
Patent Application Data Sheet Format
Guide for Submitting
Bibliographic Data for Patent Applications



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This information collection is subject to the Paperwork Reduction Act of 1995 (44 U.S.C. § 3501 *et seq.*), and has been reviewed by the Office of Management and Budget (OMB) under OMB control number 0651-0032 and is approved through September 30, 2000. This collection of information is required by 35 U.S.C. §§ 111, 112, 113, 115, 119, and 120. The Patent Application Data Entry Format is used by the public to submit bibliographic information to the PTO. Use of this voluntary format allows the PTO to scan the bibliographic information into its automated electronic information management systems easily and efficiently. This information will be treated confidentially in accordance with 35 U.S.C. § 122 and 37 C.F.R. § 1.14. It is estimated to take twelve minutes to read the user guide and submit the bibliographic information. The time may vary depending upon the needs of the individual case. Any comments on the amount of time you require to complete this format and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, D.C., 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C., 20231.**

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R E V I S I O N S – Summary of Changes to Version 2

Version 1 of this Guide was widely distributed between April 1998, and October 1998. Version 2 was modified in December 1998. Based on suggestions and experience of applicants and USPTO's review of the effectiveness of the previous Patent Application Data Sheets already submitted by applicants, and recent changes to the USPTO rules of practice, the guidelines have been further revised. While these modifications will improve accuracy, previous Guide versions will still be acceptable.

Application Data Sheets in compliance with this guide will satisfy the requirements of 37 CFR 1.176.

The revisions herein presented are so extensive that a summary of revisions would be more confusing than useful. This entirely new version eases the restrictiveness of many of the old format requirements and includes many new elements. Further, this new format is intended to cover follow-on and modified submissions of the Application Data Sheet after initial filing.

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

Patent Application Data Sheet Format

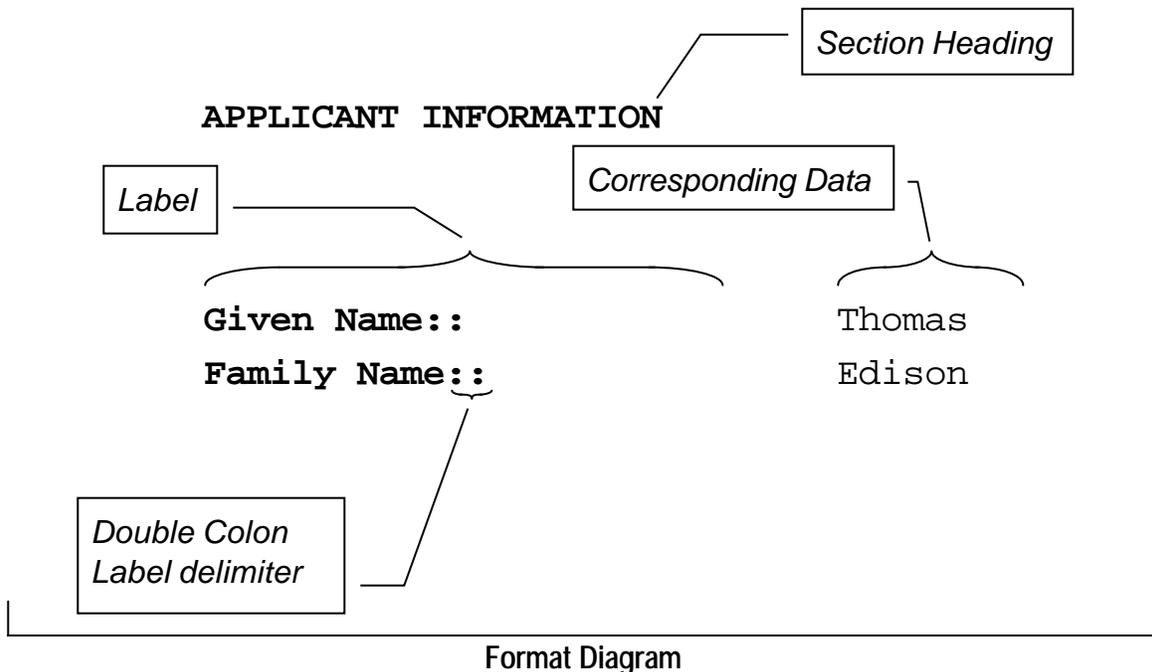
THE **Patent Application Data Sheet Format** is designed to more effectively turn a customer's paper document into an electronic PTO data record.

Customers using the **Patent Application Data Entry Format** can expect two advantages when applying for a patent:

1. Improved accuracy of filing receipts. The need for corrected filing receipts related to PTO errors will be significantly reduced.
2. Accurately recorded application data This will also reduce application prosecution delays.

Use of the format involves typing the "Section Heading," typing a specific "label" followed by a double colon "label delimiter", 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:

Application Information

Inventor Information

Correspondence Information

Representative Information

Domestic Priority Information

Foreign Priority Information

Assignment Information

Every applicant should supply the information listed in the first three sections: **Application Information, Inventor Information, Correspondence Information**, as specific to their application. In many cases the Application Data Sheet will be complete with just this information. An application data sheet must be clearly labeled, begin on a new page, and may not contain any other application data (i.e., abstract, amendments, transmittal letter, etc.).

Information identified in the **Representative Information, Domestic Priority Information, Foreign Priority Information** and **Assignee Information** sections will not necessarily apply to all applications.

Any information contained in the application, for which an element label is included in this Guide, should be included on the Application Data Sheet even if it duplicates information found elsewhere in the application.

Any section or label information which does not apply to the specifics of this application does not need to be listed on the Application Data Sheet. However, it may be included with the data portion left blank.

Labels which are included with the data portion left blank will be interpreted to mean that there is no data for that label anywhere in the application.

Supplemental Submissions

When submitting the Application Data Sheet supplemental to the initial filing of the application, to correct, modify, or augment the original Application data sheet, the following applies:

1. A full replacement copy of the original Application Data Sheet should be submitted with any changes or additions underlined. For deletions without replacement data, use ~~strikethrough~~.
2. The footer information should include the word "**Supplemental**" in place of "**Initial**" and should also contain the **Application Number** and **Filing Date**.

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

- The only section headings and labels that must appear on your Application Data Sheet are those for which you have corresponding data. You may include labels with blank data fields, if desired
 - Each section heading must be on a separate line.
 - Each label must be on a separate line.
 - Each item of data provided must start with a label to the left. In other words, if a single piece of information, such as title requires multiple lines, the first line must begin with 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 the maximum length stated in this Guide. **This limit include spaces and punctuation.**
 - Technical Document Format requirements are listed in Appendix A.
 - Document Footers should include page number, “**Initial**”, and date for Initial Applications.

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

Application Information

Application number:: *8 digits*

Filing Date:: *8 characters, MM / DD / YY*

Application Type:: *Regular, Provisional, Reexamination, or Reissue Utility, Design, or Plant*

Subject Matter:: *No more than 40 characters*

Suggested classification:: *No more than 6 characters*

Suggested Group Art Unit:: *Table, Listing, or None*

CD-ROM or CD-R?:: *No more than 3 digits*

Number of CD disks:: *No more than 2 digits*

Number of copies of CDs:: *CD or Paper*

Sequence submission?: *Yes or No*

Computer Readable Form (CRF)?:: *No more than 2 digits*

Number of copies of CRF:: *No more than 500 characters*

Title :: *No more than 25 characters*

Attorney Docket Number:: *Yes or No*

Request for Early Publication?:: *Yes or No*

Request for Non-Publication?:: *No more than 4 characters*

Suggested Drawing Figure:: *No more than 4 numbers*

Total Drawing Sheets:: *Yes or No*

Small Entity?:: *No more than 40 characters*

Latin name:: *No more than 40 characters*

Variety denomination name:: *Yes or No*

Petition included?:: *No more than 40 characters*

Petition Type:: *No more than 40 characters*

Licensed US Govt. Agency:: *No more than 40 characters*

Contract or Grant Numbers:: *No more than 40 characters*

For supplemental data sheets only (after initial filing).

Enter the U.S. classification, by class and subclass, e.g., 280/736

Docket Number
refers to any application identifier not more than 25 characters long, which is assigned by the attorney or agent

Enter the total number of sheets of drawings as a numeral

Only used for Plant Applications

Brief description of type of petition including appropriate authority (CFR, USC, MPEP, etc.)

Where a Government contractor retains U.S. domestic patent rights, the contractor is required to include the name of the U.S. Government agency and the Government contract number or

If non-publication is requested, must include signed statement certification under 35 USC

Enter the figure that is recommended to be used for any patent application publication of patent front page.

Rule 37 C.F.R. 5.2, states that if an invention has been determined to be a matter of national security, the Commissioner of Patents & Trademarks has the right to keep the invention secret. Under the same rule, applicants are obligated to notify the Office of any related cases which the Commissioner

Secrecy Order in Parent Appl.?:: *Yes or No*

Inventor Information

Use one of the following:

- Full Capacity**
- Unknown**
- Deceased Inventor**
- Legally Incapacitated**
- Non-signing**

Inventor Authority Type::
Primary Citizenship Country::
Status::

No more than 50 characters

No more than 50 characters

Use one of the following:

- **Inventor**
- **Assignee with 37 CFR 1.172 Interest**
- **U.S. Government Applicant**
- **Legal Representative**
- **Party of Interest under 35 USC 118**

A **Given Name** refers to any or all names except for the last name or surname. Include a middle name or initial on this line, if desired.

Given Name::

No more than 50 characters

Middle Name::

No more than 50 characters

Family Name::

No more than 50 characters

Name Suffix::

No more than 10 characters

City of Residence::

No more than 40 characters

State or Prov. of Residence::

No more than 50 characters

Country of Residence::

No more than 50 characters

Street::

No more than 50 characters per line, up to 2 lines

City::

No more than 40 characters

State or Province::

No more than 50 characters

Country::

No more than 50 characters

Postal or Zip Code::

No more than 20 characters

For United States, type US. For countries other than the US, type the country name.

A **Family Name** is the last name or surname.

A **Name Suffix** is an optional generational term added to the last name, such as Jr., Sr. III etc.

If the inventor resides in the U.S. or Canada, type the 2-character State or 3-character province abbreviation used when mailing a letter. For Japan, see Appendix C. Do not use this field for countries other than

If the inventor's postal address is in the US or Canada, type the 2-character state or 3-character province abbreviation. For Japan, see Appendix C. Do not use this field for any other country.

For locations outside the U.S., type the country name.

Enter the postal address of the Inventor here. See Appendix C for Japanese addresses.

NOTE: Repeat this information for each inventor or interested party

Correspondence Information

<p>You may simply indicate a PTO Customer Number under this heading. A Customer Number will provide all of the remaining data needed in this</p>	<p>Correspondence Customer Number ::</p>	<p>No more than 9 digits</p>	<p>If you provide a valid PTO Customer Number under this heading, be certain it is associated with your <u>correspondence</u> information.</p>
<p>If the postal address is in the US or Canada, type the 2-character state or 3-character province abbreviation. For Japan, see Appendix C. <u>Do not</u></p>	<p>Name::</p> <p>Street::</p> <p>City::</p> <p>State or Province::</p> <p>Country::</p> <p>Postal or Zip Code::</p>	<p>No more than 50 characters</p> <p>No more than 50 characters per line, up to 2 lines</p> <p>No more than 40 characters</p> <p>No more than 50 characters</p> <p>No more than 50 characters</p> <p>No more than 20 characters</p>	<p>When your valid <u>Correspondence Customer Number</u> is provided, omit these labels entirely.</p>
<p>For locations outside the U.S., type the country name</p>	<p>Phone number::</p> <p>Fax Number:</p> <p>E-Mail address::</p>	<p>No more than 40 characters per line</p> <p>No more than 40 characters per line</p> <p>No more than 64 characters per line</p>	<p>Enter the postal address of the Inventor here. See Appendix C for Japanese</p>
		<p>Please provide <u>no more than three (3) phone numbers, two(2) fax numbers and three(3) e-mail addresses</u> Separate each by a comma.</p>	

NOTE: 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).

This section modifies the general format of the Application Data Sheet to facilitate an easier documentation of Representative Information in a tabular form.

Representative Information

If a Customer Number is not indicated, identify each representative's registration number with a designation of Primary or Associate., and the representative's name.

If a Customer Number is supplied, do not provide any individual registration numbers.

Your Customer Number will provide all of the data required under this heading.

If you provide a valid PTO Customer Number here, be certain it is associated with your representative

Representative Customer Number::	<i>No more than 9 digits</i>	
Representative Designation::	Registration Number::	Representative Name::
<i>Primary or Associate</i>	<i>No more than 5 digits</i>	<i>No more than 50 characters</i>

NOTE: 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).

This section modifies the general format of the Application Data Sheet to facilitate an easier documentation of Domestic Priority in a tabular form.

Domestic Priority Information

Application ::	Continuity Type::	Parent Application::	Parent Filing Date::
		<i>no more than 20 characters</i>	<i>8 characters, MM / DD / YY</i>

Enter one of the following:
Continuation of
Continuation-in-part of
Division of
Non- Provisional of
National Stage of
Reissue of
Reexamination of
Substitution for

Enter the Parent Application number on which priority is claimed

Enter **This Application** if the priority applies directly to the application being filed.

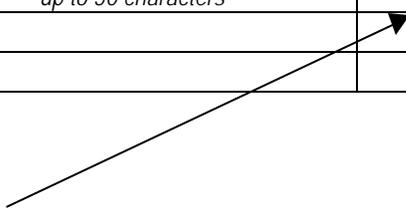
Enter the Application Number if the priority refers to a previously filed application, which is in turn related to the application being filed.

NOTE: Use a new line for each priority claimed

This section modifies the general format of the Application Data Sheet to facilitate an easier documentation of Foreign Priority in a tabular form.

Foreign Priority Information

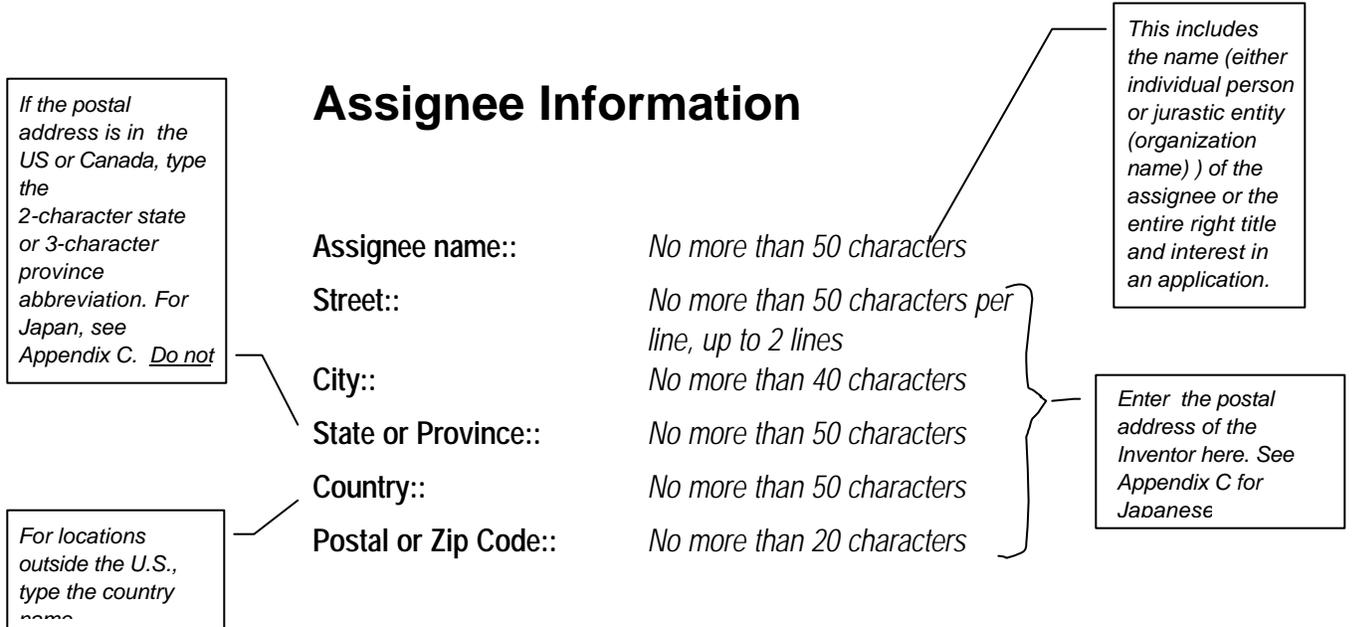
Country::	Application number::	Filing Date::
<i>up to 50 characters</i>	<i>up to 20 characters</i>	<i>8 characters, MM / DD / YY</i>



NOTE: See Appendix B for specific instructions on the correct numbering, by country, of Foreign patent applications

<p>NOTE: Use a new line for each priority claimed</p>
--

Assignee Information should be provided on the Application Data Sheet only for the purpose of indicating what should be printed on the Published application. The address information is optional.



NOTE: *If there is more than one assignee, this information should be repeated for each one.*

NOTE: *Assignment information provided herein will not be officially recorded for this application based solely on the Application Data Sheet. See Title 37, Section 3.*

D A T A E N T R Y F O R M A T E X A M P L E S

[The header and footer information and pagination could not be shown in the examples directly but is included at the end of each example]

Example 1 (Application with one inventor having representation)

Application Information

Application Type:: Regular
 Subject Matter:: Utility
 Suggested Classification:: 280/7
 Suggested Group Art Unit:: 1640
 CD-ROM or CD-R? None
 Title:: Handling and Eating Utensils for use with
 Broiled or Sauteed Mussels and other Shellfish
 that inhabit the various cold water, non-coastal
 areas of the Ocean continental shelf.
 Attorney Docket Number:: Jones01-2349
 Request for Early Publication?:: No
 Request for Non-Publication?:: No
 Suggested Drawing Figure:: 7
 Total Drawing Sheets:: 6
 Small Entity:: No
 Petition included?:: No
 Secrecy Order in Parent Appl.?:: No

Inventor Information

Inventor Authority type:: Inventor
 Primary Citizenship Country: US
 Status:: Full Capacity
 Given Name:: Maximillian
 Middle Name:: Algonquin
 Family Name:: Katch
 City of Residence:: Falls Church
 Country of Residence:: Virginia
 Street:: 716 My Place
 Apt. 3
 City:: New York
 State or Province:: NY

Postal or Zip Code:: 10013

Correspondence Information

Name:: Mister Jones & Associates
Street:: 875 Busy Avenue
Suite 740
City:: New York
State or Province:: NY
Postal or Zip Code:: 10012
Telephone:: (212) 555-9283, (212)555-9300
Fax:: (212) 555-4321

Representative Information

Designation::	Registration number::	Name::
Primary	99001	Franklin D. Harbour, Esq.
Associate	99143	Seymour O. Clock
Associate	79023	Theold Mann

[This application has no priority claims or assignee data]

[Footer Information:

Page #

Initial 03/21/01]

Example 2 (Application with Independent Inventors without representation)

Application Information

Application Type:: Regular
 Subject Matter:: Utility
 Suggested Classification:: 410/167.8
 Suggested Group Art Unit:: 3210
 CD-ROM or CD-R? None
 Title:: Safety Belt for a skateboard
 Attorney Docket Number:: A4Z01
 Request for Early Publication?:: No
 Request for Non-Publication?:: No
 Suggested Drawing Figure:: 1
 Total Drawing Sheets:: 2
 Small Entity:: Yes
 Petition included?:: No
 Secrecy Order in Parent Appl.?:: No

Inventor Information

Inventor Authority type:: Inventor
 Primary Citizenship Country: US
 Status:: Full Capacity
 Given Name:: Mach
 Middle Name:: A
 Family Name:: Speed
 City of Residence:: Akron
 Country of Residence:: OH
 Street:: Oberstrasse 17/2a
 Muchstadt
 City:: Skieff
 Country:: Austria
 Postal or Zip Code:: Zonas 143

Inventor Authority type:: Inventor
 Primary Citizenship Country: US
 Status:: Full Capacity

Given Name:: Ethel
Middle Name:: Ogosh
Family Name:: Propell
City of Residence:: Cleveland
Country of Residence:: OH
Street:: 415 Mappgas Street
City:: Cleveland
State or Province:: OH
Postal or Zip Code:: 14332

Correspondence Information

Name:: Ms. Ethel O. Propell
Street:: P.O. Box 7345
Central Station
City:: Cleveland
State or Province:: OH
Postal or Zip Code:: 14343
Telephone:: (367) 407-7865
E-Mail address:: Fastone@aol.com

[This application has no priority claims or assignee data]

[Footer Information:

Page #

Initial 03/21/01]

Example 3 (Application using Customer Numbers, and having priority claims and Assignee Data)

Application Data Sheet

Application Information

Application Type:: Regular
 Subject Matter:: Utility
 Suggested Classification:: 70/342.67
 Suggested Group Art Unit:: 1640
 CD-ROM or CD-R? None
 Title:: Device for Planting and Cultivation of Corn and
 like plants
 Request for Early Publication?:: No
 Request for Non-Publication?:: No
 Suggested Drawing Figure:: 2
 Total Drawing Sheets:: 45
 Small Entity:: No
 Petition included?:: No
 Secrecy Order in Parent Appl.?:: No

Inventor Information

Inventor Authority type:: Inventor
 Primary Citizenship Country: US
 Status:: Full Capacity
 Given Name:: Lester
 Family Name:: Brainstorm
 City of Residence:: Lincoln
 Country of Residence:: NE
 Street:: RR 317 Box 15
 City:: Lincoln
 State or Province:: NE
 Postal or Zip Code:: 98765

Correspondence Information

Correspondence Customer Number:: 999999

Representative Information

Representative Customer Number: 123444

Domestic Priority Information

Application:: Continuity Type:: Parent Application:: Parent Filing Date::

This Application	Continuation of	09/912,354	01/22/98
09/912,354	Non-Provisional of	09/878,265	06/07/97

Foreign Priority Information

Country::	Application Number::	Filing Date::
France	FR199702347	07/23/97

Assignee Information

Assignee Name:: International Harvester, INC.

[Footer Information:

Page #

Initial 03/21/01]

Example 4 (Supplemental submission of Application Data Sheet from Example 1 with modifications)

Application Information

Application Number:: 09/998,345
 Filing Date:: 03/28/01
 Application Type:: Regular
 Subject Matter:: Utility
 Suggested Classification:: 280/7
 Suggested Group Art Unit:: 1640
 CD-ROM or CD-R? None
 Title:: Handling and Eating Utensils for use with
 Broiled or Sautéed Mussels and other Shellfish
 that inhabit the various cold water, non-coastal
 areas of the Ocean continental shelf.
 Attorney Docket Number:: Jones01-2349
 Request for Early Publication?:: No
 Request for Non-Publication?:: No
 Suggested Drawing Figure:: 7
 Total Drawing Sheets:: 6
 Small Entity:: No
 Petition included?:: No
 Secrecy Order in Parent Appl.?:: No

Inventor Information

Inventor Authority type:: INV
 Primary Citizenship Country: US
 Status:: Full Capacity
 Given Name:: Maximillian
 Middle Name:: Algonquin
 Family Name:: Katch
 City of Residence:: Falls Church
 Country of Residence:: Virginia
 Street:: 716 My Place
 Apt. 3
 City:: New York
 State or Province:: NY
 Postal or Zip Code:: 10013

Correspondence Information

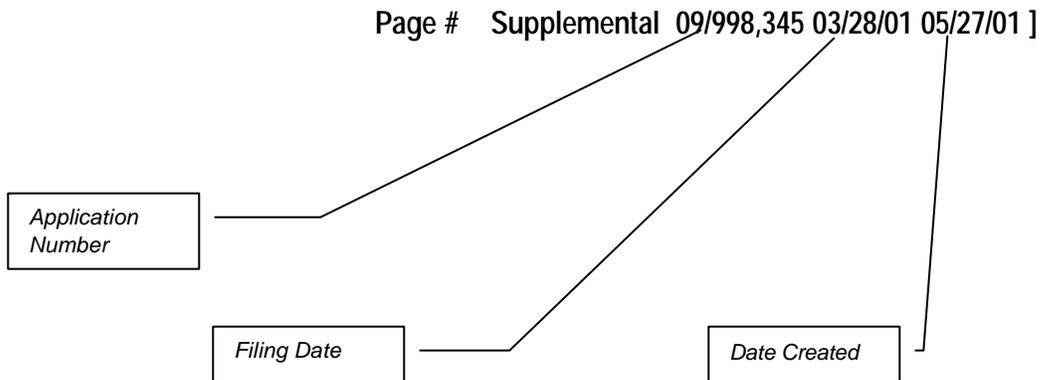
Name:: Mister Jones & Associates
 Street:: 1201 Avenue of the Americas
 Suite 1506
 City:: Brunswick
 State or Province:: NY
 Postal or Zip Code:: 10034
 Telephone:: (217) 545-9100
 Fax:: (217) 545-9120

Representative Information

Designation::	Registration number::	Name::
Primary	99001	Franklin D. Harbour, Esq.
Associate	99143	Seymour O. Clock
Associate	79023	Theold Mann

[This application has no priority claims or assignee data]

[Footer Information:



Technical Characteristics of the Application Data Sheet 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
- not be folded or rolled.
- free from erasures, alterations, and overwriting.
- printed on only one side of each sheet
- originals
- free from staples
- on white, copier or non-impact printer type paper
- 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

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

Font/Character size

Recommended: 12 point or larger

Fonts

Recommended: Courier, Arial, Univers

Not Recommended:

OCR-A, OCR-B, Times New Roman, Gothic

Font Styles and Effects

Permitted: All capitals, upper and lower case, Bold.
Underlining & Strikeout only permitted on supplemental
Application Data Sheet submissions.

Not permitted: Italic, small capitals, no shading or highlighting, reverse or
negative printing.

Special Characters

Greek characters, mathematical characters, superscripts and subscripts are **not permitted**, except in the Title, Inventor Name, and Assignee Name fields.

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 be used for the letter "O" and the numeral key "0" should be used for the numeric zero.
- The "@" symbol is required 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)

Orientation

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

Not permitted: Landscape

Line Spacing

1.5 or double spacing

Hyphenation and Word Splitting

Hyphenations are permitted within a line, but not across lines. 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.

4. Other patent application data sheet guidelines:

- **No** express mail stamps or certificates of mailing which obscure the data
- **No** extraneous typed, written information, or labels which obscure the data
- **No** line numbering
- **No** extraneous typed, written information, or labels in the left margin

A P P E N D I X B

**Guidance on Foreign Application numbering for
Foreign Priority Claims**

Guidance on Foreign Addresses

1. Japanese Addresses

Ken (prefecture):

use **State or Province::**

only 1 entry per address

Gun (county): [likely to be omitted from an address if shi (city)]

Shi (city)

Cho (township)

Machi (village)

Mura (village),

Ku (borough)

(District), or Cho (as district only if shi comes before)

Chome (block)

may be with **Street::** and **City::** labels as appropriate
to designate postal hierarchy

*only one **City::** per address*

Examples:

Family Name::	Totoki
Street::	c/o Kao Corp., Research Lab 1-3, Bunka 2-chome
City::	Sumida-ku
State or Province::	Tokyo
Country:	Japan
Postal or Zip Code::	131-8501
Citizenship Country::	Japan

Family Name::	Yamada
Street::	Yaho Corp. Toyota-cho 1-3, Bunka 2-chome
City::	Toyota-shi
State or Province::	Aichi-sen
Country:	Japan
Postal or Zip Code::	131-8501
Citizenship Country::	Japan