Corrected Application Data Sheet

Quick Start Guide *February 13, 2017*

EFS-Web

Quick Start Guide

Application Data Sheet to Update and/or Correct Information

UNITED STATES
PATENT AND TRADEMARK OFFICE
uspto

Corrected Application Data Sheet

Quick Start Guide

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Corrected Application Data Sheet

Quick Start Guide

1. Introduction

This Quick Start Guide will provide you with the information you need in order to understand how to file a Corrected or Updated Web-based ADS, including a brief overview of the process and screen shots that identify critical aspects of the submission.

EFS-Web will automatically generate and attach a PDF version of the Corrected Web-based ADS. The information in the Corrected Web-based ADS will not be automatically entered in the Office automated systems, it will be reviewed by Office of Patent Application Processing to ensure compliance with the rules.

A more comprehensive guide on how to use EFS-Web can be found at the EFS-Web Guidance and Resources page located at: http://www.uspto.gov/patents-application-process/applying-online/efs-web-guidance-and-resources

2. Basic Guidelines for Filing an ADS for Corrected or Updated Information

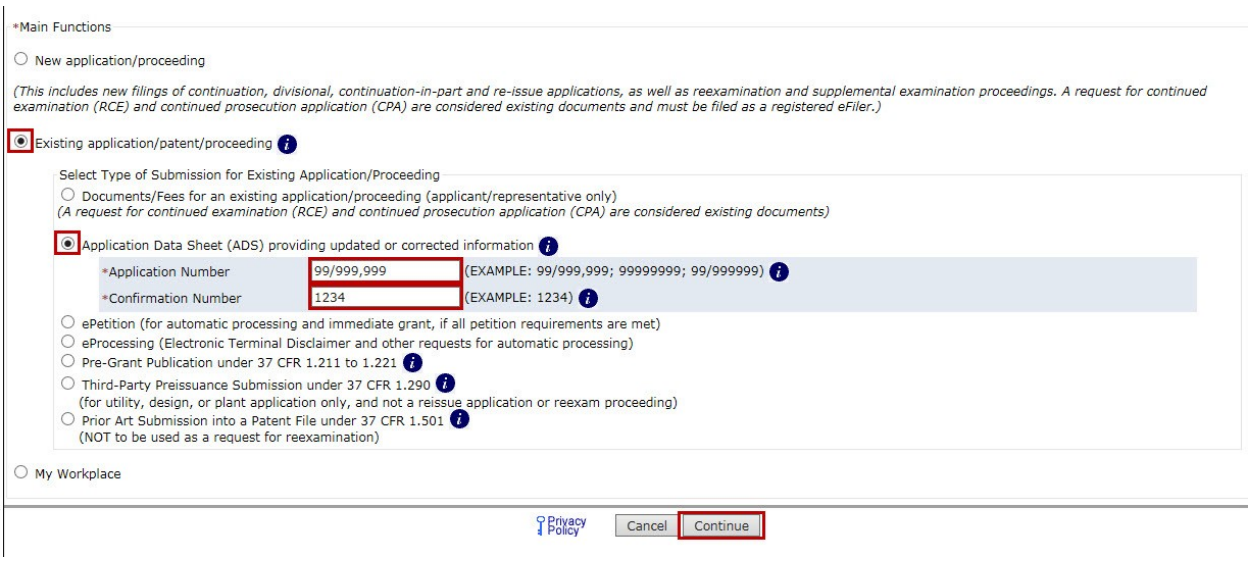
- You must be able to access EFS-Web as a registered filer.
- The Corrected Application Data Sheet is available for existing applications under the following submission types: Utility (Nonprovisional), Reissue, and Designs.
- The Corrected Application Data Sheet is not permitted in PCT, 371, Hague, Provisional, Reexam, Plant, and Supplemental Examination submissions
- You **MUST** be a registered efiler and be associated to the Customer Number used as the correspondence address of the entered application.
- The Corrected Application Data Sheet must be signed in accordance with 37 CFR 1.33(b). If an applicant is prosecuting the application pro se, all of the inventors must sign to comply with the rule, unless a power of attorney has been given (e.g., Form PTO/AIA/81). See MPEP 402.
- All required fields must be completed in order to proceed with the submission. The required fields are indicated with an asterisk (*).
- A Corrected Application Data Sheet can only be submitted in an existing application that was filed on or after September 16, 2012.
- Do not attach an ADS as a PDF if submitting a Corrected Application Data Sheet.

- Submissions for applications under a Secrecy Order may not be filed electronically.

Warning: EFS-Web sessions will time-out after one hour of inactivity. A Web-based ADS that has not been submitted or saved after one hour of inactivity will be lost. You will need to login to EFS-Web again and re-enter the information from the start.

3. Access the Corrected Application Data Sheet

To submit a Corrected Application Data Sheet, you must select the radio button located next to "**Existing application/patent.**" The Web screen will expand to display additional options. Select the radio button next to "**Application Data Sheet (ADS) providing updated or corrected information.**"



To start the Corrected ADS, you will need to enter the Application Number and Confirmation Number. Click the Continue button at the bottom of the screen to proceed.

NOTE: If there is a validation error, an error message will be displayed at the top of the screen and near the data field containing the error.

On the Application Data tab, the Corrected ADS will be made available displaying data retrieved from the USPTO Patent Application Locating and Monitoring (PALM) system. Please note not all data may be retrieved.

Not all inventor and applicant information of record may be retrieved. The system can only retrieve information stored in the USPTO Patent Application Locating and Monitoring (PALM) system, and not all information of record in the application file is entered and stored in PALM. If

an EFS Web-based ADS or an uploadable PDF version of the ADS form has previously been used, all of the information should be stored in PALM. If there are multiple inventors, the system may only retrieve the mailing address of the first named inventor. For example:

If you previously provided mailing addresses for all of the inventors, which was accepted by the Office and are submitting a Corrected ADS to correct/update the domestic benefit claim information, you do not need to type in the mailing addresses for the second and any subsequent inventors, even though this information is not reflected on the web screen.

If you have previously provided mailing addresses for all of the inventors and are now submitting a Corrected ADS to make a change in the mailing address of the second or any subsequent inventor, just type in the new information on the web screen and it will be reflected with underlining on the Corrected ADS that is generated.

Warning: When submitting a corrected ADS, do not delete information that you are not changing or do not want deleted, otherwise the Corrected ADS that is generated will provide an instruction to the Office to delete that information.

When making a change to the domestic benefit claim, the Corrected ADS that will be generated will use internal PALM codes rather than the language that you use to specifiy the relationship. These codes on a Corrected Web-based ADS will be accepted.

Continuation of – CON

Division of – DIV

Continuation in part of – CIP

A 371 of international – NST

Substitution of – SUB

Reissue of – REI

Claims benefit of provisional - PRO

3.1 Inventor Information

In the Inventor Information section, data of record will be displayed and editable. To make changes in the information, just type in the new information on the web screen and it will be reflected with underlining on the Corrected ADS that is generated.

Corrected Application Data Sheet

Quick Start Guide

Inventor Information:

Any request to add, delete, correct, update or change the order of the names of the inventors must include a request and the proper fee(s) in accordance with 37 CFR 1.48.

Inventor	1	To change the order of Inventors before submitting the ADS, please enter the number on the left and make sure each number is only used once. Then click the continue button once the ADS is complete.		Remove
Legal Name				
Given Name		Middle Name	Family Name	Suffix
Joe			Inventor	
Residence Information (Select One)		◉ US Residency ○ Non US Residency ○ Active US Military Service		
City	Houston	State/Province TEXAS	Country of Residence	UNITED STATES
Mailing Address of Inventor:				
Address 1	1234 Any Street			
Address 2	Suite 5300			
City	Houston	State/Province	TEXAS	
Postal Code	77026	Country	UNITED STATES	
All Inventors Must Be Listed - Additional Inventor Information blocks may be generated within this form by selecting the **Add** button.				

To change the order of Inventors before submitting the ADS, please enter the number on the left and make sure each number is only used once. Then click the Continue button once the ADS is complete.

Inventor Information:

Any request to add, delete, correct, update or change the order of the names of the inventors must include a request and the proper fee(s) in accordance with 37 CFR 1.48.

Inventor	1	To change the order of Inventors before submitting the ADS, please enter the number on the left and make sure each number is only used once. Then click the continue button once the ADS is complete.		Remove
Legal Name				
Given Name		Middle Name	Family Name	Suffix
Joe			Inventor	

NOTE: If you are adding or deleting inventor(s), then a request under 37 CFR 1.48(a) with the proper fee(s) must also be submitted. Note that both a processing fee and an additional fee may be due if the correction of inventorship is being made after the first action on the merits. See 37 CFR 1.48(c). If you are correcting or updating the name of an inventor, or changing the order of the names of joint inventors, then a request under 37 CFR 1.48(f) with the proper fee must also be submitted.

3.2 Correspondence Information

In the Correspondence Information section, data of record will be displayed, but the data is not editable. A change of correspondence address can be effected via private PAIR or filed in paper (see USPTO form PTO/AIA/122,"Change of Correspondence Address").

Correspondence Information:

This field is not editable using this Corrected WebADS.

An Address is being provided for the correspondence Information of this application.	
Customer Number	or 999999

3.3 Application Information

In the Application Information section, data of record will be displayed and editable. The Title of the Invention is a required field. Note: Special characters may not be entered in this field as it may not transfer correctly to USPTO databases.

Application Information:

* Title of the Invention	My Very Important Invention	
Attorney Docket Number	Joe_Invent	Small Entity Status Claimed ☐

You can claim small entity status by checking this box and properly signing the Corrected Web-ADS. See 37 CFR 1.27.

If you are no longer entitled to small entity status, you must submit a properly signed written notification of a loss of small entity status pursuant to 37 CFR 1.27(g)(2). You cannot make this change by submitting a Corrected Web-ADS. A proper micro entity certification must be submitted in order to establish micro entity status. PTO/SB/15A or PTO/SB/15B.

3.4 Representative Information

In the Representative Information section, data of record will be displayed, but the data is not editable. Providing representative information in the Application Data Sheet does not constitute a power of attorney in the application (see 37 CFR 1.32). To appoint or revoke a power of attorney, a properly signed power of attorney must be filed in the application. See USPTO Forms PTO/AIA/82, PTO/AIA/81, or PTO/AIA/80 (which must be accompanied by Form PTO/AIA/96).

Representative Information:

This field is not editable using this Corrected WebADS.

Please Select One:	Customer Number	US Patent Practitioner	Limited Recognition (37 CFR 11.9)
Customer Number	999999		

3.5 Domestic Benefit/National Stage Information

In the Domestic Benefit/National Stage section, data of record will be displayed and editable. If any domestic benefit claims are being added in a utility or plant application after the time period set forth in 37 CFR 1.78 (*e.g.*, after the later of four months from the actual filing date of the instant application or sixteen months from the filing date of the application for which benefit is being claimed), a petition to accept an unintentionally delayed benefit claim in compliance with 37 CFR 1.78 (including the petition fee) must also be submitted.

For any domestic benefit claims that are being deleted, please ensure that deletion of the domestic benefit claim(s) is actually desired. A deletion of a benefit claim to a prior application may be considered as a showing that the applicant is intentionally waiving the benefit claim to the prior application in the instant application.

If you are claiming benefit of more than one prior-filed application, you must start with the most recent application and go back chronologically to the earliest application. Otherwise, the benefit claims may not be recognized by the Office if not presented in this manner. If there is more than one chain of applications for which benefit is being claimed, you must start each chain with the most recent application and go back chronologically to the earliest application in each chain . Otherwise, the benefit claims may not be recognized by the Office if not presented in this manner.

Domestic Benefit/National Stage Information:

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, 365(c), or 386(c) or indicate National Stage entry from a PCT application. Providing benefit claim 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.

Drag and drop to change order

Move Up | Move Down | Remove

Prior Application Status	Pending

Application Number	Continuity Type	Prior Application Number	Filing or 371(c) Date (YYYY-MM-DD)
99999999	Continuation of	13123456	2013-03-03

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

Drag and drop to change order

Move Up | Move Down | Remove

Prior Application Status	Pending

Application Number	Continuity Type	Prior Application Number	Filing or 371(c) Date (YYYY-MM-DD)
13123456	Claims benefit of provisional	61234567	2012-03-03

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

Change of order is completed in three ways:

- A benefit claim may be added or removed at any point of the claim chain by clicking the 'Add' or 'Remove' buttons
- A benefit claim may be moved up or down by using the 'Move Up' and 'Move Down' buttons
- Benefit claim order may be reorganized by using the Drag and Drop functionality

Domestic Benefit/National Stage Information:

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, 365(c), or 386(c) or indicate National Stage entry from a PCT application. Providing benefit claim 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.

Drag and drop to change order

Move Up | Move Down | Remove

Prior Application Status	Pending

Application Number	Continuity Type	Prior Application Number	Filing or 371(c) Date (YYYY-MM-DD)
99999999	Continuation of	13123456	2013-03-03

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

3.6 Foreign Priority Information

In the Foreign Priority section, data of record will be displayed and editable. 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.

Additional foreign priority claims may be added by clicking the 'Add' button, and deleted by clicking the 'Remove' button for the indicated claim. If any foreign priority claims are being added in a utility or plant application after the time period set forth in 37 CFR 1.55 (*e.g.*, after

the later of four months from the actual filing date of the instant application or sixteen months from the filing date of the prior foreign application), a petition to accept an unintentionally delayed foreign priority claim in compliance with 37 CFR 1.55 (including the petition fee) must also be submitted. For any foreign priority claims that are being deleted, please ensure that deletion of the foreign priority claim(s) is actually desired. A deletion of a foreign priority claim may be considered as a showing that the applicant is intentionally waiving the foreign priority claim.

Enter the access code number to uniquely identify a patent application that is registered into the WIPO DAS (World Intellectual Property Organization Digital Access Service). Please click here for more information.

Foreign Priority Information:

This section allows for the applicant to claim priority to a foreign application. 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. When priority is claimed to a foreign application that is eligible for retrieval under the priority document exchange program (PDX) the information will be used by the Office to automatically attempt retrieval pursuant to 37 CFR 1.55(i)(1) and (2). Under the PDX program, applicant bears the ultimate responsibility for ensuring that a copy of the foreign application is received by the Office from the participating foreign intellectual property office, or a certified copy of the foreign priority application is filed, within the time period specified in 37 CFR 1.55(g)(1).

			Remove
Application Number	Country	Filing Date (YYYY-MM-DD)	Access Code (if applicable)
2013-123456	JAPAN	2013-12-11	

Additional Foreign Priority Data may be generated below this form by clicking the **Add** button.

3.7 Applicant Information

In the Applicant Information section, data of record will be displayed and editable. For each applicant entered, select either Assignee, Legal Representative under 35 U.S.C. 117, Joint Inventor, Person to whom the inventor is obligated to assign, or Person who shows sufficient proprietary interest. For more detailed Applicant Information instructions, see http://www.uspto.gov/forms/aia_ads_form_inst.doc

Applicant Information:

If the inventors are currently the applicant, the inventor information will not appear in the Applicant Information field. Applicant information will only appear in this field if there is at least one applicant who is not an inventor (e.g., an assignee who is an applicant under 37 CFR 1.46, or a legal representative who is an applicant under 37 CFR 1.43).

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.

If there are multiple applicants, the order on the Corrected ADS may not match the order on the filing receipt and in the Office's systems. The order of applicants on the filing receipt is maintained.

Applicant		Remove

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 under 35 U.S.C. 117	○ Joint Inventor
○ Person to whom the inventor is obligated to assign	○ Person who shows sufficient proprietary interest	

If the Applicant is an Organization check here. ☑

Organization Name	Applicant Organization

Mailing Address Information For Applicant:

Address 1			
Address 2			
City	Minato-ku	State/Province	
Country	JAPAN	Postal Code	
Phone Number		Fax Number	
Email Address			

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

Additional applicant information may be added by clicking the 'Add' button, and deleted by clicking the 'Remove' button for the indicated Applicant entry.

NOTE: If you are changing the applicant, then you must also submit a request to change the applicant in compliance with 37 CFR 1.46(c)(2) (which requires compliance with 37 CFR 3.71 and 3.73). If you are correcting or updating the name of the applicant, then you must also submit a request under 37 CFR 1.46(c)(1). If a specific request is not submitted that indicates the change is a correction or update of the name of the applicant under 37 CFR 1.46(c)(1), then the Office may consider the change to be a change in the applicant under 37 CFR 1.46(c)(2) and require a 37 CFR 3.73 statement.

3.8 Assignee Information Including Non-Applicant Assignee Information

In the Assignee Information section, data of record will be displayed and editable. Complete this section only if assignee information, including non-applicant assignee information, is desired to be included on the patent application publication in accordance with 37 CFR 1.215(b). An assignee-applicant identified in the "Applicant Information" section will appear on the patent application publication as an applicant. For more detailed Assignee Including

Non-Applicant Assignee Information instructions, see
http://www.uspto.gov/forms/aia_ads_form_inst.doc

Assignee Information including Non-Applicant Assignee Information:

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

Complete this section if assignee information, including non-applicant assignee information, is desired to be included on the patent application publication . An assignee-applicant identified in the "Applicant Information" section will appear on the patent application publication as an applicant. For an assignee-applicant, complete this section only if identification as an assignee is also desired on the patent application publication.

Assignee 1 — To change the order of Assignees including Non-Applicant Assignees, before submitting the ADS, please enter the number on the left and make sure each number is only used once. Then click the continue button once the ADS is complete.

Remove

If the Assignee or Non-Applicant Assignee is an Organization check here ☐

Given Name	Middle Name	Family Name	Suffix
Janice		Assignee	

Mailing Address Information For Assignee including Non-Applicant Assignee:

Address 1	1234 N. Aikman Drive		
Address 2			
City	Juneau	State/Province	ALASKA
Country	UNITED STATES	Postal Code	99801
Phone Number	555-555-5555	Fax Number	555-555-5556
Email Address	AssigneeJ@somewhere.org		

Additional Assignee or Non-Applicant Assignee Data may be generated within this form by selecting **Add** button.

Additional assignee information may be added by clicking the 'Add' button, and deleted by clicking the 'Remove' button for the indicated Assignee entry. To change the order of Assignees before submitting the ADS, please enter the number on the left and make sure each number is only used once. Then click the Continue button once the ADS is complete.

3.9 Signature

This form must be signed in accordance with 37 CFR 1.33(b). This Application Data Sheet **must** be signed by a patent practitioner if one or more of the applicants is a **juristic entity** (*e.g.*, corporation or association). If the applicant is two or more joint inventors, this form must be signed by a patent practitioner, **all** joint inventors who are the applicant, or one or more joint inventor-applicants who have been given power of attorney (*e.g.*, see USPTO Form PTO/AIA/81) on behalf of **all** joint inventor-applicants. If an applicant is prosecuting the application *pro se*, all of the inventors must sign to comply with the rule, unless a power of attorney has been given. MPEP 402.

See 37 CFR 1.4 for signature requirements and certifications.

Signature:

NOTE: This Application Date Sheet must be signed in accordance with 37 CFR 1.33(b).

This Application Data Sheet **must** be signed by a patent practitioner if one or more of the applicants is a **juristic entity** (e.g., corporation or association). If the applicant is two or more joint inventors, this form must be signed by a patent practitioner, **all** joint inventors who are the applicant, or one or more joint inventorapplicants who have been given power of attorney (e.g., see USPTO Form PTO/AIA/81) on behalf of **all** joint-inventor applicants.

See 37 CFR 1.4(d) for the manner of making signatures and certifications.

NOTE: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications.					Remove
* Signature				(EXAMPLE: /John Smith/)	
* First Name		* Last Name		Registration Number	

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

Once you have signed you may proceed to the next screen by selecting “Continue”.

4. Attach Documents

Once you have made all necessary updates or corrections to the Web-ADS information on the “Application Data” screen, a CorrectedADS.pdf document will be auto-generated. This document cannot be removed from the Attach Documents Screen.

You may click on the respective PDF hyperlink to preview the document. If you need to make any corrections, go back to the “Application Data” screen by clicking on the “Application Data” tab at the top of the screen. After making any corrections, you must click on the “Continue” button located at the bottom of the “Application Data” screen in order to apply any changes. The corrected ADS identifies the information that is being changed, with underlining for insertions, and strike-through for text removed, as stated in 37 CFR 1.76(c)(2).

Corrected Application Data Sheet

Quick Start Guide

Document Description: Application Data Sheet to update correct info
Doc Code: ADS.CORR

CORRECTED ADS FORM

Application Number	99/999,999
Title of Invention	MY VERY IMPORTANT INVENTION

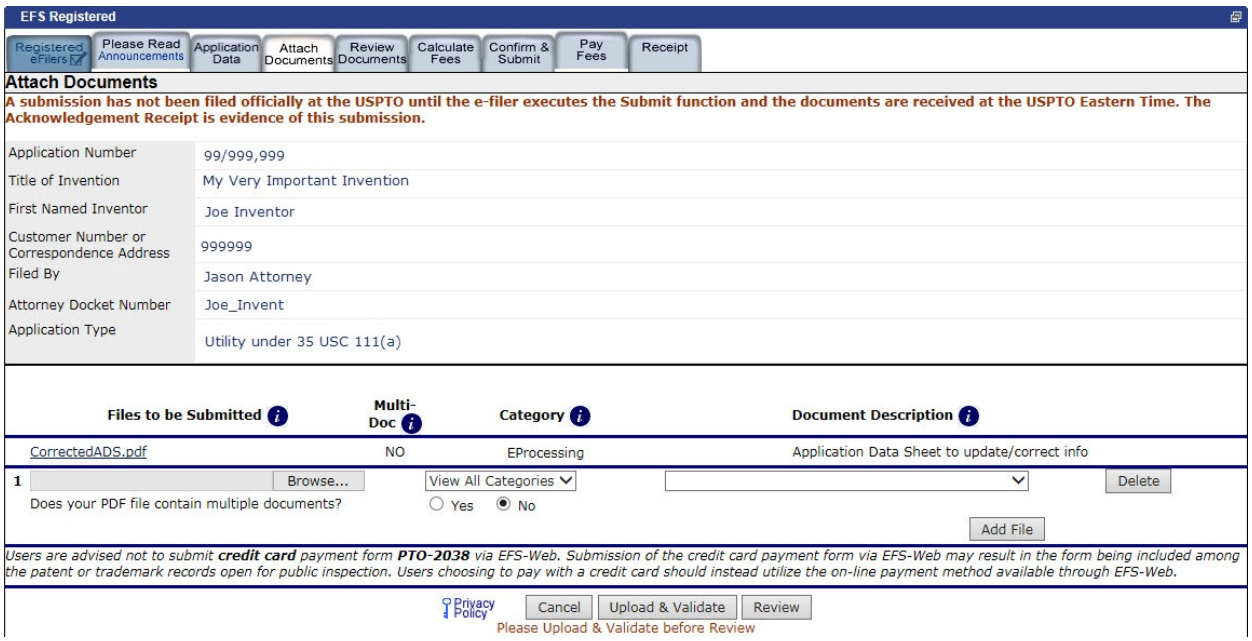
Inventor Information

****If no data is shown, no data has been corrected****

	Data of Record	Updated Data
Order Number	~~1~~	2
Name		Displaying data being added
Residence Information		
Residency	~~Displaying data being removed~~	
City	~~Bethesda~~	Displaying data being updated/corrected
Country of Residence	US	
Mailing Address of Inventor		
Address 1	~~12345 Any Street~~	4321 Another Street
Address 2		Suite 112
City, State/Province, Postal Code	~~Arlington, Virginia~~	
Country		

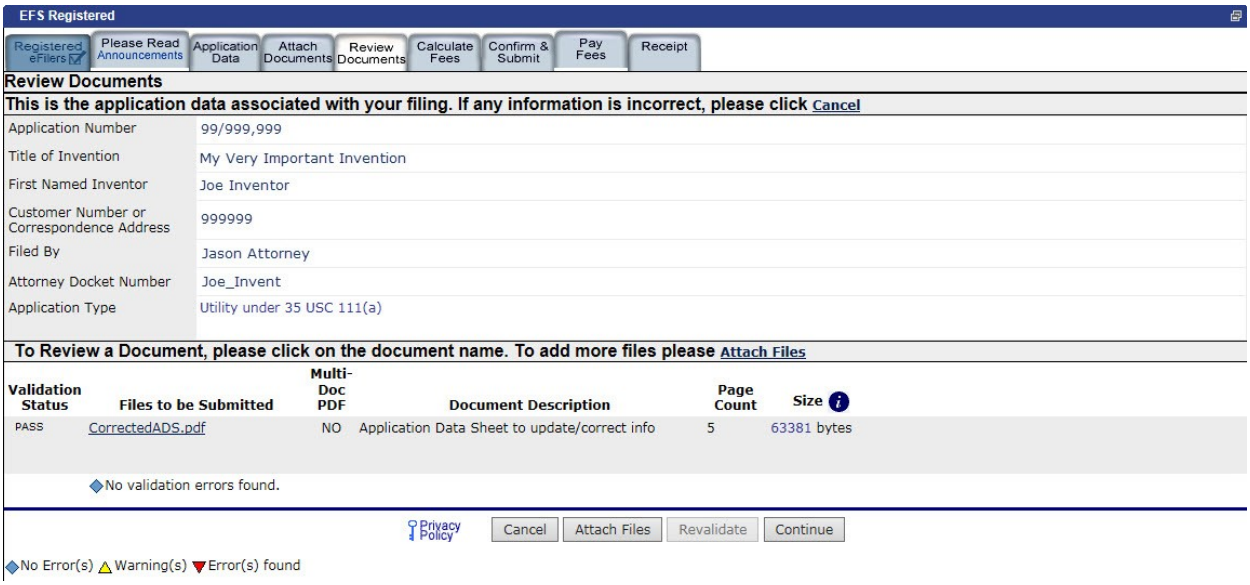
If you have additional PDF documents, you may add them to the submission. If you do not have any required documents to upload, click on the "Review" button. The following documents descriptions are made available for submission with a Corrected ADS filing:

- R48.REQ Request under Rule 48 correcting inventorship
- OATH Oath or Declaration filed
- LET. Miscellaneous Incoming Letter
- R3.73 Assignee showing of ownership per 37 CFR 3.73
- TRAN.LET Transmittal Letter
- PET.OP Petition for review by the Office of Petitions
- PET.PCT Petition for review by the PCT legal office
- CFILE Request for Corrected Filing Receipt
- FRPR.IC Interim Copy of Foreign Priority Document (PDF)
- FRPR.IC.TXT Interim Copy of Foreign Priority Document (TXT)



5. Review Documents

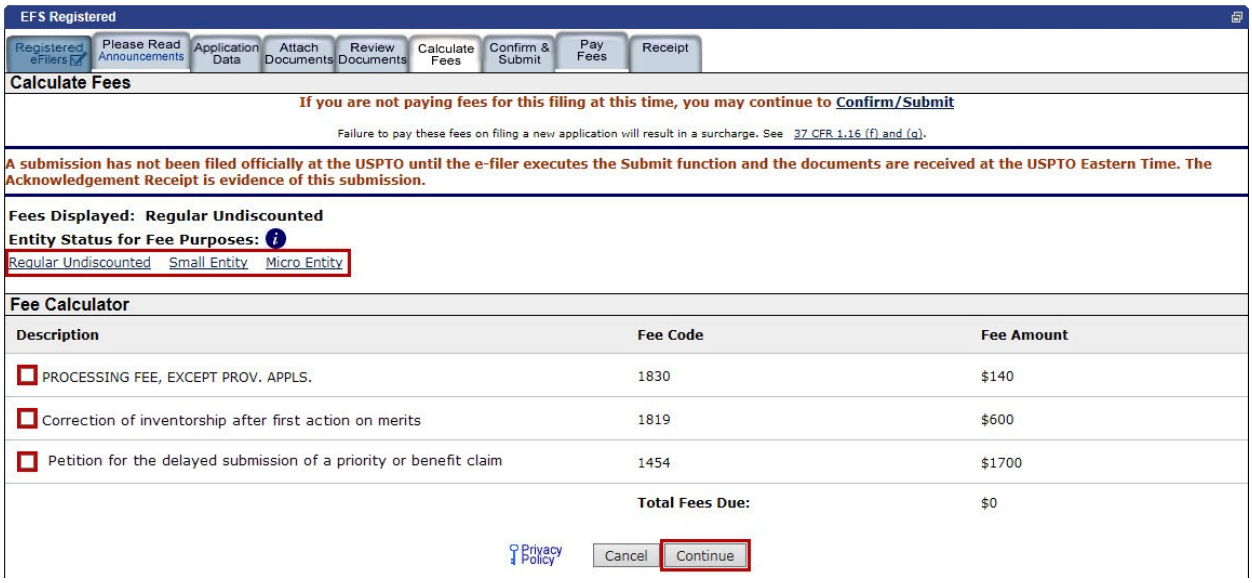
On the "Review Documents" screen, the CorrectedADS.pdf cannot be removed. If you need to remove the CorrectedADS.pdf from the submission, you must cancel the filing.



6. Calculate Fees

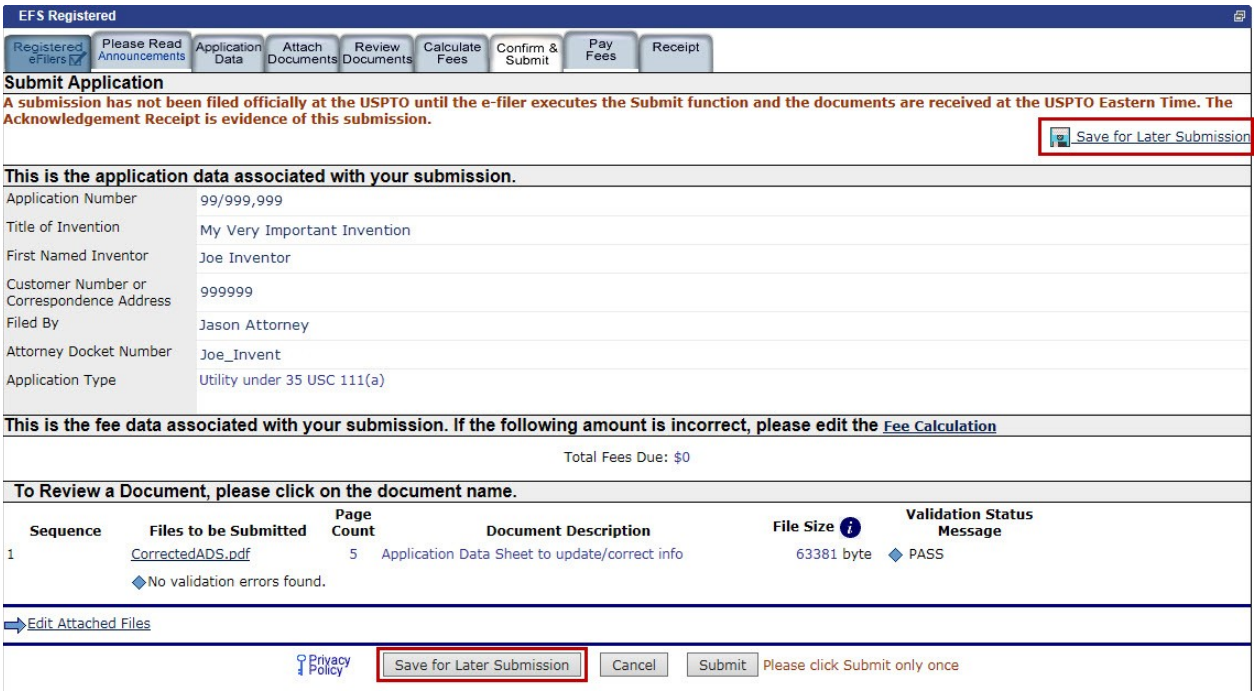
The "**Calculate Fees**" screen allows eFilers to select the appropriate entity status in the top left hand corner of the screen, adjusting the listed fee codes and amounts accordingly. The following fees are available when submitting a Corrected ADS filing:

- Processing Fee, Except Prov. Appls.
- Correction of inventorship after first action on merits
- Petition for the delayed submission of a priority or benefit claim, or to restore the right of priority or benefit



7. Save Submission Feature for Registered eFilers

You have the option of saving the submission for later if you are a Registered eFiler. All of the required ADS fields on the "Application Data" tab must be completed. The save option is located on the "Confirm & Submit" screen.



After clicking on the "Save for Later" button, the next screen will display the details of the saved submission. There is a notification statement that explains that the submission has not been filed officially at the USPTO until the Submit function is executed. A statement at the bottom of the screen details that the submission will be saved for up to 7 days.

If you have any questions or concerns regarding filing in EFS-Web, please contact the Patent EBC Monday - Friday, from 6:00 a.m. to 12 Midnight Eastern Time, by email ebc@uspto.gov or telephone 866-217-9197.