Quick Start Guide

EFS-Web 1.0

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 web-based screens and prompts to enable you to submit a portable document format (PDF) document 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 will still receive a paper receipt mailed from OIPE).

- 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 has been designed to integrate with Private PAIR, USPTO's online database that provides trusted filers with controlled access to your non-published patent application information, as well as all information that Public PAIR provides.

- EFS-Web incorporates e-commerce capabilities that give you multiple options for paying for your patent application or document submission.

EFS-Web Sign On

To access EFS-Web go to the following link:
http://portal.uspto.gov/external/portal/home

EFS-Web allows both the Registered and Unregistered user to file patents electronically. We will examine the sign on process for each before moving on to the application process itself.

APPLICATION TYPES

A *Registered or PKI eFiler* may file the following:

New application types:
- Design,
- Utility,
- Provisional,
- 371 National Stage
- Follow-on documents and/ or fees to existing patent applications

An *Unregistered or TLS eFiler* may file the following:

New applications types:
- Design,
- Utility,
- Provisional,
- 371 National Stage

(If you are filing a 371 National Stage you will need to include the International Application number, as well as the International filing date.)

REGISTERED EFILER

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

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

TIP! *The* **ⓘ** *icons, as in the application type section above, are informational icons.*
If you see an **ⓘ**, *click on it, and you'll receive information about that section of the site.*

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
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

UNREGISTERED EFILER

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

NOTE! *The asterisks denote required information.*

EFS Unregistered

| Unregistered eFilers | Registered eFilers ☑ | Please Read Announcements |

Welcome to Electronic Patent Filing for UNREGISTERED eFILERS

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. The Acknowled evidence of this submission.
   All items denoted by * are required.

This web site is for the exclusive use of applicants participating in the beta testing of EFS-Web. Non-beta users are required to use the standard EFS-ABX procedures ur system is made available on **March 15, 2006**, and NOT file any documents using this test facility.

Sign-on as an UNREGISTERED eFILER

* e-Filer Last Name:
* e-Filer First Name:
* e-Filer E-Mail Address:

* Select Type of New Application:

○ Design 🛈

◉ Utility 🛈

○ Provisional 🛈

○ U.S. National Stage under 35 USC 371 🛈

Privacy Policy   [Cancel]   [Continue]

Contact Information

Application Type

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 unegistered user and the white tab indicates where you are within the process.

NOTE! *Tabs allow you to move forward and backwards to 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 at this point.

TIP! *You can use the Tab key on your keyboard to move you 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 critical 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.
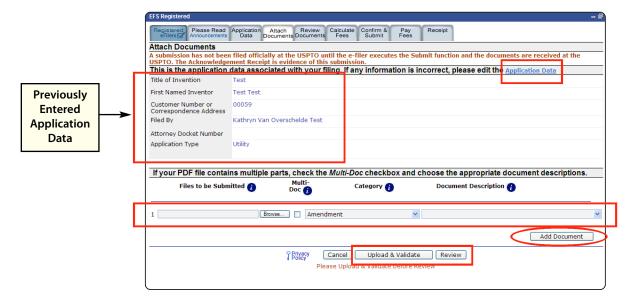- Browse and select the PDF file to be submitted
- Indicate whether the PDF file has multiple documents by clicking the 'Multi-Doc' check box
- Enter the document description for the file or its parts
- And if you need to attach additional documents, click 'Add Document' or "Add Parts" and repeat these steps.

TIP! *For new submissions, there must be at least one attachment*

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

You may also evaluate your work to this point by clicking the 'Review' button at the bottom of the screen.

WARNING! *You must click Upload and Validate prior to 'Review' or you will lose the attachment.*

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 will cause a failure to validate, as will not entering 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 'Application Data' button.*

MULTI-DOC PDF

Some PDF files may contain multiple documents that should be separately indexed 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.

Enter the page ranges for each section so that the documents are properly displayed

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

REMEMBER! *For new submissions, there must be at least one attachment*

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 filing fees

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

If you are not paying fees at this time click 'Confirm/Submit'

Fees Calculated Based On Values Entered By User

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

TIP! *For new submissions, there must be at least one attachment*

If you have elected to submit without generating fees on the Calculate Fees screen your submit application screen will appear with a 'Total Fees Amount' of $0.

CONGRATULATIONS

Once you have successfully submitted your application you will be provided with this 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.

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.*

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".

USPTO Deposit Account

- Enter Deposit Account Number
- Enter Deposit Account Access Code
- Click "Choose an Authorized User for this Deposit Account"

- 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 the over or under charge fees (if needed)
- Click "Yes - charge deposit account now"

EFS Registered

| Registered eFilers | Please Read Announcements | Application Data | Attach Documents | Review Documents | Calculate Fees | Confirm & Submit | Pay Fees | Receipt |

Pay fees by USPTO Deposit Account

review fees   make payment   fee receipt

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.

Choose an authorized user for this account *(all items are required)*:

* , (TEST)   Authorized user(s) for Deposit Account Number: 060001

*Please read the following disclosure statement and select **"YES"** to indicate that you have read and understand the disclosure statement. Then click "**YES! Charge Deposit Account Now** " to process your payment as indicated below, or choose an option from "**NO - I do not wish to use this Deposit Account**" to abort the transaction.*

☐ **YES** - I certify that I am or I am acting on behalf of the selected authorized user for the referenced U.S. Patent and Trademark Office Deposit Account; I authorize the U.S. Patent and Trademark Office to deduct the itemized charges listed in the Payment Information Summary from my deposit account and that sufficient funds are maintained in this account to satisfy said charges; I am aware that intentionally false or misleading statements may constitute criminal violations of United States Code Title 18.
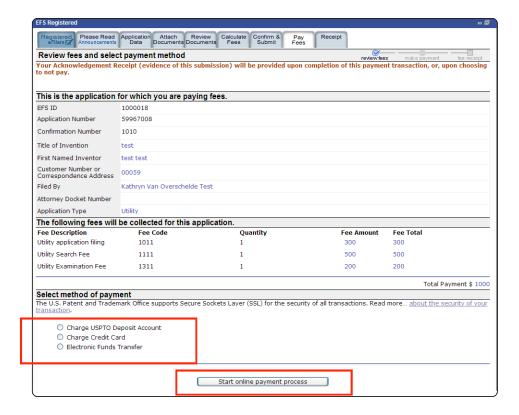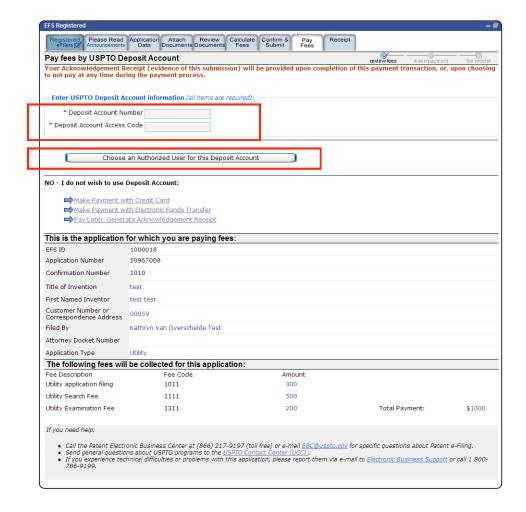
Fee Preauthorization:

You may preauthorize the Director of the USPTO to charge the following fees to this Deposit Account. If you wish to do so, please select which fees you wish to preauthorize by marking the appropriate checkboxes below.

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: *(select all that apply)*

☐ Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17

☐ Charge the Issue Fee set in 37 C.F.R. Section 1.18 at the mailing of the notice of allowance

Charge the fees listed above and any future fees to this Deposit Account:

| YES! - Charge Deposit Account Now | ¿ Privacy Policy

NO - I do not wish to use this Deposit Account:

⇨ Make Payment with another USPTO Deposit Account
⇨ Make Credit Card Payment
⇨ Make Payment with Electronic Funds Transfer
⇨ Pay Later, Generate Acknowledgement Receipt

This is the application for which you are paying fees:

EFS ID	1000018
Application Number	59967008
Confirmation Number	1010
Title of Invention	test
First Named Inventor	test test
Customer Number or Correspondence Address	00059
Filed By	Kathryn Van Overschelde Test
Attorney Docket Number	
Application Type	Utility

The following fees will be collected for this application:

Fee Description	Fee Code	Quantity	Fee Amount	Fee Total
Utility application filing	1011	1	300	300
Utility Search Fee	1111	1	500	500
Utility Examination Fee	1311	1	200	200

Total Payment $ 1000

Credit Card Payment

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

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.

ACKNOWLEDGEMENT RECEIPT

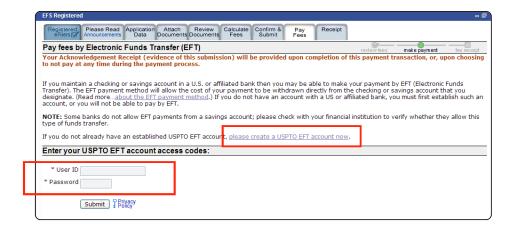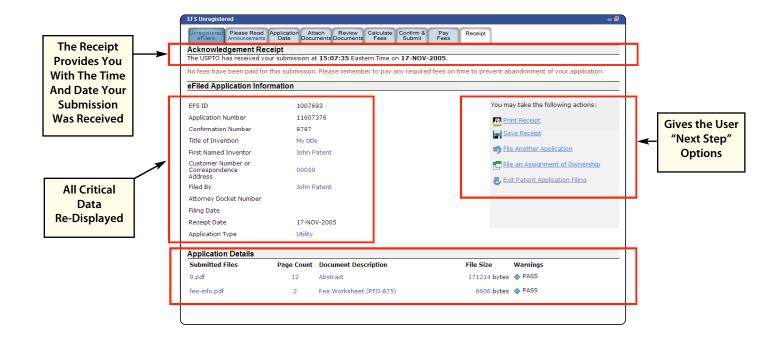Your acknowledgement receipt provides you with the time and date your submission was received as well as re-displaying your critical application information and details.
It also allows you to do any of the following:
- Print Receipt
- Save Receipt
- File Another Application
- File an Assignment of Ownership
- Exit the Patent Application Filing

The Receipt Provides You With The Time And Date Your Submission Was Received

All Critical Data Re-Displayed

Gives the User "Next Step" Options

EFS Unregistered

| Unregistered eFilers | Please Read Announcements | Application Data | Attach Documents | Review Documents | Calculate Fees | Confirm & Submit | Pay Fees | Receipt |

Acknowledgement Receipt
The USPTO has received your submission at **15:07:35** Eastern Time on **17-NOV-2005**.

No fees have been paid for this submission. Please remember to pay any required fees on time to prevent abandonment of your application.

eFiled Application Information

EFS ID	1007693	
Application Number	11607376	
Confirmation Number	8787	
Title of Invention	My title	
First Named Inventor	John Patent	
Customer Number or Correspondence Address	00059	
Filed By	John Patent	
Attorney Docket Number		
Filing Date		
Receipt Date	17-NOV-2005	
Application Type	Utility	

You may take the following actions:
- Print Receipt
- Save Receipt
- File Another Application
- File an Assignment of Ownership
- Exit Patent Application Filing

Application Details

Submitted Files	Page Count	Document Description	File Size	Warnings
9.pdf	12	Abstract	171214 bytes	◆ PASS
fee-info.pdf	2	Fee Worksheet (PTO-875)	6606 bytes	◆ PASS

Training
Training Guides are provided on the USPTO EFS-Web page. Self-paced Computer Based Training is available 24 x 7 in various file formats, including Windows Media, Real Media, PowerPoint and PDF files.