

# **Quick Start Guide**

## EFS-Web

Updated August 17, 2008



## Introduction

Welcome to EFS-Web, the United States Patent and Trademark Office's safe, simple, and secure means of electronically submitting patent applications and documents. This Quick Start Guide will provide you with the information you need in order to rapidly understand how to file patent applications electronically, including a brief overview of the process and screen shots that identify critical components of the product.

## Before you file electronically there are a few important items you should know:

- EFS-Web is a web-based tool that can be accessed from any web-enabled computer anywhere in the world.
- EFS-Web is a patent application and document submission solution that utilizes standard webbased screens and prompts to enable you to submit a portable document format (PDF) file directly to the USPTO.
- EFS-Web is not a patent application authoring tool. It allows you to use the same tools and workflow processes used to produce paper-based patent application documents.
- EFS-Web is legally equivalent to paper-based patent application and document submission methods and provides filers with the same protections as traditional methods. EFS-Web provides you with a receipt that serves as legally binding proof of the date and time of your submission. (You still will receive a paper filing receipt mailed from the Office of Patent Application Processing).
- EFS-Web has been designed to be simple to use. In a matter of minutes, you can complete a submission and receive electronic confirmation that it has been received by USPTO. It incorporates important new safeguards that alert you to possible problems with your patent application before it is submitted, providing a flexible and forgiving platform that can ease the submission process.
- EFS-Web allows you to submit industry-standard PDF (portable document format) files. Although PDF is an open standard, not all PDF files are the same. There are important distinctions you must know about PDF files before you start the submission process. Information about compatible PDF files is detailed in the Quick Start Guide and in other documentation, and we strongly recommend that you read this information in its entirety.
- EFS-Web incorporates e-commerce capabilities that give you multiple options for paying for your patent application or document submission.

## EFS-Web Sign On

EFS-Web allows both the Registered and Unregistered user to file patent applications electronically.

## Web Access

A computer, an Internet browser and an Internet connection are your tickets to electronic filing. Users can access EFS-Web by navigating to the www.USPTO.gov website and clicking on "File online in EFS-Web" under "Patents".

## Filing Types Accepted

EFS-Web accepts new Accelerated Exam, Design, Design Reissue, International Application for filing in the US receiving office, Provisional, Reexam (*Ex Parte and Inter Partes*), Utility, Utility Reissue and National Stage applications under 35 USC 371. Registered eFilers may also file follow-on documents for previously filed applications and Pre-Grant Publication under 37 CFR 1.211 to 1.221. Both Registered and Unregistered eFilers may file a Petition under 37 CFR 1.378(c) and a Petition to Make Special based on Age.

**TIP!** EFS-Web Sandbox is the online model of EFS-Web where you can practice going through the interface for submitting applications and documents: http://www.uspto.gov/ebc/portal/tutorials.htm

## APPLICATION TYPES

## A Registered eFiler may file the following:

New application types:

- Accelerated Exam
- Design
- Design Reissue
- International Application for filing in the US receiving office
- Provisional
- Reexam
- Utility
- Utility Reissue
- U.S. National Stage under 35 USC 371.

Follow-on document types:

- Petition to Accept Unintentionally Delayed Payment of Maintenance Fee in an Expired Patent (37 CFR 1.378(c))
- Petition to Make Special based on Age
- Pre-Grant Publication under 37 CFR 1.211 to 1.221.

## An Unregistered eFiler may file the following:

New application types:

- Accelerated Exam
- Design
- Design Reissue
- International Application for filing in the US receiving office
- Provisional
- Reexam
- Utility
- Utility Reissue
- U.S. National Stage under 35 USC 371.

Follow-on document types:

- Petition to Accept Unintentionally Delayed Payment of Maintenance Fee in an Expired Patent (37 CFR 1.378(c)
- Petition to Make Special based on Age.

United States Patent and Trademark Office

## **REGISTERED EFILER**

A Registered eFiler has both an assigned Customer Number and a Digital Certificate for secure communication with the USPTO. You may be working as either the certificate holder or under the authority of the certificate holder.

#### **User Authentication**

User authentication is safe and secure which grants access to authorized eFilers for application submissions. Authentication is only successful if both the encrypted digital certificate and password are valid.

User Authentication
Select Digital Certificate       C:\JaneDoe.epf       Browse         Enter Password:       ••••••••••••
☑ I understand that technology and/or software included in patent applications may be subject to U.S. dual-use export controls, which are set out in the Export Administration Regulations (15 C.F.R. parts 730-774). Access to such technology and/or software by any person located outside the United States or by a foreign national inside the United States constitutes an export that may require a license from the U.S. Commerce Department's Bureau of Industry and Security (BIS). I affirm that I am not accessing or permitting access by others to technology or software in a manner that would violate or circumvent the Export Administration Regulations.
Information regarding U.S. dual-use export controls and their application to technology and software included in patent applications is available from BIS. Please see BIS's website, available at www.bis.doc.gov, or contact BIS's Office of Export Services at 202-482-4811.
Authenticate Reset

## **NOTE!** BIS (Bureau of Industry and Security) Statement must be accepted and checked prior to authentication.

## **Certify Identity/Certificate Holder**

As the certificate holder you must:

- Certify you are the certificate holder
- Indicate if this is a new or existing application
- If a new application, select type

Your Digital Certificate has been authenticated - please certify your ident	ity:
● I certify that I am the certificate holder: Jane Doe	
$\bigcirc$ I certify that I am working under the authority of the certificate holder: Jane Doe	
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**TIP!** Clicking 'Continue' allows you to move forward through the submission process, as well as saves any information you have entered to that point

**WARNING!** If you click 'Cancel' on any screen during any part of the filing process a message will inform you that you are about to delete all of your entered information to that point, and ask if you really want to cancel. Upon clicking OK, you will be returned to the login screen.

## Certify Identity: Working under authority of certificate holder

**NOTE**! The asterisks denote required information.

If you are working under the authority of the certificate holder you must:

- Certify your status
- Provide your name and e-mail address
- Indicate if this is a new or existing application

<ul> <li>I certify that I am the certificate holder: Jane Doe</li> <li>I certify that I am working under the authority of the certificate holder: Jane Doe</li> <li>I certify that I am working under the authority of the certificate holder: Jane Doe</li> </ul>
* Your First Name
* Your Last Name
* Your e-Mail Address
*Main Functions
<ul> <li>New application</li> <li>(This includes new filings of continuation, divisional, and continuation-in-part applications. A request for continued examination (RCE)</li> </ul>
and continued prosecution application (CPA) are considered existing documents and must be filed as a registered eFiler.)
Existing application/patent
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## **UNREGISTERED EFILER**

As an Unregistered eFiler, you must provide your contact information and select the type of application you are filing before proceeding through the application process.

## **NOTE!** The asterisks denote required information.

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## **EFS-Web eFiling**

## **APPLICATION PROCESS**

Once you have signed on and begun the application process, the tab structure at the top of the screen expands to show you the components of the application process. The first tab indicates whether you are filing as a registered or unregistered user and the white tab indicates where you are within the process.

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First Named Inventor: 👔						
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Middle Name						
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Customer Number	Please enter a valid Customer Numb	)er				
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Correspondence Address						

**NOTE!** Tabs allow you to move forward and backwards within EFS Web pages. However you can only move forward if you have been on that page. If you use tabs to go back **and make changes**, you must click **Continue** to save those changes – if you simply Tab forward the changes will be lost.

## **APPLICATION DATA**

You must specify the title of your invention, the first named inventor, and a correspondence address.

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Registered Please Read Application Attach Review Calculate Confirm & Pay Receipt Data Documents Documents Fees Submit Fees
Application Data
Coubmiscies has not be on filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO Eastern Time. The Acknowledgement Receipt is evidence of this submission. All items denoted by * are required.
* Title of Invention
Attorney Docket Number
First Named Inventor: 👔
First Name
Middle Name
Correspondence Address: 7
tencer a consumer number for correspondence or provide an address where USPTO should send correspondence for this application.
Customer Number     Please enter a valid Customer Number     OR     OR
C Correspondence Address
Privacy Cancel Continue

**TIP!** You can use the Tab key on your keyboard to move from one input field or button to the next available field or button. Shift-Tab will reverse the direction of the Tab key.

**WARNING!** If you don't enter a customer number then the submitted application will not be associated with your digital certificate. If this relationship is not made then you will not be able to view your application in Private PAIR.

## **ATTACHING DOCUMENTS**

After the eFiler clicks 'Continue', the bibliographic data entered by the user is echoed back. If any errors are found the user can go back and correct them by clicking 'Application Data'.

Next attach your PDF.

- Browse and select the PDF file to be submitted
- Indicate whether the PDF file has multiple documents by clicking Yes or No
- Enter the document description for the file or its parts
- If you need to attach additional documents, click 'Add File' and repeat these steps
- And, if you need to delete any one of the attached files, click "Delete" corresponding to that file row

**TIP!** There is a 25MB size limit per file.

Attach Documents		· · · ·
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Receipt is evidence of this		ng. If any information is incorrect, please edit the Application Data
Title of Invention	This is the title of my invention	
First Named Inventor	John C. Patent	
Customer Number or Correspondence Address	MyCompany Inc 1 Main Street Anyplace VA 0123 US 123-345-6789 Jane.Doe@uspto.gov	
Filed By	RegAtty1 Tester/Jane Done	
Attorney Docket Number		
Application Type	Utility under 35 USC 111(a)	
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		Prese Upload & Validate Review Prease Upload & Validate before Review

Click 'Upload & Validate' to automatically check for compliance and to be notified of errors and warnings before submission.

**WARNING!** EFS-Web can validate a maximum of 20 files uploaded at one time. Up to 60 documents can be uploaded per submission.

**WARNING!** EFS-Web can upload one sequence listing (txt) file up to 100 MB per submission. The sequence listing file must be uploaded separately from other types of files. If the sequence listing does not conform to the ST.24 or ST.25 format, a warning will display.

**WARNING!** You must click Upload and Validate prior to 'Review' or the attached files will be deleted.

**TIP!** If your document could not be validated, an error message will appear informing you of the reason for the validation failure. Attaching a document that is not a PDF, TXT or PCT ZIP will cause a failure to validate, as will not choosing a document description. This field is equipped with a drop down list of choices. If you cannot see the drop down, please scroll right and make your selection.

**REMEMBER!** You can correct any errors by clicking the 'Attach Files' button.

## MULTI-DOC PDF

PDF files that contain multiple documents must be separately indexed to be labeled properly in the USPTO Image File Wrapper. For example, a patent application PDF file may contain a specification, claims, abstract, and drawings that should be listed as separate documents in the IFW. Enter the page ranges for each section so that the documents are properly displayed in the IFW. Amendments should be separated as well.

Files to be Submitted 👔	Category 👔	Document Description 👔		
Browse     Does your PDF file contain multiple documents?	Yes O No			
Category     Document Description       View All Categories	Page Start	Page End Add Document Add File		

At this point you can either, add additional sections of documents by clicking 'Add Document, additional documents by clicking 'Add File or 'Upload & Validate' these documents.

**REMEMBER!** For new submissions, there must be at least one attachment other than the EFS-Web generated fee sheet.

**TIP!** You are limited to 60 documents per submission at 25MB per file. (or 60 lines if multi-doc included)\_

**WARNING!** If you file a new submission and do not include a PDF file with a document description of "specification", it could result in a delay in processing of your submission.

## CALCULATE FEES

Fees are dynamically generated based on the values entered by the user.

- Indicate the business size (large or small entity)
- Select all applicable fees

**NOTE**! You may submit your application without generating fees at this time by clicking the 'Confirm/Submit' link or the 'Continue' button, remembering that extra fees may be incurred.

If you are not paying fees for this filing at this time, you may continue to confirm/Submit									
Failure to pay these fees on filing a new application will result in a surcharge. See <u>27 CFR 1.16 (f) and (g)</u> .									
A submission has not been filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO Eastern Time. The Acknowledgement Receipt is evidence of this submission.									
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The publication fee for normal publication is not due until the application is allowed. Reguests for early publication must include a separate statement requesting early publication.									
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Click 'Calculate' to see fees and 'Continue' to proceed to the next section.

**WARNING!** If you click 'Cancel' on any screen during this process a message will inform you that you are about to delete your entered information, and ask if you really want to cancel. Upon clicking OK, you will be returned to the login screen.

## SUBMIT APPLICATION

Confirm and Submit marks the last time before submission that the user will be able to:

- Review and confirm or edit application data
- · Edit fees associated with the application and
- Remove or edit the documents associated with the application

EFS Registered								-8
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This is the application	data associated with your	submiss	ion. If any informat	tion is incorrect, please	edit the Application Data			
Title of Invention	This is the title of my invention							
First Named Inventor	John C. Patent							
Customer Number or Correspondence Address	99999 MyCompany Inc. 1 Main Stree							
	Anyplace VA 01234 US							
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If you have elected to submit without generating fees on the Calculate Fees screen, your submit application screen will appear with a 'Total Fees Due of \$0.

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Registered eFilers Please Read Announcements	Application Attach Review Data Documents Documents	Calculate Fees	Confirm & Pay Receipt Submit Fees				
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Title of Invention	This is the title of my invention						
First Named Inventor	John C. Patent						
Customer Number or Correspondence Address	99999						
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	Jane.Doe@uspto.gov 866 217 9197						
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## CONGRATULATIONS (with EFS-Web generated fee sheet)

Once you have successfully submitted your application, you will be provided with this screen. Congratulations screen providing you with:

- Your Application Number
- Your Confirmation Number associated with your Application Number
- EFS ID

You will also have the opportunity to either pay your fees at this time or indicate that you would like to pay them later and acknowledge that additional charges may be incurred.

EFS Registered						-8		
Registered Please Read Application Attach Review Calculate Fees Confirm & Pay Receipt Documents Documents Documents Submit								
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The USPTO has received your submission. An Acknowledgement Receipt will be received in due course. Prior to receiving the Acknowledgement Receipt, registered users may check "My Workplace" to confirm receipt by the USPTO of their submission and access Private PAIR to view the actual documents filed. You may continue by paying fees. For questions, contact the EBC. See the <u>EBC</u> Web Page for contact info and hours.								
The following identification of the following identification o	ation numbers a	are associated with yo	ur submissi	ion.				
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The USPTO's RAM payment server is ready to accept your fee payments using a <u>USPTO Deposit Account</u> , an <u>Electronic Funds Transfer</u> , or one of the following credit cards: <i>American Express</i> , <i>Discover</i> , <i>MasterCard</i> , or <i>Visa</i> . Please have all access codes, account numbers and account holder information ready to ensure a successful online payment experience.								
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**TIP**! Your confirmation number is tied to your application. This pair of numbers decreases the mismatching of submissions with their existing applications. This pair of numbers is required for submitting documents and/or fees to existing applications.

## E-mail Receipt Info

eFilers are able to launch their e-mail programs by clicking the "Email Receipt Info" link to send information about Acknowledgement Receipts and Pre-Acknowledgement Receipts. eFilers must specify and include email address(es) for each recipient.

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## PAY FEES

Fees may be paid to USPTO via one of three means:

- By charging the filer's USPTO Deposit Account
- By charging their Credit Card
- Or via an Electronic Funds Transfer

Once you have selected your payment type, click 'Start online payment process".

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## **USPTO Deposit Account**

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- Click "Choose an Authorized User for this Deposit Account"

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* Deposit Account Access			
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Pay Later, Gener	ate Acknowledgement Receipt		
This is the application EFS ID	for which you are paying fees: 1042911		
Application Number	59962462		
Confirmation Number	1403		
Title of Invention	This is the title of my invention John C. Patent		
First Named Inventor			
Customer Number or Correspondence Address	99999		
Filed By	Jane Doe		
Attorney Docket Number			
Application Type	Utility under 111(a)		
The following fees will	I be collected for this application:		
Fee Description	Fee Code	Amount	
Utility application filing	1011	300	
Ublity Search Fee	1111	500	
Utility Examination Fee	1311	200	Total Payment: \$1000

Choose an authorized user of the Deposit Account from the drop-down menu.

- Click "Yes" to certify you have the right to use the account.
- Check if any Additional Fees required
- Click "Yes charge deposit account now"

review fees make payment fee receipt
r, upon choosing to not pay at any time during the payment process.
direction of the selected authorized user.Please read the following certification statement.Select "YES" to make the
office Deposit Account; I authorize the U.S. Patent and Trademark Office to deduct the itemized charges listed in am aware that intentionally false or misleading statements may constitute criminal violations of United States
ate payment. Please ensure your transaction is correct before submitting your payment. By clicking "YESI -

## **Credit Card Payment**

Filing fees may be charged to a VISA, MasterCard, American Express, or Discover by providing and confirming credit card and billing formation.

EFS Registered	- 8
Registered Plase Read Application Attach Documents Documents Documents Documents Documents Documents Documents Submit Pay Pay fees by Credit Card reverviews make payment to receive	eipt
Your Acknowledgement Receipt (evidence of this submission) will be provided upon completion of this payment transaction, or, upon choosing to not pay at any time during the payment process.	
payment process.	
Enter Credit Card information (All items denoted by * are required.)	
- I am paying with:	
T din paying with: ■ C American Express C Discover C MasterCard C VISA	
Credit Card Information:	
<sup>™</sup> Expires 01 I Month (2 digits) 2006 I Year (4 digits)	
* Cardholder Name	
Billing Address:	
* Street 1	
Street 2	
* City	
* State Other (Use "Other" if non-U.S. address)	
*Country UNITED STATES	
"ZIP/Postal Code (e.g. US zip codes are formatted 99999)	
Telephone Number	
Confirm charge information for this Credit Card transaction	
Confirm charge information for this Credit Card transaction	

## **Electronic Funds Transfer**

Enter your User ID and Password. If you do not have a user ID and password, click 'please create a USPTO EFT account now'.

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Registered eFilers 22         Please Read         Application Data         Attach Documents         Review Documents         Calculate Fees         Confirm & Submit         Pay Fees         Receipt
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Your Acknowledgement Receipt (evidence of this submission) will be provided upon completion of this payment transaction, or, upon choosing to not pay at any time during the payment process.
If you maintain a checking or savings account in a U.S. or affiliated bank then you may be able to make your payment by EFT (Electronic Funds Transfer). The EFT payment method will allow the cost of your payment to be withdrawn directly from the checking or savings account that you designate. (Read moreabout the EFT payment method.) If you do not have an account with a U.S. or affiliated bank, you must first establish such an account, or you will not be able to pay by EFT.
NOTE: Some banks do not allow EFT payments from a savinge account, please check with your financial institution to verify whether they allow this type of funds transfer.
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Enter your USPTO EFT account access codes:
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