

AUTHORING GUIDE

VERSION 1.0.1

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United States Patent and Trademark Office

Washington, DC 20231

WHAT'S NEW?

Welcome to the PrintEFS Version 1.0.1 Authoring Guide. The United States Patent and Trademark Office has developed this new release of the PrintEFS authoring tool to improve upon many of the features offered in the initial version released in April of 1999. The following list describes what is new with PrintEFS Version 1.0.1:

- You can now use characters such as – and \ in the *Continuity Information* data entry screen.
- You can now enter PCT cases in the *Foreign Priority Information* data entry screen—the field now accepts letters throughout.

We have received a significant amount of feedback from users, and address some of your questions and problems in various sections of this Authoring Guide. Please see the **Common Error Messages**, **Known Problems**, and **Frequently Asked Questions** sections for more information.

Before you install the new version of PrintEFS, please uninstall version 1.0.0!

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Paperwork Reduction Act Notice

This information collection is subject to the paperwork reduction act of 1995 (44 U.S.C. § 3501 et seq.) and has been reviewed by the Office of Management and Budget (OMB) under OMB control number 0651-0032 and is approved through September 30, 2000. This collection of information is required by 35 USC 111, 112, 113, 115, 119, and 120. PrintEFS is an authoring tool used by the public to submit bibliographic information to the PTO in the Patent Application Bibliographic Data Entry Format. Use of this voluntary format allows the PTO to scan the bibliographic information into the Patent Application Locating and Monitoring (PALM) system easily and efficiently. This information will be treated confidentially in accordance with 35 USC 122 and 37 CFR 1.14. The UWI Internet Form Viewer and the PrintEFS software must be downloaded and installed in order to use the PrintEFS authoring tool. This is a one-time procedure that the PTO estimates will take 11 to 19 minutes, depending on the speed of the modem. It is estimated to take 12 minutes to read the user guide and submit the bibliographic information. The time may vary depending upon the needs of the individual case. Any comments on the amount of time you require to complete this format and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, D.C., 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, D.C., 20231.

1. ABOUT THIS GUIDE

1.1 PURPOSE AND SCOPE OF THIS GUIDE

The purpose of the PrintEFS Authoring Guide is to provide you with all of the information needed to successfully access and use the PrintEFS authoring tool to format and print patent application bibliographic data.

This manual includes the following sections:

- **About This Guide**
- **About PrintEFS**
- **If You Need Help**
- **Getting Started**
- **PrintEFS Data Entry Screens**
- **Save and Print Functions**
- **Mailing PrintEFS Output**
- **Common Error Messages**
- **Known Problems**
- **Frequently Asked Questions**
- **Quick Reference Guide**
- **Appendix**

This guide assumes that you are somewhat familiar with computers and have a basic knowledge of various hardware, software, and functions. If at any time you have questions regarding computer hardware or software that is not related to the PrintEFS authoring tool, please refer to the original hardware or software manuals provided by the manufacturer.

1.2 AUDIENCE

This guide is intended to assist members of the public who are applying for a United States Patent, either for themselves or on behalf of other individuals. This group may include individuals such as inventors, patent attorneys, paralegals, or other parties.

This guide is also intended as a reference for USPTO Patent Assistance Center (PAC) employees to use when responding to public inquiries regarding PrintEFS use.

1.3 CONVENTIONS USED IN THIS GUIDE

Various conventions are used in this guide to represent common terms, emphasize items, and help you identify certain text. The following sections list the terms and visual cues used throughout this guide.

1.3.1 TERMS

PrintEFS—Print Electronic Filing System.

UWI— Unisoft Wares Incorporated.

Data Entry Screen— An interface that facilitates data entry.

Tool Tips—Brief messages that describe each field in a data entry screen.

Patent Data Entry Format—Specific paper format that applicants must use to submit patent application bibliographic data in order for that data to be captured accurately by USPTO electronic systems.

USPTO—United States Patent and Trademark Office.

ISP—Internet Service Provider.

Internet Browser—Software such as Microsoft Internet Explorer or Netscape Navigator that allows you to navigate the Internet.

Field—A storage location that accepts input.

1.3.2 VISUAL CUES

Bold Italic Indicates that the selected text is the name of a Data Entry Screen.

Bold Indicates that the selected text is the name of a Button or Field.

Italic Indicates emphasis on the selected text.

NOTE: Indicates that the following text is additional information that may be helpful to you.

2. ABOUT PRINTEFS

2.1 BACKGROUND

The United States Patent and Trademark Office (USPTO) is in the process of creating an electronic workplace that allows patent applicants to submit applications electronically and also allows the USPTO to process patent applications electronically. One of the first steps in this process involves converting paper applications into electronic form. The *Patent Application Data Entry Format Guide*, already available to applicants, explains how to format and print the patent application bibliographic data in a way that is easily converted from paper to electronic form once it reaches the USPTO. PrintEFS is an authoring tool developed by the USPTO to assist you in formatting patent application bibliographic data in the format specified in the *Patent Application Data Entry Format Guide*.

The PrintEFS authoring tool consists of a series of data entry screens that allow you to enter patent application bibliographic data in labeled fields. PrintEFS takes the information that you type into the data fields, checks that all required fields are completed, and then prints the data in the format that is specified in the *Patent Application Data Entry Format Guide*. PrintEFS simplifies your bibliographic data entry process by eliminating all manual formatting of bibliographic data, and also produces labeled text that the USPTO automated information system can read. All of the information you need to access and use PrintEFS is located on the PrintEFS web site and explained in this guide.

The PrintEFS authoring tool is available on the PrintEFS web site www.uspto.gov/go/printefs for you to download. The authoring tool uses an Internet Forms Viewer supplied by Unisoft Wares Incorporated (UWI). The viewer is an application that you must download before using PrintEFS for the first time. Once you have downloaded both the PrintEFS authoring tool and the Internet Forms Viewer, you can fill out the necessary fields in the data entry screens.

Use of the PrintEFS authoring tool is optional. You may continue to file patent application bibliographic data as you have filed it in the past. The advantage of using the PrintEFS authoring tool is that it automatically formats the data and prints it to paper in the specified patent application data entry format—you do not have to manually format any information. Submission of appropriately formatted patent application bibliographic data results in a more complete and accurate filing receipt and decreases the time needed to initially process the patent application.

2.2 OVERVIEW OF FEATURES

The PrintEFS authoring tool includes many features that will simplify the process of formatting and printing your patent application bibliographic data in machine-readable paper format. The following sections describe these features.

2.2.1 ENTERING PATENT BIBLIOGRAPHIC DATA

The PrintEFS authoring tool contains several data entry screens that allow you to type your patent application bibliographic data directly into data entry fields. PrintEFS consists of the following data entry screens:

Inventor Information—Contains fields for information about the inventor who is applying for the patent.

Applicant Information—Contains fields for information about an applicant acting on behalf of the inventor in the event that the inventor is unable to act on his or her own behalf.

Correspondence Information—Contains fields for information about the designated patent application correspondent.

Application Information—Contains fields for information about the patent application.

Representative Information—Contains fields for information about representatives approved by the applicant or inventor to prosecute the patent application.

Prior Foreign Applications—Contains fields for information about any prior foreign patent applications.

Continuity Information—Contains fields for information illustrating the relationships between the current application and related patent applications.

PrintEFS also contains additional features that are designed to assist you as you enter patent application bibliographic data into the PrintEFS data entry screens—required field indicators, drop-down lists, checkboxes, and tool tips. These features indicate what fields you must complete, provide lists of data or checkboxes for you to choose from, and provide online descriptions of specific fields and buttons.

2.2.2 SAVING PATENT BIBLIOGRAPHIC DATA

PrintEFS includes a feature that allows you to save the data entry screens, either prior to entering bibliographic data (blank fields) or after completing the data entry screens (filled fields). Although you can not save the PrintEFS output in the specified format, the information you enter in the various fields of the data entry screens is preserved when you save the data entry screens. You can reopen the saved data entry screens to view or change the patent application bibliographic data, and you can also save and reopen partially completed data entry screens to use as template or boilerplate data entry screens.

2.2.3 PRINTING PATENT BIBLIOGRAPHIC DATA

The primary function of PrintEFS is to allow you to enter patent application bibliographic data and then print that data in the machine-readable patent application data entry format. In addition, PrintEFS allows you to print the data entry screens at any time, with filled fields or blank fields.

2.3 SOFTWARE VERSION

This PrintEFS Authoring Guide is specifically written for PrintEFS Version 1.0.1.

2.4 HARDWARE AND SOFTWARE REQUIREMENTS

To access the PrintEFS web site, complete the data entry screens, and print the patent bibliographic data to send to USPTO, you must have the following computer hardware, software, and peripherals:

- IBM-compatible computer with Pentium 133 or above (Pentium 200 or above recommended)
- Windows 95, Windows 98, or Windows NT
- Internet Service Provider (ISP)
- Web Browser—Netscape 3.0, Internet Explorer 3.0, or higher versions
- Mouse
- Printer

Please see the *System Requirements* section of the PrintEFS web site for additional information about system resources required to download and run the PrintEFS authoring tool and the Internet Forms Viewer.

2.5 PRINTEFS CHANGES AND UPDATES

The PrintEFS authoring tool may be improved, changed, or updated in the future. The USPTO will notify you of any changes, additions, or updates through an announcement on the PrintEFS web site. Please check the web site periodically for such announcements.

3. IF YOU NEED HELP

3.1 AVAILABLE HELP

PrintEFS help is available either through this guide or through the online help functions provided within the PrintEFS authoring tool. If neither of these options provides you with a solution to your problem, please refer to Section 3.2, Reporting Problems, and follow the procedures for contacting the USPTO Patent Assistance Center (PAC).

3.1.1 THE AUTHORING GUIDE

This guide is the primary source of information about PrintEFS. You can download the PrintEFS Authoring Guide from the PrintEFS web site, <http://www.uspto.gov/go/printefs>. The guide is available in Portable Document Format (PDF) and also in Microsoft Word 97. To view the Authoring Guide in PDF you must have Adobe Acrobat Reader, a free PDF viewer that is available from Adobe's web site, <http://www.adobe.com>. If you would like to print a copy of the PrintEFS Authoring Guide, we recommend that you print either the Microsoft Word 97 version or the PDF version, since the HTML version discussed in Section 3.1.2 will not produce a usable printed copy.

3.1.2 ONLINE HELP

PrintEFS includes two forms of online help—Tool Tips and an HTML version of this guide that you can access while using the PrintEFS authoring tool.

TOOL TIPS

Tool Tips are an online help function that provides a brief description of various fields and buttons on the PrintEFS data screens. Use the following procedure to access and use the available Tool Tips.

1. Click the Tool Tips button  located on the Forms Toolbar.

The Tool Tips function is activated.

2. Move the mouse over the field or button that you would like to know more about.

A Tool Tip that describes the specific field or button appears.

Tool Tips also appear when you attempt to pass over a required field using the **TAB** key or attempt to enter invalid data such as a nonexistent date. These Tool Tips are different from the standard Tool Tips in that they include information about the field and also state that the information is required or that the data you are attempting to enter is invalid.

PRINTEFS HELP

PrintEFS Help is available through the **Help** button located on the main page of data entry screens. By clicking this button, you can access this Authoring Guide in HTML format. The link next to each Table of Contents entry takes you directly to that section.

3.1.3 ADDITIONAL WEB HELP

The USPTO Internet home page—located at <http://www.uspto.gov>—provides additional information about completing patent applications.

3.2 REPORTING PROBLEMS

If the above help methods do not address your problem, please use the following procedures to contact the USPTO Patent Assistance Center (PAC). The USPTO Patent Assistance Center staff will make every effort to resolve your problem, or they will refer you to the appropriate USPTO contacts.

3.2.1 PROCEDURES

Direct any reports of problems to the USPTO Patent Assistance Center (PAC) at the following telephone number:

PAC Toll Free Number 1-800-786-9199

Be prepared to answer the following questions when you contact the Patent Assistance Center:

- What version of PrintEFS are you using?
The version is shown at the top of the main page of data entry screens and also as the last line of PrintEFS printed output.
- What Internet Browser and version are you using?
- What operating system are you using?
- What is your modem speed?
- What is your phone number or e-mail address?

3.3 PROVIDING FEEDBACK

USPTO encourages you to provide feedback about the PrintEFS authoring tool, whether positive or negative. Such feedback is essential in providing an authoring tool that truly benefits you. If you would like to submit comments or suggestions for improvement, please send an e-mail message to the following e-mail address. This feedback function is also available on the PrintEFS web site.

PrintEFS@uspto.gov

4. GETTING STARTED

4.1 THE PRINTEFS WEB SITE

The PrintEFS web site is located at <http://www.uspto.gov/go/printefs>. This web site contains the following links:

PrintEFS System Requirements—Click here to view the system requirements to download and use PrintEFS.

Download UWI.com Form Viewer—Click here to download the Internet Forms Viewer.

Download PrintEFS Authoring Tool—Click here to download the PrintEFS authoring tool.

Authoring Guide—Click here to download the PrintEFS Authoring Guide in PDF or Microsoft Word 97 format.

Feedback—Click here to submit feedback about the PrintEFS authoring tool to the USPTO.

Updates—Click here to view information regarding changes to the PrintEFS authoring tool or the Internet Forms Viewer. This link will not be visible unless there is update information available.

USPTO Home Page—Click here to go to the USPTO home page.

4.2 USING THE INTERNET FORMS VIEWER

The PrintEFS authoring tool uses Internet Forms Viewer, an application supplied by Unisoft Wares Incorporated (UWI), to allow you to view and complete the PrintEFS data entry screens. This viewer may be used free of charge when using the PrintEFS authoring tool and is available on the PrintEFS web site for you to download. The USPTO will notify you through the PrintEFS web site when an updated version of the viewer is available. You can obtain more information about the Internet Forms Viewer by clicking the **About** button on the Forms Toolbar. See Section 5.1.5 for more information about the Forms Toolbar.

4.3 DOWNLOAD THE INTERNET FORMS VIEWER

Before you can access or use the PrintEFS authoring tool, you must download and install the UWI Internet Forms Viewer. There are two methods you can use to download and install the Internet Forms Viewer—opening the file, which directly installs the viewer on your computer, and saving the file, which requires a few more steps. Each of the following procedures guides you through one of the two methods of downloading and installing the Forms Viewer.

4.3.1 OPENING THE FILE

1. Start your Internet browser—Netscape or Internet Explorer.
The browser window appears on your computer screen.
2. Go to the PrintEFS web site at <http://www.uspto.gov/go/printefs>.
The PrintEFS web site appears in your browser window.
3. Click the **Download UWI.com Form Viewer** link.
A dialog box appears asking if you want to *Open* the file or *Save it to disk*.
4. Click **Open it**, then click **OK**.
An installation window appears on your screen.
5. Follow the instructions provided within the installation shield to complete installation of the Internet Forms Viewer.

4.3.2 SAVING THE FILE

1. Start your Internet browser—Netscape or Internet Explorer.
The browser window appears on your computer screen.
2. Go to the PrintEFS web site at <http://www.uspto.gov/go/printefs>.
The PrintEFS web site appears in your browser window.
3. Click the **Download UWI.com Form Viewer** link.
A dialog box appears asking if you want to *Open* the file or *Save it to disk*.
4. Click **Save it to disk**, then click **OK**.
A Save As dialog box appears suggesting a default save location.
5. Click **OK** to accept the default save location, or enter an alternative save location and click **OK**.
The Form Viewer is downloaded to the specified location as **ifv415.exe**.

6. Go to the default save directory or your specified alternative save location and double-click the **ifv415.exe** file.

An installation window appears on your screen.

7. Follow the instructions provided within the installation shield to complete installation of the Internet Forms Viewer.

4.4 DOWNLOAD THE PRINTEFS AUTHORIZING TOOL

There are also two methods of downloading the PrintEFS authoring tool—opening the file and saving the file. Once you have downloaded and installed the Internet Forms Viewer, use one of the following procedures to download and install the PrintEFS authoring tool.

NOTE: Before you install PrintEFS version 1.0.1 you must uninstall the previous version. Please see Section 4.6, Uninstall and Reinstall PrintEFS, for further information.

4.4.1 OPENING THE FILE

1. Start your Internet browser—Netscape or Internet Explorer.

The browser window appears on your computer screen.

2. Go to the PrintEFS web site at <http://www.uspto.gov/go/printefs>.

The PrintEFS web site appears in your browser window.

3. Click the **Download PrintEFS Authoring Tool** link.

The PrintEFS download web page appears.

4. Read the disclaimer information and click **Agree** to download PrintEFS, or click **Disagree** to return to the PrintEFS main page.

If you click **Agree**, a dialog box appears asking if you want to *Open* the file or *Save it to disk*.

5. Click **Open it**, and then click **OK**.

An installation window appears on your screen.

6. Follow the instructions provided within the installation shield to complete installation of the PrintEFS authoring tool.

4.4.2 SAVING THE FILE

1. Start your Internet browser—Netscape or Internet Explorer.
The browser window appears on your computer screen.
2. Go to the PrintEFS web site at <http://www.uspto.gov/go/printefs>.
The PrintEFS web site appears in your browser window.
3. Click the **Download PrintEFS Authoring Tool** link.
The PrintEFS download web page appears.
4. Read the disclaimer information and click **Agree** to download PrintEFS, or click **Disagree** to return to the PrintEFS main page.
If you click **Agree**, a dialog box appears asking if you want to *Open* the file or *Save it to disk*.
5. Click **Save it to disk**.
A Save As dialog box appears suggesting a default save location.
6. Click **OK** to accept the default save location, or enter an alternative save location and click **OK**.
PrintEFS is downloaded to the specified location as **prefs1.exe**.
7. Go to the default save directory or your specified alternative save location and double-click the **prefs1.exe** file.
An installation window appears on your screen.
8. Follow the instructions provided within the installation shield to complete installation of the PrintEFS authoring tool.
9. The PrintEFS icon appears on your Start Menu.

4.5 START THE PRINTEFS AUTHORIZING TOOL

To open the PrintEFS authoring tool, click the **PrintEFS** icon on your Start Menu or on your desktop. The Internet Forms Viewer opens and the PrintEFS data entry screens appear in the Internet Forms Viewer window. You can also start the PrintEFS authoring tool by going to the location or directory that you specified during download and installation and double-clicking the **PrintEFS.frm** file.

4.6 UNINSTALL AND REINSTALL PRINTEFS

The PrintEFS authoring tool may occasionally be updated, and you may need to reinstall the PrintEFS Authoring Tool to use the updated version. However, you should uninstall the

PrintEFS version that you are currently using before installing an updated version. Use the following steps to uninstall or reinstall the PrintEFS authoring tool in Windows95, Windows98, or WindowsNT.

NOTE: Before you uninstall the PrintEFS authoring tool, you should move any old forms that you have previously saved to a folder other than the C:/PrintEFS folder. This will prevent them from being erased when you uninstall PrintEFS, as the entire C:/PrintEFS folder will be deleted.

1. Click on the **Start** menu button in Windows95, Windows98, or WindowsNT, and choose **Settings** from the pop-up list, then **Control Panel** from the Settings sublist.

The *Control Panel* window appears.

2. Double-click on the **Add/Remove Programs** icon.

The *Add/Remove Programs Properties* window appears and contains a list of installed programs.

3. Scroll down and highlight the **PrintEFS** program entry (for example PrintEFS 1.0.0).
4. Click on the **Add/Remove** button.

A warning message appears confirming that you want to remove the PrintEFS application. Click **YES** to uninstall PrintEFS, or click **NO** to return to the list of installed programs. The uninstall shield will automatically uninstall the program once you click **YES**.

5. Follow the installation instructions in Section 4.4 to install a new version of the PrintEFS software.

5. PRINTEFS DATA ENTRY SCREENS

Figure 5-1 below shows the main page of the PrintEFS interface. This page provides you with access to the PrintEFS data entry screens. The PrintEFS interface consists of the Internet Forms Viewer window, the forms toolbar, the PrintEFS data entry screens, and the additional PrintEFS buttons labeled **Print <USPTO Copy for Mailing>**, **Continuity Information**, **Print Current Screen <Applicant Copy>**, and **Help**.

The screenshot shows a web browser window titled 'MAIN' with a toolbar at the top. Below the toolbar are four buttons: 'Print <USPTO Copy for Mailing>', 'Continuity Information', 'Print Current Screen <Applicant Copy>', and 'Help'. The main content area displays the 'U.S. Patent and Trademark Office, PrintEFS version 1.0.1' and the title 'PATENT APPLICATION BIBLIOGRAPHIC DATA'. The form is organized into several sections:

- INVENTOR INFORMATION:** Includes fields for 'Given Name', 'MI', 'Family Name', 'Name Suffix', 'Postal Address Line 1', 'Postal Address Line 2', 'City', 'State or Province', 'Country', and 'Postal or Zip Code'. It also has fields for 'City of Residence', 'State or Province Residence', 'Country of Residence', and 'Citizenship Country'. Buttons for 'Additional Inventors' and 'Applicant Acting For This Inventor' are present.
- CORRESPONDENCE INFORMATION:** Includes a 'Correspondence Customer Number' field, a note about USPTO correspondence customer numbers, and fields for 'Name Line One', 'Name Line Two', 'Address Line One', 'Address Line Two', 'City', 'State or Province', 'Country', and 'Postal or Zip Code'. It also has fields for 'Telephone 1', 'Telephone 2', 'Fax 1', 'Fax 2', 'Electronic Mail 1', and 'Electronic Mail 2'. A note at the bottom states: 'By an filing either a fax number or electronic mail address you are hereby authorizing USPTO to send you a routing acknowledgement. (Please refer to Section 7 of the PrintEFS user's guide for further details about this routing notice.)'
- APPLICATION INFORMATION:** Includes a 'Title of the Invention' field, 'Total Drawing Sheets' (with checkboxes for 'Formal Drawings' and 'Informal Drawings'), 'Application Type', and 'Docket Number'. It also has fields for 'Licensed U. S. Govt. Agency', 'Contract or Grant No.', and 'Secrecy Order in Parent Application?' (with 'Yes' and 'No' checkboxes). A button for 'Additional Govt. Agencies' is located below.
- REPRESENTATIVE INFORMATION:** Includes a 'Representative Customer Number' field and five 'Registration Number' fields. A button for 'Additional Representatives' is located below.
- PRIOR FOREIGN APPLICATIONS:** Includes fields for 'Foreign Application No.', 'Filing Date (MMDDYYYY)', 'Country', and 'Priority Claimed?' (with 'Yes' and 'No' checkboxes). A button for 'Additional Prior Foreign Applications' is located below.

Figure 5-1: PrintEFS Main Page.

5.1 NAVIGATING WITHIN DATA ENTRY SCREENS

To complete your patent application bibliographic data efficiently, you should be familiar with methods for moving from field to field, accessing additional screens, and using applicable functions. The following sections provide information about moving from field to field and screen to screen, main page buttons, additional features, and the forms toolbar.

5.1.1 MOVING FROM FIELD TO FIELD

Once you have opened the PrintEFS authoring tool, you can move from field to field within the data entry screens by using the **TAB** key or by using your mouse. To use the **TAB** key to move from field to field, simply press **TAB** after you complete each field. The cursor will move to the next field, and will move to any buttons included in a section once you have tabbed through all of the fields. To select a button and access an additional data entry screen, press **Return** or **spacebar** when the button is highlighted. The **TAB** function allows you to move in one direction only.

To use the mouse, click on the field that you would like to complete, and then enter information. The mouse function allows you to complete fields in the order that you choose or to go back to a field in a previous data screen.

5.1.2 MOVING FROM SCREEN TO SCREEN

Each additional screen included in the PrintEFS authoring tool is identified in the upper left corner of the Internet Forms Viewer window. For example, the main page is labeled **MAIN**, and any additional inventor screens are labeled **INVENTOR 2**, **INVENTOR 3**, and so on. The *Additional Inventors* data entry screen also includes a drop-down list that allows you to move between multiple additional inventor screens. To return to the main page of PrintEFS data entry screens from any of the additional screens, simply click the **Main Page** button near the top of each screen.

5.1.3 MAIN PAGE BUTTONS

The main page of the PrintEFS data entry screens contains the following buttons, which allow you to complete various PrintEFS tasks. These buttons are located at the top of the main page of data entry screens.

Print <USPTO Copy for Mailing> button: Allows you to print the patent application bibliographic data in the USPTO-specified format. This is the printout that you mail to USPTO.

Continuity Information button: Allows you to access an additional screen where you can enter continuity information. Please see Section 5.7 for more information regarding this additional screen.

Print Current Screen <Applicant Copy> button: Allows you to print the current page of data entry screens. This printout is for your records or use. Do not mail this printout to USPTO.

Help button: Allows you to access PrintEFS help. Please see Section 3.1.2 for more information about PrintEFS help.

5.1.4 ADDITIONAL FEATURES

The following additional features are provided for your convenience:

Required field indicators: Indicates what fields are required. All fields that are shaded yellow are required for all patent applications. Other fields may also be required depending on your specific patent application.

Checkbox: Allows you to simply check a box to indicate your answer. If you are using the **TAB** key to move from field to field, you must press the spacebar to mark or unmark a checkbox. If you are using the mouse, simply click on the checkbox to mark or unmark it. You can not mark both checkboxes in any one section.

Drop-down list: Allows you to choose from a list of possible data. If you are using the **TAB** key to move from field to field, **TAB** to the arrow on the right side of the field and then use the arrow keys to move up or down within the list. If you are using the mouse, simply click on the arrow on the right side of the list and scroll down to the appropriate entry.

5.1.5 THE FORMS TOOLBAR

The *Forms Toolbar* is located near the top left corner of the Internet Forms Viewer window. This toolbar contains icons that you click to perform various form-related activities. Figure 5-2 below shows the forms toolbar and the icons that you will use while authoring patent application bibliographic data with the PrintEFS authoring tool.

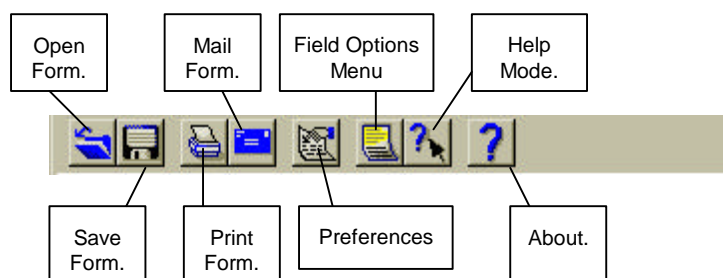


Figure 5-2: The Forms Toolbar.

The **Open Form** button allows you to open a new form or a form that you have previously saved.

The **Save Form** button allows you to save your completed PrintEFS data entry screens, and also allows you to save blank or partially completed PrintEFS data entry screens.

The **Print Form** button allows you to print the PrintEFS data entry screens. These printed data entry screens are for your records or use only, do not mail them to USPTO.

The **Mail Form** button is not available for use in PrintEFS.

The **Preferences** button allows you to *view* various settings. **Do not** change any of the values in the Preferences screen.

The **Field Options Menu** button allows you to select from the following commands when the cursor is placed inside a data entry field: undo, cut, copy, paste, delete, select all. You can easily copy or move information to another field using these commands.

The **Help Mode** button activates the available tool tips—when you place the cursor or the mouse arrow over a field, a tool tip box will provide you with information about the data that you should enter in that field.

The **About** button allows you to view information about the UWI Internet Forms Viewer 4.1.5.

5.2 INVENTOR INFORMATION SCREEN

The *Inventor Information* data entry screen contains fields for information describing the inventor and buttons that provide access to additional data entry screens. You must enter inventor information for any patent application, even if a party other than the inventor is filing the application. You can access the following fields and additional screens from the *Inventor Information* data entry screen.

5.2.1 FIELDS

Given Name: Enter the first name of the inventor. This field is required and has a maximum of 42 characters.

NOTE: If you would like to enter your middle name rather than a middle initial, please enter it after your first name in the Given Name field. Enter one space between your first and middle names, and leave the **Middle Initial** field blank.

The **Given Name** field has a maximum of 42 characters—your first name and middle name combined must be no more than 42 characters. Please use an abbreviated version of your middle name, such as the initial only, if your first and middle name combined are more than 42 characters.

MI: Enter the middle initial of the inventor. This field is optional and has a maximum of 1 character.

Family Name: Enter the last name or surname of the inventor. This field is required and has a maximum of 50 characters.

Name Suffix: Enter a generation title such as Jr., III, etc. This field is optional and has a maximum of 10 characters.

Postal Address Line 1: Enter the address where the inventor receives mail. This address is not necessarily the same as the correspondence address. This field is required and has a maximum of 42 characters.

Postal Address Line 2: Enter any address information that does not fit on Postal Address Line 1. This field is optional and has a maximum of 42 characters.

City: Enter the city where the inventor receives mail. This field is required and has a maximum of 40 characters.

State or Province: Enter the U.S. state or Canadian province where the inventor receives mail. For example, enter a U.S. state such as Alabama or a Canadian province such as British Columbia. This field is required *only* for those inventors whose postal address is within the

United States or Canada, and the field has a maximum of 48 characters. Do not fill out this field if the postal address is for a country other than the United States or Canada.

Country: Enter the country where the inventor receives mail. This field is required only for those inventors whose postal address is *not* within the United States, and the field has a maximum of 50 characters

Postal or Zip Code: Enter the postal or zip code where the inventor receives mail. This field is required only for nations or countries that use postal or zip codes, and the field has a maximum of 20 characters.

City of Residence: Enter the city where the inventor resides if it is different from the city named in the postal address. If the inventor resides in the city that is used in the postal address, leave this field blank. This field is optional and has a maximum of 40 characters.

State or Province of Residence: Enter the U.S. state or Canadian province where the inventor resides, if it is different from the state or province named in the postal address. If the inventor resides in the state or province that is used in the postal address, leave this field blank. *Do not* use this field if the inventor resides in a country other than the U.S. or Canada. This field has a maximum of 35 characters.

Country of Residence: Enter the country where the inventor resides if it is different from the country named in the postal address. If the inventor resides in the country named in the postal address, leave this field blank. This field is required only for those inventors whose country of residence is *not* the United States, and the field has a maximum of 45 characters.

Citizenship Country: Enter the country where the inventor is a citizen. This field is required and has a maximum of 46 characters.

5.2.2 ADDITIONAL SCREENS

There are two buttons in the *Inventor Information* data screen that provide additional data entry screens for inventor information. These buttons—**Additional Inventors** and **Applicant Acting for this Inventor**—are located to the right of the name fields. The bottom button, **Applicant Acting For This Inventor**, provides an additional screen where you can enter information about a party other than the inventor listed on the main page, if such party is completing the application on behalf of the inventor. The top button, **Additional Inventors**, provides an additional screen where you can enter information about any additional inventors.

NOTE: When you access an additional screen, you activate the required fields in that screen. Therefore, if you click either of these buttons to access additional screens and then decide not to complete the screens, you will receive an error message when you attempt to print or save the data entry screens. You can ignore this error message if you did not intend to enter any information in the additional screen that you accessed. Please see Section 8, Common Error Messages, for an explanation of this error.

ADDITIONAL INVENTORS SCREEN

The additional inventors screen contains the same fields as the *Inventor Information* data entry screen located on the main page, and also includes a section to enter information about an applicant acting on behalf of the additional inventor. Another **Additional Inventors** button

is located on this second screen, should you need to include even more inventors. You can enter as many inventors as needed. The drop-down list near the top of this additional screen allows you to move between multiple additional inventor data entry screens.

APPLICANT INFORMATION SCREEN

If a party other than the inventor is filing a patent application on behalf of an inventor who is unable or unwilling to file on their own behalf, you must complete the *Applicant Information* data entry screen in addition to the *Inventor Information* data entry screen. The *Applicant Information* screen applies *only* to cases where the inventor is unable or unwilling to file—for example, if an inventor is deceased or mentally incompetent.

Click on the **Applicant Acting For This Inventor** button in the *Inventor Information* section to access an additional screen if the applicant is acting on behalf of the inventor listed on the main page. If the applicant is acting on behalf of an additional inventor, fill out the *Applicant Acting for the Inventor Above* section on the *Additional Inventor* data entry screen. The *Applicant Information* data entry screen contains the following fields.

Given Name: Enter the first name of the applicant. This field is required and has a maximum of 42 characters.

MI: Enter the middle initial of the applicant. This field is optional and has a maximum of 1 character.

Family Name: Enter the last name or surname of the applicant. This field is optional and has a maximum of 50 characters.

Name Suffix: Enter a generation title such as Jr., III, etc. This field is optional and has a maximum 10 characters.

Authority Under: From the top drop-down list, select the authority under which the applicant is acting on behalf of this inventor.

- Authority under 37 CFR 1.42 - deceased inventor.
- Authority under 37 CFR 1.43 - insane or legally incapacitated inventor.
- Authority under 37 CFR 1.47 - inventor refuses to sign or cannot be found.

From the bottom drop-down list, select the code that indicates the identity of the applicant who is filing the application on behalf of the inventor.

- 02 - Administrator of NASA.
- 08 - Party of Interest under 35 USC 118.
- 11 - Legal Representative under 35 USC 117.

Postal Address Line 1: Enter the address where the applicant receives mail. This address is not necessarily the same as the correspondence address. This field is required and has a maximum of 42 characters.

Postal Address Line 2: Enter any address information for the applicant that did not fit in Postal Address Line 1. This field is optional and has a maximum of 42 characters.

City: Enter the city where the applicant receives mail. This field is required and has a maximum of 40 characters.

State or Province: Enter the U.S. state or Canadian province where the applicant receives mail. This field is required only for those applicants whose postal address is within the United States or Canada, and the field has a maximum of 48 characters. Do not fill out this field if the postal address is in a country other than the United States or Canada.

Country: Enter the country where the applicant receives mail. This field is required only for those applicants whose mailing address is *not* within the United States, and the field has a maximum of 50 characters.

Postal or Zip Code: Enter the postal or zip code where the applicant receives mail. This field is required only for nations and countries that use postal or zip codes, and the field has a maximum of 20 characters.

City of Residence: Enter the city where the applicant resides if it is different from the city named in the postal address. If the applicant resides in the city that is used in the postal address, leave this field blank. This field is optional and has a maximum of 40 characters.

State or Province of Residence: Enter the U.S. state or Canadian province where the applicant resides if it is different from the state or province named in the postal address. If the applicant resides in the state or province that is used in the postal address, leave this field blank. This field has a maximum of 35 characters. Do not use this field if the applicant resides in a country other than the U.S. or Canada.

Country of Residence: Enter the country where the applicant resides if it is different from the country named in the postal address. If the applicant resides in the country named in the postal address, leave this field blank. This field is required only for those applicants whose country of residence is *not* the United States, and the field has a maximum of 45 characters.

Citizenship Country: Enter the country where the applicant is a citizen. This field is required and has a maximum of 46 characters.

5.3 CORRESPONDENCE INFORMATION SCREEN

The **Correspondence Information** data entry screen contains fields for information about the address you wish to designate as the single address to which all correspondence from the USPTO is to be sent. If you have a customer number on file at the USPTO which is associated with your correspondence address, simply enter that number in the appropriate field and the PrintEFS authoring tool will block out all other correspondence fields that you do not need to complete. If you do not have a customer number on file at the USPTO, you must complete the other **Correspondence Information** fields.

If you enter a Customer Number which is associated with your correspondence address, and then press the **TAB** key, you will move directly to the **Fax1** field and then to the **Email1** field. Only the Fax and Email fields are active when you enter a customer number in the Correspondence Information Customer Number data field.

Please enter either a fax number or an email address if you want to receive a courtesy fax or email from the USPTO (see Section 7 of this guide for more information about the courtesy notice). This courtesy notice will tell you when the USPTO has received your patent application. If you do not want to receive a courtesy notice, simply **TAB** through the Fax and Email fields to the **Application Information** section.

5.3.1 FIELDS

Correspondence Customer Number: Correspondence Customer Number: Enter the customer number you have on file with the USPTO that designates the addressee and postal address to which all correspondence from the USPTO will be sent. If you do not have a customer number, complete the other correspondence information fields listed below.

NOTE: The customer number entered in the Correspondence Customer Number data field may be the same customer number entered in the Representative Customer Number data field.

Name Line One: Enter the name of the addressee to whom all correspondence from the USPTO will be mailed. This field is required and has a maximum of 50 characters.

Name Line Two: Enter any additional name information, such as company name, etc. This field is optional and has a maximum of 50 characters.

Address Line One: Enter the address where all correspondence from the USPTO will be mailed. This field is required and has a maximum of 49 characters.

Address Line Two: Enter any additional address information. This field is optional and has a maximum of 49 characters.

City: Enter the city of the postal address where all correspondence from the USPTO will be mailed. This field is required and has a maximum of 40 characters.

State or Province: Enter the U.S. state or Canadian province of the postal address where all correspondence from the USPTO will be mailed. This field is required only if the correspondence postal address is within the United States or Canada, and the field has a maximum of 48 characters. Do not fill out this field if the correspondence postal address is in a country other than the United States or Canada.

Country: Enter the country of the postal address where all correspondence from the USPTO will be mailed. This field is required only if the correspondence mailing address is *not* within the United States, and the field has a maximum of 50 characters.

Postal or Zip Code: Enter the postal or zip code of the mailing address where all correspondence from the USPTO will be mailed. This field is required only for nations or countries that use postal or zip codes, and the field has a maximum of 20 characters.

Telephone 1: Enter a primary telephone number (voice) that the USPTO can use to make inquiries. This field is optional and has a maximum of 40 characters.

Telephone 2: Enter an alternative telephone number (voice) that the USPTO can use to make inquiries. This field is optional and has a maximum of 40 characters.

Fax 1: Enter a primary facsimile number that the USPTO can use to fax written inquiries. This field is optional and has a maximum of 40 characters.

Fax 2: Enter an alternative facsimile number that the USPTO can use to fax written inquiries. This field is optional and has a maximum of 40 characters.

Electronic Mail 1: Enter a primary Internet electronic mail (e-mail) address that the USPTO can use to send e-mail inquiries. This field is optional and has a maximum of 46 characters.

Electronic Mail 2: Enter an alternative Internet electronic mail (e-mail) address that the USPTO can use to send e-mail inquiries. This field is optional and has a maximum of 46 characters.

5.4 APPLICATION INFORMATION SCREEN

The **Application Information** data entry screen contains fields that describe the patent application that you are filing. You must complete all fields that apply to your patent application.

5.4.1 FIELDS

Title of the Invention: Enter the full title of the invention. Include all spaces and punctuation. This field is required and has a maximum of 280 characters.

NOTE: To enter the title of your invention, type the title with all punctuation and spaces in the **Title of Invention** field. Do not press return at any time, and do not attempt to add additional space or punctuation other than that which is a part of the title. PrintEFS will divide the title and print it on four lines in the PrintEFS output. This printed output may include broken words—words that are separated, with part on one line and part on the next line. This is the correct format for the PrintEFS output, do not attempt to correct the broken words by spacing the title differently.

Total Drawing Sheets: Enter the number of pages of drawings that you are submitting with this application. A page can contain more than one figure—please enter the total number of *pages*. If you are not submitting any drawings, enter the number zero (0). This field has a maximum of 4 characters.

Formal Drawings/Informal Drawings: Check either formal or informal drawings, depending on what type of drawings you are submitting. If you declare formal drawings, a draftsman will review them for formalities. If you declare informal drawings, a draftsman will not review them for formalities; however, formal drawings may be required by USPTO at a later date. If you do not check either box and you have entered a number other than zero for **Total Drawing Sheets**, the default value *Informal Drawings* is printed in your output.

Application Type: Select the type of application you are submitting from the drop-down list. Choose from Utility, Design, Plant, Provisional, Utility Reissue, Design Reissue or Plant Reissue. You can not use PrintEFS for Reexamination applications.

Docket Number: Enter a personal reference number, if desired. This is a number that you choose as a means of identifying your application. It is not assigned by the USPTO and is different from a serial number. This field is optional and has a maximum of 12 characters.

Licensed U.S. Govt. Agency: If applicable, enter the name of the United States Government Agency that sponsored research related to the invention under government contract or federal grant. This field has a maximum of 40 characters.

Contract or Grant Number: If you completed the Licensed U.S. Govt. Agency field, enter the contract or grant number under which the invention was developed. This field has a maximum of 40 characters.

Secrecy Order in Parent Application: Check the appropriate box to indicate whether a related parent application was placed under a secrecy order. Please see 37 CFR 5.2 and MPEP 115, 120-121, 130 for further information. If you do not check either box, the default value *No* is printed in your output.

5.4.2 ADDITIONAL SCREENS

You can enter more than one Government Agency and Contract or Grant number by clicking on the **Additional Government Agencies** button in the Application Information section. This button opens an additional data entry screen that displays a series of fields labeled **Licensed U.S. Govt. Agency** and **Contract or Grant Number**. Enter information about any additional government agencies or contracts in these fields.

5.5 REPRESENTATIVE INFORMATION SCREEN

This section allows you to designate up to 185 representatives using a representative customer number, individual registration number(s), or both. You can also choose *not* to designate any representatives.

5.5.1 FIELDS

Representative Customer Number: Enter the customer number you have on file with the USPTO that designates the representative(s) authorized to prosecute the application before the USPTO. You can also appoint authorized representatives by supplying individual registration numbers (see **Registration Number** below).

NOTE: The customer number entered in the Representative Customer Number data field may be the same customer number entered in the Correspondence Customer Number data field.

Registration Number: Enter the five-digit individual registration number of the practitioner(s) recognized by the USPTO to act on behalf of the applicant or inventor. This field is optional and has a maximum of five digits. This section allows you to enter five registration numbers.

NOTE: Attorneys who have a probationary registration number should not include the letter P that precedes their registration number. Simply enter the registration number.

5.5.2 ADDITIONAL SCREENS

You can enter information about additional representatives by clicking on the **Additional Representatives** button. This button opens an additional data entry screen that displays five columns of **Registration Number** fields. You may enter up to 185 representatives.

5.6 PRIOR FOREIGN INFORMATION SCREEN

This section allows you to identify any previously filed foreign applications that are related to the current application and to indicate whether or not you are claiming foreign priority under 35 USC 119 for these applications.

5.6.1 FIELDS

Foreign Application No.: Enter the application number of the prior foreign application. This field has a maximum of 15 characters.

Filing Date: Enter the filing date granted to the prior foreign application in MM-DD-YYYY format. This field has a maximum of 20 characters.

Country: Enter the name of the country in which the prior foreign application was filed. This field has a maximum of 50 characters.

Priority Claimed?: Indicate whether the applicant is claiming priority for this foreign application by selecting the appropriate check box. If you do not check either box, the default value of *No* is printed in your output.

5.6.2 ADDITIONAL SCREENS

You can identify additional prior foreign applications by clicking on the **Additional Prior Foreign Applications** button at the bottom of this section. This button opens an additional data entry screen that displays the following fields: **Foreign Application No.**, **Filing Date**, **Country**, and **Priority Claimed**. Complete these fields as necessary.

5.7 CONTINUITY INFORMATION SCREEN

The *Continuity Information* screen is an additional data entry screen that you can access by clicking the **Continuity Information** button near the top of the main page. The programming logic behind this data entry screen allows you to capture and print even extremely complex continuity scenarios simply by entering the relationship between the more recent (child) application and the previous (parent) application.

5.7.1 FIELDS

The *Continuity Information* data entry screen includes the following fields. All fields except for the **Patent No.** field are required for each continuity relationship that you enter.

Application No.: This field is located on the left side of the *Continuity Information* data entry screen, and contains a drop-down list that allows you to select either "This Application" (the current application) or any parent application number that you have entered in the second **Application No.** field of any previous row. This field has a maximum of 15 characters.

NOTE: Because the claim for continuity always begins with the application that you are currently filing, the first **Application No.** entry will always be "This Application". You can not enter any number that is not already listed in the second **Application No.** column.

Type: This field contains a drop-down list that allows you to select one of the permitted types of continuity relationships. Select the type of relationship between the more recent (child) application number and the previous (parent) application number. You should have already entered the child application number in the previous **Application No.** field, and will enter the parent application number in the next **Application No.** field.

Application No.: This field is located in the center of the *Continuity Information* data entry screen and contains a drop-down list that allows you to either type in a new patent application

number or select a patent application number that you have entered in either of the **Application No.** fields of any previous rows. Enter the application number of the previous (parent) application. This field has a maximum of 15 characters.

Filing Date: Enter the filing date granted to the previous (parent) application number in MM-DD-YYYY format. For example, enter a date of January 2, 2001 as 01-02-2001. You must include the preceding zero for a month or day that is only one digit.

Patent Number: Enter the United States patent number granted to the parent application, if applicable. This field is optional and has a maximum of 13 characters.

5.7.2 ADDITIONAL SCREENS

You can enter additional continuity data by clicking on the **Additional Continuity Information** button at the bottom of this section. This button opens an additional data entry screen that displays the following fields: **Application No.**, **Type**, **Application No.**, **Filing Date**, and **Patent Number**. Complete these fields as necessary.

5.7.3 TYPES OF CONTINUITY RELATIONSHIPS

There are three types of continuity relationships that you normally encounter: simple linear relationships, simple branching relationships, and complex multiple branching relationships. The majority of continuity data falls into the simple linear relationship category; however, the PrintEFS authoring tool is powerful enough to handle all three scenarios.

EXAMPLE 1: SIMPLE LINEAR CONTINUITY

The most common type of continuity claim is a simple linear relationship. In a simple linear relationship, the claim for continuity follows a sequential linear order from the application that you are currently filing all the way back to the oldest parent application. The following paragraph is an example of how this type of continuity claim would appear in the beginning of a specification of a patent application.

This application is a continuation in part of application number 11/999,999 filed December 29, 2002, now abandoned, which is a continuation in part of application number 11/888,888 filed June 29, 2002, now U.S. patent number 6,000,999, which is a continuation of application number 11/777,777 filed January 29, 2002, now abandoned, which is a 371 of application number PCT/IB01/99999 filed August 29, 2001.

Figure 5-3 below illustrates the simple linear continuity relationship graphically, and Figure 5-4 shows how this specific example of continuity would be entered on the PrintEFS **Continuity Information** data entry screen. A sample of the PrintEFS output for this simple linear continuity relationship is shown in Section 11.1.

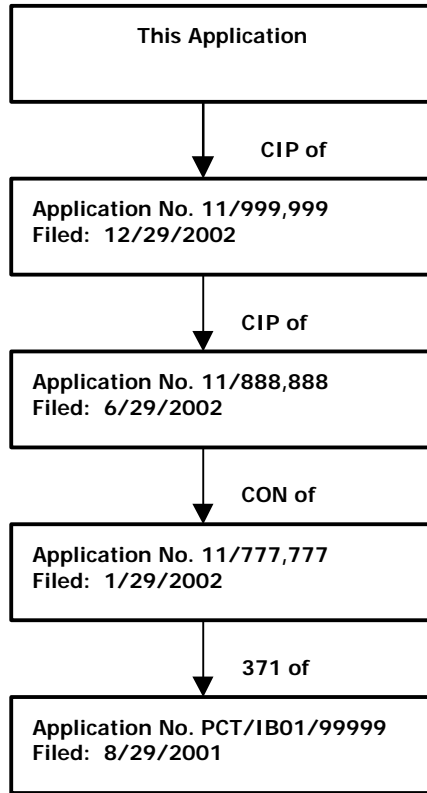


Figure 5-3: Simple Linear Continuity Chain (Example 1).

CONTINUITY INFORMATION				
Application No.	Type	Application No.	Filing Date	Patent Number
This Application	CONTINUATION IN PART OF	11999999	12-29-2002	
11999999	CONTINUATION IN PART OF	11888888	06-29-2002	6000999
11888888	CONTINUATION OF	11777777	01-29-2002	
11777777	371 OF	PCTIB0199999	08-29-2001	
			- -	

Figure 5-4: Data Entry for Simple Linear Continuity Chain (Example 1).

EXAMPLE 2: SIMPLE BRANCHING CONTINUITY

Another type of continuity claim is a simple branching relationship. This relationship is similar to the simple linear relationship; however, instead of following a sequential linear path, there may be one or two simple two-element branches somewhere between the current application and the oldest parent application. The following paragraph is an example of how this type of continuity claim would appear in the beginning of a specification of a patent application.

This application is a continuation in part of application number 11/999,001 filed December 01, 2002, now abandoned, which is a division of application number 11/888,001 filed June 01, 2002, now U.S. patent number 6,000,980, which is a continuation in part of application number 11/777,001 filed December 01, 2001, now abandoned. This application is also a continuation in part of application number 11/999,111 filed December 20, 2002, currently pending, which is a division of application number 11/888,111 filed June 20, 2002, now abandoned, and is a continuation in part of application number 11/888,222 filed June 25, 2002, now U.S. patent number 6,001,980.

Figure 5-5 below illustrates the simple branching continuity relationship graphically, and Figure 5-6 shows how this specific example of continuity would be entered on the PrintEFS *Continuity Information* data entry screen. A sample of the PrintEFS output for this simple branching continuity relationship is shown in Section 11.2.

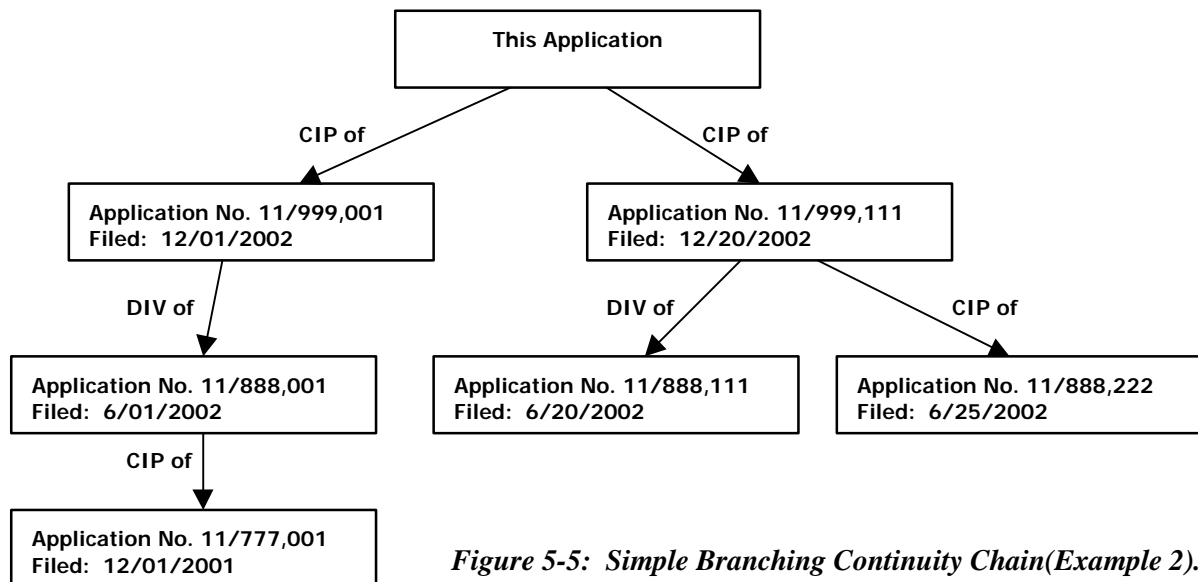


Figure 5-5: Simple Branching Continuity Chain(Example 2).

CONTINUITY INFORMATION					
Application No.	Type	Application No.	Filing Date	Patent Number	
This Application ▼	CONTINUATION IN PART OF ▼	11999001 ▼	12-01-2002		
11999001 ▼	DIVISION OF ▼	11888001 ▼	06-01-2002	6000980	
11888001 ▼	CONTINUATION IN PART OF ▼	11777001 ▼	12-01-2001		
This Application ▼	CONTINUATION IN PART OF ▼	11999111 ▼	12-20-2002		
11999111 ▼	DIVISION OF ▼	11888111 ▼	06-20-2002		
11999111 ▼	CONTINUATION IN PART OF ▼	11888222 ▼	06-25-2002	6001980	

Figure 5-6: Data Entry for Simple Branching Continuity Chain (Example 2).

EXAMPLE 3: COMPLEX BRANCHING CONTINUITY

The final type of continuity relationship is a complex, multiple branching relationship. This type of claim for continuity may include numerous multi-element branches that loop back to other elements in the chain at various points. The following paragraph is an example of how this type of continuity claim would appear in the beginning of a specification of a patent application:

This application is a continuation of application number 13/950,854 filed September 22, 2012, now U.S. patent number 7,502,158, which is a continuation in part of application number 13/579,000 filed September 6, 2010, now U.S. patent number 7,216,050, a continuation in part of application number 13/579,005 filed September 6, 2010, now U.S. patent number 7,180,763, a continuation in part of application number 13/579,460 filed September 6, 2010, now U.S. patent number 7,252,642, and a continuation in part of application number 13/579,465 filed September 6, 2010, now abandoned, said application numbers 13/579,000, 13/579,005, 13/579,460, and 13/579,465, each is a continuation in part of application number 13/387,676 filed July 31, 2009, now abandoned, a continuation in part of application number 13/387,678 filed July 31, 2009, now abandoned, and a continuation in part of application number 13/386,844 filed July 31, 2009, now abandoned.

Figure 5-7 below illustrates the complex branching continuity relationship graphically, and Figure 5-8 shows how this type of continuity information would be entered on the PrintEFS continuity data screen.. As Figure 5-7 illustrates, the continuity relationship includes complex multi-element branches that contain relationships to multiple other elements in the chain. A sample of the PrintEFS output for this complex branching continuity relationship is shown in Section 11.3.

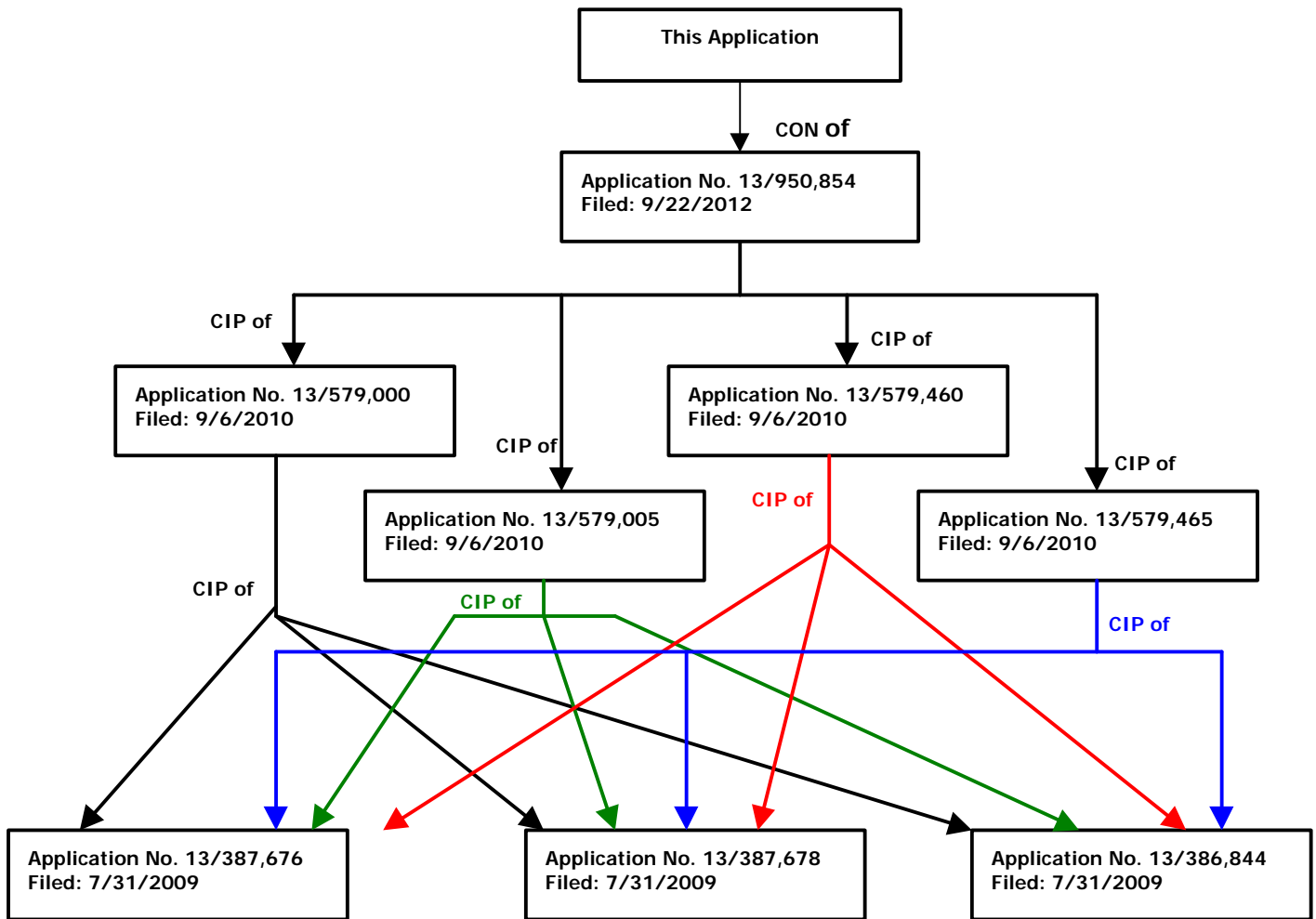


Figure 5-7: Complex Branching Continuity Chain (Example 3).

CONTINUITY INFORMATION					
Application No.	Type	Application No.	Filing Date	Patent Number	
This Application ▼	CONTINUATION OF ▼	13950854 ▼	09-22-2012 ▼	7502158	
13950854 ▼	CONTINUATION IN PART OF ▼	13579000 ▼	09-06-2010 ▼	7216050	
13950854 ▼	CONTINUATION IN PART OF ▼	13579005 ▼	09-06-2010 ▼	7180763	
13950854 ▼	CONTINUATION IN PART OF ▼	13579460 ▼	09-06-2010 ▼	7252642	
13950854 ▼	CONTINUATION IN PART OF ▼	13579465 ▼	09-06-2010 ▼		
13579000 ▼	CONTINUATION IN PART OF ▼	13387676 ▼	07-31-2009 ▼		
13579000 ▼	CONTINUATION IN PART OF ▼	13387678 ▼	07-31-2009 ▼		
13579000 ▼	CONTINUATION IN PART OF ▼	13386844 ▼	07-31-2009 ▼		
13579005 ▼	CONTINUATION IN PART OF ▼	13387676 ▼	07-31-2009 ▼		
13579005 ▼	CONTINUATION IN PART OF ▼	13387678 ▼	07-31-2009 ▼		
13579005 ▼	CONTINUATION IN PART OF ▼	13386844 ▼	07-31-2009 ▼		
13579460 ▼	CONTINUATION IN PART OF ▼	13387676 ▼	07-31-2009 ▼		
13579460 ▼	CONTINUATION IN PART OF ▼	13387678 ▼	07-31-2009 ▼		
13579460 ▼	CONTINUATION IN PART OF ▼	13386844 ▼	07-31-2009 ▼		
13579465 ▼	CONTINUATION IN PART OF ▼	13387676 ▼	07-31-2009 ▼		
13579465 ▼	CONTINUATION IN PART OF ▼	13387678 ▼	07-31-2009 ▼		
13579465 ▼	CONTINUATION IN PART OF ▼	13386844 ▼	07-31-2009 ▼		

Figure 5-8: Data Entry for Complex Branching Continuity Chain (Example 3).

6. SAVE AND PRINT FUNCTIONS

6.1 SAVING DATA ENTRY SCREENS

You can save PrintEFS data entry screens at any time, either blank or filled with your patent application bibliographic data. Saving the data entry screens preserves your patent application bibliographic data so that you can change or print it at a later date. Use the following procedure to save PrintEFS data entry screens.

1. Click the **Save Form** button on the Forms Toolbar.

A warning message appears if you have not completed all required fields. Click **No** to return to the data entry screens to enter all required information. Click **Yes** if you want to save the data entry screens without data or with partially complete data. A **Save Form: Specify Filename** dialog box appears suggesting a default save location, **Internet Forms Viewer 4.1.5**.

2. Enter a file name for the data entry screens that you are saving and change the Save location if you want to save the data entry screens in a location other than the default location. Click **Save**.

The PrintEFS data entry screens are saved with a .frm extension in the default location or in the alternate location that you specified.

6.2 SAVING BIBLIOGRAPHIC DATA OUTPUT

You can not save your patent application bibliographic data in patent application data entry format, the format of the PrintEFS output. However, saving the bibliographic data in the PrintEFS data entry screens—as discussed above—allows you to access and print your patent application bibliographic data at any time.

6.3 PRINTING DATA ENTRY SCREENS

To print the PrintEFS data entry screens, use the following procedure:

1. Click the **Print Form** button on the Forms Toolbar.

A warning message appears if you have not completed all required fields. Click **No** to return to the data entry screens to enter all required information. Click **Yes** if you want to print the data entry screens without data or with partially complete data. A **Print** dialog box appears.

2. Click **OK** to print to your default printer.

The PrintEFS data entry screens are printed on your default printer.

NOTE: When you click the **Print** button on the Forms Toolbar, you print *all* of the PrintEFS data entry screens. You can print single data entry screens using the **Print Current Screen<Applicant Copy>** button on each data entry screen. Just click the **Print Current Screen<Applicant Copy>** button rather than the **Print Form** button when you are in the screen that you would like to print, and then follow Step 2 above.

6.4 PRINTING BIBLIOGRAPHIC DATA OUTPUT

Once you have completed the data entry screens, you can print out the patent application bibliographic data output to submit to USPTO. The printout will be in Standard Patent Application Data Entry Format, ready for the USPTO to convert it to electronic form. If you have not completed all of the required fields, or if the values you used are invalid (a number in a text-only field, etc.), an error message appears. If such an error message appears, please return to the form and complete or correct the appropriate sections.

1. Click on the **Print <USPTO Copy for Mailing>** button located near the top of the main page of data entry screens.

A warning message appears if you have not completed all required fields. Click **No** to return to the data entry screens to enter all required information. Click **Yes** if you want to print partial data.

The PrintEFS output is printed in patent application bibliographic data entry format on your default printer.

When you print your patent application bibliographic data output in PrintEFS, the text will be in courier font, 12 pitch. The following text is an example of the PrintEFS output format.

INVENTOR INFORMATION

Inventor One Given Name:: John
Middle Initial:: Q
Family Name:: Public
Name Suffix:: Jr
Postal Address Line One:: 123 Tree Lane
Postal Address Line Two:: Suite 300
City:: Los Angeles
State or Province:: CA
Postal or Zip Code:: 90123
City of Residence:: Arlington
State or Province of Residence:: VA
Citizenship Country:: USA
Inventor Two Given Name:: Jane
Family Name:: Doe
Postal Address Line One:: 2231 Crystal Drive
City:: Arlington
State or Province:: VA
Citizenship Country:: USA

CORRESPONDENCE INFORMATION

Name Line One:: Joseph Lawyer
Name Line Two:: XYZ Corporation
Address Line One:: 100 Innovation Street
Address Line Two:: Suite 109
City:: Los Angeles
State or Province:: CA
Postal or Zip Code:: 90213
Telephone One:: 9995551234
FAX One:: 9995554321
Electronic Mail One:: lawyer@xyz.com
Electronic Mail Two:: paralegal@xyz.com

7. MAILING PRINTEFS OUTPUT

Once you have successfully completed the PrintEFS data entry screens and printed to paper your patent application bibliographic data as PrintEFS formatted text, you will submit the PrintEFS patent application bibliographic data sheet to the USPTO along with your other paper patent application documents.

If you have entered an e-mail address in your patent application bibliographic data, the USPTO will send you an acknowledgment letter after your patent application documents have been scanned into the Office's archival image database. An example of the acknowledgment letter is shown below.

NOTE: By providing an Electronic Mail address in the PrintEFS Correspondence Information data entry screen, you are implicitly authorizing USPTO to send the acknowledgment letter via electronic mail. This does not authorize USPTO to use your electronic mail address for any other communication regarding the application.

COURTESY ACKNOWLEDGMENT OF APPLICATION RECEIPT

Application Serial Number: _____

Mailroom Date: _____

Docket Number: _____

Thank you for using the Patent Application Data Entry Format. The above identified application was received by the U.S. Patent and Trademark Office on the above date and has been imaged captured by the Patent Image Capture System. The above date does NOT represent that a filing date has been granted. A filing date receipt will be sent once an initial formalities examination of the application papers has been completed and all required parts of the application needed for granting of a filing date have been found to be present.

Date E-mailed

N.B. : This is only a courtesy notice. USPTO is under no obligation to send this notice. Failure by USPTO to send such notice or non-receipt by applicant(s) shall have NO effect on the rights and/or obligations of either PTO or applicant(s)

8. COMMON ERROR MESSAGES

8.1 SAVING AND PRINTING DATA ENTRY SCREENS

If you attempt to save or print the PrintEFS data entry screens without completing all required fields, you will receive the warning message shown in Figure 8-1 below. Click **No** to return to the data entry screens to complete the required fields. Click **Yes** to save or print without completing all required fields.

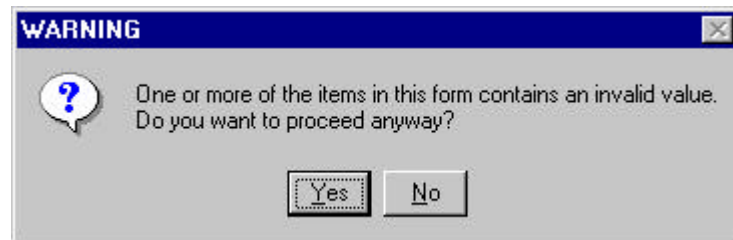


Figure 8-1: Warning Message for Invalid Value—Printing Data Entry Screens.

NOTE: This warning message will also appear if you have accessed one of the additional screens but have not completed required fields in that additional screen. If you have decided not to use the additional screen, you can ignore this message. Click **Yes** to proceed.

8.2 PRINTING PRINTEFS OUTPUT

If you click the **Print <USPTO Copy for Mailing>** button without completing all required fields, you will receive the warning message shown in Figure 8-2. Click **No** to return to the data entry screens to complete the required fields. Click **Yes** to print output without completing all required fields. **Do not mail this output to USPTO without completing all required fields.**

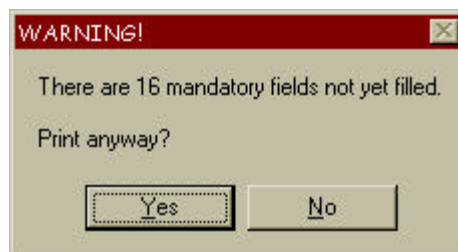


Figure 8-2: Warning Message for Invalid Value—Printing PrintEFS Output.

NOTE: This warning message will also appear if you have accessed one of the additional screens but have not completed required fields in that additional screen. If you have decided not to use the additional screen, you can ignore this message. Click **Yes** to print. You **can** mail this output to USPTO, since you have determined that you do not need to use the additional screen and all other required fields are completed.

8.3 ENTERING DATES

If you enter an invalid date in a date field the warning message shown in Figure 8-3 below appears. For example, if you entered 02-30-1999 in a date field the warning message would appear and keep you from leaving that field, since there is no 30th day in the month February.

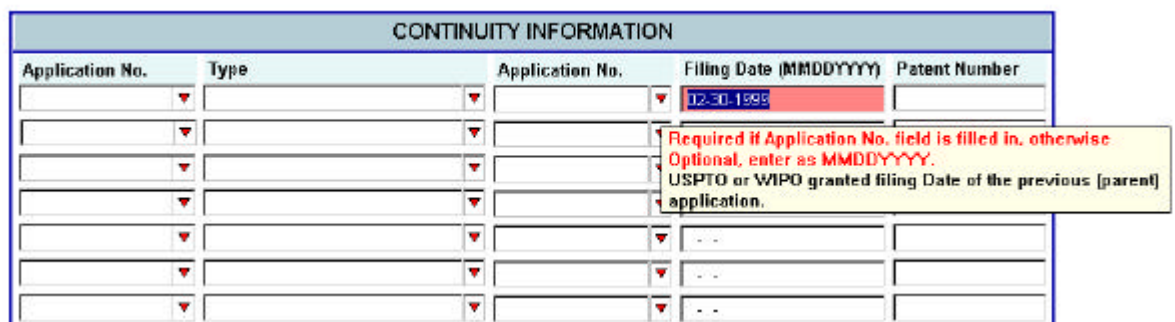


Figure 8-3: Invalid Data—Completing Date Fields.

8.4 REINSTALLING PRINTEFS ON NETWORK PCs

The error message shown in Figure 8-4 may appear when you attempt to reinstall PrintEFS on networked machines where the user does not have local administration privileges. This is because an installation program attempts to overwrite files already on the hard drive. To avoid this error, completely uninstall the PrintEFS application before attempting to reinstalling it. This affects only the PrintEFS installation program and not the UWI Internet Forms Viewer.



Figure 8-4: Installation Error.

8.5 FTP ERRORS

If you receive an FTP error message while attempting to download the PrintEFS Authoring Tool or the Internet Forms Viewer, please wait and try to download at another time. An FTP error indicates that the PrintEFS web server is unavailable.

9. KNOWN PROBLEMS

9.1 OPENING PRINTEFS DATA ENTRY SCREENS

When you save and then reopen PrintEFS data entry screens that contain a large number of additional inventors, it may take several minutes to load the PrintEFS authoring tool and the data entry screens. This is a result of the multiple additional screens that the authoring tool must load, and it may affect other aspects of PrintEFS as well. Generally, when you have multiple additional inventors the PrintEFS authoring tool will slow down.

9.2 INTERFERENCE WITH OTHER APPLICATIONS

The UWI Internet Forms Viewer uses a .frm extension for files, as does Microsoft Visual Basic and Corel WordPerfect. If you install Microsoft Visual Basic or Corel WordPerfect after installing the UWI Internet Form Viewer, double-clicking on .frm files will not launch the UWI Internet Forms Viewer but will launch the application that was installed last. The PrintEFS data entry screens will not launch properly.

To correct this problem, simply reinstall the UWI Internet Forms Viewer or manually configure the .frm extension back to the UWI Internet Forms Viewer application using Windows Explorer.

9.3 REINSTALLING PRINTEFS ON NETWORK PCs

The error message shown in Figure 8-4 may appear when you attempt to reinstall PrintEFS on networked machines where the user does not have local administration privileges. This is because an installation program attempts to overwrite files already on the hard drive. To avoid this error, completely uninstall the PrintEFS application before attempting to reinstalling it. This affects only the PrintEFS installation program and does not affect the UWI Internet Forms Viewer.

9.4 USING NETSCAPE NAVIGATOR 4.08

If you are using Netscape Navigator 4.08 as your default web browser, an error may occur when you click the HELP button inside the PrintEFS data entry screens. Netscape Navigator 4.08 pauses while launching the browser to allow you to select a user profile. This pause in launching the browser prevents the UWI viewer from locating the browser. You may avoid this problem by opening the browser before you click the HELP button, or by re-clicking the HELP button (without closing the browser) after the error occurs. This error does not affect any earlier versions of Netscape Navigator, through release 4.06.

10. FREQUENTLY ASKED QUESTIONS

10.1 HOW DO I KNOW WHAT TO TYPE IN EACH FIELD?

Activate the Tool Tips help function and place the mouse over the field that you would like information about. The Tool Tip will tell you what information belongs in the specific field and the maximum number of characters accepted. For more information about Tool Tips, see 3.1.2 Online Help.

10.2 HOW DO I PRINT MY BIBLIOGRAPHIC DATA?

There are two methods of printing your patent application bibliographic data—printing data entry screens and printing PrintEFS output.

You can print the data entry screens that contain your patent application bibliographic data by clicking the **Print Current Screen <Applicant Copy>** button on the desired page (prints current page only) or by clicking the **Print Form** icon on the Forms Toolbar (prints entire form, including additional screens).

You can print your patent application bibliographic data in the USPTO-specified format by clicking the **Print<USPTO Copy for Mailing>** button located at the top of the main page of data entry screens.

10.3 ARE ALL THE REQUIRED FIELDS SHADED YELLOW?

All of the required fields are NOT shaded yellow, because the bibliographic data fields that are required for a specific patent application are different for inventor's or applicant's who live or have mailing addresses in different countries. For example, the **State or Province** field is required for inventors and applicants who live in the United States or Canada only, while the **Country** field is required for all countries except the United States. Be sure to read the Tool Tips for all fields and enter any information that applies to your patent application.

10.4 CAN I SAVE MY DATA AND CHANGE IT LATER?

You can save your patent application bibliographic data by saving the PrintEFS data entry screens. Click the Save Form icon on the Forms toolbar, and enter a name for the file in the Save As dialog box. You can re-open the saved data entry screens at any time; your data will remain in the fields. If the data entry screens are only partially complete when you save them, you will receive an error message stating that all required fields are not completed. Simply click **Yes** to save the partially completed data entry screens.

10.5 CAN I USE PRINTEFS ON A MACINTOSH?

At this time PrintEFS is only available for Microsoft Windows platforms because the viewer that allows you to view the PrintEFS authoring tool on your computer screen is only available for Microsoft Windows. If you regularly use a Macintosh or other type of computer, please continue to file your patent application bibliographic data as you have previously.

10.6 HOW DO I ENTER THE TITLE OF MY INVENTION?

To enter the title of your invention, type the title with all punctuation and spaces in the **Title of Invention** field. Do not press return at any time, and do not attempt to add additional space or punctuation other than what is a part of the title. This field will print the title on four lines in the PrintEFS output. This printed output may include broken words—words that are separated, with part on one line and part on the next line. This is the correct format for the PrintEFS output, do not attempt to correct the broken words by spacing the title differently.

10.7 WHY DOESN'T MY REGISTRATION NUMBER WORK?

If you are a new patent attorney, your probationary attorney registration number is preceded by the letter **P**. However, PrintEFS does not accept letters in the **Registration Number** field—please enter only your registration *number* (5 digits), without the preceding letter **P**.

10.8 MAY I ENTER THE SAME CUSTOMER NUMBER IN BOTH THE CORRESPONDENCE CUSTOMER NUMBER DATA FIELD AND THE REPRESENTATIVE CUSTOMER NUMBER DATA FIELD? MY FIRM ONLY HAS ONE CUSTOMER NUMBER.

Yes, the same customer number can be used in both the correspondence customer number data field and the representative customer number data field.

10.9 MY CUSTOMER NUMBER IS LESS THAN NINE DIGITS. WILL PRINTEFS PRINT A CUSTOMER NUMBER ENTRY LESS THAN NINE-DIGITS?

PrintEFS will accept a customer number entry less than nine digits. When entering the customer number please type one or more "0" (zero) prior to entering your customer number to create a nine-digit entry in the customer number data field you are completing.

Quick Reference Guide

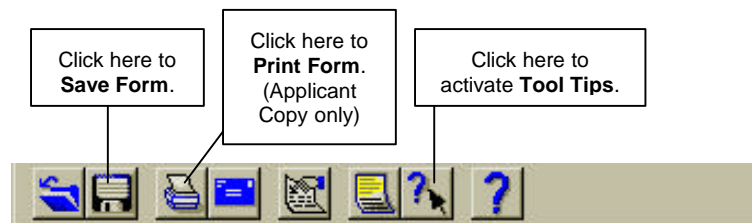
10.10 DOWNLOADING PRINTEFS

Go to the PrintEFS web site, <http://www.uspto.gov/go/printefs>. Click the **Download UWI.com Form Viewer** link and follow the instructions for downloading and installing the Internet Forms Viewer. Click the **Download PrintEFS Authoring Tool** link and follow the instructions for downloading and installing the PrintEFS authoring tool.

10.11 COMPLETING PRINTEFS DATA ENTRY SCREENS

Navigate through fields using the **TAB** key or a mouse. Fill in the data entry fields that apply to your patent application. Access additional screens, if necessary, through the available buttons.

If you need help, refer to the Authoring Guide or click the **Help** button at the top of the Main Page. Use the Forms Toolbar to activate Tool Tips and to save or print the data entry screens.



10.12 PRINTING PRINTEFS BIBLIOGRAPHIC DATA

Click the **Print<USPTO Copy for Mailing>** button on the main page of data entry screens to print the PrintEFS output in Patent Application Data Entry Format.

10.13 SUBMITTING PRINTEFS BIBLIOGRAPHIC DATA

Mail the PrintEFS output to the USPTO with your patent application.

11. APPENDIX: SAMPLE OUTPUT

11.1 SIMPLE LINEAR CONTINUITY

This application is a:: Continuation in part of
> Application One:: 11/999,999
 Filing Date:: December 29, 2002

which is a:: Continuation in part of
>> Application Two:: 11/888,888
 Filing Date:: June 29, 2002
 Patent Number:: 6,000,999

which is a:: Continuation of
>>> Application Three:: 11/777,777
 Filing Date:: January 29, 2002

which is a:: 371 of
>>>> Application Four:: PCT/IB01/99999
 Filing Date:: August 29, 2001

NOTE: Because of the coding used to produce the PrintEFS bibliographic data printout, the data elements to the left and right of the double-colon (::) delimiter may not be perfectly aligned in a column as shown above. *This is not an error.* The printed output is still correct and can be accurately captured once it reaches USPTO. The OCR software used to extract the data eliminates any white space and merely looks for the *data labels* to left of the double-colon (::) and the *data elements* to the right.

11.2 SIMPLE BRANCHING CONTINUITY

This application is a:: Continuation in part of
> Application One:: 11/999,001
Filing Date:: December 01, 2002

which is a:: Division of
>> Application Two:: 11/888,001
Filing Date:: June 01, 2002
Patent Number:: 6,000,980

which is a:: Continuation in part of
>>> Application Three:: 11/777,001
Filing Date:: December 01, 2001

This application is a:: Continuation in part of
> Application Four:: 11/999,111
Filing Date:: December 20, 2002

which is a:: Division of
>> Application Five:: 11/888,111
Filing Date:: June 20, 2002

and which is a:: Continuation in part of
>> Application Six:: 11/888,222
Filing Date:: June 25, 2002
Patent Number:: 6,001,980

NOTE: Because of the coding used to produce the PrintEFS bibliographic data printout, the data elements to the left and right of the double-colon (::) delimiter may not be perfectly aligned in a column as shown above. *This is not an error.* The printed output is still correct and can be accurately captured once it reaches USPTO. The OCR software used to extract the data eliminates any white space and merely looks for the *data labels* to left of the double-colon (::) and the *data elements* to the right.

11.3 COMPLEX MULTIPLE BRANCHING CONTINUITY

```
This application is a::          Continuation of
> Application One::             13/950,854
  Filing Date::                September 22, 2012
  Patent Number::              7,502,158

which is a::                    Continuation in part of
>> Application Two::           13/579,000
  Filing Date::                September 6, 2010
  Patent Number::              7,216,050

and which is a::                Continuation in part of
>> Application Three::         13/579,005
  Filing Date::                September 6, 2010
  Patent Number::              7,180,765

and which is a::                Continuation in part of
>> Application Four::          13/579,460
  Filing Date::                September 6, 2010
  Patent Number::              7,252,642

and which is a::                Continuation in part of
>> Application Five::          13/579,465
  Filing Date::                September 6, 2010

Said application number::13/579,000
which is a::                    Continuation in part of
>>> Application Six::          13/387,676
  Filing Date::                July 31, 2009

and which is a::                Continuation in part of
>>> Application Seven::        13/387,678
  Filing Date::                July 31, 2009

and which is a::                Continuation in part of
```


>>> Application Eight:: 13/386,844
Filing Date:: July 31, 2009

Said application number::13/579,005

which is a:: Continuation in part of

>>> Application Nine:: 13/387,676
Filing Date:: July 31, 2009

and which is a:: Continuation in part of

>>> Application Ten:: 13/387,678
Filing Date:: July 31, 2009

and which is a:: Continuation in part of

>>> Application Eleven:: 13/386,844
Filing Date:: July 31, 2009

Said application number::13/579,460

which is a:: Continuation in part of

>>> Application Twelve:: 13/387,676
Filing Date:: July 31, 2009

and which is a:: Continuation in part of

>>> Application Thirteen:: 13/387,678
Filing Date:: July 31, 2009

and which is a:: Continuation in part of

>>> Application Fourteen:: 13/386,844
Filing Date:: July 31, 2009

Said application number::13/579,465

which is a:: Continuation in part of

>>> Application Fifteen::13/387,676
Filing Date:: July 31, 2009

and which is a:: Continuation in part of

>>> Application Sixteen::13/387,678

Filing Date:: July 31, 2009

and which is a:: Continuation in part of

>>> Application Seventeen:: 13/386,844

Filing Date:: July 31, 2009

NOTE: Because of the coding used to produce the PrintEFS bibliographic data printout, the data elements to the left and right of the double-colon (::) delimiter may not be perfectly aligned in a column as shown above. *This is not an error.* The printed output is still correct and can be accurately captured once it reaches USPTO. The OCR software used to extract the data eliminates any white space and merely looks for the *data labels* to left of the double-colon (::) and the *data elements* to the right.
