



USPTO Patent e-Commerce Programs

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USPTO Patent e-Commerce Programs

Essentials

Customer Number
PKI Security
Digital Certificate Management

Systems

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PAIR

Support

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Customer Number

Obtain a USPTO Customer Number and associate applications with your Customer Number

PKI Security

Obtain a USPTO digital certificate to ensure security in electronic filing and for viewing Private PAIR

Digital Certificate Management

Allows users to easily enroll, maintain, and recover their digital certificates using the USPTO's web-based portal

Patent EFS-Web

Allows patent filers, virtually anywhere anytime, to submit patent applications and to pay fees via the internet

PAIR

Allows users to view the status of their own pending applications and any patented or published applications

Support

Allows users to obtain information online about USPTO eCommerce systems, to access help tutorials and frequently asked questions and to resolve issues with the help of the EBC

Patent's Customer Number Program

OVERVIEW

The Patent's Customer Number is uniquely assigned by the USPTO and associates a single correspondence address, a group of patent practitioners and/or a fee address with submitted patents and applications. Customer Numbers (along with PKI Certificates) are required to submit pre-grant publications, Assignments, Bio-sequence listings and electronic Information Disclosure Statements (eIDS) using the USPTO's Electronic Filing System (EFS). Customer Numbers are also required for online customer access to patent application status information using Private PAIR.

When a customer receives a customer number, it is recommended they associate all pending applications and patents with this number in spreadsheet format and transmit this information to the USPTO's Patent Electronic Business Center.

Customer Numbers are used in the following areas:

- ▶ Links a correspondence address with patent applications
- ▶ Links a group of patent practitioners with patents and patent applications
- ▶ Links a Maintenance Fee address to published patents
- ▶ Permits certain EFS filing submissions (along with a PKI Digital Certificate)
- ▶ Permits access to Private PAIR (along with a PKI Digital Certificate)

ADVANTAGES OF USING A CUSTOMER NUMBER

- Allows multiple application updates to all correspondence resulting from address changes. Instead of sending a change of correspondence address for each file, customers can use the USPTO assigned customer number and the Customer Number Update Template to expedite the process.
- Allows registered practitioners and persons granted limited recognition to be associated with as many customer numbers as needed. This option is used to control access to pending application information for organizations with multiple client groups.

PATENT EBC CUSTOMER SERVICE

The Patent Electronic Business Center (EBC) is the single point of customer contact for all Patent Electronic Products. The Patent EBC customer service center ensures all customer requests and inquiries regarding the Customer Number Program are handled promptly, courteously, and resolved to each customer's satisfaction.

Patent's Customer Number Program

Customer Number Program Service Areas:

- The Patent EBC assists customers in obtaining and using a customer number.
- Facilitates review of customer number request information and issues new customer numbers
- Assist customers with questions regarding USPTO customer number business rules and provide instruction on downloading and completing Customer Number Forms
- Educate customers on the process of associating previously filed applications to an issued customer number using the Customer Number Update Template
- Process Customer Number Update Templates to facilitate address changes to multiple applications and patents
- Facilitate customer number data change requests and association of registered practitioners and persons granted limited recognition to customer numbers.

To request a customer number, please download a Customer Number Request form at <http://www.uspto.gov/web/forms/sb0125.pdf> and fax or mail the completed form to the Patent Electronic Business Center.



Patent Electronic Business Center
Monday - Friday / 6 am - midnight ET

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Fax: 571-273-0177

e-mail: ebc@uspto.gov

Patent EBC Website: <http://www.uspto.gov/ebc/index.html>

Public Key Infrastructure

OVERVIEW

The Public Key Infrastructure (PKI) is used by the USPTO to permit e-commerce customer transactions using Public Key Technology (digital certificate) that assures secure user identity.

PKI technology supports e-commerce interaction that maintains:

Confidentiality • Authenticity • Integrity • Non-Repudiation

TYPES OF PKI CERTIFICATES

The USPTO serves as a Certificate Authority and issues digital certificates to authorized customers. Two types of PKI Certificates are accepted:

- Low-Level Certification allows customers to initially file new utility and provisional patent applications. An email address serves as the low-level certificate.
- High Level Certificates are required to use Private PAIR and to submit pre-grant publications, Assignments, Bio-sequence listings and electronic Information Disclosure Statements (eIDS) via EFS. High Level PKI Certificates can only be obtained by independent inventors and practitioners.

To obtain a High-Level PKI certificate, a Certificate Action Form has to be submitted to the Patent EBC in its original format and with verification that: 1) it has been notarized and has an original signature; 2) all required information is complete (i.e. there must be a customer number); and 3) if a registered practitioner or person granted limited recognition submits the form, the registration number or limited recognition number must be associated with any customer number listed on the application.

ADVANTAGES OF USING PKI

- Ensures complete e-commerce security in conducting electronic business transactions with the USPTO
- Establishes a unique customer profile that authorizes users to conduct e-commerce business with the USPTO
- Permits secure access to Private PAIR for status updates on submitted patent applications and patents
- Allows secure submission of (along with customer numbers) pre-grant publications, Assignments, Bio-sequence listings and electronic Information Disclosure Statements (eIDS) using the USPTO's Electronic Filing System (EFS).

Public Key Infrastructure

PATENT EBC CUSTOMER SERVICE

The Patent Electronic Business Center (EBC) is the single point of customer contact for all Patent Electronic Products. The Patent EBC customer service center ensures all customer requests and inquiries regarding the Public Key Infrastructure are handled promptly, courteously, and resolved to each customer's satisfaction.

The Patent EBC assists customers in obtaining and using a PKI digital certificate. Customer support is available for downloading and submitting the PKI Certificate Action Form, ensuring prompt USPTO security processing and authorized issuance, and creating a PKI digital user profile.

To request a PKI digital certificate, please download a PKI Certificate Action Form at <http://www.uspto.gov/ebc/digitalcert.htm> and mail the completed form to the Patent EBC.

PKI Service Areas:

- Assist customers with questions and procedures on how to obtain a PKI digital certificate
- Review all customer submitted PKI Certificate Action Forms and ensure each request is promptly processed through USPTO security measures prior to authorized issuance
- Assist customers in establishing and using a PKI digital certificate and creating the customer profile needed to access Private PAIR and certain types of EFS submissions
- Troubleshoot customer inquiries regarding use of a PKI digital certificate including recovery/reissue of PKI authorization codes



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Digital Certificate Management

OVERVIEW

Digital Certificate Management allows users to easily self-enroll, maintain and recover their digital certificates all from the USPTO web-based portal.

The system will allow users to:

1. Create New User Digital Certificates
2. Recover Corrupted User Certificates
3. Register for USPTO's new Self-Recovery Codes
4. Assign and Manage a registered Email Address

ADVANTAGES OF USING DIGITAL CERTIFICATE MANAGEMENT

Easy to use New Digital Certificate Management is an extension of the USPTO's web-based portal, which allows for easy registration and management of your digital certificate. The USPTO portal now provides a single point of entry for all e-Commerce systems (EFS-Web, Public and Private PAIR, Digital Certificate Management).

Saves Time No longer will you have to call our Patent Electronic Business Center to recover your digital certificate and wait for a set of new registration codes. New Digital Certificate Management will allow users to register for and download a set of seven (7) 'Recovery Codes', which you can use to manually recover a corrupted profile immediately.

Enhanced Security The new recovery code feature allows users to recover their certificate without any interaction with the Patent Electronic Business Center. Users will also register their email address with their digital certificate and will be notified each time a recovery attempt has been made on their account.

PATENT EBC CUSTOMER SERVICE

The Patent Electronic Business Center (EBC) is the single point of customer contact for all Patent Electronic Products. The Patent EBC customer service center ensures all customer requests and inquiries regarding Digital Certificate Management are handled promptly, courteously, and resolved to each customer's satisfaction.

Digital Certificate Management

Digital Certificate Management Service Areas:

- Assist customers with questions and procedures on how to use Digital Certificate Management.
- Troubleshoot customer inquiries including accessing and navigating through the system.



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EFS-Web Overview



EFS-Web is the United States Patent and Trademark Office's (USPTO's) new easy-to-use, web-based patent application and document submission solution. Using EFS-Web, anyone with a web-enabled computer can file patent applications and documents without downloading special software or changing document preparation tools and processes.

PRODUCT OVERVIEW

EFS-Web utilizes standard web-based screens and prompts to enable you to submit a portable document format (PDF) document directly to the USPTO within minutes. You choose the tool, process and workflow with which you author your documents; convert them to standard PDF files and then submit them to USPTO's secure servers. EFS-Web is safe, simple and secure and gives you all of the same benefits as paper filings, including an electronic receipt that acknowledges your filing date.

EFS-Web Benefits

EFS-Web brings several important benefits to anyone who needs to submit patent applications or follow-on documents:

EFS-Web is safe. Filings made with EFS-Web provide you with the same legal protection as paper-based filings. You receive an electronic receipt and confirmation, as well as the ability to print the receipt for your records, affirming your receipt date.

EFS-Web is simple. Even the largest and most complex patent applications can be submitted by attaching PDF files and filling out a few simple web screens.

EFS-Web is secure. EFS-Web submissions are protected through state-of-the-art security methods, including Transport Layer Security (TLS), and if you sign up as a registered filer, Digital Certificates, one of the most secure methods now available.

EFS-Web is fast. In just a few minutes and using a few web screens, you can submit a patent application, pay for your filing and receive an acknowledgment receipt.

EFS-Web is flexible. EFS-Web requires you to make no changes to the tools, processes or workflows you use to author patent applications and documents. Filing with EFS-Web does not require you to learn how to use new authoring tools.

EFS-Web is forgiving. EFS-Web validates whether the PDF files and data you're trying to file can be accepted before they are submitted. If there's a problem, EFS-Web will tell you why the document can't be submitted – allowing you to take corrective action quickly.

EFS-Web Overview



How EFS-Web Works

EFS-Web is a hosted patent application and document submission solution that is accessible to anyone who has access to a computer and an Internet connection. USPTO operates EFS-Web on its secure servers.

EFS-Web Features

Web Access

A computer, an Internet browser and an Internet connection are your tickets to electronic filing. Users can access EFS-Web by navigating to the www.USPTO.gov website. Under Patents, click on Status & IFW. Then you can click Portal Home and choose Registered or Unregistered e-Filer. Once there, you'll be prompted through a series of screens.

Filings Accepted

EFS-Web accepts new utility, provisional, design, and National Stage applications under 35 USC 371. Registered eFilers may also file follow-on documents for previously filed applications.

File Formats Accepted

EFS-Web accepts standard PDF documents up to 25 megabytes per file. Most common versions of commercial PDF Writer software work with EFS-Web when properly configured. These include:

- ✓ Adobe Acrobat Professional
- ✓ Open Office (Freeware)
- ✓ Easy Office (Ad ware)
- ✓ Cute PDF (Freeware)
- ✓ PDF 995 (Ad ware)
- ✓ Primo PDF (Freeware)

USPTO supports Adobe PDF standards versions 1.1 to 1.6 for PDF creation, and Adobe Acrobat Reader 7.0.5 or higher is needed to use USPTO Fillable forms. A detailed listing of PDFguidelines may be found on USPTO's Electronic filing web page.

Registered and Unregistered Filers

While EFS-Web gives anyone who accesses the site the ability to submit patent applications and documents, you can get more benefit from the system as a registered filer, including filing follow-on papers and saving the package before submission. Registering is easy and can be done by submitting paper forms to USPTO's Electronic Business Center, which will then issue a Digital Certificate that authenticates your identity.

EFS-Web Overview



Security

EFS-Web is a secure hosted application, no matter whether you are a registered or an unregistered filer. If you file as an unregistered filer, your documents will be transmitted using Transport Layer Security (TLS) or Secure Socket Layer (SSL) protocol. If you choose to register, your filings will be conducted under a Public Key Infrastructure system that provides authentication and encryption security.

Built-In File Validation

EFS-Web automatically validates files and informs you before submission whether your application meets USPTO standards. If it doesn't meet standards, you'll be notified of the problem so you can take corrective action before final submission.

Online Payment of Fees

EFS-Web allows you to pay filing fees in an e-commerce environment, smoothing the process and allowing you to select the payment option that you desire.

Valid Electronic Receipt

EFS-Web provides an Acknowledgement Receipt that contains critical information, including a time and date stamp, an application number and a confirmation number. This electronic receipt may be printed, and it carries the security and authority of the Post Card receipt commonly provided in paper-filed applications.

Public/Private PAIR Integration

EFS-Web submissions are viewable in Public/Private PAIR just like paper applications. If you are a registered filer, your patent applications and documents are available in Private PAIR in a short time.

PATENT EBC CUSTOMER SERVICE

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Patent Application Information Retrieval



OVERVIEW

The Patent Application Information Retrieval (PAIR) system allows users to view the status of their own pending applications and any patented or published applications.

There are two components of PAIR: Public and Private

Public PAIR	Private PAIR
Requires NO PKI software	Requires High-Level PKI Certificate
Review Patented & Published Application Information <ul style="list-style-type: none"> • Prosecution History • Status and Location • Image File Wrapper (IFW) contents • Supplemental Content 	Requires Customer Number
	Review Pending & Patented Application Information <ul style="list-style-type: none"> • Prosecution History • Status and Location • Limited Bibliographic Data • Current Customer Number Details • Outgoing Correspondence Notification • Image File Wrapper (IFW) contents • Supplemental Content • First Action Prediction and Status Letter

Public PAIR provides status and history information for granted patents to the general public with unrestricted access to issued patents and published applications via the Internet. Public PAIR also provides access to the IFW document images for online viewing and downloading.

Private PAIR allows independent inventors and registered practitioners and persons granted limited recognition the ability to access real-time status of their pending patent applications. The system provides Internet based access to patent application status and history information, including IFW document images of their application file folder. Customers can also view and download cited US Patent and US publication references in PDF format.

For additional information on both Public and Private PAIR, please visit the USPTO PAIR website at: <http://portal.uspto.gov/external/portal/home>

ADVANTAGES OF USING PAIR

- Public PAIR allows access to published application image file wrapper content via the Internet
- Public PAIR allows customers to search and select published applications to download and print from the desktop and conveniently order certified copies online

Patent Application Information Retrieval



- Private PAIR permits secure online searching by application, patent, publication, attorney docket, and customer number to retrieve information on prosecution history, status and location, supplemental content, first action prediction and status letter and limited bibliographic data
- Private PAIR enables applicants to electronically identify and request changes to their applications prior to the publication of the applications

PATENT EBC CUSTOMER SERVICE

The Patent Electronic Business Center (EBC) is the single point of customer contact for all Patent Electronic Products. The Patent EBC customer service center ensures all customer requests and inquiries regarding PAIR are handled promptly, courteously, and resolved to each customer's satisfaction.

The Patent EBC assists customers in securing online Private PAIR access to view submitted patent application status information and obtaining Customer Numbers and PKI Certificates.

The Patent EBC provides complete registration and user instruction on the USPTO web site. The EBC also provides direct customer assistance via phone or email.

PAIR Service Areas:

- Customer support in using Public PAIR and Private PAIR status information and Image File Wrapper (IFW) contents.
- Troubleshooting and problem resolution including connecting to PAIR, server/firewall issues, copying a customer profile to multiple machines, and reconfiguring browser settings and system configuration.



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Support

OVERVIEW ONLINE HELP & TUTORIALS

Online help & tutorials are available on the left-hand navigation bar in Private PAIR, Public PAIR and EFS-Web.

Each systems left-hand navigation bar includes:

- Announcements
- Frequently Asked Questions
- Help & Tutorial links
- System Documentation

ADVANTAGES OF ONLINE HELP & TUTORIALS

Allows customers to become knowledgeable and proficient in using the latest USPTO electronic business products including the tools, techniques, and practices used to successfully submit an electronically filed patent application.

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