



Electronic Filing System EFS-ABX User Guide

July 2004



EFS-ABX

User's Guide

Your guide to using USPTO's Electronic Filing System Application Body XML Authoring Tool (EFS-ABX)

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1.0 Introduction

This booklet provides an overview of the Electronic Filing System Application Body XML Authoring Tool (EFS-ABX). EFS-ABX is a document processing tool that USPTO applicants and registered practitioners may use to create, edit, format, save and display their patent applications. Applications created by EFS-ABX are saved in three formats: DOC; XML; and PDF formats using the software and commands contained in a template in Microsoft® Word. EFS-ABX is implemented via a template within Microsoft® Word, therefore, knowledge of Microsoft® Word will improve the ease of use of this product.

1.1 What Is EFS-ABX?

EFS-ABX is an authoring tool for creating a patent application specification that is easier to use than its predecessor and produces a document that may be electronically transmitted to the USPTO for the benefits of electronic filing. EFS-ABX is implemented as a Microsoft® Word template (ABX.dot) that runs in Microsoft® Word. The tool creates a Microsoft® Word document (doc file), that becomes input to the final, transmittable document using the function **Export Pdf and Xml** provided by the tool. The author creates, from the DOC file, two patent application specifications, each in XML format, one according to Annex F of the Patent Cooperation Treaty in a style defined by the application-body document type definition (application-body.dtd), and another as an XML wrapper for the application as contained in PDF format, both files being versions of the application specification parts. These files are packaged into a single file called the ABX package that has the file extension *.abx. One file contains the full text of the specification with full XML mark-up. This is referred to as the application-body XML. The second is a small XML document that references PDF files associated with the description, claims, abstract, and any drawings. This is referred to as the pdf-wrap XML. These XML files are submitted to the USPTO in the ABX package over the Internet using the Electronic Filing System (EFS). The fully marked-up document will be used by USPTO to conduct security reviews for new utility and provisional applications and for pre-grant publication, while the PDF documents will be converted to images in the USPTO Image File Wrapper. Images created from the PDF documents will become the legal record at USPTO in the Image File Wrapper system for new utility and provisional applications.

Note: The PDF files are the source documents for the official records in the Image File Wrapper system (IFW) of the specification, claims, abstract and drawings. It is important to review the PDF files to verify that they contain the same information as was entered into the Word source application file. The Word source document file is never transmitted to the USPTO, and cannot be relied upon as evidence of the contents of the application as filed.

The XML and TIFF files are the source documents for the bibliographic information used in the USPTO records, for the 18-Month Publication (PG-Pub) document and for other USPTO records respectively as submitted.

EFS-ABX is a major component of the USPTO's patent e-filing system. EFS-ABX creates application-body XML files for new utility, provisional, and pre-grant publication submissions. In addition to electronic filing, EFS-ABX can also be used to print applications, which may be submitted to the USPTO by mail or freight. EFS-ABX helps the user to develop certain patent applications completely in Microsoft® Word. All text and graphics are created in Microsoft® Word and saved as a Microsoft® Word document (*.doc) file. When the user has finished creating the specification, it may be converted to PCT Annex F compliant application-body XML files with referenced image files in TIFF format and referenced sections in PDF format. The result of the **Export Pdf and Xml** function generates an ABX package containing the following files:

Two application-body XML files – the converted Microsoft® Word document that was created is converted to one fully marked-up XML file and a second small XML PDF wrapper file,

Application-body.dtd files (.ent, .mod, .dtd),

A style sheet file – named us-application-body.xsl – the stylesheet for application-body.dtd, allowing the application body to be viewed in a web browser,

TIFF files – All images embedded in the Microsoft® Word document are converted by EFS-ABX into TIFF format including:

Pictures (BMP, JPG, TIFF, PNG, EMF, etc.)

Objects (Microsoft® PowerPoint® slide, Microsoft® Excel spreadsheet, Microsoft® Visio drawing, Cambridgesoft® ChemDraw file, Microsoft® Equation, etc.) created using other software. These objects may be inserted and edited in EFS-ABX. **IMPORTANT NOTE:** The applications associated with any embedded objects must be installed on the computer on which EFS-ABX is used in order to use the EFS-ABX **Insert Object As Image** feature and be able to edit the objects within the EFS-ABX specification using the applications. When the XML document is created each object will be converted to a tiff image. Each tiff file is given a unique file name and is properly referenced in the XML document.

PDF files – EFS-ABX creates PDF files for the description, claims, abstract, and any drawings.

All of these files are packaged into a single specification file with the extension ABX, and that ABX file is password protected to ensure that the content of the two XML files is identical, i.e. the contents in the application-body XML file and in the PDF files referenced in the pdf-wrap XML file are the same. The password associated with the ABX file is based on the file content. After the ABX file is created, it may only be modified from within EFS-ABX. If changes to the files are required after export, the user should make the changes and export the entire document within EFS-ABX. When the document is again exported, a new, secure ABX specification file with the extension ABX will be generated with its own password.

As a note, EFS-ABX is implemented in Visual Basic for Applications (VBA) in Word, the development language supported across the entire Microsoft® Office suite, including the Word text editor. All functionality is implemented via software encoded as macros. The macros are available for execution to the user as a series of custom drop-down menus and short-cut keys. Through the drop-down menus, the authoring tool guides the user to correctly construct the components necessary for valid application-body XML and PDF files. Each menu item has a corresponding short-cut key making the tool compliant under section 508 of the Americans with Disabilities Act.

During export to ABX file format, in addition to creating the application-body XML documents, EFS-ABX also converts all images contained in the Microsoft® Word file to TIFF files. This feature allows the user to create and edit graphics using any tool and format that is integrated with Microsoft® Word. The graphic conversion feature allows the user to develop the specification as a Microsoft® Word document.

Important Note: All images will be converted to true black and white images upon insertion into EFS-ABX. Color images are not acceptable for electronic filing at this time and will be converted to black and white by EFS-ABX.

Since all the patent application source information is contained in a single Microsoft® Word document, EFS-ABX allows the user to import a previously created Microsoft® Word document. The imported document is formatted using the custom drop-down menus to produce the

components of a valid application-body XML instance. The exported XML instance is a part of the ABX package created by the tool. The ABX package contains all the elements necessary to integrate with the EFS system.

An XML file created using PASAT may be imported into EFS-ABX, edited as desired and converted to valid Annex F compliant specification files and an ABX package.

EFS-ABX is designed to operate in Microsoft® Word versions found in Microsoft® Office 2000 and 2002 operating on Microsoft® Windows. See the System Requirements for more information on the appropriate Windows operating systems for EFS-ABX. EFS-ABX greatly improves the workflow of creating a patent specification over current authoring tools. This is because EFS-ABX allows the author to develop a patent application completely in Microsoft® Word. All text and graphics are created in Microsoft® Word and saved as a Microsoft® Word document file (*.doc).

The improved workflow allows the user to realize the cost savings of using the Electronic Filing System over mailing or shipping paper copies. But since the tool is an easy to use authoring guide, paper filers are encouraged to use EFS-ABX as well.

1.1.1 What formats and styles are supported?

Some formatting features of Microsoft® Word are not supported by PCT Annex F application-body.dtd.

The Document Type Definition does not specify any XML elements to contain data related to the following features, and therefore none of these features can affect the XML documents created by EFS-ABX:

Font Color

Font Size

Font Character Spacing (Scale, Spacing, and Position)

Font Text Effects (Animations)

Paragraph Alignment (Left, Centered, Right, Justified)

Paragraph Indentation (Left, Right, and Special)

Paragraph Spacing (Before, After, and Line Spacing)

Page Numbering

Page Setup (Margins, Paper Size, Paper Source, and Layout)

Page Header

Page Footer

EFS-ABX does not export the formatting features listed above into XML.

EFS-ABX captures the following text formatting elements:

bold (XML element),

italic (XML element <i>),

superscript (XML element <sup>),

subscript (XML element <sub>)

EFS-ABX displays the formatting on the screen in the standard Microsoft® Word ways:

Bold, *Italic*, Subscript, and ^{Superscript}.

Note: If two terms separated by a space are formatted using two different formats, use a hard space (**CTRL+SHIFT+Space**) to ensure that the terms remain separated in the XML output when viewed in the browser.

Important Notice: EFS-ABX is a tool, not a result. This tool, like any other, may be used in a manner that is inconsistent with its intended purpose that may produce unusable results. Applying formatting, styles, objects, etc., to the application specification that are accessed via means other than the EFS-ABX menu bar and tool bar is considered an 'inconsistent' use of the EFS-ABX tool, and may result in a delay in the processing of your patent application or an increase in the cost of prosecution before the USPTO. In particular, note that only those styles that are native to Microsoft Word may be applied, any other style is on its face inconsistent with the intended purpose. Filings prepared with EFS-ABX in a manner that is inconsistent with its intended purpose, as stated above, may prove unreadable, resulting in a loss of filing date or other legal rights. If you have any questions regarding USPTO's Electronic Filing offerings, please contact the Patent Electronic Business Center (EBC) at <http://www.uspto.gov/ebc/> or (866) 217-9197.

EFS-ABX users should refer to the EFS-ABX Tools section of the user guide for additional information on the tools and formatting that is approved for use with EFS-ABX.

1.1.2 Imaging in EFS-ABX

EFS-ABX accepts most image types and converts the image to TIFF format. The images will be black and white, 300 dpi, and no larger than 7.5 by 10 inches in size.

- **Important Note: All images will be converted to true black and white images upon insertion into EFS-ABX. Color images are not acceptable for electronic filing at this time and will be converted to black and white by EFS-ABX.**

1.2 System Requirements

Processor: 266 MHz or higher Pentium Processor 266 MHz or higher (or similar AMD Processor)

Memory: 128 MB RAM

Operating System: Microsoft® Windows2000 with Service Pack 2 or later or Windows XP with Service Pack 1

Applications: Microsoft® Word as provided in Microsoft® Office 2000 or Office XP with Lucida Sans Unicode font. To determine if Lucida Sans Unicode font is present in Word select Format/Font to see if the font is present from the Font drop down list.

Browser: Microsoft® Internet Explorer 5.5 Service Pack 2 with the msxml parser upgraded to msxml 3.0 Service Pack 2 or higher.

For more information on the msxml upgrade see: www.microsoft.com and search for msxml or use Microsoft® Internet Explorer 6.0 which includes the msxml parser.

Tiff Viewer Plug-In: Medical Informatics Engineering® Alternatiff with ActiveX controls Alternatiff software, available from www.alternatiff.com, must be installed to view Tiff images with the Internet Explorer web browser. See the Alternatiff site to determine which version is appropriate for your browser version.

PDF Viewer: Adobe® Reader® or the PDF viewer of your choice.

Free Hard Disk Space: 13.5 Megabytes is required for the EFS-ABX application alone.

Printer Driver(s) must be up to date. In addition EFS-ABX will install the ABXPDF Writer printer driver to create the PDF files referenced in the pdf-wrapper XML file.

1.3 Installation Instructions

Installation is easy!

- 1) Insert the EFS CD-ROM into your CD drive.
- 2) From **Windows Explorer** browse to the CD drive and launch the file named **Setup.htm**.

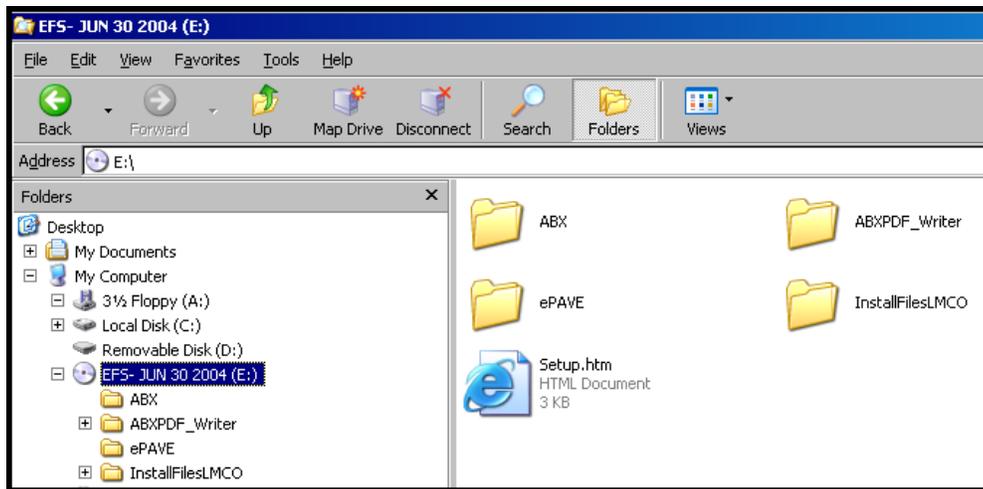


Figure 1

This will display the setup window in a browser.



Figure 2

- 3) Scroll down to the ABX section and select the **Please click link to install ABX version 1.1** hyperlink.

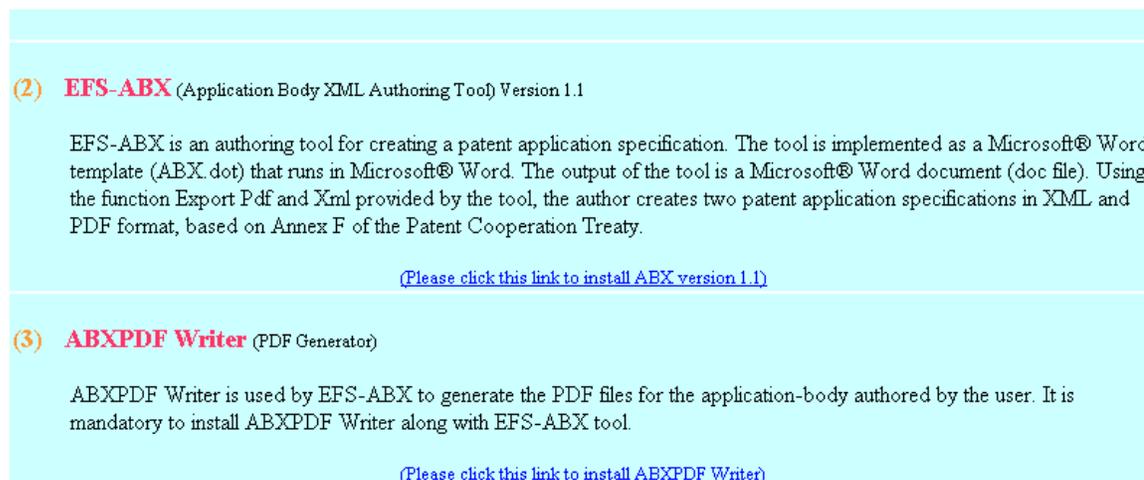


Figure 3

This will launch the **File Download** window.

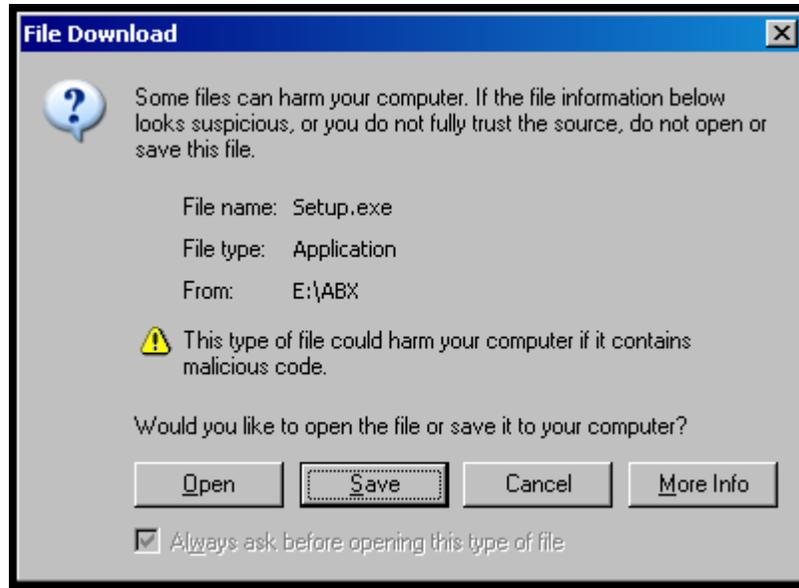


Figure 4

- 5) Select the **Open** option from the **File Download** window. This will launch the InstallShield.
- 6) Follow the instructions in the **InstallShield** screens. Select the **Repair** option from the **InstallShield** Welcome screen.
- 7) When installation is complete select the **Reboot** option from the InstallShield **Locked File Detected** screen.

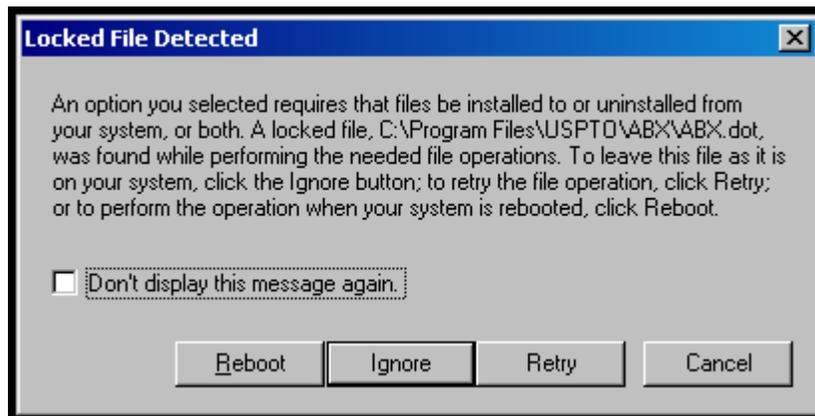


Figure 5

- 8) Reboot the computer at this time or wait until later.
- 9) Select the **ABXPDF Writer** link and repeat the installation steps.
- 10) Open Word and select **Macro/Security** from the **Tools** menu. Set the **Security Level** to **Low**. Exit Word and launch EFS-ABX.

Installation is now complete!

1.4 Getting Help

EFS-ABX is equipped with both context dependent help and the user guide, which can be accessed by selecting EFS-ABX Help on the EFS-ABX Menu bar. For live help, users may contact the Patent Electronic Business Center (EBC) by calling the toll free number at 1-866-217-9197, locally at (703) 305-3028, or by email at ebc@uspto.gov. Hours of operation are Monday through Friday, 6 a.m. until Midnight Eastern Time.

1.5 EFS-ABX Document Display

Launch EFS-ABX by double-clicking the EFS-ABX shortcut icon on the desktop.

Upon launching the EFS-ABX template within the Microsoft Word® environment, the minimum sections required for filing are already included for processing. The section headings **(description, title of invention, what is claimed is, and abstract)** are provided as a visual aid for navigation. These headings indicate the boundaries of sections in the document. The text in these headings will be provided in the final document.

The **bracketed paragraph and claim numbers** will be shown in the final document, as they will reflect the paragraph and claim numbering. Do not attempt to edit the section heading text as this will result in an error being generated when attempting to save the document or export the document as XML later in the specification creation process. To provide subsection headings in the description section, use the **Insert Heading** option from the **DESCRIPTION** menu.

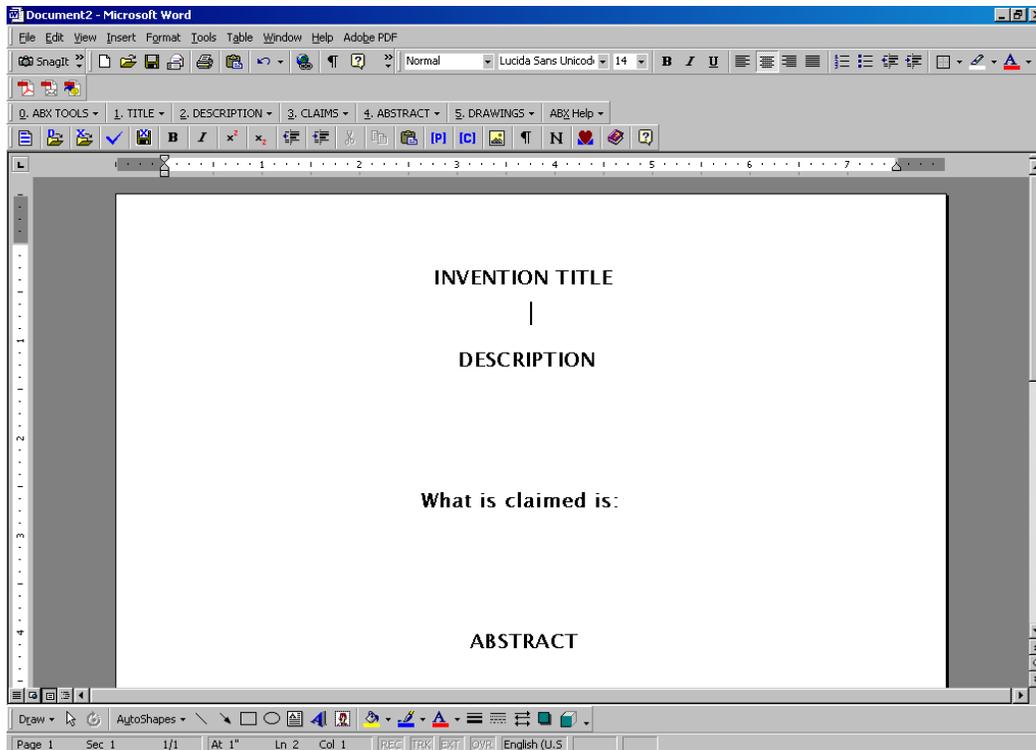


Figure 6

1.6 Naming files

File and Folder Names

File names are limited to 25 characters and must be alphanumeric. The hyphen and period characters can be used in file names. The USPTO recommends using the original DOS 8.3 (eight character name and three character suffix) file-naming convention in EFS-ABX and ePAVE. This convention allows for file name to contain up to eight characters for the name of the file itself and three characters for the file extension and requires both parts to be separated by a period.

File and folder names can include only letters, numbers, hyphens (-), and periods (.).

Special characters must not be included in file and folder names, such as ampersand, comma, number sign (#), quotation mark, space, etc. It is imperative that special characters not be used because they will cause errors that may affect the authoring and transmission of the patent application.

1.7 Getting Started

EFS-ABX accommodates a variety of work styles. Users can create the document directly or capture text from an existing document.

- Users may create original documents directly in the EFS-ABX template using all the features available in Microsoft® Word. Some text formatting features are unavailable in the final XML document. See section 1.1.1 for more information.
1. Launch EFS-ABX. The cursor will be in the white space beneath the Invention Title navigation bar.
 2. Type in the title and move throughout the sections of the document adding the desired formatting from the menus, toolbars, and keyboard shortcuts.
 3. Validate the document periodically during and after authoring the specification to ensure that a valid XML structure and PDFs will be generated upon export. A validation status bar is displayed during validation.

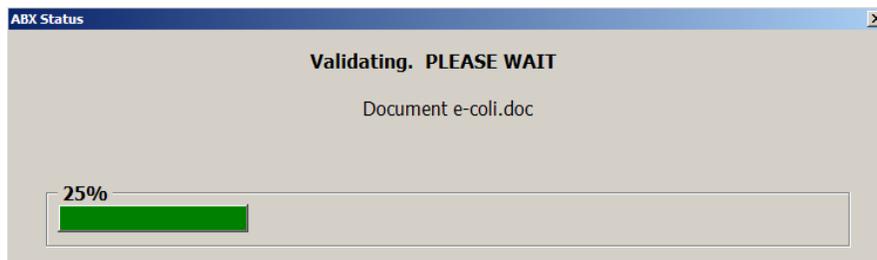


Figure 7

If the document is properly structured a message to that effect will be displayed.

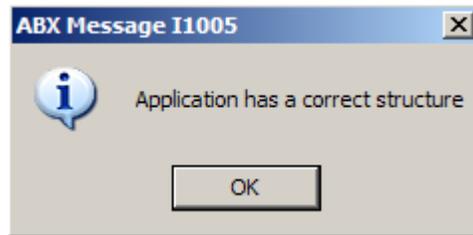


Figure 8

4. When the document is complete use the **Export Pdf and Xml** function available from the **ABX TOOLS** menu. This will save the document as a Microsoft® Word document (*.doc), create the XML files in a subdirectory, and prepare a password protected ABX package. A Status bar will be displayed to indicate the progress of the file creation.

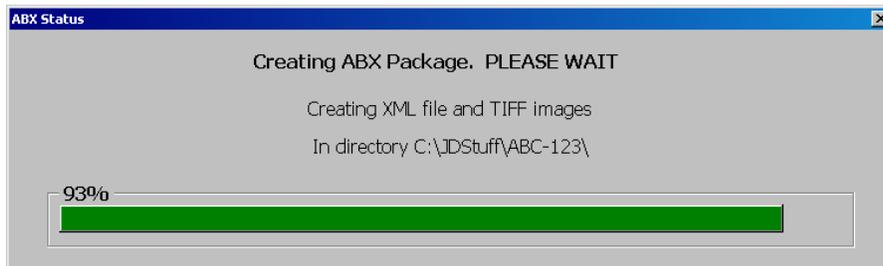


Figure 9

5. After the conversion is complete the XML and PDF documents can, and should, be viewed. The XML documents must be viewed using a web browser such as Internet Explorer. PDF documents will be displayed via one of the XML documents generated during conversion as hyperlinks and can be individually viewed in the PDF viewer of your choice.

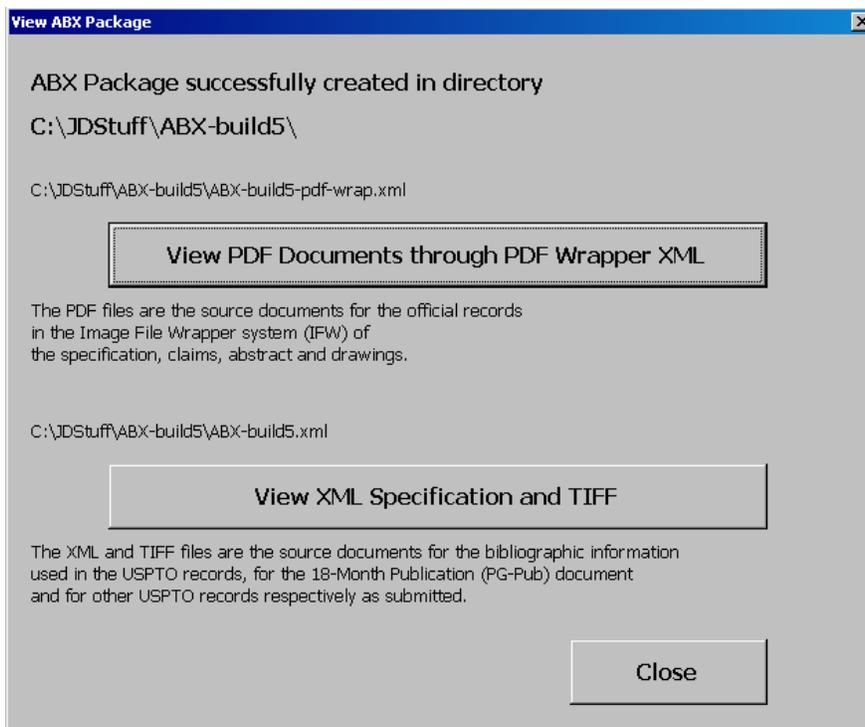


Figure 10

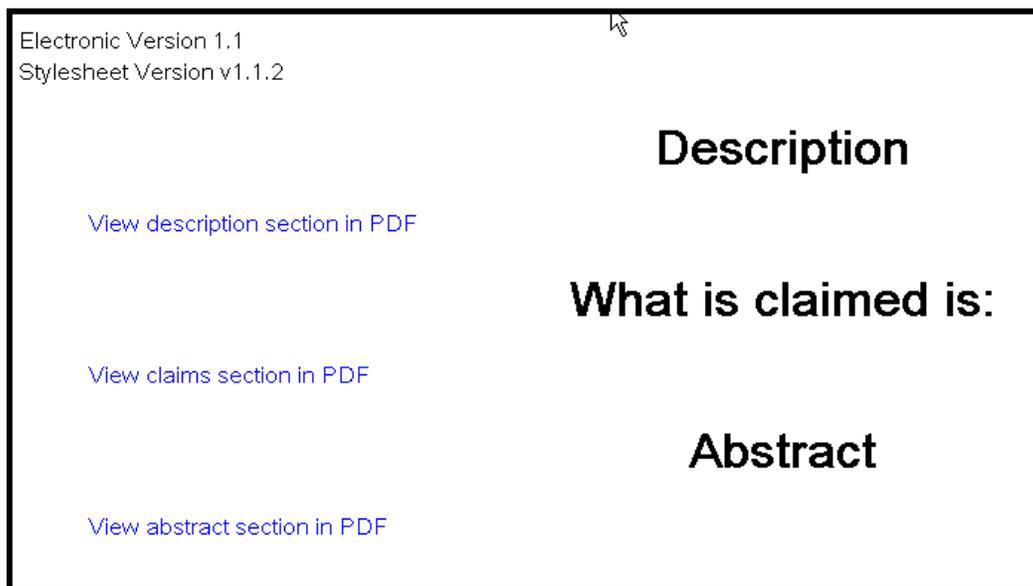


Figure 11

See section 2 for more information.

- When the XML document is being prepared from an existing source document, the user may choose from three work styles.

I. The user may copy and paste sections from the source document into the EFS-ABX template.

1. Copy text from the source document and use the **Paste As Paragraphs** and **Paste As Claims** functions available from the **DESCRIPTION** and **CLAIMS** menus.
2. Validate the document periodically during and after authoring the specification to ensure that a valid XML structure and PDFs will be generated upon export. A validation status bar is displayed during validation.

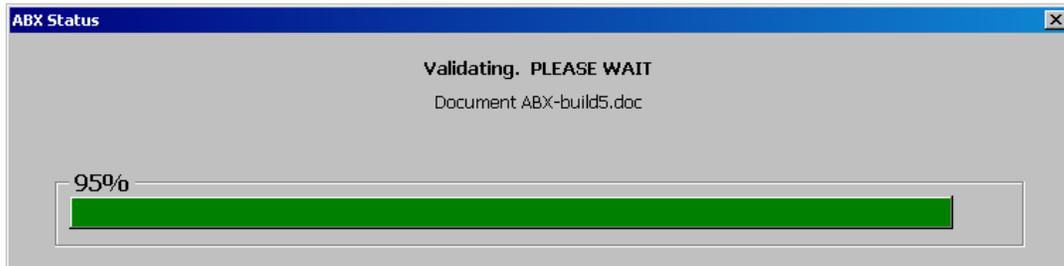


Figure 12

If the document is properly structured a message to that effect will be displayed.

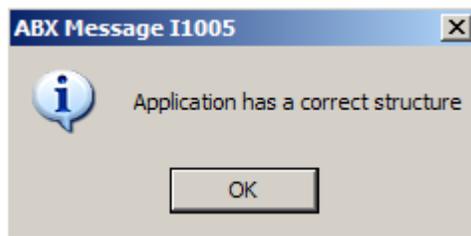


Figure 13

3. When the document is complete use the **Export Pdf and Xml** function available from the **ABX TOOLS** menu. This will save the document as a Microsoft® Word document (*.doc), create the XML files in a subdirectory, and prepare a password protected ABX package. Status bars will be displayed to indicate the progress of the file creation.

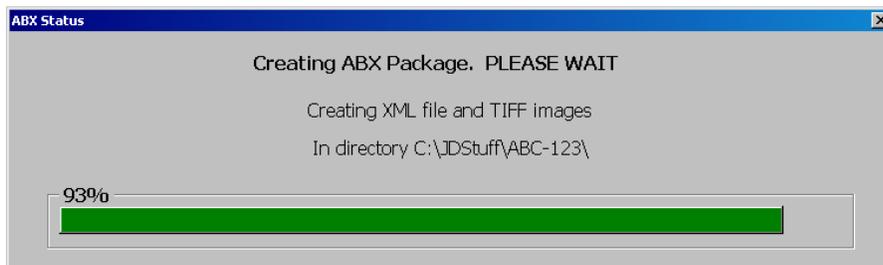


Figure 14

4. After the conversion is complete the XML and PDF documents can be viewed. The XML documents must be viewed using a web browser such as Internet Explorer. PDF documents will be displayed via one of the XML documents generated during conversion as hyperlinks and can be individually viewed in the PDF viewer of your choice.

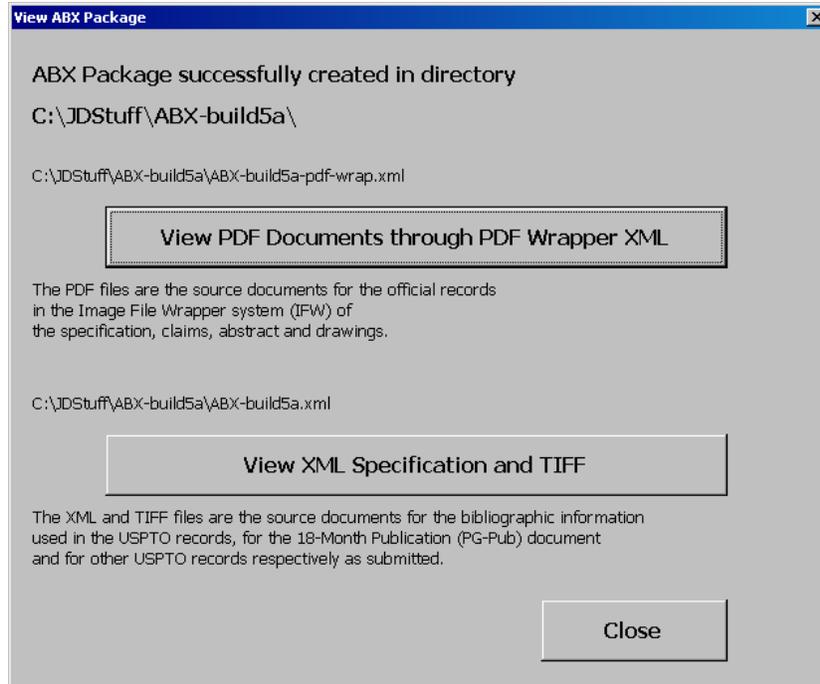


Figure 15

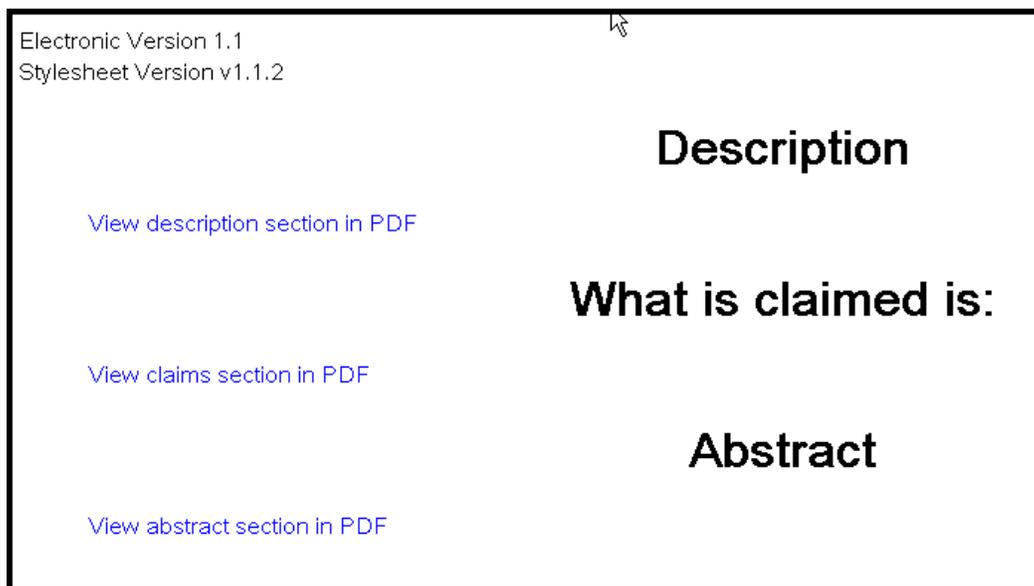


Figure 16

See section 2 for more information.

II. Import an existing Word Document into ABX

1. Use the **Import Word Document** function in the **ABX TOOLS** menu or select the **Import** tool button from the tool bar.

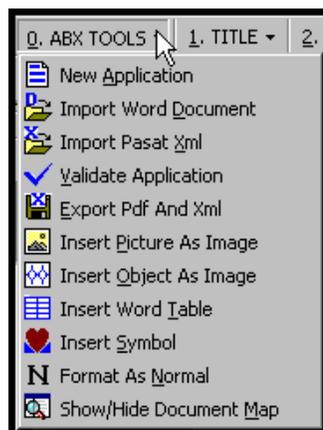


Figure 17

This will import the document into EFS-ABX and a successful import message will be received.

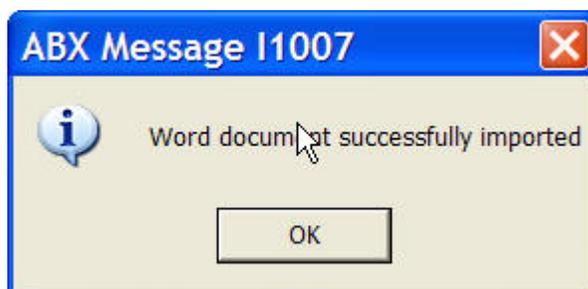


Figure 18

2. The Invention Title label will be displayed above the first line of the document.

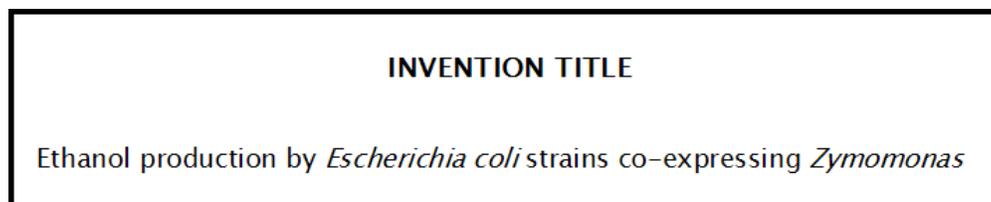


Figure 19

3. Place the cursor to the left of the Text in the description section of the invention and select the **Insert Description Section Label** from the **DESCRIPTION** menu. The description navigation text will appear above the description text.

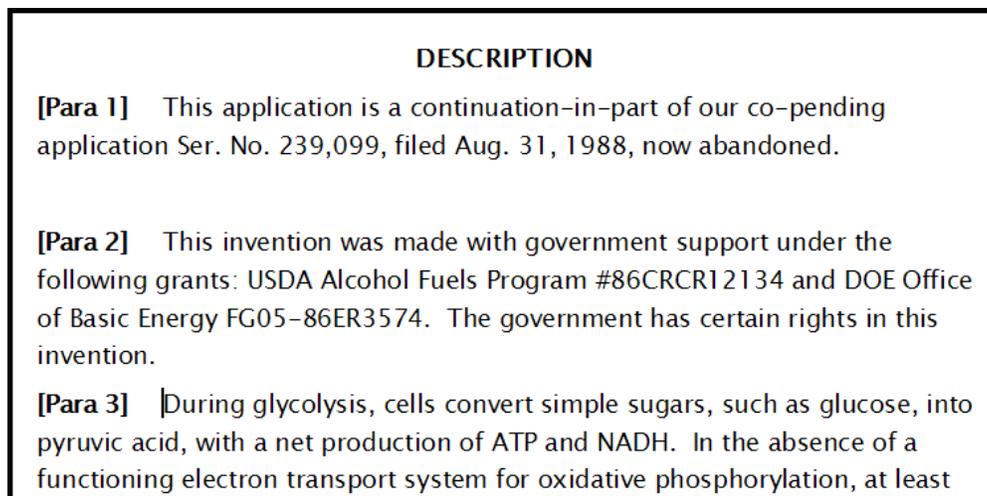


Figure 20

4. Place the cursor next to the text of the first claim and select the **Insert Claims Section Label** from the **Claims** menu.
5. Place the cursor next to the text of the abstract and select the **Insert Abstract Section Label** from the **Abstract** menu.
6. Highlight a block of text or place the cursor to the left of text and use the **Format As** functions from the **ABX TOOLS, DESCRIPTION, CLAIMS,** and **ABSTRACT** menus to indicate how the content of the document should be tagged in the final XML output. See Section 2 EFS-ABX Menus and Toolbars for instructions on using the functions available in EFS-ABX.
7. Validate the document periodically during and after authoring the specification to ensure that a valid XML structure and PDFs will be generated upon export. A validation status bar is displayed during validation.

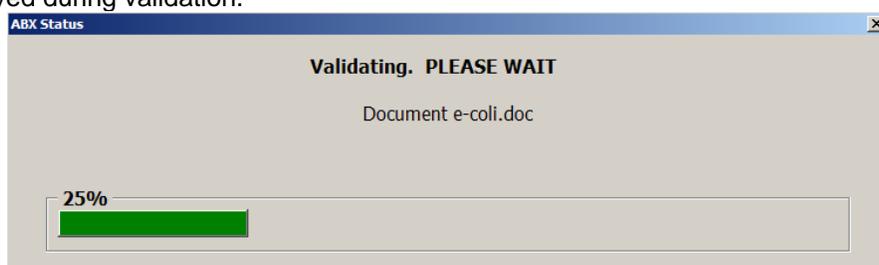


Figure 21

If the document is properly structured a message to that effect will be displayed.



Figure 22

- When the document is complete use the **Export Pdf and Xml** function available from the **ABX TOOLS** menu. Status bars will be displayed to indicate the progress of the file creation. This will save the document as a Microsoft® Word document (*.doc), create the XML files in a subdirectory, and prepare a password protected ABX package.

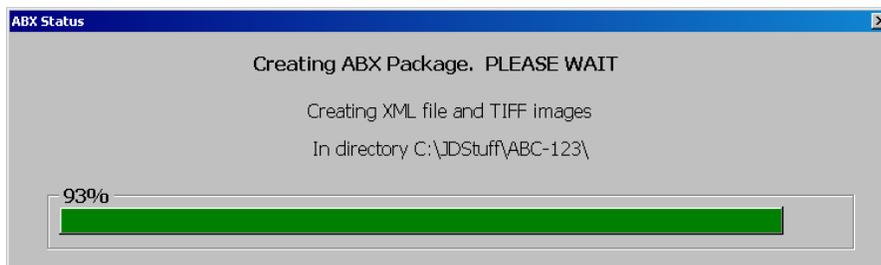


Figure 23

After the conversion is complete the XML and PDF documents can be viewed. The XML documents must be viewed using a web browser such as Internet Explorer. PDF documents will be displayed via one of the XML documents generated during conversion as hyperlinks and can be individually viewed in the PDF viewer of your choice.

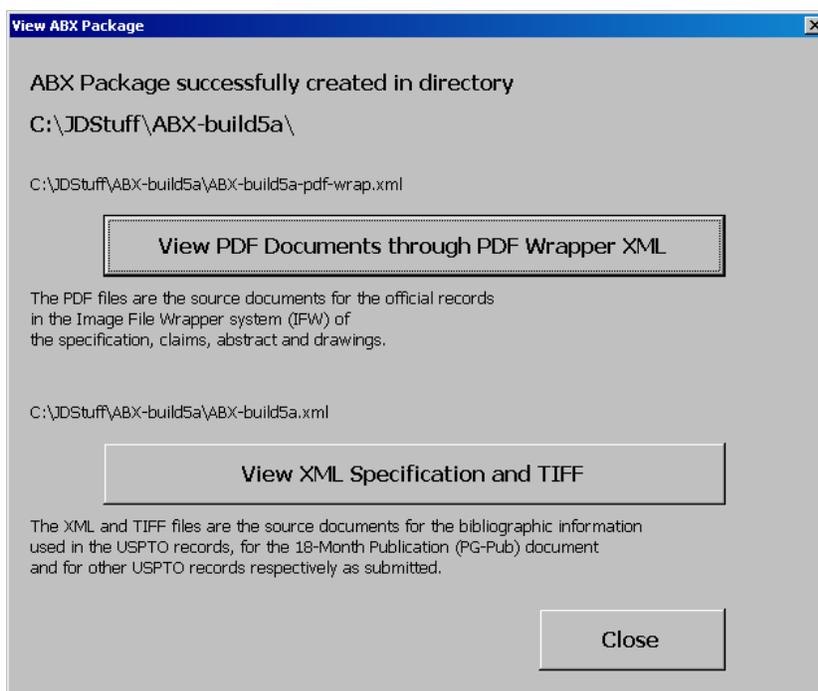


Figure 24

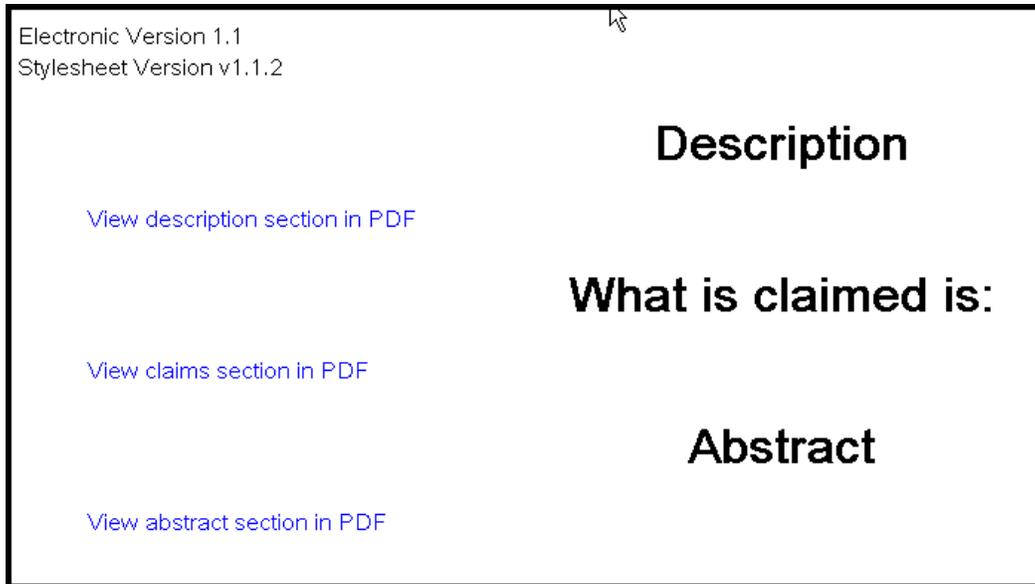


Figure 25

See section 2 for more information.

III The user may import the source document from PASAT and convert the document to Annex F compliant XML.

1. Use the **Import Pasat Xml** function in the **ABX TOOLS** menu or select the **Import Pasat** tool button from the tool bar.

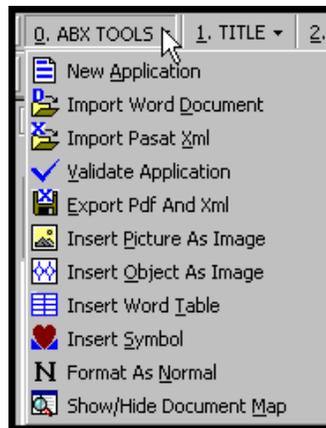


Figure 26

2. Select the PASAT generated XML document from the Open dialogue screen and select the Open function. If the PASAT generated XML references any image files, be sure that the image files are in the same folder as the XML document.

This will import the document into EFS-ABX and a successful import message will be received.



Figure 27

3. Edit the document as desired.
4. Validate the document periodically during and after authoring the specification to ensure that a valid XML structure and PDFs will be generated upon export. A validation status bar is displayed during validation as shown above. If the document is properly structured a message to that effect will be displayed.
5. When the document is complete use the **Export Pdf and Xml** function available from the **ABX TOOLS** menu. This will save the document as a Microsoft® Word document (*.doc), create the XML files in a subdirectory, and prepare a password protected ABX package. Status bars will be displayed to indicate the progress of the file creation.
6. After the conversion is complete the XML and PDF documents can be viewed. The XML documents must be viewed using a web browser such as Internet Explorer. PDF documents will be displayed via one of the XML documents generated during conversion as hyperlinks and can be individually viewed in the PDF viewer of your choice. Note the message box shown above and the browser view of the pdf-wrap document with hyperlinks to the PDF files. See section 2 for more information.

1.8 Keyboard Shortcuts for EFS-ABX

In addition to the standard Microsoft® Word keyboard shortcuts EFS-ABX provides the following keyboard short cuts for EFS-ABX functions. For shortcuts that use numbers (ALT+0, etc.), do not use the keys on the number pad since these keys are reserved by Microsoft® Word for other functions.

EFS-ABX Function	Keyboard Shortcut
ABX TOOLS menu access	ALT+0
New Application	ALT+0 followed by A
Import Word Document	ALT+0 followed by D
Import Pasat Xml	ALT+0 followed by X
Validate Application	ALT+0 followed by V
Export Pdf And Xml	ALT+0 followed by E
Insert Picture As Image	ALT+0 followed by P
Insert Object As Image	ALT+0 followed by O
Insert Word Table	ALT+0 followed by T
Insert Symbol	ALT+0 followed by S
Format as Normal	ALT+0 followed by N

EFS-ABX Function	Keyboard Shortcut
Show/Hide Document Map	ALT+0 followed by M
TITLE menu access	ALT+1
Insert Invention Title Label	ALT+1 followed by L
DESCRIPTION menu access	ALT+2
Insert Heading	ALT+2 followed by H
Insert Paragraph in description	ALT+2 followed by A
Insert Definition List in description	ALT+2 followed by L
Format as Heading in description	ALT+2 followed by E
Format as Paragraph in description	ALT+2 followed by P
Format as Definition List in description	ALT+2 followed by T
Format as Numbered List in description	ALT+2 followed by N
Format as Bullet List in description	ALT+2 followed by B
Paste As Paragraphs in description	ALT+2 followed by R
CLAIMS menu access	ALT+3
Insert Claims Section Label	ALT+3 followed by S
Insert Claim	ALT+3 followed by C
Format As Claim	ALT+3 followed by F
Paste As Claims	ALT+3 followed by P
ABSTRACT menu access	ALT+4
Insert Abstract Section Label	ALT+4 followed by S
Insert Definition List in abstract	ALT+4 followed by L
Format As Paragraph in abstract	ALT+4 followed by P
Format As Numbered List in abstract	ALT+4 followed by N
Format As Bullet List in abstract	ALT+4 followed by B
Format As Definition List in abstract	ALT+4 followed by T
DRAWINGS menu access	ALT+5
Insert Drawings Section Label	ALT+5 followed by S
Insert Picture As Figure	ALT+5 followed by P
Insert Object As Figure	ALT+5 followed by O
ABX Help menu access	ALT+X
ABX General Help	ALT+X followed by G
ABX Context Help	ALT+X followed by C
About ABX	ALT+X followed by A

2.0 EFS-ABX Menu & Tool Bar

All of the commands that are used for EFS-ABX to construct the final XML are displayed on the EFS-ABX Menu and Tool Bar, which is located just below the Microsoft Word® menu and commands. The only formatting that can be carried over from the template to the displayed XML as shown in the Internet Explorer browser are the formatting commands within the EFS-ABX menu and toolbar.



Figure 28

Using the EFS-ABX menus and toolbar, the user can provide the desired formatting to the patent specification and claims.

2.1. The EFS-ABX Menu

EFS-ABX provides a specialized menu for creating patent application specifications. The menu bar is shown below.

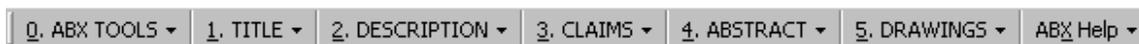


Figure 29

2.2 EFS-ABX TOOLS

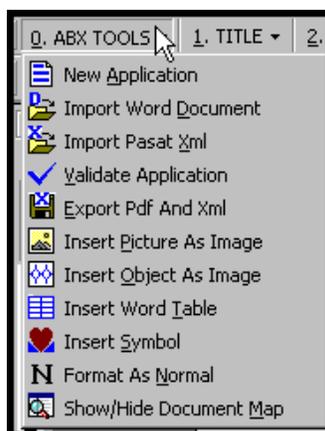


Figure 30

The commands under the **ABX TOOLS** menu provides tools that can be used in any of the sections of the EFS-ABX template and allow a user to:

- Create a **New Application**, which will create a blank EFS-ABX document including the minimum sections required for application processing.
- **Import Word Document**, which displays the file browser window allowing a user to import previous Word documents into the EFS-ABX template. The user can then format the sections of the document using the **Format As** functions.
- **Import Pasat Xml**, which displays the file browser window allowing a user to import previously created PASAT XML documents into the EFS-ABX template. The user can then edit the document and export the document as Annex F compliant XML files and create the password protected ABX package.
- **Validate Application**, which allows the user to determine if the application contains any errors that will prevent the creation of valid XML documents.
- **Export Pdf and Xml**, which will take the application structured in the EFS-ABX template,

save it as a Microsoft® Word document, save it as XML documents and display the application in XML in the Microsoft® Internet Explorer browser. Referenced PDF documents will be displayed as hyperlinks and can be individually viewed in Adobe® Reader® or the PDF viewer of your choice. In addition, the password protected ABX package will be created. When this feature is selected the user is prompted to save the file in a standard Microsoft Word Save screen.

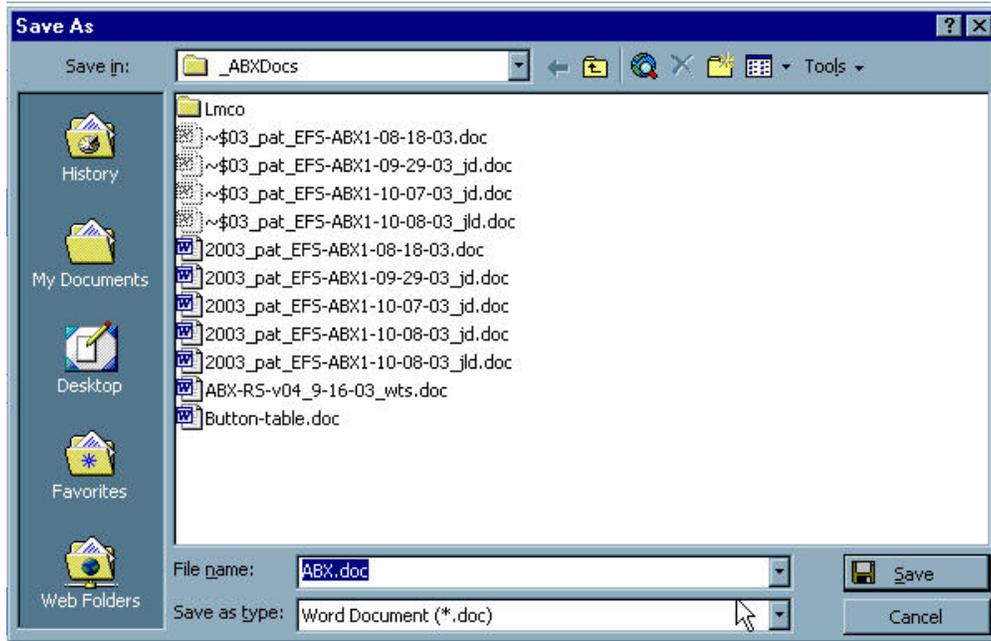


Figure 31

As the conversion to PDF and XML begins, EFS-ABX will indicate the name and location where the files will be stored.

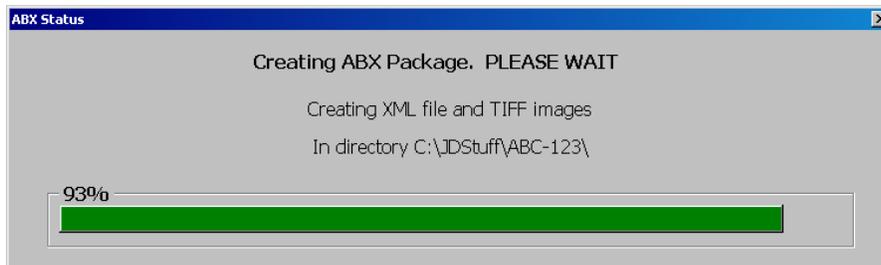


Figure 32

Note: This conversion may take several minutes for complex documents. A progress bar describing the processes occurring will be displayed while EFS-ABX is performing the conversion. To increase the speed of conversion, avoid including lengthy paragraphs.

Note: Canceling During Validation and/or Export

Users are encouraged NOT to cancel validation or export while EFS-ABX is in the middle of either process.

If cancellation is desired, then the user should use the Windows Task Manager, navigate to the

Applications tab, select the task (in this instance MS Word) and select the End Task button.

If there are any questions regarding this process, as always, please contact the Patent EBC.

When the conversion to XML is complete, a dialogue box will be displayed indicating that the PDF and XML files have been created and the location of the files.

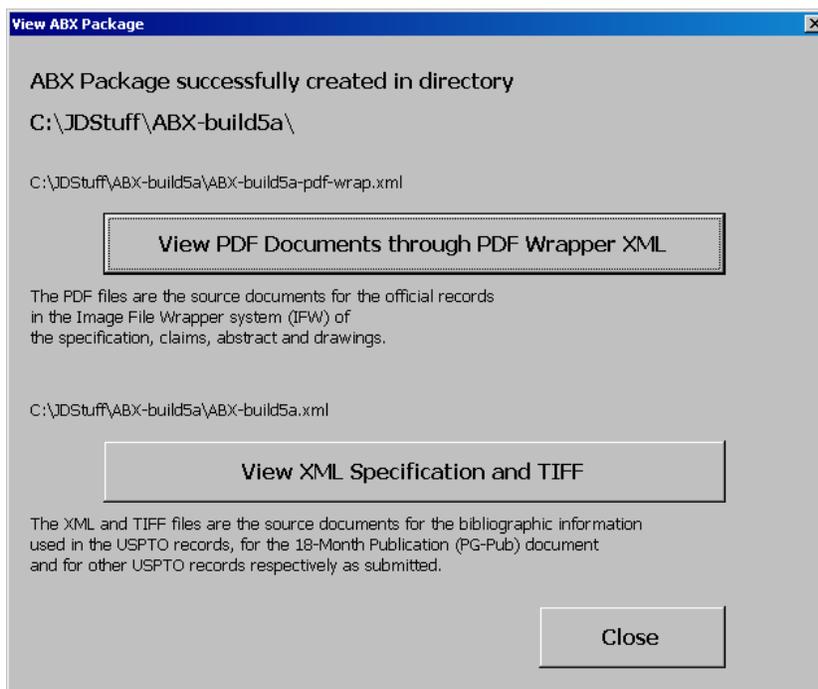


Figure 33

The user may view the specification as the full application body XML document by selecting the **View XML Specification and TIFF** function or view the pdf-wrap XML document by selecting the **View PDF Documents through PDF Wrapper XML** function. In the pdf-wrap XML document the PDF files will be referenced by hyperlinks. Selecting a link allows viewing of the document in Adobe® Reader® or the PDF viewer of your choice.

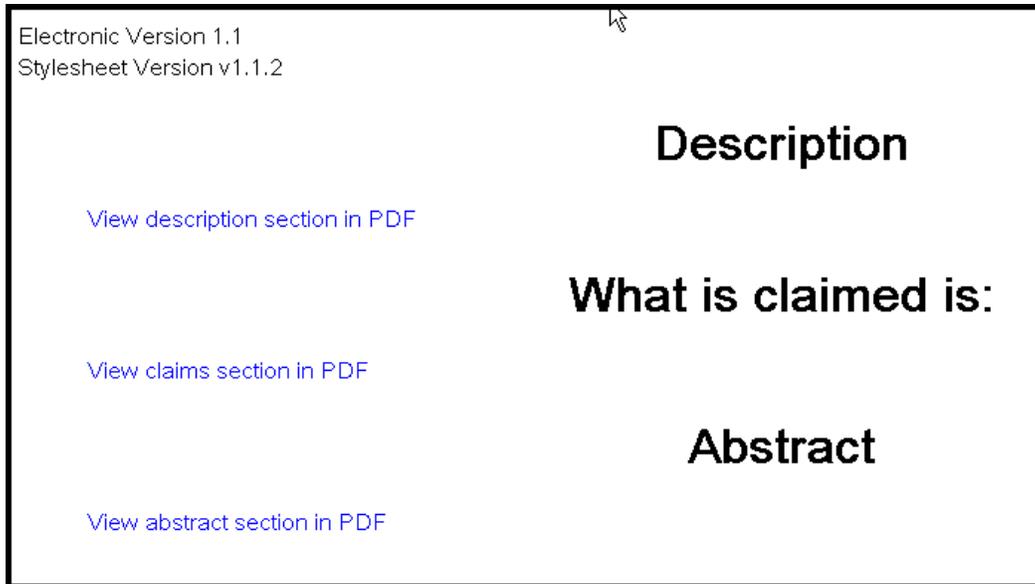


Figure 34

Note: The PDF files are the source documents for the official records in the Image File Wrapper system (IFW) of the specification including the claims and abstract, and drawings. It is important to review the PDF files to verify that they contain the same information as was entered into the Word source application file. The Word source document file is never transmitted to the USPTO, and cannot be relied upon as evidence of the contents of the application as filed.

The XML and TIFF files are the source documents for the bibliographic information used in the USPTO records, for the 18- Month Publication (PG-Pub) document and for other USPTO records respectively as submitted.

If EFS-ABX is unable to generate a valid XML document the user will be prompted to correct the problem.



Figure 35

- **Insert Picture As Image** which allows a user to insert pictures. Images will be converted to black and white upon insertion. Enter one image at a time when using this feature.
- **Insert Object As Image** which lets a user insert objects. Users can access other programs using this function to create objects that will be converted to images when the final XML document is created. These objects may be inserted and edited in EFS-ABX. The associated applications must be installed on the user's computer in order to use the EFS-ABX. These objects will be transformed into tiff images when the XML is created.

Each tiff file is given a unique file name and is properly referenced in the final XML document. Enter one object at a time when using this feature. See Microsoft® Word Help for more information about Inserting Objects.

Important Note: All images will be converted to true black and white images upon insertion into EFS-ABX. Color images are not acceptable for electronic filing at this time and will be converted to black and white by EFS-ABX.

- **Insert Word Table** will display the insert table prompt giving a user the capability to define the number of rows and columns for the table, and then insert it into the description, claims, or abstract sections of the EFS-ABX template. Tables may not contain merged cells and an error message will be generated on validation if merged cells are present.
- **Insert Symbol** will insert special symbols in the paragraphs, claims, Microsoft® Word tables, and lists from Lucida Sans Unicode font. The Word table should not contain merged cells. If it does an error message will be generated on validation and/or export.
- **Format As Normal** will format heading, paragraph, lists or claims as Normal text. This normal text can then be formatted to another desired element. Use this function if improper paragraph breaks or claim breaks are provided as a means to consolidate the text.
- **Show / Hide Document Map** will display a document tree on the left of the GUI. This document tree can be used to guide the user through the EFS-ABX document or as a visual reference to quickly see what has been included in the EFS-ABX document.

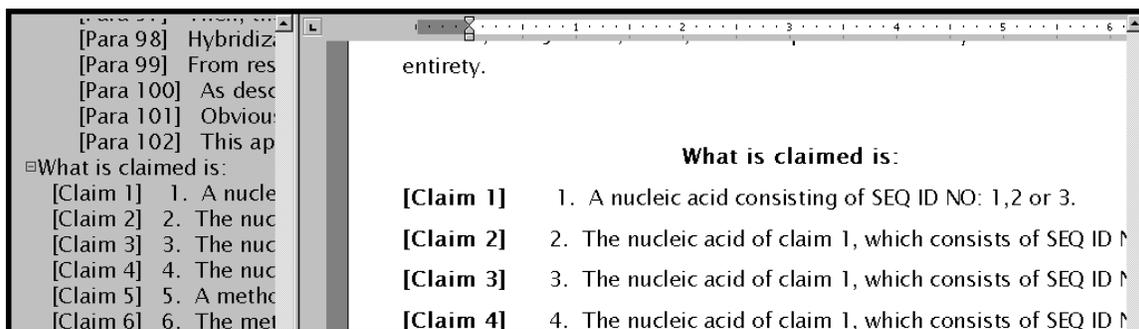


Figure 36

2.3 TITLE



Figure 37

The command under the **TITLE** menu allows a user to **Insert Invention Title Label**, if no invention title section already exists, or was deleted. If an invention title section is already

present when trying to **Insert Invention Title Label**, an error message will be displayed as shown below.



Figure 38

2.4 DESCRIPTON

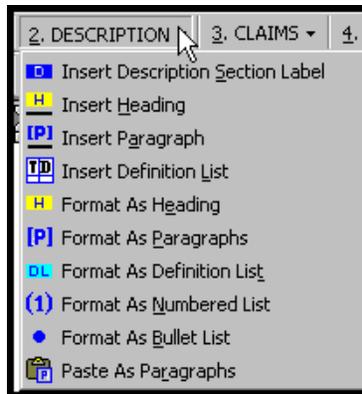


Figure 39

The commands under the **DESCRIPTION** menu allow a user to:

- **Insert Description Section Label**, if no description section already exists, or was deleted. If a description section is already present when trying to **Insert Description Section Label**, an error message will be displayed as shown below.



Figure 40

- **Insert Heading** will allow the user to enter description subsection headings. For example, the user may want to insert a subsection called Description of Drawings. Heading must be followed by at least one paragraph.
- **Insert Paragraph** will insert a paragraph label, displayed as "Para" followed by an auto-assigned sequential number in the EFS-ABX template (e.g. Para 1). The cursor will be

located in the new paragraph and users can type directly into the new paragraph.

- **Insert Definition List** will give a user the capability to insert an optional two-column table of terms and their definitions. The term being defined is entered into the left column and the definition of the term is entered in the right column.

Definition List 1	
<i>Term</i>	<i>Definition</i>
Adhesive	Any substance that is used to bond two surfaces together.

Figure 41

- **Format As Heading** will format the text after the cursor or selected text as a heading. A heading must be followed by at least one paragraph.
- **Format As Paragraph** will format the text after the cursor or selected text as a paragraph or paragraphs by adding a paragraph tag (e.g. Para 1) before the text. If multiple Microsoft Word® paragraphs are selected, the paragraph labels will be inserted after each Microsoft® Word paragraph. Microsoft® Word paragraphs are indicated by the paragraph symbol (¶) in the graphical user interface.

Glyphosate (N-(phosphonomethyl) glycine) is the active ingredient in glyphosate herbicides, such as ROUNDUP® brand herbicide produced by Monsanto, St. Louis, Mo. Typically, glyphosate is formulated as a water-soluble salt such as an ammonium, alkylamine, alkali metal or trimethylsulfonium salt. One of the most common formulations is the isopropylamine salt of glyphosate, which is the form employed in ROUNDUP® brand herbicide. ¶

Glyphosate is a broad spectrum herbicide that inhibits the enzyme enolpyruvylshikimate-phosphate synthase (EPSPS). ¶

It is conventionally applied as an aqueous solution to the foliage of plants, where it is taken up into the leaves and transported

Figure 42

When the **Format As Paragraph** option is selected paragraph labels are added as shown below.

[Para 2] Glyphosate (N-(phosphonomethyl) glycine) is the active ingredient in glyphosate herbicides, such as ROUNDUP® brand herbicide produced by Monsanto, St. Louis, Mo. Typically, glyphosate is formulated as a water-soluble salt such as an ammonium, alkylamine, alkali metal or trimethylsulfonium salt. One of the most common formulations is the isopropylamine salt of glyphosate, which is the form employed in ROUNDUP® brand herbicide.¶

[Para 3] Glyphosate is a broad spectrum herbicide that inhibits the enzyme enolpyruvylshikimate-phosphate synthase (ESPS). ¶

[Para 4] It is conventionally applied as an aqueous solution to the foliage of plants, where it is taken up into the leaves and

Figure 43

- **Format As Definition List** will format the text in a two-column table after the cursor or selected text by indicating a term and its definition. If the table is not present, an error message will be displayed. The first row of the two-column table must contain the word Term in the first column and Definition in the second column.

Definition List 1	
<i>Term</i>	<i>Definition</i>
Adhesive	Any substance that is used to bond two surfaces together.

Figure 44

- **Format As Numbered List** will format text after the cursor or selected text by numbering the lines of text sequentially according to the location of the Microsoft® Word paragraphs as shown below.

5,639,711 ¶
 5,652,197 ¶
 5,679,621 ¶
 5,750,468 ¶

Figure 45

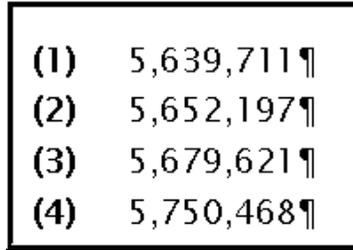


Figure 46

- **Format As Bullet List** will add bullets to text after the cursor or selected text according to the location of Microsoft Word paragraphs.

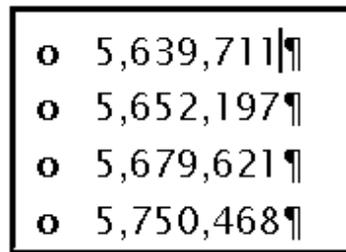


Figure 47

After a bullet list or a numbered list have been entered, be sure that the style of the cursor location immediately after the list is Normal. If it is not, select the normalize function.

- **Paste As Paragraphs** allows the user to copy and paste text as a paragraph within the document or from other sources. If text is already highlighted by the cursor, the Paste As Paragraphs option will place the pasted text before the text highlighted. When the XML document is created, paragraph tags will be provided in the location of the Microsoft® Word paragraphs as indicated by the paragraph marks (¶).

Glyphosate (N-(phosphonomethyl) glycine) is the active ingredient in glyphosate herbicides, such as ROUNDUP® brand herbicide produced by Monsanto, St. Louis, Mo. Typically, glyphosate is formulated as a water-soluble salt such as an ammonium, alkylamine, alkali metal or trimethylsulfonium salt. One of the most common formulations is the isopropylamine salt of glyphosate, which is the form employed in ROUNDUP® brand herbicide.¶
Glyphosate is a broad spectrum herbicide that inhibits the enzyme enolpyruvylshikimate-phosphate synthase (ESPS). ¶
It is conventionally applied as an aqueous solution to the foliage of plants, where it is taken up into the leaves and transported

Figure 48

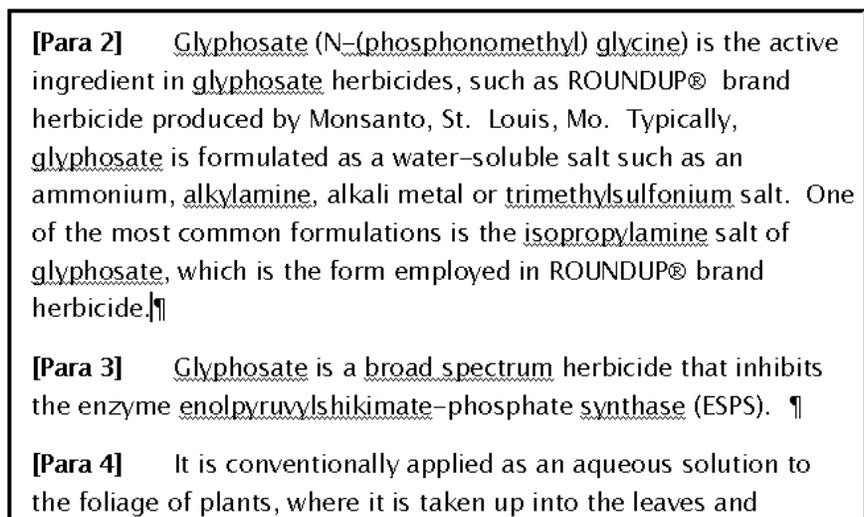


Figure 49

2.5 CLAIMS

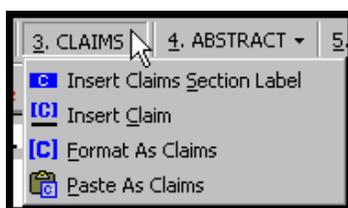


Figure 50

The options under the **CLAIMS** menu allow a user to:

- **Insert Claims Section Label**, if no claims section already exists, or was deleted. If a claims section is already present when trying to **Insert Claims Section Label**, an error message will be displayed as shown below.



Figure 51

- **Insert Claim** will insert a claim label, displayed as “Claim” and followed by the auto-assigned sequential number in the EFS-ABX template (e.g. Claim 1). Users can type

directly into the new claim.

- **With Format As Claim**, additional formatting can be given to text within the claims section, giving a user the option of Formatting As Claim. If multiple Microsoft® paragraphs are selected, claim labels will be applied after each paragraph mark (¶) that follows a period.

1. A nucleic acid consisting of SEQ ID NO: 1, 2 or 3. ¶
2. The nucleic acid of claim 1, which consists of SEQ ID NO: 1. ¶
3. The nucleic acid of claim 1, which consists of SEQ ID NO: 2. ¶
4. The nucleic acid of claim 1, which consists of SEQ ID NO: 3. ¶
5. A method of assaying for the presence of hop mosaic virus in a hop sample, comprising: ¶
→ treating (a) an isolated and purified nucleic acid consisting of SEQ ID NO: 1, 2 or 3 with a sample containing (b) nucleic acid obtained from hop; and ¶
→ detecting the presence or absence of hybridization between (a) and (b), wherein ¶
→ the presence of hybridization between (a) and (b) is indicative of the presence of hop mosaic virus in the hop. ¶

Figure 52

What is claimed is:

[Claim 1] 1. A nucleic acid consisting of SEQ ID NO: 1, 2 or 3.
[Claim 2] 2. The nucleic acid of claim 1, which consists of SEQ ID NO: 1.
[Claim 3] 3. The nucleic acid of claim 1, which consists of SEQ ID NO: 2.
[Claim 4] 4. The nucleic acid of claim 1, which consists of SEQ ID NO: 3.
[Claim 5] 5. A method of assaying for the presence of hop mosaic virus in a hop sample, comprising:
treating (a) an isolated and purified nucleic acid consisting of SEQ ID NO: 1, 2 or 3 with a sample containing (b) nucleic acid obtained from hop; and
detecting the presence or absence of hybridization between (a) and (b), wherein
the presence of hybridization between (a) and (b) is indicative of the

Figure 53

Paste As Claims allows the user to paste a section of text into the Claims section. Claim notations will be added before the beginning of the first text section and thereafter on the

occurrence of a period and the end of the Microsoft® Word paragraph.

2.6 ABSTRACT

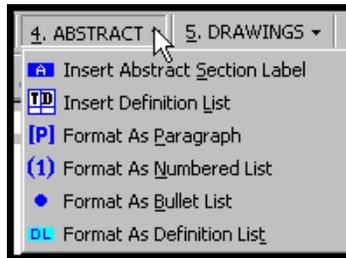


Figure 54

The options under the **ABSTRACT** menu allow a user to:

- **Insert Abstract Section Label**, if no abstract section already exists, or was deleted. If an abstract section is already present when trying to **Insert Abstract Section Label**, an error message will be displayed as shown below.



Figure 55

- **Insert Definition List** will give the user the capability to insert a two-column table of terms and their definitions. The term being defined is entered into the left column and the definition of the term is entered in the right column.

Definition List 1	
<i>Term</i>	<i>Definition</i>
Adhesive	Any substance that is used to bond two surfaces together.

Figure 56

- **Format As Paragraph** will format the text after the cursor or selected text as a paragraph by adding a paragraph label (e.g. Para 1) before the text. The abstract should contain 150 words or fewer and may be only a single paragraph.
- **Format As Numbered List** will format text after the cursor or selected text by numbering the lines of text sequentially according to the location of Microsoft® Word paragraph marks (¶).

5,639,711¶
5,652,197¶
5,679,621¶
5,750,468¶

Figure 57

(1) 5,639,711¶
(2) 5,652,197¶
(3) 5,679,621¶
(4) 5,750,468¶

Figure 58

- **Format As Bullet List** will add bullets to text after the cursor or selected text according to the location of Microsoft® Word paragraph marks (¶).

○ 5,639,711¶
○ 5,652,197¶
○ 5,679,621¶
○ 5,750,468¶

Figure 59

After a bullet list or a numbered list have been entered, be sure that the style of the cursor location immediately after the list is Normal. If it is not, select the normalize function.

- **Format As Definition List** will indicate that an optional two-column table is to be recognized as a definition list. If a definition list table is not present then an error message will be generated. The first row of the two-column table must contain the word Term in the first column and Definition in the second column.

Definition List 1	
<i>Term</i>	<i>Definition</i>
Adhesive	Any substance that is used to bond two surfaces together.

Figure 60

2.7 DRAWINGS

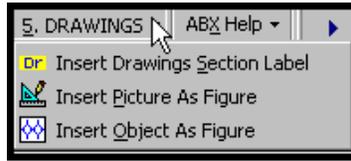


Figure 61

The options under the **DRAWINGS** menu allow a user to:

- **Insert Drawings Section Label**, if no drawings section already exists, or was deleted. If a drawings section is already present when trying to **Insert Drawings Section Label**, an error message will be displayed.



Figure 62

- **Insert Picture As Figure** allows the user to insert a picture image or images from saved files after the cursor. If the image is not a Tiff image when the XML document is generated, the non-Tiff images will automatically be converted to Tiff files in order to meet electronic application filing standards of the USPTO. Insert only one image at a time when using this feature.

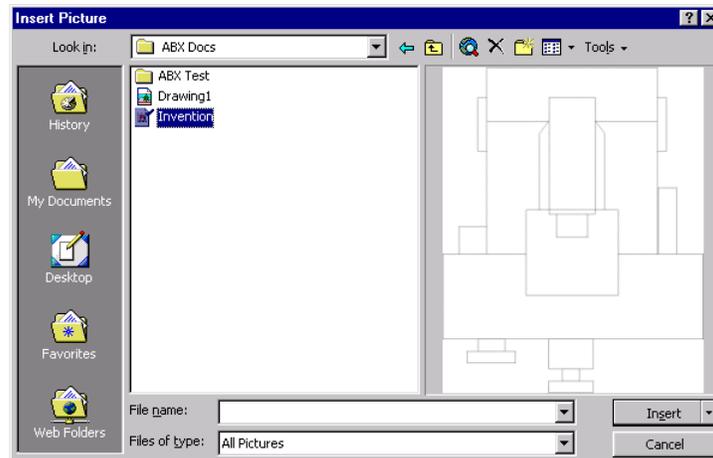


Figure 63

- **Insert Object As Figure** allows the user to insert an object or objects created in another program or from saved files after the cursor. If the object is not a Tiff image when the XML document is generated, the non-Tiff objects will automatically be converted to Tiff files in order to meet electronic application filing standards of the USPTO. Insert only one

object at a time when using this feature.

***Note** that objects may only be inserted if the software used to view the object is installed on the local machine where the EFS-ABX document is being created. If the software is not present, an icon representing the object will appear in the EFS-ABX document.

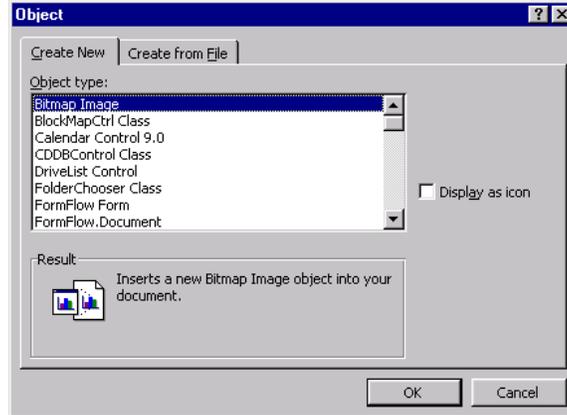


Figure 64

Important Note: All images will be converted to true black and white images upon insertion into EFS-ABX. Color images are not acceptable for electronic filing at this time and will be converted to black and white by EFS-ABX.

2.8 ABX Help

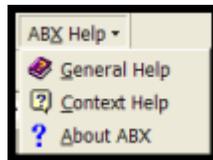


Figure 65

The options under the **ABX Help** menu allow the user to access:

- **ABX General Help** – Provides general help about the structure of patent applications including descriptions of what the various sections should contain to meet USPTO requirements.
- **ABX Context Help** – Provides help via the Office assistant related to the particular location of the cursor in the document. For example, if the cursor is in a paragraph the assistant will list the features that may be inserted into a paragraph, e.g. tables, images, ordered lists, etc.

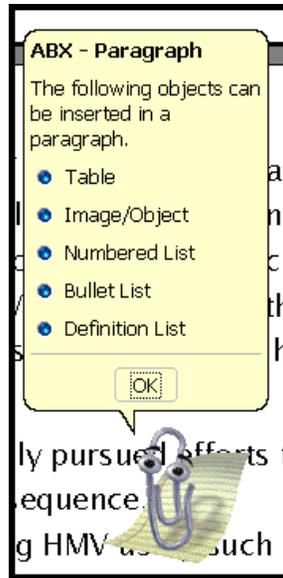


Figure 66

Information about content appropriate for inclusion at the current cursor location will be displayed. When one of the option buttons is selected, additional information about that content will be provided.

- **About ABX** will display the EFS-ABX splash screen and will display the current version information.

3.0 EFS-ABX Button Commands



Figure 67

Button	Name(s)	Description	Command Type
	New Application	Creates a new distinct EFS-ABX document using the EFS-ABX template	EFS-ABX
	Import Word Document	Import an existing document into the EFS-ABX template for conversion to XML	EFS-ABX
	Import Pasat Document	Import an existing PASAT created XML document into the EFS-ABX template for conversion to Annex F compliant XML	EFS-ABX
	Validate Application	Allows the user to determine if the application contains any errors that will prevent the creation of valid XML documents.	EFS-ABX
	Export Pdf and Xml	Saves the document in Microsoft Word® and creates the XML documents	EFS-ABX
	Bold and Italic	See Microsoft Word® Help (F1)	Microsoft Word®
	Superscript & Subscript	See Microsoft Word® Help (F1)	Microsoft Word®
	Decrease and Increase indent level in claims	Indents sections of a claim	EFS-ABX
	Cut, Copy, & Paste	See Microsoft Word® Help (F1)	Microsoft Word®
	Format as paragraph(s)	Formats selected text as paragraph(s) in the description and abstract sections	EFS-ABX
	Format as claim(s)	Formats selected text as claim(s) in the claims section	EFS-ABX
	Insert Image	Allows the user to insert an image from a file. The image will be converted to Black and White upon insertion. Enter only one image at a time when using this feature.	EFS-ABX
	Show or hide paragraph marks	See Microsoft Word Help (F1)	Microsoft Word®
	Format As Normal	Will format Heading, Paragraph, Claim, or lists text as normal text to remove labels and allow editing of the format of the section or item	EFS-ABX
	Insert Symbol	Will insert special symbols from Lucida Sans Unicode font in a Title, Paragraph, Claims, or Abstract	EFS-ABX

Button	Name(s)	Description	Command Type
	ABX General Help	Provides general guidance to using EFS-ABX	EFS-ABX
	ABX Context Help	Provides context sensitive help depending upon where the cursor is located in the document	EFS-ABX

4.0 Appendix

4.1 Behind the Scenes

EFS-ABX Specification – Structure and Authoring Rules

4.1.1 Application Body Mandatory Sections

An EFS-ABX specification must contain four (mandatory) application body sections in the following order:

INVENTION TITLE
DESCRIPTION
CLAIMS
ABSTRACT

An EFS-ABX specification may contain a fifth (optional) application body section:

DRAWINGS

Scope of an application body section: Each application body section begins with an application body section label and ends at the label of the next application body section, or (in the case of ABSTRACT or DRAWINGS Sections) – at the end of the document. When the user launches EFS-ABX, a pre-structured specification is opened as a Microsoft® Word document. The document contains EFS-ABX screen labels for the following mandatory sections: Invention Title, Description, Claims, and Abstract. The cursor is positioned at the place for typing the invention title.

New EFS-ABX Specification Screen

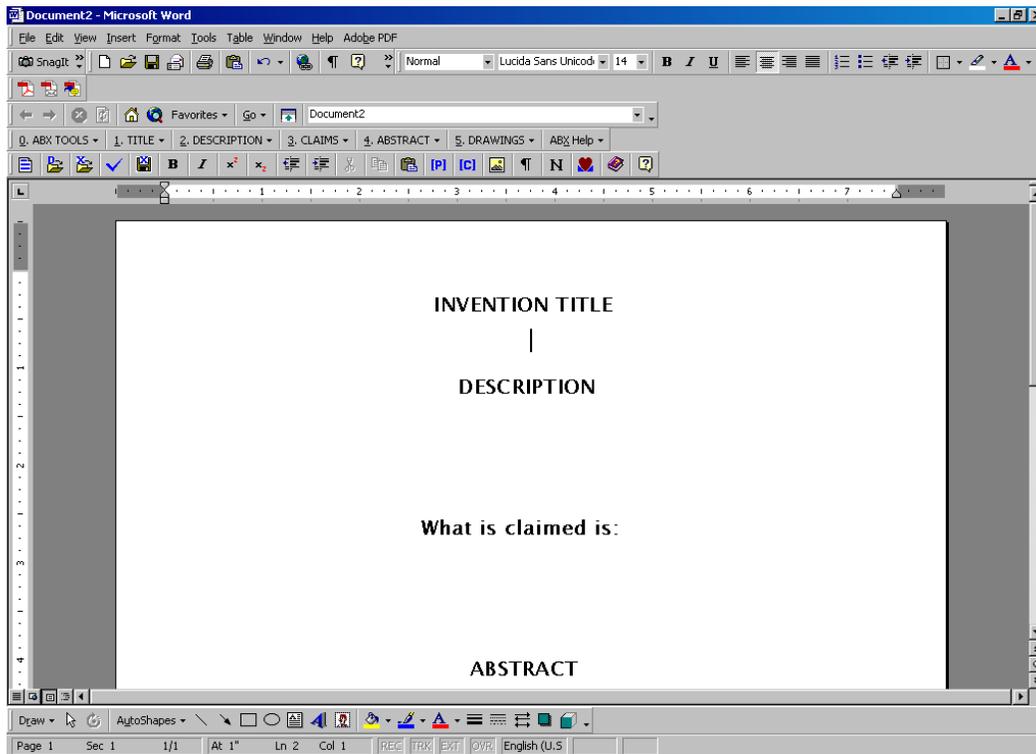


Figure 68

The labels are shown in the picture above – they mark the beginning of the sections of the EFS-ABX specification.

4.1.2 EFS-ABX Screen Labels

EFS-ABX provides screen labels that serve as visual indicators of the following application body elements:

- Invention Title (XML element <invention-title>),
- Description (XML element <description >),
- What is claimed is (XML element <claims>),
- Abstract (XML element <abstract >),
- Drawings (XML element <drawings >),
- Term Definition List (XML element <dl>),
- Heading (XML element <heading>),.

EFS-ABX displays a screen label as a separate Microsoft® Word paragraph above the application body object that is labeled allowing insertion of empty Microsoft® Word paragraphs between the screen label and the labeled application body object. EFS-ABX inserts screen labels (“Insert Label...” menu functions) right above the selected application body object.

The following sections of this document provide information about the structure of an EFS-ABX specification sections.

4.1.3 EFS-ABX Styles

EFS-ABX supports all document styles that are native to Microsoft® Word. If a document is imported into EFS-ABX and contains a unique style, the user will receive an error message that the style is not supported by EFS-ABX. To allow the document to be properly processed, the user should access the Format→ Style function in Microsoft® Word and delete the unsupported style.

4.1.4 Section INVENTION TITLE

Text Formatting: Bold, *Italic*, Subscript, Superscript

Must contain: Only one Microsoft® Word paragraph after the INVENTION TITLE label.

4.1.5 Section DESCRIPTION

Can contain: Headings and application body Paragraphs.

Must contain: At least one application body paragraph. EFS-ABX generates an XML instance of application-body.dtd only if the specification contains at least one non-empty application body paragraph in the Description section (element <description>).

Scope: Contains all application body objects except invention title and claims till the CLAIMS Section label.

4.1.5.1 Heading

Text Formatting: Bold, *Italic*, Subscript, Superscript

Must contain: Only one Microsoft® Word paragraph after the Heading screen label. Must be followed by at least one application body paragraph. The Heading screen label will not

be displayed in the final XML and PDF documents. It is provided as a navigational aid to the user.

4.1.5.2 Application Body Paragraph

Text Formatting: **Bold**, *Italic*, Subscript, ^{Superscript}

Scope of an application body paragraph: Contains all application body objects till the next application body paragraph or the next Heading or CLAIMS Section screen label.

An application body paragraph must contain: At least one Microsoft® Word paragraph or one of the application body objects listed below.

An application body paragraph (element <p>) can contain the following objects:

Image (),

Ordered List (),

Table (<tables>),

Term Definition List (<dl>),

Unordered List ().

Application Body Paragraph Numbering: application body paragraphs are numbered. Each Microsoft® Word paragraph formatted as an application body paragraph has a number in following format: **[Para N]**, where **N** is the number of the application body paragraph. EFS-ABX provides automatic application body paragraph numbering.

4.1.5.3 Images

Application body paragraph can contain an image object of the type:

Image (XML element).

Important Note: All images will be converted to true black and white images upon insertion into EFS-ABX. Color images are not acceptable for electronic filing at this time and will be converted to black and white by EFS-ABX.

4.1.5.4 Lists

Application body paragraph can contain the following types of lists:

Bullet List (XML element),

Numbered List (XML element).

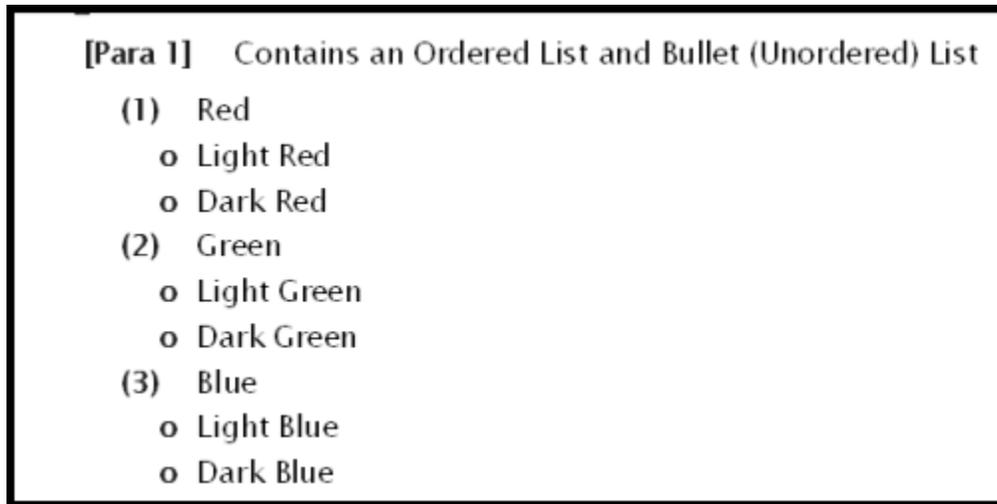


Figure 69

A numbered list may contain a bullet list as a list element, but a bullet list can only contain list items and not other list types.

4.1.5.5 Microsoft® Word Table

Table object in application body paragraph is represented as a regular MS Word table.

Table can contain only formatted text and special symbols.

EFS-ABX allows cells of a regular MS Word table (element <table>) to contain only formatted text (, <i>, <sup>, <sub>) and special symbols from Lucida Sans Unicode font. EFS-ABX exports regular MS Word tables (without merged cells) into XML providing values for the following attributes: attributes id and num of element <table>, attribute cols of element <tgroup>, and attribute align of element <entry>.

Table cannot contain merged cells. EFS-ABX generates an error message if the user validates or exports (functions “Validate Application” and “Export Pdf and Xml”) an application body specification containing a MS Word table with merged cells.

4.1.5.6 Term Definition List

Term Definition List is represented on the authoring screen as a MS Word Table with two columns: “Term” (XML element <dt>) and “Definition” (XML element <dd>).

Definition List 1	
<i>Term</i>	<i>Definition</i>
Adhesive	Any substance that is used to bond two surfaces together.

Figure 70

4.1.6 Section CLAIMS

Section CLAIMS can contain only Claim objects (XML element <claim>).

Section CLAIMS must contain at least one non-empty claim. EFS-ABX generates an XML instance of application-body.dtd only if the specification contains at least one non-empty application body Claim in the Claims section (element <claims>).

4.1.6.1 Claim

Text Formatting: **Bold**, *Italic*, _{Subscript}, ^{Superscript}

Scope: Contains all application body objects till the next Claim or ABSTRACT Section label.

Must contain: At least one Microsoft® Word paragraph or one of the application body objects listed below. Each claim must end in a period.

Application body Claim (<claim><claim-text>) can contain only the following elements:

Image (), Table (<tables>).

Claim Numbering: Claims are numbered. Each Word paragraph formatted as a claim has a number in following format: **[Claim N]**, where **N** is the number of the claim.

EFS-ABX provides automatic application body claim numbering.

4.1.6.2 Images

Application body paragraph can contain an image object of the type:

Image (XML element),

Important Note: All images must be converted by the user to true black and white images prior to export to XML or PDF. Color images are not acceptable for electronic filing at this time.

4.1.6.3 Microsoft® Word Table

Table object in application body paragraph is represented as a regular MS Word table.

Table can contain only formatted text and special symbols.

EFS-ABX allows cells of a regular MS Word table (element <tables>) to contain only formatted text (, <i>, <sup>, <sub>) and special symbols from Lucida Sans Unicode font.

EFS-ABX exports regular MS Word tables (without merged cells) into XML providing values for the following attributes: attributes id and num of element <tables>, attribute cols of element <tgroup>, and attribute align of element <entry>.

Table cannot contain merged cells. EFS-ABX generates an error message if the user exports (functions "Validate Application" and "Export Pdf and Xml") an application body specification containing a Microsoft® Word table with merged cells.

4.1.7 Section ABSTRACT

Section ABSTRACT must contain only one application body paragraph (after the ABSTRACT label).

Scope: Contains all objects till the End of the document or the DRAWINGS Section label (if section is present).

EFS-ABX allows exporting in XML of a specification containing one and only one non-empty application body paragraph (element <p>) in the Abstract section (element <abstract>).

4.1.8 Section DRAWINGS

This section of the ABX specification is optional.

Must contain: only Figures (one or more).

Scope: Contains all Figure objects till the end of the document.
Figure is an image (picture or Word object). No text is permitted in this section of the EFS-ABX document. Any text required to describe the drawing should be a part of the drawing itself.

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