34 | 05/2014 | Certification and Transmittal of Appeal Forwarding Fee (more information) |
| Application Data Sheet | | |
| AIA/14 | 12/2013 | Application Data Sheet (37 CFR 1.76) (instructions / DOC) |
| Certificate of Mailing/Transmission | | |
| SB/92 | 07/2009 | Certificate of Mailing under 37 CFR 1.8 |
| SB/97 | 07/2009 | Certificate of Transmission under 37 CFR 1.8 |
| Customer Number | | |
| SB/124 | 12/2008 | Request for Customer Number Data Change |
| SB/125 | 11/2008 | Request for Customer Number |
| Express Abandonment | | |
| AIA/24 | 07/2012 | Express Abandonment Under 37 CFR 1.138 |
| AIA/24A | 07/2012 | Petition for Express Abandonment to Avoid Publication under 37 CFR 1.138(c) |
| AIA/24B | 09/2012 | Petition for Express Abandonment to Obtain a Refund |
| Extended Missing Parts Pilot Program | | |
| AIA/421 | 01/2013 | Certification and Request for Extended Missing Parts Pilot Program |
| Fees | | |
| PTO-2038 | 05/2012 | Credit Card Payment Form and Instructions |
| SB/06 | 03/2013 | Patent Application Fee Determination Record |
| SB/07 | 07/2007 | Multiple Dependent Claim Fee Calculation Sheet |
| SB/15A | 07/2014 | Certification of Micro Entity Status - Gross Income Basis (Gross Income Limit) (Who may sign the SB/15A and SB/15B?) |
| SB/15B | 07/2014 | Certification of Micro Entity Status - Institution of Higher Education Basis (Who may sign the SB/15A and SB/15B?) |
| SB/17 | 03/2013 | Fee Transmittal |
| SB/17i | 03/2013 | Processing Fee Under 37 CFR 1.17(i) Transmittal |
| AIA/17o | 03/2013 | Petition Fee Under 37 CFR 1.17(f), (g) & (h) Transmittal |
| SB/45 | 03/2013 | Maintenance Fee Transmittal |
| SB/56 | 03/2013 | Reissue Application Fee Transmittal |
| SB/91 | 07/2009 | Deposit Account Order Form |

Patent Fees

<http://www.uspto.gov/learning-and-resources/fees-and-payment/uspto-fee-schedule>

- All patent fees available on USPTO web site
 - Be certain to always check for “current fee schedule”
 - Many fees broken into large entity/small entity/micro entity payments

Example of fee schedule:

| Fee Code | 37 CFR | Description | Fee | Small Entity Fee | Micro Entity Fee |
|---------------------------------------|---------|--|--------|------------------|------------------|
| Patent Application Filing Fees | | | | | |
| 1011/2011/3011 | 1.16(a) | Basic filing fee - Utility (paper filing – also requires non-electronic filing fee under 1.16(i)) | 280.00 | 140.00 | 70.00 |
| 1011/4011/3011 | 1.16(a) | Basic filing fee - Utility (electronic filing) | 280.00 | 70.00 | 70.00 |
| 1012/2012/3012 | 1.16(b) | Basic filing fee - Design | 180.00 | 90.00 | 45.00 |
| 1017/2017/3017 | 1.16(b) | Basic filing fee - Design (CPA) | 180.00 | 90.00 | 45.00 |
| 1013/2013/3013 | 1.16(c) | Basic filing fee - Plant | 180.00 | 90.00 | 45.00 |
| 1005/2005/3005 | 1.16(d) | Provisional application filing fee | 250.00 | 130.00 | 65.00 |
| 1014/2014/3014 | 1.16(e) | Basic filing fee - Reissue | 280.00 | 140.00 | 70.00 |
| 1019/2019/3019 | 1.16(e) | Basic filing fee - Reissue (CPA) | 280.00 | 140.00 | 70.00 |
| 1051/2051/3051 | 1.16(f) | Surcharge - Late filing fee, search fee, examination fee or oath or declaration, or application filed without at least one claim or by reference | 140.00 | 70.00 | 35.00 |
| 1052/2052/3052 | 1.16(g) | Surcharge - Late provisional filing fee or cover sheet | 60.00 | 30.00 | 15.00 |
| 1201/2201/3201 | 1.16(h) | Independent claims in excess of three | 420.00 | 210.00 | 105.00 |
| 1204/2204/3204 | 1.16(h) | Reissue independent claims in excess of three | 420.00 | 210.00 | 105.00 |
| 1202/2202/3202 | 1.16(i) | Claims in excess of 20 | 80.00 | 40.00 | 20.00 |



Timely Pay Correct Fees

- Question: Are you a large, small or micro-entity filer?
- Regularly visit: Current Fee Schedule (as fees may change)
- Surcharges incurred with delays or insufficiencies
- Note: Non-electronic filing fee

Micro-entity

- SMALL ENTITY REQUIREMENT –
- APPLICATION FILING LIMIT – no more than four previously filed applications
- GROSS INCOME LIMIT ON APPLICANTS AND INVENTORS – equal to three times the median household income for the preceding calendar year (\$155,817 for 2013)
- GROSS INCOME LIMIT ON PARTIES WITH AN “OWNERSHIP INTEREST”

| CERTIFICATION OF MICRO ENTITY STATUS (GROSS INCOME BASIS) | | | | | |
|---|---|---|--------------|------------------|--|
| Application Number or Control Number (if applicable): | | Patent Number (if applicable): | | | |
| First Named Inventor: Jane Doe | | Title of Invention: Dough Making Machine | | | |
| The applicant hereby certifies the following— | | | | | |
| <p>(1) SMALL ENTITY REQUIREMENT – The applicant qualifies as a small entity as defined in 37 CFR 1.27.</p> <p>(2) APPLICATION FILING LIMIT – Neither the applicant nor the inventor nor a joint inventor has been named as the inventor or a joint inventor on more than four previously filed U.S. patent applications, excluding provisional applications and international applications under the Patent Cooperation Treaty (PCT) for which the basic national fee under 37 CFR 1.492(a) was not paid, and also excluding patent applications for which the applicant has assigned all ownership rights, or is obligated to assign all ownership rights, as a result of the applicant's previous employment.</p> <p>(3) GROSS INCOME LIMIT ON APPLICANTS AND INVENTORS – Neither the applicant nor the inventor nor a joint inventor, in the calendar year preceding the calendar year in which the applicable fee is being paid, had a gross income, as defined in section 61(a) of the Internal Revenue Code of 1986 (26 U.S.C. 61(a)), exceeding the "Maximum Qualifying Gross Income" reported on the USPTO Web site at http://www.uspto.gov/patents/law/micro_entity.jsp which is equal to three times the median household income for that preceding calendar year, as most recently reported by the Bureau of the Census.</p> <p>(4) GROSS INCOME LIMIT ON PARTIES WITH AN "OWNERSHIP INTEREST" – Neither the applicant nor the inventor nor a joint inventor has assigned, granted, or conveyed, nor is under an obligation by contract or law to assign, grant, or convey, a license or other ownership interest in the application concerned to an entity that, in the calendar year preceding the calendar year in which the applicable fee is being paid, had a gross income, as defined in section 61(a) of the Internal Revenue Code of 1986, exceeding the "Maximum Qualifying Gross Income" reported on the USPTO Web site at http://www.uspto.gov/patents/law/micro_entity.jsp which is equal to three times the median household income for that preceding calendar year, as most recently reported by the Bureau of the Census.</p> | | | | | |
| SIGNATURE <small>by an authorized party set forth in 37 CFR 1.33(b)</small> | | | | | |
| Signature | /Jane Doe/ | | | | |
| Name | Jane Doe | | | | |
| Date | 3/8/15 | Telephone | 703-555-1234 | Registration No. | |
| <input type="checkbox"/> | There is more than one inventor and I am one of the inventors who are jointly identified as the applicant. The required additional certification form(s) signed by the other joint inventor(s) are included with this form. | | | | |

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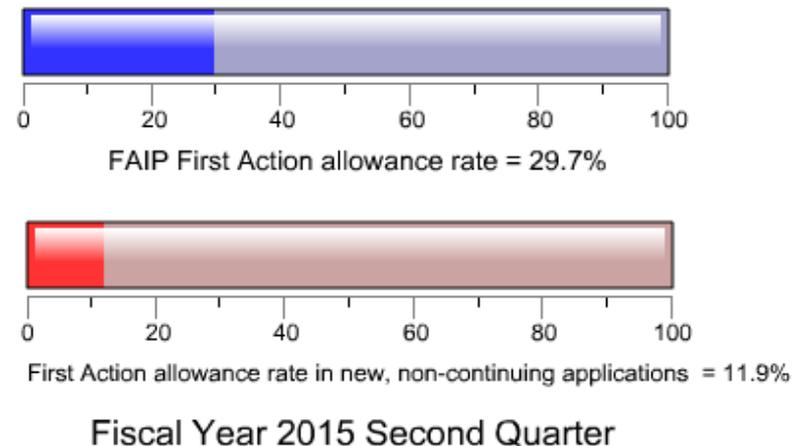


First Office Action Estimator

- <http://www.uspto.gov/learning-and-resources/statistics/first-office-action-estimator>

First Action Interview Pilot

- Under this Program, an applicant is entitled to a first action interview, upon request, prior to the first Office action on the merits.
- Need to file a Petition.



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During examination of a pending patent application or after the patent is granted, the owner of the patent may change: 1) the original owner may transfer ownership to another entity or party, through an "assignment;" or 2) the original owner may retain ownership but change its name. The original owner should record the assignment or name change with the USPTO's Assignment Services Division by filing a Recordation Cover Sheet along with a copy of the actual assignment or proof of name change.

Electronic Patent Assignment System (EPAS)

Use [EPAS](#) to create and submit a Patent Assignment Recordation Coversheet by completing on-line web forms and attaching the supporting legal documentation as black and white TIFF or PDF for submission via the internet.

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Use [AOTW-P](#) to search the database of all recorded Patent Assignment information from 1980 to the present (Patent Assignments recorded prior to 1980 are maintained at the National Archives and Records Administration).

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