

Instructions for Information Disclosure Statement

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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1. Form-Fillable Instructions

Overview

USPTO fill-in PDF forms use the features provided with Adobe Acrobat products. There is some validation of the information you enter but you are still responsible for entering all required information (instructions may require some information to be handwritten on the form).

Versioning of the RCE form

EFS-Web 1.1 will only accept version 2.0 and above of the [IDS form](#).

Software Requirements

To view, complete and print USPTO fill-in PDF forms you will need the free [Adobe Reader](#) software installed on your computer. Version 7.0.8 or later of Adobe Reader is required.

Opening the Form

Your web browser may be configured with an Adobe Reader plug-in to automatically open the file within your browser's window upon download. To download the file directly to disk, right click the form title link then select "Save Target/Link As..." from the menu. Use Adobe Reader to open the file.

Completing the Form

When positioning the cursor on a fill-in area or element, the cursor will change appearance. The I-beam pointer allows you to type text. The hand pointer allows you to select a check box or radio button.

Enter the appropriate data in each box or field. To move from one field to the next, press the Tab key. You can also use your cursor to move from field to field. Place your cursor in the field you want to fill in, then left-click.

Some fields limit the maximum number of characters you can enter and may automatically advance to the next field.

For additional help with fill-in forms, see the Adobe Reader's online help information.

Tips:

- Use the latest version of Adobe Reader in order to ensure the form's full functionality
- Save a copy of your work to avoid loss
- The USPTO is only accepting certain types of applications electronically. Visit www.uspto.gov for more details

2. Detailed Form Instructions by Field

Information Disclosure Statement Header:

Application Number	Enter the US Application number you wish to file the Information Disclosure Statement against, for example 99999999 or 09999999
Filing Date	Enter the filing date of the US Application number with which you are filing the Information Disclosure Statement.
First Named Inventor	Enter the Last Name of the first named inventor. If the name is more than 50 characters in length. Characters beyond the 50th will be truncated in USPTO internal systems
Art Unit	Enter the Art Unit location if known.
Examiner Name	Enter the name of the examiner assigned, if known or likely to be assigned to the corresponding patent application.
Attorney Docket Number	Enter the Attorney Docket Number. The text format is alpha numeric.

U.S. Patents:

Examiner Initial	When the examiner processes the form, he or she will initial this box if they accept the citation. For USPTO action only.
Cite Number	This number is self-incrementing; as you add more citations, this number will increase by one to a maximum of 50. When U.S. Patent Application Publications are also listed, the maximum combined total is 50. For USPTO action only.
Patent Number	Enter the Patent Number to be cited, example is 9999999 or 09999999
Kind	Enter the Kind code of the patent number if known. WIPO Standard ST. 16 codes (kind codes) include a letter, and in many cases a number, used to distinguish the kind of patent document (e.g., publication of an application for a utility patent (patent application publication), patent, plant patent application publication, plant patent, or design patent) and the level of publication (e.g., first publication, second publication, or corrected publication).
Issue Date	Enter the date of Issue for the cited patent.
Name of Patentee or Applicant of cited Document	Enter the Last Name of the first named inventor of the cited patent. If the name is more than 50 characters in length characters beyond the 50th will be truncated in USPTO internal systems
Pages, Columns, Lines where relevant passages or relevant figures appear.	Enter any relevant information of the cited patent regarding Page Number, Column Location or Line Number where the Relevant Passages or Figures appear.
Remove	Selecting the DELETE button will delete the last U.S. Patent Citation row of data.
Add	Selecting the ADD button will add additional U.S. Patent Citation data fields.

U.S. Patent Application Publications

Examiner Initial	When the examiner processes the form, he or she will initial this box if they accept the citation. For USPTO action only.
Cite Number	This number is self-incrementing; as you add more citations, this number will increase by one to a maximum of 50. When U.S. Patents are also listed, are also listed, the maximum combined total is 50. For USPTO action only.
Publication Number	Enter the Publication Number to be cited, example is YYYY9999999
Kind	Enter the Kind code of the patent number if known. WIPO Standard ST. 16 codes (kind codes) include a letter, and in many cases a number, used to distinguish the kind of patent document (e.g., publication of an application for a utility patent (patent application publication), patent, plant patent application publication, plant patent, or design patent) and the level of publication (e.g., first publication, second publication, or corrected publication).

Publication Date	Enter the date of Publication for the cited application.
Name of Patentee or Applicant of cited Document	Enter the Last Name of the first named inventor of the cited patent. If the name is more than 50 characters in length characters beyond the 50th will be truncated in USPTO internal systems
Pages, Columns, Lines where relevant passages or relevant figures appear.	Enter any relevant information of the cited patent regarding Page Number, Column Location or Line Number where the Relevant Passages or Figures appear.
Remove	Selecting the DELETE button will delete the selected U.S. Patent Citation row of data.
Add	Selecting the ADD button will add additional U.S. Patent Citation data fields.

Foreign Patent Documents:

Examiner Initial	When the examiner processes the form, he or she will initial this box if they accept the citation. For USPTO action only.
Cite Number	This number is self-incrementing; as you add more citations, this number will increase by one to a maximum of 50. For USPTO action only.
Foreign Document Number	Enter up to 17 characters alpha numeric of the Foreign Document Number.
Country Code	See the attached WIPO ST.3 Table for the correct 2 digit code.
Kind	See the attached WIPO ST.16 Kind Code Table
Publication Date	Date of Publication of the Foreign Patent Document
Name of Patentee or Applicant of cited Document	If known, enter the Last Name of the Inventor of the cited Foreign Patent Document
Pages, Columns, Lines where relevant passages or relevant figures appear.	List the page, column or line number of the relevant text or figures of the cited Foreign Patent Document.
T	Check the box if an English translation of the Foreign Patent Document is attached to the IDS submission
Remove	Selecting the DELETE button will delete the bottom Foreign Patent Document Citation row of data.
Add	Selecting the ADD button will Add an additional row of data for Foreign Patent Document citation.

Non-Patent Literature Documents:

Examiner Initial	When the examiner processes the form, he or she will initial this box if they accept the citation. USPTO internal action only.
Cite Number	This number is self-incrementing; as you add more citations, this number will increase by one to a maximum of 50. USPTO internal action only.
Name of the author, title of the article, title of the item, publisher, city and or country where published.	If known, enter the Last Name of the author, the title of the article or item, the publisher, city and or country of publication.
T	Check the box if an English translation of the Non-Patent Literature is attached to the IDS submission
Remove	Selecting the DELETE button will delete the bottom citation row of Non-Patent Literature.
Add	Selecting the ADD button will Add an additional citation row of data for Non-Patent Literature.

Certification Statement

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.	Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):
That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.	Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):
See attached certification statement.	Select this box if the eFiler intends to submit their own IDS Certification Statement.
Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.	Select this box for an Information Disclosure Statement under CFR 37 1.97(c) or 1.97 (d) or a submission under CFR 1.37 1.99:
None	Select this box if none of the selections apply.

Signature

Signature	Enter the electronic signature of the individual signing the Information Disclosure Statement. An example would be /John Q Public/ See 37CFR 1.4d(3)
Date	Enter the date of submission of the Information Disclosure Statement.
Name/Print	Type or write the name of the individual submitting the Information Disclosure Statement.
Registration Number	Enter the Registration Number of the U.S. Patent Practitioner who is submitting the Information Disclosure Statement.
Remove	Selecting the DELETE button will delete the bottom citation row of Non-Patent Literature.
Add	Selecting the ADD button will Add an additional citation row of data for Non-Patent Literature.

3. WIPO ST.3 Table

COUNTRY	CODE
ANDORRA	AD
UNITED ARAB EMIRATES	AE
AFGHANISTAN	AF
ALGERIA	DZ
ANTIGUA AND BARBUDA	AG
ANGUILLA	AI
ARMENIA	AM
ALBANIA	AL
NETHERLANDS ANTILLES	AN
ANGOLA	AO
AFRICAN REGIONAL INDUSTRIAL PROPERTY ORGANIZATION (ARIPO)	AP
ARGENTINA	AR
AUSTRALIA	AU
ARUBA	AW
AZERBAIJAN	AZ
BANGLADESH	BD
BOSNIA AND HERZEGOVINA	BA
BAHRAIN	BH
BARBADOS	BB
BELGIUM	BE
BULGARIA	BG
BHUTAN	BT
BURUNDI	BI
BERMUDA	BM
BRUNEI DARUSSALAM	BN
BOLIVIA	BO
BRAZIL	BR
BAHAMAS	BS
BOTSWANA	BW
MYANMAR	MM
BOUVET ISLAND	BV
BENELUX TRADEMARK OFFICE (BBDM) AND BENELUX DESIGNS OFFICE (BBDM)	BX
BELARUS	BY
BELIZE	BZ
CANADA	CA
DEMOCRATIC REPUBLIC OF THE CONGO	CD
CHILE	CL
CONGO	CG
SWITZERLAND	CH
COTE D'IVOIRE	CI
COOK ISLANDS	CK

SRI LANKA	LK
COLOMBIA	CO
COSTA RICA	CR
CUBA	CU
HOLY SEE	VA
CAPE VERDE	CV
CYPRUS	CY
CZECH REPUBLIC	CZ
BENIN	BJ
DJIBOUTI	DJ
DENMARK	DK
DOMINICA	DM
DOMINICAN REPUBLIC	DO
GERMANY	DE
ETHIOPIA	ET
EURASIAN PATENT ORGANIZATION (EAPO)	EA
ECUADOR	EC
ESTONIA	EE
WESTERN SAHARA	EH
IRELAND	IE
EUROPEAN (EU) OFFICE FOR HARMONIZATION IN THE INTERNAL MARKET (OHIM)	EM
EUROPEAN PATENT OFFICE (EPO)	EP
ERITREA	ER
SPAIN	ES
EGYPT	EG
FIJI	FJ
FALKLAND ISLANDS (MALVINAS)	FK
LIECHTENSTEIN	LI
FAROE ISLANDS	FO
FRANCE	FR
GABON	GA
UNITED KINGDOM	GB
PATENT OFFICE OF THE COOPERATION COUNCIL FOR THE ARAB STATES OF THE GULF (GCC)	GC
GRENADA	GD
GAMBIA	GM
GEORGIA	GE
GHANA	GH
GUINEA	GN
GIBRALTAR	GI
GREENLAND	GL
EQUATORIAL GUINEA	GQ

GREECE	GR
SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS	GS
GUATEMALA	GT
GUINEA-BISSAU	GW
GUYANA	GY
HAITI	HT
THE HONG KONG SPECIAL ADMINISTRATIVE REGION OF THE PEOPLE'S REPUBLIC OF CHINA	HK
HONDURAS	HN
CROATIA	HR
HUNGARY	HU
INTERNATIONAL BUREAU OF THE WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO)	IB
INDONESIA	ID
ISRAEL	IL
INDIA	IN
IRAQ	IQ
IRAN, ISLAMIC REPUBLIC OF	IR
ICELAND	IS
ITALY	IT
JAPAN	JP
JAMAICA	JM
JORDAN	JO
CAMEROON	CM
KENYA	KE
KYRGYZSTAN	KG
KIRIBATI	KI
COMOROS	KM
DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA	KP
SAINT KITTS AND NEVIS	KN
REPUBLIC OF KOREA	KR
KUWAIT	KW
CAYMAN ISLANDS	KY
KAZAKHSTAN	KZ
LAOS	LA
LEBANON	LB
SAINT LUCIA	LC
LIBERIA	LR
LESOTHO	LS
LITHUANIA	LT
LUXEMBOURG	LU
LATVIA	LV
LIBYA	LY
MOROCCO	MA
MONACO	MC
MADAGASCAR	MG

REPUBLIC OF MOLDOVA	MD
MALI	ML
THE FORMER YUGOSLAV REPUBLIC OF MACEDONIA	MK
MALTA	MT
MONGOLIA	MN
MACAU	MO
NORTHERN MARIANA ISLANDS	MP
MAURITIUS	MU
MONTSERRAT	MS
MAURITANIA	MR
OMAN	OM
MALDIVES	MV
MALAWI	MW
MEXICO	MX
MALAYSIA	MY
MOZAMBIQUE	MZ
NICARAGUA	NI
NAMIBIA	NA
NIGER	NE
NETHERLANDS	NL
NORWAY	NO
NEPAL	NP
NAURU	NR
NEW ZEALAND	NZ
AFRICAN INTELLECTUAL PROPERTY ORGANIZATION (OAPI)	OA
AUSTRIA	AT
PERU	PE
PARAGUAY	PY
PHILIPPINES	PH
PAKISTAN	PK
PANAMA	PA
POLAND	PL
PAPUA NEW GUINEA	PG
PORTUGAL	PT
PALAU	PW
QATAR	QA
CHINA	CN
ROMANIA	RO
RUSSIAN FEDERATION	RU
RWANDA	RW
SAUDI ARABIA	SA
SOLOMON ISLANDS	SB
SEYCHELLES	SC
SUDAN	SD
FINLAND	FI

SINGAPORE	SG
SAINT HELENA	SH
SLOVENIA	SI
SLOVAKIA	SK
EL SALVADOR	SV
SAN MARINO	SM
SENEGAL	SN
SOMALIA	SO
SYRIA	SY
SURINAME	SR
SAO TOME AND PRINCIPE	ST
SWEDEN	SE
SWAZILAND	SZ
UNITED REPUBLIC OF TANZANIA	TZ
TURKS AND CAICOS ISLANDS	TC
TRINIDAD AND TOBAGO	TT
THAILAND	TH
TONGA	TO
TAJIKISTAN	TJ
TURKMENISTAN	TM
TUNISIA	TN
TOGO	TG
EAST TIMOR	TP
TURKEY	TR
CHAD	TD
TUVALU	TV
TAIWAN	TW
UKRAINE	UA
UGANDA	UG
UNITED STATES OF AMERICA	US
BURKINA FASO	BF
URUGUAY	UY
UZBEKISTAN	UZ
SAINT VINCENT AND THE GRENADINES	VC
VENEZUELA	VE
VIRGIN ISLANDS, BRITISH	VG
VIET NAM	VN
VANUATU	VU
SIERRA LEONE	SL
NIGERIA	NG
WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO) (INTERNATIONAL BUREAU OF)	WO
SAMOA	WS
YUGOSLAVIA	YU
SOUTH AFRICA	ZA
ZAMBIA	ZM

CENTRAL AFRICAN REPUBLIC	CF
CAMBODIA	KH
ZIMBABWE	ZW
YEMEN	YE
EUROPEAN (EU) COMMUNITY PLANT VARIETY OFFICE (CPVO)	QZ

WIPO ST.16 Kind Codes

Summary of USPTO Kind Codes Used on Documents Published Beginning January 2, 2001		
WIPO ST.16 Kind Codes	Kind of document	Comments
A1	Patent Application Publication	Pre-grant publication available March 2001
A2	Patent Application Publication (Republication)	Pre-grant publication available March 2001
A9	Patent Application Publication (Corrected Publication)	Pre-grant publication available March 2001
B1	Patent	No previously published pre-grant publication
B2	Patent	Having a previously published pre-grant publication and available March 2001
C1, C2, C3...	Reexamination Certificate	Previously used codes B1 and B2 are now used for granted Patents
E	Reissue Patent	No change
H	Statutory Invention Registration (SIR)	No change
P1	Plant Patent Application Publication	Pre-grant publication available March 2001
P2	Plant Patent	No previously published pre-grant publication
P3	Plant Patent	Having a previously published pre-grant publication and available March 2001
P4	Plant Patent Application Publication (Republication)	Pre-grant publication available after March 2001
P9	Plant Patent Application Publication (Corrected Publication)	Pre-grant publication available March 2001
S	Design Patent	No change