# <u>Inventor's Oath or Declaration Examples Featuring "Best Practices" in Use of Inventor's Oath or Declaration Forms</u>

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**

Example	Topic	Recommended Forms		
		Inventor's Oath or Declaration Form Number	Application Data Sheet Form Number	
1	Inventors as Applicants	AIA/01	AIA/14	
2	Inventors as Applicants with Substitute Statements Needed	AIA/01 AIA/02	AIA/14	
3	Corporate Assignee as Applicant	AIA/01	AIA/14	
4	Corporate Assignee as Application with Substitute Statements Needed	AIA/01 AIA/02	AIA/14	

### 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)

Title of Invention	Widget	
As the below	w named inve	entor, I hereby declare that:
This declara		The attached application, or
		United States application or PCT international application number
		filed on
The above-i	identified app	lication was made or authorized to be made by me.
I believe tha	t I am the ori	ginal inventor or an original joint inventor of a claimed invention in the application.
		at any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 f not more than five (5) years, or both.
		WARNING:
contribute to (other than a to support a petitioners/a USPTO. Pe application ( patent. Furt referenced in	o identity theft a check or cre petition or an applicants sho etitioner/applic unless a non- thermore, the n a published	Intioned to avoid submitting personal information in documents filed in a patent application that may a personal information such as social security numbers, bank account numbers, or credit card numbers and authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO application. If this type of personal information is included in documents submitted to the USPTO, application and information from the documents before submitting them to the cant is advised that the record of a patent application is available to the public after publication of the publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a record from an abandoned application may also be available to the public if the application is application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms becament purposes are not retained in the application file and therefore are not publicly available.
LEGAL NA	AME OF INVE	ENTOR
	Adam Sm /Adam Sr	
		eet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have

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.

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.

- 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	w named inventor, I hereby declare that:
This declara	The allached application of
	United States application or PCT international application number
	filed on
The above-i	dentified application was made or authorized to be made by me.
I believe tha	t I am the original inventor or an original joint inventor of a claimed invention in the application.
	nowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 prisonment of not more than five (5) years, or both.
	WARNING:
contribute to (other than a to support a petitioners/a USPTO. Pe application ( patent. Furt referenced in	oplicant is cautioned to avoid submitting personal information in documents filed in a patent application that may identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO petition or an application. If this type of personal information is included in documents submitted to the USPTO, pplicants should consider redacting such personal information from the documents before submitting them to the stitioner/applicant is advised that the record of a patent application is available to the public after publication of the unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a hermore, the record from an abandoned application may also be available to the public if the application is a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms ubmitted for payment purposes are not retained in the application file and therefore are not publicly available.
LEGAL NA	AME OF INVENTOR
Inventor:	Matthew Jones Date (Optional) : 12/04/12
Signature:	/Matthew Jones/
	ication data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have sly 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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- 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).
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- 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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# DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

Title of Invention	et
As the below name	ed 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-identifie	d application was made or authorized to be made by me.
I believe that I am t	he original inventor or an original joint inventor of a claimed invention in the application.
	ge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 nent of not more than five (5) years, or both.
	WARNING:
contribute to identit (other than a check to support a petition petitioners/applican USPTO. Petitioner application (unless patent. Furthermor referenced in a pub	is cautioned to avoid submitting personal information in documents filed in a patent application that may a theft. Personal information such as social security numbers, bank account numbers, or credit card numbers or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO or an application. If this type of personal information is included in documents submitted to the USPTO, its should consider redacting such personal information from the documents before submitting them to the dapplicant is advised that the record of a patent application is available to the public after publication of the a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a e, the record from an abandoned application may also be available to the public if the application is lished application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms d for payment purposes are not retained in the application file and therefore are not publicly available.
LEGAL NAME O	FINVENTOR
Inventor: Meryl	Brown Date (Optional) : 12/07/12
Signature: /Men	vl Brown/
	ata sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have Use an additional PTO/AIA/01 form for each additional inventor.

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- 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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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number			
		Application Number			
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.)

		R	emove			
Prefix Given Name Middle Name Family Name S						
		Smith		*		
US Residency	Non US Res	sidency Activ	e US Military Service			
State/Province V	A Countr	y of Residence	US			
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Application	Data She	not 37 CEB	176	Attorney	Docket	Number		
Application Data Sheet 37 CFR 1.76  Application Number								
Title of Inventi	on Widge	t						
<b>City</b> Anytov	vn		State/	Province	VA	Count	ry of Residence	us
								And the second s
Mailing Addres	ss of Invent	or:						
Address 1		345 Elm Stre	et					
Address 2								
City	City Anytown State/Province VA							
Postal Code 12345 Country US								
All Inventors Must Be Listed - Additional Inventor Information blocks may be generated within this form by selecting the <b>Add</b> button.								
ic .								

### Correspondence Information:

and the same of th		mber or complete the Correspo ee 37 CFR 1.33(a).	ndence Information s	section below.	
	dress is being	provided for the correspondence	e Information of this	application.	
Name 1		Adam Smith	Name 2		
Address 1		123 Main Street			
Address 2	5				
City		Anytown	State/Province	VA	
Country	us		Postal Code	12345	
<b>Phone Number</b> (571) 555-1212		Fax Number			
Email Addı	ress	asmith@email.gov	3	Add Email	Remove Email

## **Application Information:**

Title of the Invention	Widget	Vidget				
Attorney Docket Number		Small Entity Status Claimed 🔀				
Application Type	Nonprovisional	√onprovisional				
Subject Matter	Utility	Utility				
Suggested Class (if any)		Sub Class (if any)				
Suggested Technology Center (if any)						
Total Number of Drawing	Sheets (if any)	5	Suggested Figure for Publication (if any)			

### **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		Attorney Docket Number	
		Application Number	
Title of Invention	Widget		

## 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	S Remove						
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 <b>Add</b> 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).

Remove

Application Number

Country<sup>i</sup>

Filing Date (YYYY-MM-DD)

Priority Claimed

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 Da	ata Sheet 37 CFR 1.76	Attorney Docket Number	
Application Da	ala Sileel 37 CFK 1.76	Application Number	
Title of Invention	Widget		
the Japan Patent Offic and any other intellec is filed access to the i does not wish the EPC	tual property offices in which a fo nstant patent application. See 37	Property Office (KIPO), the Wo preign application claiming priori 7 CFR 1.14(c) and (h). This box tellectual property office in whic	orld Intellectual Property Office (WIPO), ity to the instant patent application should not be checked if the applicant the a foreign application claiming priority
o: 1) the instant pater claims priority under 3	n filed in the instant patent applic	eign application to which the ins the foreign application that satis	tant patent application fies the certified copy requirement of

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 info to have an assignment re			not substitute for complian	ce with any requirement of	part 3 of Title 37 of CFR
Applicant 1					
The information to be provi 1.43; or the name and addi who otherwise shows suffic applicant under 37 CFR 1.4	ided in this se ress of the as cient propriet 46 (assignee	ection is the nai ssignee, persor ary interest in the person to who		I representative who is the ider an obligation to assign ant under 37 CFR 1.46. If th to assign, or person who o	applicant under 37 CFR the invention, or person ne applicant is an therwise shows sufficient
Assignee		Legal Re	presentative under 35 U.S	.C. 117 Join	t Inventor
Person to whom the in	ventor is obl	igated to assigr	n. Per	son who shows sufficient p	roprietary interest
If applicant is the legal re	epresentativ	/e, indicate th	e authority to file the pate	ent application, the inver	itor is:
Name of the Deceased	or Legally I	ncapacitated I	nventor :		
If the Applicant is an O	rganization	check here.			
Prefix	Given Na	me	Middle Name	Family Name	Suffix

Approved for use through 01/31/2014. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Application D	ata Shoot 27 CED 1 76	Attorney Dod	cket Number				
Application Da	ata Sheet 37 CFR 1.76	Application N	lumber				
Title of Invention	Widget						
Mailing Address	Information:						
Address 1							
Address 2			22				
City			State/Prov	/ince			
Country			Postal Cod	de			
Phone Number			Fax Numb	er			
Email Address			0	<i>a</i> ;	(4).		
Additional Applican	t Data may be generated wit	hin this form by	selecting th	e Add butto	n. [	Add	
Non-Applica	nt Assignee Inform	ation:					
	t information in this section does ecorded by the Office.	not subsitute fo	r compliance v	vith any requ	irement of par	rt 3 of Title 37 c	f CFR to
Assignee 1							
accordance with 37 C	only if non-aplicant assignee in FR 1.215(b). Do not include in to assign, or person who otherw he applicant(s).	this section an ap	plicant under	37 CFR 1.46	3 (assignee, p	erson to whom	the
					Б	Remove	
If the Assignee is	an Organization check here.						
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Additional Assigne	e Data may be generated wi	thin this form by	y selecting th	ne Add butto	on.	Add	

Application Data Sheet 37 CFR 1.76		Attorney Docket Number				
Applicatio	Application Butta officer of officer			Application Number		
Title of Inven	tion	Widget				
Signature	Value	must be signed	in accordance	e with 37 CFR 1.33. See 37	300	emove
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Signature	/Adan	n Smith/			Date (YYYY-MM-DD)	2012-13-12
First Name	Adaı	m	Last Name	Smith	Registration Number	
Additional Si	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.** 

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 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.
- 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.
- 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.
- 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:
  - o Inventor Adam Smith and legal representative John Williams should be listed.
  - o Mary Williams is not considered an applicant because she is deceased, and therefore her legal representative John Williams is an applicant party.
  - o 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)

Title of Invention	Semiconductor
As the belo	w named inventor, I hereby declare that:
This declar	
	United States application or PCT international application number
	filed on
The above-i	dentified application was made or authorized to be made by me.
I believe tha	t I am the original inventor or an original joint inventor of a claimed invention in the application.
	tnowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 aprisonment of not more than five (5) years, or both.
	WARNING:
contribute to (other than a to support a petitioners/a USPTO. Pe application ( patent. Furt referenced i	policant is cautioned to avoid submitting personal information in documents filed in a patent application that may be identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO petition or an application. If this type of personal information is included in documents submitted to the USPTO, applicants should consider redacting such personal information from the documents before submitting them to the estitioner/applicant is advised that the record of a patent application is available to the public after publication of the unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a thermore, the record from an abandoned application may also be available to the public if the application is a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms submitted for payment purposes are not retained in the application file and therefore are not publicly available.
LEGAL N	AME OF INVENTOR
	Adam Smith Date (Optional):
	ication data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have sly 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.

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.

- 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.

Doc code: Oath

Document Description: Oath or declaration filed

PTO/AIA/02 (06-12)

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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)

Title of Invention	Semiconductor					
This stateme	ent is directed to:					
The att	ached application,					
OR	OR .					
United	United States application or PCT international application numberfiled on					
LEGAL NA	ME of inventor to whom this sub	stitute statement appli	es:	NAME OF THE PARTY		
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)  Mary Williams						
Residence (	except for a deceased or legally incapa	citated inventor):				
City		State	Cou	untry		
*	City  State  Country   Mailing Address (except for a deceased or legally incapacitated inventor):					
City		State		Zip	Country	
	e above-named inventor or joint invento plication.	r to be the original inventor	or a	าก original joint inventor	of a claimed invention	
The above-i	identified application was made or auth	orized 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.					
Relationsh	ip to the inventor to whom this substitut	te statement applies:				
Le	egal Representative (for deceased or le	egally incapacitated invento	r onl	ly),		
A:	ssignee,					
☐ P	erson to whom the inventor is under an	obligation to assign,				
	erson who otherwise shows a sufficient pint Inventor.	proprietary interest in the r	matte	er (petition under 37 Cf	FR 1.46 is required), or	

[Page 1 of 2]

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## SUBSTITUTE STATEMENT

Circums	stances permitting execution of this substi	itute statement:			
	Inventor is deceased,				
	Inventor is under legal incapacity,				
目	Inventor cannot be found or reached after	er diligent effort, or			
一百	Inventor has refused to execute the oath	n or declaration under 37 C	FR 1.63.		
If there	are joint inventors, please check the appr	opriate box below:			
	An application data sheet under 37 CFR or is currently submitted.	t 1.76 (PTO/AIA/14 or equiv	valent) naming the enti	re inventive entity has been	
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:			
(other than to support petitioners USPTO. I application patent. Fureferences PTO-2038	to identity theft. Personal information sun a check or credit card authorization form a petition or an application. If this type of applicants should consider redacting surpetitioner/applicant is advised that the reduction (unless a non-publication request in conjunction or an abandoned in a published application or an issued placement of the property of the person of the published application or an issued placement of the property of the person	n PTO-2038 submitted for personal information is inch personal information from the personal information from the personal information from the personal information application may also be a patent (see 37 CFR 1.14). It retained in the application	payment purposes) is recluded in documents somethed to documents before is available to the pubble is made in the appayallable to the public in the care checks and credit care	never required by the USPTO ubmitted to the USPTO, re submitting them to the lic after publication of the slication) or issuance of a f the application forms	
PERSON	EXECUTING THIS SUBSTITUTE STATE	EMENT:			
Name: J	ohn Williams			12/03/12 Date (Optional):	
Signature:	/John Williams/			Date (Optional).	
Residence	(unless provided in an application data	sheet, PTO/AIA/14 or equiv	alent):		
City		State	Country		
Mailing Add	ress (unless provided in an application data sh	neet, PTO/AIA/14 or equivalent	t)		
City		State	Zip	Country	
	e an additional PTO/AIA/02 form for each after diligent effort, or has refused to exec			cannot be found or	

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Doc code: Oath

Document Description: Oath or declaration filed

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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)

Title of Invention	Semiconductor				
The att	United States application or PCT international application numberfiled on  EGAL 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 incapa	citated inventor):			
City	*		Cou	ntry	
walling / kadie	Mailing Address (except for a deceased or legally incapacitated inventor):				
City		State		Zip	Country
State   Zip   Country   Zip   Zip					
Relationsh	ip to the inventor to whom this substitut	te statement applies:			
As   Pe	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.				

[Page 1 of 2]

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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## SUBSTITUTE STATEMENT

Circums	stances permitting execution of this subst	itute statement:				
	Inventor is deceased,					
	Inventor is under legal incapacity,					
	Inventor cannot be found or reached aft	er diligent effort, or				
	Inventor has refused to execute the oatl	n or declaration under 37 C	FR 1.63.			
If there	are joint inventors, please check the app	ropriate box below:				
	An application data sheet under 37 CFF or is currently submitted.	R 1.76 (PTO/AIA/14 or equiv	valent) naming the entir	e inventive entity has been		
OR						
	An application data sheet under 37 CFF Statement Supplemental Sheet (PTO/A information is attached. See 37 CFR 1.6	IA/11 or equivalent) naming				
		WARNING:				
(other than to support petitioners USPTO. I application patent. Fur reference PTO-2038	to identity theft. Personal information sun a check or credit card authorization forms a petition or an application. If this type of sapplicants should consider redacting supetitioner/applicant is advised that the rein (unless a non-publication request in colurthermore, the record from an abandoned in a published application or an issued a submitted for payment purposes are no executing THIS SUBSTITUTE STATION.	m PTO-2038 submitted for post personal information is inchered for personal information from the personal information from the personal information from the personal information application may also be a patent (see 37 CFR 1.14). It retained in the application	payment purposes) is recluded in documents so the documents befor is available to the publes (a) is made in the appayavailable to the public if Checks and credit card	never required by the USPTO ubmitted to the USPTO, re submitting them to the lic after publication of the lication) or issuance of a fithe application is		
Name: A	dam Smith			Date (Optional):		
Signature:	/Adam Smith/					
Residence	e (unless provided in an application data	sheet, PTO/AIA/14 or equiv	alent):			
City		State	Country			
Mailing Add	lress (unless provided in an application data sl	heet, PTO/AIA/14 or equivalent	(1)			
City		State	Zip	Country		
	e an additional PTO/AIA/02 form for each after diligent effort, or has refused to exe			cannot be found or		

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- 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.

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Application Data Sheet 37 CFR 1.76		Attorney Docket Number	
Application Da	ita Sileet 37 OFK 1.70	Application Number	
Title of Invention	Semiconductor		
bibliographic data arran This document may be	ged in a format specified by the Uni	ted States Patent and Trademark O nitted to the Office in electronic for	being submitted. The following form contains the office as outlined in 37 CFR 1.76. rmat using the Electronic Filing System (EFS) or the

## 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			R	emove	60
Legal Name					
Prefix Given Name	Middle Name	3	Family Name		Suffix
Mr. 🔻 Adam			Smith		
Residence Information (Select One)	<ul><li>US Residency</li></ul>	Non US Re	esidency Activ	e US Military Service	
<b>City</b> Anytown	State/Province	VA Count	ry of Residence	US	
Mailing Address of Inventor:					
Address 1 123 Main Str	eet				
Address 2					
<b>City</b> Anytown		State/Pro	vince VA		
Postal Code 12345		Country	US		
Inventor 2			R	emove	
Legal Name			37	\$1	9)
Prefix Given Name	Middle Name	<b>:</b>	Family Name	,	Suffix
Mrs. Mary			Williams		
Residence Information (Select One)	<ul><li>US Residency</li></ul>	Non US Re	esidency Activ	e US Military Service	
<b>City</b> Anytown	State/Province	VA Count	ry of Residence	us	
				-	
Mailing Address of Inventor:					\$
Address 1 987 Oak Stre	et				
Address 2					
<b>City</b> Anytown		State/Pro	vince VA		
Postal Code 12345		Country	US		
Inventor 3			R	emove	
Legal Name			- <del> </del>	<u> </u>	*
22	2000 200 200		Family Name		Suffix
Prefix Given Name	Middle Name	9	Family Name		Sullix
Prefix Given Name  Mr. Hiram	Middle Name	<b>3</b>	Stein Stein		Julix

Application Da	ata Sheet 37 CFR 1.70	Attorney Docket Number			
Application Da	ata Sileet 37 OFK 1.7	Application Number			
Title of Invention	Semiconductor				
City Anytown State/Province VA Country of Residence US					
Mailing Address o	f Inventor:				
Address 1	123 Elm Street				
Address 2					
City Anyt	own	State/Province VA			
Postal Code	12345	Country			
	st Be Listed - Additional nis form by selecting the A	Inventor Information blocks may be Add button.			

### **Correspondence Information:**

Enter either Customer For further information	AND THE PERSON NAMED IN COLUMN TWO IS NOT THE PERSON NAMED IN COLUMN TWO IS NAMED IN COLUMN TWO I	Correspondence Information	section below.			
An Address is be	ing provided for the corres	pondence Information of thi	s application.			
Name 1	Adam Smith	Name 2				
Address 1	123 Main Street	123 Main Street				
Address 2						
City	Anytown	State/Province	VA			
<b>Country</b> US		Postal Code	12345			
Phone Number	(571) 555-1212	Fax Number				
Email Address	asmith@email.gov		Add Email Remove Email			

## **Application Information:**

Title of the Invention	Semiconductor	Semiconductor			
Attorney Docket Number			Small Entity Status Claimed		
Application Type	Nonprovisional	lonprovisional			
Subject Matter	Utility			-	
Suggested Class (if any)			Sub Class (if any)		
Suggested Technology C	enter (if any)				
Total Number of Drawing Sheets (if any)		5	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.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	
		Application Number	
Title of Invention	Semiconductor		

## Representative Information:

this information in the App Either enter Customer Nu	olication Data Sheet does not co	onstitute a power of attorney in entative Name section below. I	or of attorney in the application. Providing the application (see 37 CFR 1.32). If both sections are completed the customer
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			Remove	
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 <b>Add</b> 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).

Remove

Application Number

Country<sup>I</sup>

Filing Date (YYYY-MM-DD)

Priority Claimed

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

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Application Data Sheet 37 CFR 1.76		Attorney Docket Number	
Application ba	ta Sileet 37 CFK 1.70	Application Number	
Title of Invention	Semiconductor		
the Japan Patent Office and any other intellect is filed access to the indoes not wish the EPC to the instant patent are accordance with 37 to: 1) the instant patent claims priority under 3.	ual property offices in which a forstant patent application. See 37 D, JPO, KIPO, WIPO, or other interplication is filed to have access CFR 1.14(h)(3), access will be put application-as-filed; 2) any fore 5 U.S.C. 119(a)-(d) if a copy of the filed in the instant patent application.	Property Office (KIPO), the Wooreign application claiming prioring CFR 1.14(c) and (h). This box tellectual property office in whice to the instant patent application provided to a copy of the instant eign application to which the instant the foreign application that satisf	rld Intellectual Property Office (WIPO), ty to the instant patent application should not be checked if the applicant h a foreign application claiming priority n. t patent application with respect tant patent application fies the certified copy requirement of
n accordance with 37	CFR 1.14(c), access may be pro	ovided to information concerning	g the date of filing this Authorization.

## **Applicant Information:**

Providing assignment inf to have an assignment re			for complianc	e with any requirement	of part 3 of Title 37 of CFR
Applicant 1					
The information to be prov 1.43; or the name and add who otherwise shows suffi applicant under 37 CFR 1.	ided in this section ress of the assigned cient proprietary into 46 (assignee, perso	is the name and addresse, person to whom the incress in the matter who in the the inventor to whom the inventor	s of the legal nventor is und s the applicar is obligated to	representative who is the der an obligation to assi nt under 37 CFR 1.46. I o assign, or person who	should not be completed. The applicant under 37 CFR applicant under 37 CFR applicant is an applicant is an applicant should be applicant should be
Assignee		Legal Representative ur	nder 35 U.S.0	C. 117 • Jo	pint Inventor
Person to whom the i	nventor is obligated	to assign.	Pers	on who shows sufficien	t proprietary interest
If applicant is the legal r	epresentative, inc	licate the authority to	file the pater	nt application, the inv	entor is:
Name of the Deceased or Legally Incapacitated Inventor :					
If the Applicant is an Organization check here.					
Prefix	Given Name	Middle Nam	ne	Family Name	Suffix
Mr. ▼	Adam		*	Smith	<b>-</b>

Application Data Sheet 37 CFR 1.76		Attorney Docket Number						
		Application N	lumber	is a				
Title of Invention	ntion Semiconductor							
Mailing Address I	nformation:							
Address 1	123 M	ain Street						
Address 2								
City	Anytov	vn		State/Prov	ince	VA		
Country US	10 <u>2</u> 2			Postal Cod	е	12345		
Phone Number	(571) 5	555-1212		Fax Numbe	er			
Email Address	asmith	@email.gov			***			
Additional Applicant	Data may be g	enerated with	nin this form by	selecting the	e Add butto	on.	Add	
Applicant 2								
The information to be 1.43; or the name and who otherwise shows applicant under 37 CF proprietary interest) to identified in this section	address of the as sufficient propriet R 1.46 (assignee gether with one o	ssignee, perso ary interest in t , person to who	n to whom the ir the matter who i om the inventor	ventor is unde s the applicant is obligated to	er an obligat t under 37 C assign, or p	ion to assign CFR 1.46. If th person who ot	the invention ne applicant is therwise show	, or person s an ws sufficient
Assignee		Legal Re	epresentative ur	der 35 U.S.C	. 117	Joint	Inventor	
Person to whom t	he inventor is obl	igated to assig	n.	Perso	n who show	s sufficient p	roprietary inte	erest
If applicant is the le	gal representativ	e, indicate th	ne authority to f	le the paten	t applicatio	n, the inven	tor is:	
Deceased								
Name of the Decea	sed or Legally I	ncapacitated	Inventor : Mary	Williams				
If the Applicant is a	an Organization	check here.						
Prefix	Given Na	me	Middle Nam	Middle Name Fam		me	Suffix	
Mr.	John			,	Williams			
Mailing Address l	nformation:		and the			-	- 15	
Address 1	987 O	ak Street						
Address 2								
City	Anytov	vn		State/Prov	ince	VA		
Country US				Postal Cod	е	12345		
Phone Number				Fax Numbe	er			
Email Address						l.		
Additional Applicant	Data may be g	enerated with	nin this form by	selecting the	e Add butto	on.	Add	

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	
		Application Number	
Title of Invention	Semiconductor		

Non-Appl	icant Ass	ignee Informa	ation:				
Providing assign			not subsitute fo	r compliance v	with any requ	irement of pa	rt 3 of Title 37 of CFR to
Assignee	1						
accordance with	37 CFR 1.215( ated to assign, c		his section an ap	plicant under	37 CFR 1.46	(assignee, p	
If the Assigne	ee is an Organ	ization check here.	2			F	Remove
Prefix		ven Name	Middle Nan	ne	Family Na	me	Suffix
	•						
Mailing Add	ress Informat	ion:			1880		
Address 1							
Address 2				78			
City				State/Prov	vince	54	
Country		40		Postal Cod	de		
Phone Numb	er			Fax Numb	er		
Email Addres	SS				3.0		
Additional Ass	signee Data m	ay be generated wit	thin this form b	y selecting th	ne Add butto	on.	Add
Signature	:						Remove
NOTE: This certifications	form must be s	signed in accordanc	ce with 37 CFR	1.33. See 3	37 CFR 1.4	for signature	requirements and
Signature	/Adam Smith/				Date ()	YYY-MM-D	D)
First Name	Adam	Last Name	Smith		Registra	ation Numbe	r.
Additional Sig	gnature may b	e generated within t	this form by se	ecting the A	dd button.		Add

PTO/AIA/14 (08-12) Approved for use through 01/31/2014. OMB 0651-0032

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Application Data Sheet 37 CFR 1.76		Attorney Docket Number	
		Application Number	
Title of Invention	Semiconductor		

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 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.
- 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 3

### **Corporate Assignee as Applicant**

### **FACTS:**

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

**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 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 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.

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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 belo	w named inventor, I hereby declare that:
This declar	
	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 tha	at I am the original inventor or an original joint inventor of a claimed invention in the application.
	knowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 aprisonment of not more than five (5) years, or both.
	WARNING:
contribute to (other than a to support a petitioners/a USPTO. Pe application ( patent. Furt referenced i	oplicant is cautioned to avoid submitting personal information in documents filed in a patent application that may be identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO petition or an application. If this type of personal information is included in documents submitted to the USPTO, applicants should consider redacting such personal information from the documents before submitting them to the estitioner/applicant is advised that the record of a patent application is available to the public after publication of the funless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a schermore, the record from an abandoned application may also be available to the public if the application is no a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms submitted for payment purposes are not retained in the application file and therefore are not publicly available.
LEGAL N	AME OF INVENTOR
Inventor:	Adam Smith Date (Optional): 11/30/12
	/Adam Smith/
	lication data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have sly 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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- 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).
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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)).
- 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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# 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 belo	w named inventor, I hereby declare that:
This declar	
	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 tha	at I am the original inventor or an original joint inventor of a claimed invention in the application.
	knowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 aprisonment of not more than five (5) years, or both.
	WARNING:
contribute to (other than a to support a petitioners/a USPTO. Pe application ( patent. Furt referenced i	oplicant is cautioned to avoid submitting personal information in documents filed in a patent application that may be identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO petition or an application. If this type of personal information is included in documents submitted to the USPTO, applicants should consider redacting such personal information from the documents before submitting them to the etitioner/applicant is advised that the record of a patent application is available to the public after publication of the (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a thermore, the record from an abandoned application may also be available to the public if the application is n a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms submitted for payment purposes are not retained in the application file and therefore are not publicly available.
LEGAL N	AME OF INVENTOR
Inventor:	Matthew Jones Date (Optional): 12/03/12
Signature	/Matthew Jones/
	lication data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have sly 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.

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.

- 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
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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)).
- 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	Compound A
As the below	w named inventor, I hereby declare that:
This declara	. The first the allachen application on
	United States application or PCT international application number
	filed on
The above-i	identified application was made or authorized to be made by me.
I believe tha	at I am the original inventor or an original joint inventor of a claimed invention in the application.
	knowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 aprisonment of not more than five (5) years, or both.
	WARNING:
contribute to (other than a to support a petitioners/a USPTO. Pe application ( patent. Furt referenced in	oplicant is cautioned to avoid submitting personal information in documents filed in a patent application that may be identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO petition or an application. If this type of personal information is included in documents submitted to the USPTO, applicants should consider redacting such personal information from the documents before submitting them to the etitioner/applicant is advised that the record of a patent application is available to the public after publication of the (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a thermore, the record from an abandoned application may also be available to the public if the application is n a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms submitted for payment purposes are not retained in the application file and therefore are not publicly available.
LEGAL NA	AME OF INVENTOR
Inventor:	Hiram Stein Date (Optional): 12/10/12
Signature:	/Hiram Stein/
	lication data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have sly 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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- 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)).
- 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.

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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	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								
	aper filers only. Appli								dant to
Inventor Infor	mation:								
Inventor 1							Re	emove	
Legal Name									
Prefix Given Nar	ne	Mi	liddle Name			Family N	lame		Suffix
Mr. ▼ Adam						Smith			
Residence Inform	nation (Select One)	<ul><li>US</li></ul>	Residency	O No	on US Res	idency (	Activ	e US Military Service	
<b>City</b> Anytown		State/	Province	VA	Country	y of Resid	lence	us	
Mailing Address of	Inventor:								
Address 1	123 Main Stre	et							
Address 2									
City Anyto	own			St	tate/Prov	ince	VA		
Postal Code	12345		,	Countr	yi	us	-		
Inventor 2	1 1						Re	emove	
Legal Name							0.		
Prefix Given Nar	ne	Mi	ddle Name			Family N	lame		Suffix
Mr. Matthew						Jones			
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State/Province

Non US Residency

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Country

Middle Name

VA

**Family Name** 

Remove

Active US Military Service

Suffix

Address 2

**Postal Code** 

Inventor 3
Legal Name

**Prefix** 

Mr.

City

Anytown

**Given Name** 

Hiram

12345

Residence Information (Select One) US Residency

	Attorney Docket Number XYZ.0427										
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Total	Total Number of Drawing Sheets (if any) 9 Suggested Figure for Publication (if any) 1										
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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.

Application Da	ta Sheet 37 CFR 1.76	Attorney Docket Number	XYZ.0427
Application Da	ita Sileet 37 CFK 1.76	Application Number	
Title of Invention			
Please Select One	: Customer Number	r US Patent Practition	er 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.

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).

Remove

Application Number

Country<sup>I</sup>

Filing Date (YYYY-MM-DD)

Priority Claimed

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 Da	ta Sheet 37 CED 1 76	Attorney Docket Number	XYZ.0427
Application Data Sheet 37 CFR 1.76		Application Number	
Title of Invention	Compound A		

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	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 applicant 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 un	der 35 U.S.C. 117	Joint Inventor					
Person to whom the invent	tor is obligated to assign.	Person who show	s sufficient proprietary interest					
If applicant is the legal repre	sentative, indicate the authority to f	ile the patent application	on, the inventor is:					
			₹					
Name of the Deceased or Lo	egally Incapacitated Inventor:							
If the Applicant is an Organ	nization check here.							
Organization Name	Z Corporation							
Mailing Address Informat	tion:							
Address 1	123 Main Street							
Address 2								
City	Dover	State/Province	DE					
Country US		Postal Code	12345					
Phone Number	Phone Number Fax Number							

Add

Under the	Paperwork Reduction	Act of 1995, no pers	sons are required to	respond to a collec	tion of information	on unless it contains	a valid OMB control number
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Assignee 1							
Complete this section accordance with 37 C inventor is obligated tinclude the name of t	FR 1.215(b). Do to assign, or pers	not include in th	nis section an ap	plicant under 3	37 CFR 1.46	(assignee, perso	on to whom the
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If the Assignee is	an Organizatio	n check here.					
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Signature /John	n Q. Practitioner/				Date (Y	YYY-MM-DD)	2012-13-12
First Name Joh	ın	Last Name	Practitioner		Registra	tion Number	98765

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

PTO/AIA/14 (08-12) Approved for use through 01/31/2014. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Application Da	ta Sheet 37 CED 1 76	Attorney Docket Number	XYZ.0427
Application Data Sheet 37 CFR 1.76		Application Number	
Title of Invention	Compound A		

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  the record.
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### 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.

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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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	Data Processing System
As the belo	w named inventor, I hereby declare that:
This declar	
	United States application or PCT international application number
	filed on
The above-	dentified application was made or authorized to be made by me.
I believe tha	t I am the original inventor or an original joint inventor of a claimed invention in the application.
	knowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 aprisonment of not more than five (5) years, or both.
	WARNING:
contribute to (other than a to support a petitioners/a USPTO. Pe application ( patent. Furt referenced i	oplicant is cautioned to avoid submitting personal information in documents filed in a patent application that may be identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO petition or an application. If this type of personal information is included in documents submitted to the USPTO, applicants should consider redacting such personal information from the documents before submitting them to the entitioner/applicant is advised that the record of a patent application is available to the public after publication of the unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a chermore, the record from an abandoned application may also be available to the public if the application is a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms submitted for payment purposes are not retained in the application file and therefore are not publicly available.
LEGAL N	AME OF INVENTOR
Inventor:	Matthew Jones Date (Optional): 12/03/12
Signature	/Matthew Jones/
	ication data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have sly 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.

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.

- 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.

Document Description: Oath or declaration filed

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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)

Title of Invention	Data Processing System						
This stateme	ent is directed to:						
The att	ached application,						
OR							
United States application or PCT international application numberfiled on							
LEGAL NA	ME of inventor to whom this sub	stitute statement appli	es:				
	(E.g., Given Name (first and middle (if any)) and Family Name or Surname)  Mary Williams						
Residence (	except for a deceased or legally incapa	citated inventor):					
City		Ct-t-	C	£			
City Mailing Addre	ss (except for a deceased or legally incapa	<del></del>	Cour	ntry			
City		State	2	Zip	Country		
	above-named inventor or joint inventor plication.	r to be the original inventor	or ar	n original joint inventor	of a claimed invention		
The above-i	dentified application was made or auth	orized 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.							
Relationsh	ip to the inventor to whom this substitu	te statement applies:					
Le	egal Representative (for deceased or le	egally incapacitated invento	r only	),			
A:	Assignee,						
P	erson to whom the inventor is under an	obligation to assign,					
☐ P	erson who otherwise shows a sufficient	proprietary interest in the r	matte	r (petition under 37 CF	R 1.46 is required), or		
Jo	oint Inventor.						

[Page 1 of 2]

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.** 

# SUBSTITUTE STATEMENT

Circumstances permitting execution of this substitute statement:							
Inventor is deceased,							
Inventor is under legal incapacity,	Inventor is under legal incapacity,						
Inventor cannot be found or reached after	er diligent effort, or						
Inventor has refused to execute the oath	or declaration under 37 C	FR 1.63.					
If there are joint inventors, please check the appr	opriate box below:						
An application data sheet under 37 CFR or is currently submitted.	1.76 (PTO/AIA/14 or equiv	ralent) naming the entire in	ventive entity has been				
OR							
An application data sheet under 37 CFR Statement Supplemental Sheet (PTO/Al information is attached. See 37 CFR 1.6	A/11 or equivalent) naming						
	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 STATE  Name: John Taylor (Presid		rnoration)	12/03/12				
Name: JOIIII Taylor (Tresid		poration) Dat	te (Optional):				
Signature: /John Taylor/			-				
Residence (unless provided in an application data	sheet, PTO/AIA/14 or equiv	alent):					
<sub>City</sub> Dover	Dover State DE Country USA						
Mailing Address (unless provided in an application data sheet, PTO/AIA/14 or equivalent)  123 Main Street							
<sub>City</sub> Dover	State <b>DE</b>	<sub>Zip</sub> 12345	Country USA				
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.							

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.

- 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.
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Document Description: Oath or declaration filed

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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)

Title of Invention	Data Processing System							
This stateme	ent is directed to:							
The att	ached application,							
OR								
United	United States application or PCT international application number filed on							
LEGAL NA	ME of inventor to whom this sub	stitute statement appli	es:					
(E.g., Given Hiram	Name (first and middle (if any)) and Fa	amily Name or Surname)						
Residence (	except for a deceased or legally incapa	citated inventor):	1					
City	8	· · · · · · · · · · · · · · · · · · ·	Cour	ntry				
Mailing Addre	Mailing Address (except for a deceased or legally incapacitated inventor):							
City		State		Zip	Country			
	e above-named inventor or joint invento plication.	r to be the original inventor	or ar	n original joint inventor	of a claimed invention			
The above-i	identified application was made or auth	orized 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.								
Relationsh	ip to the inventor to whom this substitut	te statement applies:						
Legal Representative (for deceased or legally incapacitated inventor only),								
Assignee,								
	erson to whom the inventor is under an	obligation to assign,						
☐ P	erson who otherwise shows a sufficient	t proprietary interest in the r	matte	er (petition under 37 CF	R 1.46 is required), or			
Jo	pint Inventor.							

[Page 1 of 2]

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# SUBSTITUTE STATEMENT

Circumstances permitting execution of this substi	tute statement:								
Inventor is deceased,									
Inventor is under legal incapacity,									
Inventor cannot be found or reached after	Inventor cannot be found or reached after diligent effort, or								
Inventor has refused to execute the oath	n or declaration under 37 Cl	FR 1.63.							
If there are joint inventors, please check the appr	opriate box below:								
An application data sheet under 37 CFR or is currently submitted.	1.76 (PTO/AIA/14 or equiv	alent) naming the entire in	ventive entity has been						
OR									
An application data sheet under 37 CFR Statement Supplemental Sheet (PTO/Al information is attached. See 37 CFR 1.6	A/11 or equivalent) naming								
	WARNING:								
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PERSON EXECUTING THIS SUBSTITUTE STATE	EMENT:								
Name: John Taylor (Presid	ent, XYZ Co	ILICITIES	12/03/12 e (Optional):						
Signature: /John Taylor/									
Residence (unless provided in an application data	sheet, PTO/AIA/14 or equiv	alent):							
<sub>City</sub> Dover	Dover State DE Country USA								
Mailing Address (unless provided in an application data sheet, PTO/AIA/14 or equivalent)  123 Main Street									
<sub>City</sub> Dover	State <b>DE</b>	<sub>Zip</sub> 12345	Country USA						
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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Active US Military Service

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Application Data Sheet 37 CFR 1.76				Application	n Num	ber					
Title of	Invention	Data P	rocessing Sys	tem				1			
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Mr. ▼	Matthew					7.00		Jones			
		nation (	Select One)	_	Residency		Non US Re	4000000		US Military Service	<b>9</b>
City	Anytown			State/	Province	VA	Countr	y of Resid	ence	US	
Mailing	Address of	Invent	or:								
Addres	ss 1		123 Oak Stre	et							
Addres	ss 2										
City	Anyto	own					State/Prov	vince	VA		
Postal	Code		12345			Coun	tryi	us			
Invent	or 2								Re	move	
Legal N	Name								905		
Prefix	Given Nar	ne		M	/liddle Name			Family Name			Suffix
Mrs. ▼	Mary							Williams			
Resid	ence Inforn	nation (	Select One)	• US	Residency	0	Non US Re	sidency (	Active	US Military Service	
City				State/	Province		Countr	y of Resid	ence	***	
	-		-	31				E.S.			
Mailing	Address of	Invent	or:								
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Stein

Non US Residency

Mr.

Hiram

Residence Information (Select One) US Residency

	Attorney Docket Number 324XYZ 5478											
Appli	ication Dat	et 37 CFR	1.76	Application	on Num	ber						
Title of	Title of Invention Data Processing System											
City	City Anytown State/Province VA Country of Residence US									Ī		
	= <del>1</del>								,	ans.		
Mailing	Mailing Address of Inventor:											
Addre	ess 1		123 Elm Stree	et								
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Posta	l Code		12345			Coun	tryi	us				
	ventors Must ated within this					ormatio	n blocks	may be		Add		
Corre	sponden	ce Inf	formatio	n:								
	either Custor either informa				the Corres	ponde	nce Infor	mation sec	ction be	low.		
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Appl	ication In	forma	ation:									
Title o	of the Invention	on	Data Proces	sing Sy	stem							
Attorn	ney Docket N	umber	324XYZ 547	8	Small Entity Status Claimed							
Applic	cation Type		Nonprovision	nal								-
Subject Matter Utility						Ų						
Sugge	ested Class (i	if any)					Sul	Class (if	any)			
Sugge	Suggested Technology Center (if any)											
Total	Total Number of Drawing Sheets (if any) 7 Suggested Figure for Publication (if any) 1								1			
Publication Information:												
Request Early Publication (Fee required at time of Request 37 CFR 1.219)												
35	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.

Application Data Sheet 37 CFR 1.76			A 76	Attorney Docket Number		324XYZ 5478		
			A 1.70	Application Number				
Title of Invention Data Processing System								
Please Select (	One:	Custome	r Number	US Patent Practitions		er 🔵 Li	mited Recognition	(37 CFR 11.9)
Prefix	Given N	ame	Middle Na	ame	Family Na	me	Suffix	D
Mr.	John		Q.	Practitioner				Remove
Registration Number 98765								
Additional Representative Information blocks may be generated within this form by selecting the <b>Add</b> button.								

## **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).

Remove

Application Number

Country

Filing Date (YYYY-MM-DD)

Priority Claimed

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### **Authorization to Permit Access:**

Authorization to Permit Access to the Instant Application by the Participating Offices

Application Da	ta Shoot 37 CED 1 76	Attorney Docket Number	324XYZ 5478
Application Data Sheet 37 CFR 1.76		Application Number	
Title of Invention	Data Processing System		

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:**

2							
	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 applicant 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 u	nder 35 U.S.C. 117	Joint Inventor				
Person to whom the 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:							
			V				
Name of the Deceased or Le	egally Incapacitated Inventor:						
If the Applicant is an Organ	ization check here.						
Organization Name	Z Corporation						
Mailing Address Information:							
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Address 2							
City	Dover	State/Province	DE				
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Title of Invention	Data P	rocessing System						
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NOTE: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications

Signature /John Q. Practitioner/ Date (YYYY-MM-DD) 2012-13-12

First Name John Last Name Practitioner Registration Number 98765

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Application Da	ta Shoot 37 CED 1 76	Attorney Docket Number	324XYZ 5478
Application Data Sheet 37 CFR 1.76		Application Number	
Title of Invention	Data Processing System		

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.** 

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- 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.
- 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.
- 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.
- 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.
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