

**~COLLECTIVE TRADEMARK/SERVICE MARK APPLICATION  
(15 U.S.C. §§ 1051, 1126(d)&(e))~**

~To the Commissioner for Trademarks~

**<APPLICANT INFORMATION>**

<Name>  
<Street>  
<City>  
<State>  
<Country>  
<Zip/Postal Code>  
<Telephone Number>  
<Fax Number>  
<e-Mail Address>

**<APPLICANT ENTITY INFORMATION>~Select only ONE~**

<Individual: Country of Citizenship>  
<Corporation: State/Country of Incorporation>  
<Partnership: State/Country under which Organized>  
    <Name(s) of General Partner(s) & Citizenship/Incorporation>  
  
<Other Entity Type: Specific Nature of Entity>  
    <State/Country under which Organized>

**<COLLECTIVE TRADEMARK/SERVICE MARK INFORMATION>**

<Mark>  
<Typed Form>                      ~Enter YES, if appropriate~

**<GOODS AND/OR SERVICES>**

*~Applicant requests registration of the above-identified collective mark in the United States Patent and Trademark Office on the Principal Register established by Act of July 5, 1946 (15 U.S.C. §1051 et seq.) for the following goods/services:~*

<International Class Number(s)>  
<Listing of Goods and/or Services> *~List by ascending class and filing basis~*

**<FEE INFORMATION>**

\$375.00 x <Number of Classes> = <Total Filing Fee Paid>

**<FILING BASIS INFORMATION>**

**<Intent to Use: Section 1(b)>** ~Enter YES, if appropriate~

~Applicant has a bona fide intention to exercise legitimate control over the use of the mark in commerce by its members on or in connection with the above-identified goods/services (15 U.S.C. §§1051(b) and 1054).~

**<Use in Commerce: Section 1(a)>** ~Enter YES, if appropriate~

~Applicant is exercising legitimate control over the use of the mark in commerce by its members on or in connection with the above-identified goods/services. (15 U.S.C. §§1051(a) and 1054). The applicant submits one (1) SPECIMEN with this application showing the mark as used by the members in commerce.~

<Date of First Use Anywhere>

<Date of First Use in Commerce>

**<Foreign Priority: Section 44(d)>** ~Enter YES, if appropriate~

~Applicant has a bona fide intention to exercise legitimate control over the use of the mark in commerce by its members on or in connection with the above-identified goods/services (15 U.S.C. §1054), and asserts a claim of priority based upon a foreign application in accordance with 15 U.S.C. §1126(d).~

<Country of Foreign Filing>

<Foreign Application Number>

<Date of Foreign Filing>

**<Foreign Registration: Section 44(e)>** ~Enter YES, if appropriate~

~Applicant has a bona fide intention to exercise legitimate control over the use of the mark in commerce by its members on or in connection with the above-identified goods/services (15 U.S.C. §1054). Applicant must submit the foreign registration certificate or a certified copy of the foreign registration, in accordance with 15 U.S.C. §1126(e).~

<Country of Foreign Registration>

<Foreign Registration Number>

<Foreign Registration Date>

<Foreign Registration Renewal Date>

<Foreign Registration Expiration Date>

**<METHOD OF CONTROL>**

~Applicant controls, or intends to control (if filing under 15 U.S.C. §1051(b)), the use of the mark by members as follows:~

<Method of Control>

**<SIGNATURE AND OTHER INFORMATION>**

~DECLARATION: The undersigned, being hereby warned that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application or any resulting registration, declares that he/she is properly authorized to execute this application on behalf of the applicant; he/she believes the applicant to be the owner of the collective trademark/service mark sought to be registered, or, if the application is being filed under 15 U.S.C. §1051(b), he/she believes applicant to be entitled to exercise legitimate control over use of the mark in commerce; to the best of his/her knowledge and belief no other person, firm, corporation, or association has the right to use the mark in commerce, either in the identical form thereof or in such near resemblance thereto as to be likely, when used on or in connection with the goods/services of such other person, to cause confusion, or to cause mistake, or to deceive; and that all statements made of his/her own knowledge are true; and that all statements made on information and belief are believed to be true.~

~Signature~ \_\_\_\_\_

<Date Signed>

<Name>

<Title>

**<CONTACT INFORMATION>**

<Name>

<Company/Firm Name>

<Street>

<City>

<State>

<Country>

<Zip/Postal Code>

<Telephone Number>

<Fax Number>

<e-Mail Address>

The information collected on this form allows the USPTO to determine whether a mark may be registered on the Principal or Supplemental Register, and provides notice of an applicant's claim of ownership of the mark. Responses to the request for information are required to obtain the benefit of a registration on the Principal register. 15 U.S.C. §1051 et seq. and 37 CFR Part 2. All information collected will be made public. Gathering and providing the information will require an estimated 17 to 23 minutes (depending if the application is based on an intent to use the mark in commerce, use of the mark in commerce, or a foreign application or registration). Please direct comments on the time needed to complete this form, and/or suggestions for reducing this burden to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. Please note that the USPTO may not conduct or sponsor a collection of information using a form that does not display a valid OMB control number.

## LINE-BY-LINE HELP INSTRUCTIONS

In order for the U.S. Patent and Trademark Office (“USPTO”) to accept this Application for filing, all the information requested must be entered in the space provided, unless otherwise indicated. **Note:** *If filing pursuant to §1(a)*, please attach one (1) specimen *for each class* showing the mark as used in commerce on or in connection with any item in the class of listed goods and/or services.

### APPLICANT INFORMATION

**Name:** Enter the full name of the applicant, i.e., the name of the individual, corporation, partnership, or other entity that is seeking registration. If a joint venture organized under a particular business name, enter that name. If joint or multiple applicants, enter the name of each. If a trust, enter the name of the trustee(s). If an estate, enter the name of the executor(s).

**Street:** Enter the street address or rural delivery route where the applicant is located.

**City:** Enter the city and/or foreign area designation where the applicant’s address is located.

**State:** For an applicant residing in the United States, enter the U.S. state in which the applicant’s address is located.

**Country:** Enter the country of the applicant’s address. If the address is outside the United States, the applicant may appoint a “Domestic Representative” on whom notices or process in proceedings affecting the mark may be served.

**Zip/Postal Code:** Enter the applicant’s U.S. zip code or foreign country postal identification code.

**Telephone Number:** Enter the applicant’s telephone number.

**Fax Number:** Enter the applicant’s fax number.

**e-Mail Address:** Enter the applicant’s e-mail address.

### APPLICANT ENTITY INFORMATION

Indicate the applicant’s entity type by entering the appropriate information in the space to the right of the correct entity type. Please note that only one entity type may be selected.

**Individual:** Enter the applicant’s country of citizenship.

**Corporation:** Enter the applicant’s state of incorporation (or the applicant’s country of incorporation if the applicant is a foreign corporation).

**Partnership:** Enter the state under whose laws the partnership is organized (or the country under whose laws the partnership is organized if the partnership is a foreign partnership).

**Name(s) of General Partner(s) & Citizenship/Incorporation:** Enter the names and citizenship of any general partners who are individuals, and/or the names and state or (foreign) country of incorporation of any general partners that are corporations, and/or the names and states or (foreign) countries of organization of any general partners that are themselves partnerships. If the applicant is a limited partnership, then only the names and citizenship or state or country of organization or incorporation of the general partners need be provided.

**Other Entity Type:** Enter a brief description of the applicant’s entity type (e.g., joint or multiple applicants, joint venture, limited liability company, association, Indian Nation, state or local agency, trust, estate). The following sets forth the information required with respect to the most common types of “other” entities:

For *joint or multiple applicants*, enter the name and entity type of each joint applicant. Also, enter the citizenship of those joint applicants who are individuals, and/or the state or (foreign) country of incorporation of those joint applicants that are corporations, and/or the state or (foreign) country of organization (and the names and citizenship of the partners) of those joint applicants that are partnerships. The information regarding each applicant should be preceded by a separate heading tag (<APPLICANT INFORMATION>).

For *sole proprietorship*, enter the name and citizenship of the sole proprietor, and indicate the state where the sole proprietorship is organized.

For *joint venture*, enter the name and entity type of each entity participating in the joint venture. Also, enter the citizenship of those joint venture participants who are individuals, and/or the state or (foreign) country of incorporation of those joint venture participants that are corporations, and/or the state or (foreign) country of organization (and the names and citizenship of the partners) of those joint venture participants that are partnerships. The information regarding each entity should be preceded by a separate heading tag (<APPLICANT INFORMATION>).

For *limited liability company or association*, enter the state or (foreign) country under whose laws the entity is established.

For *state or local agency*, enter the name of the agency and the state and/or locale of the agency (e.g., Maryland State Lottery Agency, an agency of the State of Maryland).

For *trusts*, identify the trustees and the trust itself, using the following format: The Trustees of the XYZ Trust, a California trust, the trustees comprising John Doe, a U.S. citizen, and the ABC Corp., a Delaware corporation. (Please note that the trustees, and not the trust itself, must be identified as the applicant in the portion of the application designated for naming the applicant).

For *estates*, identify the executors and the estate itself using the following format: The Executors of the John Smith estate, a New York estate, the executors comprising Mary Smith and John Smith, U.S. citizens. (Please note that the executors, and not the estate itself, must be identified as the applicant in the portion of the application designated for naming the applicant).

**State/Country under which Organized:** Enter the state or country under whose laws the entity is organized.

#### **COLLECTIVE TRADEMARK/SERVICE MARK INFORMATION**

**Mark:** A mark may consist of words alone, a design or logo, or a combination of words and a design or logo. However, an application may consist of only one mark; separate marks must be filed in separate applications. In this space, enter the word mark in typed form (e.g., THE CAT'S MEOW); or, in the case of a non-word mark or a combination mark, a brief description of the mark (e.g., Design of a fanciful cat or Design of a fanciful cat combined with THE CAT'S MEOW). Do NOT include quotation marks around the mark itself, unless the mark actually features these quotation marks. Also, do NOT include any information related to a "pseudo mark" in this field. The "pseudo mark" field is controlled by the USPTO, and is not something that you should try to enter. If the USPTO determines that a pseudo mark is necessary for your particular mark, it will enter this information in the search system.

**Typed Form:** Enter "YES" if the collective mark applied for is shown in a typed drawing format (i.e., if the mark consists of only typed words, letters or numbers, and does not include a design). Please note that a registration for a mark based on a typed drawing affords protection not only for the typed version of the mark, but for all other renderings of the mark as long as those renderings do not contain any design elements. For a drawing in stylized form or design, a special form drawing must be submitted. The drawing should be in black and white.

#### **GOODS AND/OR SERVICES**

**International Class Number(s):** Enter the international class number(s) of the goods and/or services associated with the mark.

**Listing of Goods and/or Services, by Class:** Enter the specific goods and/or services associated with the mark. For multiple-class applications, the goods and/or services should be listed in ascending numerical class order. If the applicant is relying on more than one filing basis, the specific basis should be set forth, followed by the goods and/or services that the particular basis covers. For example:

Class 25: 1(b): shirts, pants; 1(a): shoes; Class 30: 1(b): cookies; 1(a): ice cream

## FEE INFORMATION

**Number of Classes:** Enter the number of classes (e.g., "1" or "3") for which applicant seeks registration.

**Total Filing Fee Paid:** Enter the fee amount that is enclosed (either in the form of a check or money order in U.S. currency, made payable to "Commissioner of Patents and Trademarks"), or that is to be charged to a USPTO deposit account. Please note that the filing fee is \$375.00 per class of goods or services listed, and at least \$375.00 must accompany the application in order for a filing date to be assigned.

## FILING BASIS INFORMATION

**Intent to Use:** Section 1(b): Enter "YES" if the applicant does not yet exercise control over its members' use of the mark in commerce but has a bona fide intention to exercise such control.

**Use in Commerce:** Section 1(a): Enter "YES" if the applicant is actually exercising legitimate control over its members' use of the mark in commerce.

**Specimens:** The applicant must submit one (1) specimen showing the mark as used by the members in commerce on or in connection with any item listed in the description of goods and/or services. Examples of acceptable specimens are tags or labels for goods, and advertisements for services. If the goods and/or services are classified in more than one international class, a specimen must be provided showing the mark used on or in connection with at least one item from each of these classes. The specimen must be flat and no larger than 8½ inches (21.6 cm.) wide by 11.69 inches (29.7 cm.) long.

**Date of First Use Anywhere:** Enter the date on which the goods were first sold or transported or the services first rendered under the mark if such use was in the ordinary course of trade. For every applicant, whether foreign or domestic, the date of first use of a mark is the date of the first such use *anywhere*, in the United States or elsewhere. Please note this date may be earlier than, or the same as, the date of the first use of the mark in commerce.

**Date of First Use in Commerce:** Enter the date on which members of the applicant first used the mark in commerce, i.e., in interstate commerce, territorial commerce, or commerce between the United States and a foreign country.

**Foreign Priority:** Section 44(d): Enter "YES" if applicant is filing the application within six months of filing the first foreign application to register the mark in a defined treaty country.

**Country of Foreign Filing:** Enter the country in which the foreign application upon which the applicant is asserting a claim of priority has been filed.

**Foreign Application Number:** Enter the foreign application serial number, if available.

**Filing Date of Foreign Application:** Enter the date (two digits each for both the month and day, and four digits for the year) on which the foreign application was filed. To receive a priority filing date, the applicant must file the United States application within six months of filing the first foreign application in a defined treaty country.

**Foreign Registration:** Section 44(e): Enter "YES" if applicant is relying on a foreign registration certificate or a certified copy of a foreign registration currently in force. Applicant must submit this foreign registration certificate or a certified copy of the foreign registration.

**Country of Foreign Registration:** Enter the country of the foreign registration.

**Foreign Registration Number:** Enter the number of the foreign registration.

**Foreign Registration Date:** Enter the date (two digits each for both the month and day, and four digits for the year) of the foreign registration.

**Foreign Registration Renewal Date:** Enter the date (two digits each for both the month and day, and four digits for the year) of the foreign registration renewal.

**Foreign Registration Expiration Date:** Enter the expiration date (two digits each for both the month and day, and four digits for the year) of the foreign registration.

## **METHOD OF CONTROL**

**Method of Control:** The applicant must specify how it controls, or intends to control (if filing under Section 1(b)), the use of the mark by members. If the applicant's bylaws or other written provisions specify the manner of control, or intended manner of control, it will be sufficient to so state.

## **SIGNATURE AND OTHER INFORMATION**

**Signature:** The appropriate person must personally sign the form. A person who is properly authorized to sign on behalf of the applicant includes a person with legal authority to bind the applicant and/or a person with firsthand knowledge and actual or implied authority to act on behalf of the applicant.

**Date Signed:** Enter the date (two digits each for both the month and day, and four digits for the year) on which the application is signed.

**Name:** Enter the name of the person signing the application.

**Title:** Enter the signatory's position, if applicable, e.g., Vice President, General Partner. Or, if appropriate, enter the language "Duly Authorized Officer."

## **CONTACT INFORMATION**

Although this may be the same as provided elsewhere in the document, please enter the following required information for where the USPTO should mail correspondence.

**Name:** Enter the full name of the contact person.

**Company/Firm Name:** Enter the name of the contact person's company or firm.

**Street:** Enter the street address or rural delivery route where the contact person is located.

**City:** Enter the city and/or foreign area designation where the contact person's address is located.

**State:** Enter the U.S. state or Canadian province in which the contact person's address is located.

**Country:** Enter the country of the contact person's address.

**Zip Code:** Enter the U.S. zip code or Canadian postal code.

**Telephone Number:** Enter the appropriate telephone number.

**Fax Number:** Enter the appropriate fax number, if available.

**e-Mail Address:** Enter the appropriate e-mail address, if available.