

Customer Number:

XXXXXX

< Enter six digit Customer Number

Customer Number Upload Spreadsheet

NOTE: Bold X's indicate where data is entered. You can enter data for each application or patent starting on line 16. Insert as many additional rows as required immediately below row 16 in order to add more application or patent updates. Do not skip rows between entries.

XXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXX

Rows 3 through 9 are for entering customer address.
Note: Customer Number and address are only displayed on page one.

Patent Number (7 Digits w/o ",")	Application Number (8 digit w/o "/" or ",")	Associate Correspondence Address to CN? yes/no	Associate Maintenance Fee Address to CN? yes/no
XXXXXXX	XXXXXXXX	YES or NO	YES or NO

A "YES" in column 'C' (cell C16) will change the Correspondence Address to the Customer Number on the spreadsheet AND allow access to Private PAIR.
A "YES" in column 'D' (cell D16) will set the Maintenance Fee Address to the upload Customer Number. There must be at least one "YES" answered for each listed application or patent number. A "NO" will leave the respective address the same.

Save as an Excel (.XLS) spreadsheet. Do not make separate files for each attorney.
Enter patented Designs as: **DXXXXXX**. Enter Reissues as: **REXXXXX**.
Do not use slashes or commas when entering patent numbers and/or application numbers.
(No Reexamination Proceedings (35 or 35 Series numbers), or PCT International Applications may be listed on this spreadsheet.)

Customer number uploads **MUST** be submitted via diskette or CD accompanied by a cover letter signed by the inventor, or one or more attorney or agent of record in each application or patent listed on the spreadsheet. If the attorney or agent of record in each of the applications is not known, then more than one attorney, agent or person granted limited recognition may sign the cover sheet so that at least one signer is of record in the listed applications.

Mail your diskette/CD to:

**Mail Stop EBC
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**

Submission requirements are set forth in the Official Gazette dated January 7, 1997 on page 1194 OG 4.

The USPTO will enter a change in correspondence or fee address in a listed application or patent only when at least one of the following identifiers are provided and the authorizing signature on the cover letter is valid.

1. the patent number
2. the application number

For questions please contact the Electronic Business Center Help Desk at (866) 217-9197 or by e-mail to ebc@uspto

Upload Instruction Sheet:

The Customer Number uploads **MUST** be submitted via **diskette or CD accompanied by a cover letter** (see sample cover letter) signed by someone who, for each application or patent listed on the attached spreadsheet, is either: (1) the inventor, (2) a person granted limited recognition, or (3) an attorney or agent of record in each of the applications listed on the spreadsheet. Mail your diskette or CD to:

**Mail Stop EBC
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**

We cannot currently accept PCT international applications or Reexamination Proceedings (90 or 95 series cases) in this program.

Do not use slashes or commas when entering patent numbers and/or application numbers.

Submission requirements are set forth in the Official Gazette dated January 7, 1997 on page 1194 OG 4.

The USPTO will enter a change in correspondence address or fee address in a listed application or patent only when one of below listed identifiers is valid and the authorizing signature is either the inventor or attorney of record in each of the listed applications.

1. the **patent number**;
2. the **application number**;

Authorization to communicate via e-mail should be provided on the cover letter to expedite processing.

For questions please contact the Electronic Business Center Help Desk at toll free (866) 217-9197 or by e-mail at EBC@uspto.gov (questions only).

What happens after USPTO receives the disk?

1. USPTO will check to see that your Customer Number(s) is/are on file.

Remember, for each application you can designate a different Customer Number for (1) the correspondence address and/or (2) the fee address, or one number can be used for both. You must apply for your customer numbers before submitting this disk.

2. After confirmation of a valid customer number(s), we check for two criteria: data validity (correct application and /or patent number) and signature authorization. Applications that pass the two checks are uploaded. A subsequent upload report is generated and will be forwarded to you. Those applications that fail either test are listed in an error report and will also be forwarded to you. Ensure that the person(s) signing the batch update request is either the pro se inventor, a person granted limited recognition, or a registered attorney or agent of record in each application on the spreadsheet. Any discrepancies will be sent to you in the error report.

3. Change of address letters will be generated for each application number and/or patent number accepted. Acceptance occurs if the number(s) match those in our database, and the person signing the batch update request has authority to change the address data for the application. The letters are filed in the application or patented file with the new Customer Number annotated on the file jacket or image file wrapper. Copies of the letter are not mailed to the applicant or patentee.

4. Review the two reports (Error and Upload). The Error Report lists application and/or patent numbers not updated for failing the system audits. Review the information provided and make corrections by: waiting for the application to clear OIPE, correct invalid application/patent number(s), provide the proper authorization signature or submit a new POA form to make valid the authorization signature. Once corrected submit either a new upload disk, a separate change of address, or designation of fee address for each application. The Upload Report lists all applications updated to reflect the customer number as designated. **Please review carefully, paying close attention to the "OLD" first line of address printed. If the file is not familiar, it may be that you updated another customer's file with your customer number.**

5. Documents pertaining to Customer Number Uploads are retained for no longer than twelve months after processing of the Customer Number Upload request.

Note that a batch update can no longer be used to change the power of attorney, and any batch update request to change the power of attorney to a customer number has been deleted before processing the change of address request.

For questions please contact the Electronic Business Center Help Desk

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This information is collected under the authority of 35 USC 2. This information is also being collected in conjunction with the provisions of the Government Paperwork Elimination Act. This information will only be used by the U. S. Patent and Trademark Office (USPTO) staff to associate patent(s) and patent application(s) with your customer number, and to assure that the person(s) submitting this information is associated with the patent(s) and/or application(s) in question. Furnishing the information on this form is voluntary, but failure to do so may result in USPTO not processing your request.

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

1. This information may be disclosed to Federal, state, local, or foreign agencies responsible for investigating, prosecuting, enforcing, or implementing laws, contracts, rules, or regulations, if these records indicate a violation or a potential violation of a law or contract. These violations or potential violations can be civil, criminal, or regulatory in nature and can arise from general or particular program statutes or contracts, rules, regulations, or from the necessity of protecting an interest of the Department.
2. A record from this system of records may be disclosed to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a Department decision concerning the assignment, hiring or retention of an individual, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.
3. A record from this system of records may be disclosed in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
4. A record in this system of records may be disclosed to a member of Congress or to a congressional staff member in response to an inquiry of the Congressional office made at the written request of the constituent about whom the record is maintained.
5. A record in this system of records may be disclosed to the Office of Management and Budget in connection with the review of private relief legislation (as set forth in OMB Circular No. A-19) at any stage of the legislative coordination and clearance process as described in the Circular.
6. A record in this system of records may be disclosed to the Department of Justice to determine whether disclosure is required by the Freedom of Information Act (FOIA).
7. The information may be disclosed to the agency contractors, grantees, experts, consultants, or volunteers who have been engaged by the agency to assist in the performance of a service related to this system of records and who have need to have access to the records in order to perform the activity. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 USC 552a(m).
8. The information may be disclosed to the Office of Personnel Management (OPM) for personnel research purposes as a data source for management information, for the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related workforce studies.

 **RETURN TO FORM** 

This information is collected under the authority of 35 USC 2. This information is required to obtain or retain a benefit by the public which is to associate patent(s) and patent application(s) with customer numbers.

Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. The time required to complete this collection of information is estimated at 1.5 hours, including gathering, preparing and submitting the information to the USPTO. Actual 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, P.O.Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.**

Send Customer Number Upload Worksheets via diskettes or CDs and the required cover letter signed by either the inventor, or an attorney or agent with a registration number associated with each application or patent listed to:

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P.O. Box 1450
Alexandria, VA 22313-1450**