

**UNITED STATES
PATENT AND TRADEMARK OFFICE**



Patent application common mistakes and post filing support

UNITED STATES
PATENT AND TRADEMARK OFFICE



Notice

This content is for informational purposes only and is not legal advice. Please consult with appropriate sources for legal authority and guidance on these matters.

Objectives

- Patent Basics
- Filing Requirements
- Common Mistakes
- Post Filing Procedure
- Support and Resources

Patent basics

What is a patent?

A Property Right

- Right to *exclude others* from making, using, selling, offering for sale or importing the claimed invention
- Limited term
- Territorial: protection only in territory that granted patent; **NO world-wide patent**

Types of patents

- Utility: any new and useful process, machine, article of manufacture, or composition of matter, or any new and useful improvement thereof
 - Provisional patent application
 - Non-provisional patent application
- Design: a new, original, and ornamental design for an article of manufacture
- Plant: any distinct and new variety of plant that is invented or discovered and asexually reproduced

Provisional vs. Non-provisional

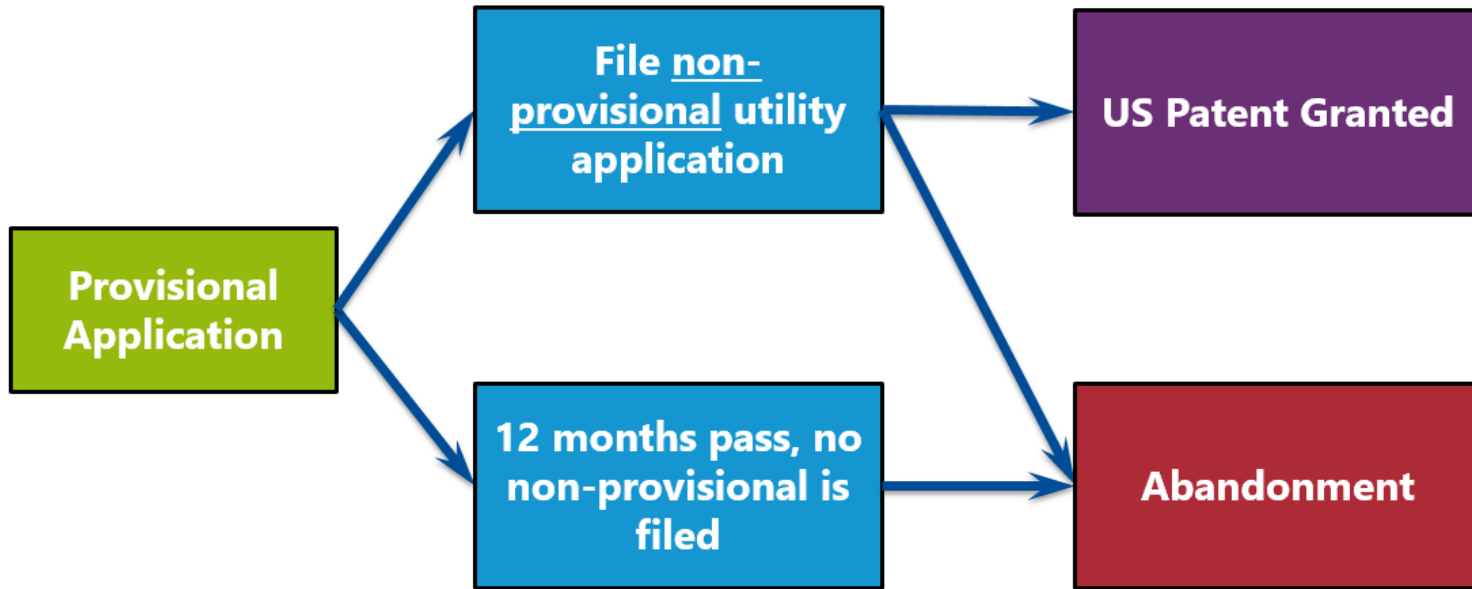
| Provisional | Non-provisional |
|---|--|
| <ul style="list-style-type: none">• Not examined or published• One-year time limit• Available for utility and plant patent applications• A low-cost way to establish a US effective filing date (priority date) in a non-provisional patent application with few formalities | <ul style="list-style-type: none">• Examined• Published 18 months from earliest filing date (unless a request for a non-publication at filing)• Can become a patent• In general, patent protection is set by the filing date* |

Benefits of provisional utility applications

- Inventor given time to investigate market potential
- May file multiple provisional applications during the 1-year pendency of the first filed provisional to include improvements
- Provides time to obtain counsel if desired
- Patent term measured from filing date of subsequent **non-provisional** application
- Term **patent pending** allowed to be used

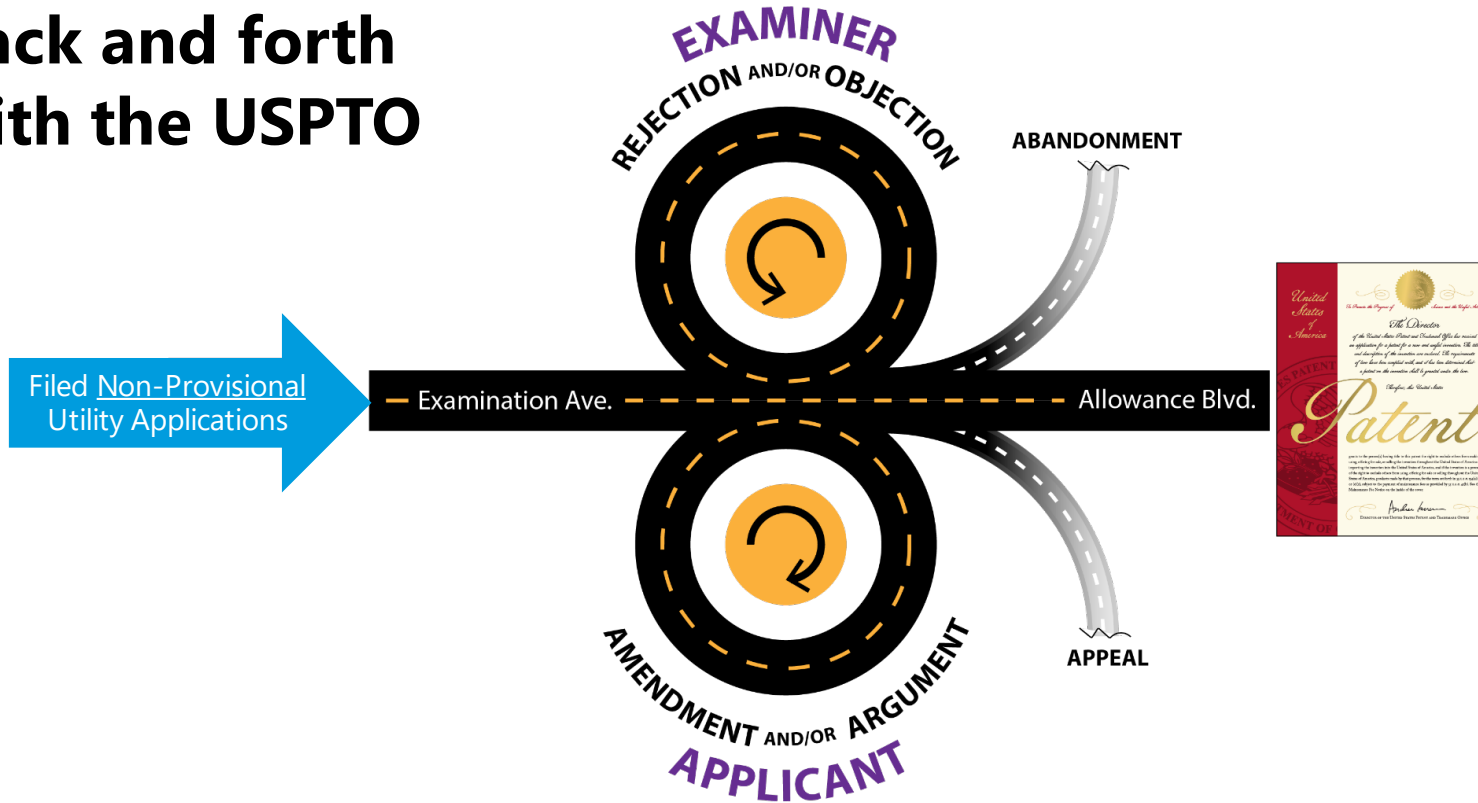


Utility patent applications

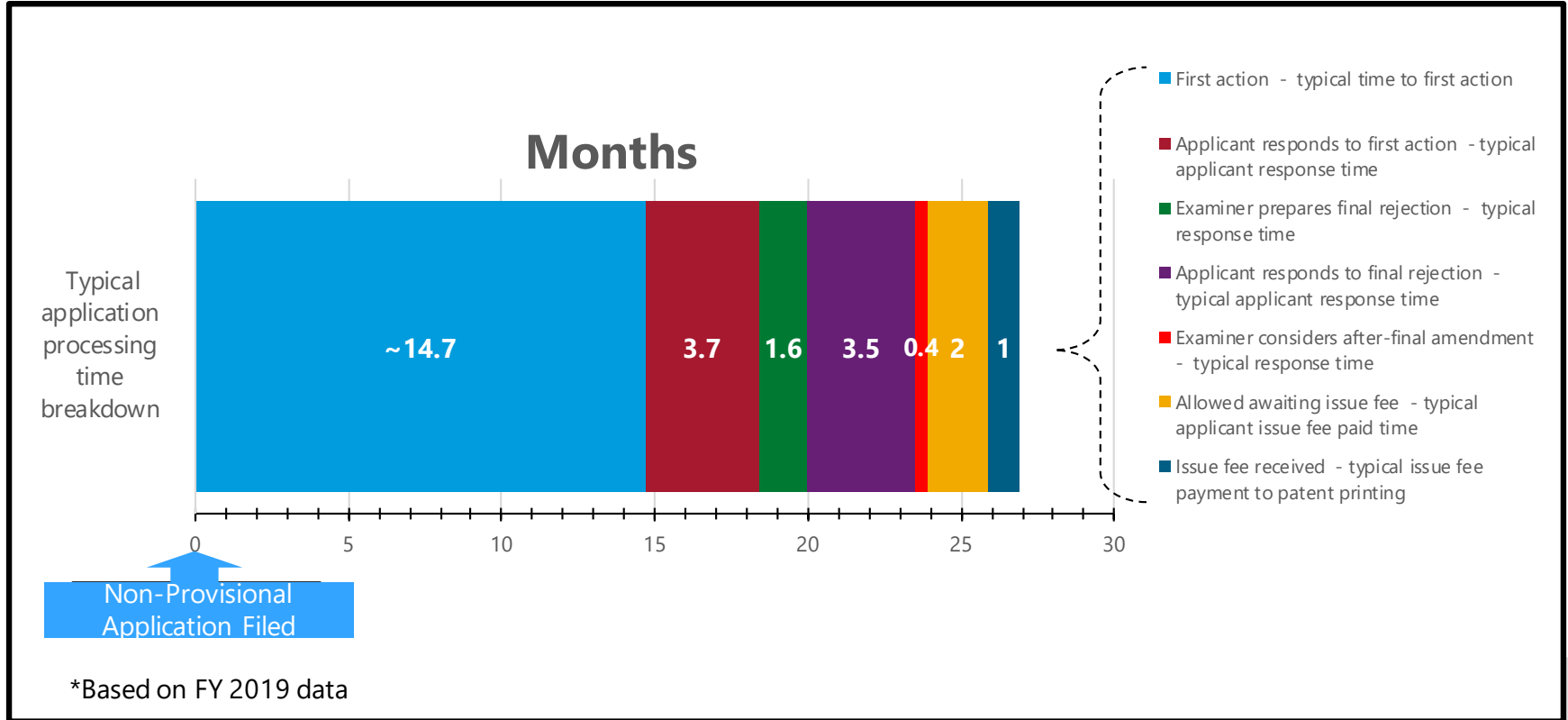


The patent application roadmap

Back and forth with the USPTO



Typical processing timeline



Anatomy of a patent publication

Invention title

(19) **United States**
(12) **Patent Application Publication** (10) Pub. No.: **US 2004/0159203 A1**
Van Halen (43) Pub. Date: **Aug. 19, 2004**



US 2004/0159203 A1

Publication Date

Written Description

Aug. 19, 2004

(54) **STRINGED INSTRUMENT WITH ADJUSTABLE STRING TENSION CONTROL**

(52) U.S. Cl. 84/297 R

(75) Inventor: **Edward Van Halen, Los Angeles, CA (US)**

(57) **ABSTRACT**

A tension adjustment mechanism for a stringed musical instrument suitable for use on a tailpiece assembly comprises a pivoting member (such as a string receptor), an adjustable stop, and a lever handle engaged with the pivoting member. The pivoting member preferably has a post for securely receiving an end of a string and an elongate arm. Placement of the handle in a first position preferably causes the adjustable stop to engage and depress the elongate arm of the pivoting member, thereby increasing tension on the string. Placement of the handle in a second position preferably causes the adjustable stop to disengage the elongate arm of the pivoting member, thereby allowing the pivoting member to return to its original position, and decreasing tension on the string. A fine tuning adjustment may be included in the tailpiece assembly. The adjustable stop and/or fine tuning adjustment may comprise adjustable screws.

Correspondence Address:
IRELLI & MANELLA LLP
1800 AVENUE OF THE STARS
SUITE 900
LOS ANGELES, CA 90067 (US)

(73) Assignee: **E.L.V.H., INC.**

(21) Appl. No.: **10/370,351**

(22) Filed: **Feb. 18, 2003**

Publication Classification

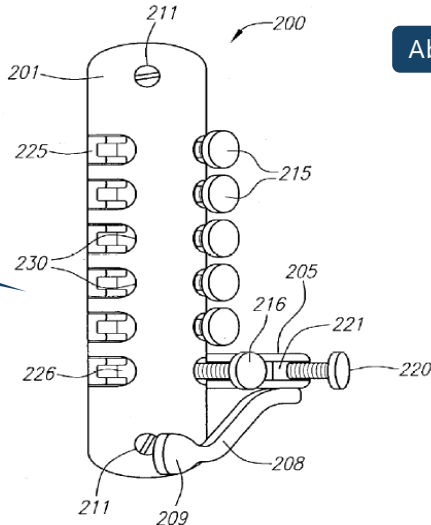
(5) Int. Cl.⁷ **G10D 3/00**

Inventor's name

Owner's name

Filing date

Drawings



Abstract

STRINGED INSTRUMENT WITH ADJUSTABLE STRING TENSION CONTROL

BACKGROUND OF THE INVENTION

[0001] 1. Field of the Invention

[0002] The field of the invention generally pertains to stringed instruments and, more specifically, to an adjustable string tension control for a stringed instrument.

[0003] 2. Background

[0004] Stringed instruments, such as guitars, generally have multiple strings which are anchored at one end to a tailpiece or bridge assembly and at the other end to a number of tuning pegs. Rotation or adjustment of the tuning pegs increases the tension of the strings and thus increases the pitch produced by the strings. Typically the strings of an instrument are tuned prior to a performance or session, with the intent usually being for the strings to remain in their tuned settings for the duration of the performance or session.

[0005] Nevertheless, musicians occasionally desire to alter the tuning or tensioning of musical instrument strings during a performance or rendition in order to, for example, achieve a different range of notes, different sound qualities and feel, or various musical effects. During live performances or renditions, however, it can be difficult, cumbersome, and imprecise to use conventional tuning knobs to attempt to adjust the tuning or tension of the strings. One technique that has been developed for varying the tension of guitar strings that does not involve the guitar's tuning keys is known as a tremolo bar. A tremolo bar connects to the guitar bridge and is manipulated by the musician to increase or decrease the tension on the guitar strings (typically all of the strings simultaneously). When the musician releases the tremolo bar, the strings return to their original tensions.

[0006] Other examples of mechanisms for altering the tension of strings are disclosed, for example, in U.S. Pat. Nos. 4,535,670 and 5,542,330.

[0007] Conventional techniques for adjusting the tension of musical instrument strings may suffer from various drawbacks. For example, with a tremolo bar, the shift in the tension or tone of a string depends upon the amount of physical displacement of the bar, and is therefore relatively imprecise. Also, the tremolo bar generally affects all of the strings simultaneously. In various other techniques, the amount of potential change in the tension of a string may be limited. Also, the mechanism for adjusting the tension of the string may be inconvenient or difficult to use, particularly during live performances or other renditions.

SUMMARY OF THE INVENTION

[0008] The invention in one aspect is generally directed to a stringed instrument with an adjustable string tension control.

[0009] In one embodiment, a tension adjustment mechanism for a stringed musical instrument comprises a pivoting member, an adjustable stop, and a handle adapted for manual actuation between a first position and a second position. The pivoting member is preferably configured to engage an end of a string (by, e.g., a post), and includes an elongate arm. Placement of the handle in the first position causes a contact member to engage and depress the elongate arm of the

pivoting member, thereby increasing tension on the string, while placement of the handle in the second position causes the contact member to disengage the elongate arm of the pivoting member, thereby allowing the pivoting member to come to rest against the adjustable stop and decreasing tension on the string.

[0010] In a particular embodiment, a tailpiece (which may be a combined bridge/tailpiece) for a stringed musical instrument includes a hinged member or string receptor having a post for securing a first end of a string and an elongate lever arm mechanically engaged with the post. The hinged member or string receptor is pivotally mounted to the tailpiece (or combined bridge/tailpiece) frame. The elongate lever arm can be depressed into a cutout beneath plane of the instrument surface. A pivotable lever handle controls motion of the hinged member or string receptor by either causing a first adjustable stop (e.g., a first adjustable screw) to engage the elongate lever arm (thus depressing it), resulting in increased string tension, or else causing the first adjustable stop to disengage, thereby allowing the elongate lever arm to be raised by the natural tension of the string and allowing it to come to rest against a second adjustable stop (e.g., a second adjustable screw), resulting in decreased string tension. The first adjustable stop controls the normal playing pitch (and fine tuning), and the second adjustable stop controls the drop-down pitch.

[0011] Further embodiments, variations and enhancements are also disclosed herein.

BRIEF DESCRIPTION OF THE DRAWINGS

[0012] FIG. 1 is a diagram of a guitar illustrating certain features of interest.

[0013] FIGS. 2A and 2B are diagrams of an assembly including a string tension adjustment mechanism in accordance with one embodiment as disclosed herein.

[0014] FIG. 3A is a front view diagram comparing string receptors for a tension-adjustable string and a non-tension-adjustable string in accordance with the assembly illustrated in FIGS. 2A and 2B, and FIG. 3B is an oblique view diagram of the string receptor for a tension-adjustable string.

[0015] FIGS. 4A and 4B are side view diagrams of the assembly shown in FIGS. 2A and 2B, illustrating different lever positions according to one example for adjusting the tension of a string.

[0016] FIGS. 5A, 5B and 5C are cut-away side view diagrams of the assembly shown in FIGS. 2A and 2B, illustrating operation according to one embodiment as disclosed herein.

[0017] FIGS. 6A and 6B are cut-away side view diagrams illustrating examples of operation of the tension adjustment screw illustrated in FIGS. 4A and 4B.

[0018] FIG. 7 is a top-view diagram of a cut-out as may be used, for example, in connection with the assembly illustrated in FIGS. 2A and 2B.

[0019] FIG. 8 is a diagram of an alternative embodiment of an assembly including a string tension adjustment mechanism.

[0020] FIGS. 9A and 9B are diagrams of another alternative embodiment of an assembly including a string tension adjustment mechanism.

musician's playing

with the 2A
816 is lined up in
e-tuning screws 815
The tension adjust-
be longer than the
n-tension-adjustable
y in certain embodi-
ic tension-adjustable
er fine tuning screws
to provide room for
rotatable cylindrical
e bored through its
he extension 805 to
hich the fine tuning
ical engagement.

a variation of the
the extended cylin-
ded cover plate 951
bly 900 (thus the
in the illustration of
plate 951 may be a
7. 9B, with a pair of
plate 951. FIG. 9A
of the size and shape
e the string tension
ects, however, the
9B functions similar
8.

embodiments as dis-
ged string receptor
n pivotally mounted
ce) frame. The elon-
outout beneath plane
ever handle controls
either causing a first

adjustment mechanisms capable of, e.g., being constructed in mirror-image to support opposite handed guitars or other stringed instruments.

[0047] While preferred embodiments of the invention have been described herein, many variations are possible which remain within the concept and scope of the invention. Such variations would become clear to one of ordinary skill in the art after inspection of the specification and the drawings. The invention therefore is not to be restricted except within the spirit and scope of any appended claims.

What is claimed is:

1. An apparatus for adjusting the tension of at least one string of a stringed musical instrument, comprising:
 - a pivoting member configured to engage an end of a string and comprising an elongate arm;
 - an adjustable stop; and
 - a handle adapted for manual actuation;
 wherein placement of the handle in a first position causes a contact member to engage and depress the elongate arm of the pivoting member, thereby increasing tension on the string, and wherein placement of the handle in a second position causes the contact member to disengage the elongate arm of the pivoting member, thereby allowing the pivoting member to come to rest against the adjustable stop and decreasing tension on the string.
2. The apparatus of claim 1, wherein said adjustable stop comprises an adjustable screw.
3. The apparatus of claim 1, wherein said pivoting member is affixed to a tailpiece, and wherein said tailpiece is adapted to anchor a plurality of strings of the stringed musical instrument.
4. The apparatus of claim 3, wherein:
 - said tailpiece comprises a plurality of string receptors substantially serially aligned between a first end and a second end of said tailpiece;

Claims

- Title
- Inventorship/Ownership
- Dates
- Abstract
 - A short summary of the invention.
- Written description
 - How does it work?
How is it made or used?
 - Background
 - Summary
 - Specification
- Drawings
 - What does it look like?
 - Brief Description
- Claims
 - The claim(s) define(s) the legal boundaries of the invention, similar to a deed to a property.

Filing requirements of a non-provisional utility patent application

Filing requirements

- A specification, including a description and at least one claim
- Drawings, when necessary for an understanding of the invention
- Inventor information including the legal name, residence, and mailing address of each inventor
- Oath or declaration or an application data sheet
- The prescribed filing, search, and examination fees

Check the filing receipt

| APPLICATION NUMBER | FILING or 371(c) DATE | GRP ART UNIT | FIL PZE RECD | ATTY DOCKET NO | TOT CLAIMS | IND CLAIMS |
|--------------------|-----------------------|--------------|--------------|----------------|------------|------------|
| 14/550,910 | 11/21/2014 | 1791 | 435 | | 2 | 2 |

CONFIRMATION NO. 8826
UPDATED FILING RECEIPT

120070
George Pul
PO Box 60244
Las Vegas, NV 89160

Date Mailed: 01/06/2015

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections**

Inventor(s)
George Pul, Las Vegas, NV;

Applicant(s)
George Pul, Las Vegas, NV;

Power of Attorney: None

Domestic Priority data as claimed by applicant
This appln claims benefit of 61/909,203 11/26/2013

Foreign Applications for which priority is claimed (You may be eligible to benefit from the **Patent Prosecution Highway** program at the USPTO. Please see <http://www.uspto.gov> for more information.) - None.
Foreign application information must be provided in an Application Data Sheet in order to constitute a claim to foreign priority. See 37 CFR 1.55 and 1.76.

If Required, Foreign Filing License Granted: 12/08/2014

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 14/550,910**

Projected Publication Date: 05/28/2015

Non-Publication Request: No

Early Publication Request: No
**** MICRO ENTITY ****

Inventor(s)

Applicant(s)

Domestic Priority

Fee status



Fees

- Filing fees paid in full (surcharge if submitted after filing date)
 - Non-electronic filing fee for applications submitted in hard copy (mailed or hand-carried to the USPTO)
 - Excess claims fees
 - Application size fees
 - Fees for large sequence listing submitted/transferred
 - Other fees as applicable
- Fees paid according to the entity status established at the time of payment

Micro entity status

Reduces **most** patent fees by 75%

Gross income - Use form SB/15A to certify:

1. The applicant qualifies as a small entity
2. No inventor and no other applicant (if any) has been named as an inventor on more than 4 previously filed U.S. nonprovisional patent applications
3. No inventor and no other applicant (if any), in the calendar year preceding the calendar year in which the applicable fee is being paid, had a gross income exceeding 3 times the median household income most recently reported by the U.S. Census Bureau
4. No inventor and no other applicant (if any) has assigned, granted, or conveyed (and is not under obligation to do so) a license or other ownership interest in the application concerned to an entity that, in the calendar year preceding the calendar year in which the applicable fee is being paid, had a gross income exceeding 3 times the median household income most recently reported by the U.S. Census Bureau

Helpful hints – micro entity

- Be sure to properly sign the form
- Identifying Information
 - First named inventor is a single name that will be the same on every micro entity certification form submitted in an application
 - Title listed should match that in the ADS or specification
 - If filed before an application number is assigned, the application must be identified with **both** the first named inventor AND the correct title of invention
 - Leave the application number section BLANK if no application number has been assigned
- Each applicant must submit a separate form



Surcharge

A surcharge (in addition to any other fees due) will be assessed for:



- Late submission of the basic filing, search or examination fee
- Late submission of inventor's oath
- Filing an application that does not contain at least one claim on filing
- Submission of an application filed by reference to a previously filed application



Office of Patent Application Processing (OPAP)

- Performs an initial review of the application papers for completeness and compliance with procedural requirements, including inspection of drawings to see if they can be effectively scanned and adequately reproduced
 - This is a separate standard from what the patent examiner will subsequently review during examination
- If deficiencies are found, OPAP will send an Official notice of the deficiencies and set forth a time period for response to avoid abandonment
- Once the application is accepted as complete by OPAP, it will be assigned for examination

SAMPLE Notice to File Missing Parts

| | | | |
|--|-----------------------|---|---|
|  | | UNITED STATES PATENT AND TRADEMARK OFFICE | |
| | | UNITED STATES DEPARTMENT OF COMMERCE United States Patent and Trademark Office Address: COMMISSIONER FOR PATENTS P.O. Box 1450 Alexandria, Virginia 22313-1450 www.uspto.gov | |
| APPLICATION NUMBER | FILING OR 371(C) DATE | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
| | | | CONFIRMATION NO. |
| | | | FORMALITIES LETTER |
| | | |  |
| | | | Date Mailed: 01/28/2015 |
| NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION | | | |
| FILED UNDER 37 CFR 1.53(b) | | | |
| <i>Filing Date Granted</i> | | | |
| Items Required To Avoid Abandonment | | | |
| An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). | | | |

Mail date

Response period

Common mistakes made while filing

Common mistakes

- Specification Format
- Drawing Format
- Application Data Sheet (Form PTO/AIA/14)
- Signature Requirements
- Micro Entity Certification (Form PTO/SB/15A)

Specification page format

- The specification, including the abstract and claims, must be written in English and have lines that are 1.5 or double-spaced in a single column of text
- Written on only one side in portrait orientation
- 8.5 by 11 inches with all margins of at least $\frac{3}{4}$ inches except for a left side margin of at least 1 inch
- Clearly typewritten in non-script font (e.g., Arial, Times New Roman, or Courier, preferably with a font size of 12), without shading, on white paper
- The application pages must be numbered consecutively (centrally located above or below the text) starting with page one
- Nonscript font (e.g., Arial, Times Roman, or Courier), preferably with a font size of 12
- Drawing figures should not be contained within the specification

Specification sections

- Title of the Invention (short and specific)
- Most common applicable sections
 - Background of the Invention (e.g., state of the art before your invention)
 - Brief Summary of the Invention
 - Brief Description of the Drawings (list of all figures by number with brief statement of what the figure depicts)
 - Detailed Description of the Invention
- Claims (on a separate sheet)
- Abstract (less than 150 words, one paragraph, on separate sheet)

How to file a substitute specification

3 Required Parts of the Submissions

1. Marked-up copy with proper markings showing all the changes relative to the immediate prior version of the specification of record
2. Clean copy (without markings)
3. Signed statement that the substitute specification contains no new matter

The **ENTIRE** specification is required for the marked-up and clean copies, not just the amended portion.



Marked up vs. clean copy

Marked up copy:

- A version that shows ALL changes to the most recent specification **of record** with markings.
- Additions of text are underlined.
- Deletions of text are shown by ~~strike-through~~, except double brackets may be used to indicate deletion of `[[five]]` or `[[fewer]]` characters.

Clean copy:

- A version that includes ALL changes to the most recent specification of record without markings.



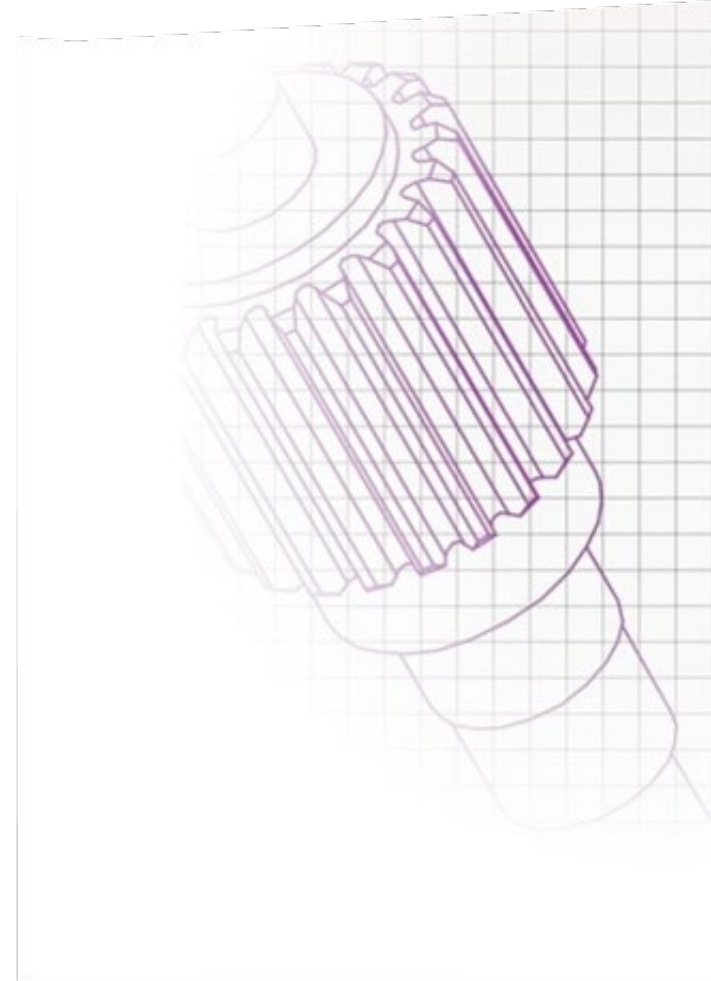
Substitute specification statement

The submission must be accompanied by a statement that the substitute specification includes no new matter.

Drawings

Required if necessary to understand the subject matter to be patented

- A drawing necessary to understand the invention cannot be introduced after the filing date



Drawing Requirements

- Black and white drawings; lines; numbers heavy enough to permit adequate reproduction
- Use reference characters (in specification and drawings; numerals preferred)
- Each Figure must be labeled in English (e.g., FIG. 1) with a corresponding description in the Brief Description of the Figures
- Contain little or no text, and no non-English labeling or text
- Be on white, non-graph, 8.5 by 11 paper, with margins of at least $\frac{3}{4}$ inch and a left margin of at least 1 inch
- Be free of erasures, copy marks, overwriting, interlineations, folds, and alterations
- Numbering of the sheets of drawings should be numbered. In the top-center of each sheet, the number should be shown by two Arabic numerals placed on either side of an oblique line, with the first being the sheet number and the second being the total number of sheets of drawings, with no other marking.

Common mistakes found during OPAP drawing review

- Line quality that is too light to be reproduced
- Missing lead lines
- Excessive text or text that is not in English
- Paper format (e.g., margins and paper size)
- Incorrectly labeled figures
- Photographs that are illegible after scanning
- Color drawings without a petition
- Each figure described in the brief description of the drawings must correspond to a separately-labeled drawing figure
 - Fig 1 described in the specification should not be labeled as Fig 1a
 - Fig 1a-f described in the specification should not be labeled as Fig 1

How to make amendments to the drawings

- Each sheet **must be labeled** "Replacement Sheet" or "New Sheet" as applicable in the top margin
- Marked up copy is optional unless required by the examiner
 - Must be labeled "Annotated Sheet" if submitted

Application Data Sheet (ADS)

An ADS is **required** to:

- Identify applicants who are not inventors
- Set inventorship when an inventor's oath is NOT being submitted until later in the prosecution
- Set inventorship where there are joint inventors and each joint inventor is executing a declaration that ONLY names that inventor and not all inventors
- Make benefit claims under 37 CFR 1.78 and foreign priority claims under 37 CFR 1.55



Common Mistakes found in ADS

- Signature
 - Every ADS must be signed by either a registered patent practitioner or the applicant.
 - When a named applicant in the “Applicant Information” section is a juristic entity (e.g., a company), the ADS must be signed by a registered patent practitioner.
 - An unsigned ADS will be treated only as a transmittal letter (37 CFR 1.76) with limited information being made of record from it.
- Domestic benefit
 - If an applicant wishes to claim the benefit of an earlier-filed U.S. application (e.g., a provisional application), the claim must be made in the “Domestic Benefit/National Stage Information” section of an ADS.

Common Mistakes found in ADS (cont.)

- File by reference
 - In an overwhelming majority of filed applications, the “Filing by Reference” section of the ADS should be left BLANK. Overcoming a mistake in completing this section can be particularly costly and time consuming.
- Typographical errors
 - Applicants should be sure to carefully check each entry in the ADS for typographical errors. Errors in the spelling of names, prior application numbers, addresses, etc. are not always easy to fix and can cost applicants money, time, and additional paperwork.

Updating the ADS

- All changes to the ADS must be properly marked up
- Information may be corrected or updated by filing a **corrected** ADS that contains all sections of the form or only the sections of the form containing changed or updated information
- Changes must be shown by underlining for insertions and ~~strike-through~~ or [brackets] for deletions
- Each section containing changes or updated information must contain **all** of the information already of record with the changes shown by markings
- If the ADS is submitted after the submission of the application, even if it is the first submission of an ADS, any information being added or deleted relative to the information of record must be indicated by markings

Example: correcting a benefit claim

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.

When referring to the current application, please leave the "Application Number" field blank.

| | | | |
|---|--------------------------------------|---------------------------------------|------------------------------------|
| Prior Application Status | Expired | <input type="button" value="Remove"/> | |
| Application Number | Continuity Type | Prior Application Number | Filing or 371(c) Date (YYYY-MM-DD) |
| | <u>Claims benefit of provisional</u> | <u>61973005</u> | <u>2014-03-31</u> |
| Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the Add button. | | | <input type="button" value="Add"/> |

This correction rectifies a situation in which the as-filed ADS did not make a benefit claim (or the benefit claim was not properly presented). The underlining shows the benefit claim is being added. The underlining is relative to the information of record shown on the filing receipt.



Documents must be properly signed

- If you are working with a registered practitioner, the practitioner may sign documents, even if you have not appointed him or her to have power of attorney.
- If you are not working with a registered practitioner and there is no applicant named on an application data sheet (ADS), all inventors must sign each document/submission.
- If you are not working with a registered practitioner and there is no applicant named on an ADS, all inventors may appoint one or more of the inventors to prosecute the application on everyone's behalf:
 - Each inventor must sign the form, even the one being appointed.
 - PTO/AIA/81 may be used.

Signature requirement

- Handwritten
- S-signature
 - Name between two single forward slashes
 - Signature must be accompanied by printed/typed name of signer and be easily identifiable
- Graphic representation
 - For electronically submitted correspondence
 - Graphic representation of handwritten signature or S-signature

Multiple Inventors: **ALL** inventors must sign **UNLESS** a power of attorney has been granted to one or more of the joint inventors

Sample S-Signatures

I. S-SIGNATURE EXAMPLES, 37 CFR 1.4(d)(2) effective September 21, 2004

A. BY INVENTORS, AFFIANTS (e.g., §§ 1.131 & 1.132), ASSIGNEES AND PRACTITIONERS SIGNING AS INVENTORS

| | <u>SIGNATURE TYPE</u> | <u>SIGNATURE</u> | <u>TREATMENT</u> | <u>PREFERRED</u> |
|----|--|--|---|------------------|
| 1. | S-Signature within forward slashes, name below | <u>/John T. Smith/</u> John T. Smith | Proper Signature Treat as signed, § 1.4(d)(2). | ✓ |
| 2. | S-Signature with spaces within forward slashes, name below | <u>/ John T. Smith /</u> John T. Smith | Proper Signature Treat as signed, § 1.4(d)(2). | |
| 3. | S-Signature within forward slashes, name below but no line under the S-Signature | <u>/John T. Smith/</u> John T. Smith | Proper Signature Treat as signed, § 1.4(d)(2), as a line is not required, although it is recommended. | |
| 4. | Script font S-Signature within slashes, name below | <u>/John T. Smith/</u> John T. Smith | Proper Signature Treat as signed, § 1.4(d)(2). | |
| 5. | Name above, S-Signature within slashes, below | <u>John T. Smith</u> <u>/John T. Smith/</u> | Proper Signature Treat as signed, § 1.4(d)(2). | |
| 6. | S-Signature within slashes, name on right side | <u>/John T. Smith/ John T. Smith</u> | Proper Signature Treat as signed, § 1.4(d)(2). | |

https://www.uspto.gov/sites/default/files/documents/sigexamples_alt_text.pdf



Online educational resources

- Nonprovisional (Utility) Patent Application Guide

www.uspto.gov/patents-getting-started/patent-basics/types-patent-applications/nonprovisional-utility-patent

- Important Information for Completing an ADS

www.uspto.gov/patent/forms/important-information-completing-application-data-sheet-ads

- ADS Instructions Document

www.uspto.gov/sites/default/files/ebc/portal/efs/ads_form_inst.doc

- Article on Common Pitfalls on USPTO Forms

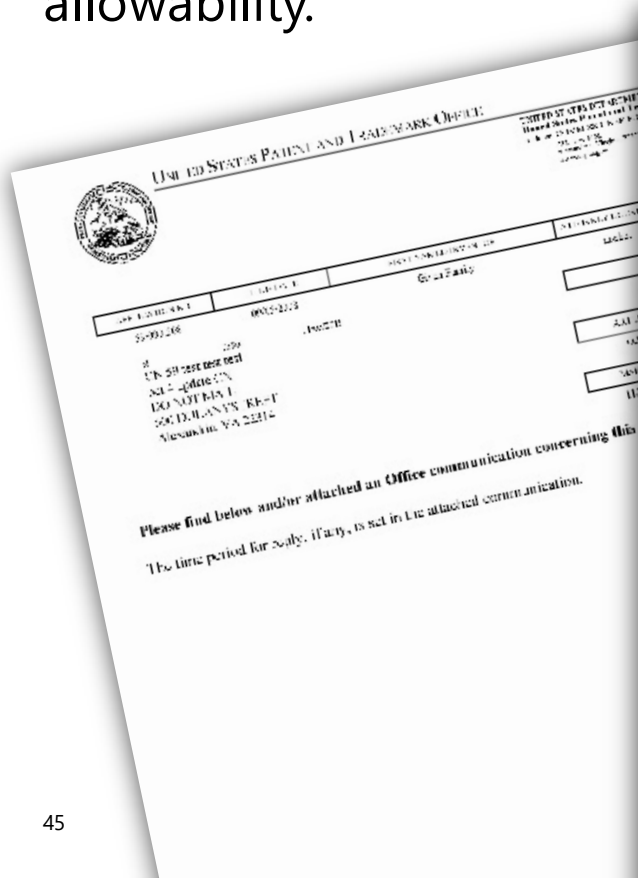
www.uspto.gov/learning-and-resources/newsletter/inventors-eye/common-pitfalls-uspto-forms



Post filing procedure

What is a USPTO Office Action?

An office action sets forth the basis for any objections, rejections, and allowability.



| Office Action Summary | | |
|--|----------------------------|-------------------------|
| Application No. 84622453 | Applicant(s) Firm, Inc. | |
| Examiner DAVID S. 1254997830123456789 | Art Unit 0101 | AIA (FITF) Status No |

--- THE MAILING DATE of this communication appears on the cover sheet with the correspondence address ---

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

For information, the time period for this communication is 3 months from the mailing date of this communication. If you are a small entity, you may elect to extend the time period for reply by filing a request for extension of time under 37 CFR 1.136. Any extension of time must be filed on or before the expiration date of the time period for reply. Any reply received by the Office after the time period for reply expires will be treated as late. See 37 CFR 1.136. Any reply received by the Office after the time period for reply expires will be treated as late. See 37 CFR 1.136.

Status

Responsive to communication filed on 01 November 2018.

A disposition (able to be) filed under 37 CFR 1.130(b) was/were filed on ____.

This action is FINAL. This action is non-final.

An election was made by the applicant in response to a reaction requirement set forth during the pendency of this application and election have been incorporated into this action.

Since the application is in condition for allowance except for formal matters, prosecution in the merits is closed in accordance with the practice under *Ex parte Day*, 1895 O.D. 11, 463 O.D. 215.

Disposition of Claims*

1) Claim(s) 1-5 (are) pending in the application.

2) Of the above claim(s) ____ (are) withdrawn from consideration.

3) Claim(s) ____ (are) allowed.

4) Claim(s) 1-3 (are) rejected.

5) Claim(s) ____ (are) objected to.

6) Claim(s) ____ (are) subject to resubmission or other election requirement.

* If any claims have been determined allowable, you may be eligible to benefit from the Patent Prosecution Highway program at a participating intellectual property office for the corresponding application. For more information, please see <http://www.uspto.gov/patentprosecutionhighway/index.jsp> or send an inquiry to PPHFeedback@uspto.gov.

Application Papers

The specification is amended by the Examiner.

The drawing(s) filed on ____ (are) a) accepted or b) objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(c). Replacement drawing should be filed by the applicant if the drawing(s) is/are objected to. See 37 CFR 1.121(e).

Priority under 35 U.S.C. § 119

Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d); or (f).

Certified copies:

a) All b) Some c) None of the:

1) Certified copies of the priority documents have been received.

2) Certified copies of the priority documents have been received in Application No. ____.

3) Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(b)).

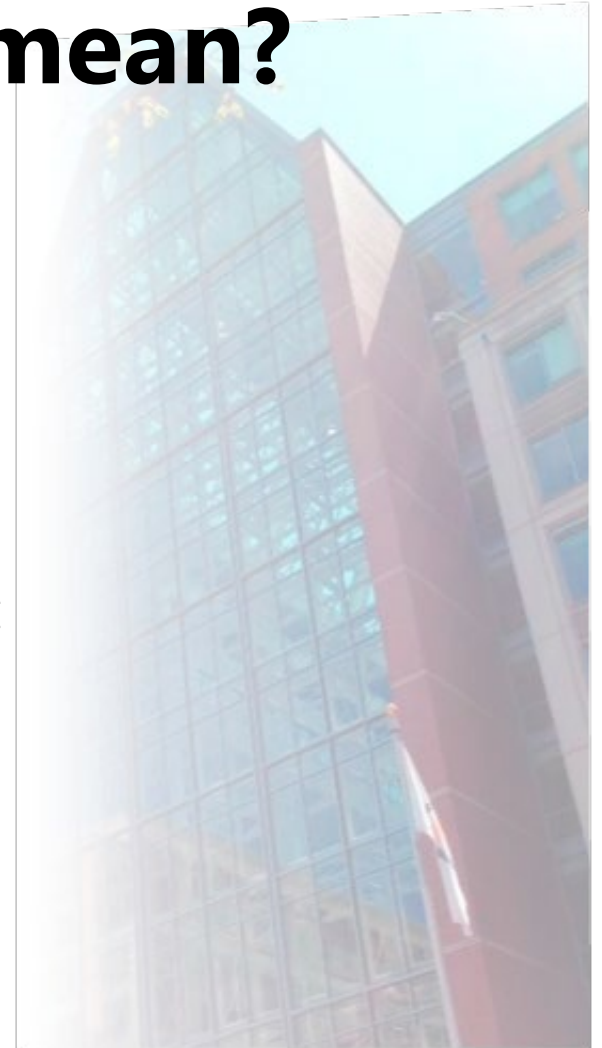
** See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)



What does a rejection mean?

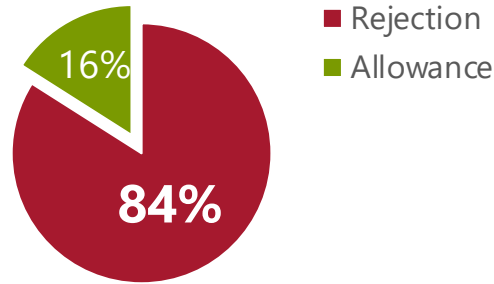
- Rejections are a normal part of the process.
- They help define what is patentable.
- Often due to existing prior art.
 - The examiner must have a basis to believe someone else may have come up with what you invented before you.
- Can often be overcome.



Receive a rejection? Don't give up!

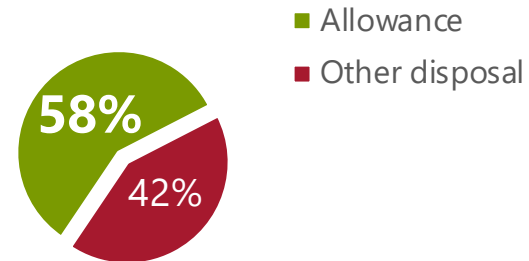
Fact: In FY 2019, 84% of original filings received a first office action containing a rejection.

FY 2019 first actions



Fact: In FY 2019, 58% of examiner disposals were allowances.

FY 2019 percentage allowed

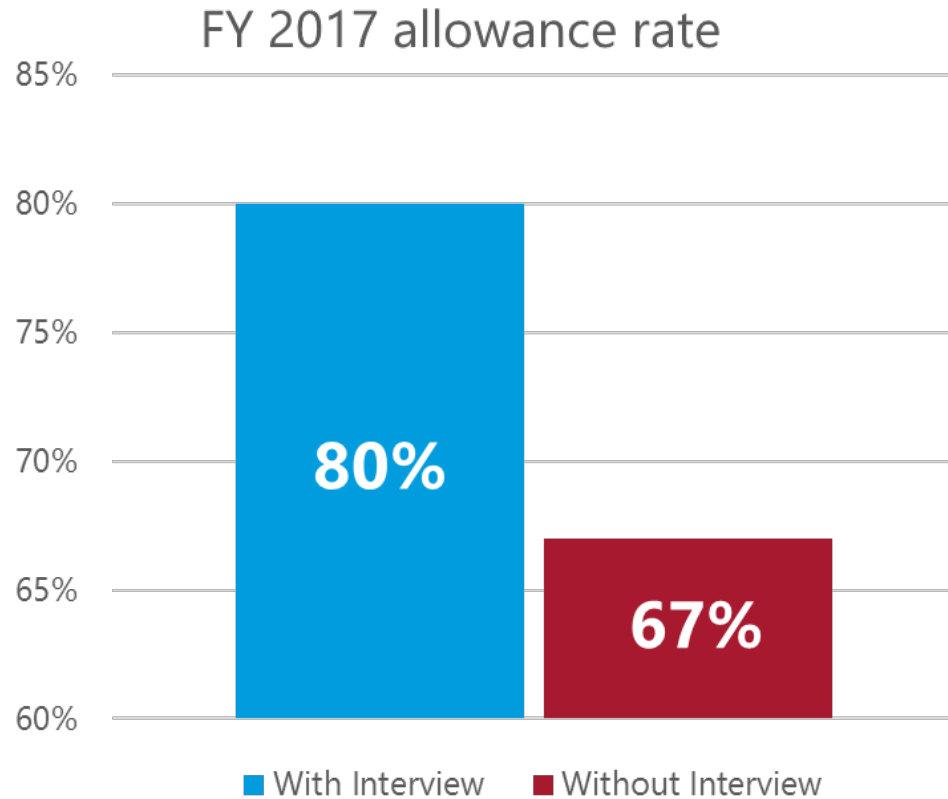


Role of the USPTO examiner

- Read and understand the application
- Search for prior art
- Evaluate the specification and claim(s)
- Respond by office action(s) describing findings
- Hold interviews, as requested



Power of the interview



Role of the applicant

- File a complete application
- Disclose all known prior art
- In response to examiner office actions:
 - Explain your position, and/or
 - Make good faith changes to the application



After-final Practice

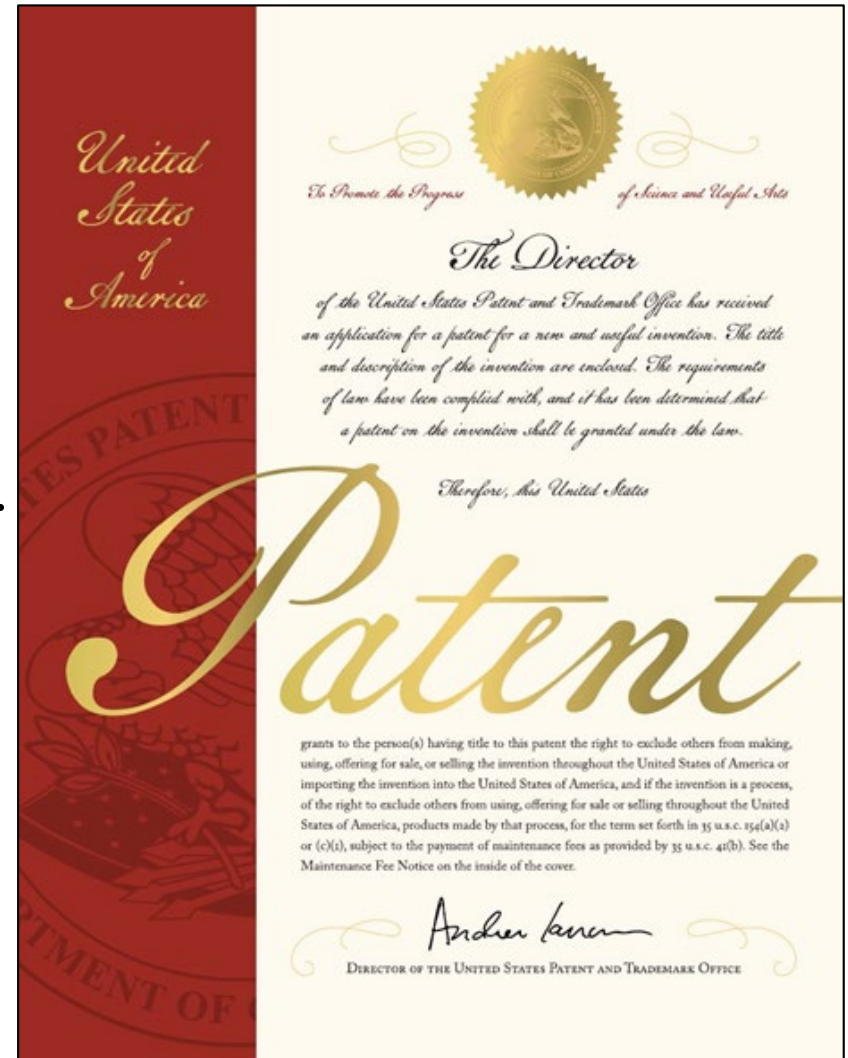
Even if you receive a final rejection, don't panic. If you still disagree, you may still have options:

- Request for continued examination (RCE),
- Appeal, or
- After-final response.

Allowances

A notice of allowance indicates all objections and rejections have been overcome and your application is ready for issuance.

In FY 2019, 58% of examiner disposals were allowances.



Anatomy of a patent

- Title
- Inventorship/Ownership
- Dates
- Abstract
 - A short summary of the invention.
- Written description
 - How does it work?
 - How is it made or used?
- Drawings
 - What does it look like?
- Claims
 - The claim(s) define(s) the legal boundaries of the invention, similar to a deed to a property.

Issue date

(12) United States Patent
Haussmann et al.

(10) Patent No.: US 7,970,256 B2
(45) Date of Patent: Jun. 28, 2011

(54) FAST PLAY DVD 5,477,516 A 12/1995 Takezawa
5,491,704 A 2/1996 Duron
5,504,585 A 4/1996 Fujimori et al.
5,510,906 A 4/1996 Yagasaki et al.
5,570,340 A 10/1996 Lee et al.
5,592,450 A 1/1997 Yonemitsu et al.
5,594,709 A 1/1997 Nagano et al.
5,596,564 A 1/1997 Fukushima et al.
5,596,565 A 1/1997 Yonemitsu et al.
5,630,006 A * 5/1997 Hirayama et al. 386-92
6,038,367 A 3/2000 Abccassis
6,141,004 A 10/2000 Jeong
6,341,196 B1 1/2002 Ando et al.
6,424,793 B1 7/2002 Setogawa et al.
(Continued)

(75) Inventors: Robert Haussmann, Sun Valley, CA (US); Colette Moore, Burbank, CA (US); Benn Carr, Burbank, CA (US)

(73) Assignee: Disney Enterprises, Inc., Burbank, CA (US)

(*) Notice: Subject to any disclaimer, the term of this patent is extended or adjusted under 35 U.S.C. 154(b) by 75 days.

(21) Appl. No.: 10/757,089

(22) Filed: Jan. 13, 2004

Prior Publication Data
(65) US 2004/0179810 A1 Sep. 16, 2004

Related U.S. Application Data
(60) Provisional application No. 60/439,943, filed on Jan. 13, 2003.

Int. Cl. H04N 9/80 (2006.01)
(51) U.S. Cl. 386/241; 386/344
(52) U.S. Cl. 386/46, 386/95, 125, 126, 92, 123, 200, 241, 344
(58) **Field of Classification Search** 386/46, 386/95, 125, 126, 92, 123, 200, 241, 344
See application file for complete search history.

References Cited
(56) U.S. PATENT DOCUMENTS
4,440,198 A 5/1984 Kroon et al.
4,800,122 A 8/1989 Kanamaru
5,155,600 A 10/1992 Mueda
5,161,034 A 11/1992 Klappert
5,351,132 A 9/1994 Sawabe et al.
5,457,669 A 10/1995 Kim et al.

FOREIGN PATENT DOCUMENTS
(11) EP 0757350 2/1997
(Continued)

OTHER PUBLICATIONS
(12) Disney Pixar, Monster Inc DVD Movies, 2001*
(Continued)

Primary Examiner — Huy T Nguyen
(74) **Attorney, Agent, or Firm** — Ference & Associates LLP

(57) ABSTRACT
A medium having a plurality of data blocks stored therein is disclosed. The medium can be a DVD. The plurality of data blocks can be viewed by playing the medium in a medium player. The medium player can be a DVD player. A first instruction set instructs the medium player to play the plurality of data blocks of the medium in a pre-determined sequence. Further, a second instruction set instructs the medium player to play the plurality of data blocks of the medium in response to user commands that determine the order for playing the plurality of data blocks of the medium.

33 Claims, 5 Drawing Sheets

Examiner's name & Applicant's representative

Prior art

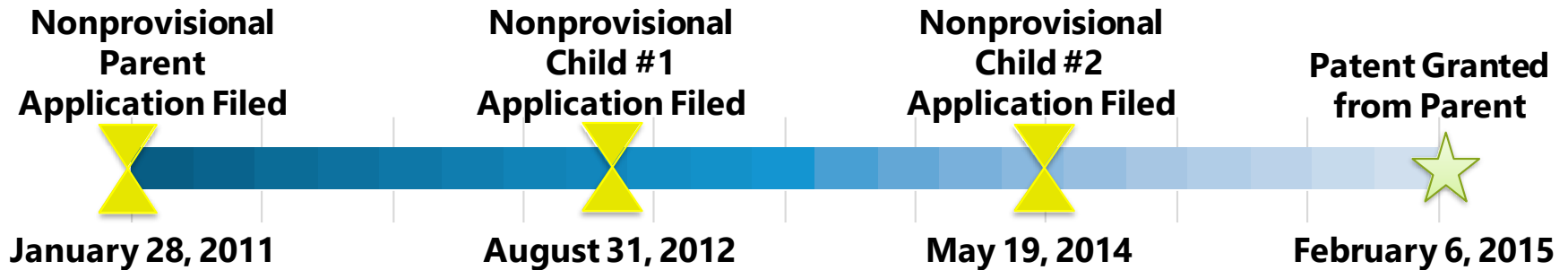
Drawings

Abstract

Continuation, continuation-in-part, and divisional applications

Continuing Nonprovisional Applications

Later-filed nonprovisional application may claim the benefit of earlier nonprovisional application (“parent” application) if the earlier application is still pending (not yet issued or abandoned).



Continuation/Continuation-in-Part (CIP)

Continuation:

(MPEP 201.07)

Has same disclosure as
"parent"



Continuation-in-Part:

(MPEP 201.08)

Disclosure includes *additional*
subject matter not disclosed
in parent



Divisional Application (DIV)

Has same disclosure as “parent,” but claims an invention independent or distinct from the invention claimed in the parent

(MPEP 201.06)

**Application
A₁**

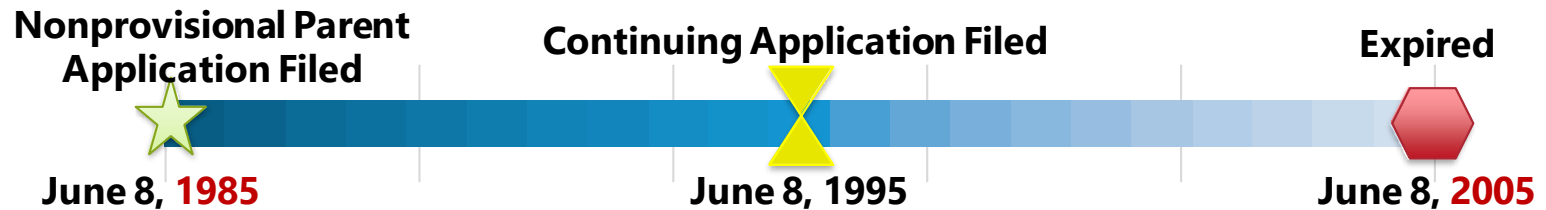
**Application
B₁**

Patent Application Filing Dates

Patents issued from **nonprovisional applications** filed on or after June 8, 1995: the patent term begins when the patent issues and ends on the date 20 years from the application filing date

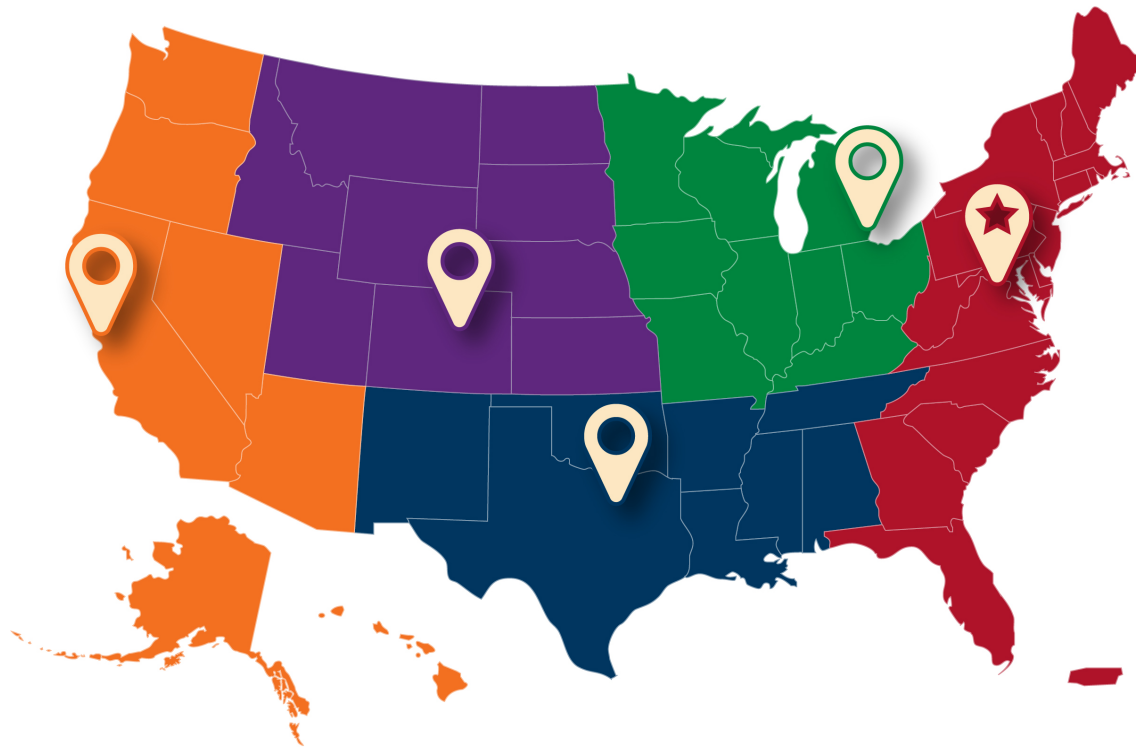


Patents issued from **continuing applications** filed on or after June 8, 1995: the patent term lasts 20 years from the filing date of the earliest parent (nonprovisional) application



Support and resources

Resources in your area



USPTO offices:

Headquarters



- Alexandria, VA




Regional offices



- Detroit
- Denver
- Silicon Valley
- Dallas

Additional resources:

- Inventors Assistance Center
- Patent Pro Bono Program
- Law school clinics
- Patent and Trademark Resource Centers

 USPTO office location
 USPTO headquarters

 West Coast region
 Rocky Mountain region
 Texas region

 Midwest region
 East Coast region

[uspto.gov](https://www.uspto.gov) 

Inventors Assistance Center (IAC)

The Inventors Assistance Center (IAC) provides patent information and services to the public. The IAC is staffed by former supervisory patent examiners and experienced former primary examiners who answer general questions concerning patent examining policy and procedure.

Monday – Friday,
8:30 a.m. – 8 p.m. ET,
except federal holidays

- 800-PTO-9199
(800-786-9199)
- 571-272-1000

**TTY customers can dial
800-877-8339 for
customer assistance**



USPTO Patent Pro Bono Program

A nationwide network that assists financially under-resourced independent inventors and small businesses

- Program participants must have income 300% below federal poverty guidelines



For more information, visit www.uspto.gov/probonopatents.

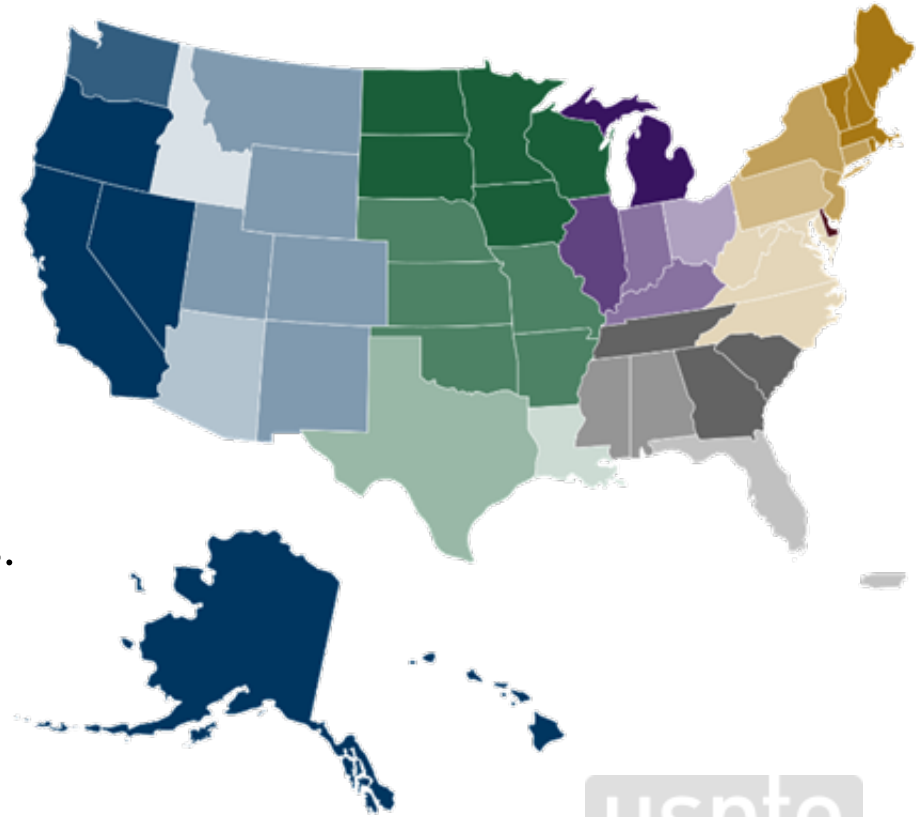


Patent Pro Bono Program

File and prosecute patent applications

The program matches financially under-resourced inventors and small businesses with registered patent attorneys.

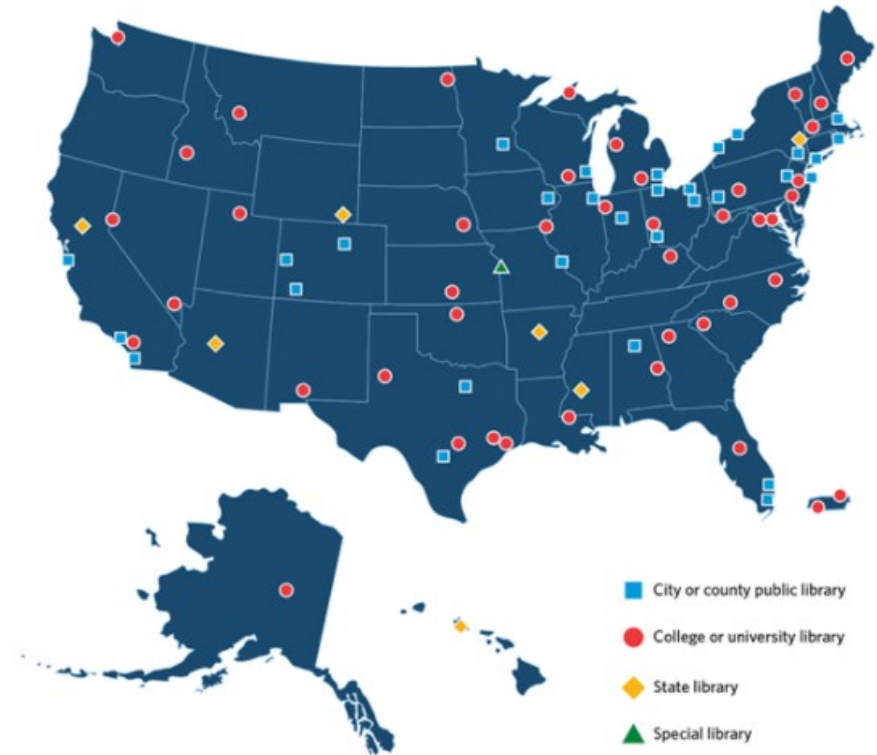
- 22 regional programs across the country provide matching services.



Patent and Trademark Resource Centers (PTRC)

Nationwide network of public, state, and academic libraries that are designated by the USPTO to disseminate patent and trademark information and to support intellectual property needs of the public.

Visit www.uspto.gov/ptrc for more information.

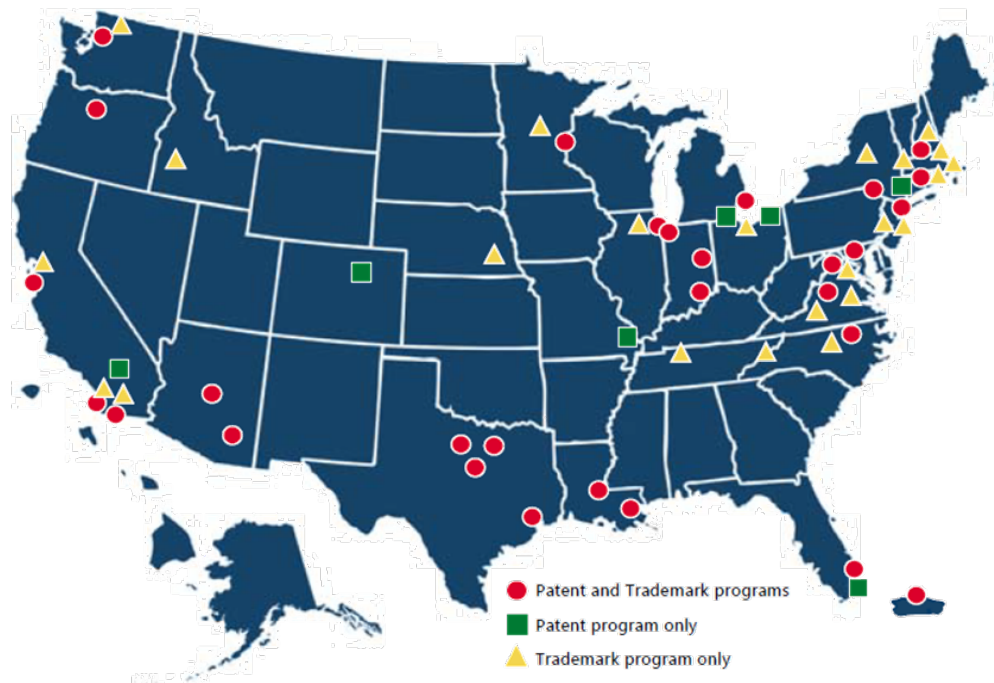




USPTO
Law School
CLINIC CERTIFICATION PROGRAM

The USPTO's Law School Clinic Certification Program allows law students enrolled in a participating law school's clinic program to practice before the USPTO under the guidance of a law school faculty clinic supervisor.

For more information, visit www.uspto.gov/lawschoolclinic.



Other USPTO resources

Helpline: 1-800-PTO-9199

| Resource | Website |
|-------------------------------------|--|
| Utility patent application guide | www.uspto.gov/patents/resources/types/utility.jsp |
| Patent process | www.uspto.gov/patents/process |
| Patent search guide | www.uspto.gov/patents/process/search |
| Inventor and entrepreneur resources | www.uspto.gov/inventors |
| Pro Se assistance | www.uspto.gov/ProSePatents |
| Micro entity information | www.uspto.gov/PatentMicroentity |



