

July 7, 2016

Filing a Petition

3.1 Initiate New Petition

1. To create new petition log into PTAB E2E and you will be taken to your dashboard (see Fig 1 below).

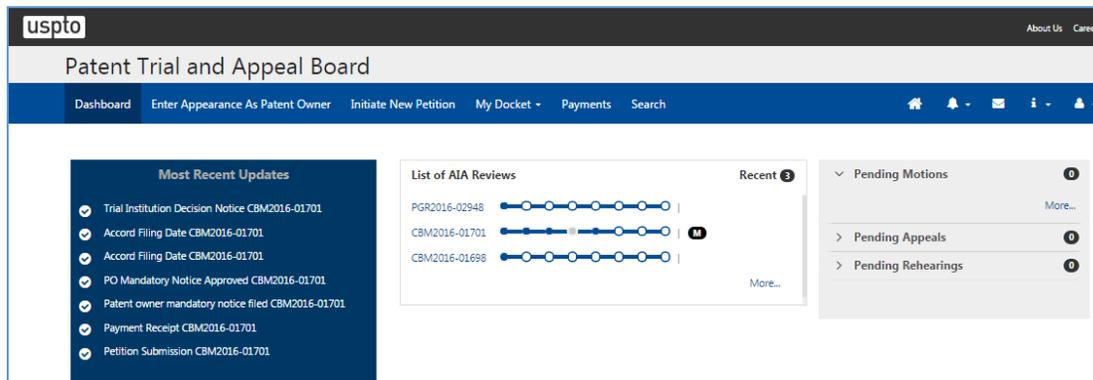


Figure 1. PTAB E2E Dashboard

2. Select “Initiate New Petition” located on the dashboard ribbon (see Fig 2 below).



Figure 2. Dashboard Ribbon

3.2 Patent Verification

1. 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, or Covered Business Method) from the dropdown as shown in (Fig 3 below).

2. Enter Patent number in the following format: seven digit patent number without comas (Utility patents, e.g. 1234567). Or [for specialty patents, use the following](#):

'AI' followed by 6 digit number for Additional Improvements (e.g. AI123456)

'D' followed by 6 digit number for Design Patents (e.g. D123456)

'PP' followed by 5 digit number for Plant Patents (e.g. PP12345)

'RE' followed by 5 digit number for Reissue Patents (e.g. RE12345)

1. Press “Find Patent” (see Fig 3 below).

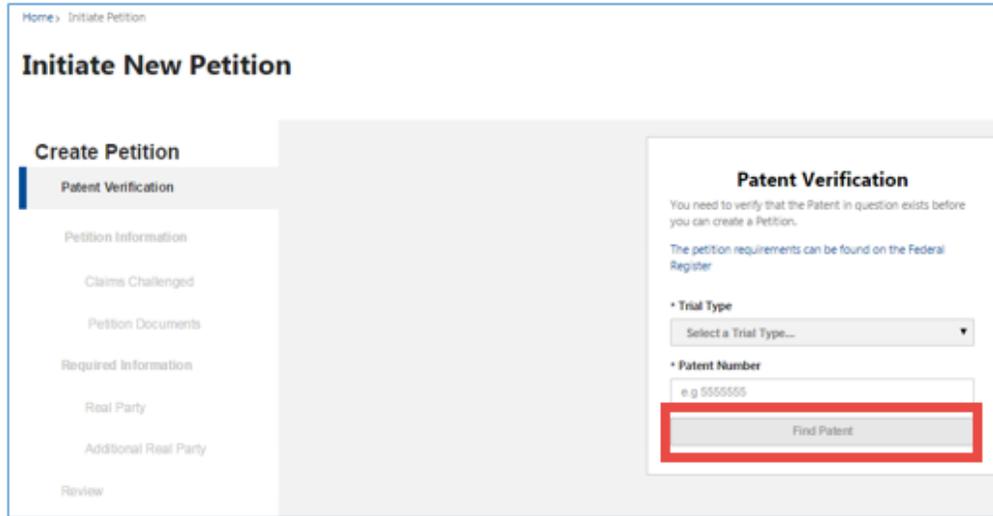


Figure 3. Initiate new Petition

3.3 Patent Exists!

1. Notice that you will have the ability to “Start Over.”
2. Verify Patent information and select “Create Petition” to begin the process or start over (see Fig 4 below).

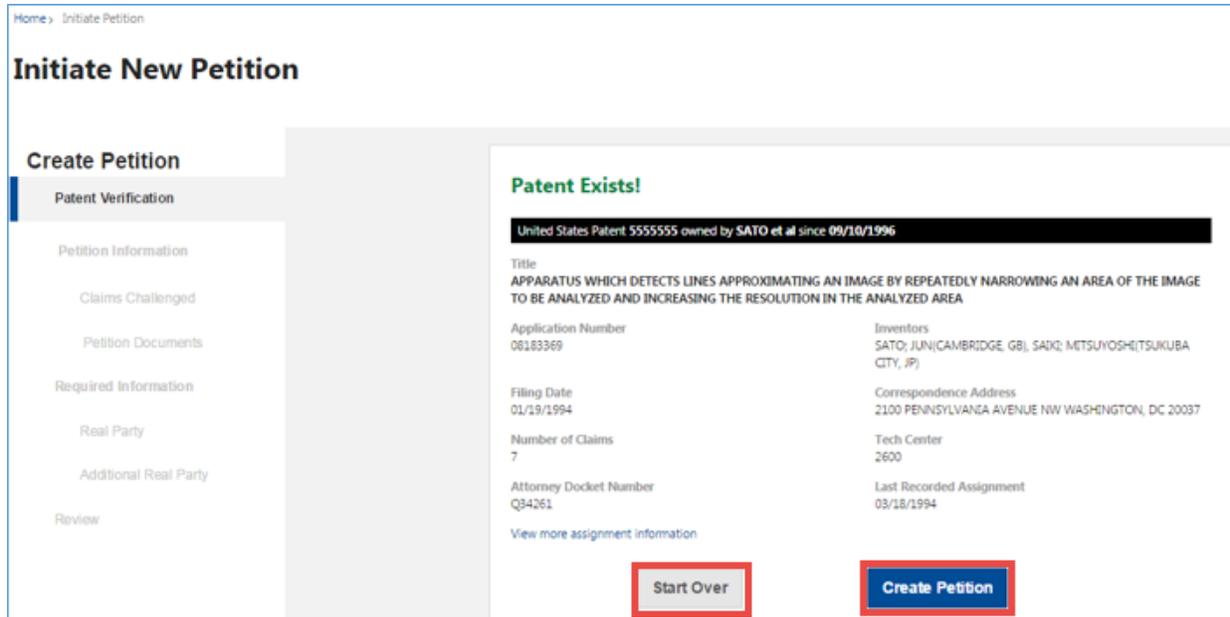


Figure 4. Patent Verification

3.4 Petition Information

1. Notice you will have the ability to “Withdraw Petition.”
2. Notice the “Pencil Icon” give you the ability to enter petition name. Please **IGNORE** this step.
3. Press continue (see Fig 5 below).

Initiate New Petition

The screenshot displays the 'Initiate New Petition' interface. On the left is a vertical navigation menu with the following items: 'Create Petition', 'Patent Verification', 'Petition Information' (highlighted), 'Claims Challenged', 'Petition Documents', 'Required Information', 'Real Party', 'Additional Real Party', and 'Review'. The main content area is titled 'AIA Review Information' and contains a form with the following fields: 'Petition Name' (with a pencil icon and a red box around the input field), 'AIA Review Number' (IPR2016-10702), 'Tech Center', 'Patent Number' (1234567), and 'Art Unit' (Inter Partes Review). At the bottom of the form, there are two buttons: 'Withdraw Petition' (with a red box around it) and 'Continue' (with a red box around it).

Figure 5. 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 to ability to additional prior Art for the same statutory ground and claims by pressing the “Additional Prior Art” plus sign as shown in (Fig 6 below).
5. Notice that you have the ability to “Clear Form.”
6. Press the “Add” button (see Fig 6 below).
7. Enter next Statutory Ground, challenged claims and prior art.

Challenged Claim Numbers

* Statutory Grounds

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

* Prior Art

Additional Prior Art

Figure 6. Add Claims

7. Notice your claim, prior Art, and statutory ground is now added to the petition.
8. Notice you will have the ability to edit your metadata with the “Pencil icon.”
9. Notice you will have the ability to delete your metadata with the “Trashcan icon.”
10. Press “Continue” (see Fig 7 below).

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 7. Submit Claims

3.6 Petition Documents

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

1. Select “Type”: “Paper” or “Exhibit”.
2. Select “Paper Type”: “Corrected Petition”, “Declaration”, “Petition”, “Power of Attorney”, or “Refund Request”.
3. Type Document “Name”.
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. Notice you will have the ability to delete your documents with the “Trashcan icon.”
7. Notice you will have the ability to “Clear Form.”
8. Press “Add” (see Fig 8 below).

Figure 8. Add Petition Documents

7. Notice you will have the ability to edit your metadata with the “Pencil icon.”
8. Notice you will have the ability to delete your metadata with the “Trash can icon.”
9. Notice you will have the ability to “Withdraw Petition.”
9. Press “Continue” (see Fig 9).

| Name | Type | Attachment | Number | Paper Type | Filing Date | Filing Party | Availability | Actions |
|-------------|----------|-----------------------|--------|-------------------|-------------|--------------|--------------|---|
| My Petition | PAPER | Petition.pdf | | Petition | 06/16/2016 | petitioner | PUBLIC |   |
| My POA | PAPER | Power of Attorney.pdf | | Power of Attorney | 06/16/2016 | petitioner | PUBLIC |   |
| My Exhibit | EXHIBITS | Exhibit.pdf | 1001 | | 06/16/2016 | petitioner | PUBLIC |   |

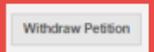
 

Figure 9. Submit Petition Documents

3.7 Real Party

In this section you will enter the real party information (see Figure 10).

1. Select one of the following from the dropdown (Individual or Organization)
2. For Pro Se select (Yes or No) radio button

Figure 10. Real Party Information

3. Enter information from left to right, top to bottom. Fields with an asterisk are required fields.
4. Press “Add” when done.
5. Notice you will have the ability to “Reset Form.”
6. Notice you will have the ability to “Withdraw Petition.”
7. Press “Continue” to move to the next section (see Fig11 below).

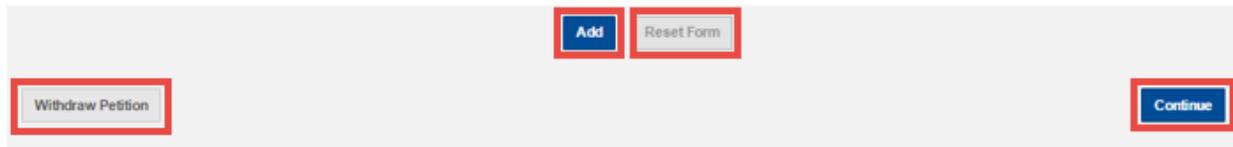
A screenshot of a web interface for entering real party information. At the top, there are two buttons: "Add" (blue) and "Reset Form" (grey). Below them, on the left, is a "Withdraw Petition" button (grey) and on the right is a "Continue" button (blue). All buttons are highlighted with red boxes.

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” in section 7, you must select a “Lead Counsel” (see Fig 12 below).

1. Select one of the following from the dropdown (Lead Counsel, First Back up Counsel, Back up Counsel)
2. Enter counsel’s email address and press the search icon (see Fig 12 below).
3. Click on the search icon below to automatically populate (First Name, Last Name, or USPTO Registration Number)

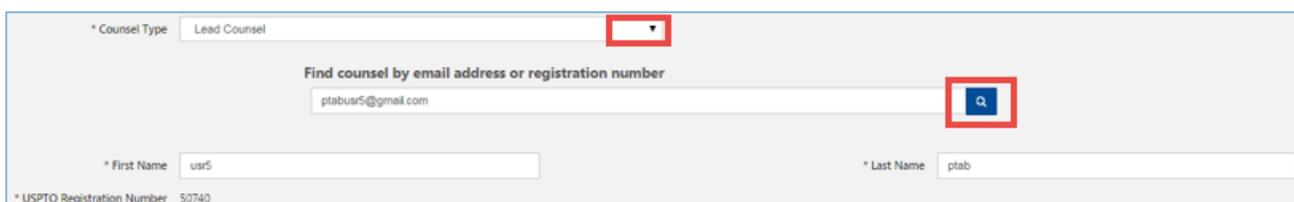
A screenshot of the Counsel Information section. At the top, there is a dropdown menu for "Counsel Type" with "Lead Counsel" selected. Below it is a search bar with the text "Find counsel by email address or registration number" and the email address "ptabus5@gmail.com" entered. A search icon (magnifying glass) is to the right of the search bar. Below the search bar are two input fields: "First Name" with "usr5" and "Last Name" with "ptab". At the bottom left, there is a label "* USPTO Registration Number" followed by the number "50740". The search icon and the "Counsel Type" dropdown are highlighted with red boxes.

Figure 12. Counsel Information

4. Enter information from left to right, top to bottom. Fields with an asterisks are required fields.
5. Press “Add Counsel” when done.
6. You may also add additional counsel by pressing “Add Counsel” again.
7. Notice you will have the ability to “Clear Form.”

8. Notice you will have the ability to “Withdraw Petition.”
9. Press “Continue” to move to the next section.

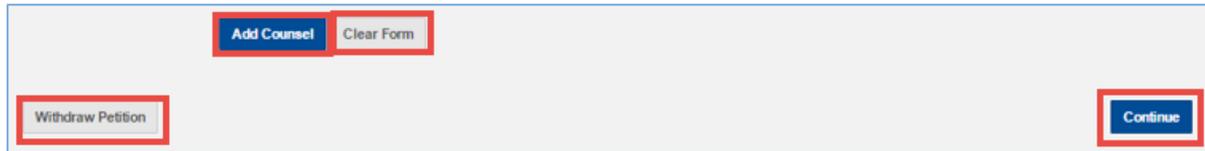


Figure 13. Counsel Information

3.10 Review

In this section you will review all of your information.

1. The green check mark indicates that the sections are complete.
2. The red check mark indicates that the section is incomplete.
3. The badge number indicates the number of entries that were made for that section.
4. Notice you will have the ability to “Withdraw Petition.”
5. Notice your AIA review is in the “Initiated” status.
5. Press “Pay” to move to the next section (see Fig 14 below).

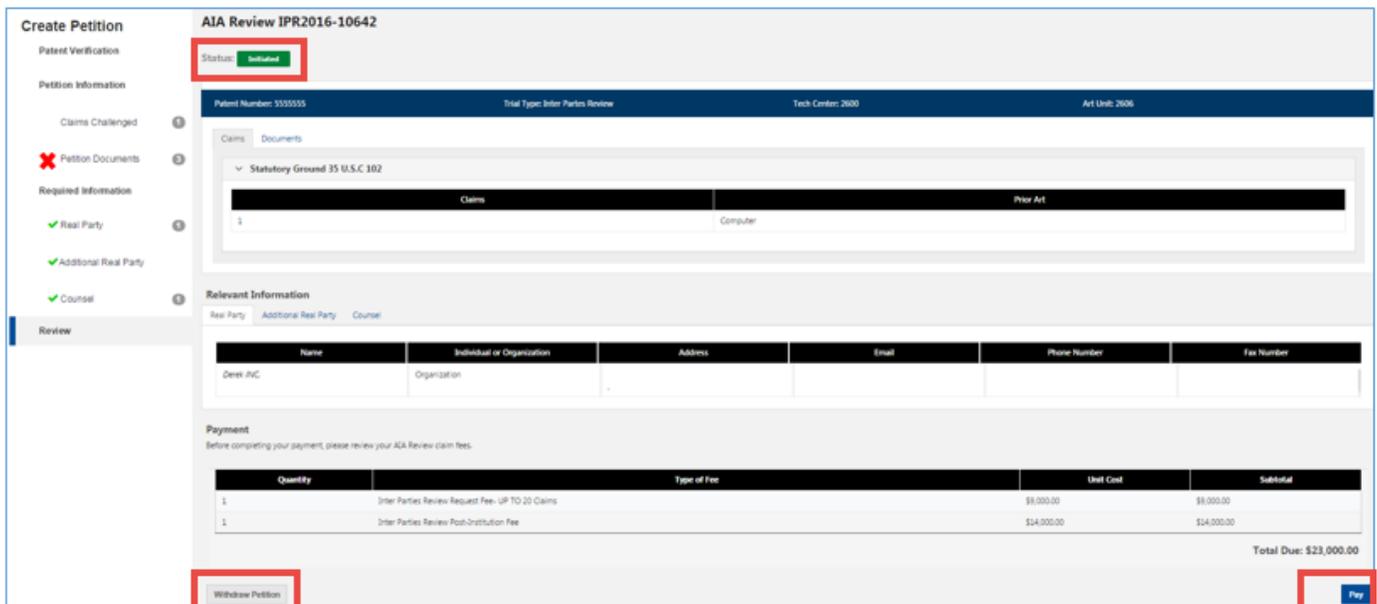


Figure 14. Review Petition

3.11 Make Payment

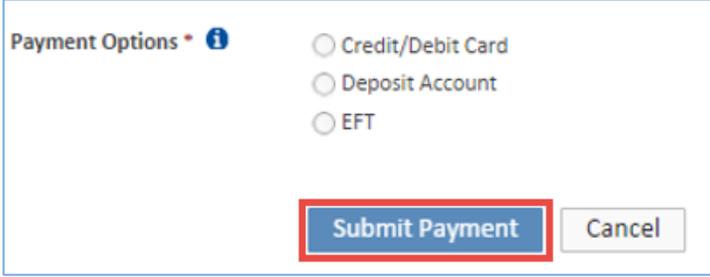
In this section you will have the option to sign in for payment, or pay as a guest.

1. To sign in for payment enter your email address or username.
2. Enter your password.
3. Press "Sign in."
4. If you have not created an uspto.gov account, please proceed to **"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.
5. Press "Pay as a guest" (see Fig 15).

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 the navigation bar, the page title 'Make Payment' is displayed. 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 an information message: 'Why am I landing on this page? The USPTO is updating its systems to improve your fee payment experience. If you've created a uspto.gov account, you can sign in now and use new features to pay with a stored payment method and better manage your payments. If you have not created a uspto.gov account, please proceed to "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.' The main content area is titled 'Sign in for Payment' and includes the text: '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 forms: 'Sign in' with fields for 'Email address or username *' and 'Password *', and a 'Sign in' button; and 'Pay as a guest' with the text 'Continue the payment process as a guest.' and buttons for 'Pay as a guest' and 'Cancel'. Both the 'Sign in' and 'Pay as a guest' buttons are highlighted with red boxes.

Figure 15. Fees Self-Service page

1. Select payment option radio button (Credit/Debit Card, Deposit Account, or EFT).
2. Notice you have the option to “Cancel.”
3. Press “Submit Payment” (see Fig 16).



Payment Options * 

Credit/Debit Card

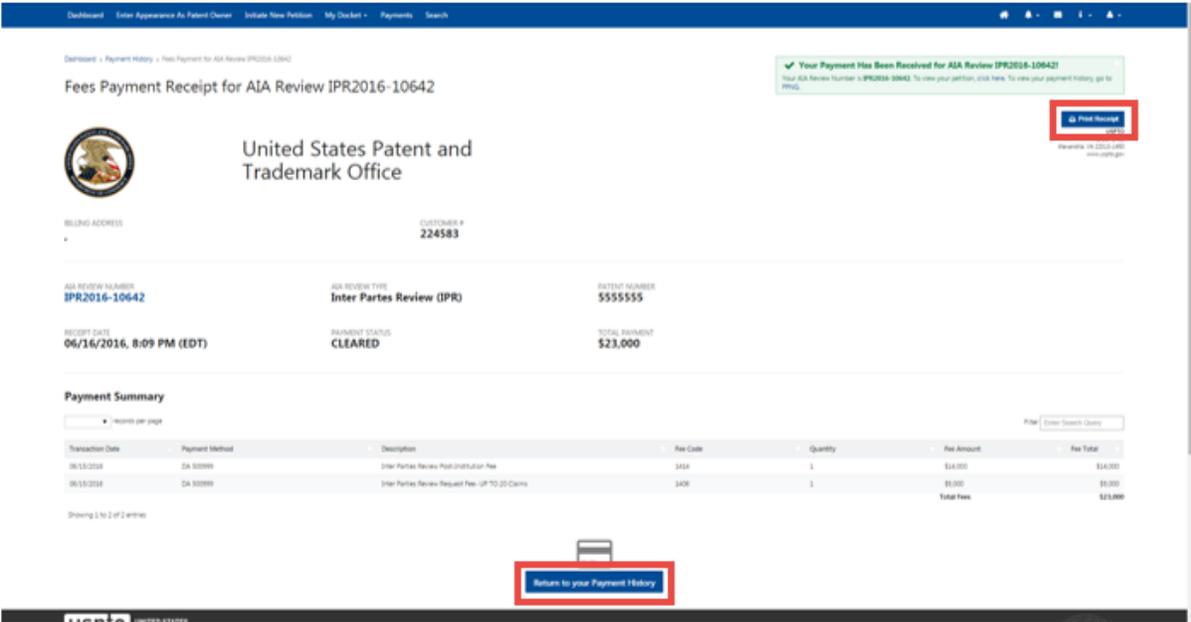
Deposit Account

EFT

Figure 16. Make Payment

Your Petition has been officially submitted!

1. Review your payment receipt.
2. Notice you have the option to “Print the Receipt.” and
3. Return to your Payment History (see Fig 17).



Dashboard > Enter Appearance As Patent Owner > Initiate New Petition > My Account > Payments > Search

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

✓ Your Payment Has Been Received for AIA Review IPR2016-10642
Your AIA Review Number is IPR2016-10642. To view your petition, click here. To view your payment history, go to PHH.

United States Patent and Trademark Office

BILLING ADDRESS * 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

Records per page

| Transaction Date | Payment Method | Description | Fee Code | Quantity | Fee Amount | Fee Total |
|------------------|----------------|---|----------|----------|------------|-----------|
| 06/15/2016 | DA 50000 | Inter Partes Review Post-Institution Fee | 5404 | 1 | \$14,000 | \$14,000 |
| 06/15/2016 | DA 50000 | Inter Partes Review Request Fee - UP TO 20 Claims | 5405 | 1 | \$9,000 | \$9,000 |
| Total Fees | | | | | \$23,000 | \$23,000 |

Showing 1 to 2 of 2 entries

Figure 17. Review Receipt

4. You may logout of PTAB E2E (see Fig 18)

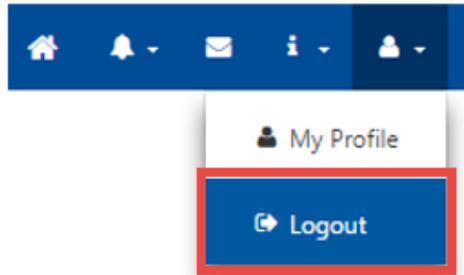


Figure 18. Logout screen