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(Also referred to as FORM PTO-XXXX)

## REQUEST FOR SUPPLEMENTAL EXAMINATION TRANSMITTAL FORM

Address to:  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

**Attorney Docket No.:**

**Date:**

1.  This is a request for supplemental examination pursuant to 37 CFR 1.610 of patent number \_\_\_\_\_ issued \_\_\_\_\_, of which the first-named inventor is \_\_\_\_\_.
2.  Supplemental examination of claim(s) \_\_\_\_\_ is requested.
3.  a. A cover sheet itemizing each component of the request (e.g., certificate of mailing (if on a separate sheet), transmittal form, request, and every document submitted as part of the request) is included. 37 CFR 1.610(b)(1).  
 b. A table of contents for the request is included. 37 CFR 1.610(b)(2).
4.  a. A check in the amount of \$ \_\_\_\_\_ is enclosed to cover the fee for processing and treating a request for supplemental examination, the fee for reexamination ordered under 35 USC 257, and the fee for processing and treating each non-patent document over 20 sheets in length (37 CFR 1.20(k)(1 - 3));  
 b. The Director is hereby authorized to charge all applicable fees as set forth in 37 CFR 1.20(k)(1 - 3) to Deposit Account No. \_\_\_\_\_; or  
 c. Payment by credit card. Form PTO-2038 is attached. 37 CFR 1.610(a).
5.  Any refund should be made by  check or  credit to Deposit Account No. \_\_\_\_\_. 37 CFR 1.26(c). If payment is made by credit card, refund must be to the credit card account.
6.  A copy of the patent for which supplemental examination is requested is included. 37 CFR 1.610(b)(9).
7.  CD-ROM or CD-R in duplicate, Computer Program (Appendix) or large table  
 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 (2 copies) or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying the identity of above copies
9.  A copy of any disclaimer, certificate of correction, certificate of extension, supplemental examination certificate, reexamination certificate, *inter partes* review certificate, or post grant review certificate that has been issued for the patent is included. 37 CFR 1.610(b)(9).
10.  A copy of every item of information relied upon is submitted herewith including a listing thereof in Part B of this form. **Also included is a statement including an identification and explanation of each submitted item of information that was not considered, was inadequately considered, or was incorrect pursuant to 37 CFR 1.610(b)(4).**
11.  An English language translation of all necessary and pertinent parts of each non-English language item of information is included. 37 CFR 1.610(b)(10).

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This collection of information is required by 37 CFR 1.610. 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 18 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.



16. Correspondence Address: Please recognize, or change, the correspondence address for the file of the above-identified patent **and** for the supplemental examination proceeding to be:

<input type="checkbox"/> The address associated with Customer Number:	<input type="text"/>	<b>OR</b>
<input type="checkbox"/> Firm or Individual Name		

Address

City	State	Zip
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Country
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Telephone	Email
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17.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

_____	_____
Authorized Signature	Date
_____	_____
Typed/Printed Name	Registration No.

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## REQUEST FOR SUPPLEMENTAL EXAMINATION TRANSMITTAL FORM PART B – LIST OF ITEMS OF INFORMATION

Patent number for which supplemental examination is requested \_\_\_\_\_ Issue Date \_\_\_\_\_

All items of information submitted herewith as part of this request for supplemental examination of the above-identified patent are included in the following list:

	<p style="text-align: center;"><b>Document Description</b></p> <p><small>If a U.S. patent or patent application publication, include patent number, kind code (see MPEP 901.04), and name of patentee or applicant of cited document. If a foreign or international patent or patent application publication, include country code (WIPO Standard ST 3), number, kind code (WIPO Standard ST 18 if possible), and number of patentee or applicant of cited document. For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. If non-patent literature, include, where available, name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. If a court document, identify the specific court, the designation (case citation or numeric designation), the title of the document, and the date submitted in court. For all other materials, include title (if available), author (if applicable), any date shown on document (if not a publication date), and any other descriptive information that would identify the document.</small></p>	<p style="text-align: center;"><b>Publication Date</b> MM-DD-YYYY (if applicable)</p>	<p style="text-align: center;"><b>Translation Attached</b></p>	<p style="text-align: center;"><b>Summary under §1.910(b)(11) Attached</b></p>
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## Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.