Inventor’s Oath or Declaration Examples Featuring “Best Practices” in Use of Inventor’s Oath or Declaration Forms

The Office is providing four examples to aid applicants in determining which inventor’s oath or declaration forms must be submitted to the agency for an application filed after September 16, 2012 (the effective date of the inventor’s oath or declaration provision of the America Invents Act (AIA)). Each example sets forth a hypothetical fact pattern followed by (i) the Office’s recommendation of the inventor’s oath or declaration and other related forms to be filed; and (ii) the recommended forms filled out to reflect the hypothetical facts.

The Office’s recommendation is intended to reflect what the Office views to be a “best practice” for compliance in each example. Notably though, the inventor’s oath or declaration provision of the AIA was intended to give flexibility to inventor’s when filing oaths or declarations with the Office. There are other form options for an applicant to file and still comply with the inventor’s oath or declaration provision of the AIA. Thus, the Office’s recommendation reflects one way to satisfy the inventor’s oath or declaration requirements of the AIA—what the Office views to be the best way—but other equally compliant ways exist as well.

Overview of Examples

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<thead>
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<th>Example</th>
<th>Topic</th>
<th>Recommended Forms</th>
</tr>
</thead>
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<tr>
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<td>Inventor’s Oath or Declaration Form Number</td>
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<tr>
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<td>Inventors as Applicants</td>
<td>AIA/01</td>
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<tr>
<td>2</td>
<td>Inventors as Applicants with Substitute Statements Needed</td>
<td>AIA/01, AIA/02</td>
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<td>3</td>
<td>Corporate Assignee as Applicant</td>
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<td>Corporate Assignee as Application with Substitute Statements Needed</td>
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</tbody>
</table>
Example 1

Inventors as Applicants

FACTS:

Inventors: Adam Smith, Matthew Jones, and Meryl Brown

Applicant: Inventors (Adam Smith, Matthew Jones, and Meryl Brown)

Is a patent practitioner representing the Applicant? No, the inventors are prosecuting the application pro se (i.e., without a registered patent practitioner).

RECOMMENDED INVENTOR’S OATH/DECLARATION FORMS:

Inventor’s Oath or Declaration

Submit Form AIA/01 (Declaration for Utility or Design Application Using an Application Data Sheet (37 CFR 1.76)) for each inventor (i.e., three forms total). The three declaration forms may be submitted with the application (recommended to avoid payment of a surcharge) or may be submitted together or serially during prosecution until required by the USPTO.

Application Data Sheet (Form AIA/14)

- In the Inventor Information section, print or type the legal name, residence, and mailing address of all three inventors.

- In the Applicant Information section, leave blank as stated in the form. (If the Applicant Information section is left blank, the inventors are considered the applicant by the USPTO.)

- In the Signature section, have all three inventors sign the ADS, unless all three are giving power of attorney to one or more of them (Form AIA/81, entitled Power of Attorney to One or More of the Joint Inventors and Change of Correspondence Address). If power is given, the inventor(s) with power can sign the ADS on behalf of all of the inventors.
**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

<table>
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<tr>
<th>Title of Invention</th>
<th>Widget</th>
</tr>
</thead>
</table>

As the below named inventor, I hereby declare that:

This declaration is directed to:  
- The attached application, or  
- United States application or PCT international application number ____________________  
  filed on _________________.

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

**WARNING:**

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

**LEGAL NAME OF INVENTOR**

Inventor: Adam Smith  
Signature: /Adam Smith/  
Date (Optional): 12/10/12

Note: An application data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have been previously filed. Use an additional PTO/AIA/01 form for each additional inventor.
Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.
DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

Title of Invention: Widget

As the below named inventor, I hereby declare that:

This declaration is directed to: □ The attached application, or
□ United States application or PCT international application number ___________________
fileno ___________________

The above-identified application was made or authorized to be made by me.

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LEGAL NAME OF INVENTOR

Inventor: Matthew Jones
Signature: /Matthew Jones/
Date (Optional): 12/04/12

Note: An application data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have been previously filed. Use an additional PTO/AIA/01 form for each additional inventor.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PT0-9199 and select option 2.
Privacy Act Statement

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DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

Title of Invention Widget

As the below named inventor, I hereby declare that:

This declaration is directed to: ☐ The attached application, or
☐ United States application or PCT international application number ___________________________

filed on ___________________________

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LEGAL NAME OF INVENTOR

Inventor: Meryl Brown Date (Optional): 12/07/12
Signature: /Meryl Brown/

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### Title of Invention

Widget

The application data sheet is part of the provisional or nonprovisional application for which it is being submitted. The following form contains the bibliographic data arranged in a format specified by the United States Patent and Trademark Office as outlined in 37 CFR 1.76. This document may be completed electronically and submitted to the Office in electronic format using the Electronic Filing System (EFS) or the document may be printed and included in a paper filed application.

### Secrecy Order 37 CFR 5.2

Portions or all of the application associated with this Application Data Sheet may fall under a Secrecy Order pursuant to 37 CFR 5.2 (Paper filers only. Applications that fall under Secrecy Order may not be filed electronically.)

### Inventor Information:

#### Inventor 1

<table>
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<th>Prefix</th>
<th>Given Name</th>
<th>Middle Name</th>
<th>Family Name</th>
<th>Suffix</th>
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</thead>
<tbody>
<tr>
<td>Mr.</td>
<td>Adam</td>
<td></td>
<td>Smith</td>
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</tr>
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#### Residence Information (Select One)

- US Residency
- Non US Residency
- Active US Military Service

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<td>Anytown</td>
<td>VA</td>
<td>US</td>
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#### Mailing Address of Inventor:

**Address 1**

123 Main Street

**Address 2**

<table>
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<th>City</th>
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#### Inventor 2

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<tbody>
<tr>
<td>Mr.</td>
<td>Matthew</td>
<td></td>
<td>Jones</td>
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#### Residence Information (Select One)

- US Residency
- Non US Residency
- Active US Military Service

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</table>

#### Mailing Address of Inventor:

**Address 1**

123 Oak Street

**Address 2**

<table>
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<tr>
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#### Inventor 3

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<tbody>
<tr>
<td>Mrs.</td>
<td>Meryl</td>
<td></td>
<td>Brown</td>
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#### Residence Information (Select One)

- US Residency
- Non US Residency
- Active US Military Service
## Application Data Sheet 37 CFR 1.76

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<tr>
<td>Address 1</td>
<td>345 Elm Street</td>
</tr>
<tr>
<td>Address 2</td>
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</tr>
</tbody>
</table>

All Inventors Must Be Listed - Additional Inventor Information blocks may be generated within this form by selecting the Add button.

### Correspondence Information:

Enter either Customer Number or complete the Correspondence Information section below. For further information see 37 CFR 1.33(a).

- An Address is being provided for the correspondence Information of this application.

<table>
<thead>
<tr>
<th>Name 1</th>
<th>Adam Smith</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address 1</td>
<td>123 Main Street</td>
</tr>
<tr>
<td>Address 2</td>
<td></td>
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<tr>
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<tr>
<td>Country</td>
<td>US</td>
</tr>
<tr>
<td>Phone Number</td>
<td>(571) 555-1212</td>
</tr>
<tr>
<td>Email Address</td>
<td><a href="mailto:asmith@email.gov">asmith@email.gov</a></td>
</tr>
</tbody>
</table>

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</tr>
</tbody>
</table>

### Publication Information:

- Request Early Publication (Fee required at time of Request 37 CFR 1.219)

**Request Not to Publish.** I hereby request that the attached application not be published under 35 U.S.C. 122(b) and certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.
### Application Data Sheet 37 CFR 1.76

<table>
<thead>
<tr>
<th>Attorney Docket Number</th>
<th>Application Number</th>
</tr>
</thead>
</table>

#### Title of Invention

**Widget**

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### Representative Information:

Representative information should be provided for all practitioners having a power of attorney in the application. Providing this information in the Application Data Sheet does not constitute a power of attorney in the application (see 37 CFR 1.32). Either enter Customer Number or complete the Representative Name section below. If both sections are completed the customer Number will be used for the Representative Information during processing.

<table>
<thead>
<tr>
<th>Please Select One:</th>
<th>Customer Number</th>
<th>US Patent Practitioner</th>
<th>Limited Recognition (37 CFR 11.9)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customer Number</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Domestic Benefit/National Stage Information:

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, or 365(c) or indicate National Stage entry from a PCT application. Providing this information in the application data sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78.

<table>
<thead>
<tr>
<th>Prior Application Status</th>
<th>Remove</th>
<th>Application Number</th>
<th>Continuity Type</th>
<th>Prior Application Number</th>
<th>Filing Date (YYYY-MM-DD)</th>
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</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

**Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the Add button.**

### Foreign Priority Information:

This section allows for the applicant to claim benefit of foreign priority and to identify any prior foreign application for which priority is not claimed. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55(a).

<table>
<thead>
<tr>
<th>Application Number</th>
<th>Country1</th>
<th>Filing Date (YYYY-MM-DD)</th>
<th>Priority Claimed</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
</tr>
</tbody>
</table>

**Additional Foreign Priority Data may be generated within this form by selecting the Add button.**

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### Authorization to Permit Access:

- **Authorization to Permit Access to the Instant Application by the Participating Offices**
## Application Data Sheet 37 CFR 1.76

**Title of Invention**: Widget

If checked, the undersigned hereby grants the USPTO authority to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the instant patent application is filed access to the instant patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the instant patent application is filed to have access to the instant patent application.

In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the instant patent application with respect to: 1) the instant patent application-as-filed; 2) any foreign application to which the instant patent application claims priority under 35 U.S.C. 119(a)-(d) if a copy of the foreign application that satisfies the certified copy requirement of 37 CFR 1.55 has been filed in the instant patent application; and 3) any U.S. application-as-filed from which benefit is sought in the instant patent application.

In accordance with 37 CFR 1.14(c), access may be provided to information concerning the date of filing this Authorization.

## Applicant Information:

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

### Applicant

If the applicant is the inventor (or the remaining joint inventor or inventors under 37 CFR 1.45), this section should not be completed. The information to be provided in this section is the name and address of the legal representative who is the applicant under 37 CFR 1.43; or the name and address of the assignee, person to whom the inventor is under an obligation to assign the invention, or person who otherwise shows sufficient proprietary interest in the matter who is the applicant under 37 CFR 1.46. If the applicant is an assignee under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest) together with one or more joint inventors, then the joint inventor or inventors who are also the applicant should be identified in this section.

- **Assignee**
- **Legal Representative under 35 U.S.C. 117**
- **Joint Inventor**

### If applicant is the legal representative, indicate the authority to file the patent application, the inventor is:

**Name of the Deceased or Legally Incapacitated Inventor**: [ ]

If the Applicant is an Organization check here: [ ]

### Prefix | Given Name | Middle Name | Family Name | Suffix
--- | --- | --- | --- | ---

Application Data Sheet 37 CFR 1.76

<table>
<thead>
<tr>
<th>Title of Invention</th>
<th>Widget</th>
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</table>

### Mailing Address Information:

<table>
<thead>
<tr>
<th>Address 1</th>
<th>Address 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>City</td>
<td>State/Province</td>
</tr>
<tr>
<td>Country</td>
<td>Postal Code</td>
</tr>
<tr>
<td>Phone Number</td>
<td>Fax Number</td>
</tr>
<tr>
<td>Email Address</td>
<td></td>
</tr>
</tbody>
</table>

Additional Applicant Data may be generated within this form by selecting the Add button.

### Non-Applicant Assignee Information:

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

<table>
<thead>
<tr>
<th>Assignee 1</th>
</tr>
</thead>
</table>

Complete this section only if non-applicant assignee information is desired to be included on the patent application publication in accordance with 37 CFR 1.215(b). Do not include in this section an applicant under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest), as the patent application publication will include the name of the applicant(s).

If the Assignee is an Organization check here.

<table>
<thead>
<tr>
<th>Prefix</th>
<th>Given Name</th>
<th>Middle Name</th>
<th>Family Name</th>
<th>Suffix</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td>Fax Number</td>
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Additional Assignee Data may be generated within this form by selecting the Add button.
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</table>

**Signature:**

**NOTE:** This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications.

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date (YYYY-MM-DD)</th>
<th>Registration Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>/Adam Smith/</td>
<td>2012-13-12</td>
<td></td>
</tr>
</tbody>
</table>

First Name | Last Name
------------|-----------
Adam        | Smith

Additional Signature may be generated within this form by selecting the Add button.

This collection of information is required by 37 CFR 1.76. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 23 minutes to complete, including gathering, preparing, and submitting the completed application data sheet form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.
Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.

2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).

5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.

6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.

9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.
Example 2

Inventors as Applicants with Substitute Statements Needed

FACTS:

Inventors: Adam Smith, Mary Williams, and Hiram Stein. Mary Williams is deceased. Hiram Stein does not want to file a patent application for the invention and has refused to sign an oath or declaration.

Applicant: Inventor Adam Smith and John Williams, the legal representative for Mary Williams

Is a patent practitioner representing the Applicant? No, the inventors are prosecuting the application pro se (without a registered patent practitioner).

RECOMMENDED INVENTOR’S OATH/DECLARATION FORMS:

Inventor’s Oath or Declaration

- Submit one Form AIA/01 (Declaration for Utility or Design Application Using an Application Data Sheet (37 CFR 1.76)) identifying and signed by Adam Smith.

- Submit one Form AIA/02 (Substitute Statement in Lieu of an Oath or Declaration for Utility or Design Patent Application (35 U.S.C. 115(d) and 37 CFR 1.64)) signed by Adam Smith on behalf of non-signing inventor Hiram Stein. Since an ADS is being submitted, it is not necessary to list the residences and mailing addresses for Hiram Stein or Adam Smith.

- Submit one Form AIA/02 (Substitute Statement in Lieu of an Oath or Declaration for Utility or Design Patent Application (35 U.S.C. 115(d) and 37 CFR 1.64)) signed by John Williams on behalf of deceased inventor Mary Williams. Since an ADS is being submitted, it is not necessary to list the residence and mailing address for John Williams. (Note: The residence and mailing address are not required for Mary Williams since she is deceased.)

The AIA/01 and AIA/02 forms may be submitted with the application (recommended to avoid payment of a surcharge) or may be submitted together or serially during prosecution until required by the USPTO.
ADS (Form AIA/14)

- In the Inventor Information section, print or type the legal name for all three inventors, and residence and mailing address for Adam Smith and Hiram Stein. (Note: The residence and mailing address are not required for Mary Williams since she is deceased.)

- In the Applicant Information section:
  - Inventor Adam Smith and legal representative John Williams should be listed.
  - Mary Williams is not considered an applicant because she is deceased, and therefore her legal representative John Williams is an applicant party.
  - Hiram Stein is not an applicant because he does not want to file the patent application or sign an oath or declaration.

- Adam Smith and John Williams must sign the ADS, unless both give power of attorney to one to sign correspondence on behalf of both parties (PTO Form AIA/8, entitled Power of Attorney to One or More of the Joint Inventors and Change of Correspondence Address).
**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

<table>
<thead>
<tr>
<th>Title of Invention</th>
<th>Semiconductor</th>
</tr>
</thead>
</table>

As the below named inventor, I hereby declare that:

This declaration is directed to:  
☐ The attached application, or  
☐ United States application or PCT international application number ____________________  
   filed on ____________________

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

**WARNING:**

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

**LEGAL NAME OF INVENTOR**

Inventor: Adam Smith
Signature: /Adam Smith/
Date (Optional): __________

Note: An application data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have been previously filed. Use an additional PTO/AIA/01 form for each additional inventor.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS: SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.
Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.
SUBSTITUTE STATEMENT IN LIEU OF AN OATH OR DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (35 U.S.C. 115(d) AND 37 CFR 1.64)

Title of Invention: Semiconductor

This statement is directed to:

☐ The attached application,

OR

☐ United States application or PCT international application number ____________ filed on ____________.

LEGAL NAME of inventor to whom this substitute statement applies:

(E.g., Given Name (first and middle (if any)) and Family Name or Surname)

Mary Williams

Residence (except for a deceased or legally incapacitated inventor):

City __________________ State ________________ Country ________________

Mailing Address (except for a deceased or legally incapacitated inventor):

City __________________ State ________________ Zip ________________ Country ________________

I believe the above-named inventor or joint inventor to be the original inventor or an original joint inventor of a claimed invention in the application.

The above-identified application was made or authorized to be made by me.

I hereby acknowledge that any willful false statement made in this statement is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

Relationship to the inventor to whom this substitute statement applies:

☐ Legal Representative (for deceased or legally incapacitated inventor only),

☐ Assignee,

☐ Person to whom the inventor is under an obligation to assign,

☐ Person who otherwise shows a sufficient proprietary interest in the matter (petition under 37 CFR 1.46 is required), or

☐ Joint Inventor.
Circumstances permitting execution of this substitute statement:

- [ ] Inventor is deceased,
- [ ] Inventor is under legal incapacity,
- [ ] Inventor cannot be found or reached after diligent effort, or
- [ ] Inventor has refused to execute the oath or declaration under 37 CFR 1.63.

If there are joint inventors, please check the appropriate box below:

- [ ] An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) naming the entire inventive entity has been or is currently submitted.

OR

- [ ] An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) has not been submitted. Thus, a Substitute Statement Supplemental Sheet (PTO/AIA/11 or equivalent) naming the entire inventive entity and providing inventor information is attached. See 37 CFR 1.64(b).

**WARNING:**

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

**PERSON EXECUTING THIS SUBSTITUTE STATEMENT:**

<table>
<thead>
<tr>
<th>Name</th>
<th>John Williams</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date (Optional)</td>
<td>12/03/12</td>
</tr>
<tr>
<td>Signature</td>
<td>/John Williams/</td>
</tr>
</tbody>
</table>

Residence (unless provided in an application data sheet, PTO/AIA/14 or equivalent):

| City | State | Country |

Mailing Address (unless provided in an application data sheet, PTO/AIA/14 or equivalent):

| City | State | Zip | Country |

Note: Use an additional PTO/AIA/02 form for each inventor who is deceased, legally incapacitated, cannot be found or reached after diligent effort, or has refused to execute the oath or declaration under 37 CFR 1.63.
Privacy Act Statement

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This statement is directed to:
- [ ] The attached application,
- OR
- [ ] United States application or PCT international application number _______________ filed on _______________.

LEGAL NAME of inventor to whom this substitute statement applies:
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)

Hiram Stein

Residence (except for a deceased or legally incapacitated inventor):

City: __________________ State: __________ Country: __________

Mailing Address (except for a deceased or legally incapacitated inventor):

City: __________________ State: __________ Zip: __________ Country: __________

I believe the above-named inventor or joint inventor to be the original inventor or an original joint inventor of a claimed invention in the application.

The above-identified application was made or authorized to be made by me.

I hereby acknowledge that any willful false statement made in this statement is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

Relationship to the inventor to whom this substitute statement applies:

- [ ] Legal Representative (for deceased or legally incapacitated inventor only),
- [ ] Assignee,
- [ ] Person to whom the inventor is under an obligation to assign,
- [ ] Person who otherwise shows a sufficient proprietary interest in the matter (petition under 37 CFR 1.46 is required), or
- [ ] Joint Inventor.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.
Circumstances permitting execution of this substitute statement:

- [ ] Inventor is deceased,
- [ ] Inventor is under legal incapacity,
- [ ] Inventor cannot be found or reached after diligent effort, or
- [x] Inventor has refused to execute the oath or declaration under 37 CFR 1.63.

If there are joint inventors, please check the appropriate box below:

- [ ] An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) naming the entire inventive entity has been or is currently submitted.
- [x] An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) has not been submitted. Thus, a Substitute Statement Supplemental Sheet (PTO/AIA/11 or equivalent) naming the entire inventive entity and providing inventor information is attached. See 37 CFR 1.64(b).

WARNING:

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

PERSON EXECUTING THIS SUBSTITUTE STATEMENT:

**Name:** Adam Smith

**Signature:** /Adam Smith/

**Residence (unless provided in an application data sheet, PTO/AIA/14 or equivalent):**

<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Country</th>
</tr>
</thead>
</table>

**Mailing Address (unless provided in an application data sheet, PTO/AIA/14 or equivalent):**

<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Zip</th>
<th>Country</th>
</tr>
</thead>
</table>

Note: Use an additional PTO/AIA/02 form for each inventor who is deceased, legally incapacitated, cannot be found or reached after diligent effort, or has refused to execute the oath or declaration under 37 CFR 1.63.
Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 216(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.
Application Data Sheet 37 CFR 1.76
Attorney Docket Number
Application Number

Title of Invention
Semiconductor

The application data sheet is part of the provisional or nonprovisional application for which it is being submitted. The following form contains the bibliographic data arranged in a format specified by the United States Patent and Trademark Office as outlined in 37 CFR 1.76. This document may be completed electronically and submitted to the Office in electronic format using the Electronic Filing System (EFS) or the document may be printed and included in a paper filed application.

Secrecy Order 37 CFR 5.2

Portions or all of the application associated with this Application Data Sheet may fall under a Secrecy Order pursuant to 37 CFR 5.2 (Paper filers only. Applications that fall under Secrecy Order may not be filed electronically.)

Inventor Information:

Inventor 1
Legal Name
Prefix Given Name Middle Name Family Name Suffix
Mr. Adam Smith

Residence Information (Select One) US Residency Non US Residency Active US Military Service
City Anytown State/Province VA Country of Residence US

Mailing Address of Inventor:
Address 1 123 Main Street
Address 2
City Anytown State/Province VA
Postal Code 12345 Country US

Inventor 2
Legal Name
Prefix Given Name Middle Name Family Name Suffix
Mrs. Mary Williams

Residence Information (Select One) US Residency Non US Residency Active US Military Service
City Anytown State/Province VA Country of Residence US

Mailing Address of Inventor:
Address 1 987 Oak Street
Address 2
City Anytown State/Province VA
Postal Code 12345 Country US

Inventor 3
Legal Name
Prefix Given Name Middle Name Family Name Suffix
Mr. Hiram Stein

Residence Information (Select One) US Residency Non US Residency Active US Military Service
**Application Data Sheet 37 CFR 1.76**

**Title of Invention**
Semiconductor

**Mailing Address of Inventor:**

<table>
<thead>
<tr>
<th>Address 1</th>
<th>Address 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>123 Elm Street</td>
<td>Anytown</td>
</tr>
</tbody>
</table>

**Correspondence Information:**

Enter either Customer Number or complete the Correspondence Information section below.

- **Name 1:** Adam Smith
- **Address 1:** 123 Main Street
- **Phone Number:** (571) 555-1212
- **Email Address:** asmith@email.gov

**Application Information:**

- **Title of the Invention:** Semiconductor
- **Attorney Docket Number:**
- **Application Number:**
- **Application Type:** Nonprovisional
- **Subject Matter:** Utility
- **Small Entity Status Claimed:**

**Publication Information:**

- **Total Number of Drawing Sheets:** 5
- **Suggested Figure for Publication:** 1

**Request Not to Publish.**
I hereby request that the attached application not be published under 35 U.S.C. 122(b) and certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.
### Application Data Sheet 37 CFR 1.76

<table>
<thead>
<tr>
<th>Title of Invention</th>
<th>Semiconductor</th>
</tr>
</thead>
</table>

### Representative Information:

Representative information should be provided for all practitioners having a power of attorney in the application. Providing this information in the Application Data Sheet does not constitute a power of attorney in the application (see 37 CFR 1.32). Either enter Customer Number or complete the Representative Name section below. If both sections are completed the customer Number will be used for the Representative Information during processing.

- **Please Select One:**
  - [ ] Customer Number
  - [ ] US Patent Practitioner
  - [ ] Limited Recognition (37 CFR 11.9)

- **Customer Number:**

### Domestic Benefit/National Stage Information:

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, or 365(c) or indicate National Stage entry from a PCT application. Providing this information in the application data sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78.

- **Prior Application Status:**
- **Application Number:**
- **Continuity Type:**
- **Prior Application Number:**
- **Filing Date (YYYY-MM-DD):**

Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the **Add** button.

### Foreign Priority Information:

This section allows for the applicant to claim benefit of foreign priority and to identify any prior foreign application for which priority is not claimed. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55(a).

- **Application Number:**
- **Country:**
- **Filing Date (YYYY-MM-DD):**
- **Priority Claimed:**
  - [ ] Yes
  - [ ] No

Additional Foreign Priority Data may be generated within this form by selecting the **Add** button.

### Authorization to Permit Access:

- [ ] Authorization to Permit Access to the Instant Application by the Participating Offices
### Application Data Sheet 37 CFR 1.76

<table>
<thead>
<tr>
<th>Title of Invention</th>
<th>Semiconductor</th>
</tr>
</thead>
</table>

If checked, the undersigned hereby grants the USPTO authority to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the instant patent application is filed access to the instant patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the instant patent application is filed to have access to the instant patent application.

In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the instant patent application with respect to: 1) the instant patent application-as-filed; 2) any foreign application to which the instant patent application claims priority under 35 U.S.C. 119(a)-(d) if a copy of the foreign application that satisfies the certified copy requirement of 37 CFR 1.55 has been filed in the instant patent application, and 3) any U.S. application-as-filed from which benefit is sought in the instant patent application.

In accordance with 37 CFR 1.14(c), access may be provided to information concerning the date of filing this Authorization.

### Applicant Information:

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

#### Applicant 1

If the applicant is the inventor (or the remaining joint inventor or inventors under 37 CFR 1.45), this section should not be completed. The information to be provided in this section is the name and address of the legal representative who is the applicant under 37 CFR 1.43, or the name and address of the assignee, person to whom the inventor is under an obligation to assign the invention, or person who otherwise shows sufficient proprietary interest in the matter who is the applicant under 37 CFR 1.46. If the applicant is an assignee under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest) together with one or more joint inventors, then the joint inventor or inventors who are also the applicant should be identified in this section.

<table>
<thead>
<tr>
<th>Assignee</th>
<th>Legal Representative under 35 U.S.C. 117</th>
<th>Joint Inventor</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If applicant is the legal representative, indicate the authority to file the patent application, the inventor is:

Name of the Deceased or Legally Incapacitated Inventor:

If the Applicant is an Organization check here.

<table>
<thead>
<tr>
<th>Prefix</th>
<th>Given Name</th>
<th>Middle Name</th>
<th>Family Name</th>
<th>Suffix</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mr.</td>
<td>Adam</td>
<td></td>
<td>Smith</td>
<td></td>
</tr>
</tbody>
</table>
**Application Data Sheet 37 CFR 1.76**

| Title of Invention | Semiconductor |

**Mailing Address Information:**

| Address 1 | 123 Main Street |
| Address 2 |  |
| City | Anytown |
| **Country** | **US** |
| State/Province | VA |
| Postal Code | 12345 |
| Phone Number | (571) 555-1212 |
| Fax Number | |
| Email Address | asmith@email.gov |

Additional Applicant Data may be generated within this form by selecting the Add button.

**Applicant 2**

If the applicant is the inventor (or the remaining joint inventor or inventors under 37 CFR 1.45), this section should not be completed. The information to be provided in this section is the name and address of the legal representative who is the applicant under 37 CFR 1.43; or the name and address of the assignee, person to whom the inventor is under an obligation to assign the invention, or person who otherwise shows sufficient proprietary interest in the matter who is the applicant under 37 CFR 1.46. If the applicant is an assignee under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest) together with one or more joint inventors, then the joint inventor or inventors who are also the applicant should be identified in this section.

- **Assignee**
- **Legal Representative under 35 U.S.C. 117**
- **Joint Inventor**

If applicant is the legal representative, indicate the authority to file the patent application, the inventor is:

- **Deceased**

**Name of the Deceased or Legally Incapacitated Inventor:** Mary Williams

If the Applicant is an Organization check here.

<table>
<thead>
<tr>
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<th>Given Name</th>
<th>Middle Name</th>
<th>Family Name</th>
<th>Suffix</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mr.</td>
<td>John</td>
<td></td>
<td>Williams</td>
<td></td>
</tr>
</tbody>
</table>

**Mailing Address Information:**

| Address 1 | 987 Oak Street |
| Address 2 |  |
| City | Anytown |
| **Country** | **US** |
| State/Province | VA |
| Postal Code | 12345 |
| Phone Number |  |
| Fax Number |  |
| Email Address |  |

Additional Applicant Data may be generated within this form by selecting the Add button.
**Application Data Sheet 37 CFR 1.76**

<table>
<thead>
<tr>
<th>Title of Invention</th>
<th>Semiconductor</th>
</tr>
</thead>
</table>

**Non-Applicant Assignee Information:**

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

**Assignee**

Complete this section only if non-applicant assignee information is desired to be included on the patent application publication in accordance with 37 CFR 1.215(b). Do not include in this section an applicant under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest), as the patent application publication will include the name of the applicant(s).

If the Assignee is an Organization check here.

<table>
<thead>
<tr>
<th>Given Name</th>
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<th>Family Name</th>
<th>Prefix</th>
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**Mailing Address Information:**

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</table>

Additional Assignee Data may be generated within this form by selecting the Add button.

**Signature:**

NOTE: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications.

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date (YYYY-MM-DD)</th>
<th>First Name</th>
<th>Last Name</th>
<th>Smith</th>
<th>Registration Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adam Smith/</td>
<td></td>
<td>Adam</td>
<td>Last Name</td>
<td>Smith</td>
<td>Registration Number</td>
</tr>
</tbody>
</table>

Additional Signature may be generated within this form by selecting the Add button.
Application Data Sheet 37 CFR 1.76

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2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).

5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.

6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

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9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.
Example 3

Corporate Assignee as Applicant

FACTS:

Inventors: Adam Smith, Matthew Jones, and Hiram Stein. All three inventors assigned the invention to XZY Corporation.

Applicant: XZY Corporation, the assignee

Is a patent practitioner representing the Applicant? Yes, XZY Corporation is a juristic entity and must be represented by a patent practitioner.

RECOMMENDED INVENTOR’S OATH/DECLARATION FORMS:

Inventor’s Oath or Declaration

Submit one Form AIA/01 (Declaration for Utility or Design Application Using an Application Data Sheet (37 CFR 1.76)) identifying and signed by each inventor (i.e., three forms total). The declaration forms may be submitted with the application (recommended to avoid payment of a surcharge) or may be submitted together or serially during prosecution until required by the USPTO.

ADS (Form AIA/14)

- In the Inventor Information section, print or list the legal name, residence, and mailing address for all three inventors.

- In the Applicant Information section, print or type XZY Corporation and select the “Assignee” radio button. An ADS must be filed in accordance with 37 CFR 1.46 since XZY Corporation is being named as the applicant.

- A patent practitioner must sign the ADS on behalf of the corporate juristic entity. XZY Corporation may give power of attorney to the patent practitioner using Form AIA/82 (Transmittal for Power of Attorney to One or More Registered Practitioners and Power of Attorney by Applicant) without need to comply with 37 CFR 3.71 and 3.73.
DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

Title of Invention | Compound A

As the below named inventor, I hereby declare that:

This declaration is directed to:  
☐ The attached application, or
☐ United States application or PCT international application number _____________________
  filed on ________________________

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

WARNING:

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

LEGAL NAME OF INVENTOR

Inventor: Adam Smith  
Signature: /Adam Smith/  
Date (Optional): 11/30/12

Note: An application data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have been previously filed. Use an additional PTO/AIA/01 form for each additional inventor.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.
Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.
DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

<table>
<thead>
<tr>
<th>Title of Invention</th>
<th>Compound A</th>
</tr>
</thead>
</table>

As the below named inventor, I hereby declare that:

This declaration is directed to:

- [ ] The attached application, or
- [ ] United States application or PCT international application number ________________________________
  filed on ________________________________

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

**WARNING:**

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

**LEGAL NAME OF INVENTOR**

Inventor: Matthew Jones  
Signature: /Matthew Jones/  
Date (Optional): 12/03/12

Note: An application data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have been previously filed. Use an additional PTO/AIA/01 form for each additional inventor.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

**Title of Invention**: Compound A

As the below named inventor, I hereby declare that:

This declaration is directed to:
- [ ] The attached application, or
- [ ] United States application or PCT international application number __________________
  filed on ____________________________

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

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**LEGAL NAME OF INVENTOR**

Inventor: Hiram Stein

Signature: /Hiram Stein/

Date (Optional): 12/10/12

Note: An application data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have been previously filed. Use an additional PTO/AIA/01 form for each additional inventor.
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Application Data Sheet 37 CFR 1.76  

<table>
<thead>
<tr>
<th>Title of Invention</th>
<th>Compound A</th>
</tr>
</thead>
</table>

The application data sheet is part of the provisional or nonprovisional application for which it is being submitted. The following form contains the bibliographic data arranged in a format specified by the United States Patent and Trademark Office as outlined in 37 CFR 1.76. This document may be completed electronically and submitted to the Office in electronic format using the Electronic Filing System (EFS) or the document may be printed and included in a paper filed application.

Secrecy Order 37 CFR 5.2  

Portions or all of the application associated with this Application Data Sheet may fall under a Secrecy Order pursuant to 37 CFR 5.2 (Paper filers only. Applications that fall under Secrecy Order may not be filed electronically.)

Inventor Information:

<table>
<thead>
<tr>
<th>Inventor</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal Name</td>
<td></td>
</tr>
<tr>
<td>Prefix</td>
<td>Given Name</td>
</tr>
<tr>
<td>Mr.</td>
<td>Adam</td>
</tr>
<tr>
<td>Residence Information (Select One)</td>
<td></td>
</tr>
<tr>
<td>City</td>
<td>Anytown</td>
</tr>
</tbody>
</table>

Mailing Address of Inventor:

| Address 1 | 123 Main Street |
| Address 2 | |
| City | Anytown | State/Province | VA |
| Postal Code | 12345 | Country | US |

<table>
<thead>
<tr>
<th>Inventor</th>
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<tbody>
<tr>
<td>Legal Name</td>
<td></td>
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<tr>
<td>Prefix</td>
<td>Given Name</td>
</tr>
<tr>
<td>Mr.</td>
<td>Matthew</td>
</tr>
<tr>
<td>Residence Information (Select One)</td>
<td></td>
</tr>
<tr>
<td>City</td>
<td>Anytown</td>
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</tbody>
</table>

Mailing Address of Inventor:

| Address 1 | 123 Oak Street |
| Address 2 | |
| City | Anytown | State/Province | VA |
| Postal Code | 12345 | Country | US |

<table>
<thead>
<tr>
<th>Inventor</th>
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<tr>
<td>Legal Name</td>
<td></td>
</tr>
<tr>
<td>Prefix</td>
<td>Given Name</td>
</tr>
<tr>
<td>Mr.</td>
<td>Hiram</td>
</tr>
<tr>
<td>Residence Information (Select One)</td>
<td></td>
</tr>
<tr>
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<td>Anytown</td>
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### Application Data Sheet 37 CFR 1.76

#### Title of Invention
- **Compound A**

<table>
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<th>City</th>
<th>State/Province</th>
<th>Country of Residence</th>
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<tbody>
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<td>Anytown</td>
<td>VA</td>
<td>US</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Mailing Address of Inventor:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Address 1</strong></td>
</tr>
<tr>
<td><strong>Address 2</strong></td>
</tr>
<tr>
<td><strong>City</strong></td>
</tr>
</tbody>
</table>

All Inventors Must Be Listed - Additional Inventor Information blocks may be generated within this form by selecting the Add button.

### Correspondence Information:

- Enter either Customer Number or complete the Correspondence Information section below. For further information see 37 CFR 1.33(a).

- An Address is being provided for the correspondence Information of this application.

<table>
<thead>
<tr>
<th>Customer Number</th>
<th>12345</th>
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</table>

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<tr>
<th>Email Address</th>
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### Application Information:

- **Title of the Invention**: Compound A
- **Attorney Docket Number**: XYZ.0427
- **Small Entity Status Claimed**: √
- **Application Type**: Nonprovisional
- **Subject Matter**: Utility
- **Suggested Class (if any)**
- **Sub Class (if any)**
- **Suggested Technology Center (if any)**
- **Total Number of Drawing Sheets (if any)**: 9
- **Suggested Figure for Publication (if any)**: 1

### Publication Information:

- □ Request Early Publication (Fee required at time of Request 37 CFR 1.219)

- **Request Not to Publish**: I hereby request that the attached application not be published under 35 U.S.C. 122(b) and certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

### Representative Information:

Representative information should be provided for all practitioners having a power of attorney in the application. Providing this information in the Application Data Sheet does not constitute a power of attorney in the application (see 37 CFR 1.32). Either enter Customer Number or complete the Representative Name section below. If both sections are completed the customer number will be used for the Representative Information during processing.
<table>
<thead>
<tr>
<th>Application Data Sheet 37 CFR 1.76</th>
<th>Attorney Docket Number</th>
<th>XYZ.0427</th>
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<tbody>
<tr>
<td>Title of Invention</td>
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<td></td>
</tr>
</tbody>
</table>

Please Select One:  
- [ ] Customer Number  
- [ ] US Patent Practitioner  
- [ ] Limited Recognition (37 CFR 11.9)

Customer Number: 12345

Domestic Benefit/National Stage Information:
This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, or 365(c) or indicate National Stage entry from a PCT application. Providing this information in the application data sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78.

<table>
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<th>Prior Application Status</th>
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</table>

Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the **Add** button.

Foreign Priority Information:
This section allows for the applicant to claim benefit of foreign priority and to identify any prior foreign application for which priority is not claimed. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55(a).

<table>
<thead>
<tr>
<th>Application Number</th>
<th>Country¹</th>
<th>Filing Date (YYYY-MM-DD)</th>
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<tbody>
<tr>
<td></td>
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<td>[ ] Yes [ ] No</td>
</tr>
</tbody>
</table>

Additional Foreign Priority Data may be generated within this form by selecting the **Add** button.

Authorization to Permit Access:

- Authorization to Permit Access to the Instant Application by the Participating Offices
<table>
<thead>
<tr>
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If checked, the undersigned hereby grants the USPTO authority to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the instant patent application is filed access to the instant patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the instant patent application is filed to have access to the instant patent application.

In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the instant patent application with respect to: 1) the instant patent application-as-filed; 2) any foreign application to which the instant patent application claims priority under 35 U.S.C. 119(a)-(d) if a copy of the foreign application that satisfies the certified copy requirement of 37 CFR 1.55 has been filed in the instant patent application, and 3) any U.S. application-as-filed from which benefit is sought in the instant patent application.

In accordance with 37 CFR 1.14(c), access may be provided to information concerning the date of filing this Authorization.

Applicant Information:

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

**Applicant 1**

If the applicant is the inventor (or the remaining joint inventor or inventors under 37 CFR 1.45), this section should not be completed. The information to be provided in this section is the name and address of the legal representative who is the applicant under 37 CFR 1.43, or the name and address of the assignee, person to whom the inventor is under an obligation to assign the invention, or person who otherwise shows sufficient proprietary interest in the matter who is the applicant under 37 CFR 1.46. If the applicant is an assignee under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest) together with one or more joint inventors, then the joint inventor or inventors who are also the applicant should be identified in this section.

[Options: Assignee, Legal Representative under 35 U.S.C. 117, Joint Inventor, Person to whom the inventor is obligated to assign, Person who shows sufficient proprietary interest]

If applicant is the legal representative, indicate the authority to file the patent application, the inventor is:

Name of the Deceased or Legally Incapacitated Inventor:

If the Applicant is an Organization check here. [ ]

Organization Name: XYZ Corporation

Mailing Address Information:

<table>
<thead>
<tr>
<th>Address 1</th>
<th>123 Main Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address 2</td>
<td></td>
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<tr>
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<td>Dover</td>
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<tr>
<td>Country</td>
<td>US</td>
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<tr>
<td>Phone Number</td>
<td></td>
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Email Address:  

Additional Applicant Data may be generated within this form by selecting the Add button.

**Non-Applicant Assignee Information:**

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

**Assignee 1**

Complete this section only if non-applicant assignee information is desired to be included on the patent application publication in accordance with 37 CFR 1.215(b). Do not include in this section an applicant under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest), as the patent application publication will include the name of the applicant(s).

If the Assignee is an Organization check here: [ ]

Prefix | Given Name | Middle Name | Family Name | Suffix
---|------------|-------------|-------------|-----

**Mailing Address Information:**

Address 1
Address 2
City | State/Province
Country | Postal Code

Phone Number | Fax Number
Email Address

Additional Assignee Data may be generated within this form by selecting the Add button.

**Signature:**

NOTE: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications.

Signature | First Name | Last Name | Practitioner | Registration Number | Date (YYYY-MM-DD) |
---|------------|-----------|--------------|---------------------|-------------------|
/John Q. Practitioner/ | John | | | 98765 | 2012-13-12 |

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This collection of information is required by 37 CFR 1.76. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 23 minutes to complete, including gathering, preparing, and submitting the completed application data sheet form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.
The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.

2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

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6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

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9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.
Example 4
Corporate Assignee as Application with Substitute Statements Needed

FACTS:

Inventors: Matthew Jones, Mary Williams, and Hiram Stein. All three inventors assigned the invention to XYZ Corporation. Mary Williams is deceased, and Hiram Stein has refused to sign the declaration.

Applicant: XYZ Corporation, the assignee

Is a patent practitioner representing the Applicant? Yes, XYZ Corporation is a juristic entity and must be represented by a patent practitioner.

RECOMMENDED INVENTOR’S OATH/DECLARATION FORMS:

Inventor’s Oath or Declaration

- Submit one Form AIA/01 (Declaration for Utility or Design Application Using an Application Data Sheet (37 CFR 1.76)) identifying and signed by Matthew Jones.

- Submit one Form AIA/02 (Substitute Statement in Lieu of an Oath or Declaration for Utility or Design Patent Application (35 U.S.C. 115(d) and 37 CFR 1.64)) signed by XYZ Corporation on behalf of non-signing inventor Hiram Stein. Since an ADS is being submitted, it is not necessary to list the residence and mailing address for Hiram Stein.

- Submit one Form AIA/02 (Substitute Statement in Lieu of an Oath or Declaration for Utility or Design Patent Application (35 U.S.C. 115(d) and 37 CFR 1.64)) signed by XYZ Corporation on behalf of deceased inventor Mary Williams. A legal representative is not required to sign on behalf of the deceased inventor in this instance.

- The substitute statements must be signed by someone who is authorized to act on behalf of the assignee-applicant (i.e., a person with a title that carries apparent authority, or a person who includes a statement of authorization to act.). A patent practitioner is not authorized to act on behalf of an applicant simply by existence of authority to prosecute an application. However, where an applicant gives the practitioner specific authority to act (e.g., authority given by organizational resolution), a practitioner may sign the substitute statement on behalf of the applicant.

- The forms may be submitted with the application (recommended to avoid payment of a surcharge) or may be submitted together or serially during prosecution until required by the USPTO.
ADS (Form AIA/14)

- In the Inventor Information section, print or type the legal name for all three inventors, and residence and mailing address for Matthew Jones and Hiram Stein. The residence and mailing address are not required for Mary Williams since she is deceased.

- In the Applicant Information section, print or type XYZ Corporation and select the “Assignee” radio button. An ADS must be filed in accordance with 37 CFR 1.46 since XYZ Corporation is being named as the applicant.

- A patent practitioner must sign the ADS on behalf of the corporate juristic entity. XYZ Corporation may give power of attorney to the patent practitioner using Form AIA/82 (Transmittal for Power of Attorney to One or More Registered Practitioners and Power of Attorney by Applicant) without need to comply with 37 CFR 3.71 and 3.73.
DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

| Title of Invention | Data Processing System |

As the below-named inventor, I hereby declare that:

This declaration is directed to:

- [ ] The attached application, or
- [ ] United States application or PCT international application number ______________
  filed on ____________________

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

**WARNING:**

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**LEGAL NAME OF INVENTOR**

Inventor: Matthew Jones

Signature: /Matthew Jones/

Date (Optional): 12/03/12

Note: An application data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have been previously filed. Use an additional PTO/AIA/01 form for each additional inventor.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Privacy Act Statement

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## SUBSTITUTE STATEMENT IN LIEU OF AN OATH OR DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (35 U.S.C. 115(d) AND 37 CFR 1.64)

<table>
<thead>
<tr>
<th>Title of Invention</th>
<th>Data Processing System</th>
</tr>
</thead>
</table>

This statement is directed to:

- [ ] The attached application,
- [ ] United States application or PCT international application number ____________ filed on ____________

**LEGAL NAME of inventor to whom this substitute statement applies:**

(E.g., Given Name (first and middle (if any)) and Family Name or Surname)

Mary Williams

**Residence (except for a deceased or legally incapacitated inventor):**

City: ____________ State: ____________ Country: ____________

**Mailing Address (except for a deceased or legally incapacitated inventor):**

City: ____________ State: ____________ Zip: ____________ Country: ____________

I believe the above-named inventor or joint inventor to be the original inventor or an original joint inventor of a claimed invention in the application.

The above-identified application was made or authorized to be made by me.

I hereby acknowledge that any willful false statement made in this statement is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

**Relationship to the inventor to whom this substitute statement applies:**

- [ ] Legal Representative (for deceased or legally incapacitated inventor only),
- [ ] Assignee,
- [ ] Person to whom the inventor is under an obligation to assign,
- [ ] Person who otherwise shows a sufficient proprietary interest in the matter (petition under 37 CFR 1.46 is required), or
- [ ] Joint Inventor.
SUBSTITUTE STATEMENT

Circumstances permitting execution of this substitute statement:

- [ ] Inventor is deceased,
- [ ] Inventor is under legal incapacity,
- [ ] Inventor cannot be found or reached after diligent effort, or
- [ ] Inventor has refused to execute the oath or declaration under 37 CFR 1.63.

If there are joint inventors, please check the appropriate box below:

- [ ] An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) naming the entire inventive entity has been or is currently submitted.
- [ ] OR
- [ ] An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) has not been submitted. Thus, a Substitute Statement Supplemental Sheet (PTO/AIA/11 or equivalent) naming the entire inventive entity and providing inventor information is attached. See 37 CFR 1.64(b).

WARNING:

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PERSON EXECUTING THIS SUBSTITUTE STATEMENT:

John Taylor (President, XYZ Corporation) 12/03/12

/John Taylor/

Residence (unless provided in an application data sheet, PTO/AIA/14 or equivalent):

<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dover</td>
<td>DE</td>
<td>USA</td>
</tr>
</tbody>
</table>

Mailing Address (unless provided in an application data sheet, PTO/AIA/14 or equivalent)

123 Main Street

<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Zip</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dover</td>
<td>DE</td>
<td>12345</td>
<td>USA</td>
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</tbody>
</table>

Note: Use an additional PTO/AIA/02 form for each inventor who is deceased, legally incapacitated, cannot be found or reached after diligent effort, or has refused to execute the oath or declaration under 37 CFR 1.63.
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### Title of Invention
Data Processing System

This statement is directed to:
- [ ] The attached application,
- [ ] United States application or PCT international application number ____________ filed on ________________.

**LEGAL NAME of inventor to whom this substitute statement applies:**
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)

**Hiram Stein**

**Residence (except for a deceased or legally incapacitated inventor):**

<table>
<thead>
<tr>
<th>City</th>
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**Mailing Address (except for a deceased or legally incapacitated inventor):**

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- [ ] Assignee,
- [ ] Person to whom the inventor is under an obligation to assign,
- [ ] Person who otherwise shows a sufficient proprietary interest in the matter (petition under 37 CFR 1.46 is required),
- [ ] Joint Inventor.

---

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Circumstances permitting execution of this substitute statement:

- [ ] Inventor is deceased,
- [ ] Inventor is under legal incapacity,
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John Taylor (President, XYZ Corporation) 12/03/12

/John Taylor/

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123 Main Street

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**Application Data Sheet 37 CFR 1.76**

**Title of Invention**: Data Processing System

The application data sheet is part of the provisional or nonprovisional application for which it is being submitted. The following form contains the bibliographic data arranged in a format specified by the United States Patent and Trademark Office as outlined in 37 CFR 1.76. This document may be completed electronically and submitted to the Office in electronic format using the Electronic Filing System (EFS) or the document may be printed and included in a paper filed application.

**Secrecy Order 37 CFR 5.2**

Portions or all of the application associated with this Application Data Sheet may fall under a Secrecy Order pursuant to 37 CFR 5.2 (Paper filers only. Applications that fall under Secrecy Order may not be filed electronically.)

**Inventor Information**:

<table>
<thead>
<tr>
<th>Inventor</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Legal Name</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Prefix</strong></td>
<td>Mr.</td>
</tr>
<tr>
<td><strong>Given Name</strong></td>
<td>Matthew</td>
</tr>
<tr>
<td><strong>Middle Name</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Family Name</strong></td>
<td>Jones</td>
</tr>
<tr>
<td><strong>Suffix</strong></td>
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</tr>
</tbody>
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**Residence Information (Select One)**: US Residency

**City**: Anytown

**State/Province**: VA

**Country of Residence**: US

**Mailing Address of Inventor**:

<table>
<thead>
<tr>
<th>Address 1</th>
<th>123 Oak Street</th>
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<tbody>
<tr>
<td>Address 2</td>
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<tbody>
<tr>
<td><strong>Legal Name</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Prefix</strong></td>
<td>Mrs.</td>
</tr>
<tr>
<td><strong>Given Name</strong></td>
<td>Mary</td>
</tr>
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<td><strong>Middle Name</strong></td>
<td></td>
</tr>
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<td><strong>Family Name</strong></td>
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**Mailing Address of Inventor**:

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</tr>
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<td></td>
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**Application Data Sheet 37 CFR 1.76**

<table>
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<th>Data Processing System</th>
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| Application Number | 324XYZ 5478 |

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**Mailing Address of Inventor:**

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All Inventors Must Be Listed - Additional Inventor Information blocks may be generated within this form by selecting the Add button.

**Correspondence Information:**

Enter either Customer Number or complete the Correspondence Information section below. For further information see 37 CFR 1.33(a).

- An Address is being provided for the correspondence Information of this application.

**Customer Number**

| 12345 |

**Email Address**

| Add Email | Remove Email |

**Application Information:**

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Small Entity Status Claimed

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Suggested Class (if any)

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Suggested Technology Center (if any)

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| Suggested Figure for Publication (if any) | 1 |

**Publication Information:**

- Request Early Publication (Fee required at time of Request 37 CFR 1.219)

**Request Not to Publish.** I hereby request that the attached application not be published under 35 U.S.C. 122(b) and certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

**Representative Information:**

Representative information should be provided for all practitioners having a power of attorney in the application. Providing this information in the Application Data Sheet does not constitute a power of attorney in the application (see 37 CFR 1.32). Either enter Customer Number or complete the Representative Name section below. If both sections are completed the customer number will be used for the Representative Information during processing.
<table>
<thead>
<tr>
<th>Application Data Sheet 37 CFR 1.76</th>
<th>Attorney Docket Number</th>
<th>324XYZ 5478</th>
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<tr>
<th>Please Select One:</th>
<th>Customer Number</th>
<th>US Patent Practitioner</th>
<th>Limited Recognition (37 CFR 11.9)</th>
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<td>Middle Name</td>
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<tr>
<td>Mr.</td>
<td>John</td>
<td>Q.</td>
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<tr>
<td>Registration Number</td>
<td>98765</td>
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Additional Representative Information blocks may be generated within this form by selecting the Add button.

### Domestic Benefit/National Stage Information:
This section allows the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, or 365(c) or indicate National Stage entry from a PCT application. Providing this information in the application data sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78.

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Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the Add button.

### Foreign Priority Information:
This section allows the applicant to claim benefit of foreign priority and to identify any prior foreign application for which priority is not claimed. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55(a).

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</table>

Additional Foreign Priority Data may be generated within this form by selecting the Add button.

### Authorization to Permit Access:
- [ ] Authorization to Permit Access to the Instant Application by the Participating Offices
Application Data Sheet 37 CFR 1.76

<table>
<thead>
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If checked, the undersigned hereby grants the USPTO authority to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the instant patent application is filed access to the instant patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the instant patent application is filed to have access to the instant patent application.

In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the instant patent application with respect to: 1) the instant patent application-as-filed; 2) any foreign application to which the instant patent application claims priority under 35 U.S.C. 119(a)-(d) if a copy of the foreign application that satisfies the certified copy requirement of 37 CFR 1.55 has been filed in the instant patent application; and 3) any U.S. application-as-filed from which benefit is sought in the instant patent application.

In accordance with 37 CFR 1.14(c), access may be provided to information concerning the date of filing this Authorization.

Applicant Information:

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

<table>
<thead>
<tr>
<th>Applicant 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the applicant is the inventor (or the remaining joint inventor or inventors under 37 CFR 1.45), this section should not be completed. The information to be provided in this section is the name and address of the legal representative who is the applicant under 37 CFR 1.43; or the name and address of the assignee, person to whom the inventor is under an obligation to assign the invention, or person who otherwise shows sufficient proprietary interest in the matter who is the applicant under 37 CFR 1.46. If the applicant is an assignee under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest) together with one or more joint inventors, then the joint inventor or inventors who are also the applicant should be identified in this section.</td>
</tr>
</tbody>
</table>

- Assignee
- Legal Representative under 35 U.S.C. 117
- Joint Inventor

- Person to whom the inventor is obligated to assign.
- Person who shows sufficient proprietary interest

If applicant is the legal representative, indicate the authority to file the patent application, the inventor is:

Name of the Deceased or Legally Incapacitated Inventor:

If the Applicant is an Organization check here.

Organization Name: XYZ Corporation

Mailing Address Information:

<table>
<thead>
<tr>
<th>Address 1</th>
<th>123 Main Street</th>
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</table>

City | Dover | State/Province | DE |
Country | US | Postal Code | 12345 |
Phone Number | | Fax Number | |
### Application Data Sheet 37 CFR 1.76

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<tr>
<th>Email Address</th>
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Additional Applicant Data may be generated within this form by selecting the Add button.

### Non-Applicant Assignee Information:

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

<table>
<thead>
<tr>
<th>Assignee 1</th>
<th></th>
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</table>

Complete this section only if non-applicant assignee information is desired to be included on the patent application publication in accordance with 37 CFR 1.215(b). Do not include in this section an applicant under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest), as the patent application publication will include the name of the applicant(s).

If the Assignee is an Organization check here: [ ]

<table>
<thead>
<tr>
<th>Prefix</th>
<th>Given Name</th>
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Additional Assignee Data may be generated within this form by selecting the Add button.

### Signature:

NOTE: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications.

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date (YYYY-MM-DD)</th>
<th>First Name</th>
<th>Last Name</th>
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<th>Registration Number</th>
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<tr>
<td>John Q. Practitioner</td>
<td>2012-13-12</td>
<td>John</td>
<td>Last Name</td>
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<td>98765</td>
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This collection of information is required by 37 CFR 1.76. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 23 minutes to complete, including gathering, preparing, and submitting the completed application data sheet form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.
The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.

2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).

5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.

6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.

9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.