

# UTILITY PATENT APPLICATION TRANSMITTAL

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

|                        |                              |
|------------------------|------------------------------|
| Attorney Docket No.    | JANLEA-001-DIV               |
| First Inventor         | Li HAN                       |
| Title                  | AEROSOL ELECTRONIC CIGARETTE |
| Express Mail Label No. |                              |

|   |   |
|---|---|
| <p style="text-align: center;"><b>APPLICATION ELEMENTS</b></p> <p style="text-align: center;"><i>See MPEP chapter 600 concerning utility patent application contents.</i></p> | <p><b>ADDRESS TO:</b> Commissioner for Patents<br/>P.O. Box 1450<br/>Alexandria VA 22313-1450</p> |
|---|---|

1.  Fee Transmittal Form (e.g., PTO/SB/17)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 27]  
Both the claims and abstract must start on a new page  
(For information on the preferred arrangement, see MPEP 608.01(a))
4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 8]
5. Oath or Declaration [Total Sheets 3]
  - a.  Newly executed (original or copy)
  - b.  A copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
name in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76
7.  CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
  - Landscape Table on CD
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, items a. – c. are required)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  Paper
  - c.  Statements verifying identity of above copies

- ACCOMPANYING APPLICATION PARTS**
9.  Assignment Papers (cover sheet & document(s))  
Name of Assignee \_\_\_\_\_
  10.  37 CFR 3.73(b) Statement (when there is an assignee)  Power of Attorney
  11.  English Translation Document (if applicable)
  12.  Information Disclosure Statement (PTO/SB/08 or PTO-1449)  
 Copies of citations attached
  13.  Preliminary Amendment
  14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
  15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
  16.  Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or equivalent.
  17.  Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part (CIP)    of prior application No.: .12/226,818.....

Prior application information:                      Examiner Dionne Walls Mayes                      Art Unit: 1747

**19. CORRESPONDENCE ADDRESS**

The address associated with Customer Number: 62008    OR     Correspondence address below

|         |           |          |  |
|---------|-----------|----------|--|
| Name    |           |          |  |
| Address |           |          |  |
| City    | State     | Zip Code |  |
| Country | Telephone | Email    |  |

|                   |                    |                                   |               |
|-------------------|--------------------|-----------------------------------|---------------|
| Signature         | /Timothy J. Maier/ | Date                              | April 5, 2011 |
| Name (Print/Type) | Timothy J. Maier   | Registration No. (Attorney/Agent) | 51986         |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form 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, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

**R.J. Reynolds Vapor**



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|   |                              |                        |                |
|---|------------------------------|------------------------|----------------|
| <b>Application Data Sheet 37 CFR 1.76</b>   |                              | Attorney Docket Number | JANLEA-001-DIV |
|   |                              | Application Number     |                |
| Title of Invention  | AEROSOL ELECTRONIC CIGARETTE |                        |                |
| The application data sheet is part of the provisional or nonprovisional application for which it is being submitted. The following form contains the bibliographic data arranged in a format specified by the United States Patent and Trademark Office as outlined in 37 CFR 1.76. This document may be completed electronically and submitted to the Office in electronic format using the Electronic Filing System (EFS) or the document may be printed and included in a paper filed application. |                              |                        |                |



### Secrecy Order 37 CFR 5.2

Portions or all of the application associated with this Application Data Sheet may fall under a Secrecy Order pursuant to 37 CFR 5.2 (Paper filers only. Applications that fall under Secrecy Order may not be filed electronically.)

### Applicant Information:

|  |                                       |   |                    |  |
|--|---------------------------------------|---|--------------------|--|
| <b>Applicant 1</b>   |                                       |   |                    |  |
| <b>Applicant Authority</b>   |                                       | <input checked="" type="radio"/> Inventor |                    | <input type="radio"/> Legal Representative under 35 U.S.C. 117 |
|  |                                       |   |                    | <input type="radio"/> Party of Interest under 35 U.S.C. 118    |
| <b>Prefix</b>  | <b>Given Name</b>                     | <b>Middle Name</b>                        | <b>Family Name</b> | <b>Suffix</b>  |
|  | Li                                    |   | HAN                |  |
| <b>Residence Information (Select One)</b>  |                                       |   |                    |  |
| <input type="radio"/> US Residency <input checked="" type="radio"/> Non US Residency <input type="radio"/> Active US Military Service  |                                       |   |                    |  |
| <b>City</b>  | Hong Kong                             | <b>Country Of Residence<sup>i</sup></b>   | CN                 |  |
| <b>Citizenship under 37 CFR 1.41(b)</b>  | CN                                    |   |                    |  |
| <b>Mailing Address of Applicant:</b>   |                                       |   |                    |  |
| <b>Address 1</b>   | 1010-12 Room, West Tower, Shun Centre |   |                    |  |
| <b>Address 2</b>   | 168 Connaught Road, Mid-Gannuo        |   |                    |  |
| <b>City</b>  | Hong Kong                             | <b>State/Province</b>                     |                    |  |
| <b>Postal Code</b>   |                                       | <b>Country</b>                            | CN                 |  |
| All Inventors Must Be Listed - Additional Inventor Information blocks may be generated within this form by selecting the <b>Add</b> button. <span style="float: right;"></span> |                                       |   |                    |  |

### Correspondence Information:

|  |                        |   |   |
|--|------------------------|---|---|
| Enter either Customer Number or complete the Correspondence Information section below. For further information see 37 CFR 1.33(a). |                        |   |   |
| <input type="checkbox"/> An Address is being provided for the correspondence information of this application.                      |                        |   |   |
| <b>Customer Number</b>   | 62008                  |   |   |
| <b>Email Address</b>   | info@maierandmaier.com |  |  |

### Application Information:

|  |                              |  |                                     |
|--|------------------------------|--|-------------------------------------|
| <b>Title of the Invention</b>                  | AEROSOL ELECTRONIC CIGARETTE |  |                                     |
| <b>Attorney Docket Number</b>                  | JANLEA-001-DIV               | <b>Small Entity Status Claimed</b>               | <input checked="" type="checkbox"/> |
| <b>Application Type</b>                        | Nonprovisional               |  |                                     |
| <b>Subject Matter</b>                          | Utility                      |  |                                     |
| <b>Suggested Class (if any)</b>                |                              | <b>Sub Class (if any)</b>                        |                                     |
| <b>Suggested Technology Center (if any)</b>    |                              |  |                                     |
| <b>Total Number of Drawing Sheets (if any)</b> | 8                            | <b>Suggested Figure for Publication (if any)</b> | 1                                   |

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|   |                              |                |
|---|------------------------------|----------------|
| <b>Application Data Sheet 37 CFR 1.76</b> | Attorney Docket Number       | JANLEA-001-DIV |
|   | Application Number           |                |
| Title of Invention                        | AEROSOL ELECTRONIC CIGARETTE |                |

**Publication Information:**

Request Early Publication (Fee required at time of Request 37 CFR 1.219)

**Request Not to Publish.** I hereby request that the attached application not be published under 35 U.S.C. 122(b) and certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

**Representative Information:**

Representative information should be provided for all practitioners having a power of attorney in the application. Providing this information in the Application Data Sheet does not constitute a power of attorney in the application (see 37 CFR 1.32). Enter either Customer Number or complete the Representative Name section below. If both sections are completed the Customer Number will be used for the Representative Information during processing.

Please Select One:  Customer Number  US Patent Practitioner  Limited Recognition (37 CFR 11.9)

Customer Number: 62008

**Domestic Benefit/National Stage Information:**

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, or 365(c) or indicate National Stage entry from a PCT application. Providing this 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(a)(2) or CFR 1.78(a)(4), and need not otherwise be made part of the specification.

|                          |                        |                          |                          |
|--------------------------|------------------------|--------------------------|--------------------------|
| Prior Application Status | Pending                |                          |                          |
| Application Number       | Continuity Type        | Prior Application Number | Filing Date (YYYY-MM-DD) |
|                          | Division of            | 12/226818                | 2008-10-29               |
| Prior Application Status | Pending                |                          |                          |
| Application Number       | Continuity Type        | Prior Application Number | Filing Date (YYYY-MM-DD) |
| 12/226818                | a 371 of international | PCT/CN2007/001575        | 2007-05-15               |

Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the **Add** button.

**Foreign Priority Information:**

This section allows for the applicant to claim benefit of foreign priority and to identify any prior foreign application for which priority is not claimed. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55(a).

|                    |                      |                                 |   |
|--------------------|----------------------|---------------------------------|---|
|                    |                      |                                 |   |
| Application Number | Country <sup>1</sup> | Parent Filing Date (YYYY-MM-DD) | Priority Claimed  |
| 200620090805.0     | CN                   | 2006-05-16                      | <input checked="" type="radio"/> Yes <input type="radio"/> No |

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|   |                              |                        |                |  |
|---|------------------------------|------------------------|----------------|--|
| <b>Application Data Sheet 37 CFR 1.76</b> |                              | Attorney Docket Number | JANLEA-001-DIV |  |
|   |                              | Application Number     |                |  |
| Title of Invention                        | AEROSOL ELECTRONIC CIGARETTE |                        |                |  |

**Assignee Information:**

Providing this information in the application data sheet does not substitute for compliance with any requirement of part 3 of Title 37 of the CFR to have an assignment recorded in the Office.

**Assignee 1**

If the Assignee is an Organization check here.

| Prefix | Given Name | Middle Name | Family Name | Suffix |
|--------|------------|-------------|-------------|--------|
|        |            |             |             |        |

**Mailing Address Information:**

|  |             |                |  |  |
|--|-------------|----------------|--|--|
| Address 1  |             |                |  |  |
| Address 2  |             |                |  |  |
| City   |             | State/Province |  |  |
| Country  | Postal Code |                |  |  |
| Phone Number   |             | Fax Number     |  |  |
| Email Address  |             |                |  |  |
| Additional Assignee Data may be generated within this form by selecting the <b>Add</b> button. |             |                |  |  |

**Signature:**

A signature of the applicant or representative is required in accordance with 37 CFR 1.33 and 10.18. Please see 37 CFR 1.4(d) for the form of the signature.

|                  |                    |           |                   |                              |
|------------------|--------------------|-----------|-------------------|------------------------------|
| <b>Signature</b> | /Timothy J. Maier/ |           | Date (YYYY-MM-DD) | 2011-04-05                   |
| First Name       | Timothy            | Last Name | Maier             | Registration Number<br>51986 |

This collection of information is required by 37 CFR 1.76. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 23 minutes to complete, including gathering, preparing, and submitting the completed application data sheet form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form 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, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|  |                                     |
|--|-------------------------------------|
| Applicant(s): Li HAN   | Confirmation No.: TBD               |
| U.S. Patent Application No.: TBD<br><i>Divisional of U.S. Patent Application<br/>12/226,818, filed on October 29, 2008</i> | Art Unit: TBD                       |
| Filed: Concurrent Herewith   | Examiner: TBD                       |
| Title: AEROSOL ELECTRONIC CIGARETTE  | Attorney Docket No.: JANLEA-001-DIV |

PRELIMINARY AMENDMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

April 5, 2011

Dear Sir:

Prior to examination on the merits please amend the following:

**Amendments to the Specification** begin on page 2.

**Amendments to the Claims** begin on page 3.

**Remarks** follow the above-mentioned amendments.

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