U.S. Patent and Trademark Office

Pre-Examination Standard Operating Procedures

April 2011

Chapter: Introduction

1. Purpose

The Pre-Examination Standard Operating Procedures Manual is a detailed guide to help contractors and/or government personnel perform their daily work processes consistently and accurately. This manual contains step-by-step instructions for performing daily work processes and serves as a foundation for contracted and government staff.

2. Pre-Examination Function

The Pre-Examination function is to process all new applications and all subsequent filings for intake operations (mailroom operations, scanning, finance and data entry).

3. How to Use this Document

This manual consists of 5 chapters. Each chapter includes detailed steps for performing a particular function. Each function is a stand-alone process and therefore each chapter in the manual may be referenced independently. The steps are provided and where appropriate, include screenshots of the applications used to perform the work.

Chapter I: Opening Desktop Tools

The government and contracted staff use several electronic “desktop tools” and programs to perform their work. Since these tools remain open throughout the workday and are used in most of the functions, this chapter provides a brief description of each tool and the steps for opening them. The remaining sections of the manual explain how the tools are used to complete the work steps.

The desktop tools are:

1. Acceptable Identification of Goods and Services Manual
2. Design Search Code Manual
3. Dictionary Tool
4. PC TRAM
5. RAM
6. TICRS
7. TICRS DMM
8. TTABVUE
9. Trademark Publication Review
10. Trade-Ups
11. X-Search

1. Acceptable Identification of Goods and Services Manual

The Acceptable Identification and Services Manual is a list of classes of goods and services that are acceptable to the USPTO for which a mark is used or will be used. Pre-Exam employees use the Manual to assign classes to marks based on the descriptions of goods and services contained in the applications.

Step 1: Double click on the ID Manual icon 

on the desktop, which opens the Acceptable Identification of Goods and Services Manual homepage (Figure 1-1).

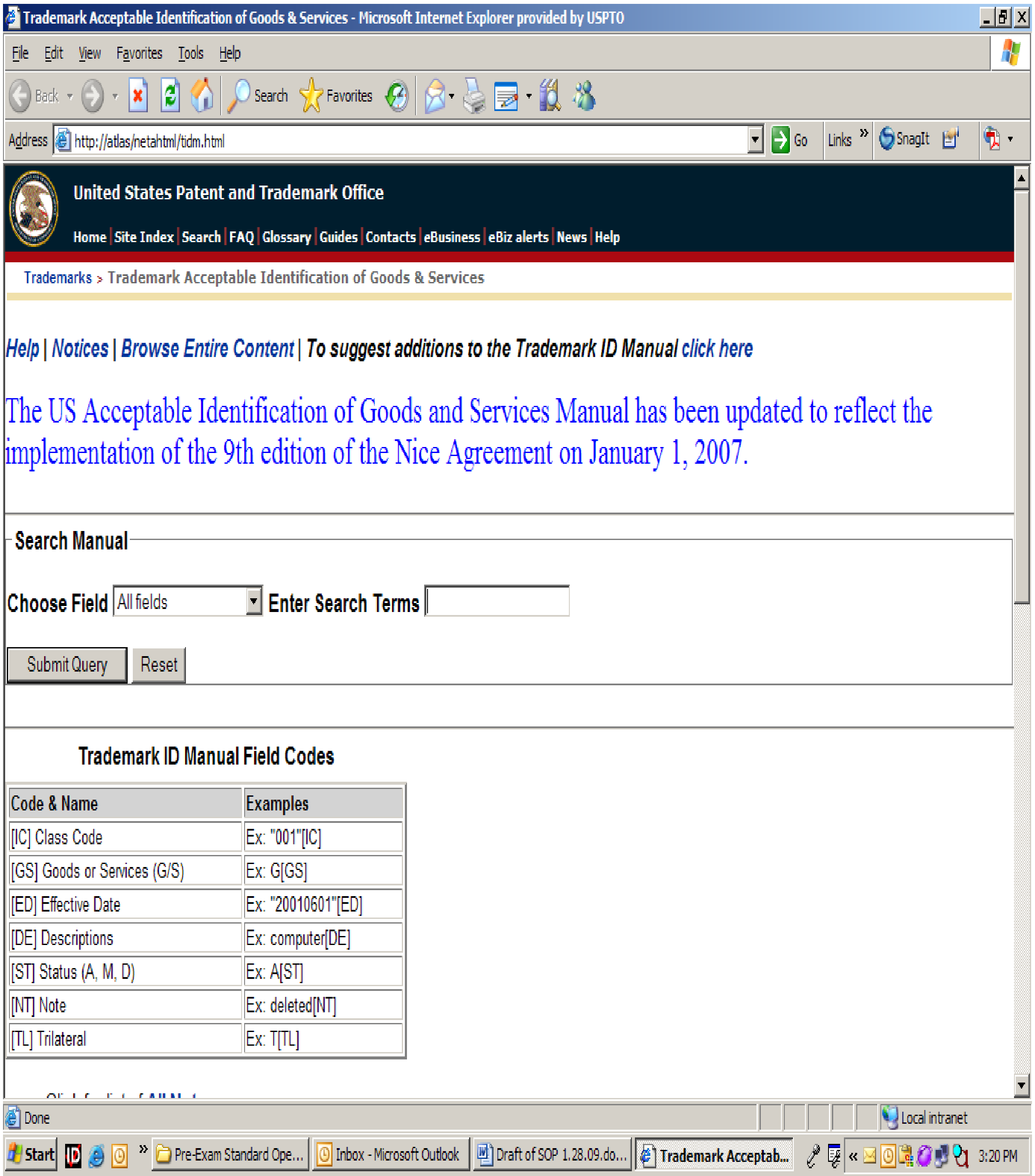


Figure 1-1: The Acceptable Identification of Goods and Services Manual

Step 2: Click on the “Browse Entire Content” link at the top of the page to browse the manual or use the “Choose Field” drop-down menu and the “Enter Search Terms” field to search for a particular class (Figure 1.1)

2. **Design Search Code Manual**

The Design Search Code Manual is a codified catalog of images that may appear in marks. The Manual is used to determine the appropriate design search code to apply to marks to describe them and distinguish them from one another. The DSC Manual is available in printed form as a single volume and in Web-based form on the USPTO Intranet. The steps below describe the procedure for opening the Web-based version of the DSC Manual.

Step 1: Double-click on the DSC Manual icon 

on the desktop, which opens the DSC Manual (Figure 1.2).

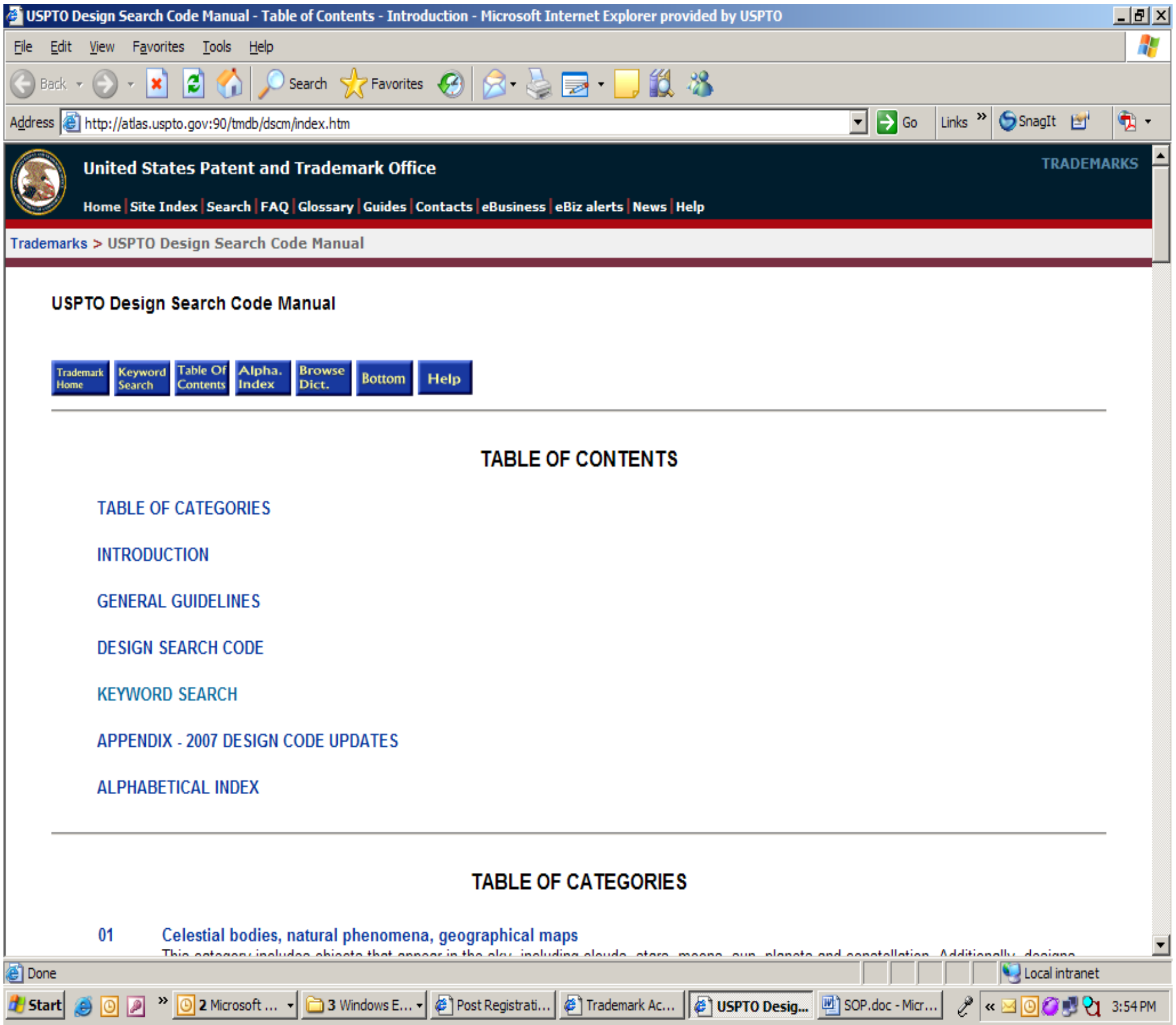


Figure 1-2: The Design Search Code Manual Portal

Step 2: Click on the "Table of Categories" link under the Table of Contents to browse the major categories of design search codes or click on the "Keyword Search" link to search for a particular design search code (Figure 1.3).

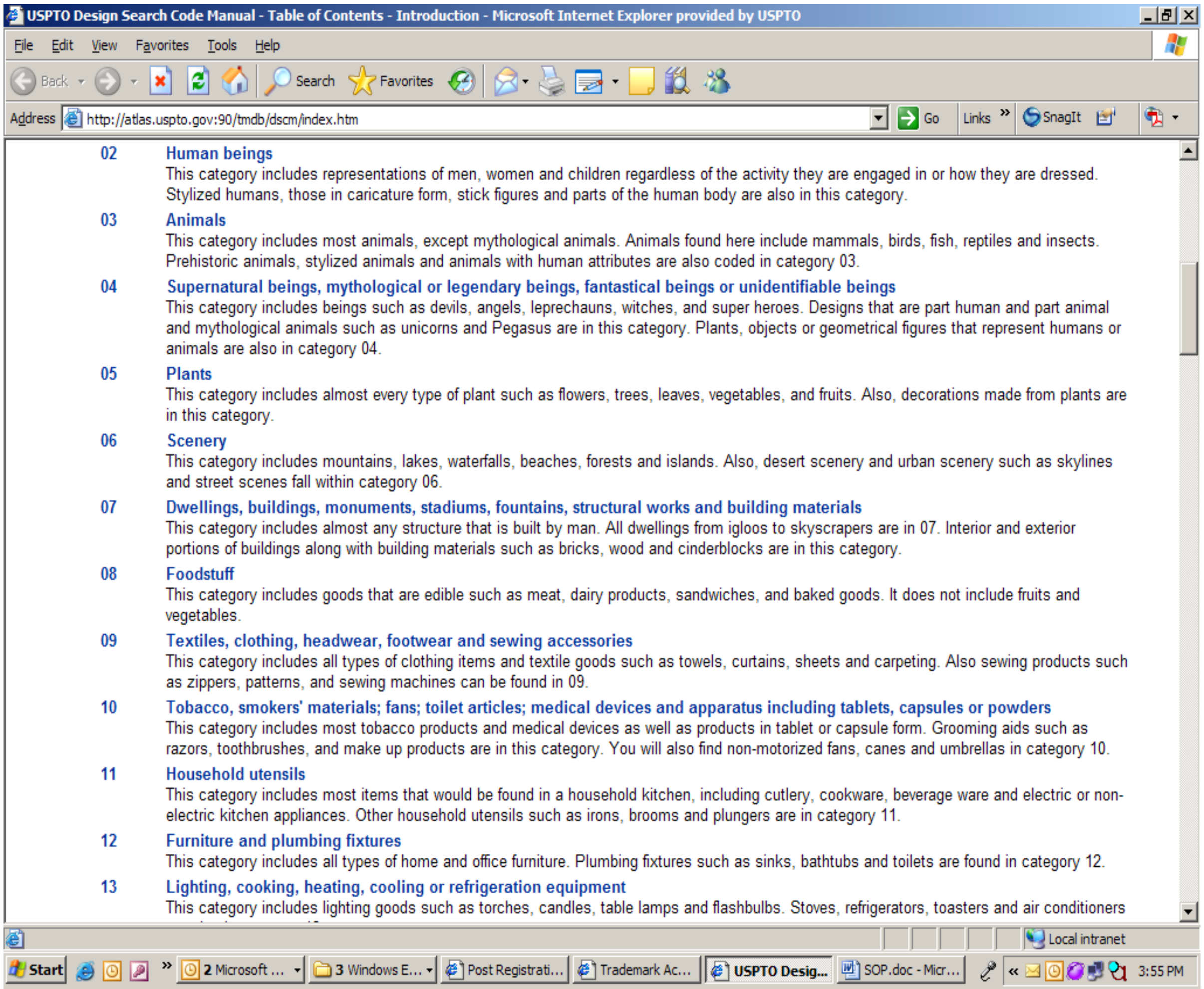


Figure 1-3: The Design Search Code Manual Homepage

3. <u>Dictionary Tool</u>

The dictionary tool is an online dictionary available to the public free of charge. The contracted and government staff uses the dictionary to determine the correct meaning of English words appearing in marks for the purpose of assigning pseudo marks and international classes of goods and services.

Step 1: Double-click on Merriam-Webster Online icon Dictionary Tools.lnk on the desktop, which opens the dictionary tool (Figure 1-4).

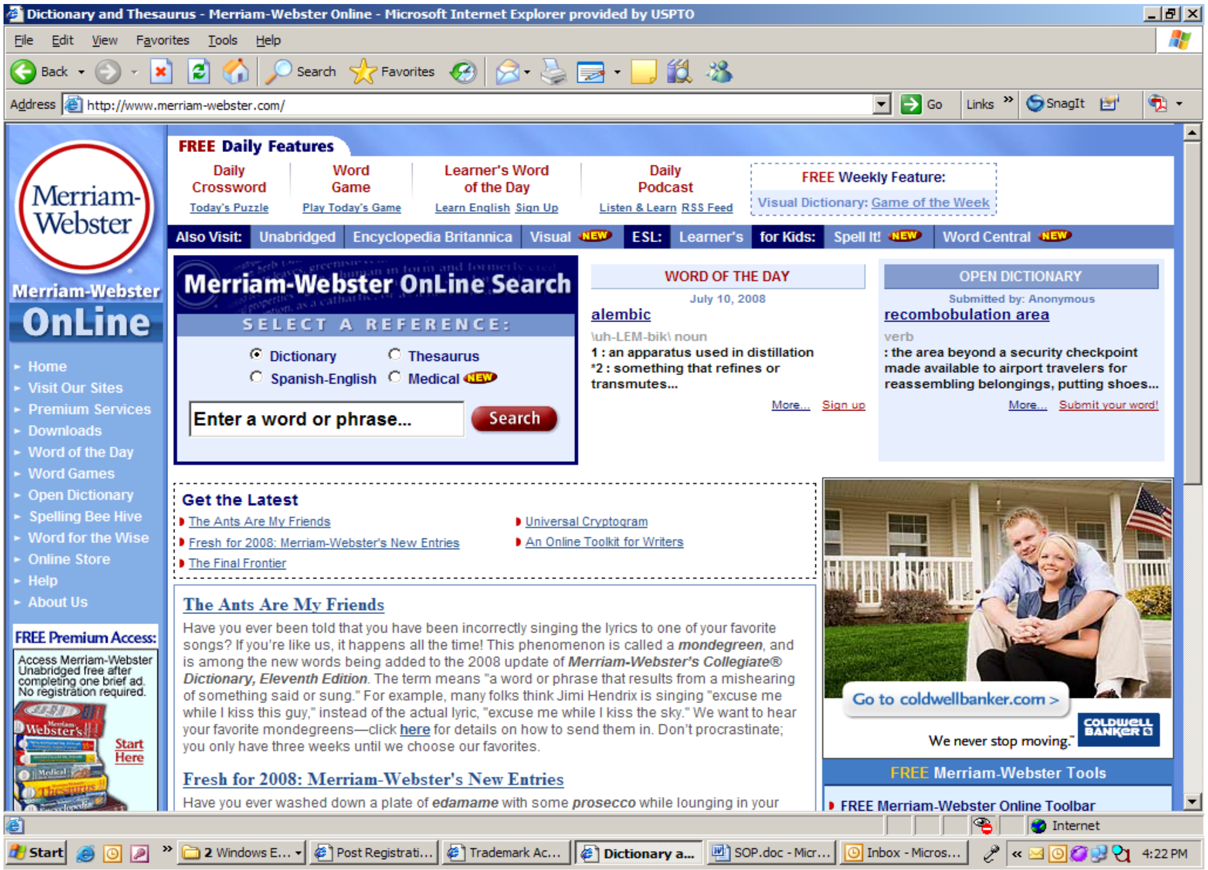
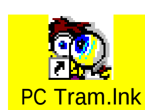


Figure 1-4: The Dictionary Tool: The Merriam Webster Online Homepage

Step 2: Enter a word in the search field and click "Search" to find the definition of the word (Figure 1-4).

4. PC TRAM

Personal Computer Trademark Reporting and Monitoring (PC TRAM) System is the primary resource used to view all textual information concerning a trademark or registration for USPTO employees. Most application information is also publicly available through the Trademark Applications and Registrations Retrieval (TARR) system at the USPTO's website. PC TRAM is the USPTO's official database for all trademark applications and registrations.

Step 1: Double-click the PC TRAM icon 

on the desktop to access the login screen (Figure 1-5).

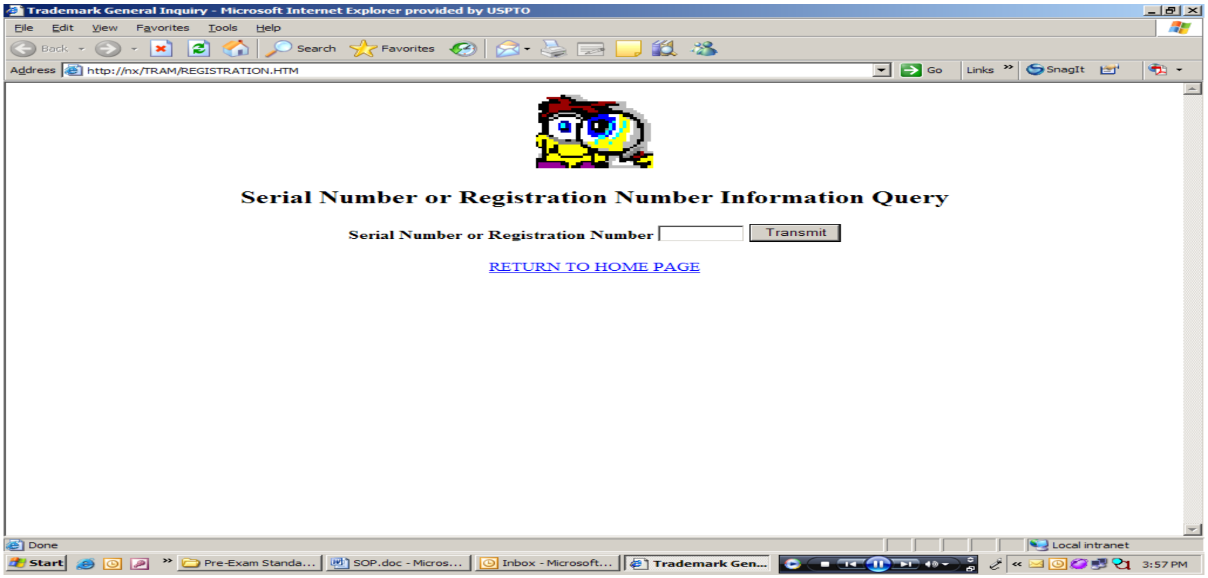


Figure 1-5 The PC TRAM Login Screen

Step 2: Enter the serial number in the "Serial Number or Registration Number" field in the Login screen.

Step 3: Click the "Transmit" button, which opens the trademark's electronic file record (Figure 1-6).

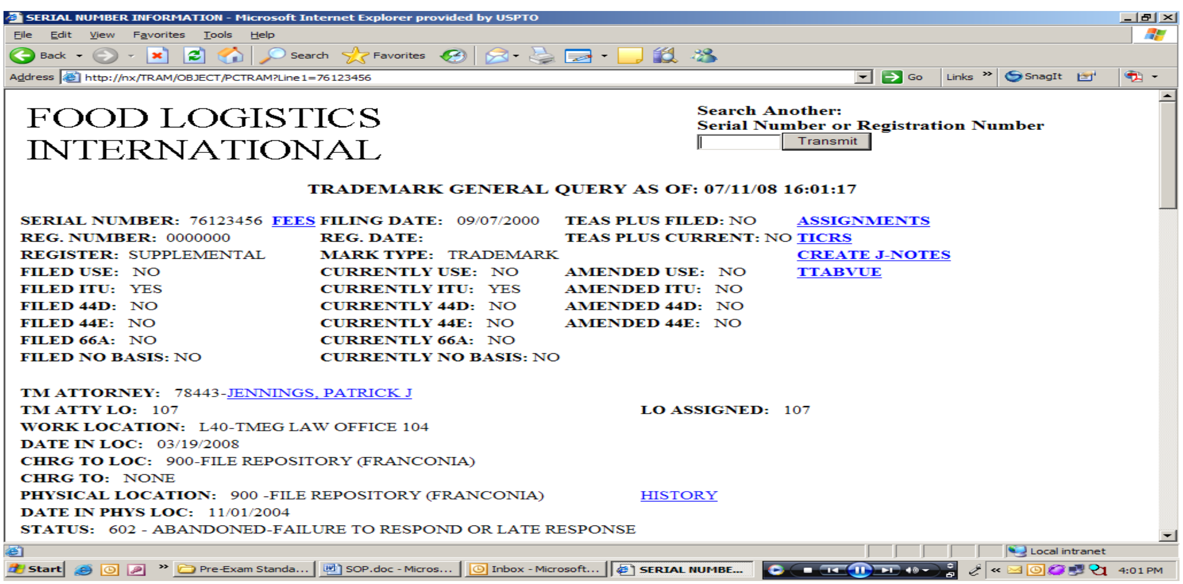


Figure 1-6: Trademarks' Electronic File Record in PC TRAM

8. RAM

RAM is the USPTO's Revenue Accounting and Management System for processing fees and accessing fee history. Employees use RAM to view the fee history of Trademark applications and registrations.

Step 1: Open the USPTO Intranet homepage. Double-click on the Internet browser icon (Figure 1.7).

Figure 1-7: The USPTO Intranet Homepage

Step 2: Click on the Revenue Accounting and Management link on the left side of the screen, which opens the RAM Intranet Queries page (Figure 1-8).

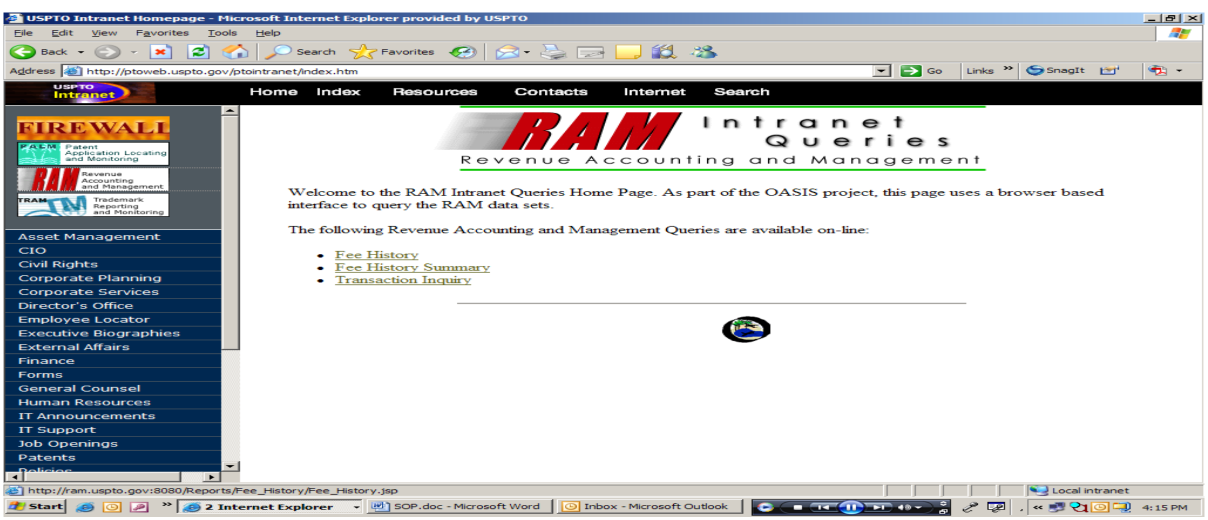


Figure 1-8: The RAM Intranet Queries Homepage

Step 3: Click on the “Fee History” link, which opens the RAM Fee History Query Page (Figure 1-9).

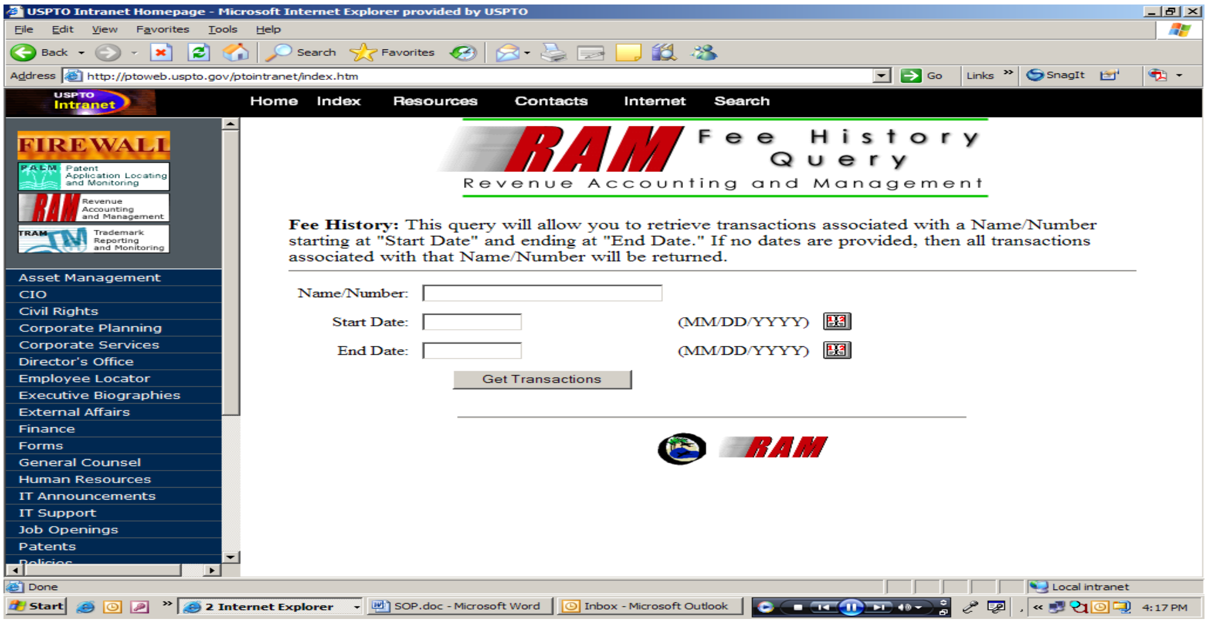


Figure 1-9: The RAM Fee History Query Page

Step 4: Enter the serial number of a Trademark application or registration in the Name/Number field and press the Get Transactions button to retrieve the full Fee History of the Trademark (Figure 2-10).

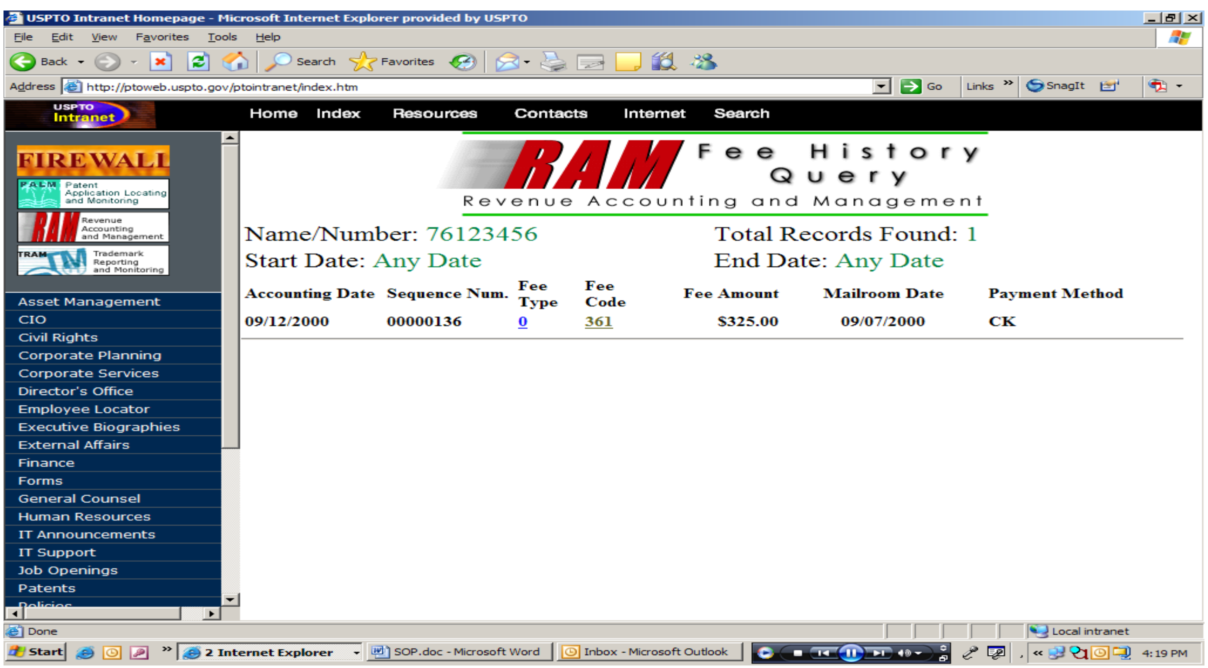
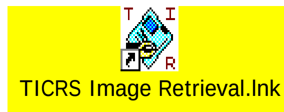


Figure 1-10: The RAM Fee History Query Page

9. TICRS

The Trademark Image Capture and Retrieval System (TICRS) is an electronic USPTO database that houses images of all incoming and outgoing correspondence and notes pertaining to a trademark application or registration. It serves as the virtual replacement for physical files.

Step: 1: Double-click the TICRS icon 

on the desktop to access TICRS. Retrieve: Selection Form pop-up box will appear.

Step 2: With "Retrieve by SN or RN" selected, enter the serial number in the "Enter Serial or Reg. Number file of the TICRS Retrieve Selection Form pop-up box (Figure 1-11).

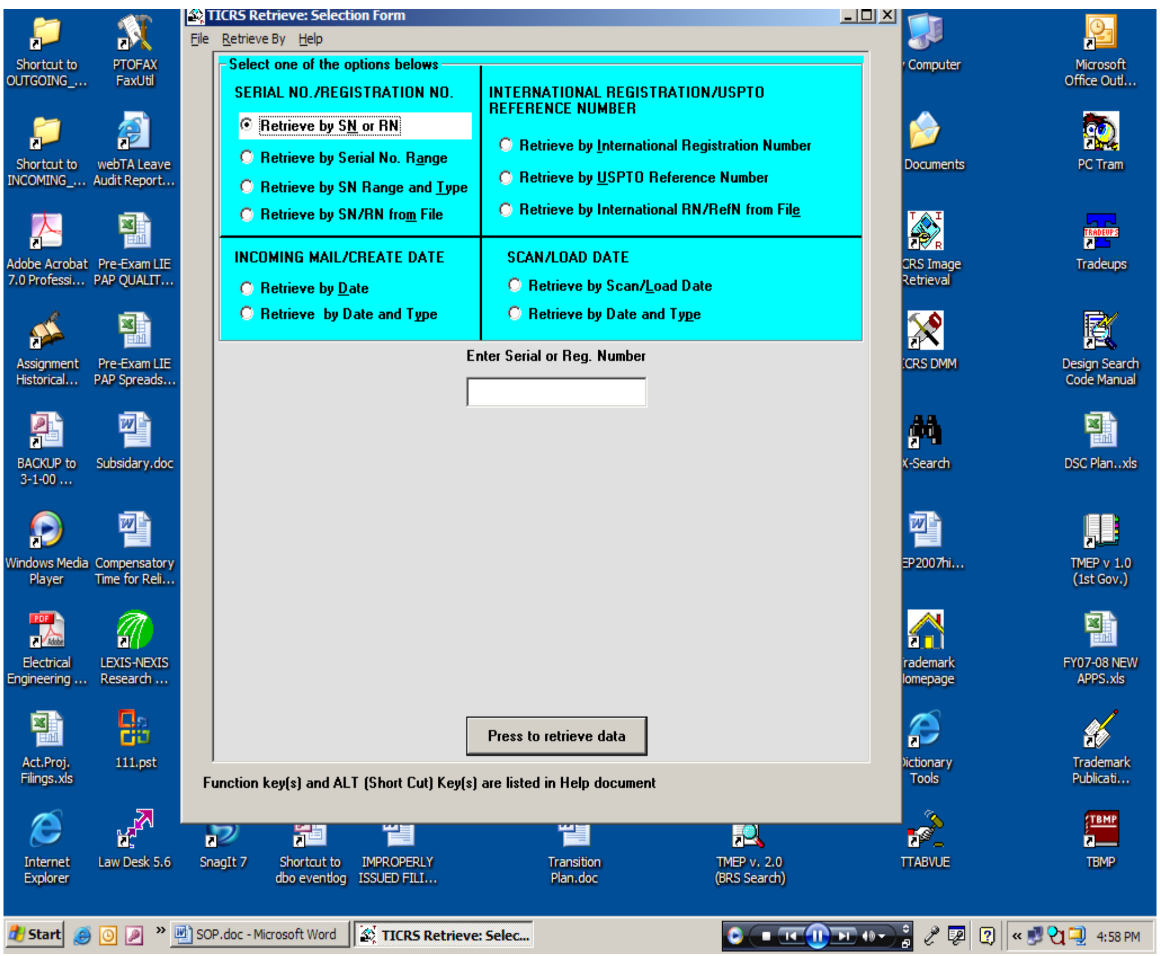


Figure 1-11: The TICRS Retrieve: Selection Form Pop-up Box

Step 3: Click the "Press to Retrieve data" button to open a single trademark application and click on a page in the appropriate section to view a page of the electronic file (Figure 1-12).

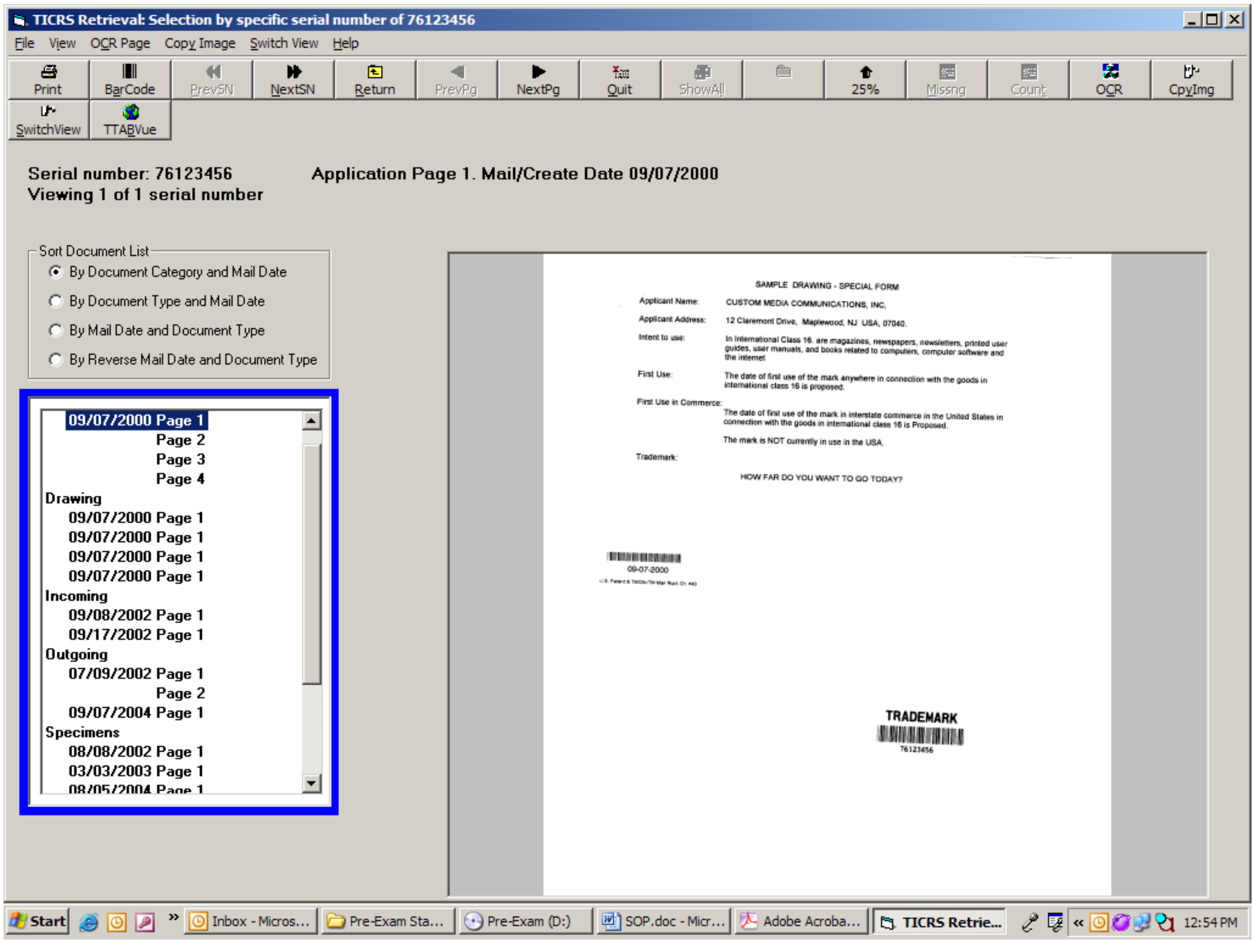


Figure 1-12: Pages in the Electronic File in TICRS

10. TICRS DMM

The TICRS Data Maintenance Module (TICRS DMM) tool is used to manage and modify electronic files housed in the TICRS database. The user can reclassify, delete, copy, or change the date for any document in an application.

Double-click the TICRS DMM icon  on the desktop to access the TICRS DMM Login Screen (Figure 1-13).

Enter an **employee number** in the "Employee Number" field and the **associated employee password** in the "Password" field of the login screen. Click the "Ok" button to open the main TICRS DMM screen (Figure 1-14).

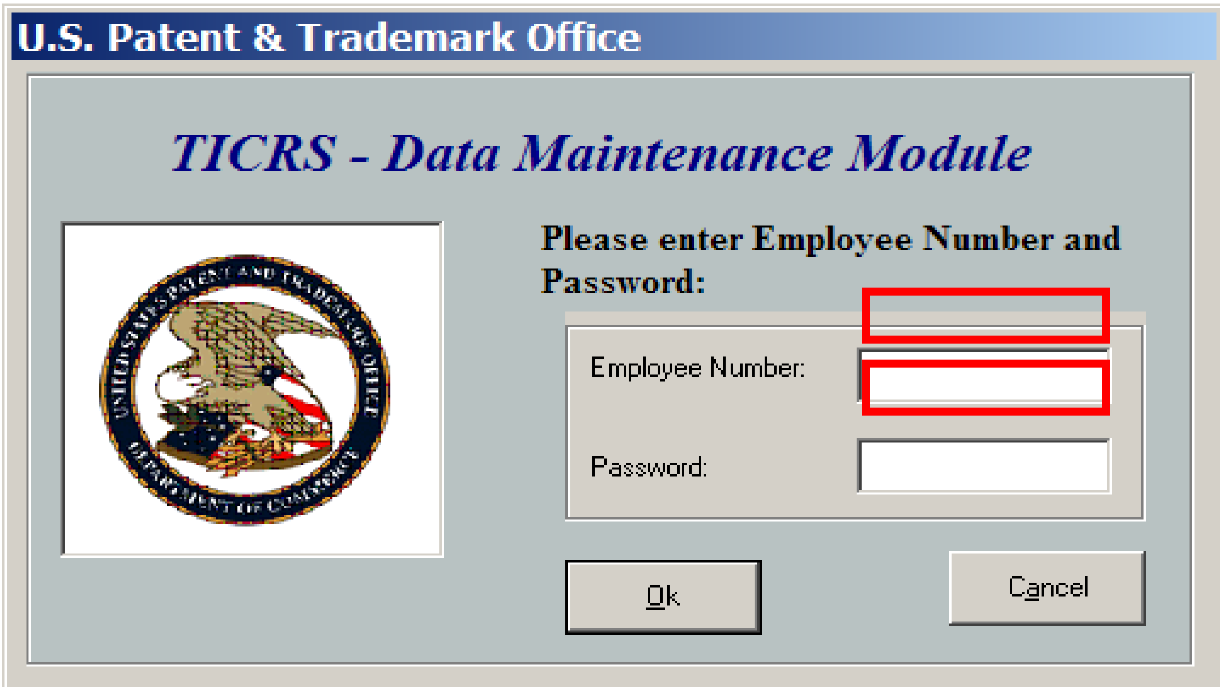


Figure 1-13: The TICRS DMM Login Screen

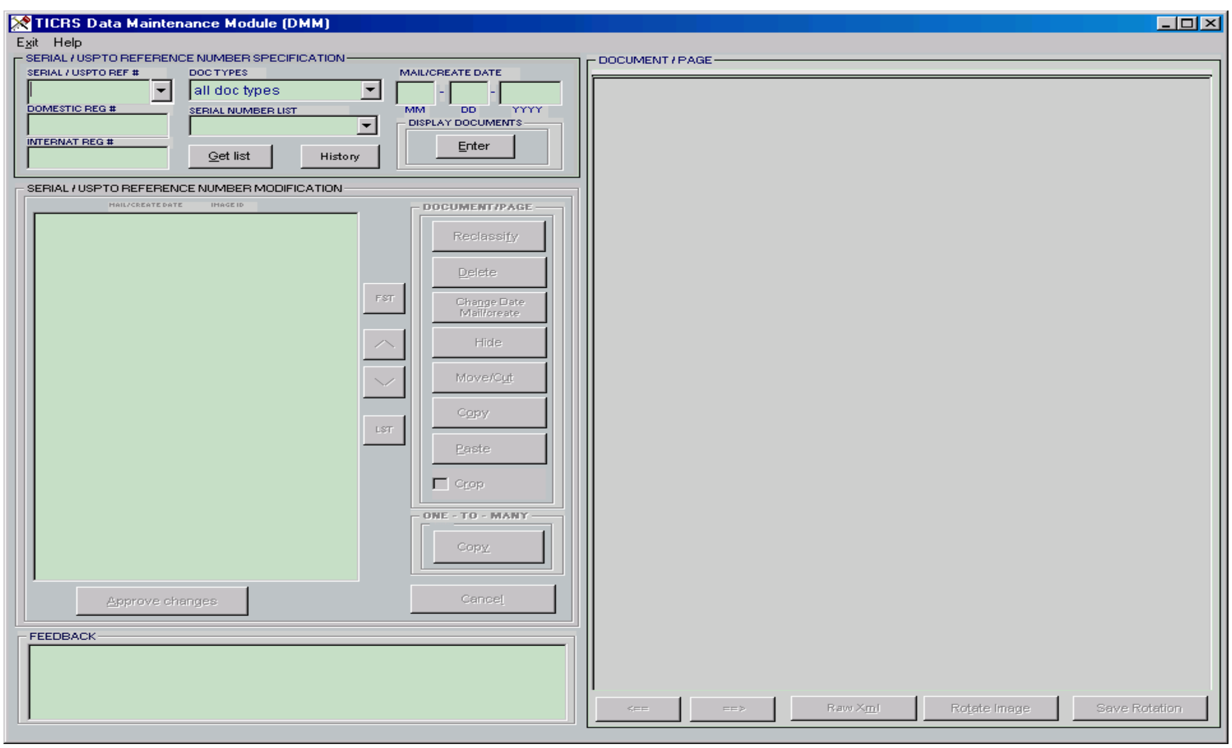


Figure 1-14: The Main TICRS DMM Screen

To open the trademark electronic file record, enter the **serial number** in the "SERIAL / USPTO REF #" field and click the "Enter" button (Figure 1-15).

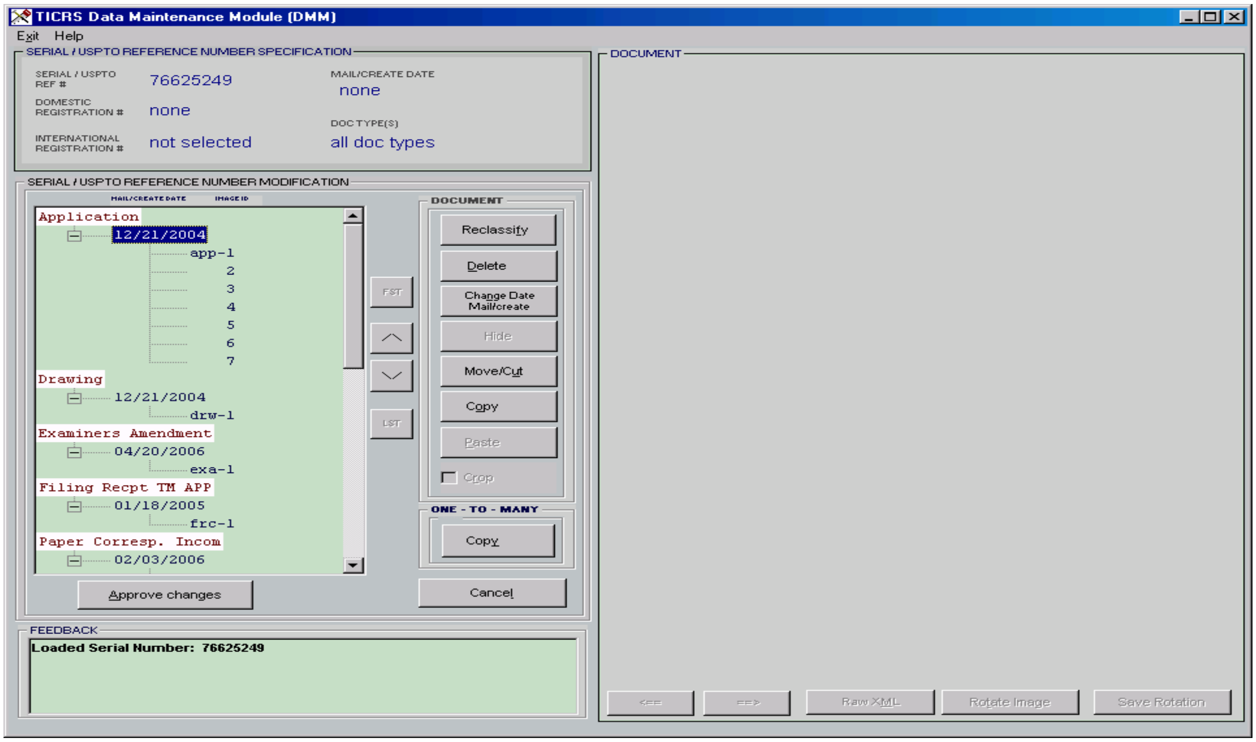


Figure 1-15: The Trademark's Electronic File in TICRS DMM

11. TTABVUE

Using TTABVUE, you can view a TTAB proceeding file by entering the proceeding number, or search for proceedings by application number, registration number, mark, party, correspondent.

Double-click on the TTABVUE icon 

on the desktop to access the Trademark Trial and Appeal Inquiry System (Figure 1-16).

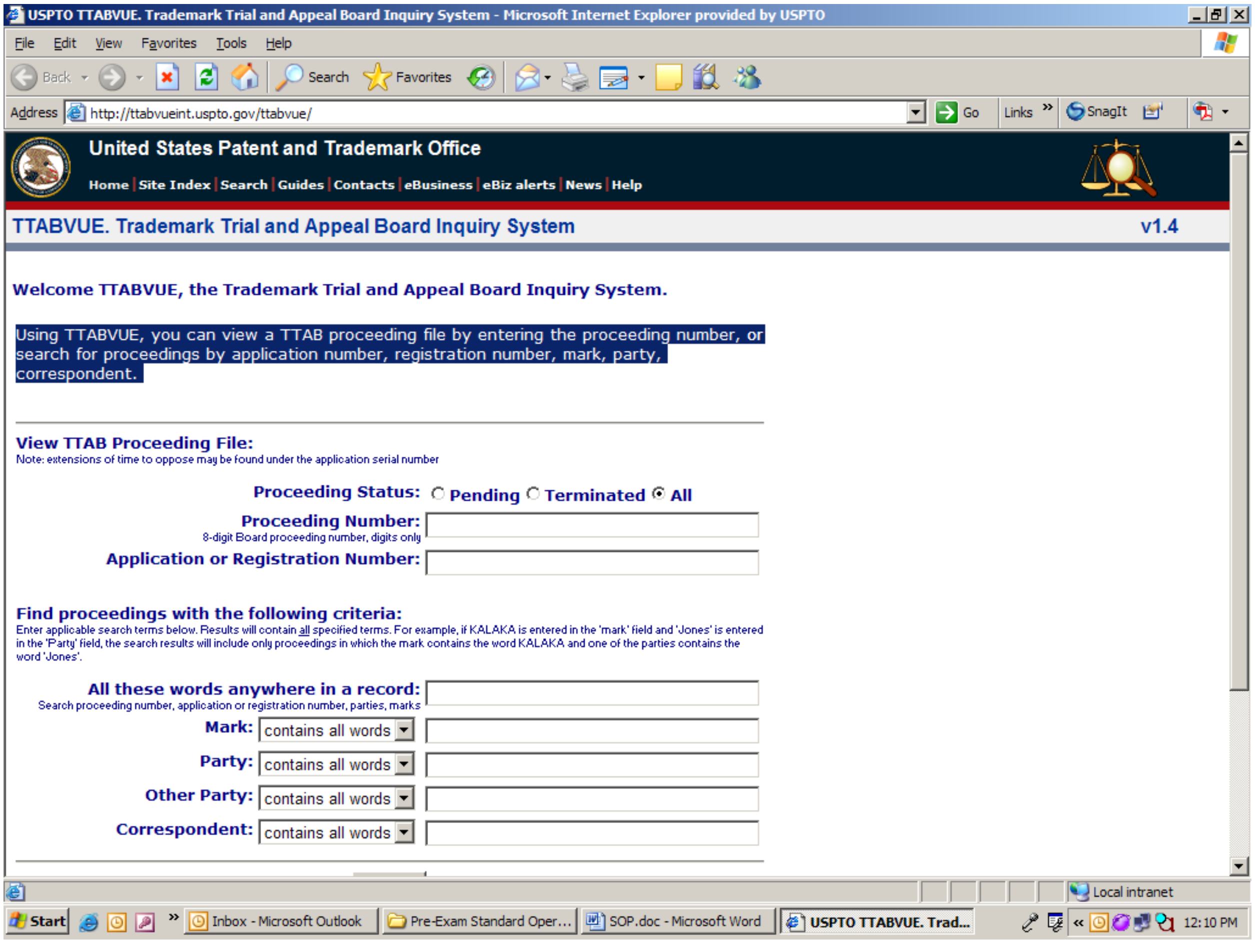


Figure 1-16: The TTAB Inquiry Screen

Figure 1-17: The TTAB Opposition Screen

12. Trademark Publication Review

Trademark Publication Review allows the user to view trademark application data as it will appear for publication. Pre-Exam employees use Trademark Publication Review to conduct quality control inspections of trademark application data entry.

Step 1: Double-click the Trademark Publication Review icon 

on the desktop to access the Trademark Publication Review screen (Figure 1-18).

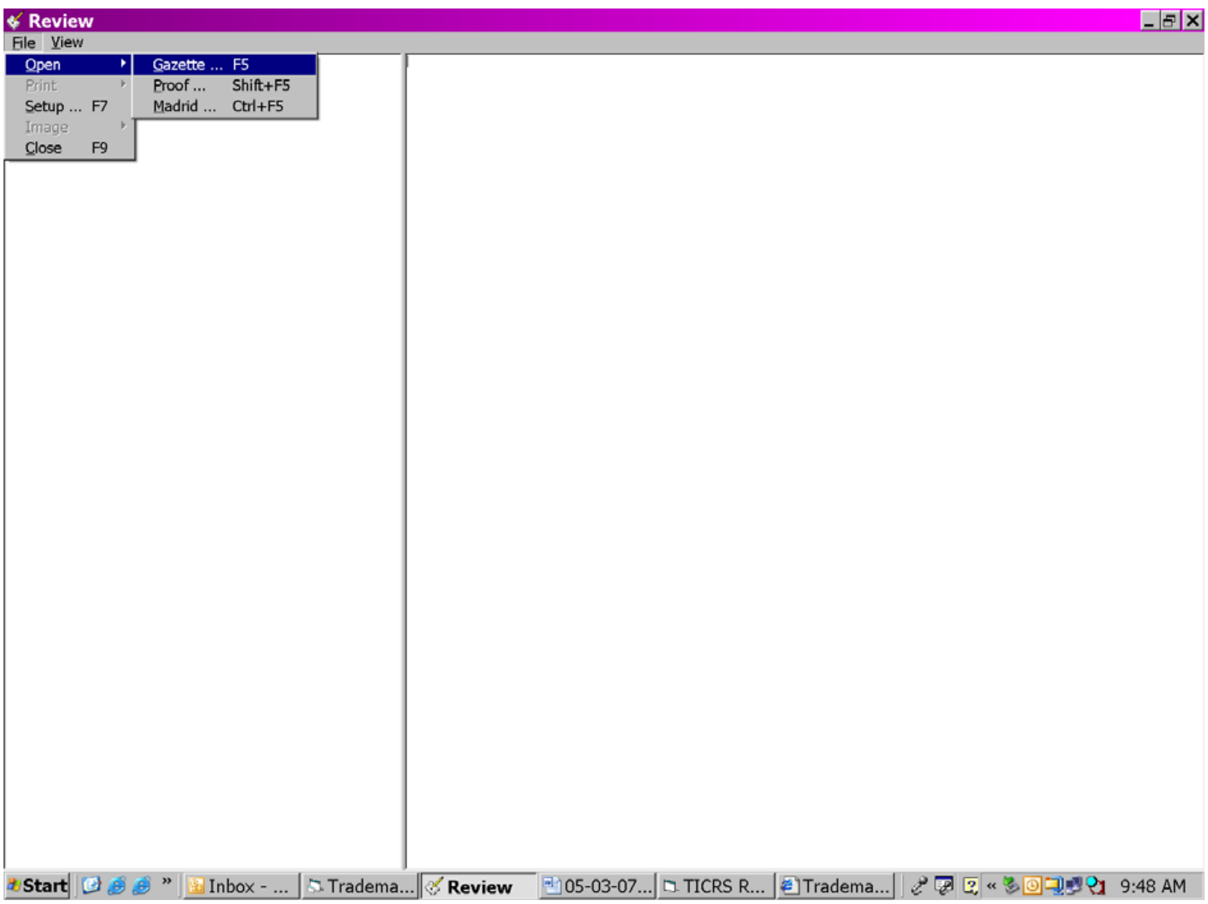


Figure 1-18: The Trademark Publication Review Screen

Step 2: Click "File" at the top left of the screen, which opens a drop-down menu.

Step 3: Select "Open".

Step 4: Select "Gazette", which opens the Gazette pop-up box (Figure 1-19).

Step 5: Open the trademark application data.

Figure 1-19: The "Range" Button in the Gazette Pop-up Box

To open the application data for a range of consecutive trademark applications, enter the **first serial number** in the "Enter First Serial Number" field, enter the **last serial number** in the "Enter Last Serial Number" field, and click the "Range" button. (Figure 1-20).

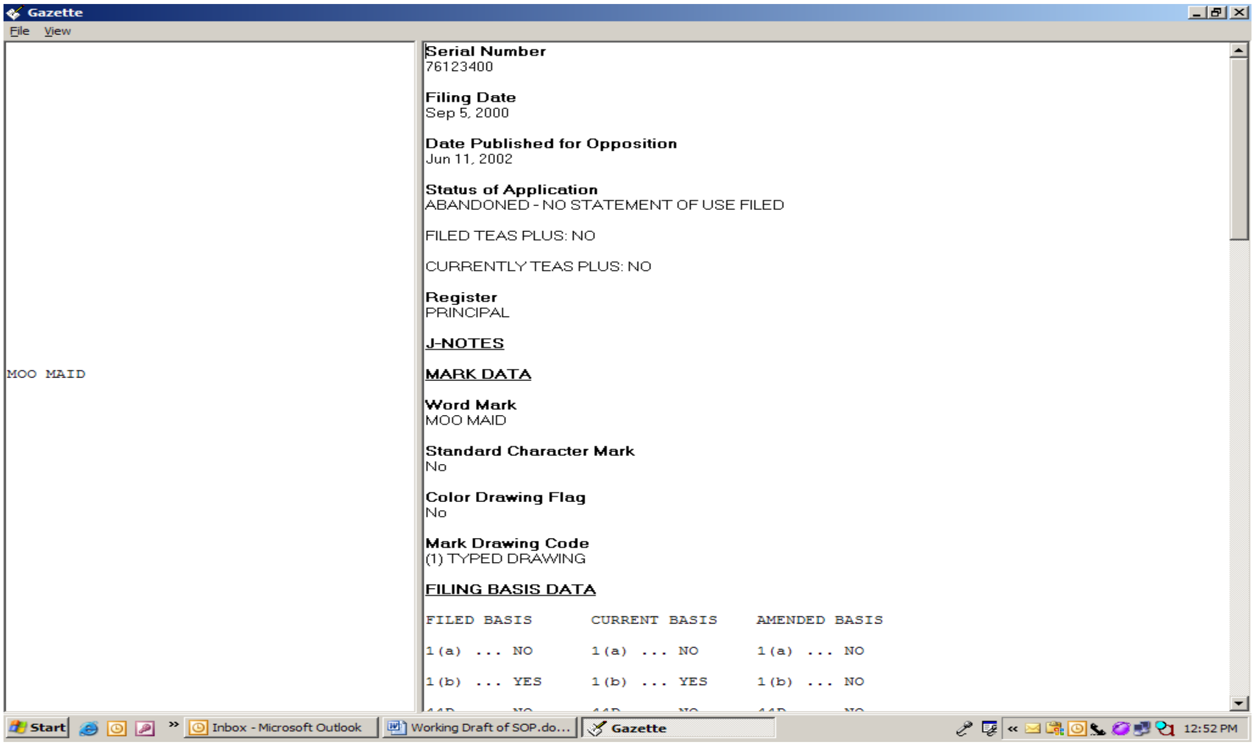


Figure 1-20: The “Range” Button in the Gazette Pop-up Box

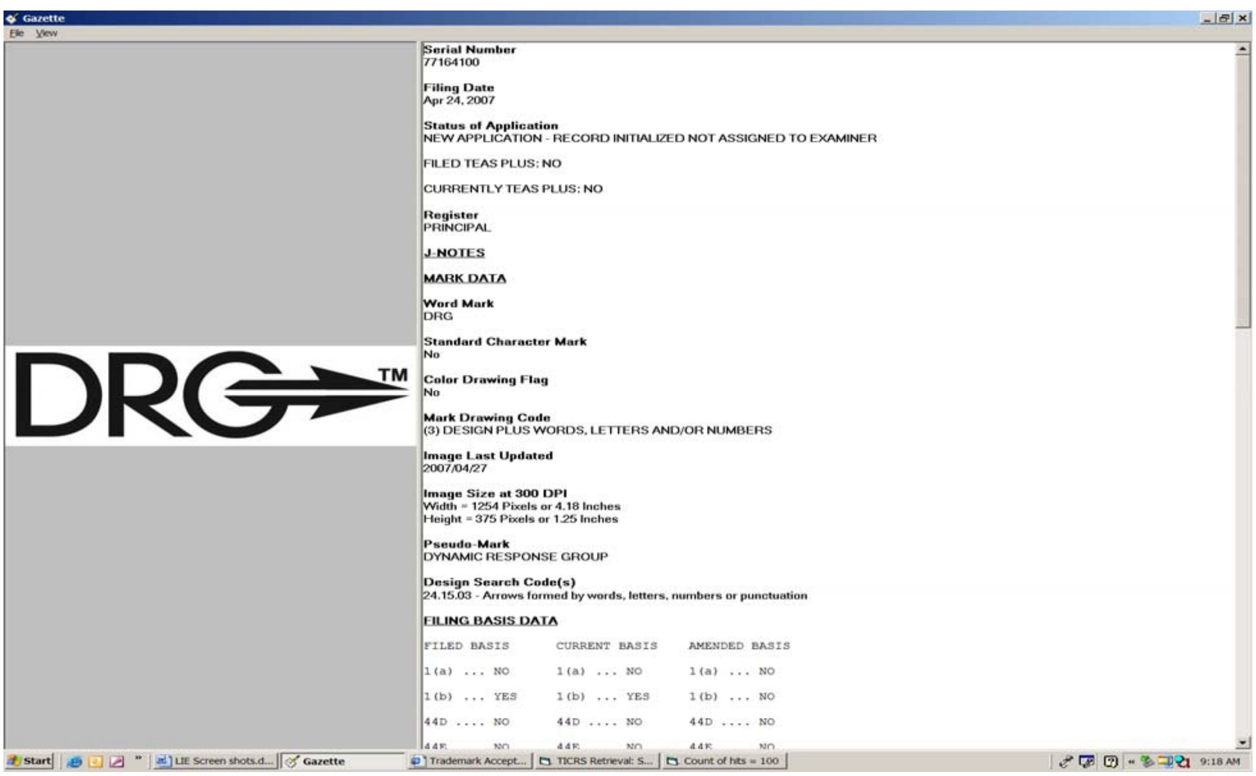
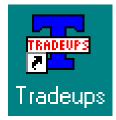


Figure 1-21: Trademark Application Data in the Gazette Screen

13. Trade-Ups

The Trademark Data Entry and Update System (TRADEUPS) is the primary tool used to enter and modify data elements in a trademark's electronic file record.

Step 1: Double-click the TRADEUPS icon  on the desktop to access the login screen (Figure 1-22).

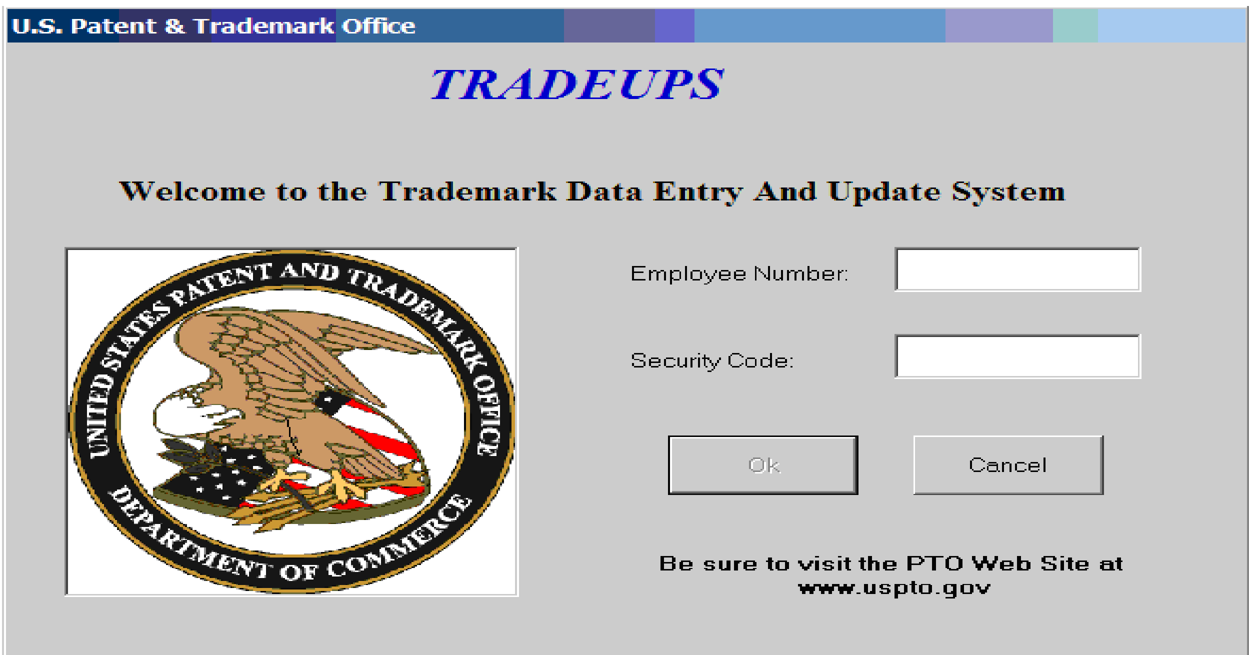


Figure 1-22: The TRADEUPS Login Screen

Step 2: Enter an **employee number** in the "Employee Number" field and the **associated employee password** in the "Security Code" field of the login screen (Figure 1-22).

Step 3: Click the "OK" button to open the main TRADEUPS screen (Figure 1-23).

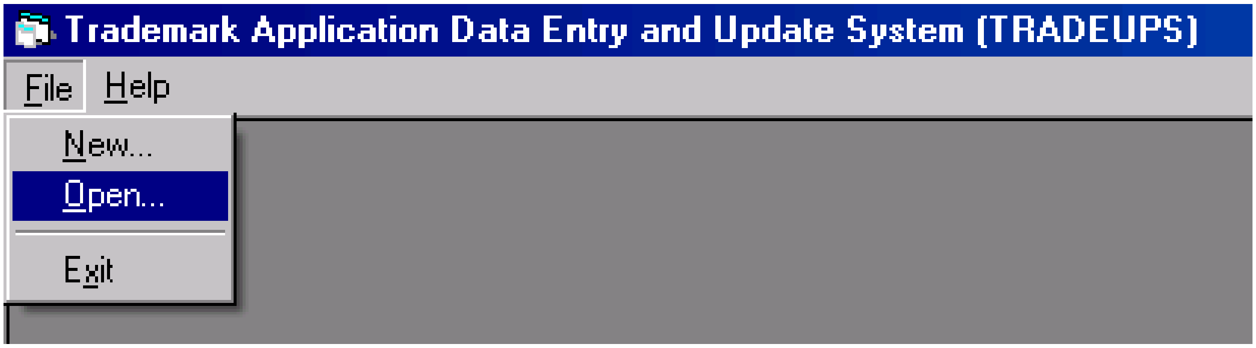


Figure 1-23: The main TRADEUPS screen

Step 4: Click on "File" at the top left of the screen.

Step 5: Select "Open" from the menu (Figure 1-23).

The Open pop-up box contains a menu of commands available to each user, based on the employee's password rights. Generally, editing trademark application data requires the selection of the "Text Editing" option (Figure 1-24).

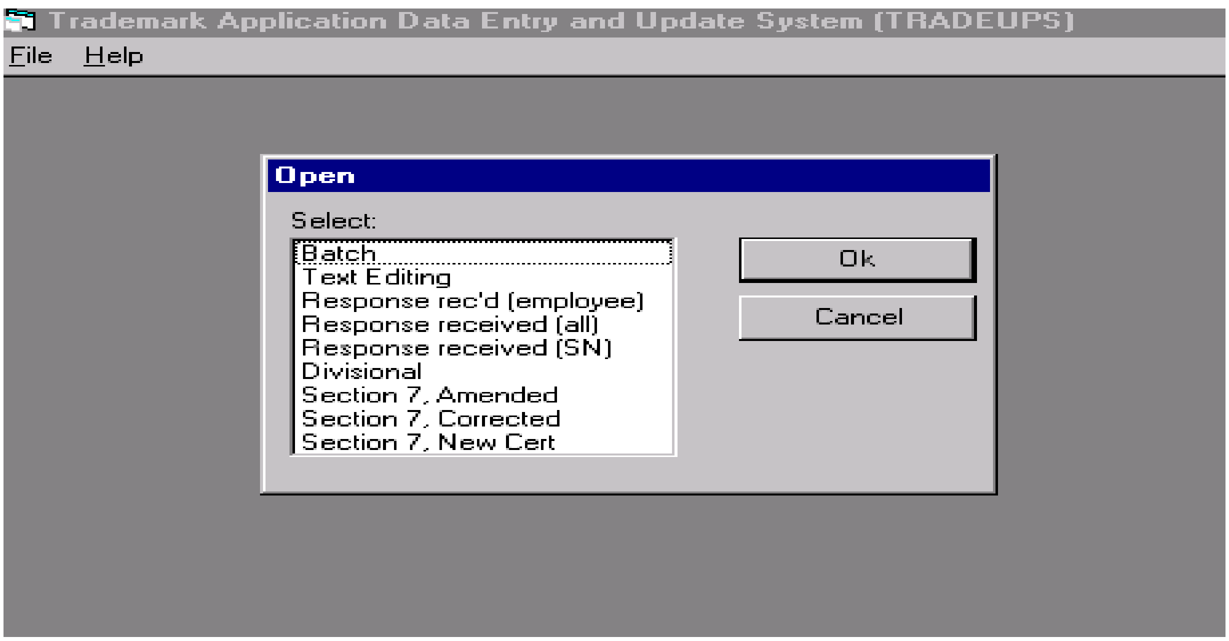


Figure 1-24: The Open Pop-up Box in TRADEUPS

Step 6: Select "Text Editing" from the menu (Figure 1-25).

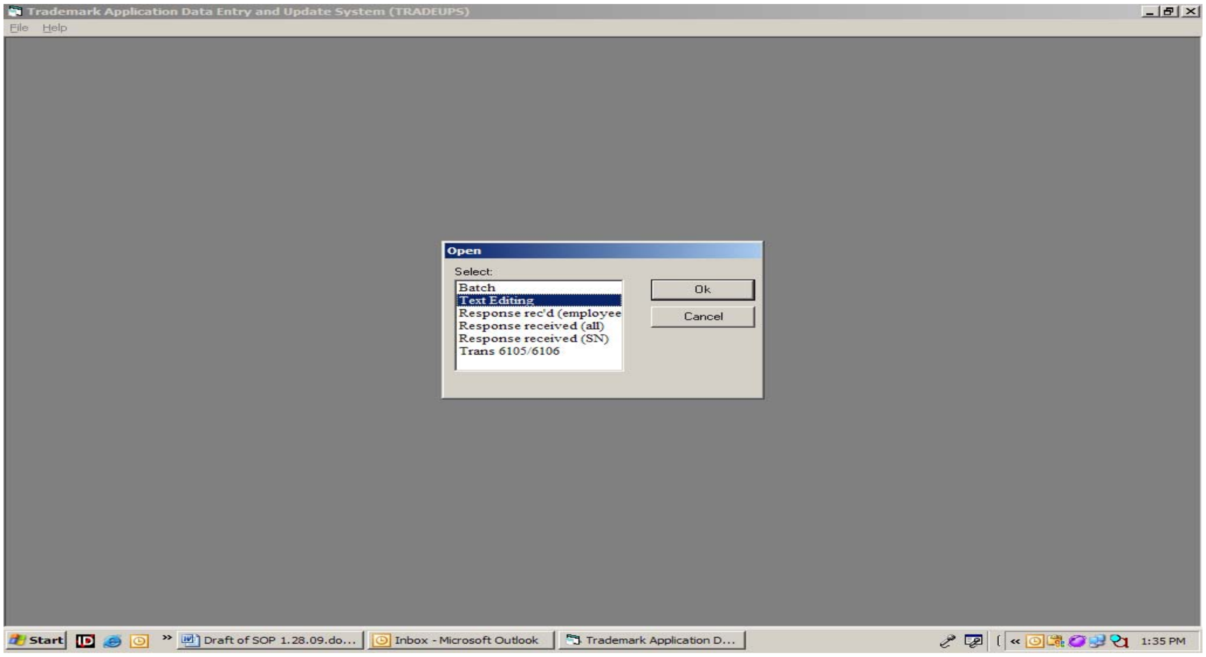


Figure 1-25: The Text Edit Selection in TRADEUPS

Step 7: Enter serial number of application to be processed and click OK (Figure 1-26). Entering the serial number will open the Data Element screen for text editing (Figure 1-27).

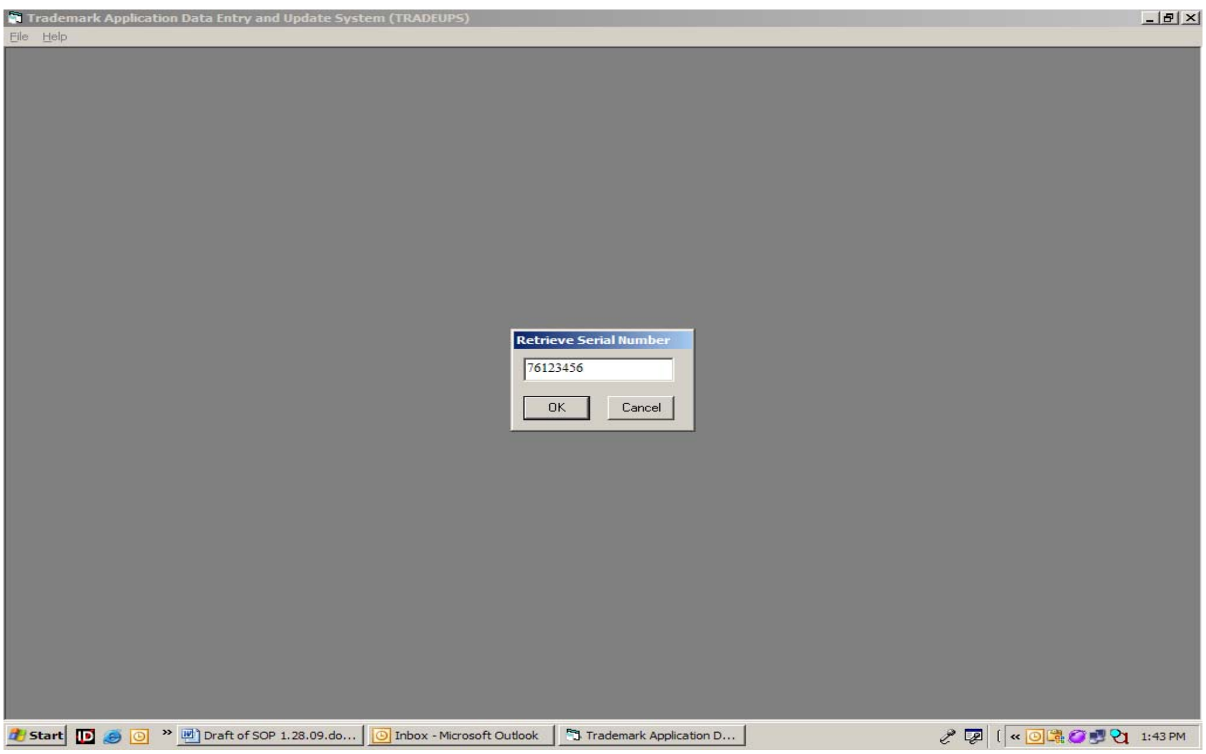


Figure 1-26 The prompt screen to enter serial number

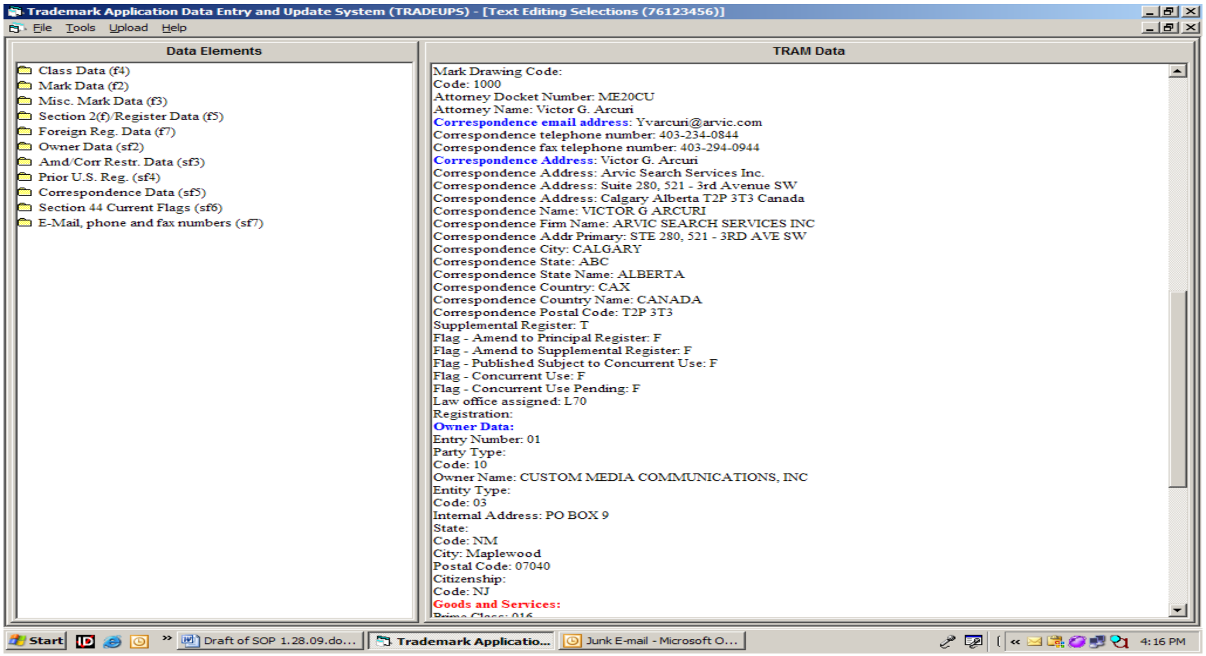


Figure 1-27 “The Data Elements” screen to text edit

14. X-Search

X-Search is used to conduct searches and various other queries to distinguish one image from another. X-Search is also used to determine when a new application has been uploaded.

Step 1: To open the X-Search program double-click on the X-Search icon 

on the desktop (Figure 1-28).

Step 2: Enter serial number into the Serial # [optional] box (Figure 1-28).

Figure 1-28: “X-Search log-on screen”

Step 3: Re–enter the serial number in the “Text to Search box” (Figure 1-29).

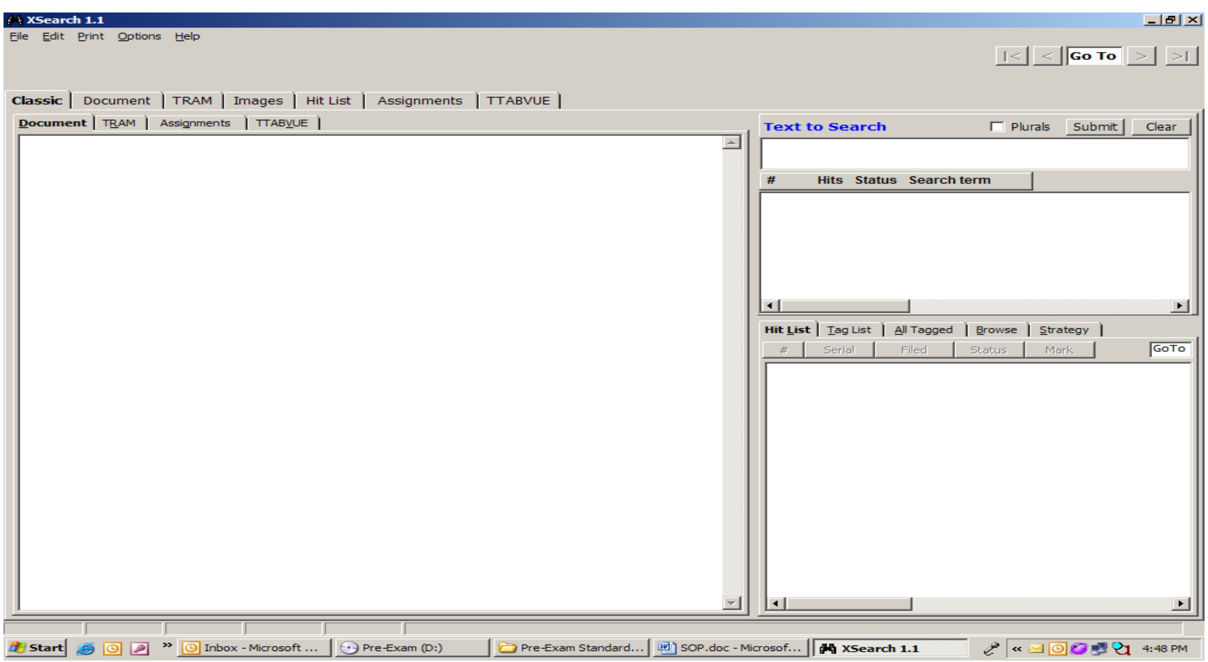


Figure 1-29: The X-Search Text to Search Field

Step 4: Snapshot below indicates the file has been uploaded and the likelihood of how many files are similar in nature (Figure 1-29).

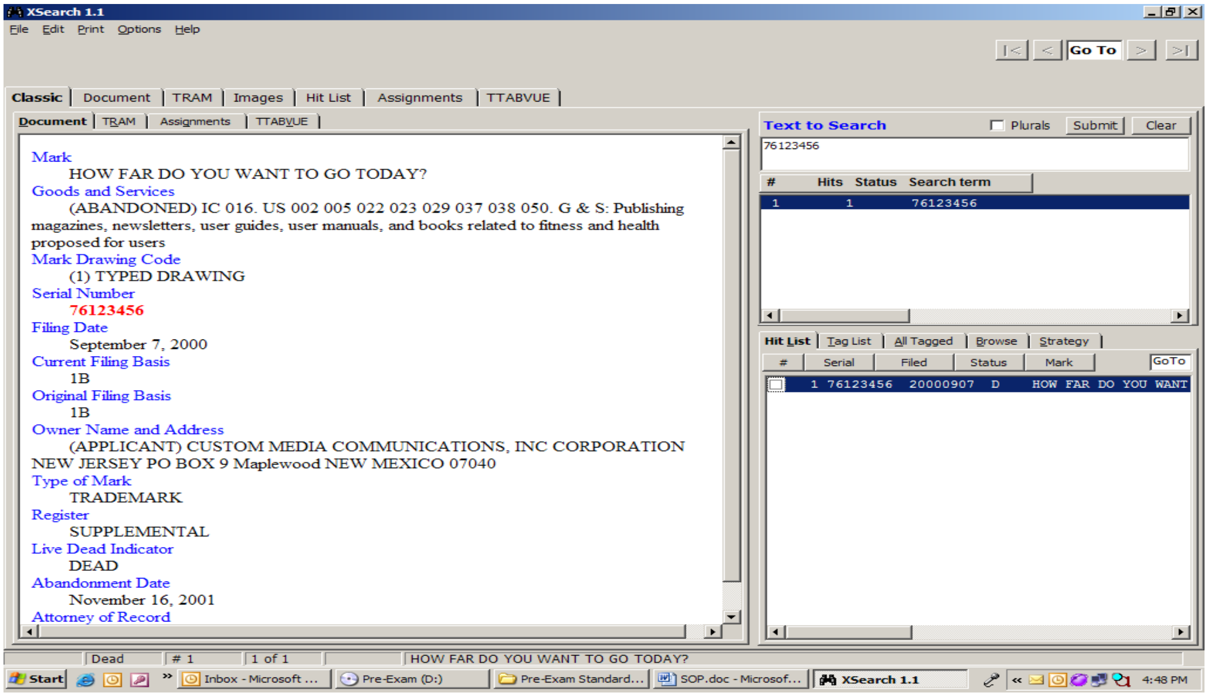


Figure 1-28: The X-Search Upload Screenshot

Chapter II: Mail Operations

The United States Patent and Trademark Office receives mail from the United States Post Office, Fed-Ex and DHL. Mail received is first class, courier, Patent, Express Mail and post cards. Certified, Registered, Delivery Confirmation, Express, DHL, FedEx, and UPS are all accountable mail with tracking numbers and must be entered into the Arrival System for tracking and accountability. The mailroom covers traditional mailroom operations, initial processing of incoming mail (electronically and paper) and outgoing mail. The couriers typically deliver mail daily before noon. Trademark offices have service centers on each floor for pick-up and some deliveries. All mail runs are made twice daily unless otherwise indicated below between the hours of 10-11 and 2-3 pm. The Patent mail staff will deliver mail incorrectly routed for Trademarks and upon delivery pick any mail incorrectly routed for the Patent Office. This task is critical due to the nature of USPTO's business and its clients. The Trademark mailroom picks up and delivers mail to the following locations.

Mail Stops

Madison East and West

4th Floor
Post Registration Unit - outside of room 4A04
Intent to Use Unit and Law Offices 101-117- outside of the service center 4C18
Law Library - 4B65
Office Program Control and Petitions/Policy- pickup at service center - 4A81

5th Floor (Pick up only)
Front Desk between 5B35A/B
Service center 5C18 and 5C70

6 Floor (Pick up only)
Front Desk between 6B35A/B
Service Centers 6C18 and 6C70

Trademark Assistance Center - 0C65

<u>10th Floor</u>
Commissioner Service center – 10B70

<u>TTAB</u>
MDW 9th floor
Pick up- Service center 9C70
Drop off- in front of 9A20

<u>Law Library Offsite Pick (Daily)</u>
USPS Store
107 S. West Street
Alexandria, VA

<u>Madrid Offsite Pickup (Daily)</u>
400 Dulany Street
Alexandria, VA 22314

The mail box is located in the Randolph Building, Concourse Level, in the USPS Service Center. The box is labeled Madrid Processing Unit and requires key access; the box number is 5793. Mail is picked up from the Madrid Processing Unit Post Office mail box each morning and delivered to the MPU box in the 7th floor service center by 11:00 each day.

<u>Delivery & Pickup (scheduled) of Interoffice Mail</u>

Interoffice mail will typically be in the Service Centers mailboxes to be picked up and delivered to locations within USPTO twice daily on the normal mail runs between the hours of 10-11 am and 2-3 pm. This excludes any file wrappers except those in interoffice envelopes.

<u>Couriered Mail</u>

The USPTO receives courier-bar-coded mail outside of its regular delivery from the United States Postal Service. This is Accountable mail that will need to be tracked utilizing the Pitney Bowes Arrival system. Courier mail is time sensitive and should be processed within 4 business hours of receipt in the mailroom. The couriers used are Fed-Ex, UPS and DHL. DHL is also used to send out international mail. The timeframes for delivery are typically before noon.

USPS Mail

USPS mail consists of 1st class mail, express, certified, registered and delivery confirmation. Each of these is delivered by the United States Post Office. 1ST class mail is the only type of mail not entered into the Arrival system for tracking. Express Mail, Certified, Registered and Delivery Confirmation are all entered into the Arrival system for tracking and accountability. All mail with the exception of Madrid is required to be opened in order to pull new applications immediately out to be processed and a mail date affixed.

USPS Return Mail

There are some outgoing mail items which are undeliverable and are returned to USPTO. These reasons are listed below.

Returned mail due to change in mailing address – **forwarding address provided by USPS**

In this scenario, the returned mail must be scanned into TICRS using the Input Accel software. Only the Physical Location Routing Sheets will be printed for USPS-returned mail. Once scanned the mail should be resent with the Outgoing mail for re-delivery. Use PCBCR to run transaction 6114 after remailing the USPS-returned letter. Enter Employee # 99777, select "C" and enter the serial number**.** This procedure will update the prosecution history in TRAM. A PTO generated notice to the customer should be enclosed with the return mail informing the customer to update the address officially with the USPS.

Return Mail due to change in mailing address – **no forwarding address provided by USPS**

The undeliverable mail will need to be scanned as before without updating the TRAM. The undeliverable mail is then forwarded to the law office for the office to make liaison with the customer. There is no requirement for the mailroom to update the applicant/registrant address, updates can only occur at the request of the applicant/registrant.

If the returned item does not have a new address on the yellow sticker, staple the document and envelope to the Physical Location Routing Sheet and forward to the warehouse.

Return mail – insufficient postage

The mail should be metered to apply sufficient postage and resent.

T-Postal Cards

The mailroom receives T-Postal cards via regular mail. These post cards are electronic post cards sent from the office to the applicant for response. Once received, the cards are scanned in Incoming Correspondence generating a line entry in TRAM indicating a response was received by the applicant. The T-Postal card is then routed to the Madison General mail section to be dispersed to the responsible unit.

USPS Return Post Cards- New Applications

The applicant is responsible for submitting a return receipt postcard and placing proper postage on the self-addressed postcard. There should be a stamp(s) in the correct amount or a meter stamp postmark that complies with USPS requirements. The USPS will not accept for mailing a post card that contains a postage meter date more than ten days old. Thus, a return receipt postcard containing a dated meter postmark may not be delivered by the USPS, because the postcard will be mailed by the Office substantially after the date on which the meter postmark is printed on the card. Therefore, to ensure the receipt of a confirmation post card, the party filing the postcard should: (1) affix postage stamps to their postcards, or purchase already-stamped post cards from the USPS; or (2) if a postage meter is used, ensure that the meter postmark does not show the date, and follow the instructions in the postage meter license agreement regarding prepay reply postage.

Walk-in Mail Received

This mail is received at the Finance Customer Service window. Applicants sometimes hand deliver new applications and responses to the window for processing. All mail received will receive the mail date of receipt from the date and timestamp machine at the Finance window. The mail should then be routed to the appropriate section for processing. Mail delivered at the window is time sensitive and should be directed to the department intended within 2 business hours.

Office of Physical Examination (OIPE) Patent Mail Received

Typically mail received from the Patent's mailroom was addressed with the wrong mailing and/or P.O. Box. Patent will deliver this mail to the Trademarks mailroom on their morning run.

Other Mail, including Junk Mail

Mail that has no requirement to be processed or scanned is considered junk mail. PTO receives on average 30 pieces of junk mail weekly. The types vary and range from magazines articles to mail received that has no serial number association and personal mail. This mail should be delivered to the intended addressee. If mail is received for someone that's no longer in their previous location, look up the employee in the employee locator, note the new address and route the mail to the appropriate location. Discard Junk Mail and mail with no Return address.

If there are questions concerning the mail's destination, forward all inquires to the COTR to determine routing.

Letters of Protest

Occasionally USPTO will receive Letters of Protest. Letters of Protest are to be delivered directly to the Petitions office un-scanned. The Petitions office will notify the mailroom when there are documents to be scanned.
Once Petition's determines the documents require scanning, they will forward them back to the contractor to be scanned. After scanning the documents deliver both the physical location routing sheet with the incoming document attached back to the Petitions office.

Offsite Pickup Special Mail (UPS Store)

Mail delivered to this site is primarily that of the Trademark Law Library. All employees are required to be on the UPS access list to pick up mail. The types of mail typically are subscriptions, reference updates and the like separate from the high volume of applicant-oriented mail. The UPS store is located at 107 S. West Street, Alexandria, Va. 22314 and phone at (703) 549-2620. Box number 812 can only be accessed by key. This offsite can be reached by commercial bus (DASH) requiring a fee. It can also be reached by 20 minute walk. Occasionally the mail may require 2 people for pick up due to volume.

Processing Incoming Mail, Except New Paper Applications

Official Trademark mail, other than new applications, arrives at the Trademark Mailroom, and will require a simple sort process, where "official" Trademark mail is grouped as requiring fee processing or not. ("Unofficial mail", including personal, commercial, and the like are removed before this point). Unofficial mail should be grouped as junk mail. Official mail will require preparation to remove all papers fasteners and pages ordered before scanning.

Document Preparation

New Applications are received from various locations. Receipt from the walk up customer service is minimal, however when received the Finance window will date stamp the application upon receipt and hand deliver to the Document Preparation Section. The mailroom upon receipt of all mail will open the mail, pull and deliver all new applications to the Document Preparation Section. Occasionally, while identifying document types Incoming Correspondence will come across new applications.

These applications will be forwarded to the Document Preparation section to be prepped as new applications. The Document Preparation area will then compile these bundles of New Applications and Sort them by Date. Mail Date stamps and Sertec. barcode labels are printed from the DataMax in batches of 100, i.e. (76123400 thru 76123499). These labels will then be affixed to the File Jacket Wrapper and Application contents. All non-scannable objects, Bulky Specimens, staples, and paper clips are to be removed from each New Application before scanning. Listed are steps to process and format new applications.

- Sort New Applications in order of Drawing Page, Fee Sheet, Transmittal Letter, Body of Application, Power of Attorney, Declaration, Certificate of Mail and Specimen.

- Make copy of Transmittal Letters that have Deposit Account data. Count pages and note count of first page.

- Use Pink File Jackets for regular files and Yellow File Jackets for Petition or Requests to Make Special, processed as New Applications.

- Place copies of Application Information in the File Jacket's center with Application on the Right Back Flap covered by the Left Front Flap.

- Verify that name on check matches name on Transmittal Letter. Affix Special Pink tag to the File Wrapper for papers that say “Request to Petition or Restore a Filing Date” and process as New Applications. Route Special Petitions with no fees to the Commissioners Office.

- Select any page as the Drawing Page for those applications lacking a Drawing Page and place an embedded Mark Sticker Blue Dot on the page where the Mark shows up in the application. For applications lacking anything that appears to be a Mark or there is difficulty determining what the Mark is on a specimen w/no Drawing Page forward to the COTR.

- For unscannable Bulky Specimens that do not fit in the File Jacket, Prepare for Photocopying. For large book/magazines photocopy the cover, back, binding & Table of Contents. For Digital Bulkies (e.g. CD, DVD, Disks), Photocopy the cover and binders on these and affix a label to the photocopied pages that states, Digital/Electronic Bulky in File Wrapper. For all other bulkies (e.g. bottle, vase,) take photocopies of the bulky to capture all writing and/or pictures with the bulky.

- Forward all Digital Bulkies with the File, and discard other bulkies after photocopying, except those that can fit into the File Jacket. Do not put labels on Specimen page(s).

- Apply bar code labels to each New Application’s Drawing Page and affix Serial Number to top left of the Front Cover of the File Jacket.

- Transfer the New Applications over to Fee Processing, including those that are informal.

Informals

If the minimum filing requirements have not been met, the USPTO denies a filing date, refunds the filing fee, and notifies the applicant of the reason(s) why the filing date was denied. If a filing date has been granted and a serial number has been assigned to the application, the USPTO cancels the filing date and serial number, and sends a notice to the applicant explaining why the application is defective.

Below are the 5 requirements to receive a filing date.

(1) The name of the applicant;

(2) A name and address for correspondence;

(3) A clear drawing of the mark;

(4) A listing of the goods or services; and

(5) The filing fee for at least one class of goods or services.

Note: there is a sequence of processing that must be followed. Refunds must be processed before the files are misassigned or RAM will not accept the transaction. Informals must be deleted in Tradeups before the file is misassigned or the batch cannot be uploaded. In the event of a backlog situation where the files are in "finish" just prior to upload, sometimes bounced checks come in and files get misassigned before the file is deleted from Tradeups. Files with bounced checks appear formal (since there is no way for taggers or others to know the check bounced).

- <u>Prepare the Letter-</u> Validate that the application is informal. All informal letters will be prepared from the Word template in TM Toolbar/Pre-Exam Toolbar, using the form paragraphs and filling in the blanks as necessary to supply serial number applicant address information, etc. Verify the correspondence address. Print the letter. Scan the letter into TICRS using Trademarks on Demand System (TODS). These letters will automatically be uploaded to TICRS.

- <u>Process Refund-</u> Use refund sheet from the toolbar to generate printed copy of refund request form for fee processing.

- <u>Tradeups</u>- Informal files must be deleted from Tradeups promptly.

- Misassign Serial Number- After refunds are processed in RAM, misassign the serial number as follows. Scan transaction 6039 using Personal Computer Bar Code Reader (PCBCR) to clear, scan the barcode on the file jacket, scan transaction 6009, scan the password barcode, and scan the barcode on the file jacket again. 2 beeps will signal that the transactions were accepted. Please do not misassign any file that TRAM indicates a duplicate file exists. Forward all such files to the COTR.

- Mail Informalities Letter- Place all documents, and informal letter in an evenlope addressed to the applicant. Include a copy of the TM Basic Facts Booklet. Put in outgoing mail. Destroy file.

- Report- Report count of informalities on weekly report to COTR.

Note: Never misassign a file when the application contains a Notice of Restoration of Filing Date without first getting concurrence from the COTR.

Outgoing Mail Process

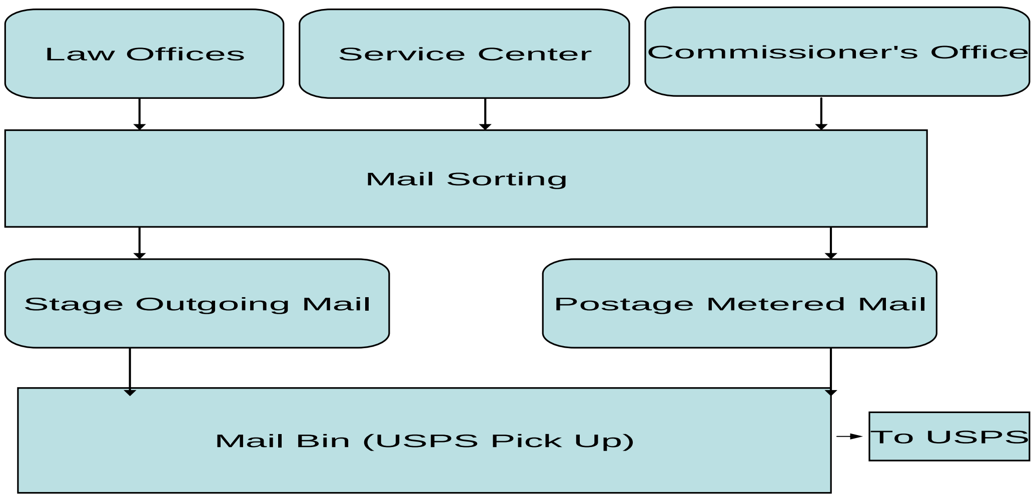


Figure 2-1 Outgoing Mailroom Process

<u>Process Outgoing Mail</u>

The mailroom processes outgoing mail that is picked up from the various Trademark business units. Other notices (Filing Receipts, Notice of Allowance, Notice of Publication, etc.) are printed by the CIO's office and delivered to the Trademark Mailroom for mailing. Processing for this mail includes metering for postage and sealing of envelopes. Special attention should be given to envelopes not properly sealed and insufficient postage applied. To avoid these problems, the mailroom needs to ensure that each mailing machine is properly cleaned and aligned on a regular schedule. Maintenance logs for each machine must be maintained to document (in addition to formal equipment maintenance) cleaning and alignment and the recording of informal inspection periods. Postage on the meters should be maintained at no less than **$5000.00** on each machine and requests should be made to the Contracting Officer Technical Representative via email for replenishment when it approaches the established replenishment point.

Outbound International, Regular Mail

Regular (non-courier) international mail is bundled and shipped via DHL.

Outbound Courier and Items Sent to the International Bureau

Trademark staff may bring packages/letters to the mailroom for assistance with sending the items via courier. Effective April 15, 2010, the USPTO uses UPS (United Parcel Service) and their UPS CampusShip online system for domestic and international courier services.

Occasionally, the Madrid Program office will have outgoing courier mail to be delivered to the International Bureau. International documents and shipping bills are created in the UPS CampusShip online system and items are placed in the designated UPS pick-up locations.

UPS CampusShip Guidance is provided here and available online:

Go to the UPS CampusShip website at https://www.campusship.ups.com/

Login using assigned UserID and Password

To Ship a package: **Domestic**

Complete the Ship To fields

If the address has already been saved in the system, select the address from the list options My UPS Address Book, or Corporate Address Book.

If the address is new, select Enter New Address and complete the fields to enter the name and address for the Ship To fields.

Shipper Address fields

The shipper field information is defaulted to the user account. The name of the shipper may be edited if there is an unusual need from the shipper.

Select the Service

The default choice is UPS Next Day by 10:30 am

Enter the Packaging type, number of packages, and package weight

The package weight may be estimated if mailroom weighing equipment is not available.

Department and Building/Room Number

This information is defaulted to the user account. The information may be edited if there is an unusual need from the shipper.

When all fields are completed, select 'Ship Now' on the bottom right side of the screen to advance to the next screen.

Print the shipping document

UPS CampusShip provides options for printing a shipping document on plain paper with instructions to fold the document and place it in the window on the package. While the system is able to print on adhesive labels, the TM mailroom may not have a printer for the labels so the primary method of creating a shipping document is on plain paper.

Place outbound shipments with mail to transfer to Patents Mailroom.

UPS will pick up from the USPTO campus on a scheduled pick up. Do Not call UPS for pick up, Do Not schedule pick up.

To Ship a package: **International**

NOTE: Most International shipments will come from the Madrid Processing Unit (MPU). UPS international courier shipments are not substituted for the regular/bulk international mail handled by DHL.

Complete the Ship To fields

If the address has already been saved in the system, select the address from the list options My UPS Address Book, or Corporate Address Book.

If the address is new, select Enter New Address and complete the fields to enter the name and address for the Ship To fields.

Shipper Address fields

The shipper field information is defaulted to the user account. The name of the shipper may be edited if there is an unusual need from the shipper.

Select the Service

The default choice for International UPS shipments is UPS Worldwide Saver (Express)

Package Contents & Customs Forms

If the package contains documents, check the box indicating the contents is documents of no commercial value. (It is extremely rare for TM to ship internationally, anything other than documents that will require customs forms. Contact the COTR for assistance with additional forms.)

Enter the Packaging type, number of packages, and package weight

The package weight may be estimated if mailroom weighing equipment is not available.

Department and Building/Room Number

This information is defaulted to the user account. The information may be edited if there is an unusual need from the shipper.

When all fields are completed, select ‘Ship Now’ on the bottom right side of the screen to advance to the next screen.

Print the shipping document

UPS CampusShip provides options for printing a shipping document on plain paper with instructions to fold the document and place it in the window on the package. While the system is able to print on adhesive labels, the TM mailroom may not have a printer for the labels so the primary method of creating a shipping document is on plain paper.

Place outbound shipments with mail to transfer to Patents Mailroom.

UPS will pick up from the USPTO campus on a scheduled pick up. Do Not call UPS for pick up, Do Not schedule pick up.

Right fax

The United States Patent and Trademark Office (USPTO) receives fax transmissions through a system known as RIGHTFAX, which converts incoming faxes into e-mails that arrive in a central e-mail inbox. Contracted staff is required to review each incoming fax, determine if the fax can be associated with a trademark file, remove any confidential financial information from the fax, and upload the fax to the correct electronic file record.

The URL to the storage area for Right Faxes awaiting processing by TICRS-FIT is \\efx1\TICRS-FAXES\INCOMING-FAXES. Everyone should have read access. Below is a snapshot of the Incoming Faxes folder.

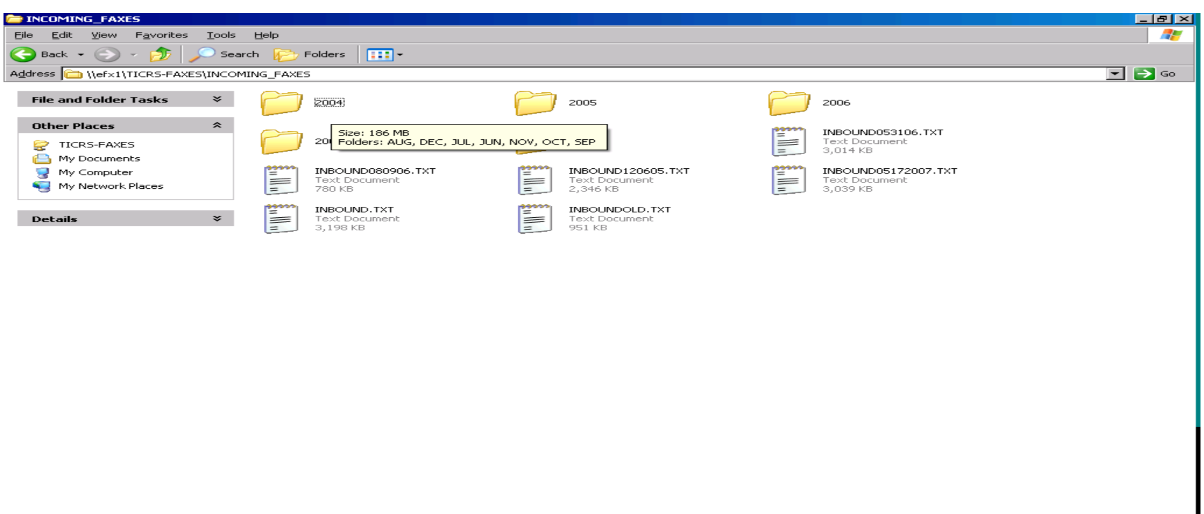


Figure 2-2: Incoming Fax Folder

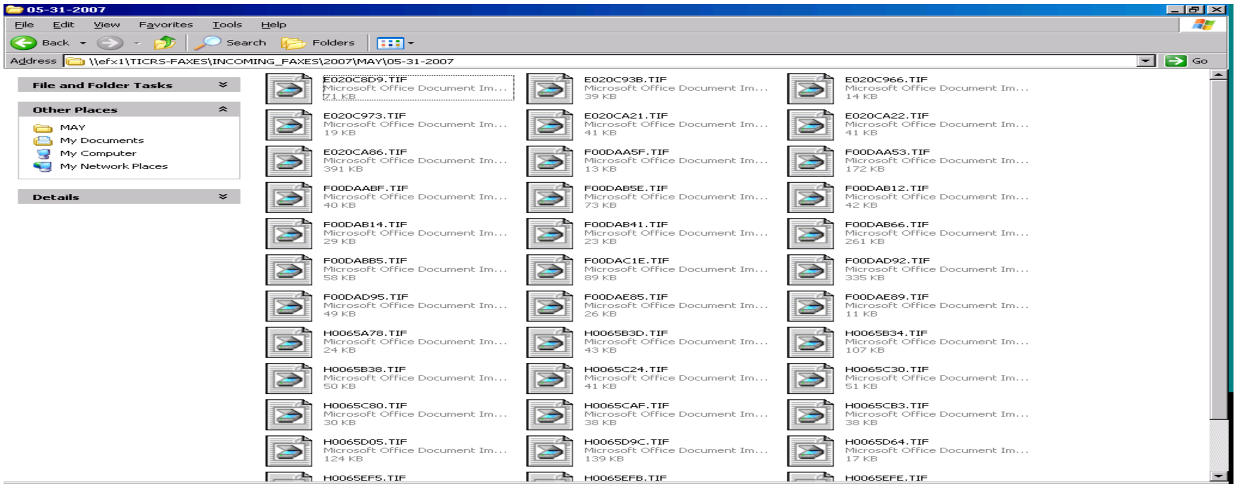


Figure 2-3: The Incoming Faxes Folder by Date

Mail Sorted out for TTAB

Mail received for TTAB is sorted. Express will receive date of deposit as the mail date no matter when received. All other mail received will get the date it was delivered.

TEAS Printouts

Pull all Incoming TEAS from the TEAS mailbox. Open the word document and print TEAS to assigned printer. Once printed forward to the mailroom for routing. The TEAS documents to be printed are as follows.

Response to Office Action (ROA)
Deletion of Filing Basis (DOB)
Withdrawal of Attorney (WOA)
Petition to Revive Office Action (POA)
Petition to Revive – Statement of Use (POA/PSE)

89-Series

Indian Native- This mail should not be scanned and once a mail date has been applied, should be delivered directly to the Commissioners mail drop-off box.

Fastener Quality Act Filings-

There are no processing steps except route them properly. They are on a separate register that is maintained in the Commissioner's office. The point of contact is Audrey Twyman. Applicants will typically mail FQAF's to the address below. Deliver FQAF's to Audrey's work location at MDE4A69.

Director, USPTO
ATTN: FQA
600 Dulany Street
MDE 10-A71
Alexandria VA 22314-5793

Mail Picked up from the Service Centers to be Mailed

Mail from the Service centers is picked up twice daily between 10:00-11:00 and 2:00-3:00. Occasionally there will be inter-office mail to be delivered throughout Trademarks. Most mail from the service centers to be mailed will require postage and some sealing. The postal service will typically pick up this mail in the afternoon between 1:15-1:30.

Work Location Routing Sheets

There are two routing sheets (Work and Physical) created for each transaction of incoming correspondence scanned. The work location routing sheets are to be delivered to the General Incoming mail staging area on the 4TH floor. There are 2 cabinets section and arranged from law offices 101 thru 117, ITU, Petitions and PRU. In addition there are mail tubs set up for return mail.

Physical Location Routing Sheets

The Physical location routing sheets are attached to the front of the incoming correspondence scanned and then boxed by series (71, 72, and 73) at the end of the day for delivery to the Warehouse every Friday.

TM Electronic Mailboxes (Email boxes)

Trademark has 7 email boxes that require monitoring. Outside customer and internal requests are sent by email to these boxes for action. Processing of these requests should be within 1 business day with the exception of files requested for scanning which will depend on the delivery of the file request (3 days) and 4 hours for Fee Refunds. All e-mails not associated with a serial number may be deleted i.e. USPTO Weekly's, SPAM and advertisements. All files processed should be placed in a completed folder by fiscal year (FY 10). Completed files and old messages may not be deleted and will be archived. The TM mailboxes will be inspected by Pre-

Exam government personnel on a weekly basis. The Government staff will have read only access and not be able to delete. When processing request, a simple response in the subject line should be used to inform the staff of the request progress i.e. pending, ordered, completed 4/1/10. For example: a request may be submitted to have a file archived to the database. The subject line would state: File ordered 4/1/10.

Contractor access to the TM Mailboxes and archived folders should be requested through the COTR for approval and will require user NTLogin, workstation ID numbers and a mirror of an existing account. Below are the mailboxes.

1. <u>TM Pre-Exam Support Request</u>- Requests in this mailbox are across the board. (Return Checks, Misassignments, Filing Receipt Corrections and Scanning Request). This box may receive request intended for one of the other 6 mailboxes yet can be supported here. On average there are 5 requests daily. Shown below are a couple of examples.

Return Checks generally will come as notification to misassign a file from the Commissioners office due to the check being returned to the office for Insufficient Funds. Request to misassigned files will generally come with the template however will also come without.

EFT (9).doc

IMPROPERLY ISSUED FILING DATE.doc

2. <u>TM Finance</u>- Requests to have additional fees charged and/or refunds credited. The physical file no longer has to be brought to the finance window. Just as with the physical files, no charges or refunds may be completed unless the applicant has clearly and properly authorized the Office to do so, in writing, and that such authorization is in TICRS. To ensure request is handled correctly and expeditiously as possible, the office has asked requestors to make sure that they include the following.

1. **The serial number(s) in the subject line of the message. Please do not use hyphens, commas, etc. but just the actual serial number(s).**
2. **A concise description of exactly what needs to be done - e.g charge two additional class fees to deposit account.**
3. **An exact reference to the document and page in TICRS that contains proper deposit account authorization - e.g. page 3 of initial application OR page 2 of Incoming response.**

Shown below are a couple of examples of Fee requests.

Good Morning,
Would you please charge $100 petition fee to D.A. #00-1234 for the above file? See TICRS 3/16/10 page 2. Thank you.

Paralegal Specialist
Office of Petitions

Hello! Please charge 6214-$100, DA# 10-1234.

Thank you

Trademark Specialist
Post Registration Division
Office of Trademark Services

These attachments are detailed instructions for processing refunds in the Revenue Accounting and Management (RAM) system.

- **Print the attachments and cover sheets from the email request.**
  - **Regular RAM Sale**
    - **Enter the mail date**
      - **If the mail date is not specified by the person requesting, use the following:**
        - **Use Examiners Amendment from TICRS- use today's date as the date you're working on it.**
        - **Or Date on the given document**
    - **Enter the necessary fee code and number (6001) (0)**
    - **Choose the desired payment form- Credit Card or DA**
    - **If successful, save and validate your documents**
  - ***RAM- Refund Type #1 (Accounting Date Closed)***

- **Fee Collection**
- **Void-Adjust**
- **Adjust Ram Sale**
- **Push: RR- (Cursor Finder)**
- **Select Sale**
- **Enter Name/Number (serial or registration #)**
- **Click Find**
- **Select Correct Date**
- **Select Display Item**
- **Select Item**
- **Click ok**
- **Select Again**
- **Click Save**
- **Click Yes**
- **Select Ok**
- **Validate Document**
- **Select Cancel**
- **Select Ex – Payment Balance**
  - **If check- get correspondence address**
  - **Select check refund**
  - **Select paper for issue method**
  - **Enter necessary information**

    ***Name/Number, Name, Address**
- **Click the Blue Button**
- **Enter the Mailroom date (from the original sale)**
- **Enter the Trademark Name**
- **Data- Requestors Info- Person who requested**
- **Reason- if any**
- **Click Ok**
- **Click ok again**
- **Click save**
- **Click yes**
- **validate paper -**
- **write check refund and submit for approval**

➢ ***Refund Type # 2 – If the accounting date not closed- (void)***
- **Open**
- **Name/Number**
- **Find**
- **Select item**
- **Choose**
- **Void Adjust**
- **Void Ram Item**
- **Click on Item**
- **Click ok**
- **Yes**
- **Ok**

- **Validate**
- **Fold**
- **Validate**
- **Ex- Payment Balance**

- ***Apply the Charges to another Serial Number or Fee code***
  - **Follow the steps for a refund *until* you get to the payment balance process. Select *NX- Continue to next sale***

- ***Respond***
  - **After necessary action is complete, you have to respond. (Don't respond to people outside of USPTO**
    - **Respond to customer.**
    - **And write complete and include serial number. Red Flag it and put it in the complete folder.**

---

3. TM Scanning- Request are made internally and externally to scan files, papers and faxes within 3 days. Files will be ordered from the warehouse using the File Ordering System (FOS). Typically files ordered before 10:00 am will be delivered later the same day that afternoon and files ordered after 10:00 am will be delivered the following business day. All requests to scan a file should be processed to scan the file in its entirety. Other types of scanning request are Petitions to make Special, Voluminous Evidence, and TTAB Documents. Sometimes request may be just to scan a specific page and or incoming response. Shown below are a couple of examples.

To Whom It May Concern:

We are requesting that the prosecution history documents be added to the TDR database. Please let us know if you have any questions. Thank you.

Trademark Paralegal

Dear Sir or Madam:
I respectfully request that a complete copy of the document history of Trademark Serial No. 7600000 be published online.

Company Attorney
PLLP P.O. Box 10101 Anywhere, US

Both files should be ordered from the Warehouse and the files scanned in its entirety.

Hi, could you please help.
Could you please crop the shadow of the deleted tm from off of the right side of this drawing? You can see it in TPR/Gazette if you print it out.

Drawing should be rescanned.

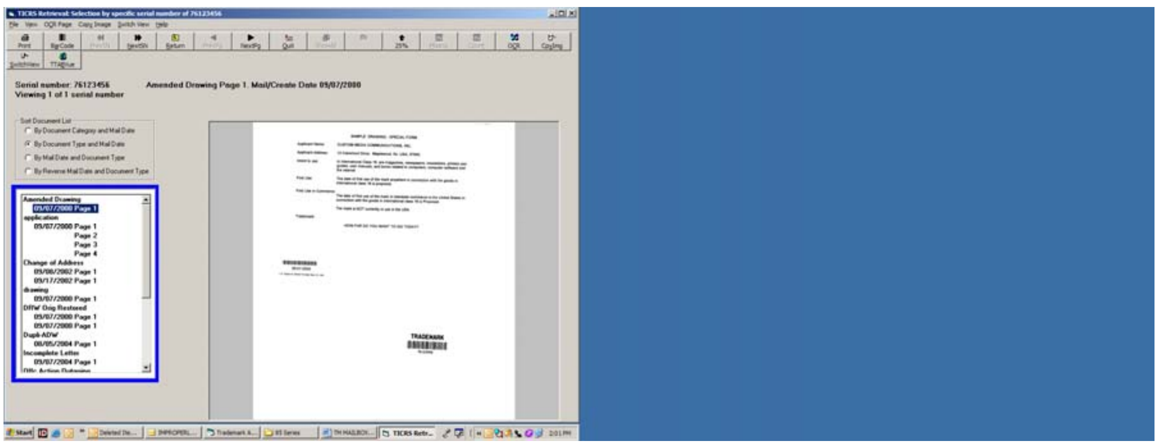
4. <u>TICRS Indexing</u>-Request to index or classify a file is a request to classify an application by document type and dates. The application when classified would appear in alphabetical and chronological date order. Below is a snapshot of how the file would appear after Indexing. Shown below are general request to Index a file.

Hello,

Please move the TWENTY-THREE page(s) of attached specimen (Incoming correspondence dated 02/11/2010 - pgs 2-24) to the proper heading (SPECIMEN) in TICRS for Application Serial no. 7733333 (F).

Thank you.

Trademark Examining Attorney



5. <u>TM Informals</u>- Request are sent to misassign a file due to 1 or more of the 5 filing requirements not being met. These requests are usually generated by attorneys internally; this mailbox is not accessible to the public. Requests to this mailbox are sent to the Legal and Policy office for confirmation the application is informal. Legal will also send the notice of incompleteness explaining the reason the applicant is Informal. Once the application has been declared Informal the file can be misassigned from the new application status of 630 to a misassigned status of 622. The Fees will then have to be refunded to the applicant. Depending upon the method of payment this can take place right away or up to 4-6 weeks if a treasury check has to be paid out. Below is a typical example of Informal request.

From: TM Attorney
Sent: Monday, March 22, 2010 11:13 AM

To: TM Informals
Subject: Serial Number, Name

Application Serial Number should not have been granted a filing date because "non-profit organization" does not identify any recognizable goods or services. See TMEP 1402.02.

Please make the application informal and remove it from my docket.
Thanks.
TM Examining Attorney
United States Patent and Trademark Office
Examining Attorney, L.O. #

6. <u>TM Filing Receipt Correction</u>- This is normally a request made to correct an error within the application made by the office.

- **Print All documents**
- **White out the name on the top**
- **Don't respond to people OUTSIDE OF USPTO**
- **Check the serial number and process it accordingly.**
- **Regular Serial Numbers 71- 78's**
    - **usually corrections; scan into TICRS IPC**
  - **Use the date that it came in *mail date.***
  - **Look up in TICRS to make sure that mistake is an error on the part of the office and not the applicant. (Look at the original application)**
  - **If <u>the mistake it not our fault</u>, let it go as a preliminary amendment.**
  - **If it is, make the correction in Tradeups.**
  - **Items not to change:**
    - **The mark**
    - **The filing date**
  - **If you can change it**
    - **Go into Tradeups**
    - **Click file**
    - **Click open**
    - **Text editing**
    - **Click ok**
    - **Enter the number**
    - **Click ok**
    - **Choose your data (the mark, class, owner's data, etc.)**
    - **Make your correction**
    - **Apply changes**
    - **Upload**

  - **If you *can't* process it, change to *Preliminary Amendment on both Physical and Work routing sheet. Send* the work location sheet to *central docket..***

- ***<u>79's –Madrid</u>***
    - **You cant change:**
        - **The mark**
        - **The filing date**
        - **The goods and services**
- **Scan in EDODS- Document Type– Paper Corresponding Incoming**
    - **Bring up input excel *SCAN***
    - **New Batch**
    - **Process- EDODS**
    - **Batch Name- serial number**
    - **Click ok**
    - **Scan pages- Don't worry about blank pages.**
    - **Click finish scanning**
    - **Close batch**
    - **Yes**
    - **Go into *TICRS INDEXING***
    - **Run single batch**
    - **Click in the box**
    - **Type the number**
    - **Select ok**
    - **Accept task**
    - **Yes**
    - **Application number –serial number**
    - **Enter mail room date- date you received it**
    - **Document- push OO – (IPC)**
    - **Accept task**
    - **Yes**
    - **All 79's go to Madrid**

- **Tradeups**
    - **File**
    - **Open**
    - **Text editing**
    - **Ok**
    - **Enter**
    - **Ok**
    - **Choose your data element (i.e. class data, mark data, owner's data, etc.)**
    - **Select change entry**
    - **Make your correction**
    - **Apply changes**
    - **Click upload**

    - **Sending a new filing receipt – Only when you make the correction**

- **Click one PCBCR**
- **Enter Tram code 90281**
- **Wand Transaction 6405**
- **Scan Serial number**
- **Then go to PC Tram and look for the history update.**
    - **If you get an oops:**
        - **It's a registration or it is in the wrong status.**
        - **You can look in PCTRAM; it needs to be 630 status**
- **Goes into the box after the correction is made- physical and document**
- **Keep work location for scan count**
- **Log into filing receipt spread sheet- on the desktop- under total processed**
- **Click save**

7. <u>Right Fax</u>

- **Inbound**
    - **Look for the serial or registration number- (may be multiple numbers)**
        - **Madrid- print and route to mailroom for delivery**
        - **Patents- print and route to mailroom for delivery**
    - **If you have more than one, you need to print and scan the documents in to TICRS IPC later under the fax date.**
    - ***If you see any with a check, live deposit account forms and Credit Card forms, mark it so that it can be deleted later.***
    - ***If you only get a credit card form or deposit account form or Check, you still have to upload it. Mark the serial number and delete later using DMM***
    - **Click first page**
    - **Delete junk mail**
    - **Rotate any pages the deem necessary**
    - **Go through all the pages.**
    - **Enter the registration or serial number (reg. number requires you to press enter)**
    - **Enter the number again**
    - **Verify the mark**
    - **Continue**
    - **Click Close**

- **Outbound**
    - **Look for serial numbers. Delete all faxes not associated with a serial #.**
        - **Delete junk mail, patents, and personal mail**

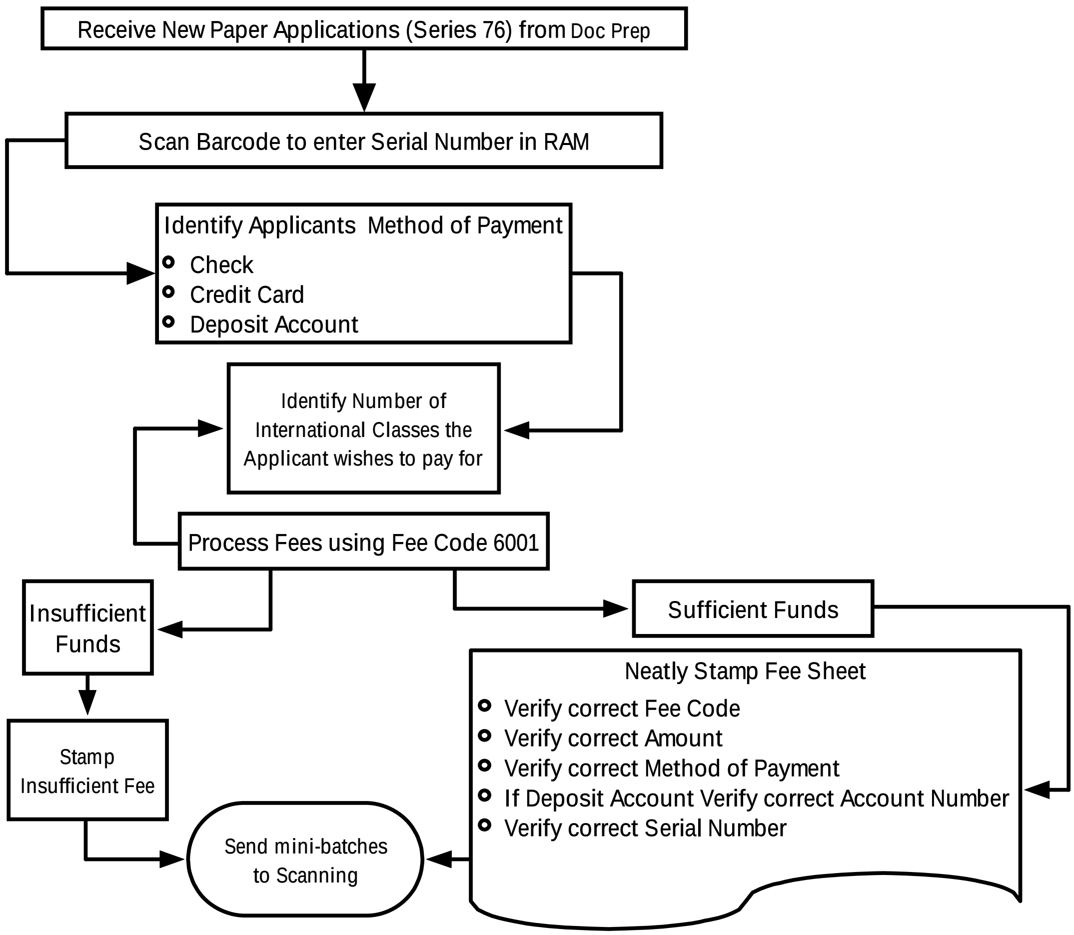
- **Blank application and various other forms can be deleted**

- **DMM**
  - **Go in and delete CC and deposit account forms and any copy of a check.**
  - **You can also retrieve a CC form, DA form or copy of a checking by:**
    - **Go into DMM**
    - **Go into the history**
    - **Retrieve Data**
    - **Find Document**
    - **Click restore deletions**
    - **Go into TICRS and print the necessary documents**
    - **Return to DMM and delete the necessary form again.**

- **How to print out a fax**
  - **If necessary, write down the first serial or registration number and then follow the steps below.**
    - **Click start**
    - **Select run**
    - **If necessary enter: //eFx1**
    - **Click ok**
    - **Select TICRS Faxes**
    - **Select the correct year**
    - **Select the correct month**
    - **Select the correct date**
    - **Select the correct fax – double clicking**
    - **Click print**
    - **Exit**
    - **Put the printed document to the side to be scanned into the remaining serial number later.**
  - **Go back to the original fax**
  - **Upload the first serial number.**
    - **The pages that you print scan them into TICRS IPC, using the fax date on the bottom of the page. If you have a work location sheet, take it to the mailroom. Document goes to the Warehouse.**

Chapter III: <u>Finance</u>

Fee Processing



Introduction

Scope and Objectives

The Revenue Accounting and Management (RAM) Fee and Refund Processing Procedures provide standardized procedures for security, receiving and tracking of requests, and processing of fees and refunds within the United States Patent and Trademark Office (USPTO). The primary functions of the division are to process applications for trademarks.

This document focuses primarily on the business rules and office procedures for preparing enrollment and discipline fee payments for entry into the RAM system.

The document does not cover step-by-step operational procedures for entering payments into RAM, which are described in the RAM System

Users Manual. In addition, the document does not cover business procedures for processing applications, although some details are provided as a context to the financial processes. The business procedures are available in the Code of Federal Regulations, available at www.access.gpo.gov/nara/cfr/

General Security Measures

The following General Security Measures apply to Trademark Department fee handling:

- All payments that are received at Trademarks are hand carried from Trademarks to the Office of Finance.
- Any unprocessed check payments, credit cards, deposit accounts and authorization forms are locked in a safe overnight.
- Program area batch reports are generated to verify that all batches have been received in the Office of Finance, and cross-referenced with payments received.
- Bulk payments are processed as they are received daily.
- Payments that are received for a Trademark application that can not be processed are hand delivered throughout each step of the application processing lifecycle before being sent back to the customer, to secure customer payment information.

Receiving and Sorting

Receiving

The Trademark Office receives packages at the Trademark mailroom, and from customers walking up to the Trademarks Finance Window, or by fax. The packages contain either new Trademark applications or correspondence, called Flatwork, supporting an in-process application. Both may contain payments.

Trademarks must establish the date a payment is received for trademark fee-calculation and possibly legal purposes. A date stamp is placed on the first page of the package based on the criteria below.

Finance Window

Customers may bring requests to the Trademark Department Finance Window. The requests receive a stamp at the time they are received. Trademarks will also monitor incoming faxes and ensure that the electronic stamp is printed when the fax is received.

Sorting

Fees are processed in the sorting area's Fee Processing group, where all packages with payments enclosed are separated by the payment type. RAM fee processors enter the fees according to the processes and rules outlined in this document.

New Applications

New Applications go through several departments from the time they are received to ensure the fees are applied properly. The application is then sent for fee processing. Applications fees are applied before any application processing. If the fee is insufficient, the application will not be granted a filing date. Rejected payments will be hand carried to each subsequent department until the Assembly team returns the payment to the customer. All applications are scanned into TICRS after fee processing. International applications are sent directly to the Madrid Protocol Unit. The initial fee for international applications is sent in electronically. Reoccurring fees are handled by the Madrid office.

Fee Flatwork

Fee Flatwork is documentation that supports an existing application and has applicable fees. Fee Flatwork is first sent to the Fee Processing Group, TICRS scanning and then forwarded to the applicable office for processing with the application. Fees and refunds can be processed in the Trademark Business Units, following the same rules and procedures as the Fee Processing Group.

Non Fee Flatwork

Non Fee Flatwork is documentation that supports an existing application and does not have any applicable fees. Non Fee Flatwork is first sent to TICRS scanning and then forwarded to the applicable department for processing.

Check Processing

RAM fee processors post the payment to the account and perform the necessary transactions related to the paperwork sent by the customer.

Rules for processing checks are as follow:

- Check to see if this is a suspended payment. If it is, process the fee payment from the Suspended Account's balance in RAM. Suspended accounts are created and funded during multiple fee payment processing.

- A "check" refers to payments made by check, money order, or bank draft.
- A signature on the check is not required.
- Old checks are accepted (e.g., dated 90-days ago).
- Check must be reasonably recognizable as addressed to the *U.S. Patent and Trademark Office*. This includes “Director of the United States Patent and Trademark Office”, “USPTO”, “Commissioner of Patents and Trademarks”, etc. If the address line is something not recognizable as the U.S. Patent and Trademark Office or one of its components, the check must be returned to the customer. If the address line is blank, the RAM fee processor will flag the check to be stamped with the official USPTO stamp: **“Director of the United States Patent and Trademark Office.”**
- Only U.S. Funds are accepted. Checks made out in foreign funds must be returned to the customer.
- At least one amount field (written or numeric) must be completed. Checks with blank amounts in both fields are returned to the customer.
- If the written and numeric amounts do not match, the correct amount is considered to be the written check amount.
- If the fee is greater than the written payment amount of the check, check the customer’s instructions for authorization to debit their deposit account. If authorized, apply the deposit account rules, below, and process in RAM. If not authorized, process the application as an Informal.

- If the fee is less than the written payment amount, use the stamp: **“Accepted by the Commissioner of Patents & Trademarks in the amount of $ ______”** and continue processing in RAM**.** The refund rules will be applied after processing the fee in RAM.
- If the fee is equal to the written payment amount, but the numeric amount field is left blank, process the payment in RAM and use the stamp: “**Accepted by the Commissioner of Patents & Trademarks in the amount of $ ______**”.
- If the fee is equal to the written payment amount, and if both fields are equal, process the payment in RAM without applying the stamp.

- If this is a request to pay for multiple fees for one application and is not the last fee payment on the list, process the next fee directly into RAM. If information is missing on the next item, suspend the payments until all information is received. Suspending creates a Suspense Account which can be re-accessed later to fund additional fee payments.
- If this is not a multiple fee payment request, or is the last payment on the list, then apply refund rules.
- Documents are forwarded to the Office of Finance for storage after processing.
- Check batches are limited to 50 checks. When the operator reaches the 50th check in a batch, apply reconciliation rules. Reconciliation rules also apply at the end of the business day, and at the end of the shift.

Credit Card Processing

Credit card payments are handled at the USPTO. Every USPTO employee and contractor is held responsible for safeguarding credit card numbers from becoming public. Employees who suspect or become aware of inappropriate or unlawful use of credit card numbers should immediately contact their supervisor or the USPTO Office of Security.

The business process for credit card processing is as follows:

1. Ensure the credit card supplied is accepted by the USPTO: MasterCard, Visa, American Express, or the Discover Card.
2. Check to ensure that the appropriate forms are used to authorize a credit card payment for USPTO fees are completed.
   Ensure the completeness of the forms in accordance with the business rules shown under the Credit Card Form Completion Rules
3. Ensure the charged amount is sufficient for the fee:
   - If the charge amount is equal to or greater than the fee, process the payment in RAM but only charge the applicable fee to the credit card.
   - If the charge amount is less than the fee, do not process the payment in RAM, redac the credit card number except the last 4 digits and forward the credit card form to the Office of Finance. If the customer has a deposit account, funds can be withdrawn to cover the difference with the customer's approval.
4. Review multiple fees that are paid with one Credit Card Authorization Form.

- When processing in RAM, check to see if this is a request to pay for multiple fees from one payment.
- If this is a request to pay for multiple fees for one application and not the last fee payment on the list, process the next fee directly into RAM

Deposit Account Processing

USPTO allows customers to maintain deposit accounts as sources of funds to be used to pay fees. These accounts are maintained by individuals or corporations to authorize the Office to charge fee payments from the account.

The RAM fee processor verifies that the user has authorization on the deposit account. If the account lists the company name in the authorized user list, then anyone identifying themselves as an employee of the company, through the use of company letterhead, is authorized to charge fees to the deposit account.

The RAM fee processor verifies that there are sufficient funds in the account available to pay the fee, and then processes the payment in RAM.

If there are insufficient funds, the processor will contact the Government Representative to contact the customer by phone and get additional funds for the account. All unresolved problems result in a notification being mailed to the customer.

Refund & Adjustments

Refunds can either be requested by the customer on previous transactions, or identified by the RAM fee processor at the time of payment processing. For previous transactions, a customer has two years after the fee was paid to request a refund. All customer-requested refunds are submitted through the Refund Branch within the Office of Finance for scanning, and forwarded to Trademarks for processing.

For a current transactions' refund, the first step is to check for bulk payments. Bulk payment rules state that a refund should not be processed until all fee payments have been processed. If the last transaction for the bulk payment has not been processed, complete the processing before posting the refund.

Unless requested by the customer in writing, refunds under $25.00 are not issued. However, refunds of any size can be made without a written request if the original deposit account authorization payment form authorized any overpayments to be credited to the customer's deposit account.

The type of payment determines the type of refund. Any problems are forwarded to the COTR.

The following rules apply when processing refunds:

The following payments must be refunded via Treasury check:

- All money orders
- Cashiers checks, teller checks, and official checks issued by a bank
- U.S. Dollar drafts
- Foreign checks (US Funds) payable through a U.S. bank
- Credit Union checks
- Travelers checks
- Checks drawn on special accounts such as a stock account or home equity credit line or money market

If the original payment was made by check or EFT:

- If the customer makes the request, the refund may be adjusted to the customer's deposit account.
- Refunds should be made to the bank account to which the fee was charged.
- A copy of the check must be provided to the supervisor for EFT-refund approval.
- Payments are processed after supervisor approval.
- RAM automatically calculates a hold-period based on whether the initial payment was by paper check (hold period is 30 business days) or by EFT payment (hold period is 14 business days). The paper check or EFT check refund cannot be forwarded to the Department of Treasury for disbursement until that hold period has expired.

If the original payment was made by deposit account:

- RAM fee processors can approve refund directly without supervisor approval.
- Must be credited to the deposit account to which the fee was charged.

If the original payment was made by credit card:

- RAM fee processors may not credit any fee that is related to a credit card dispute without written/email authorization from the Office of Finance. Forward request to the Office of Finance.
- Must be credited to the credit card account to which the fee was originally charged.
- If the account is closed, the credit card company is required to process the refund to the customer.
- The refund cannot be credited to a deposit account.

Reconciliation

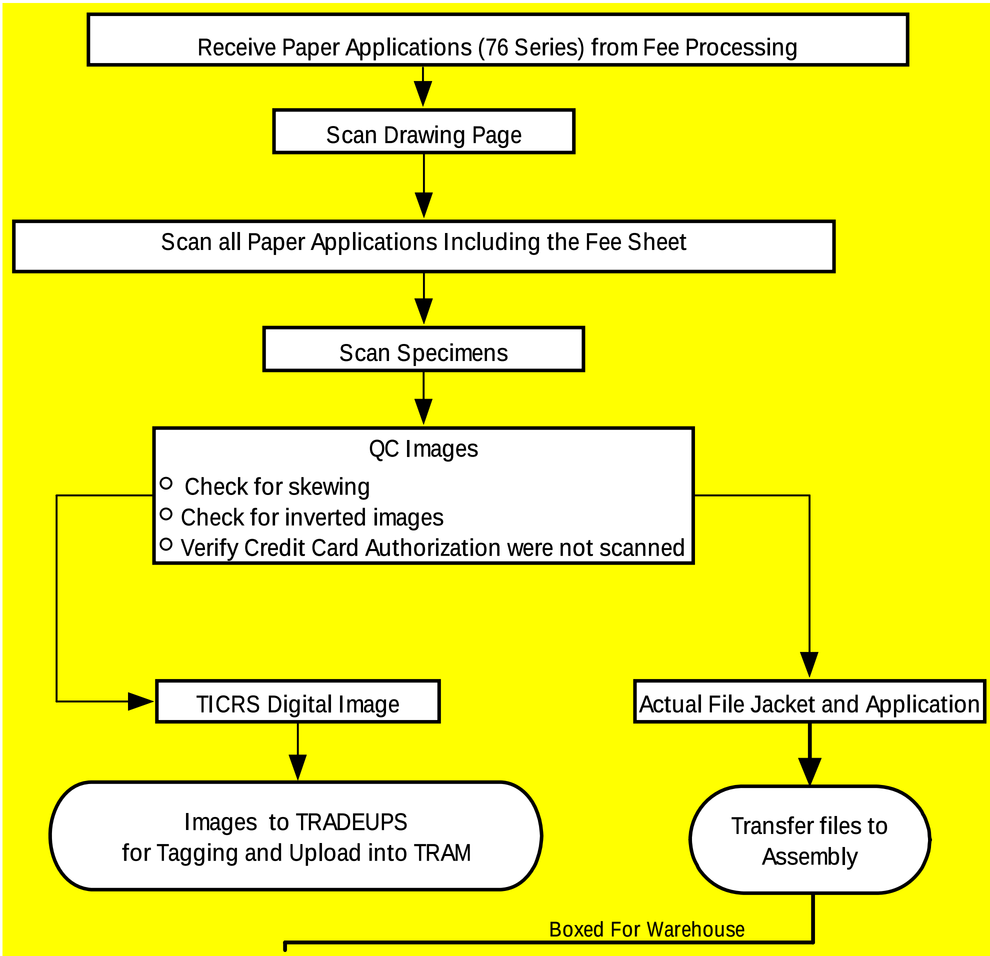
Reconciliation ensures that the amounts are balanced for the USPTO intake and the payments received. A fee processor performs a batch reconciliation on checks after processing up to 50 checks, and reconciliation on all payment types at the end of each business day.

Listed below are procedures for completing reconciliation:

1. Create a batch in RAM for the payments collected, and perform reconciliation.
2. Bundle the batch of checks with the reconciliation slip, bundle the cash payments in a single envelope with the amount and batch number written on the front, and bundle all other payment types with their payment authorization forms.
3. Insert the payments with check manifests and deposit account authorizations into a large security envelope and seal the envelope. The batch number is written on the outside of this envelope as well.
4. At the close of each business day, one person delivers the secured envelope to the USPTO Office of Finance for deposit into the financial institution.
5. Other TM Divisions may bring their batches to the Window so the batches can all be delivered in one trip to the Office of Finance.
6. In the Finance Office, Trademark batches are combined with all USPTO batches and reconciled the following morning.

- Revenue Accounting and Management (RAM) System Users Manual
- http://www.uspto.gov/web/offices/dcom/

Chapter IV: <u>Scanning</u>



New Application Scanning

The scanning operation produces an electronic image of each application stored in TICRS (Trademark Image Capture Retrieval System). An electronic file of each page is created through optical scanning and character recognition processes.

The quality of these files is determined through inspection. The selected applications are inspected to determine the quality of the scanned images, looking for Drawing Page Errors and General Errors. General type errors may consist of missing pages, cut-off text, pages out of order, scanned checks, scanned credit card authorizations, and specimens that are incorrectly indexed. The electronic scanning folders and directories have to be monitored on a daily basis in order to ensure complete throughput of the scanning workflow. New Application scanning operation uses a software application called Input Accel to handle the various types of documents that feed TICRS, X-Search and other databases. Access for Input Accel is requested via the COTR

STEP 1: Login to Input Accel

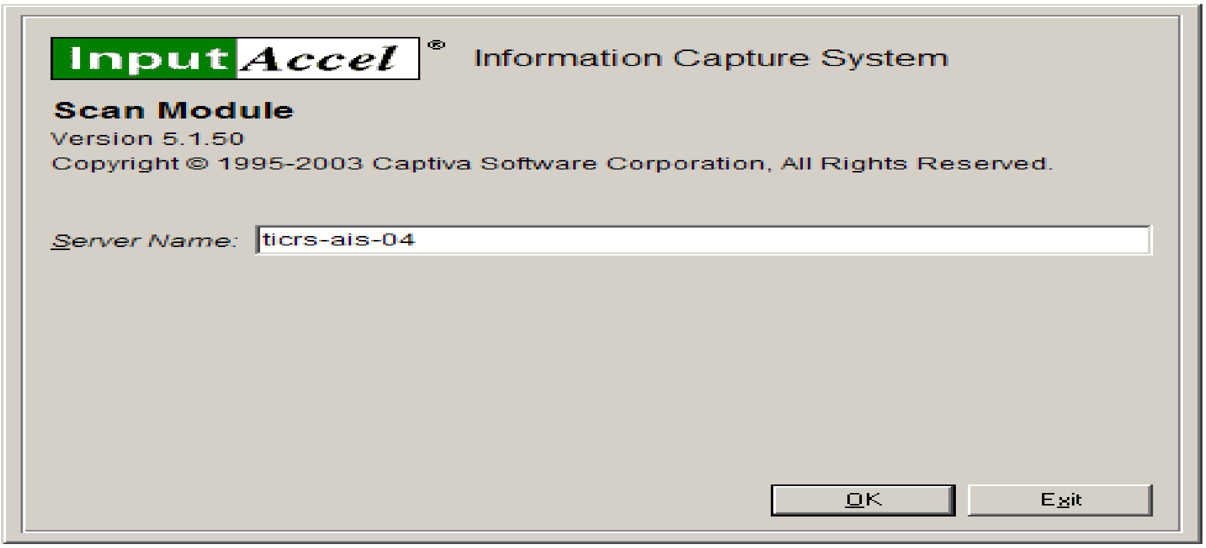


Figure 4.1: Input Accel log on screen

Step 2
Enter User Name:
Enter Password:

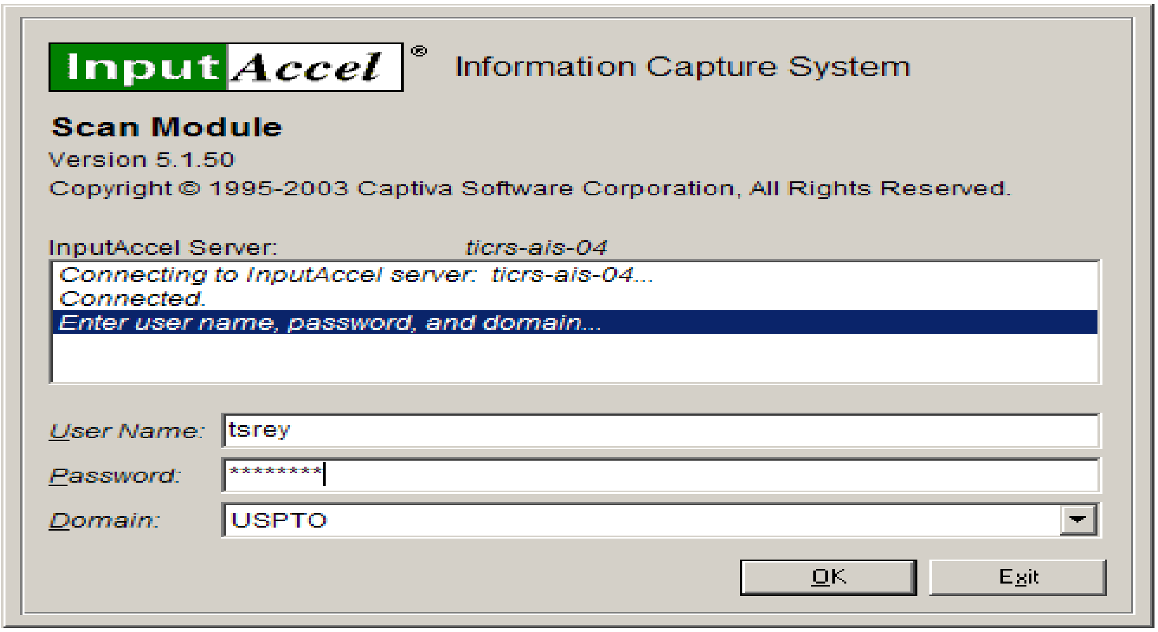


Figure 4-2 Input Accel Logon Screen

Step 3
Select Batches

- Retrieve a batch of 100 applications in sequential order from Finance.
- Retrieve a mini batch of 25 applications
- Verify count of the mini batch against coversheet
- Prepare batch for scanning by removing staples, tape, bindings holding specimens together and digital or physical bulkies that require photo copying and other special handling
- Select TODS New Application option and duplex mode for scanning
- Make sure all images are aligned upright prior to scanning

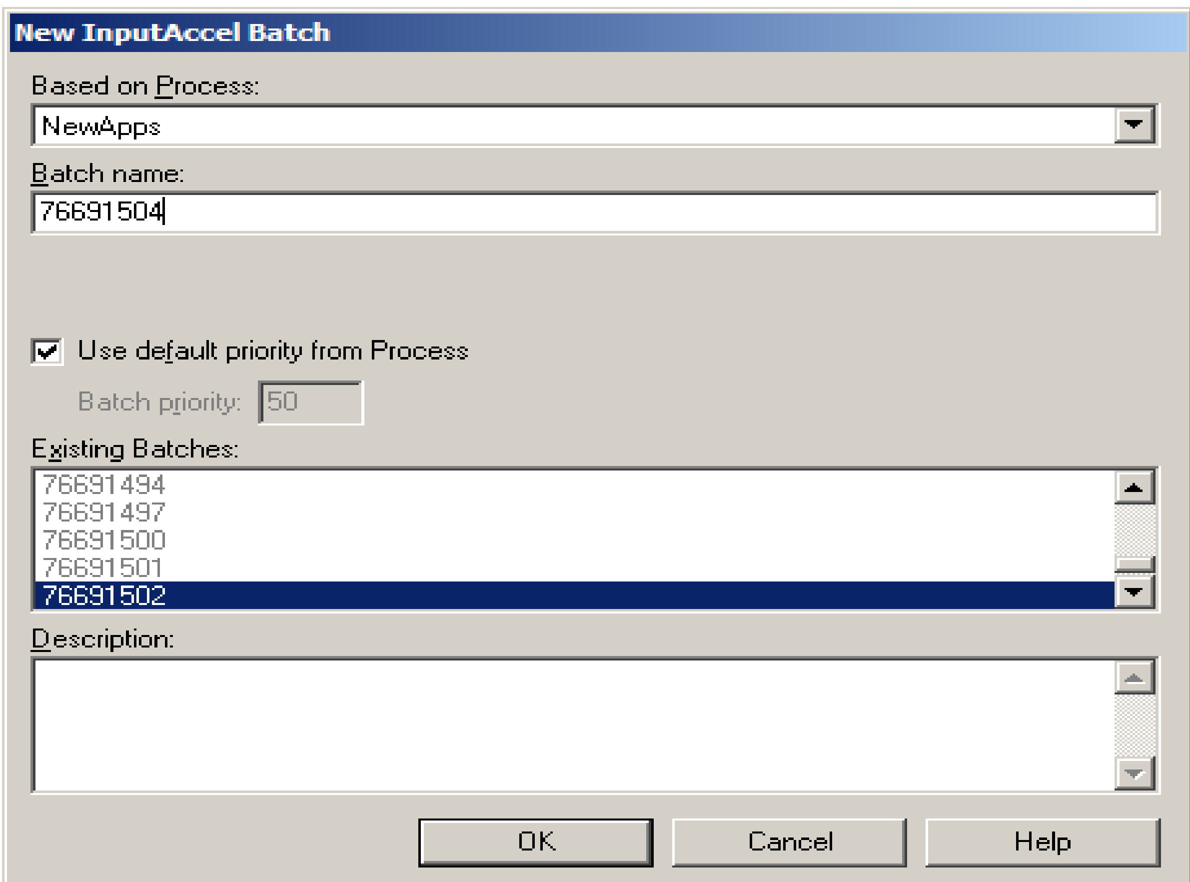


Figure 4-3: Batch Application Selection Screen

Scan an application- check application for the appropriate contents in the following order

- Drawing Page
- Fee Sheet
- Transmittal Letter
- Body of Application
- Specimens

Step 4
Scan Batch

- Place application in the scanner
- Click New Batch
- Scan serial number barcode label
- Watch each page for double feeding
- Assure document sequence is maintained
- Return application to the file jacket

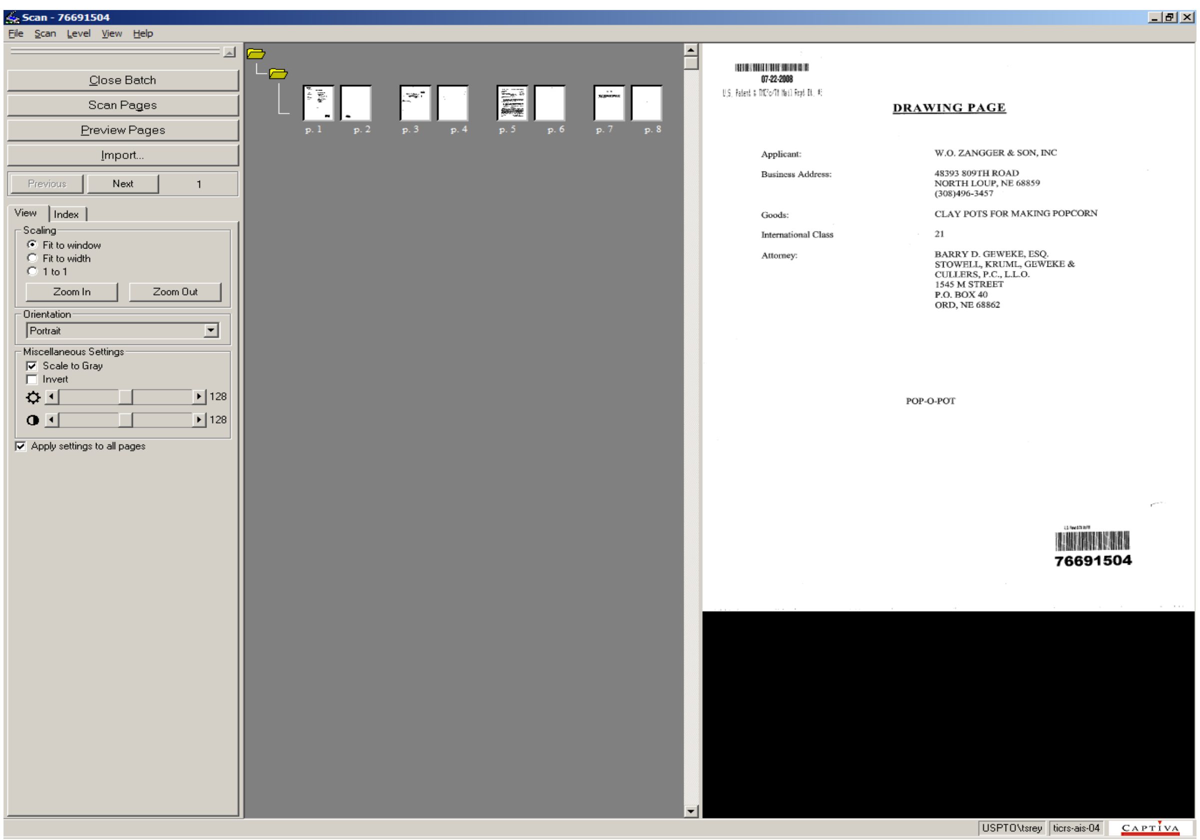


Figure 4-4: Process for Scanning Pages

Color drawings

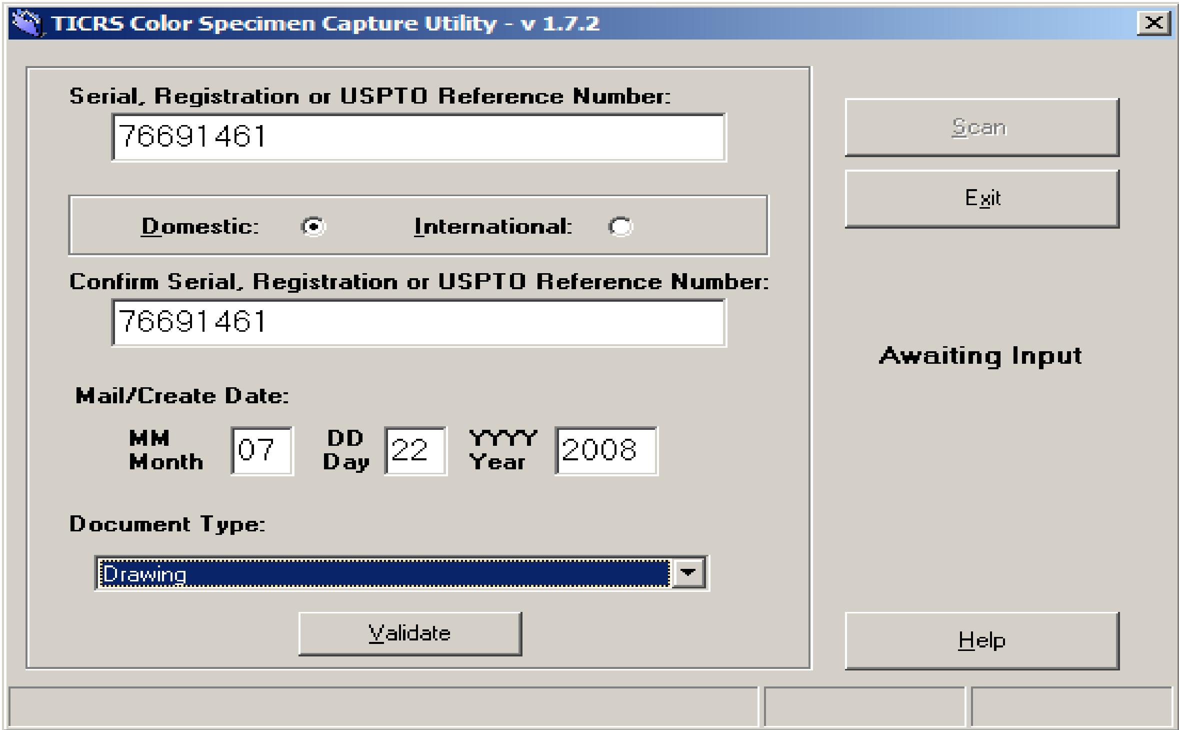


Figure 4-5: Color Drawing Spec.

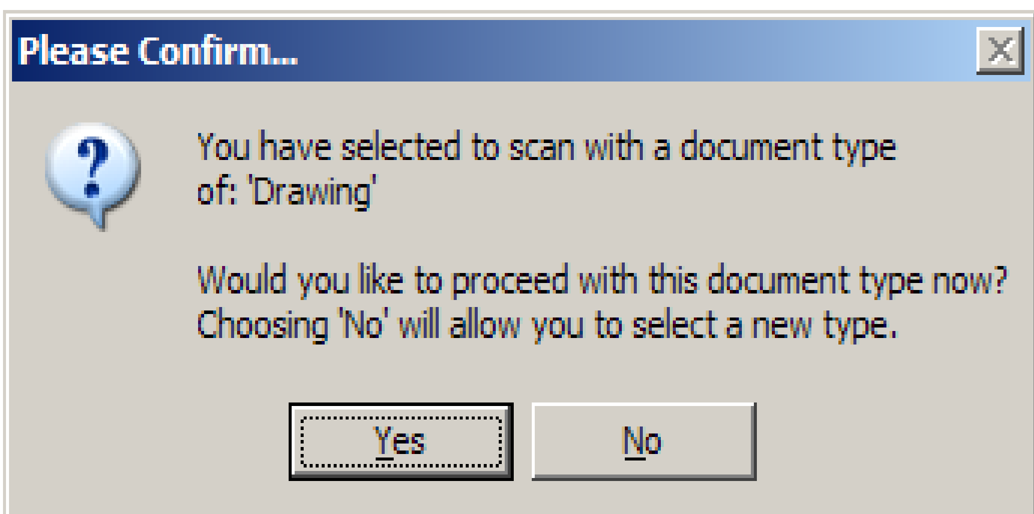


Figure 4-6: Document Selection

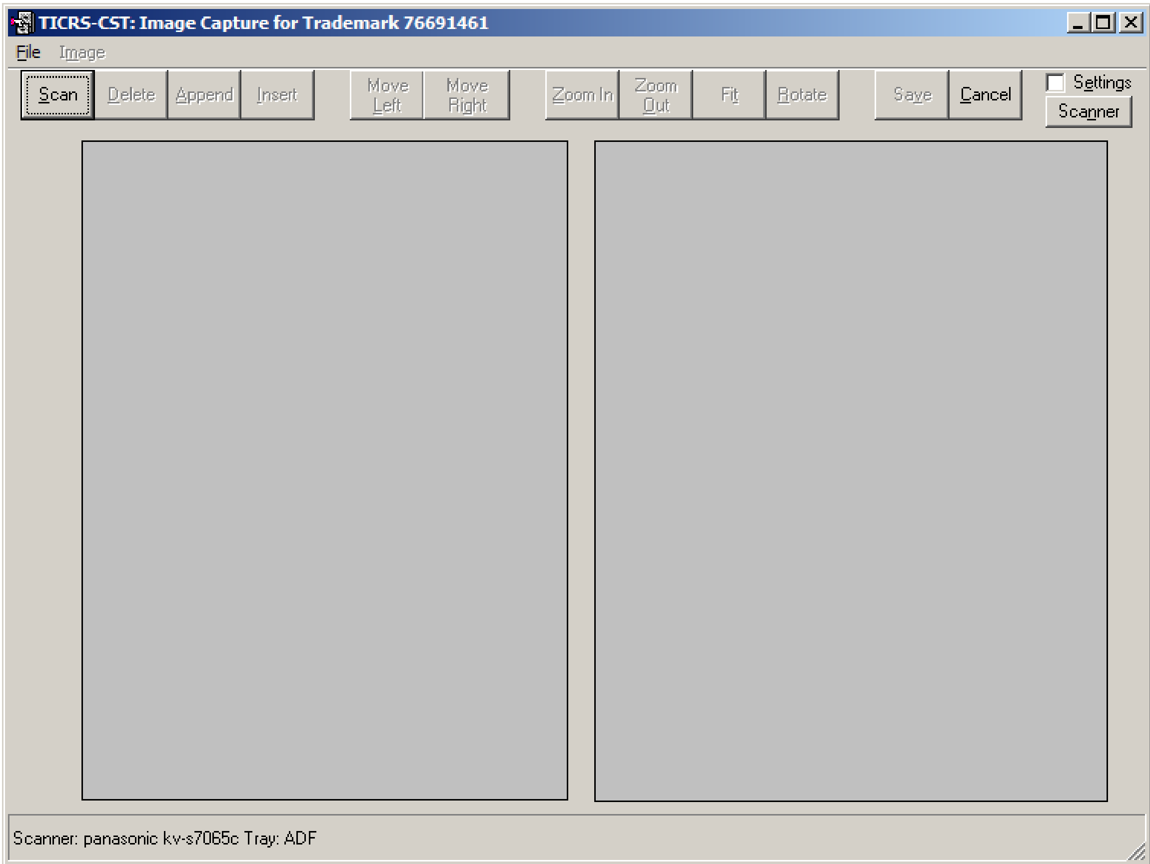


Figure 4-7: Color Software

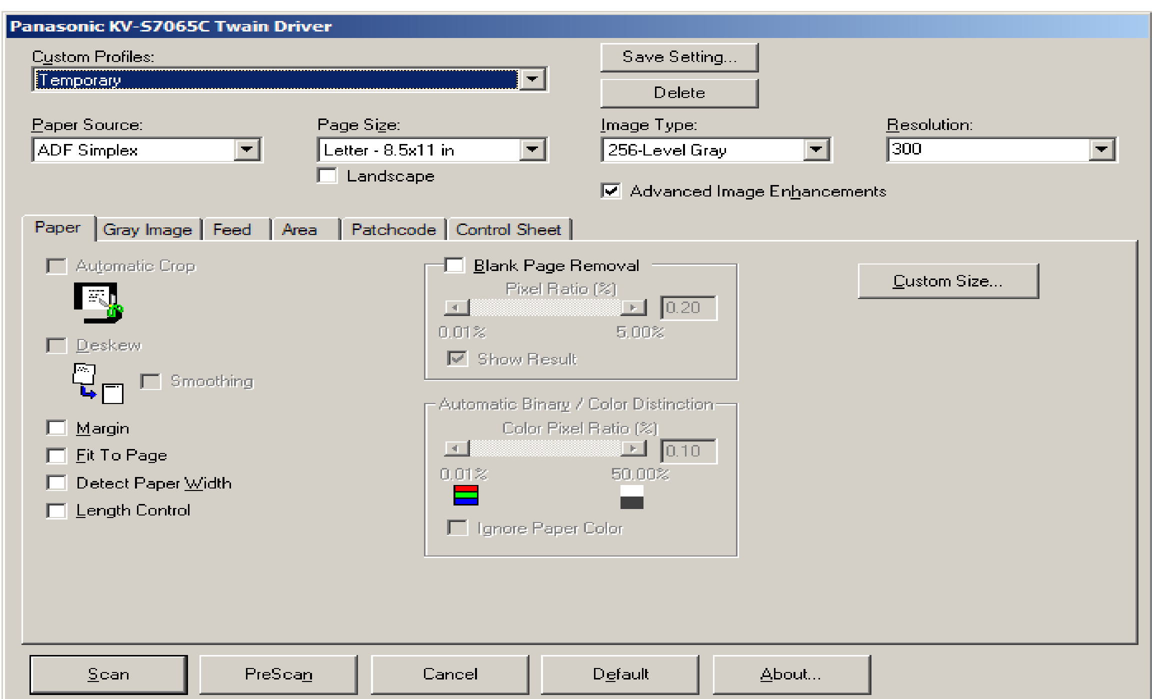


Figure 4-8: Color Software

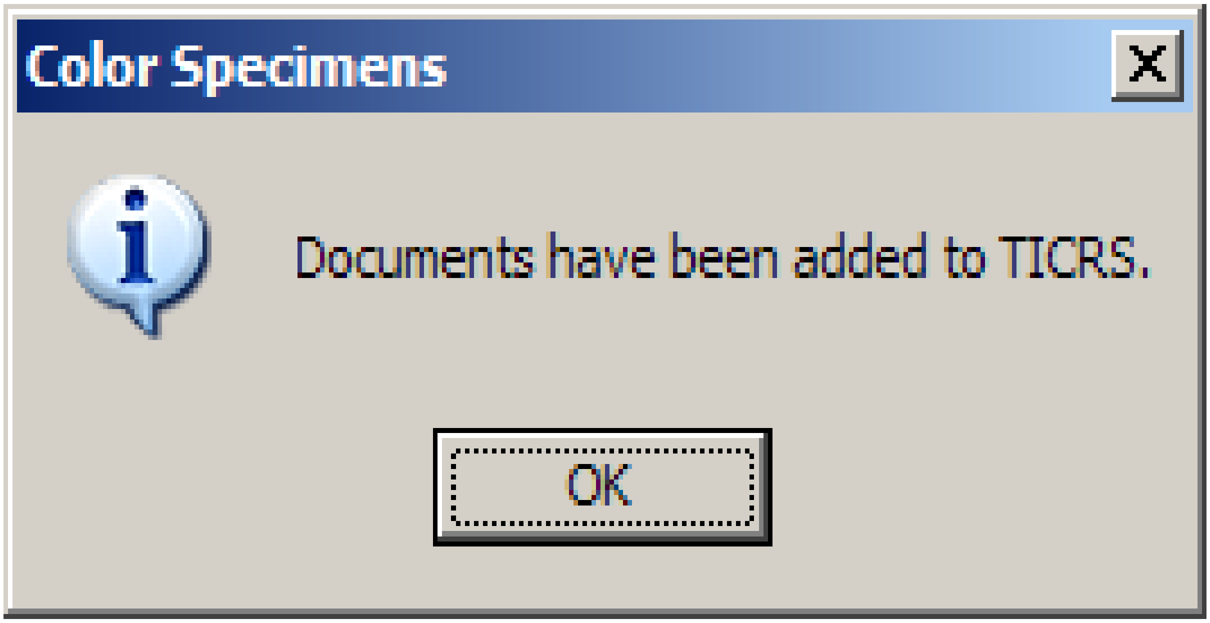


Figure 4-9: Prompt for Successful Upload

SPECIMEN SCANNING

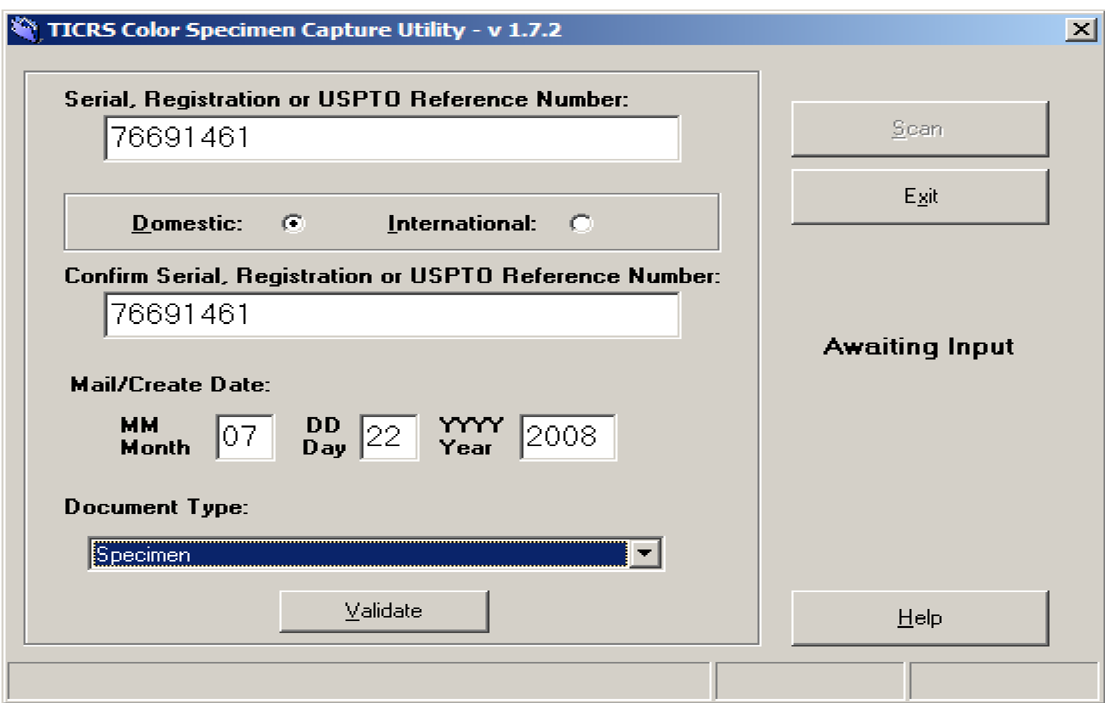


Figure 4-10: TICRS Color Specimen Capture Utility

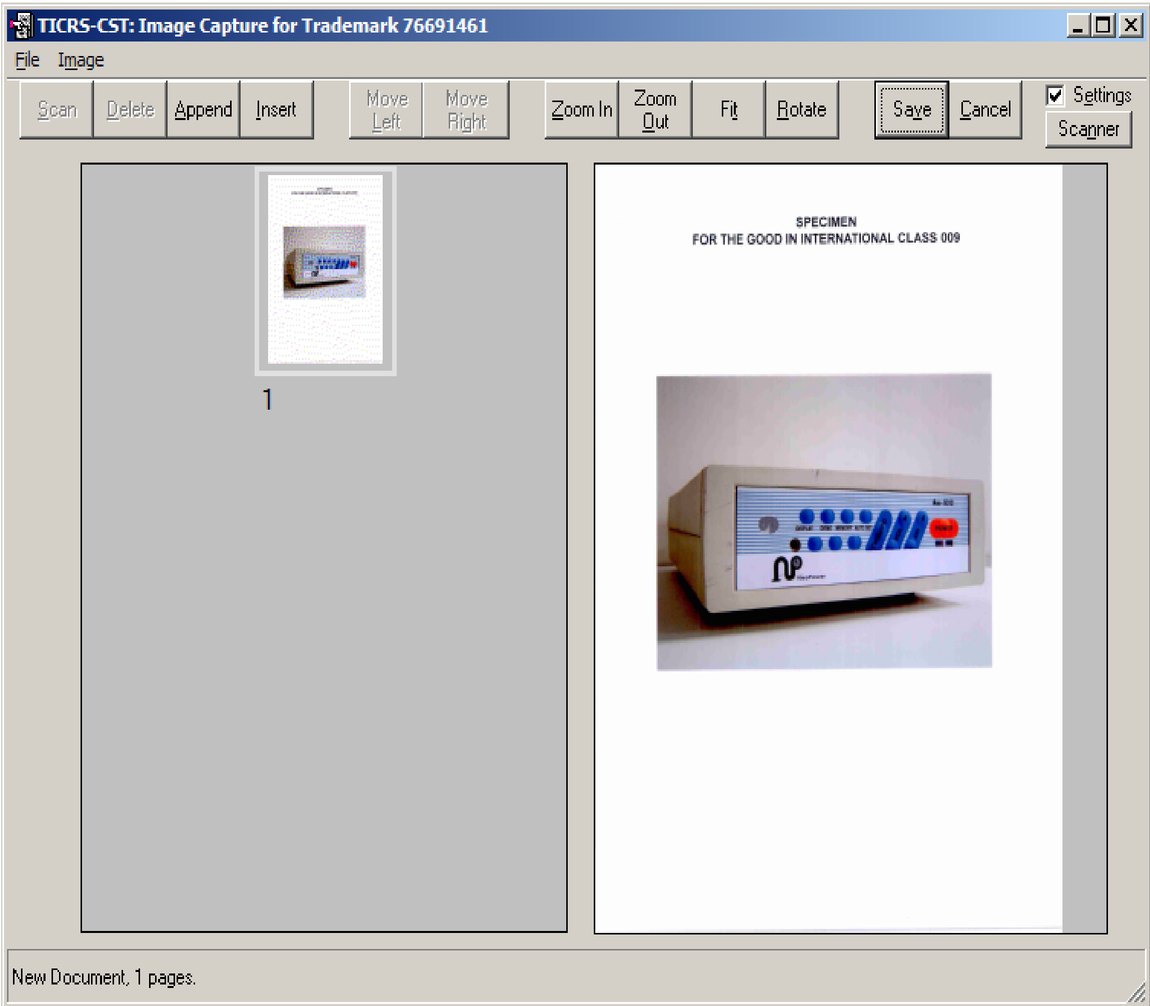


Figure 4-11: View of Image Scan

Figure 4-12: Prompt for Successful Upload

INDEXING

1. Processing the same batch of 100 applications in sequential order, retrieve a mini batch of 25 applications
2. Verify contents of mini batch versus batch control sheet to ensure all applications are present
3. Open quality assurance module and type in User ID and Password
4. Open applications electronically
5. Check scanned images for:
    a. Proper label placement
    b. Mail date label
    c. Serial Number Barcode Label
    d. Proper document sequence
    e. Image quality (i.e., is the scanned image readable)
    f. Skewed or smeared images
6. Flag any pages smeared, missing, or other poor images for rescanning
7. Close the application
8. Rescan any poor images
9. Close the application
10. Open Index module
11. Review each page:
    a. Use same criteria as in Step 5
    b. Insert a mailroom date and/or serial number as needed
    c. Separate specimen pages electronically
12. Close application
13. Repeat steps 4-12 until mini-batch is completed
14. Enter data on batch control form
15. Repeat steps 2-14 until 100 applications

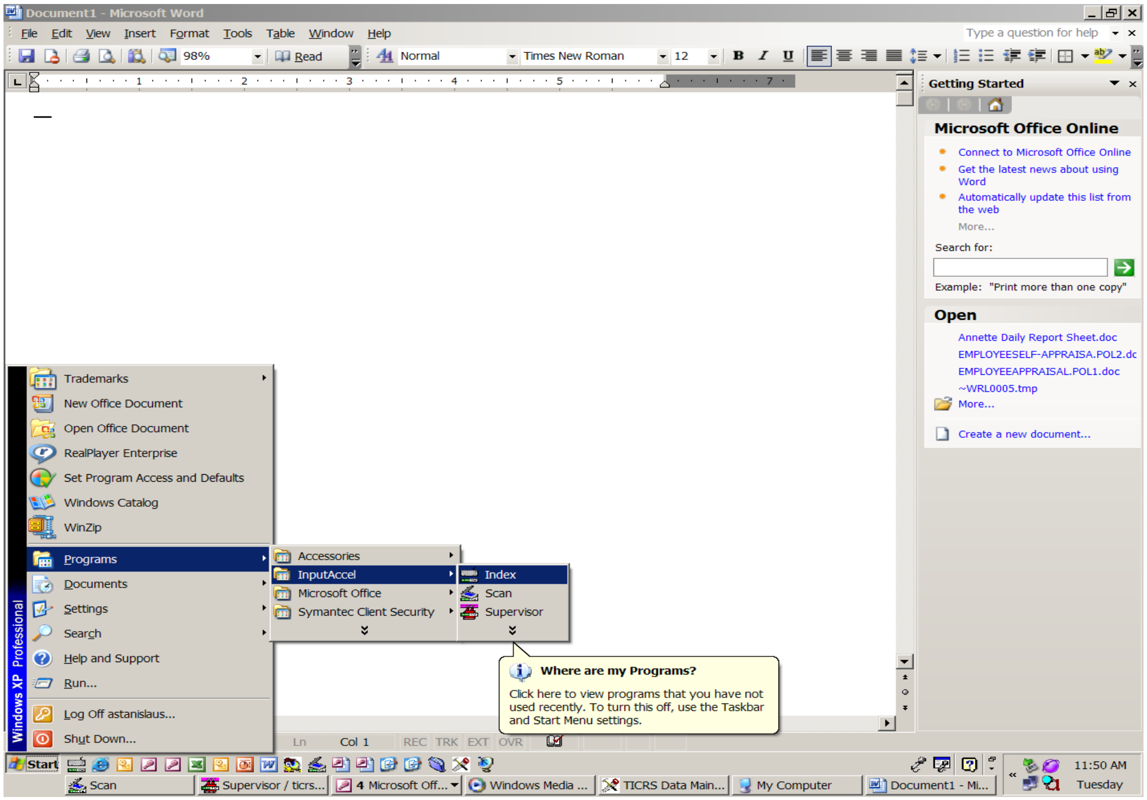


Figure 5-13: The Input Accel Index Module

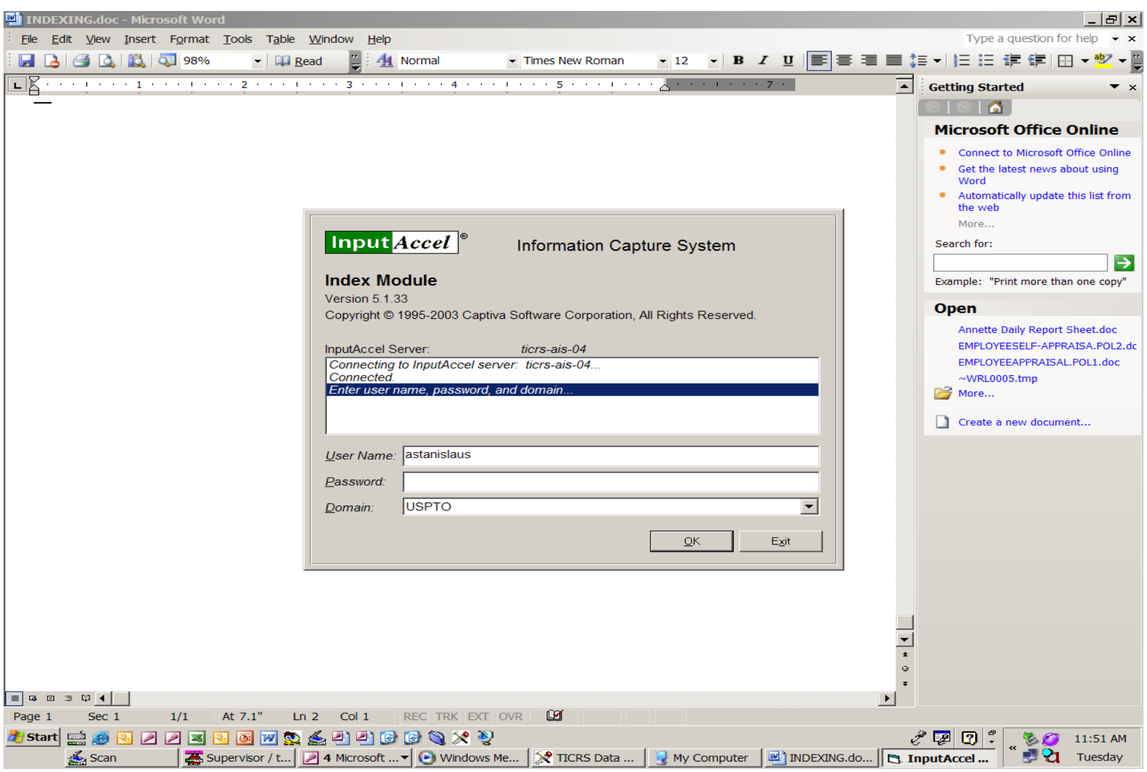
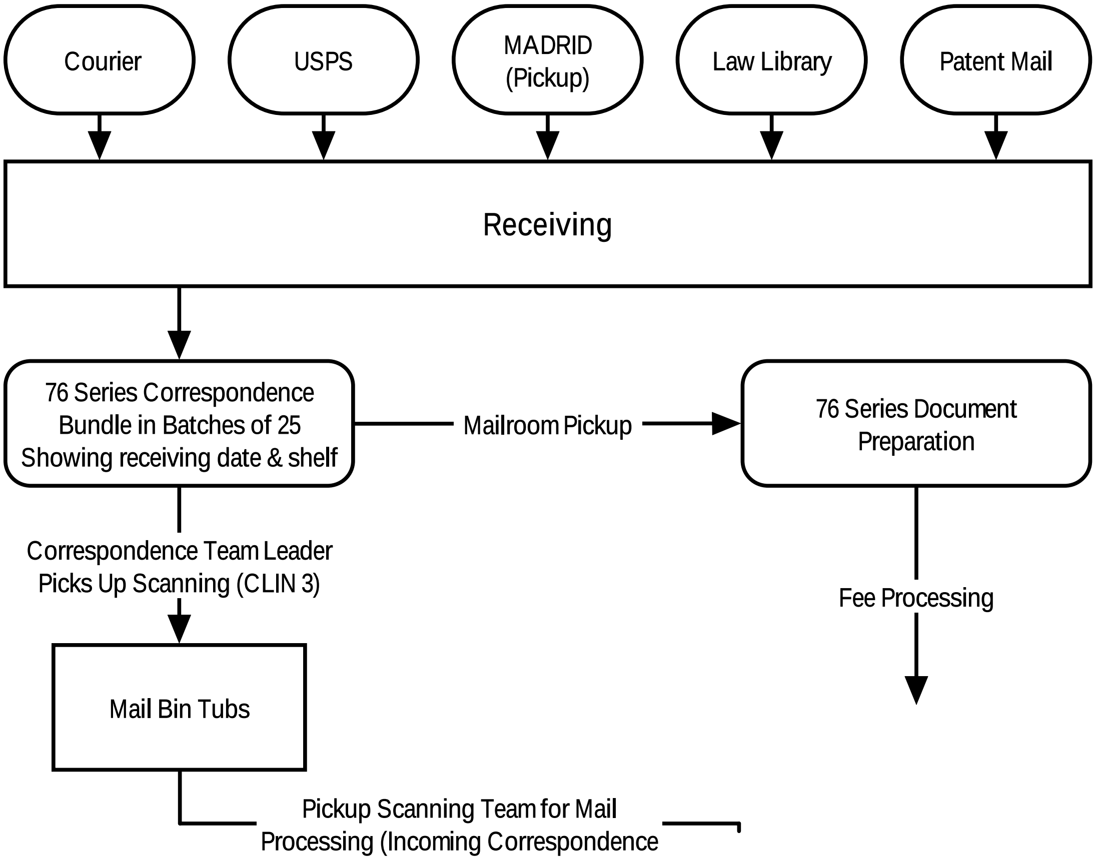


Figure 5-14: Input Accel Logon Screen

Incoming Correspondence

Incoming Mail Process



All incoming mail received should be separated in the following order: New Applications; Correspondence Fee and Non Fee; TTAB Fee and Non Fee; Old TM and Foreign Registrations; Patent Mail, Personal Mail**. Bundle wrappers and bands can be discarded. Return Patent's Mail to the mailroom for distribution.**

- After mail is separated date stamp all Post Cards,
- Remove Post Cards from the Correspondence, however keeping the Post Cards with New Applications.
- Route Correspondence Post Card to Mail Room.
- Route New Application Post Cards and Applications to Document Preparation.
- Affix Mail Date Labels to TTAB, non-scannable mail, and New Applications.
- Apply Date Stamp in area that does not cover up written words.

- If the SN/RN is not correctly formatted or does not match the MARK…. It needs to be checked, and corrected before it is scanned or sent to Fee Processing. **Make sure New Apps in whatever form have a Mail Date Stamp.**
- Remove staples and fasteners, etc. that were keeping correspondence and Specimens together and make sure dates are the same and Correspondence is in order. Remove all Tabs on Fee/Non-Fee work. Write the number of the Tab on the paper. Tape down Bulky Specimens and Photocopy those that will not scan being sure to have the Mark exposed for Scanning. Remove all Gold Prongs from Foreign Registration Certificates. Check to make sure TTAB, Fee Documents, Congressman letters, General Complaints, Old TM Registrations, etc that are not to be scanned are not in the Scanning bundles, and return non-scannable mail to Mail Room for routing.
- For Fastener Quality Act Filings, "Do Not Scan", route to Fee Processing and then route to the Commissioner's Office. Maintain count of FQA Filings Received for weekly report to COTR.
- Check back of pages for signatures. Flip through Mail to make sure Checks, Credit Cards, Deposit Forms, and Staples are not in the back or on other document pages. Attach Fee Documents (e.g. Check, Credit Card, and DA Info) in front of Correspondence to be routed to Finance for processing of fees.
- Customer Petitions that are with other filings, as Statement of Use or Extensions of Time to File, **Must not be detached from the other filings. This is a One-Doc. Type Petition and is to be routed to the Commissioners Office.** Make Copies of Transmittal Letters that have Dep. Account information.
- Make sure Correspondence is in proper order of Fee Sheet, Transmittal Letter, Document, and Power of Attorney, Declaration, Certificate of Mail and Specimen. For Return Mail, make sure the Envelope is attached to the back of the Return Mail papers. **If customer sends cash deliver file to the COTR.**
- Do not scan checks, credit card forms with CC numbers, etc, unless customer sends a copy. Forward all copies to the COTR for **redaction.**
- Copies of TTAB information, actions, and printed faxes can be scanned. Listed below are screenshots and steps to perform this function.

1. Click on “Document Category” to select the office routing information. This will enable you to make a selection for Document Type.

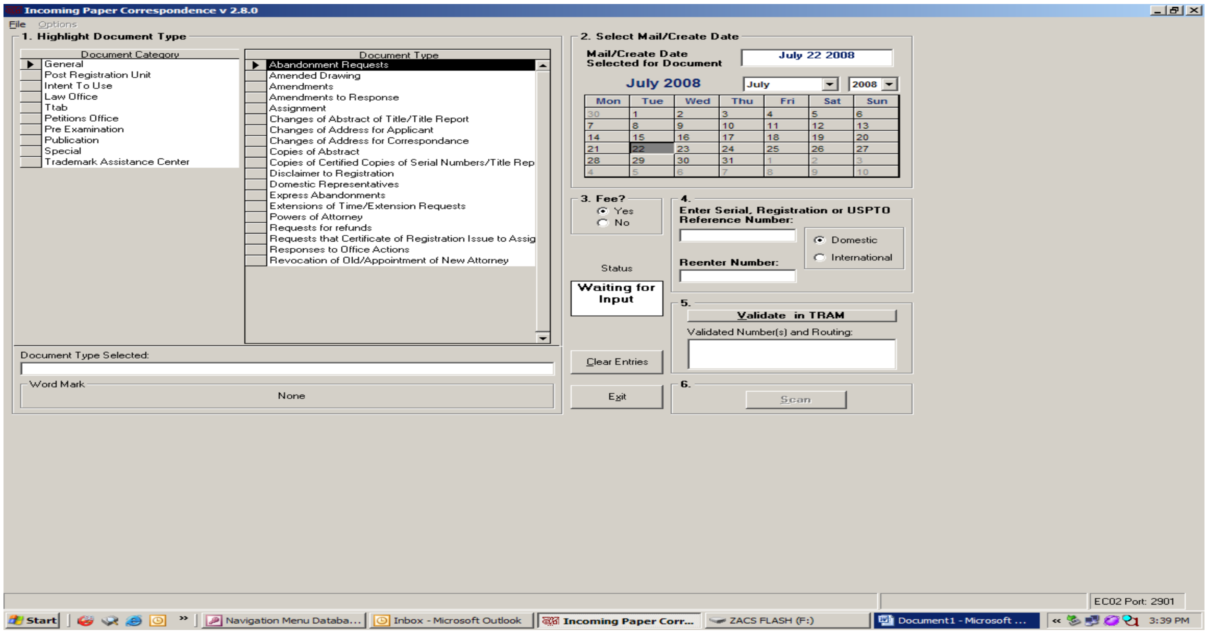


Figure 4-15: The Incoming Correspondence Document Category Screen

2. Next select “Document Type”.

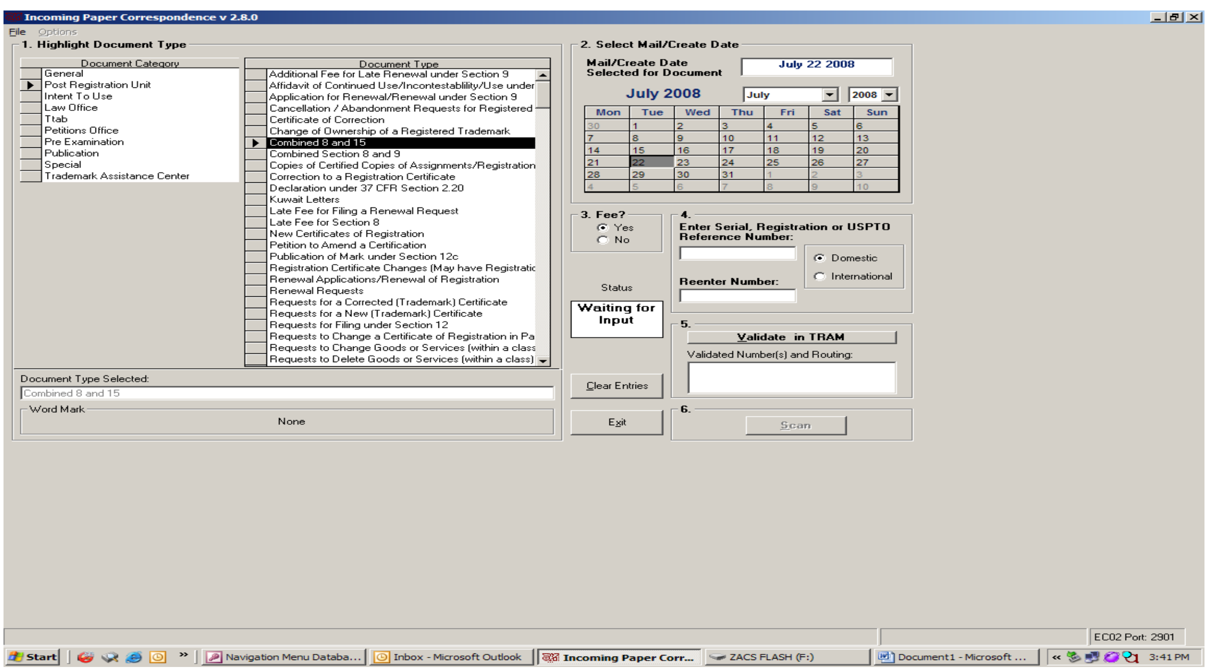


Figure 4-16: The Incoming Correspondence Document Type Screen

3. Select date. Type in serial number twice, compare Word Mark on computer screen to the Word Mark referenced on the correspondence, and ensure that the serial number is correct.

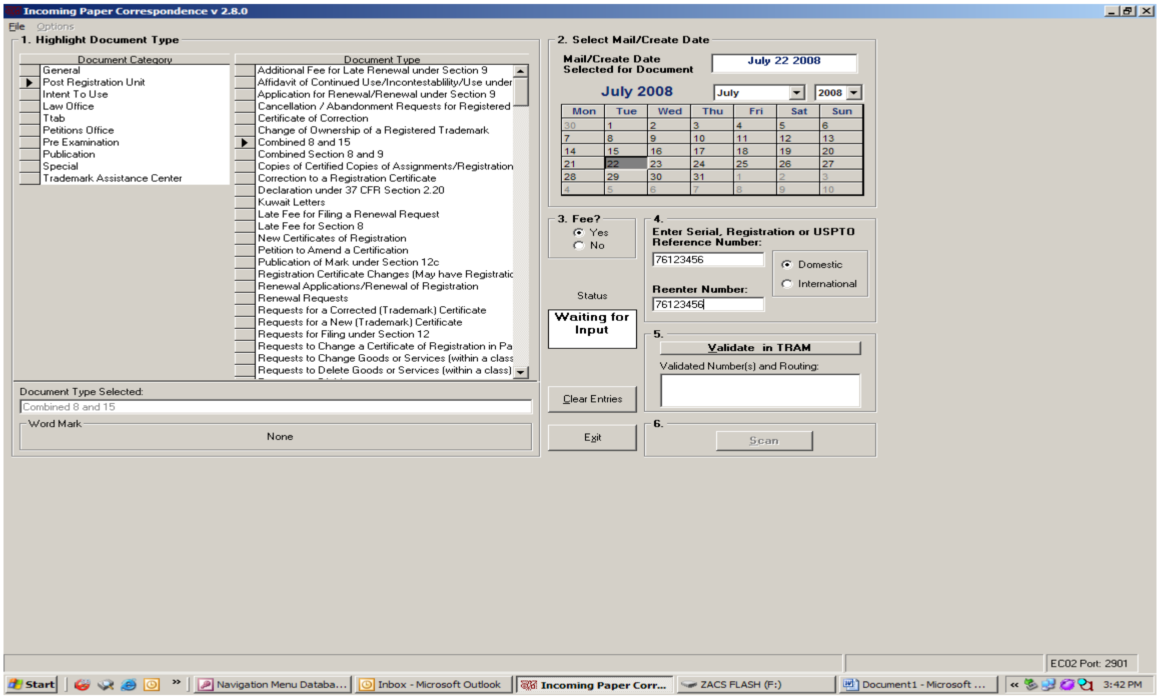


Figure 4-17: The Mail/Create date screen

4. Selection for scan document.

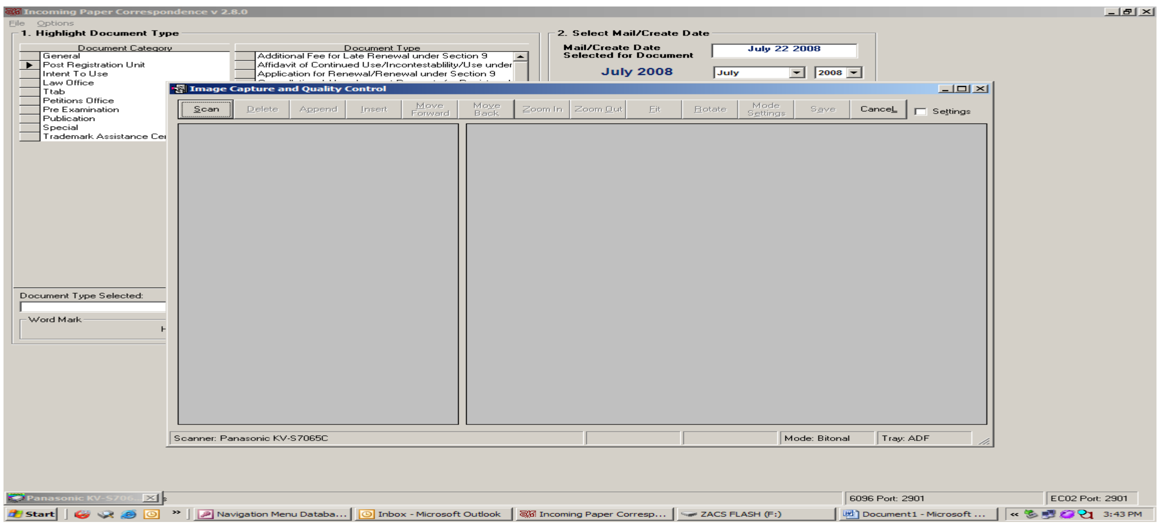


Figure 4-18: The Image Capture and Control Screen

5. Select paper sizes and image type. Ensure resolution is at 300 dpi.
   Select ADF Simplex, Color or Duplex Mode from the menu depending on document requirements and hit scan. Scan on Flat Bed if correspondence is unusual size. Photocopy the cover/back of any book, magazine, specimen that will not scan well, and scan the Table of Contents and any pages customer identifies with tab. When ITU documents contain Specimens, “Select” the Specimens icon in TICRS so the scan of the Specimens/Brochures is captured here not in the Application area. Scan all images in Upright mode.

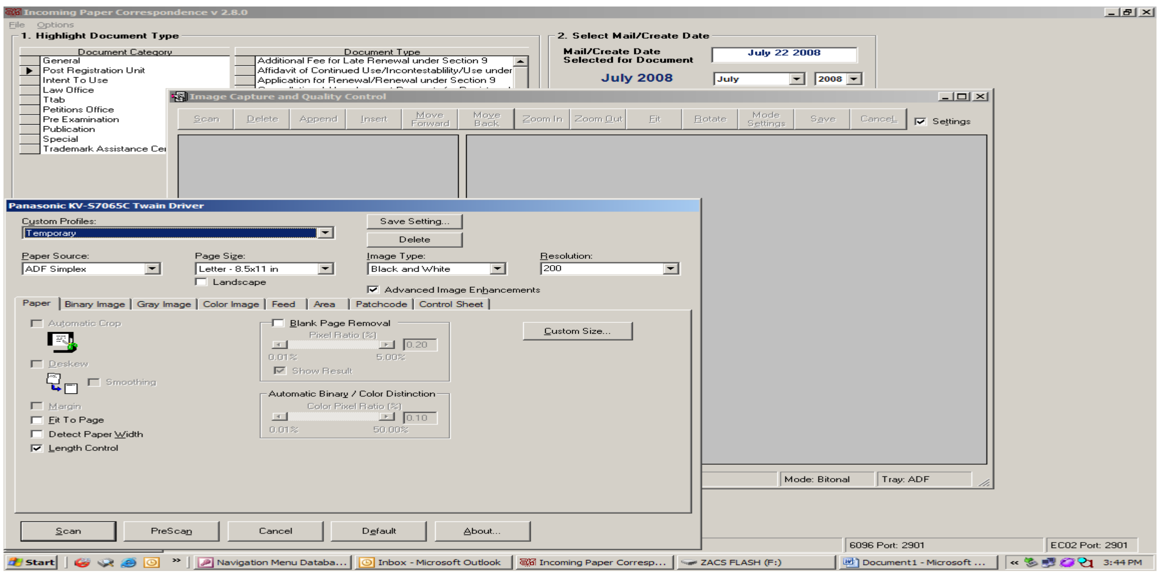


Figure 4-19: The Image and Quality Settings

Check Image QC Settings. Images must be scanned in an upright configuration. All Color Specimens must be scanned in Color using Fujitsu Scanners. If Mark is B&W but the specimen is in Color the specimen must be Color.
Do not scan more than 5-pages at a time and Press Close to clear out buffer.

Review scan thumbnails to ensure every page was scanned and scans are not skewed and upright. Rescan if image is skewed and rotate image if not upright.

7. Click on Save after reviewing final scan and number of pages. Save document, image of routing sheet will be generated and printed for forwarding. Attach printed routing sheet to the top of the correspondence.

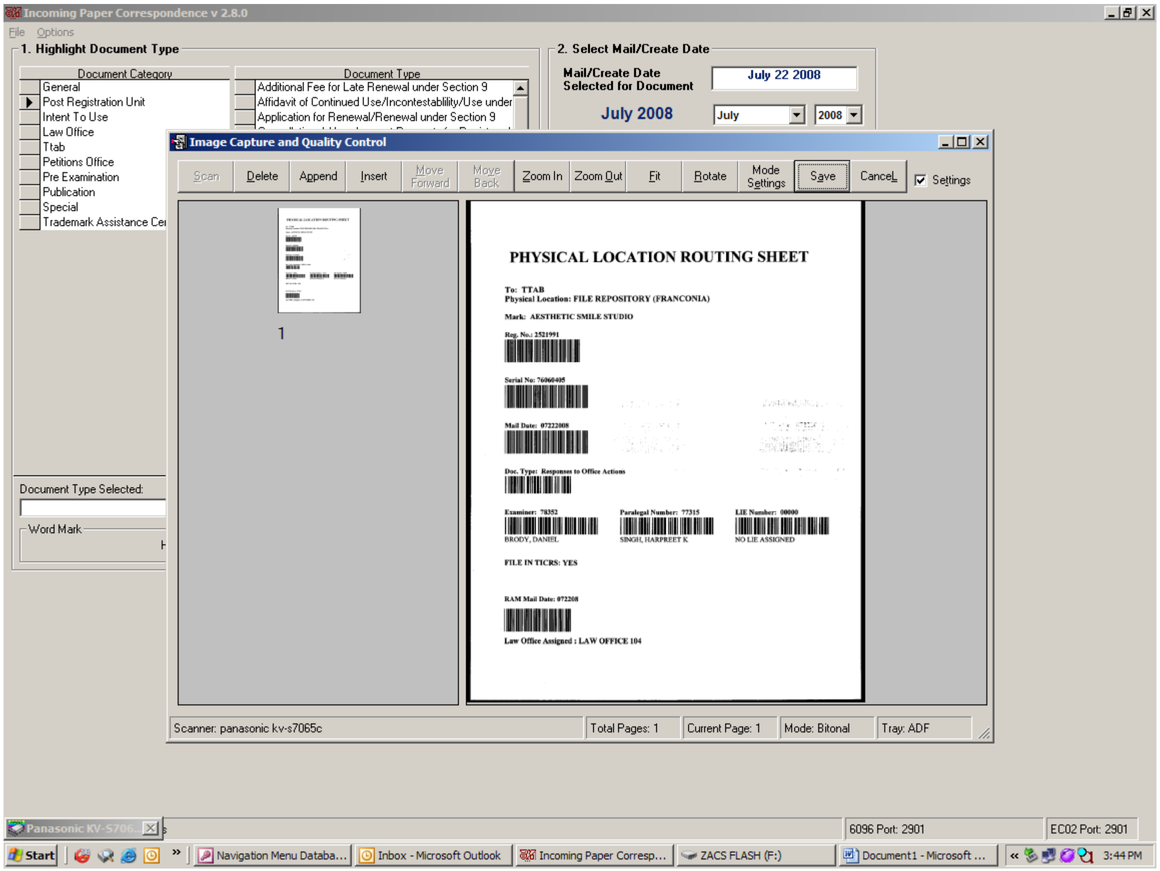


Figure 4-20: The Routing Sheet Screen

8. Physical routing sheet will be forwarded to the repository and Work unit routing sheet to the responsible unit.

Appendix A: Glossary of Terms, Acronyms and Abbreviations

76 Series Application .... One of three current series of new trademark applications, 76 series applications are new applications for the registration of trademarks in the United States submitted to the USPTO on paper (rather than electronically). 76 series applications are distinguished by their serial numbers, which begin with the number 76.

77 Series Application .... One of three current series of new trademark applications, 77 series applications are new applications for the registration of trademarks in the United States submitted to the USPTO electronically (rather than on paper). 77 series applications are distinguished by their serial numbers, which begin with the number 77.

79 Series Application .... One of three current series of new trademark applications, 79 series applications are new applications for the international registration of trademarks submitted to the USPTO electronically (rather than on paper). 79 series applications are distinguished by their serial numbers, which begin with the number 79.

Batch .... The primary unit of work in the Pre-Examination Unit composed of new trademark applications with consecutive serial numbers. Expedite processing through repeated work steps.

Certification Statement .... This data element limits the goods and services to the extent that it provides context to a certification mark.

Class .... A category of goods and services (from the International Classification of Goods and Services).

Color Location Statement .... This data element describes the parts of a mark in color that are claimed as features.

Colors Claimed Statement .... This data element describes the colors that are claimed as features of the mark.

Commerce Statement .... A statement by the owner that the mark is currently used in commerce on or in connection with at least one class of goods or services listed in the Trademark Registration, unless excusable nonuse is claimed. If excusable nonuse is claimed, the owner must show that there is no intention to abandon the mark and that nonuse is due to special circumstances beyond the owner's control.

Correspondence Information .... The contact information used to communicate with the owner of the Trademark Registration or with a person acting on the owner's behalf.

Fees .... Monies charged by the USPTO for the cost of a new application and Incoming Correspondence.

First Use Date............................ The date the mark was first used anywhere.

First Use in Commerce Date..... The date the mark was first used in some form of commerce lawfully regulated by the U.S. Congress.

First Use in Commerce in Another Form…This data element details the sworn, signed statement that an applicant submits to the USPTO to prove when the mark was first used in commerce in another form.

Goods .... Products for public or private sale.

Incoming Correspondence .... Documents associated with a trademark registration that USPTO receives from an owner, attorney, or agent.

Mark Type .... The type of mark is determined by the prime class that the mark is filed under. The mark type can be a Trademark, Collective Trademark, Service Mark, Collective Service Mark, Certification Mark, or Collective Membership Mark.

Name, Portrait, or Consent Statement Any statement that provides consent to register a mark that consists of or comprises a name, portrait or signature identifying a particular living individual, or the name, signature, or portrait of a deceased President of the United States during the life of his widow, if any.

Prosecution History .... A record of all events in an application's life cycle, beginning with the date that USPTO receives an application. Includes incoming and outgoing correspondence, proposed and completed changes, application status, and critical milestones such as publication for opposition and registration.

Pseudo Mark .... A way of locating a word mark that is comprised of an alternative or intentionally corrupted spelling of an English word. The pseudo mark search locates spellings that are very similar or phonetically equivalent to the word mark.

Routing Sheet .... A document that contains identifying information to ensure that the appropriate USPTO employees receive incoming correspondence for processing.

Services .... Exclusive activities performed to the order of, or for the benefit of, someone other than a trademark applicant.

Specimen .... A real-world example of how an applicant uses or will use a mark on goods or in the offer of services.

Standard Character Mark .... A mark consisting solely of Latin characters and Roman or Arabic numerals. The registered mark covers the word itself in any font.

Translation .... The English translation of foreign words in the mark that do not appear in an English dictionary.

Transliteration The phonetic transliteration of non-Latin characters in the mark and the English translation of the phonetic transliteration

Acronyms and Abbreviations

For USPTO Acronyms & Abbreviations:
http://www.uspto.gov/main/glossary/

An alphabetized, hyperlinked glossary of terms used on the USPTO web site.

Appendix B: Tools

Table of Acronyms

Acronym	Definition
COTR	Contracting Officer Technical Representative
LIE	Legal Instruments Examiner
OIPE	Office of Initial Patent Examination
PCTRAM	PC Trademark Reporting and Monitoring System
Pre-Exam	Pre-Examination Unit
QC	Quality Control
RAM	Revenue Accounting and Management System
TARR	Trademark Application and Registrations Retrieval
TEAS	Trademark Electronic Application System
TICRS	Trademark Image Capture and Retrieval System
TICRS DMM	Trademark Image Capture and Retrieval System Data Maintenance Module
TQR	Office of Trademark Quality and Training
TRADEUPS	Trademark Data Entry and Update System
USPTO	United States Patent and Trademark Office

System	System Description
PCTRAM	A system that enables internal users to update and monitor the history of a case.
RAM	A system that enables applicants to pay maintenance fees and maintain deposit accounts online.
TEAS	A system that allows applicants to submit, manage, and update trademark applications electronically.

TICRS	An electronic repository of images of all documents and correspondence associated with a trademark application or registration used by USPTO employees in place of physical files.
TICRS DMM	A system that enables Pre-Exam employees to request changes to electronic trademark files in TICRS.
TRADEUPS	A system that enables Pre-Exam employees to add, edit, and delete trademark application data in the USPTO's electronic file records.

Figure B-1

Appendix C Mailroom Equipment

“DM1000”

DM1000 Operating Instructions

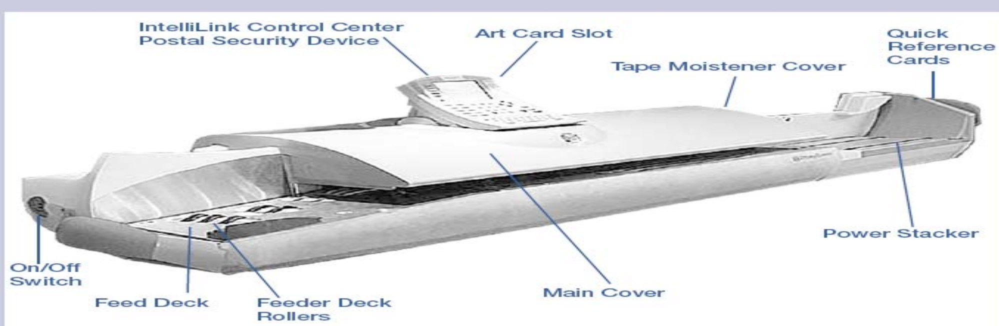
The DM1000 is an easy to use digital mailing system that’s easily customized to meet Trademarks mailing requirements. The mailroom has two DM1000’s listed as CLIENT 1 and CLIENT 2. Owners Manuals for both are maintained with each machine.

These systems will automatically:

- Fee a stack of envelopes
- Weigh envelopes, flats, and packages (up to 1 lb.)
- Applies postage directly to envelopes or to postage tapes for larger pieces of mail
- Seals envelopes with flaps open or closed
- Stacks finished pieces of mail

2 Meet the DM1000

The DM1000 Exterior Features



IntelliLink Control Center	Use the keypad to tell your system what to do. The display tells you what the system is doing and prompts you through set up operations. See page 2-10 for a complete description of all controls.
Postal Security Device	Stores postage funds and tracks postage usage and is part of the IntelliLink Control Center.
Art Card Slot	Optional customized advertisements, inscriptions and permits are furnished on art cards. Insert the art card in the slot on the side of the IntelliLink Control Center to load your option.
Tape Moistener Cover	Open this door to inspect and clean the moistener brush, or adjust for wet or dry tape.

Figure C-1

Roll Tape	The tape supply is located here. Print meter stamps on tape for pieces of mail that can't go through the system. You can also print reports on tape.
Print Engine	Contains the printer and the ink cartridge that produce the meter stamp.
Ink Cartridge	Contains ink used to produce the meter stamp.
Transport Jam Lever	Relieves tension on parts along feeder path to clear jams.
Feed Deck	Transports envelopes of mixed thicknesses through the feeder path.
Feeder Rollers	Rollers that move the mail on the transport deck into the feeder.
Thickness Adjustment Knob	Sets the system to accommodate the thickness of the envelopes you are feeding.
Light mail/Postcard Selection Knob	Applies pressure to envelopes to ensure proper sealing.
Feeder Jam Release Lever	Relieves tension on parts along feeder path to clear jams.
E-Z Seal Moistener Bottles	Hold the E-Z Seal used to seal mail and tapes.

Figure C-2

2 Meet the DM1000

The DM1000 IntelliLink Control Center

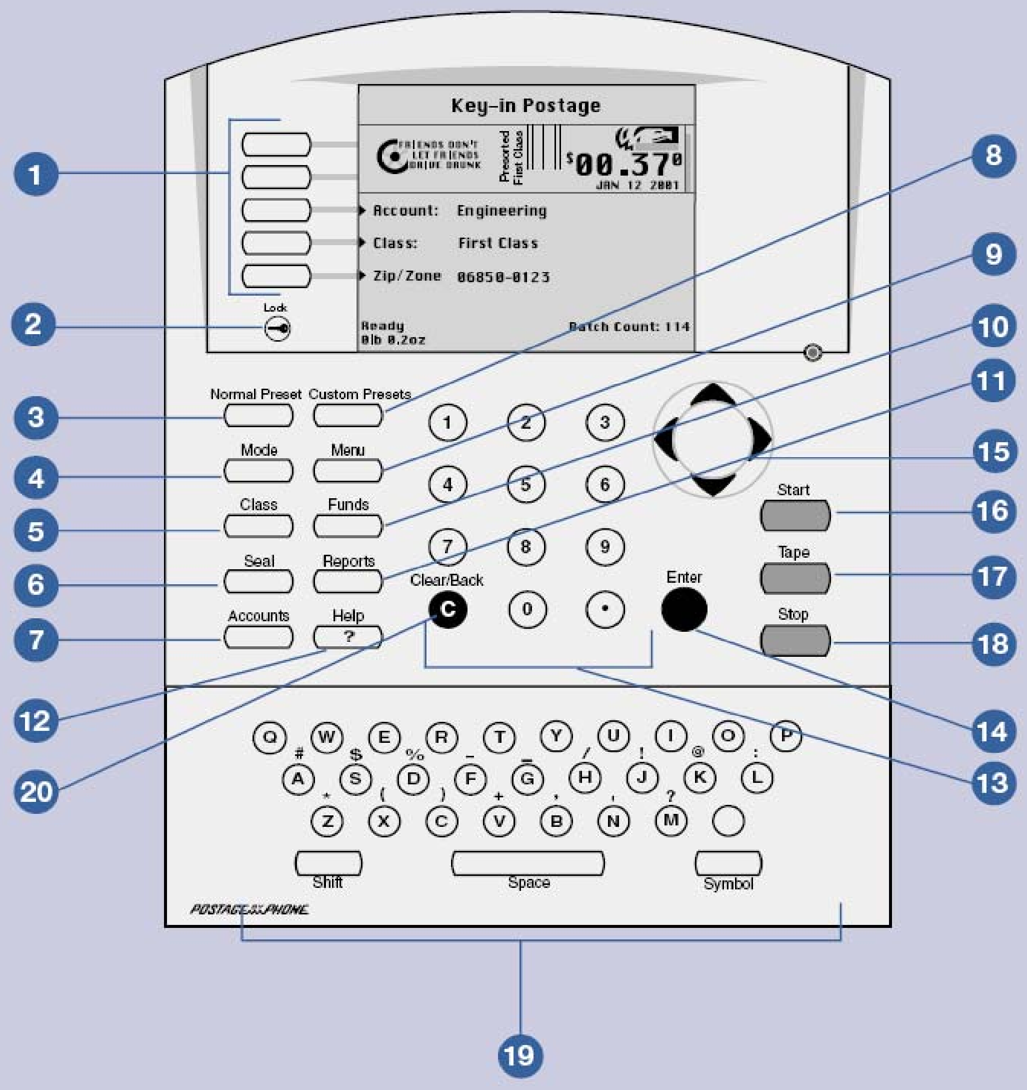
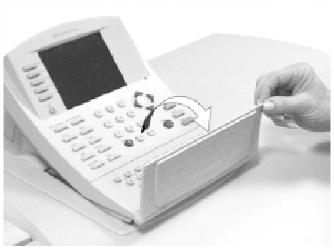


Figure C-3

1. Five Screen Keys	The five keys directly to the left of the display screen allow you to select options displayed on the screen.
2. Lock Button	Deselects the current account. If no account is selected it locks the IntelliLink Control Center.
3. Normal Preset Key	Returns you to the most commonly used setting.
4. Mode Key	Press to choose from variety of mail processing modes.
5. Class Key	Enables you to select the correct class for your mailing (for example: First Class, Priority, Media Mail.)
6. Seal Key	Allows you to choose to moisten and seal envelopes without applying postage or any printing on the piece of mail.
7. Accounts Key	Press to set up or edit accounts.
8. Custom Preset Key	Press to choose frequently used system settings for running different jobs.
9. Menu Key	Press to view the settings and options available: • Meter Stamp Options • Setup • Zero Scale • Rates Details • Multiple Tapes • Adjust Display Contrast • Confirmation Services • Maintenance • Turn Features On • Volume Control • Currency Add • Display Metric Weight

Figure C-4

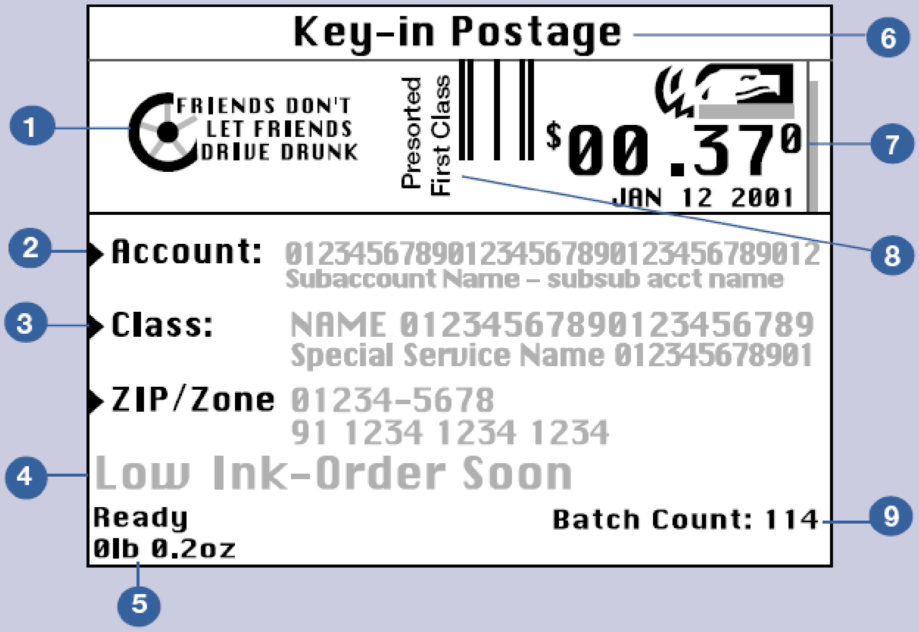
10. Funds Key	Allows you to obtain the following information: • Funds Available in PSD • Funds Used • Total pieces of mail processed by the system • Quick Refill • Other Refill Amount • Get Postage By Phone® Balance
11. Reports Key	Offers a selection of different types of reports to run.
12. Help Key	Press to get detailed information about a screen you are viewing.
13. Number Keyboard	Press numbered keys to enter postage amounts and weight.
14. Enter Key	Press to complete the entry of information you have typed using the number and alpha keys.
15. Arrow Keys	Allow you move between new menus, scroll menus, or select options.
16. Start Key	Begins processing the pieces of mail with the options you have selected.
17. Tape Key	Allows you to print postage tapes for packages and pieces of mail that are too big for processing through the mailing system.
18. Stop Key	Ends a mail or tape processing job in progress.
19. Alpha Keyboard	Use to enter accounts and other setup information. The keyboard is underneath a cover that hinges open for access. Press shift key for capital letters and the space key for inserting space when needed. The symbol key is not for use in the U.S.
20. Clear Key	Press to clear an entry, or go to the previous screen or screens.



Alpha Keyboard Fold Out Cover

Figure C-5

The Main Screen



The content of the main screen depends upon the current mode of the system. Only main screens contain a meter stamp and the main status.

1. Advertisement Display	The optional message to be printed on the envelopes or tape (if selected).
2. Account	The account name to which postage is charged.
3. Class	The currently selected class of the piece of mail.
4. Main Status Area	Displays important information such as warnings.
5. Weight Display Area	Displays the weight of the piece of mail.
6. Mode	The mode in which the piece of mail will be processed or what the next required action will be.
7. Meter Stamp	The official USPS stamp with postage printed on an envelope or tape.
8. Inscription	Optional postal message regarding class or special services.
9. Batch Count	The number of pieces of mail run in a job.

Figure C-6

For Sales, Service and Supplies

Sales: (800) 322-8000

Service: (800)888-0286

Supplies: (800) 243-7824

Website: www.pb.com

Note: All sales and or supplies must be directed through the COTR.

DI 950 Operating Instructions

The DI950's are high throughput, mail creation systems designed to handle a broad range of applications with minimum operator setup adjustments.
These systems have the ability to feed, fold, and insert mail piece components into an outer envelope. The systems generate Letters of Flats as the final mail piece.
Listed below are basic guidelines in getting to know your machine. A User's manual is available and should be maintained with the machine at all times.

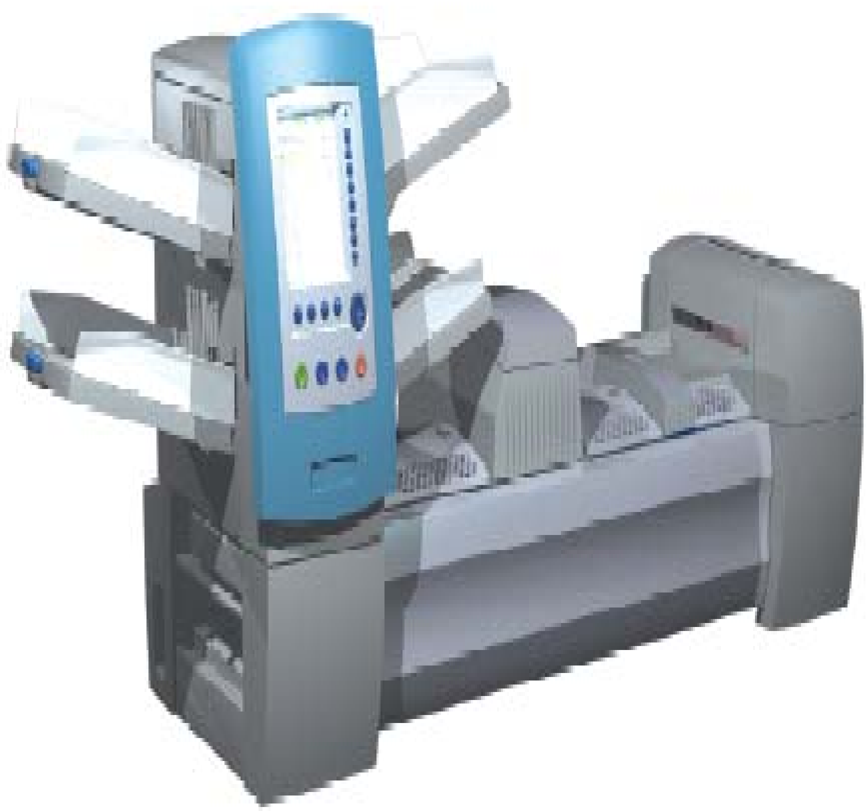


Figure C-8

System Components

The base system configuration includes a Feeder Tower, Transport Deck, and Envelope Sealer; the DI950 features an additional integrated High Capacity Envelope Feeder. Additional modules can be added to utilize the full potential of the system.

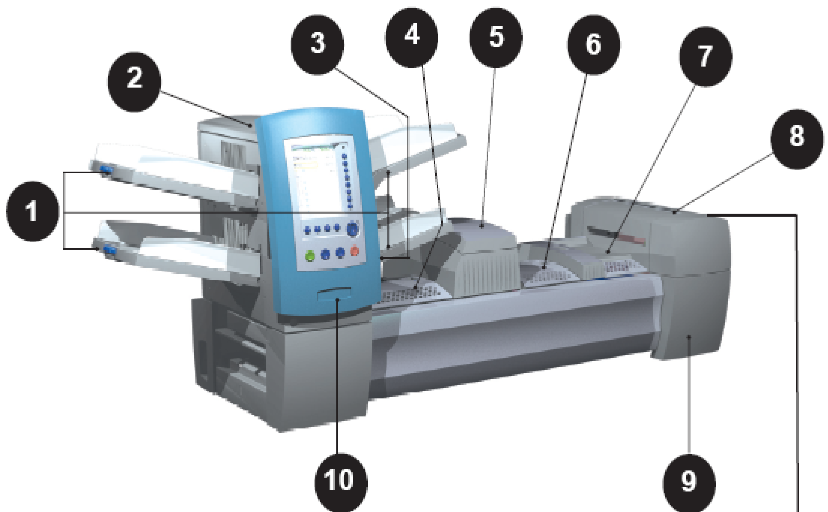
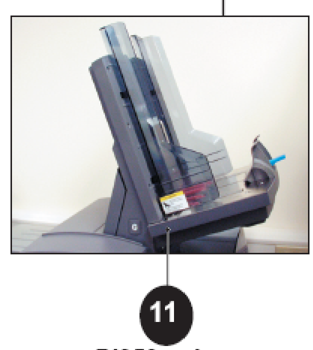


Figure 2.1: The DI900 System



DI950 only

1 **Feeder Tower Trays** - feed sheets or inserts to the Feeder Tower.

> **NOTE:** If enabled, the lower left Tray is assigned with the letter "A" on the Mail Piece Icon Tree. When a High Capacity Envelope Feeder is not part of the system configuration, this Tray is the primary Tray for feeding envelopes designated for a given job.

2 **Feeder Tower** - is a two-sided Tray holder/material feeder.

Figure C-9

System Components (continued)

3 **Manual Feeder** - allows you to manually feed stapled or unstapled sets of up to 5 sheets of 20 lb (80gsm) paper. The machine waits for each set to be manually fed before folding and inserting the set automatically into the envelope. The Manual Feed option is available during job creation. Inserts and/or Sheets from other Trays can also be added to the job.

4 **Pre-fold Accumulator** - is a staging area for the material that needs to be collated together and then sent to the Folder unit.

5 **Folder** - applies one of the available fold types to Sheets.

6 **Post-fold Accumulator** - is a staging area for the folded Sheets to meet any inserts that are to be included.

7 **Insertion Area** - is the part of the transport where the collation intended for a single addressee is inserted into an outer envelope.

8 **Moistener, Closer, Sealer** - Brushes sweep across the envelope flap to wet the glued area of the flap. The envelope then moves through the Closer and Sealer areas of the unit to complete the mail piece.

9 **Sealing Solution Bottle** - is located inside an opening cover at the front right side of the machine. It provides sealing solution to the envelope sealing system.

10 **Control Panel -** allows you to run the machine and configure job settings. It also displays the machine status and shows loading instructions and details of the job. See the following pages for more information on the controls and screen.

11 **High Capacity Envelope Feeder (DI950 only)** - holds at least 500 letter-sized envelopes. It feeds directly to the Insertion Area.

Drop Stacker (available on all units, not illustrated) or Power Stacker (Optional, not illustrated) - collects and neatly stacks the finished mail pieces that exit the system. The drop stacker can be unlatched from the system when it is not needed. The power stacker is mounted to the system.

Figure C-10

2 • Meet the Inserting System

Insert Trays

Insert Trays feed items that do not need folding (envelopes, cards, booklets, slips and pre-folded media) into the system. Insert Trays have a weighted sliding mechanism known as a Sled that keeps pressure on the material for proper feeding.

Insert Trays have two sets of maximum fill lines: one set for slips, and a second set for envelopes.

Figure 2.3.2: Insert Tray

Figure C-11

Transport Deck

The Transport Deck accepts material from the Feeder Tower and moves it through the various modules to produce a finished mail piece. The Standard Transport Deck consists of the following:

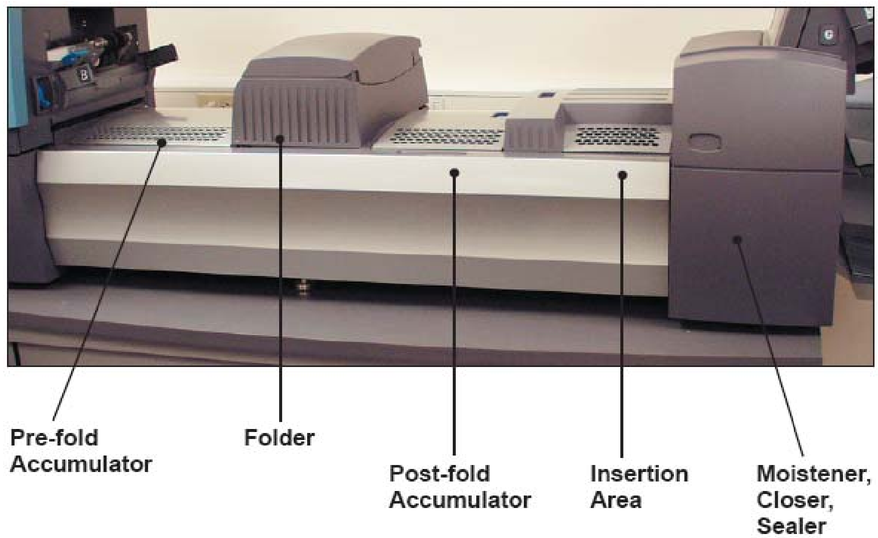


Figure 2.5: Transport Deck

Mail Piece Path

Material from the Feeder Trays comes down the Feeder Tower in a pre-defined order. Material moves rapidly from one station to the next in the Transport Deck to produce a finished mail piece that is dropped into a stacking bin or onto an optional high capacity output stacker. A brief description of the function of each module in the paper path is presented next.

Pre-fold Accumulator

The Pre-fold Accumulator is the first stop in the paper path. The Pre-fold Accumulator is a stacking place for the material that needs to be collated and folded. When the appropriate components for one mail piece finish collating on the Pre-fold Accumulator, they move into the Folder.

Figure C-12