

December 9, 2016

Filing a Petition

3.1 Initiate New Petition

To create a new petition, log into PTAB E2E and you will be taken to your dashboard. See Figure 1 below.

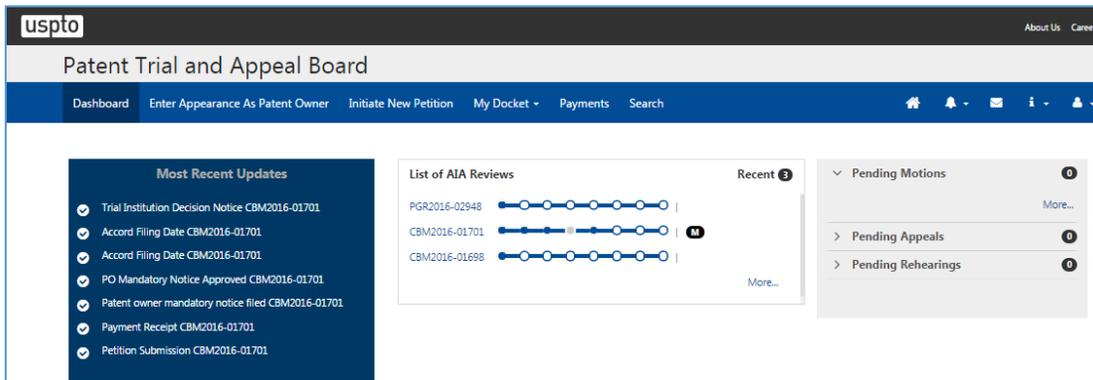


Figure 1: PTAB E2E Dashboard

Select “Initiate New Petition” located on the dashboard ribbon. See Figure 2: Dashboard Ribbon below.



Figure 2: Dashboard Ribbon

3.2 Patent Verification

You will be taken to the “Initiate New Petition” wizard. Verify that the Patent in question exists by selecting the Trial Type (Inter Partes Review, Post Grant Review, Covered Business Method, or Derivation AIA Review) from the dropdown as shown in Figure 3 below.

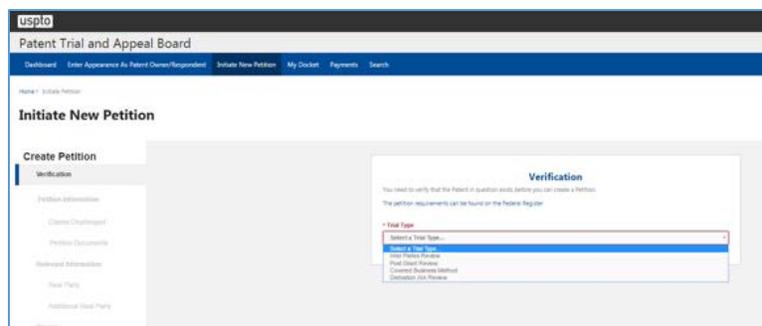


Figure 3: Initiate New Petition

Enter the US Patent Number in the following format: seven-digit patent number without commas (Utility patents, e.g. 1234567) and click “Verify”.

[For specialty patents, use the following:](#)

- 'D' followed by six-digit number for Design Patents (e.g. D123456)
- 'T' followed by six-digit number for Defensive Publication (e.g. T123456)
- 'H' followed by six-digit number for Statutory Invention Registration (e.g. H123456)
- 'PP' followed by five-digit number for Plant Patents (e.g. PP12345)
- 'RE' followed by five-digit number for Reissue Patents (e.g. RE12345)
- 'AI' followed by six-digit number for Additional Improvements (e.g. AI123456)
- 'RX' followed by one to five-digit number for Re-examination (e.g. RX1, RX12, RX12345)
- 'US' followed by 11-digit number for United States Pre-Grant Patent Publications (e.g. US01234567890)

The screenshot shows the USPTO Patent Trial and Appeal Board website. The main navigation bar includes 'Dashboard', 'Enter Appearance As Patent Owner/Respondent', 'Initiate New Petition', 'My Docket', 'Payments', and 'Search'. The current page is 'Initiate New Petition'. On the left, there is a 'Create Petition' sidebar with options: 'Verification', 'Petition Information', 'Claims Challenged', 'Petition Documents', 'Relevant Information', 'Real Party', 'Additional Real Party', and 'Reversal'. The main content area is titled 'Verification' and contains the following text: 'You need to verify that the Patent in question exists before you can create a Petition. The petition requirements can be found on the Federal Register.' Below this, there is a 'Trial Type' dropdown menu set to 'Inter Partes Review'. A 'Patent Number' field is highlighted in red and contains the text '12345'. Below the field, it says 'Patent Number must be following format:' followed by a list of formats: '6 or 7 digit number', 'D' followed by 6 digit number (e.g. D123456), 'T' followed by 6 digit number (e.g. T123456), 'H' followed by 6 digit number (e.g. H123456), 'PP' followed by 5 digit number (e.g. PP12345), 'RE' followed by 5 digit number (e.g. RE12345), 'AI' followed by 6 digit number (e.g. AI123456), 'RX' followed by 1 to 5 digit number (e.g. RX1, RX12, RX12345), and 'US' followed by 11 digit number (e.g. US01234567890). A 'Verify' button is located at the bottom of the form.

Figure 4: Patent Verification

3.3 Create Petition

Verify Patent information and click on “Create Petition” to begin the process or start over by clicking on “Start Over”. See Figure 5 below.

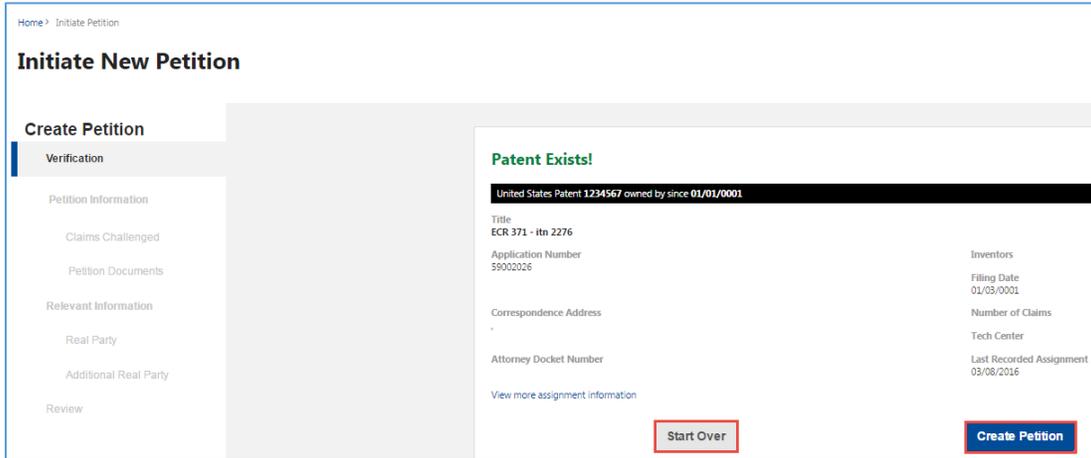


Figure 5: Create Petition

3.4 Petition Information

Click on “Continue” or if you wish to withdraw the petition then click on “Withdraw Petition”. NOTE: Do not use the “Pencil Icon” to enter petition name. See Figure 6.

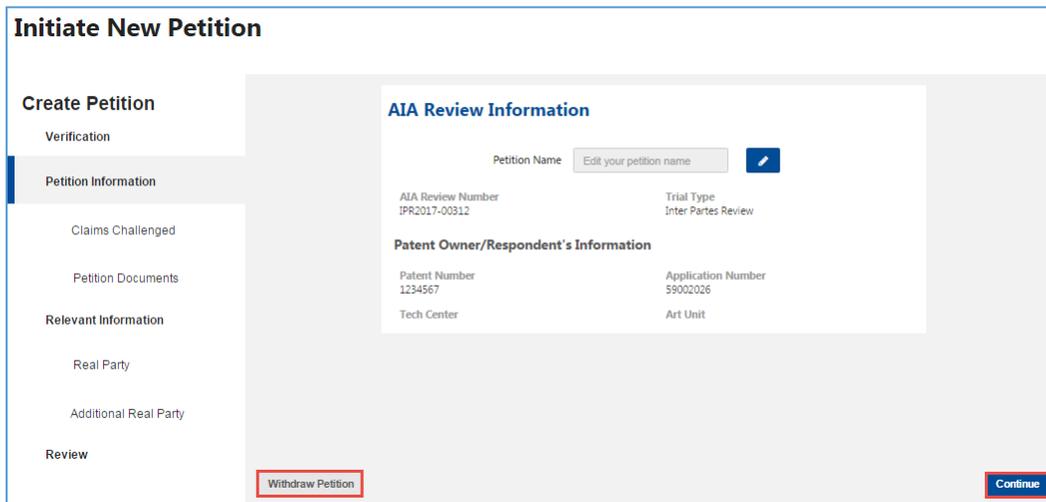


Figure 6: Petition Information

3.5 Claims Challenged

1. In this section, select “Statutory Ground” (35 U.S.C 101, 35 U.S.C 102, or 35 U.S.C 103, or 35 U.S.C 112).
2. Enter challenged claim numbers subject to the entered Statutory Ground.
3. Enter “Prior Art,” citation (e.g. Smith & Jones, U.S. Pat. 1,234,567).
4. You also have the option for additional prior art for the same statutory ground and claims by clicking the “Additional Prior art” plus sign as shown in Figure 7: Add Claims below.
5. Click the “Add” button to continue to add or “Clear Form” to start over (see Figure 7)
6. Enter next Statutory Grounds, challenged claim numbers and prior art.

Claims Challenged

* Statutory Grounds

* Challenged Claim Numbers
e.g. 2,3-6,8,15-19

* Prior Art

Additional Prior Art

Figure 7: Add Claims

7. Your claim, prior art, and statutory ground is now added to the petition. You will have the ability to edit your metadata with the “Pencil icon” or delete your metadata with the “Trash can” icon. Press “Continue” (see Figure 8).

Statutory Ground 35 U.S.C 102

Claims	Prior Art	Statutory Ground	Actions
1	Computer	35 U.S.C 102	<input type="button" value="Pencil"/> <input type="button" value="Trash"/>

Figure 8: Submit Claims

3.6 Petition Documents

In this section you will upload your petition document, your power of attorney, and your exhibit(s). See Figure 8 below.

1. Select “Type”: “Paper” or “Exhibit”.
2. Select “Paper Type”: “Corrected Petition”, “Declaration”, “Exhibit List”, “Notice”, “Notice of Deposition”, “Objection”, “Opposition”, “Oral Hearing Request”, “Other”, “Petition”, “Power of Attorney”, “Refund Request”, “Reply”, or “Response”.
3. Type the name of the document in the “Name” field.
4. Select “Choose File” to attach document.
5. Select “Availability”: “Available for everyone”, “Available to parties and board”, “Available to filing party and board”, or “Available only to the board”.
6. Click on “Add Document” or use the “Trashcan icon” to delete your document. Click on “Clear Form” to start over. See Figure 9 below.

The figure consists of two screenshots of the 'Petition Documents' web form. The top screenshot shows the form with the 'Paper Type' dropdown menu open, displaying a list of options including 'Corrected Petition', 'Declaration', 'Exhibit List', 'Notice', 'Notice of Deposition', 'Objection', 'Opposition', 'Oral Hearing Request', 'Other', 'Petition', 'Power of Attorney', 'Refund Request', 'Reply', and 'Response'. The 'Name' field is empty, and the 'Availability' dropdown is set to 'Available for everyone'. The 'Attach a document' section shows 'Choose File' and 'No file chosen'. The 'Add Document' and 'Clear Form' buttons are visible. The bottom screenshot shows the form with the 'Paper Type' dropdown set to 'Corrected Petition', the 'Name' field containing 'Corrected Petition', and the 'Availability' dropdown set to 'Available for everyone'. The 'Attachment' section shows '006-PET-petition.pdf' with a trashcan icon. The 'Add Document' button is highlighted in red, and the 'Clear Form' button is visible. The 'Withdraw Petition' and 'Continue' buttons are also present in both screenshots.

Figure 9: Add Petition Documents

7. You will have the ability to edit your metadata with the “Pencil icon” or delete your metadata with the “Trash can icon.”
8. Click “Continue” or if you wish to withdraw your petition then click on “Withdraw Petition”. See Figure 10 below.

Petition Documents

* Type: Paper
 * Name:
 * Availability: Available for everyone.

* Paper Type: Select a paper type
 * Attach a document: No file chosen

Paper#	Filing Date	Type	Paper Type	Title	Pages	Filing Party	Availability	Actions
	12/02/2016	PAPER	Petition	Petition	46	petitioner	PUBLIC	<input type="button" value="Edit"/> <input type="button" value="Delete"/>
	12/02/2016	PAPER	Power of Attorney	POA	4	petitioner	PUBLIC	<input type="button" value="Edit"/> <input type="button" value="Delete"/>
1001	12/02/2016	EXHIBITS		Exhibit 1	12	petitioner	PUBLIC	<input type="button" value="Edit"/> <input type="button" value="Delete"/>

Figure 10: Submit Petition

3.7 Real Party

In this section you will enter the real party information (see Figure 11 below).

1. Select one of the following from the dropdown (Individual or Organization)
2. For Pro Se select (Yes or No) radio button
3. Enter “First Name”, “Last Name”, “Email”, “Address” and/or “Phone Number” information. Fields with an asterisk (“First Name” and “Last Name”) are required fields.
4. Click on “Add Petitioner” when done or “Reset Form” to start over
5. Click on “Continue” to move to the next section or if you wish to withdraw your petition then click on “Withdraw Petition”.

Real Party in Interest

* Party Type

* Pro Se Yes No

Petitioner Information

* First Name * Last Name

Email Country

Address

City

Phone Number Extension

Fax Number

Figure 11: Real Party Information

3.8 Additional Real Party

This section is optional. If you choose to enter additional real party information in this section, you would do it in the same manner as in the previous section.

3.9 Counsel

In this section you will enter your counsel information. Unless you selected “Pro Se”, you must select a “Lead Counsel”.

1. Select one of the following from the dropdown (Lead Counsel, First Backup Counsel, Backup Counsel)
2. Enter counsel’s email address and click on the search icon. If there is a matching email address then First Name, Last Name, Email and/or USPTO Registration Number information will automatically populate (see Figure 12 below).

* Counsel Type

Find counsel by email address or registration number

* First Name * Last Name

* USPTO Registration Number

Figure 12: Counsel Information

3. Enter Address, Country, City, Zip Code, Phone Number, Fax Number and Extension information. Fields with an asterisks are required fields.
4. Click “Add Counsel” when done or “Clear Form” to start over.
5. You may also add additional counsel by providing required information and clicking “Add Counsel” for each additional counsel added. “Clear Form.” See Figure 13 below.
7. Click “Continue” to move to the next section or if you wish to withdraw your petition then click on “Withdraw Petition”.

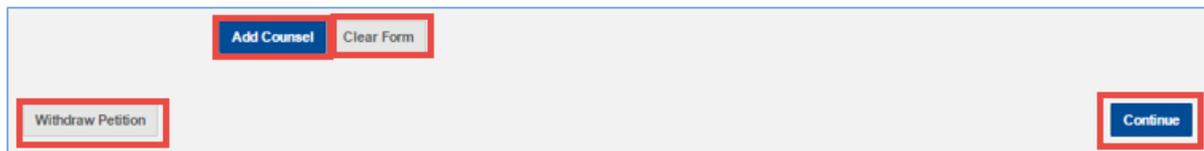


Figure 13: Add Counsel

3.10 Review

In this section, you will be able review all of your information.

- A green check mark indicates that the section is complete.
- A red “X” mark indicates that the section is incomplete.
- The badge number indicates the number of entries that were made for that section.

1. Notice your AIA review is in the “Initiated” status. Press “Pay” to move to the next section to make your payment or if you wish to withdraw your petition then click on “Withdraw Petition”. (see Figure 14 below).

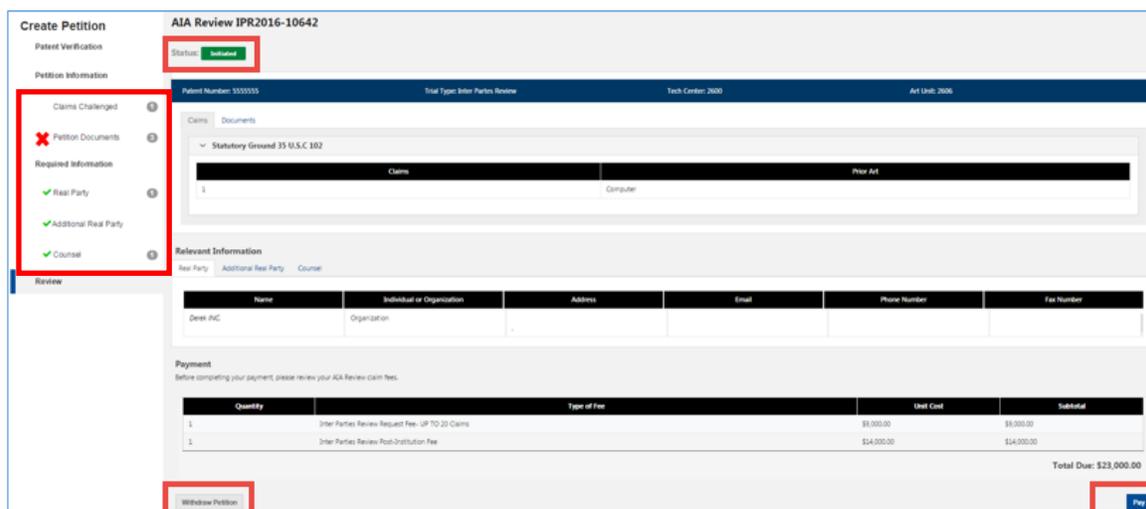


Figure 14: Review Petition

3.11 Make Payment

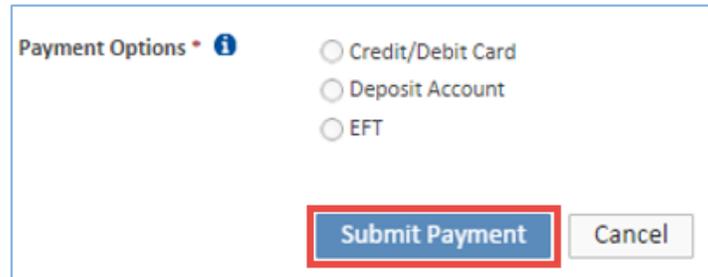
In this section you will have the option to sign in for payment, or pay as a guest.

1. To sign in for payment, your USPTO Financial Manager user credentials and click on “Sign in.”
2. If you have not created a USPTO Financial Manager user account, please proceed to click on **"Pay as a guest" now so that you do not lose your order information.** After completing your payment, visit our Fees Self-Service Help page to learn about how you can start using our new fee payment management tools. (See Figure 15 below.)

The screenshot shows the 'uspto' website's 'Make Payment' page. At the top, there is a navigation bar with 'uspto', 'About Us', 'Careers', and 'Contact Us'. Below this is a blue header with 'Make Payment' and 'Sign in Help' links. A yellow warning box states: 'Warning: Your order exceeds the United States Department of the Treasury's credit card daily limit of \$24,999.99. Please do not pay using a credit card as Treasury will reject the payment and you will be required to start the order process over. You may use a debit card, deposit account, or EFT to successfully complete the payment.' Below the warning is a light blue information box titled 'Why am I landing on this page?' which explains that the USPTO is updating its systems and provides instructions for existing and new users. The main content area is titled 'Sign in for Payment' and includes a paragraph: 'If you are already a USPTO Financial Manager user, you can sign in using your uspto.gov username and password below to pay with your stored payment methods. If you're not a Financial Manager user, you can still checkout as a guest by clicking the Pay as a guest button below.' There are two side-by-side forms. The left form is titled 'Sign in' and has fields for 'Email address or username *' and 'Password *', with a 'Sign in' button highlighted by a red box. The right form is titled 'Pay as a guest' and contains the text 'Continue the payment process as a guest.' with a 'Pay as a guest' button and a 'Cancel' button, both highlighted by a red box.

Figure 15: Fees Self-Service page

3. Select payment option radio button (Credit/Debit Card, Deposit Account, or EFT).
4. Notice you have the option to “Cancel.”
5. Press “Submit Payment” (see Figure 16: Make Payment).



Payment Options ^{*} [i](#)

Credit/Debit Card

Deposit Account

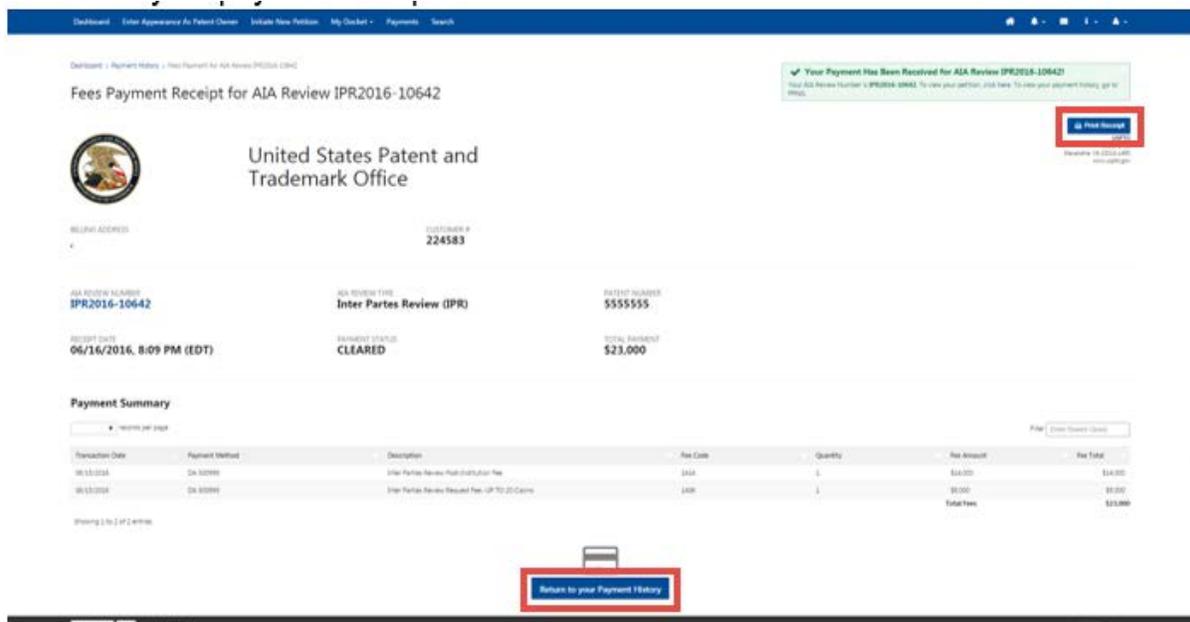
EFT

Submit Payment Cancel

Figure 16: Make Payment

Your Petition has been officially submitted!

Review your payment receipt. Notice you have the option to “Print the Receipt.” (see Figure 17).



Dashboard > Payment History > Fees Payment for AIA Review IPR2016-10642

Fees Payment Receipt for AIA Review IPR2016-10642

United States Patent and Trademark Office

BILLING ADDRESS: [Redacted] CUSTOMER # 224583

AIA REVIEW NUMBER: IPR2016-10642 AIA REVIEW TYPE: Inter Partes Review (IPR) PATENT NUMBER: 5555555

RECEIPT DATE: 06/16/2016, 8:09 PM (EDT) PAYMENT STATUS: CLEARED TOTAL PAYMENT: \$23,000

Payment Summary

Transaction Date	Payment Method	Description	Fee Code	Quantity	Fee Amount	Fee Total
06/15/2016	DA 93099	Inter Partes Review Post-Distribution Fee	IPR	1	\$13,000	\$13,000
06/15/2016	DA 93099	Inter Partes Review Request Fee (IPR 100-Cover)	IPR	1	\$10,000	\$10,000
Total Fees					\$23,000	\$23,000

Showing 1 to 2 of 2 entries

Print Receipt

Return to your Payment History

Figure 17: Review

3. When you have completed your activities and transactions within PTAB E2E, you may logout of PTAB E2E (see Figure 18: Logout screen)

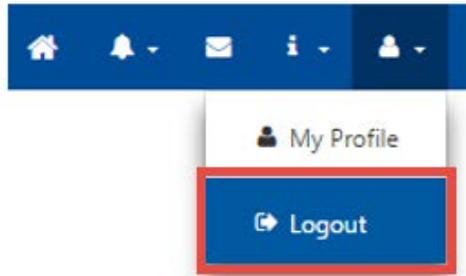


Figure 18: Logout screen