

CHECKLIST FOR ELECTRONIC FILING OF A U.S. NON-PROVISIONAL PATENT APPLICATION

FILE NUMBER:

DATE:

LEGIBLE (Not a Logo) signature of
E-FILING PATENT ATTORNEY
or PATENT AGENT: _____

DW (Weeks)

LEGIBLE (Not a Logo) signature of
REVIEWING PATENT ATTORNEY: _____

(E.A.)

This checklist should be the LAST act before the patent application is uploaded to the USPTO website. (This means AFTER creating your PDFs to be uploaded.)

This document should be placed in the file once it has been completed.

E-Filing PATENT ATTORNEY or PATENT AGENT	Reviewing PATENT ATTORNEY	MANDATORY ITEMS
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<i>ALAS</i> I. PTO FORM SB05 (or patent application transmittal letter) listing the name of AT LEAST one inventor, and having a /signature/ of the patent attorney/agent.
<input type="checkbox"/>	<input type="checkbox"/>	A. Claim to Priority of Another Application? (continuation, continuation-in-part, or divisional) Note: Not where priority is claimed to a provisional
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	II. Application Data Sheet (37 CFR 1.76)
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	A. Correct Application Type? (<u>regular</u> , provisional)
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	B. Correct Subject Matter? (<u>utility</u> design, plant)
<input type="checkbox"/> <i>No</i>	<input type="checkbox"/> <i>110</i>	C. Small Entity Appropriate and Indicated?
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> <i>89818</i>	D. Correct Customer Number? <i>89818</i>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> <i>yes</i> <i>13/173,499,</i> <i>etc...</i>	E. Claim to Priority of Another Application? (provisional, <u>continuation</u> continuation-in-part, or divisional) <i>see ADS</i>

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<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	III. The "PATENT APPLICATION"
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	A. Check EACH page to make sure that it is there. Do NOT simply count pages. <u>PDF creation may change paginations</u> , in which case the patent application will have the correct number of pages but may be defective, maybe fatally so.
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	B. Title - Make sure that the PTO Form SB05 and Application Data Sheet use THE EXACT SAME TITLE
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	C. Cross Reference to Related Application(s) –
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	D. Background
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	E. Summary
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	F. Brief Description of The Drawing(s) NOTE: If the Figures are labeled as Fig. 2A, 2B, etc., then the Brief Description MUST refer to them as such. It is a MAJOR ERROR to refer to them simply as "Fig. 2."
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	G. Detailed Description
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	H. At Least One Claim
<u>12</u> Total	<u>12</u> Total	1. Total Number of Claims
<u>2</u> Ind.	<u>2</u> Ind.	2. Number of Independent Claims
<u>10</u> Dep.	<u>10</u> Dep.	3. Number of Dependent Claims
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	I. Abstract (150 words or less)
<u>30</u> pages	<u>30</u> pages	J. Total Number of Pages
<u>1-26</u> pages	<u>1-26</u> pages	K. Specification Page Range
<u>27-29</u> pages	<u>27-29</u> pages	L. Claims Page Range
<u>30</u> pages	<u>30</u> pages	M. Abstract Page Range

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<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	IV. FIGURES
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	A. Check EACH page to make sure that it is there. Do NOT simply count pages. <u>PDF creation may change paginations</u> , in which case the patent application will have the correct number of pages but may be defective, maybe fatally so.
<input type="checkbox"/> NO	<input checked="" type="checkbox"/> NO	B. Check to make sure pages are numbered sequentially (example: 1/5, 2/5, 3/5, etc.)
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	C. Double check the Figures against the Brief Description
<u>18</u> pages of Drawings	<u>18</u> pages of Drawings	D. Total Number of Pages of Drawings
<input type="checkbox"/> NO	<input checked="" type="checkbox"/> NO	V. Sequence Listing (if appropriate)
<input type="checkbox"/>	<input checked="" type="checkbox"/> NO	VI. REQUEST NOT TO PUBLISH (if appropriate) NOTE: This request must be made AT THE TIME OF FILING. It cannot be made later. (37 CFR 1.211 and 1.213) (this can be included in the Application Data Sheet)
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> STAT 692CONS	VII. FILE NUMBER (The TS docket reference should be the same on all documents.) STAT 692CONS

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E-Filing PATENT ATTORNEY or PATENT AGENT	Reviewing PATENT ATTORNEY	OTHER ITEMS WHICH MAY BE PRESENT
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	VIII. Paying filing fees via Deposit Account? (see Fee Transmittal Generation below) Note: If not filing a Dec., we usually do not pay filing fees at the time of filing.
<input type="checkbox"/> No	<input checked="" type="checkbox"/> No	A. Small Entity Fees Appropriate?
<input type="checkbox"/>	<input type="checkbox"/>	IX. Declaration(s) (PTO/SB/01, 01a, 03, 03a, 04)
<input type="checkbox"/>	<input type="checkbox"/>	A. Compare Inventors w/ those listed on ADS
<input type="checkbox"/>	<input type="checkbox"/>	X. Power of Attorney (PTO/SB/81) if not included in Declaration(s) above
<input type="checkbox"/>	<input type="checkbox"/>	A. Compare Inventors w/ those listed on ADS
<input type="checkbox"/>	<input type="checkbox"/>	XI. Statement Under 37 CFR 3.73(b) Note: Must be executed by company executive and usually requires a recorded assignment
<input type="checkbox"/>	<input type="checkbox"/>	XII. Request for Early Publication (If appropriate, and NOT appropriate if a Request Not To Publish is being filed.) (37 CFR 1.219)
<input type="checkbox"/>	<input type="checkbox"/>	A. Fee Request for Early Publication (if appropriate) (37 CFR 1.18(d))
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	XIII. Preliminary Amendment
<input type="checkbox"/> No	<input checked="" type="checkbox"/> No	XIV. Assignment(s) Note: May file via EPAS
<input type="checkbox"/>	<input type="checkbox"/>	XV. IDS & PTO-1449 listing art in IDS Note: Send list of all material art to docketing for inclusion in an IDS
<input type="checkbox"/>	<input type="checkbox"/>	A. Copy of Art for IDS – When citing NPL reference
<input type="checkbox"/>	<input type="checkbox"/>	XVI. Petition To Make Special (Advance Prosecution) Note: This is NOT the same as Track I Prioritized Examination

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<input type="checkbox"/> No	<input checked="" type="checkbox"/> No	A. Affidavit In Support Of Petition
<input type="checkbox"/> ↓	<input type="checkbox"/> ↓	XVII. E-Filing Certificate 1.8 Statement (with listed documents thereon - like postcard) NOTE: This is not required, but helpful
_____	_____	Number of Files Uploaded in PDF Form
<input type="checkbox"/>	<input type="checkbox"/>	(other)
<input type="checkbox"/>	<input type="checkbox"/>	(other)

E-Filing PATENT ATTORNEY or PATENT AGENT	AFTER FILING
<input type="checkbox"/>	Checked the uploaded documents for accuracy and for embedded fonts?
<input type="checkbox"/>	Electronically Filed Serial No.
<input type="checkbox"/>	Review E-Filed/Acknowledgement Receipt for Accuracy
<input type="checkbox"/>	Check Private PAIR confirming documents uploaded
<input type="checkbox"/>	Generated Fee Transmittal Sheet
<input type="checkbox"/>	Send Docketing an email with (1) file number, (2) matter number, and (3) date NOTE: If deposit account charged, include Jane on email and provide the amount charged
<input type="checkbox"/>	(other)
<input type="checkbox"/>	(other)
<input type="checkbox"/>	(other)
<input type="checkbox"/>	(other)