

UNITED STATES  
PATENT AND TRADEMARK OFFICE



A faint, light gray technical drawing of a mechanical assembly is visible in the background. It features various parts with callout numbers such as 90, 86, 84, 82, 56, 52, 58, 28, 38, 42, 54, 46, 64, 34, and 66. The drawing is a perspective view of a complex assembly.

# Patent Electronic Application Filing and Management System

Office of Information Technology for Patents



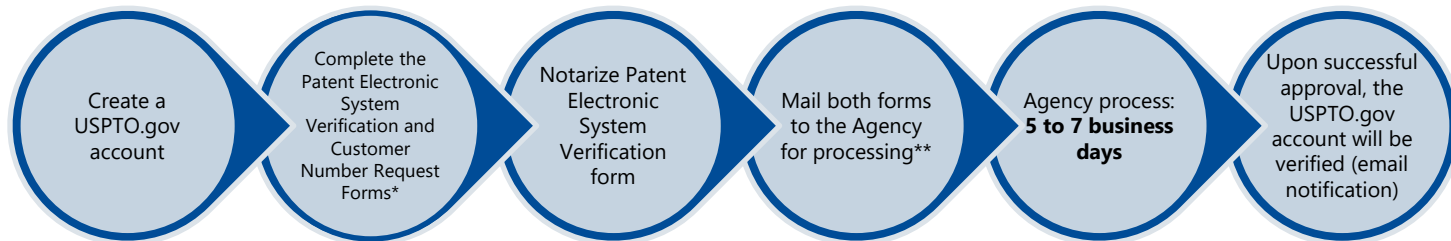
UNITED STATES  
PATENT AND TRADEMARK OFFICE ®

# Agenda

- Getting started
- Electronic Filing Benefits and Processes
- Customer Number
- eOffice Action
- DOCX
- Patent Center Filing in DOCX
- Financial Manager
- Assistance resources

# Getting started: USPTO.gov accounts

- Verified USPTO.gov accounts uniquely identify you and allows secure access to your patent data. Follow the new verification process.



\*You can leave the customer number field blank if submitting both forms simultaneously. A customer number will be generated by the USPTO when you mail the both forms.

\*\*If you want a customer number sooner, you may fax the customer number form and mail the notarized Patent Electronic Verification Form.

- [www.uspto.gov/patents-application-process/applying-online/getting-started-new-users](http://www.uspto.gov/patents-application-process/applying-online/getting-started-new-users)



# Create a USPTO.gov account

- If you don't already have a USPTO.gov account, just follow these simple steps:
  - Visit the [MyUSPTO login](#)
  - Select “create an account”
  - Enter the email address you will use to sign in, as well as other necessary account information, and follow the prompts
  - Opt into the two-step authentication feature
- For additional information, see the [USPTO.gov account FAQ](#).



# MyUSPTO landing page

The screenshot displays the MyUSPTO landing page with a dark blue header containing the 'uspto' logo and navigation links for Patents, Trademarks, Fees and payment, Help, Sign in, and MyUSPTO. Below the header, the page is divided into several sections:

- MyUSPTO** (left side navigation)
- What's new** and **MyUSPTO help** (right side navigation)
- Your new uspto.gov account** (main heading)
- Sign up** (green button)
- SIGN UP** (section header)
- Create an account** (blue button)
- Already have an account?** (text with **Sign in** button)
- WE WANT YOUR INPUT** (section header)
- Join the discussion** (green button)
- LEARN MORE** (section header)
- Frequently asked questions** (orange button)

At the bottom of the page, there is a warning message:

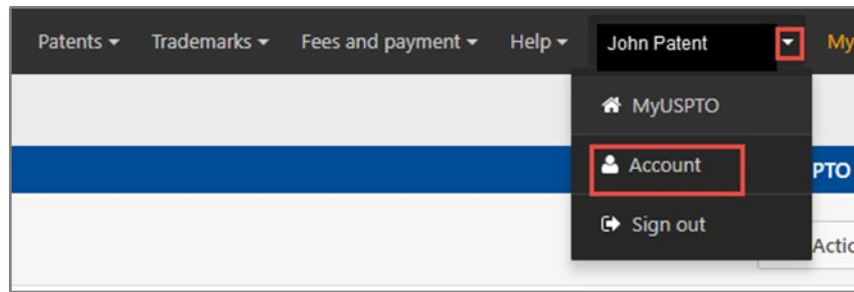
\*\*\*\*\*WARNING\*\*\*\*\*WARNING\*\*\*\*\*WARNING\*\*\*\*\*

This is a United States Patent and Trademark Office (USPTO) computer system, which may be accessed and used only for official Government business by authorized personnel. Unauthorized access, actions, use, modification, or disclosure of the data contained herein or in transit to/from this system constitutes a violation of the Computer Fraud and Abuse Act, Pub. L. No. 99-474, codified at 18 U.S.C. §1030, state criminal and civil laws, and may subject violators to criminal, civil, and/or administrative action and penalties. Regardless of geographic location, authorized use of this system must comply with USPTO policy, as documented in the USPTO AAO 202-737 (Limited Personal Use of Government Equipment), AAO 212-4 (Information Technology Security Policy) and the USPTO Rules of the Road. Unauthorized use or actions exceeding authorized use of USPTO systems will be investigated, and, when appropriate, official sanctions will be imposed. All data contained on USPTO computer systems is owned by the USPTO, and may be monitored, intercepted, recorded, read, copied, captured, and disclosed in any manner by authorized personnel. THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM. System personnel may give to law enforcement officials, for investigation and prosecution, any potential evidence of crime found on USPTO computer systems. USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES CONSENT TO THIS MONITORING, INTERCEPTION, RECORDING, READING, COPYING, CAPTURING, AND DISCLOSURE. Suspected access violations or policy infractions should be reported to the USPTO Service Desk at (571) 272-9000.



# Manage USPTO.gov account

- Sign in to your USPTO.gov account at <https://my.uspto.gov>.
- From the top right drop-down menu under your name, select "account."



# Set up two-step authentication

- Choose your default choice for two-step authentication in your MyUSPTO settings:
  - Email
  - Code generator (authenticator app)
  - Phone call
- Select the checkbox “I want to use the two-step authentication method every time I sign into MyUSPTO.”
- Scroll to bottom of page and select save.

**Two-step authentication**

Some sections of uspto.gov require a two-step authentication to confirm your identity. This provides an extra layer of security to your account.

Select the default of your second level of authentication.

Email jpatent1@patentcenter.com

6-digit code sent to email lasts for twenty minutes.

Code generator (Authenticator app)

6-digit code generated by authenticator app. One-time required. Your authenticator app must be set up before using this option.

[Reconfigure](#)

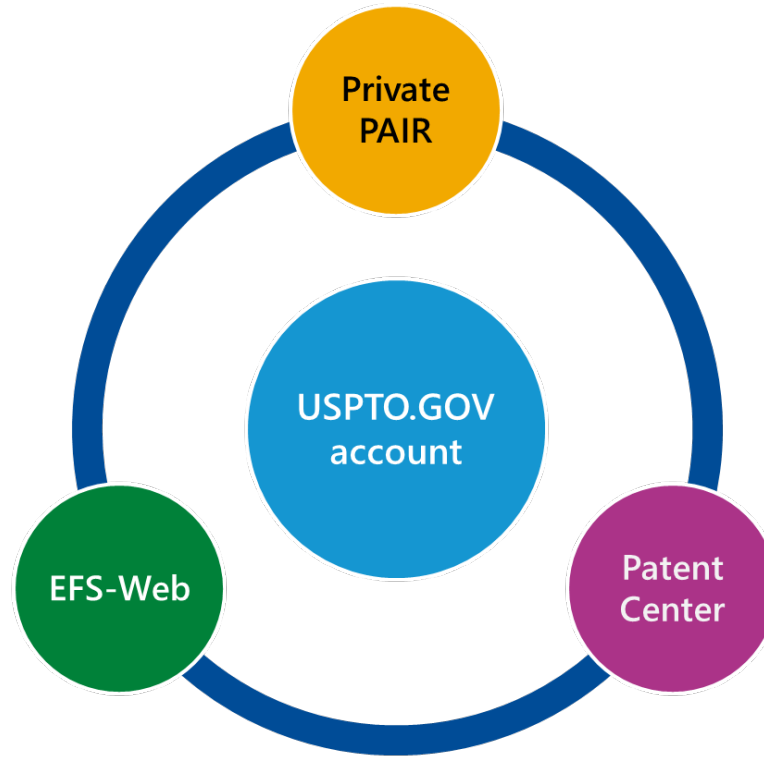
I want to use the two-step authentication method every time I sign into MyUSPTO.

Note: Not all sites are currently configured to accept the authentication code, therefore, you may not be prompted even if you opted in.

**NOTE:** You are able to change your choice (choose another option besides your default) upon each sign-in that prompts for the second factor.



# Single sign-on



# Patent Center

Patent Center is the Next Generation System that will soon replace EFS-Web and PAIR for filing and managing patent applications.



## Fall 2019 Patent Center limited beta release

- System: Next Gen
- Participants: external (via registration)
- Invitee-only training sessions



## Early 2020 Patent Center Beta release open to public

- Anyone may join the Beta
- Open training sessions
- Incorporate additional features based on user feedback and stakeholder interests



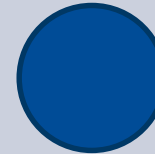
## Mid-Late 2020 Continued refinement of Patent Center Beta

- Gather and review external input from stakeholders
- Continue to add functionalities found in EFS-Web, Public PAIR, and Private PAIR
- Continue to improve back end systems integration



## 2021-2022+ Patent Center with full functionality

- Continue support of Patent Center Beta and EFS-Web, Public PAIR, and Private PAIR
- Refine previous features
- Finish incorporating functionality found in EFS-Web, Public PAIR, and Private PAIR
- Start to prepare for the decommission of EFS-Web, Public PAIR, and Private PAIR together or separately as each component achieves full functionality in Patent Center



## 2022-2023+ Retire EFS-Web, Public PAIR, and Private PAIR

- Public PAIR retired 7/31/22
- Retire EFS-Web and Private PAIR mid-late 2023
- Continue to add new functionality based on user feedback

# Patent Center overview

Replaces legacy patent application systems (EFS-Web, Public PAIR, Private PAIR) for filing and managing patent applications

## Single interface

- Features unified and intuitive interface for filing and managing patent applications
- Single search bar for retrieving applications

## Recent technology

- Sponsorships carry over from EFS-Web and PAIR to Patent Center
- Updated infrastructure allows for more efficient USPTO system integration
- Enables increased functionality and overall system usefulness

## Authentication

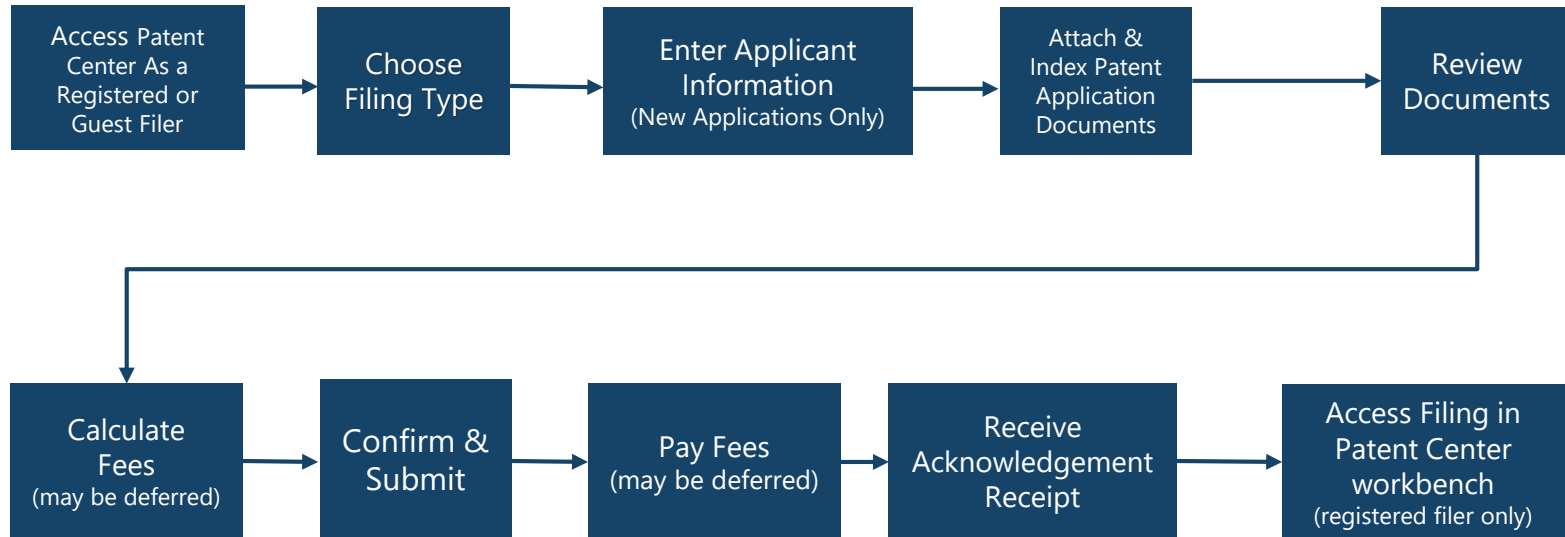
- Use your USPTO.gov account that is used to access EFS-Web and Private PAIR
- Role-based access
  - Practitioner
  - Support Staff
  - Independent Inventor
  - Guest

# Electronic filing benefits

- Immediately routes documents to USPTO internal systems
- Generates Acknowledgement Receipt to show that the USPTO has received the submission
- Reduces manual processing and minimizes paper waste
- Processes faster by avoiding wait times associated with conventional mailing
- Allows for saving submission package to complete, review, or submit at a later time



# Electronic filing process



# Accepted document formats

## PDF files

General documents



## DOCX

Initial applications  
(specification,  
claims, abstract, drawings in  
Patent Center)



## TEXT

Bio-sequence listings,  
computer code, etc.



## JPEG files

Hague  
reproductions  
(drawings)



## PCT-SAFE zip files

Generated zip files  
produced by the  
PCT-SAFE software



# Obtain a Customer Number

- **A Customer Number (CN):**
  - Allows easy correlation of filings and correspondence with a single mailing address
  - Eliminates typographical errors or variations in addresses
- **To get your unique Customer Number:**
  - Patent Center via Manage option, or
  - Complete Customer Number request form and mail or fax it to the EBC at 571-273-0177
- **To associate existing patent applications to a Customer Number:**
  - Patent Center via Manage option
  - Complete Change of Correspondence Address Form SB/122 (single application); or
  - Complete Customer Number Upload Spreadsheet SB/125 (multiple applications) and mail the CD or USB memory stick to:
    - [www.uspto.gov/patents-application-process/applying-online/getting-started-new-users](http://www.uspto.gov/patents-application-process/applying-online/getting-started-new-users)



# eOffice Action

- The eOffice Action program is designed to notify applicants, via email, when a new USPTO communication is available.
- Opting in to receive electronic notification will automatically stop the agency from sending most communication through the postal mail.
- Email notification expedites the availability of communication by up to three days.
- You can assign as many as three valid email addresses to receive notifications.
- When an office action becomes available, participants will receive a notification by 8 a.m. ET for each customer number.
- A postcard reminder will be sent to the correspondence address or e-mailed if the document is not viewed in seven days.





# What is DOCX?



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# DOCX is:

- A word processing file format based on open standards, including Extensible Markup Language (XML)
- Supported by many popular word processing applications, such as Microsoft Word 2007 or higher, Google Docs, Office Online, LibreOffice, and Pages for Mac

# Why use DOCX?



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# DOCX benefits

- **Secure formatting**
  - Metadata detection and removal (e.g., author, company, last modified by, comments, bookmarks, track changes for new filings)
- **Increases application quality**
  - Generates a feedback document pre-submission where warnings and errors are pinpointed in a copy of the uploaded document in real time
  - Eliminates the non-embedded font error, the most common error in uploading a PDF
- **Saves time**
  - Detects and splits specification, claims, abstract and drawings found in a single file (i.e., multi-section document) in Patent Center
  - Automated document code assignment
  - Eliminates requirement to convert DOCX into PDF for filing
  - Results in fewer non-compliant notices



# Non-DOCX surcharge

- Starting June 30, 2023, a surcharge up to \$400 will apply when filing a new non-provisional utility application\* in PDF format

\* Applies to the specification, claims, and abstract when filed in PDF format. Please Visit the [Summary of Final Patent Fee Rules](#)

- Drawings are accepted in DOCX format but may still be submitted in PDF format with no surcharge.
- Surcharge does not apply to the following application types – provisional, national stage, design, plant, and PCT applications



# Auxiliary PDF

- Applicants have the option to submit a PDF document of their application along with their DOCX document in Patent Center.
  - Applies to utility non-provisional applications
  - Effective through June 30, 2023
- This initiative will allow more time for applicants to acclimate to DOCX filing and for the USPTO to receive any feedback on issues with the DOCX to PDF conversion process.
- Applicants will still rely on the DOCX version as the source or evidentiary copy.
  - May also rely on the auxiliary PDF to support a request to correct an error or discrepancy
- Applicants should contact the Electronic Business Center (EBC) if they experience any issues with filing applications in DOCX format.
- Refer to the [Federal Register Notice](#) published on 4/28/2022 and 12/20/2022 for further guidance.



**Filing DOCX in Patent Center**

# Filing DOCX in Patent Center vs EFS-Web

DOCX filing is available in both Patent Center and EFS-Web with some key differences

Patent Center	EFS-Web
Expanded DOCX functionality	Limited DOCX functionality
Filers can file nonprovisional utility, provisional, and national stage application types; follow-ons on the same day	Filers can only file nonprovisional utility applications
File multi-section (specification, claims, abstract, drawings) in a single document for Patent Center to automatically detect and assign document codes	Filers must manually split documents into separate single-section documents prior to upload
New technology will allow for future enhancements such as submission of amendments and responses	Only specification, claims, abstract may be uploaded in DOCX
Drag and drop to upload documents	No drag and drop feature





# Patent Center dashboard

## Patent Center

Home New submission Existing submissions Petitions Post grant Workbench Manage Search







### Search for a patent application

Search by application number, patent number, PCT number, publication number or international design registration number.

Application # Search

### Activities

Perform activities from submissions to post grant request and admin tasks such as managing customer numbers & practitioner associations with customer number

 <b>New Submission</b> File utility, design, national stage and international submissions	 <b>Existing Submissions</b> Add additional documents, pay fees, submit a corrected ADS, and much more	 <b>Petitions</b> File ePetitions for automatic processing and immediate grant, if all requirements are met
 <b>Post Grant</b> Perform post grant activities such as a request to reissue, or a request for reexamination	 <b>Workbench</b> View your saved submissions, applications, and correspondence	 <b>Manage</b> Manage your customer numbers, or update application address

**NOTE:** For information on the Paperwork Reduction Act as it pertains to: ePetitions and Web-based application data sheets, please see the OMB Clearance and PRA Burden Statement page.

#### Patent Center - Training Mode

Patent Center training mode allows users to familiarize with the new patent application filing and retrieving system.

Remember that:

1. Data entered will not be saved
2. Data entered will not be submitted to the USPTO systems
3. Applications filed will not be associated with your customer number

[Switch to training mode](#)

#### News And Updates

For bulk download of Public data & API visit <https://ped.uspto.gov/peds/>

Try training mode to practice filing

# Authentication

## Registered user

The screenshot shows the USPTO sign-in interface for a registered user. It features a 'Sign in' header, an email address field with a placeholder 'p[redacted]@gmail.com' and a '(Change)' link, and a password field with a 'Show' button. A 'Forgot password?' link is located below the password field. A blue 'Sign in' button is positioned below the password field. Below the button is a link to 'Create a USPTO.gov account'. At the bottom, a text box states: 'By signing in, I certify to the USPTO's [Terms of Use](#) and [USPTO Privacy Policy](#).' A 'Next' button is located at the bottom right of the form.

## Guest user

### Warning/Error Message

The screenshot shows a warning message box with a close button (X) in the top right corner. The message text reads: 'As a **guest user**, you can file a new application and view public applications. Please sign-in or register for Patent Center, in order to have full access to all features, such as the ability to save your submission to resume at a later time and to submit additional documents/fees to an existing application.' At the bottom of the box, there is a 'Login' link on the left and a blue 'Continue' button on the right.



# Application Data Sheet

## Application Data Sheet (ADS) filing options

Select a method for filing an ADS. Changing the filing method will overwrite any unsaved application data.

### Web ADS

Use the ADS online form:

- Generate a streamlined Application Data Sheet
- Error checking and data validations
- Provided data is automatically loaded to USPTO database

Select

### Upload ADS (PDF)

Upload a completed fillable AIA/14 form:

- Upload a USPTO fillable [AIA/14 Application Data Sheet](#)
- No online error checking or data validation
- Provided data is automatically loaded to USPTO database

Upload ADS

### No ADS, or Attach ADS (PDF)

Complete ADS later:

- Provide required application data
- Upload AIA/14, SB/14, or custom ADS form (PDF)
- User may file ADS at a later time (may result in additional fees)

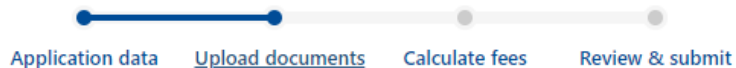
Select



# Drag and drop

## Utility Nonprovisional

Nonprovisional Application under 35 USC 111(a)



### Upload documents

Add files that you wish to accompany your patent application submission. To add more files, use the file upload interaction or drag & drop them into the area below.

Upload documents

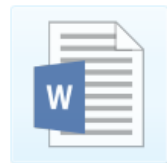
Select file(s)...



To get started,  
drag and drop files here

OR

upload using the **Select file(s)** button above



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# DOCX-warnings and errors

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 multi-section.docx (157 KB)  New Application in Text Format  
[Feedback document](#)

✖ The page size of this document exceeds Letter or A4. Please correct the page size before proceeding.

- ⚠
- The specification paragraph numbering is not consecutive. Please review and revise if necessary.
  - Duplicate paragraph numbering has been detected. Please review and revise if necessary.
  - At least one claim appears to not end with a period. Please review and revise if necessary.
  - The claims appear to contain an improper dependency with at least one claim that depends on itself. Please review and revise if necessary.
  - The claims appear to contain an improper dependency with at least one claim that does not depend on a previous claim. Please review and revise if necessary.
  - Word count in abstract section is over 150 words.

Errors must be corrected before filing

Documents with warnings can be filed

# DOCX-viewing documents

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 multi-section-APP.TEXT.docx (157 KB / 4 pages)  **Feedback document** Application body structured text document

**Feedback document**

- ⚠ The specification paragraph numbering is not consecutive. Please review and revise if necessary.
- Duplicate paragraph numbering has been detected. Please review and revise if necessary.
- At least one claim appears to not end with a period. Please review and revise if necessary.
- The claims appear to contain an improper dependency with at least one claim that depends on itself. Please review and revise if necessary.
- The claims appear to contain an improper dependency with at least one claim that does not depend on a previous claim. Please review and revise if necessary.
- Word count in abstract section is over 150 words.

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ⓘ The system detected multiple sections within the document. The individual sections may be downloaded after the submission by going to the respective application's IFW.  
**Detected:** Specification, Claims, Abstract, Drawings

**Application sections are detected**

# Feedback summary and specification feedback

Specification

## BRIEF SUMMARY:

### FIELD OF THE INVENTION

[0001] The present invention relates to an apparatus having a security device and having one or more methods of using the same for providing security and controlling the security device.

### BACKGROUND OF THE INVENTION

[0002] Various techniques have been employed over the years to encourage use of conventional office equipment (e.g., color copiers) for controlling the operation of hardware and software. These techniques have included the use of a security device to control the operation of the equipment and the use of a security device to control the operation of the equipment. The use of a security device to control the operation of the equipment includes hardware, software, and other forms of security devices. These devices are used to control the operation of the equipment.

[0003] The present invention relates to an apparatus having a security device and having one or more methods of using the same for providing security and controlling the security device. The present invention relates to an apparatus having a security device and having one or more methods of using the same for providing security and controlling the security device.

[0004] The present invention relates to an apparatus having a security device and having one or more methods of using the same for providing security and controlling the security device. The present invention relates to an apparatus having a security device and having one or more methods of using the same for providing security and controlling the security device. The present invention relates to an apparatus having a security device and having one or more methods of using the same for providing security and controlling the security device.



USPTO

## Feedback Summary:

- Independent claim count = 1
- Dependent claim count = 3

**Error** • The page size of this document exceeds Letter or A4. Please correct the page size before proceeding.

**Warnings (6)** • The specification paragraph numbering is not in the proper format.

- At least one claim number appears to be missing or out of order.
- The claims appear to contain duplicate claim numbering. (2 Instances)
- The claims appear to contain an improper dependency with at least one claim that depends on itself.
- The claims appear to contain an improper dependency with at least one claim that does not depend on a previous claim.
- Word count in abstract section is over 150 words.



USPTO

## Warning

Specification paragraph numbering should contain at least four numerals.

# Claims feedback

## Claims

1. A financial instrument comprising:  
[Redacted]
2. An article as defined in claim 1,  
[Redacted]
3. An article as defined in claim 3  
[Redacted]
3. An article as defined in claim 1,  
[Redacted]



**USPTO**

Independent claim



**USPTO**

**Warning**

This claim appears to contain a claim with an improper dependency with at least one claim that does not depend on a previous claim.



**USPTO**

**Warning**

This claim appears to contain an improper dependency with at least one claim that depends on itself.



**USPTO**

**Warning**

The claims appear to contain duplicate claim numbering.



**USPTO**

**Warning**

The claims appear to contain duplicate claim numbering.



**USPTO**

**Warning**

This claim number appears to be missing or out of order.





# Abstract feedback

## Abstract

This is an example of an abstract of the invention. In this abstract example we will exceed 150 words. Since MPEP section 608.01(b) recommends that the number of words in the abstract be within the range of 50-100 words, this is a useful detection provided by our USPTO DOCX system. After detection of the abstract of the invention, the number of words are validated. Upon uploading the abstract, the user is immediately notified if they have exceeded this amount and a feedback document is provided to the user pre-submission. Upon opening the feedback document, a message indicated that the number of words in the abstract has been exceeded will be shown. The user may desire to delete, modify and upload the abstract again. The user will be able to easily identify where the number of words are exceeded since the system will indicate the exact location of the extra words. Here are the extra words.



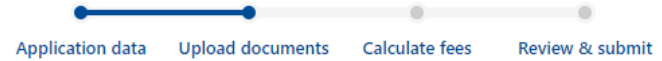
**USPTO**  
**Warning**

Word count in abstract section is over 150 words.

# Auxiliary PDF

## Utility Nonprovisional

Nonprovisional Application under 35 USC 111(a)



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New Application in Text Format

[Preview](#) ⋮

 Multi\_corrected-APP.TEXT.docx (189 KB / 6 pages)  
[Feedback document](#)

**i** The system detected multiple sections within the document. The individual sections may be downloaded after the submission by going to the respective application's IFW.  
**Detected:** Specification, Claims, Abstract, Drawings

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# Auxiliary PDF

## Utility Nonprovisional

Nonprovisional Application under 35 USC 111(a)

Application data Upload documents Calculate fees Review & submit

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The PDF(s) have been generated from the docx file(s). Please review the PDF(s) for accuracy. By clicking the submit button, you agree to accept any changes made by the conversion and that it will become the final submission. ✕

 Multi\_corrected-APP.TEXT.docx (189 KB / 6 pages)  
[Feedback document](#)

[Preview](#) ⋮

**i** The system detected multiple sections within the document. The individual sections may be downloaded after the submission by going to the respective application's IFW.  
**Detected:** Specification, Claims, Abstract, Drawings

**Upload your PDF version of your DOCX document here. This is optional.**

Multi\_corrected.pdf (Auxiliary PDF of Application) ✕ 

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# Retrieval in Patent Center

Patent Center

Home New submission Existing submissions Petitions Post grant Workbench Manage Search

## Search for a patent application

Search by application number, patent number, PCT number, publication number or international design registration number.

Application # 16

All fields

Application # **Private PAIR equivalent**

Attorney docket #

Patent #

PCT #

Publication #

Intl. Design Reg. #

Existing Submissions Petitions

- Common acceptable formats: 99/999,999 or 99999999.
- PCTs should be in formats: PCT/CCYYYY/NNNNNN or PCT/CCYY/NNNNN, where C = Country Code, Y = year filed, and N = 5 or 6 digit number.

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## Search for a patent application

Search by application number, patent number, PCT number, publication number or international design registration number.

Application # 16

All fields

Application # **Public PAIR equivalent**

Patent #

PCT #

Publication #

Intl. Design Reg. #



# Patent Center—intuitive application

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## Patent Center

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< Back to home 59, [redacted] | -: [redacted]

Private view [Download] [Print]

Application Data

**Documents & Transactions**

Continuity

Patent Term Adjustment

Foreign Priority

Fee Payment History

Address & Attorney/Agent Information

Supplemental Content

Assignments

Display References

Application #	Attorney Docket #	Patent #	Status	Filing or 371 (c) date
59/[redacted]	- Edit		Docketed New Case - Ready for Examination - 08/13/2019	01/01/2018

**i** Estimated time to first action is 8 months. View / Print first action letter

Application type	Utility	Earliest publication #	-	Intl. registration # (Hague)	-
Examiner	[redacted]	Earliest publication date	-	Intl. registration publication date	-
Group art unit	OPA	Assignee for publication	-		
Class/subclass	118/[redacted]	Confirmation #	2492		
AIA (first inventor to file)	Yes				
Entity status	Regular Undiscounted				

Correspondence address	Inventors	Applicants
59 - [redacted] Oct 5 2020 [redacted] 600 DULANYSTREET Alexandria, VA UNITED STATES	Data not available	[redacted] Royal Palm Beach (US)

# DOCX–multi-section split documents and XML retrieval

## Documents & transaction history

Documents Transactions

Mail room date ↕	Doc code ↕	Doc description ↕	Pages ↕		Quick download	
02/08/2022	N417	EFS Acknowledgment Receipt	2	<a href="#">Preview</a>	PDF	<input type="checkbox"/>
02/08/2022	ABST	Abstract	1	<a href="#">Preview</a>	DOCX / PDF / XML	<input type="checkbox"/>
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TOTAL  
\$400.00

Sale Item Reference #	Attorney Docket #	Fee Code	Item Price	Qty	Item Total
59957730		3011	\$70.00	1	\$70.00
59957730		3111	\$150.00	1	\$150.00
59957730		3311	\$180.00	1	\$180.00

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