

MANUAL OF
PATENT
EXAMINING
PROCEDURE

3RD EDITION

Rev. 56



U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

REEL NUMBER 4

BOOK NUMBERS 1012

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office
Washington, D.C. 20231

MANUAL OF PATENT EXAMINING PROCEDURE
Third Edition

Instructions Regarding Revision No. 56

The attached revised pages are replacements for those in the Manual having corresponding numbers.

Arrows are printed in the margin of pages to indicate material changed, deleted, or added by this revision. Where insertion of new material results in shifting of unchanged material onto following pages, no arrows appear on such pages but the revision number is cited at the bottom of each page.

	or		Line on which change begins.
	or		Line on which change ends.
	or		Line on which change both begins and ends.
	or		Opposite a blank space, indicates deletion of material.

The notation "[R-56]" in the attached pages appears at the title of a section that has been revised.

Louis O. Maassel, Editor
Manual of Patent Examining
Procedure

Particular attention is called to the following sections:

<u>Section</u>	<u>Change</u>
101 & 108	Revised 37 CFR 1.14 included
103	Revised 37 CFR 1.11 included
201	New 37 CFR 1.9 included
202.01	Revised 37 CFR 1.78 included
301	Revised 37 CFR 1.331 included
301.01	Revised 37 CFR 1.12 included
501	Revised 37 CFR 1.1 and 1.4 included
502	Revised 37 CFR 1.5 included
509	Revised 37 CFR 1.21, 1.25 and 1.26 and new 1.445 included
512	Revised 37 CFR 1.8 included
601.04 & 602.07	New sections on U.S. Designated Office requirements
605.03	Revised to delete requirement that a change in the applicant's post office address be over applicant's signature
605.04	Revised 37 CFR 1.57 included
608.01	Revised 37 CFR 1.52 and 1.58 included
608.01(a)	Revised 37 CFR 1.77 included
608.01(b)	Revised 37 CFR 1.72(b) included
608.02	Revised 37 CFR 1.84 included and new subsection on color drawings added
706.07(c) & 1002.02(d)	Last paragraph changed to require SPE approval of new grounds of rejection reopening prosecution after the filing of an appeal brief
707	Revised 37 CFR 1.104 on international-type search included. A paragraph is added which indicates that illegible Office actions of form PTO-1142 should be returned to the Office

<u>Section</u>	<u>Change</u>
709	Material on Suspension of Action amplified
715.01	New 37 CFR 1.55(d) included
716	Subsection on "Commercial Success and Other Considerations Bearing on Obviousness" revised
Chapter 800- 802	Entire Chapter revised in view of new rules. New 35 U.S.C. 372, 37 CFR 1.141 and 1.481, PCT Article 17(3)(a) and PCT Rule 13 added
803	Former restriction practice re Markush claims canceled in view of <u>In re Weber et al</u> and <u>In re Haas</u> decisions
806.05(h) and (i)	New sections on Product and Process of Using
809.02	Revised 37 CFR 1.146 included which removes 5 species limitation
1101.02(a)	Paragraph added to indicate that foreign filing date should not be considered when declaring an interference
1102	Revised 37 CFR 1.207 included
1105.04	Entire section rewritten

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MANUAL OF
P A T E N T
E X A M I N I N G
P R O C E D U R E

Original Third Edition, dated November 1961

Latest Revision July 1978



U.S. DEPARTMENT OF COMMERCE • PATENT AND TRADEMARK OFFICE

Rev. 56, July 1978

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First Edition, November 1949	Revision 23, January 1970
Revision 1, November 1950	Revision 24, April 1970
Revision 2, December 1951	Revision 25, July 1970
Revision 3, May 1952	Revision 26, October 1970
Second Edition, November 1953	Revision 27, January 1971
Revision 1, April 1955	Revision 28, April 1971
Revision 2, June 1956	Revision 29, July 1971
Revision 3, June 1957	Revision 30, October 1971
Revision 4, July 1958	Revision 31, January 1972
Third Edition, November 1961	Revision 32, April 1972
Revision 1, January 1964	Revision 33, July 1972
Revision 2, November 1964	Revision 34, October 1972
Revision 3, January 1965	Revision 35, January 1973
Revision 4, April 1965	Revision 36, April 1973
Revision 5, July 1965	Revision 37, July 1973
Revision 6, October 1965	Revision 38, October 1973
Revision 7, January 1966	Revision 39, January 1974
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Revision 20, April 1969	Revision 52, April 1977
Revision 21, July 1969	Revision 53, July 1977
Revision 22, October 1969	Revision 54, October 1977
	Revision 55, January 1978
	Revision 56, July 1978

Foreword

This Manual is published to provide Patent and Trademark Office patent examiners, applicants, attorneys, agents, and representatives of applicants with a reference work on the practices and procedures relative to the prosecution of patent applications before the Patent and Trademark Office. It contains instructions to examiners, as well as other material in the nature of information and interpretation, and outlines the current procedures which the examiners are required or authorized to follow in appropriate cases in the normal examination of a patent application.

A separate manual entitled "Trademark Manual of Examining Procedure" is published by the Patent and Trademark Office as a reference work for trademark cases.

Examiners will be governed by the applicable statutes, the Rules of Practice, decisions, and orders and instructions issued by the Commissioner and the Assistant Commissioners. Orders and Notices still in force which relate to the subject matter included in this Manual are incorporated in the text. Orders and Notices, or portions thereof, relating to the examiners' duties and functions which have been omitted or not incorporated in the text may be considered obsolete. Interference procedure not directly involving the Primary Examiner is not included in this Manual and, therefore, Orders and Notices relating thereto remain in force.

Subsequent changes in practice and other revisions will be incorporated in the form of substitute or additional pages for the Manual.

Suggestions for improving the form and content of the Manual are always welcome. They should be addressed to: ←

Commissioner of Patents and Trademarks,
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38	Oct. 1973	48	Apr. 1976
39	Jan. 1974	49	July 1976
40	Apr. 1974	50	Oct. 1976
41	July 1974	51	Jan. 1977
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Introduction

Constitutional Basis

The Constitution of the United States provides:

"ART. 1, SEC. 8. The Congress shall have power . . . To promote the progress of science and useful arts, by securing for limited times to authors and inventors the exclusive right to their respective writings and discoveries."

Statutes

Pursuant to the provision of the Constitution, Congress has over the years passed a number of statutes under which the Patent and Trademark Office is organized and our patent system is established. The provisions of the statutes can in no way be changed or waived by the Patent and Trademark Office.

Prior to January 1, 1953, the law relating to patents consisted of various sections of the Revised Statutes of 1874, derived from the Patent Act of 1870 and numerous amendatory and additional acts.

By an Act of Congress approved July 19, 1952, which came into effect on January 1, 1953, the patent laws were revised and codified into their present form. With certain exceptions applying to applications filed and patents issued before January 1, 1953, this law governs all cases in the Patent and Trademark Office. The patent law is Title 35 of the United States Code, which contains 96 sections numbered from 1 to 293, with gaps in the numbering between various chapters of the title. In referring to a particular section of the patent code the citation is given, for example, as, 35 U.S.C. 31. The pamphlet "Patent Laws" (available from the Superintendent of Documents) reprints the patent code and some additional statutes.

35 U.S.C. 1 Establishment. The Patent and Trademark Office shall continue as an office in the Department of Commerce, where records, books, drawings, specifications, and other papers and things pertaining to patents and to trademark registrations shall be kept and preserved, except as otherwise provided by law.

Rules of Practice

One of the sections of the patent statute, namely, 35 U.S.C. 6, authorizes the Commissioner of Patents and Trademarks subject to the

approval of the Secretary of Commerce, to establish regulations, not inconsistent with law, for the conduct of proceedings in the Patent and Trademark Office.

37 CFR 1.351. Amendments to rules will be published. All amendments in this part will be published in the Official Gazette and in the Federal Register.

37 CFR 1.352. Publication of notice of proposed amendments. (a) Whenever required by law, and in other cases whenever practicable, notice of proposed amendments in this part will be published in the Official Gazette and in the Federal Register. If not published with the notice, copies of the text will be furnished to any person requesting the same. All comments, suggestions, and briefs received within a time specified in the notice will be considered before adoption of the proposed amendments which may be modified in the light thereof.

(b) Oral hearings may be held at the discretion of the Commissioner.

These rules and the various amendments were published in the Federal Register. In the Federal Register and in the Code of Federal Regulations these rules are Part 1 of Title 37, Patents, Trademarks and Copyrights, and the individual rules, there called sections, are numbered with the Part number and a decimal point prefixed to the numbers to the rule number; thus section 1.33 in the Federal Register and the Code of Federal Regulations is the same as rule 33. A booklet entitled "37 Code of Federal Regulations," published by the Office of the Federal Register, contains all of the patent rules and forms, as well as trademark rules and forms and copyright rules. Persons desiring a copy of the patent rules should order a copy of "37 Code of Federal Regulations" from the Superintendent of Documents.

The primary function of the Rules of Practice is to advise the public of the regulations which have been established in accordance with the statutes and which must be followed before the Office. The Rules of Practice govern the examiners, as well as applicants and their attorneys.

Commissioner's Orders and Notices

From time to time, the Commissioner of Patents and Trademarks has issued Orders and Notices relating to various specific situations that have arisen in operating the Patent and Trademark Office. Notices and circulars of in-

formation or instructions have also been issued by other Office Officials under authority of the Commissioner. Orders and Notices have served various purposes including directions to the examiners giving them instruction, information, interpretations and the like. Some may be for the information of the public, advising what the Office will do under specified circumstances.

Decisions

In addition to the statutory regulations, the actions taken by the examiner in the examination of applications for patents are to a great extent governed by decisions on prior cases. Applicants dissatisfied with an examiner's action may have it reviewed. In general, that portion of the examiner's action pertaining to objections on formal matters may be reviewed by petition to the Commissioner of Patents and Trademarks (see § 1002) and that portion of the examiner's action pertaining to the rejection of claims on the merits, may be reviewed by appeal to the Board of Appeals (see § 1201). The distinction is set forth in 37 CFR 1.181 and 1.191. In citing decisions as authority for his actions, the examiner should cite the decision in the manner set forth in § 707.06.

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Patent Official Gazette. The official journal of the Patent and Trademark Office relating to patents. Issued each Tuesday, simultaneously with the weekly issuance of patents, it contains a selected figure of the drawings and a claim of each patent granted, indexes of patents, list of patents available for license or sale, and general information such as orders, notices, changes in rules, and changes in classification.

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Guide for Patent Draftsmen. Patent and Trademark Office requirements for patent drawings with illustrations.

Manual of Classification. A loose-leaf volume listing the numbers and descriptive titles of the more than 300 classes and 66,000 subclasses used in the subject classification of patents, with an index to the classifications. Substitute and additional pages, which are

included in the subscription service, are issued from time to time.

Manual of Patent Examining Procedure. A loose-leaf manual which serves primarily as a detailed reference work on patent examining practice and procedure for the Patent and Trademark Office's Examining Corps. Subscription service includes basic manual, quarterly revisions, and change notices.

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The Story of the United States Patent and Trademark Office. Cites important events in the development of the United States patent system and lists chronologically inventions having important effects on the economy.

Patent Laws. Compilation of patent laws in force.

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Patents. Copies of the specification and drawings of all patents are available at 50 cents each, except design patents. Design patents are 20 cents each. When ordering, identify the patent by the patent number, or give full name of the inventor and approximate date of issuance of the patent.

Classification Definitions. Contain the changes in classification of patents as well as definitions of new and revised classes and sub-classes. Price is based upon size of publication, minimum price 10 cents.

Weekly Class Sheets. Lists showing classification of each patent in the weekly issue of the *Patent Official Gazette*.