

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 _____. 37 CFR 1.610(b)(1).
2. Supplemental examination of claim(s) _____ is requested. 37 CFR 1.610(b)(4).
3. a. The name(s) of the patent owner(s) (**not** the patent practitioner(s)) is (are):

- b. A submission by the patent owner(s) in compliance with 37 CFR 3.73(c), which establishes that the patent owner(s) has (have) the entirety of the ownership in the patent for which supplemental examination is requested, is included. 37 CFR 1.610(b)(9).
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, and a copy of any disclaimer or certificate issued for the patent are included. 37 CFR 1.610(b)(6).
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 list of no more than 12 items of information submitted as part of this request is provided in Part B of this form. Where appropriate, the list must meet the requirements of 37 CFR 1.98(b). 37 CFR 1.605(a), 1.610(b)(2).

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

10. A legible copy of each item of information listed in Part B of this form, and an English language translation of all necessary and pertinent parts of each non-English language item of information are included.

Copies of items of information that form part of the discussion within the body of the request (see 37 CFR 1.605(b)), and copies of U.S. patents and patent application publications, are not required. 37 CFR 1.610(b)(7).

11. A summary of the relevant portions of each non-patent document that is over 50 pages in length (other than the request) is included. The summary includes the required citations to the particular pages containing the relevant portions. 37 CFR 1.610(b)(8).

12. A separate, detailed explanation of the relevance and manner of applying each item of information to each claim of the patent for which supplemental examination is requested, is included. 37 CFR 1.610(b)(5).

13. The below list includes all prior or concurrent post-patent Office proceedings (*ex parte* or *inter partes* reexamination, reissue, supplemental examination, post grant review, or *inter partes* review) involving the patent for which supplemental examination is being requested. 37 CFR 1.610(b)(3). An identifying number may be, e.g., a control no. or reissue application no. Any prior or concurrent post-patent Office proceedings not listed below are listed on a separate paper accompanying the request.

Type of Proceeding	Identifying Number	Filing Date

See accompanying paper for a list of additional prior or concurrent post-patent Office proceedings involving the patent for which supplemental examination is requested. The paper should be a separate sheet titled "List of Prior or Concurrent Post-Patent Office Proceedings" and must provide the type, identifying number, and filing date of the post-patent Office proceeding.

14. Correspondence Address: Please recognize, or change, the correspondence address for the file of the patent for which supplemental examination is requested **and** for the supplemental examination proceeding to be:

The address associated with Customer Number: OR

Firm or Individual Name

Address

City	State	Zip
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Country

Telephone	Email
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15. **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.

(Also referred to as FORM PTO-XXXX)

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PART B – LIST OF ITEMS OF INFORMATION – Page 1**

Patent number for which supplemental examination is requested _____ Issue Date _____

All items of information (no more than 12) submitted herewith as part of this request for supplemental examination of the above-identified patent are included in the following list:

U. S. PATENT DOCUMENTS

Cite No. ¹	Document Number	Publication Date MM-DD- YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	Number-Kind Code ² (if known)			
	US-			
	US-			
	US-			
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FOREIGN PATENT DOCUMENTS

Cite No. ¹	Foreign Patent Document	Publication Date MM-DD- YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ²
	Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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. The United States Patent and Trademark Office (USPTO) collects this information under authority of 37 CFR 1.33. The information in this system of records is used to manage all records of applicant including name, citizenship, residence, post office address and other information with respect to inventors and their legal representatives pertaining to the applicant's activities in connection with the invention for which a patent is sought.

This information is protected from disclosure to third parties in accordance with the Privacy Act. However, routine uses of this information may include disclosure to the following: to law enforcement and investigation in the event that the system of records indicates a violation or potential violation of law; to a Federal, state, local, or international agency, in response to its request; to an agency, organization, or individual for the purpose of performing audit or oversight operations as authorized by law; to non-federal personnel under contract to the agency; to a court for adjudication and litigation; to the Department of Justice for Freedom of Information Act (FOIA) assistance; to members of congress working on behalf of an individual; to the Office of Personnel Management (OPM) for personnel research purposes; to National Archives and Records Administration for inspection of records; and to the Office of Management and Budget (OMB) for legislative coordination and clearance. Failure to provide any part of the requested information may result in an inability to process requests for access and information. The applicable Privacy Act System of Records Notice for this information is COMMERCE/PAT-TM-7 Patent Application Files, available at Federal Register / Vol. 78, No. 61 / Friday, March 29, 2013 /Notices 19243. <https://www.govinfo.gov/content/pkg/FR-2013-03-29/pdf/2013-07341.pdf>