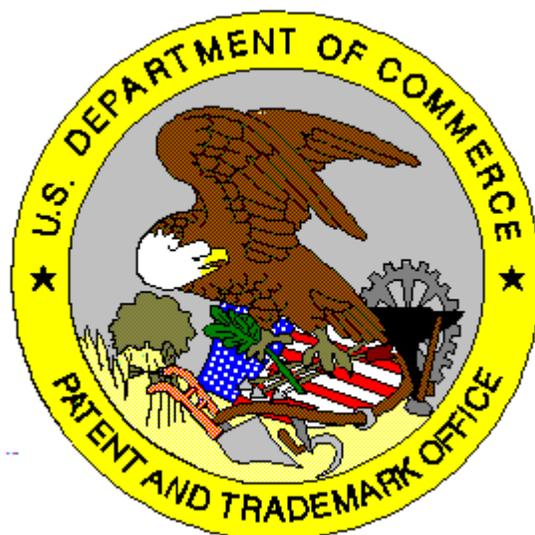


Patent Application Data Entry Format
Guide for Preparing
Bibliographic Data
for Electronic Capture



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T H E D A T A E N T R Y F O R M A T

Patent Application Data Entry Format

THE Patent Application Data Entry Format was designed to turn a customer's paper document into an electronic PTO data record. Image scanning and optical character recognition equipment promise more accurate data recording than our current method of manual data entry.

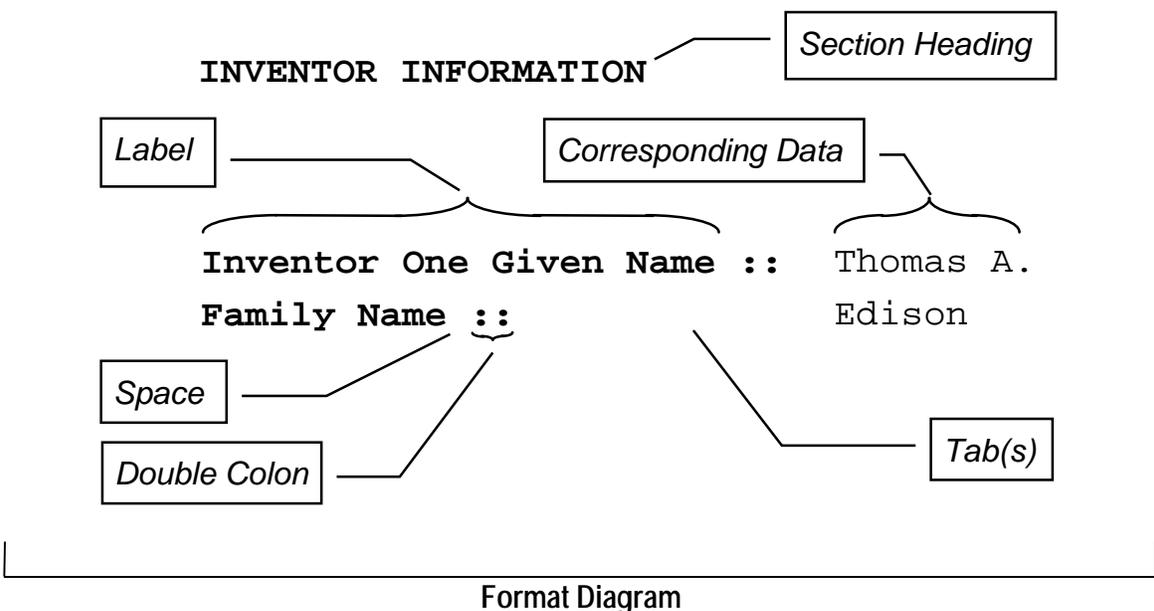
Using this format, initial information about a newly filed application may be entered, just as it is presented, directly into PTO information systems.

Customers using the **Patent Application Data Entry Format** can

expect two advantages when applying for a patent.

1. Corrected filing receipts related to PTO errors will be significantly reduced.
2. Accurately recorded application data will also reduce delays during and after prosecution of an application.

The format involves typing the "Section Heading," typing a specific "label" followed by a space, a double colon, one or more tabs, and then the data corresponding to the label. See the Format Diagram below.



For bibliographic information, the format includes six section headings:

Inventor Information

Correspondence Information

Application Information

Representative Information

Continuity Information

Prior Foreign Applications

Every applicant will need to supply the information listed in the first three sections, **Inventor Information**, some **Correspondence Information** and some **Application Information**. In many cases the Bibliographic Data Sheet will be complete with just this information.

Information identified in the **Representative Information**, **Continuity Information** and **Prior Foreign Applications** sections will not necessarily apply to all applicants. Any section or label information which does not apply does not need to be listed.

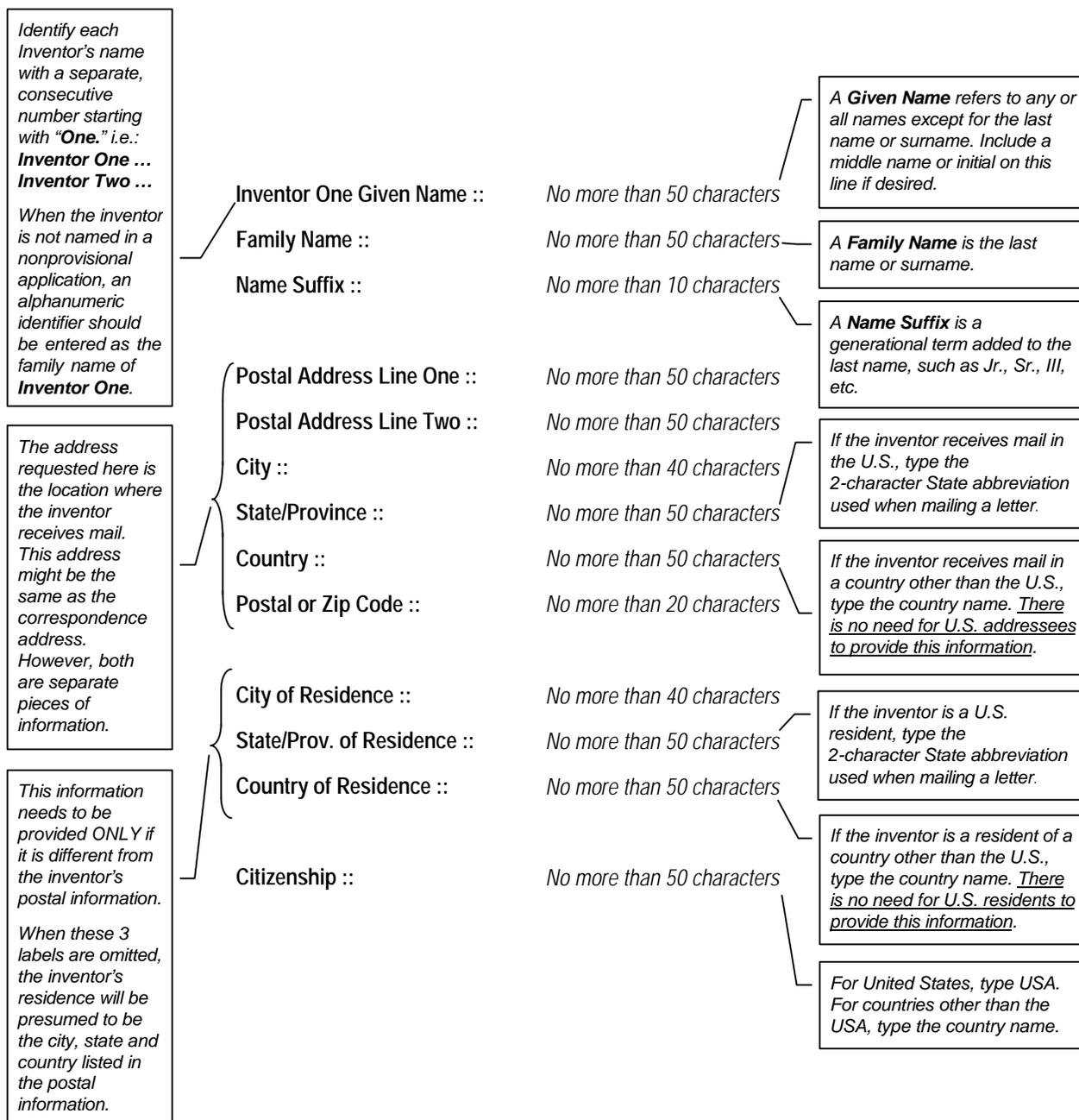
I N S T R U C T I O N S

When preparing information in the Patent Application Data Entry Format, keep these points in mind:

- The only section headings and labels that must appear on your data format sheet are those for which you have corresponding data.
- Listing a section heading and label for information which does not apply to your application is not necessary but will not affect electronic recording.
- Section headings must be on a separate line.
- Each label must be on a separate line.
- Each line of information provided must have a label to the left. In other words, if a single piece of information takes two or three lines, each line must have its own label to the left.
- Section headings and labels must be typed exactly as designated in the format.
- Section headings and labels are not case sensitive. (*i.e., All capital letters or initial capitals are permitted.*)
- The corresponding data for each label must be limited to a particular number of characters indicated in the format. The character limits include spaces and punctuation.
- Typography, Document Format requirements and Paper Characteristics requirements are listed in Appendix A.

The next eight pages explain in detail the format elements and how each should be entered.

Inventor Information



Inventor Information format continued ...

Inventor Information *continued from page 3*

(When someone other than the inventor is filing the application, the following information must also be provided. This information should immediately follow the inventor information outlined on page 3.)

If you are filing the application and you are not the inventor, type your name after the **Given Name of Applicant** and **Family Name** labels. Type one of these three labels followed by your authority code.
It is important that the **Applicant** information immediately follow the **Inventor** information on whose behalf the application is being filed.

- Given Name of Applicant :: No more than 50 characters
- Family Name:: No more than 50 characters
- Name Suffix :: No more than 10 characters
- Authority Under 1.42 :: 2 characters only
- or
- Authority Under 1.43 :: 2 characters only
- or
- Authority Under 1.47 :: 2 characters only

- Postal Address Line One :: No more than 50 characters
- Postal Address Line Two :: No more than 50 characters
- City :: No more than 40 characters
- State/Province :: No more than 50 characters
- Country :: No more than 50 characters
- Postal or Zip Code :: No more than 20 characters

- City of Residence :: No more than 40 characters
- State/Prov. of Residence :: No more than 50 characters
- Country of Residence :: No more than 50 characters

- Citizenship :: No more than 50 characters

The term **Applicant** as used in this section refers to a person who is not the inventor and is filing the application on behalf of the inventor under 42 U.S.C. 2457(a)(2) or 35 U.S.C. 117 or 118.

The **Applicant's Authority** is indicated with a two character code. The code is used to identify the authority by which a party, other than the inventor, may file the application.
02 - Administrator of NASA
08 - Party of Interest under 35 U.S.C. 118
11 - Legal Representative under 35 U.S.C. 117

Correspondence Information

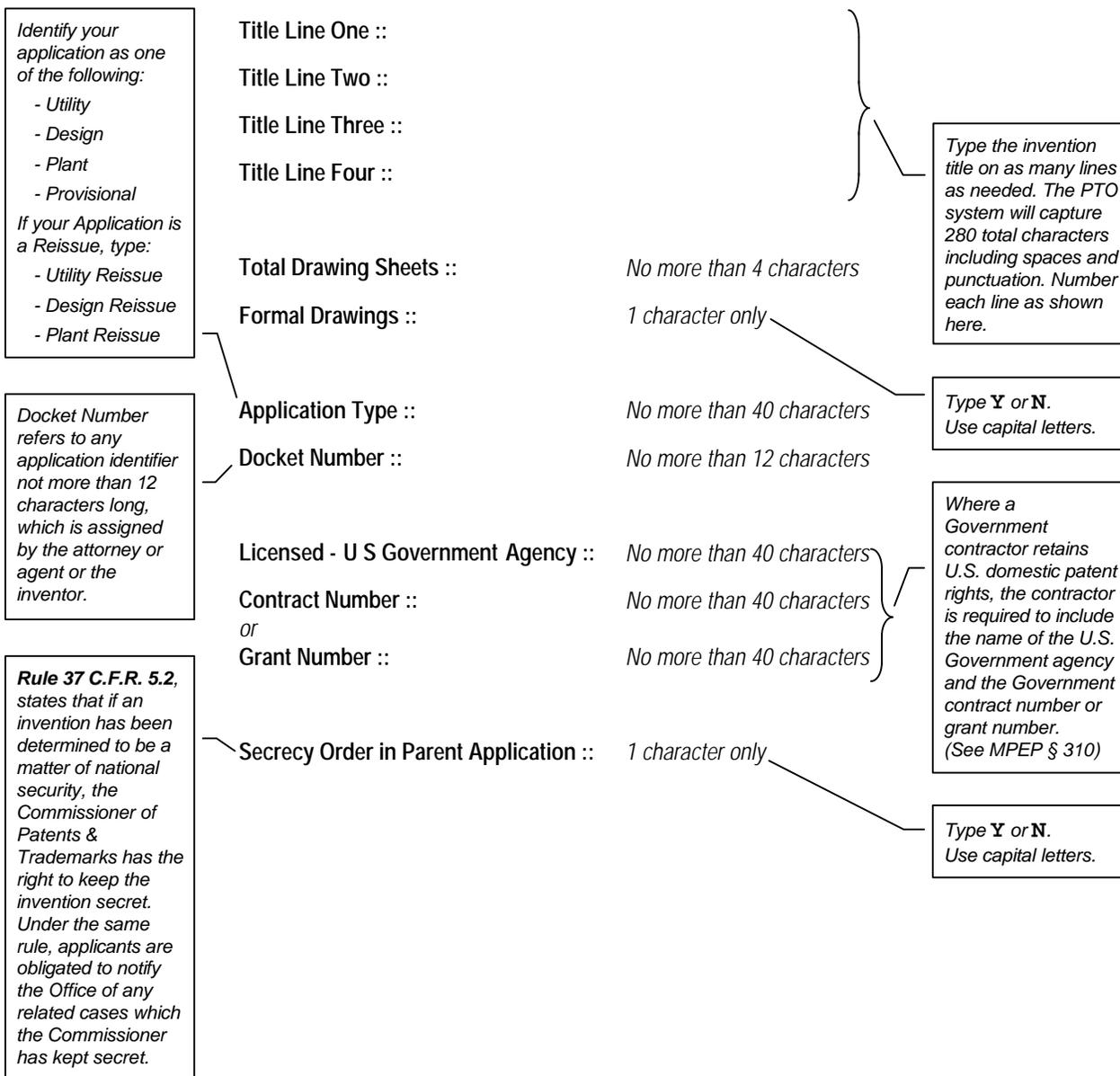
<p><i>You may simply indicate a PTO Customer Number under this heading. A Customer Number will provide all of the data needed in this section.</i></p>	<p>Correspondence Customer Number * ::</p>	<p><i>No more than 9 characters</i></p>	<p><i>If you provide a PTO Customer Number under this heading, make sure it is associated with your <u>correspondence information</u>.</i></p>
	<p>Name Line One ::</p>	<p><i>No more than 50 characters</i></p>	<p><i>When your Correspondence Customer Number is present, you should leave these eight labels blank or you may omit them entirely.</i></p>
	<p>Name Line Two ::</p>	<p><i>No more than 50 characters</i></p>	
	<p>Address Line One ::</p>	<p><i>No more than 50 characters</i></p>	
	<p>Address Line Two ::</p>	<p><i>No more than 50 characters</i></p>	
<p><i>Type the 2-character State abbreviation.</i></p>	<p>City ::</p>	<p><i>No more than 40 characters</i></p>	
	<p>State/Province ::</p>	<p><i>No more than 50 characters</i></p>	
	<p>Country ::</p>	<p><i>No more than 50 characters</i></p>	
<p><i>For locations outside the U.S., type the country name.</i></p>	<p>Postal or Zip Code ::</p>	<p><i>No more than 20 characters</i></p>	
	<p>Telephone ::</p>	<p><i>No more than 40 characters</i></p>	<p><i>Please provide the information for these 3 labels if it is available.</i></p>
	<p>Fax ::</p>	<p><i>No more than 40 characters</i></p>	
	<p>E-Mail ::</p>	<p><i>No more than 64 characters</i></p>	

*You may provide two phone numbers, fax numbers and e-mail addresses, identify each with a **One** or **Two**.*

Telephone One ::
Telephone Two ::
Fax One ::
Fax Two ::
E-Mail One ::
E-Mail Two ::

* For information concerning the Customer Number practice, see the notice "Extension of the Payor Number Practice (Through Customer Numbers) to Matters Involving Pending Patent Applications," published in the *Federal Register* at 61 *Fed. Reg.* 54622 (October 21, 1996), and in the *Official Gazette* at 1191 *Off. Gaz. Pat. Office* 187 (October 29, 1996).

Application Information



Representative Information

If a Customer Number is not indicated, identify each representative's name with separate, consecutive number starting with "One". List as many as needed.

Representative Customer Number * :: No more than 9 characters

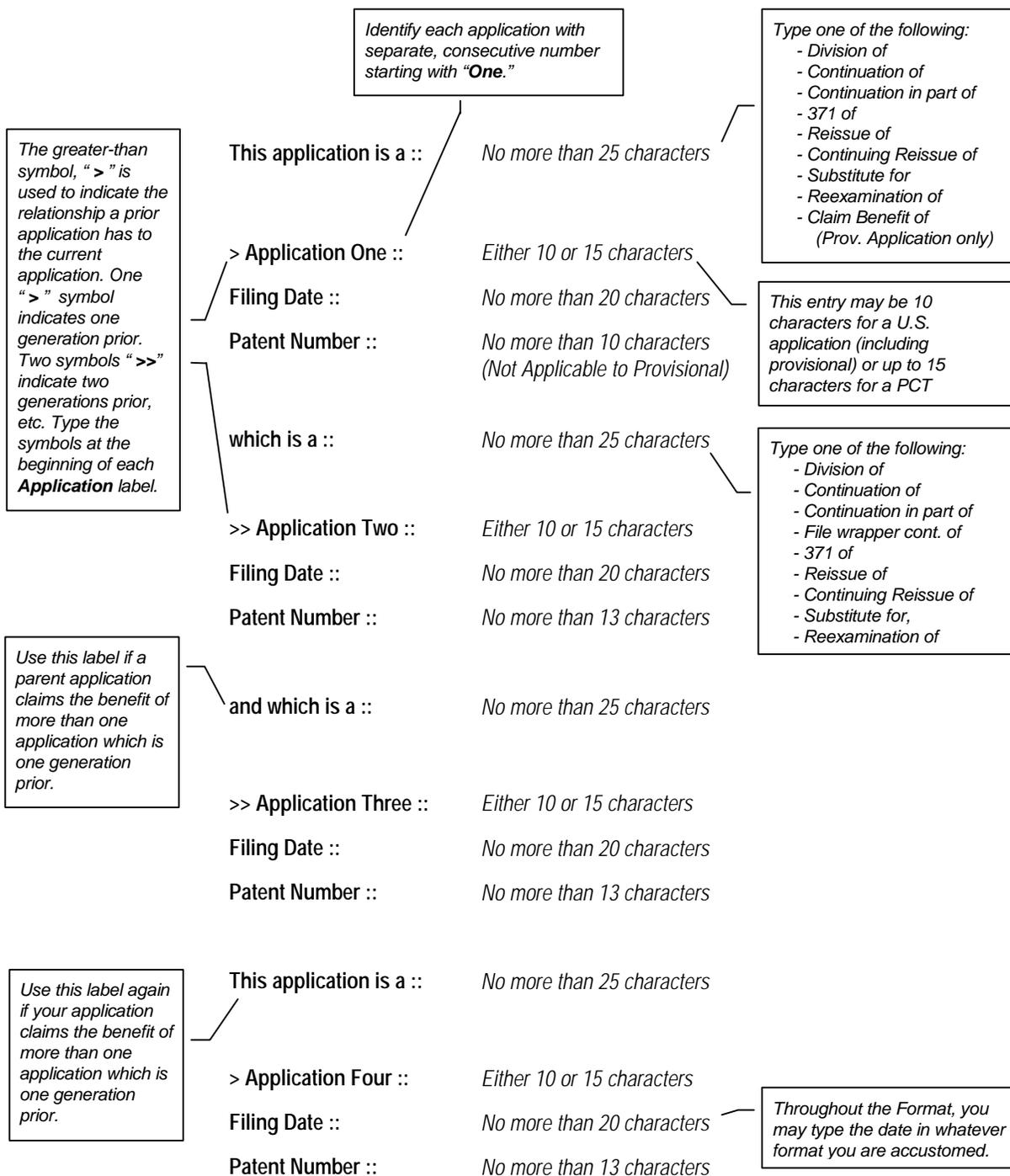
Registration Number One :: No more than 6 characters

Registration Number Two :: No more than 6 characters

Your Customer Number will provide all of the data required under this heading. If you provide a PTO Customer Number here, make sure it is associated with your representative information. If a Representative Customer Number is supplied, do not provide any individual registration numbers.

* For information concerning the Customer Number practice, see the notice "Extension of the Payor Number Practice (Through Customer Numbers) to matters Involving Pending Patent Applications," published in the *Federal Register* at 61 *Fed. Reg.* 54622 (October 21, 1996), and in the *Official Gazette* at 1191 *Off. Gaz. Pat. Office* 187 (October 29, 1996).

Continuity Information



Continuity Information Example

This application is a :: Continuation in Part of
> Application One :: 09/456,789
Filing Date :: Aug. 15, 1999

which is a :: Continuation in Part of
>> Application Two :: 09/412,345
Filing Date :: April 15, 1999

which is a :: Division of
>>> Application Three :: 09/234,567
Filing Date :: December 13, 1989
Patent :: 6,456,789

This application is a :: Continuation in Part of
> Application Four :: 09/412,348
Filing Date :: March 13,1999

which is a :: Division of
>> Application Five :: 09/234,432
Filing Date :: October 22,1998
Patent Number :: 6,789,456

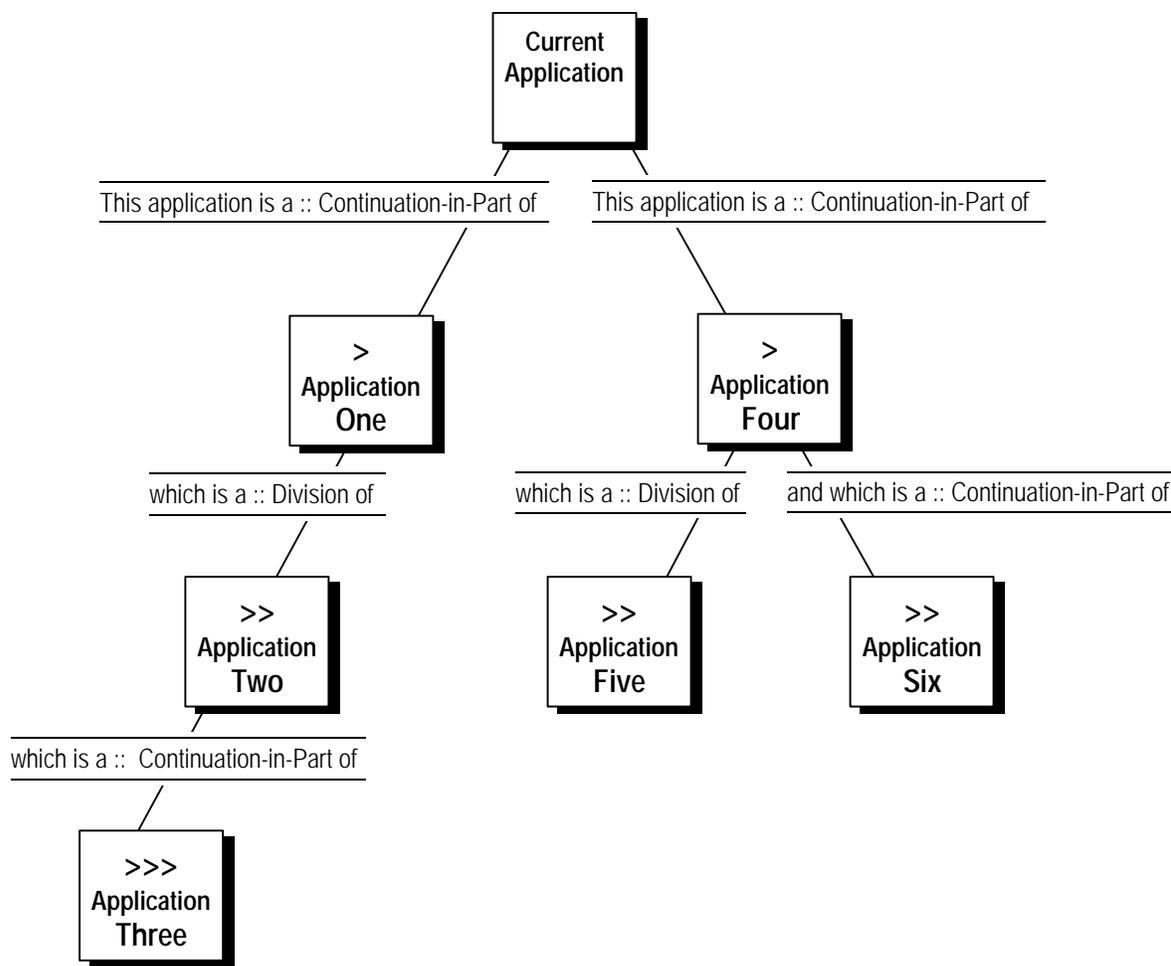
and which is a :: Continuation of
>> Application Six :: 09/234,100
Filing Date :: June 11,1998

Below is a diagram of the continuity example shown on page 9.

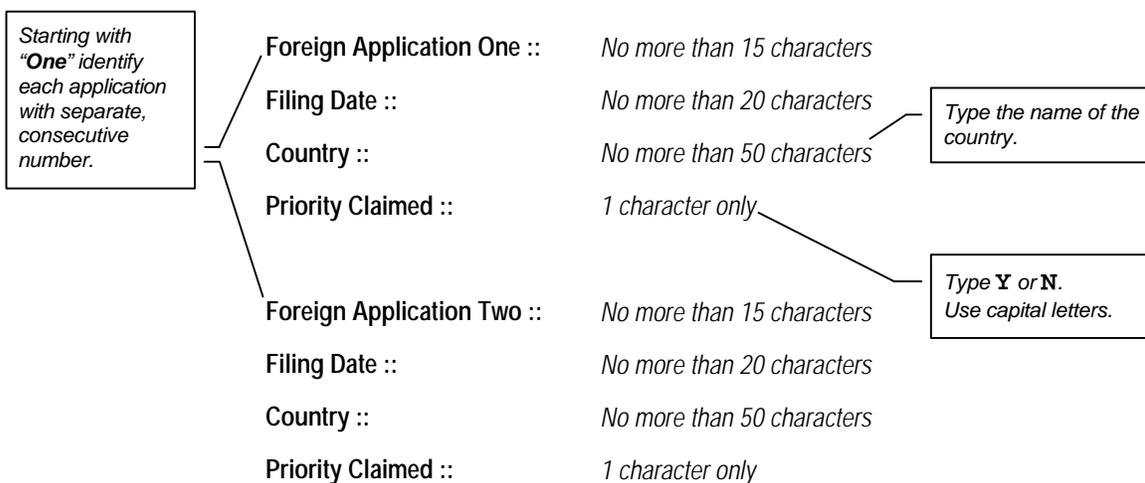
Applications One, Two and Three show one complete line of priority. Application Four begins two additional lines of priority, one completed with Five and the other with Six. Notice that Applications One and Four are linked to the Current Application with the same label, “**This Application is a ::**” Notice that Applications Five and Six are linked to Application Four with different labels.

Five is linked using “**which is a ::**” and Six is linked using “**and which is a ::**”

Claiming benefit from a Provisional application is accomplished by indicating Claim benefit of after the label “**This application is a ::**” and indicating the provisional application number following the “**Application __ ::**” label. An example of claiming priority of a provisional application is included in the attached example 4 below.



Prior Foreign Applications



D A T A E N T R Y F O R M A T E X A M P L E S**Initial Information Data Sheet**

Example 1 (Independent Inventor with Representation)

Inventor Information

Inventor One Given Name :: Maximillian
Family Name :: Katch
Postal Address Line One :: 716 My Place
Postal Address Line Two :: Apt. 3
City :: New York
State/Province :: NY
Postal or Zip Code :: 10013
Citizenship :: USA

Correspondence Information

Name Line One:: Mister Jones & Associates
Address Line One :: 875 Busy Avenue
Address Line Two :: Suite 740
City :: New York
State/Province :: NY
Postal or Zip Code :: 10012
Telephone :: (212) 555-9283
Fax :: (212) 555-4321

Application Information

Title Line One :: Handling and Eating Utensils for use with Boiled,
Title Line Two :: Broiled or Sauteed Mussels and other Shellfish
Total Drawing Sheets :: 6
Formal Drawings :: N
Application Type :: Utility

Representative Information

Registration Number One :: 99,001
Registration Number Two :: 99,412
Registration Number Three :: 99,998
Registration Number Four :: 99,123

Initial Information Data Sheet

Example 2 (Independent Inventor without Representation)

INVENTOR INFORMATION

Inventor One Given Name :: Mach
Family Name :: Speed
Name Suffix :: Sr.
Postal Address Line One :: 415 Mappgas St.
City :: Cleveland
State/Province :: OH
Postal or Zip Code :: 14343-2363
Citizenship :: USA
Inventor Two Given Name :: Ethel
Family Name :: Propill
Postal Address Line One :: 110 Oaktane St.
City :: Akron
State/Province :: OH
Postal or Zip Code :: 14342
Citizenship :: USA

CORRESPONDENCE INFORMATION

Name Line One :: Mach Speed
Address Line One :: 1220 North Long Drag Street
City :: Cleveland
State/Province :: OH
Postal or Zip Code :: 44121
Telephone :: (123)555-9876
Fax :: (123)555-1234
E-Mail Address :: gofast.car@post.com

APPLICATION INFORMATION

Title Line One :: Safety belt for a skate board
Total Drawings Sheets :: 4
Formal Drawings :: Y
Docket Number :: d-724m/98
Application Type :: utility

Initial Information Data Sheet

Example 3 (Inventor with Representation)

Inventor Information

Inventor One Given Name :: Les
Family Name :: Brainstrain
Postal Address Line One :: 415 Emcee Square
City :: Lincoln
State/Province :: NE
Postal or Zip Code :: 98765
Citizenship :: USA

Correspondence Information

Correspondence Customer Number :: 999,999

Application Information

Title Line One :: Device for Planting and Cultivation of
Title Line Two :: Corn and the Like Type Plants
Total Drawing Sheets :: 14
Formal Drawings :: Y
Docket Number :: 600031-CSC
Application Type :: Utility

Representative Information

Registration Number :: 99,221

Continuity Information

This application is a :: Continuation of
>Application One :: 09/912,354
Filing Date :: Jan. 22, 1998

Initial Information Data Sheet Example 4 (Multiple Inventors with Representation, Continuity and Priority)

Inventor Information

Inventor One Given Name :: D. James
Family Name :: Hook
Postal Address Line One :: 1427 Peachpunch Street, N.W.
City :: Atlanta
State/Province :: GA
Postal or Zip Code :: 30329
Citizenship :: Canada

Inventor Two Given Name :: Edward
Family Name :: Line
Postal Address Line One :: 427 West Front Street
Postal Address Line Two :: Apartment 32
City :: Detroit
State/Province :: MI
Postal or Zip Code :: 48217
Citizenship :: USA

Inventor Three Given Name :: David A.E.StJ.
Family Name :: Sinker
Postal Address :: 274 Bradford Lane
City :: Bedford
Country :: England
Postal or Zip Code :: SG19 23B
Citizenship :: United Kingdom

Correspondence Information

Name Line One :: Sindey Peck
Name Line Two :: Foghorn & Leghorn
Address Line One :: Suite 400
Address Line Two :: 1062 Featherbrick Street, S.W.
City :: Washington
State/Province :: DC
Postal or Zip Code :: 20013-1694
Telephone Number One :: (202) 555-6973
Telephone Number Two :: (301) 555-9283
Facsimile Number :: (202) 555-6794
E-Mail Address :: speckLd@eggs.com

Application Information

Title Line One :: Self Regulating Egg Timer Having
Title Line Two :: Continuous Energy Replenishment
Total Drawing Sheets :: 18

Docket Number :: N16
Application Type :: Utility
Formal Drawings :: Y

Representative Information

Representative Customer Number :: 999,999

Continuity Information

This application is a :: Claim benefit of
> Application One :: 60/555,555
Filing Date :: 07-01-97

This application is a :: Continuation-in-Part of
> Application Two :: 09/536,983
Filing Date :: 08-12-97

which is a :: File Wrapper Cont. of
>> Application Three :: 09/346,273
Filing Date :: 04-23-96

which is a :: Divisional of
>>> Application Four :: 09/102,810
Filing Date :: 10-04-1994

Prior Foreign Applications

Foreign Application One :: 4,235,671
Filing Date :: 10-05-93
Country :: Great Britain
Priority Claimed :: Y

A P P E N D I X

Physical Characteristics of Documents
Prepared in the Data Entry Format

THE following guidelines have been established to minimize errors in the scanning and text conversion of patent application information.

1. Paper Characteristics

General Requirements

All sheets shall be free from creases and cracks; they shall not be folded or rolled. Each sheet shall be free from erasures, alterations, and overwriting. Only one side of each sheet shall be used. Original copies are preferred, although photocopies are acceptable. Stapling of any pages is NOT permitted; papers may be held together by paper clips or binder clips. All paper shall be white, copier or non-impact printer type, printed or typed on in black ink.

Specific Requirements

Paper Size

Required: 8.5 x 11 inch or A4 (210 mm x 297 mm)
Not permitted: Legal (8.5 x 14 inch) or any other size

Orientation

Required: Portrait - each page will be used in an upright position (i.e., short side at the top and bottom)

2. Typography used in documents

General requirements

The characters should be created with a word processor or typewriter. Hand written characters are not permitted.

Specific requirements

Character size

Required: at least 10 point
Recommended: 12 point

Fonts

Required range: Sans serif fonts (Helvetica, Modern, Geneva) Serif (Times Roman, Gothic, Courier)
Not Recommended: OCR-A, OCR-B

Font Styles and Effects

Permitted: All caps, Small Caps, Bold.
Not permitted: Italic, single or double underlining, strikeout, no shading or highlighting, reverse or negative printing.

Special Characters

Greek characters, mathematical characters, superscripts and subscripts are not permitted.

NOTE:

- The numeral key "1" should be used for the number "one", and the letter key "l" should be used for the letter "ell."
- The letter key "O" should not be used for the zero and the numeral key "0" should not be used for the letter "O."
- The "@" symbol is permitted in an e-mail address.

3. Document Format

Margins

8.5 x 11 inch paper -
 top: 1.25 inch (30 mm)
 left side: 1.0 inch (25 mm)
 right side: 0.75 inch (20 mm)
 bottom: 0.75 inch (20 mm)

A4 paper -
 top: 30 mm (1.25 inch)
 left side: 25 mm (1.0 inch)
 right side: 20 mm (0.75 inch)
 bottom: 20 mm (0.75 inch)

Line Spacing

No less than single line spacing.

Character Spacing

No variable spacing allowed.

Hyphenation and Word Splitting

Hyphenations are permitted. Word splitting at the end of a line by the use of hyphens is not permitted.

Page Numbering

All sheets shall be numbered in consecutive Arabic numerals. (e.g.: 1, 2, 3)
 Page numbers shall be located at the bottom center of each page.

Page Justification

All text will be left-justified. Right justification and full justification are not permitted.

Columns

Text will be in a single column format.

4. Other document elements

Number of Copies

Required: One copy. No stapling permitted.