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| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 | | Attorney Docket No. |
| | | U.S. Application No. (if known, see 37 CFR 1.5) |
| International Application No. | International Filing Date | Priority Date Claimed |
| Title of Invention | | |
| First Named Inventor | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information. | | |
| <p>1. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). NOTE: The express request under 35 U.S.C. 371(f) will not be effective unless the requirements under 35 U.S.C. 371(c)(1), (2), and (4) for payment of the basic national fee, copy of the International Application and English translation thereof (if required), and the oath or declaration of the inventor(s) have been received.</p> <p>2. <input type="checkbox"/> A copy of the International Application (35 U.S.C. 371(c)(2)) is attached hereto (not required if the International Application was previously communicated by the International Bureau or was filed in the United States Receiving Office (RO/US)).</p> <p>3. An English language translation of the International Application (35 U.S.C. 371(c)(2))</p> <p>a. <input type="checkbox"/> is attached hereto.</p> <p>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>4. An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4))</p> <p>a. <input type="checkbox"/> is attached.</p> <p>b. <input type="checkbox"/> was previously filed in the international phase under PCT Rule 4.17(iv).</p> | | |
| Items 5 to 8 below concern amendments made in the international phase. | | |
| <u>PCT Article 19 and 34 amendments</u> | | |
| <p>5. <input type="checkbox"/> Amendments to the claims under PCT Article 19 are attached (not required if communicated by the International Bureau) (35 U.S.C. 371(c)(3)).</p> <p>6. <input type="checkbox"/> English translation of the PCT Article 19 amendment is attached (35 U.S.C. 371(c)(3)).</p> <p>7. <input type="checkbox"/> English translation of annexes (Article 19 and/or 34 amendments only) of the International Preliminary Examination Report is attached (35 U.S.C. 371(c)(5)).</p> | | |
| <u>Cancellation of amendments made in the international phase</u> | | |
| <p>8a. <input type="checkbox"/> Do not enter the amendment made in the international phase under PCT Article 19.</p> <p>8b. <input type="checkbox"/> Do not enter the amendment made in the international phase under PCT Article 34.</p> | | |
| NOTE: A proper amendment made in English under Article 19 or 34 will be entered in the U.S. national phase application absent a clear instruction from applicant not to enter the amendment(s). | | |
| The following items 9 to 17 concern a document(s) or information included. | | |
| <p>9. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>10. <input type="checkbox"/> A preliminary amendment.</p> <p>11. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>12. <input type="checkbox"/> A substitute specification. NOTE: A substitute specification cannot include claims. See 37 CFR 1.125(b).</p> <p>13. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>14. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.3 and 37 CFR 1.821-1.825 (not required if sequence listing in text format was indicated on the PCT Request as part of the International Application and the sequence listing was published as part of the international application).</p> <p>15. <input type="checkbox"/> Assignment papers (<i>cover sheet and document(s)</i>). Name of Assignee: _____</p> <p>16. <input type="checkbox"/> 37 CFR 3.73(c) Statement (<i>when there is an Assignee</i>). _____</p> | | |

A Federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with an information collection subject to the requirements of the Paperwork Reduction Act of 1995, unless the information collection has a valid OMB Control Number. The OMB Control Number for this information collection is 0651-0080. Public burden for this form is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information collection. Send comments regarding this burden estimate or any other aspect of this information collection, including suggestions for reducing this burden to the Office of the Chief Administrative Officer, United States Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450 or email InformationCollection@uspto.gov. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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| U.S. APPLN. No. (if known – see 37 CFR 1.5) | INTERNATIONAL APPLICATION No. | ATTORNEY DOCKET No. |
| 17. <input type="checkbox"/> Other items or information: | | |
| The following fees have been submitted. | | CALCULATIONS |
| 18. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a)) \$320 | | \$ |
| 19. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) | | \$ |
| <ul style="list-style-type: none"> • If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 • All other situations \$800 | | \$ |
| 20. <input type="checkbox"/> Search fee (37 CFR 1.492(b)) | | \$ |
| <ul style="list-style-type: none"> • If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 • Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$140 • International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$540 • All other situations \$700 | | \$ |
| TOTAL OF 18, 19, and 20 = | | \$ |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) in an electronic medium or computer program listing in an electronic medium) (37 CFR 1.492(j)). Fee for each additional 50 sheets of paper or fraction thereof \$420 | | \$ |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) |
| - 100 = | / 50 = | x \$420 |
| Surcharge for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h))..... \$160 | | \$ |
| CLAIMS | NUMBER FILED | NUMBER EXTRA |
| Total claims | - 20 = | x \$100 |
| Independent claims | - 3 = | x \$480 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | + \$860 |
| Fee for submission of Sequence Listing text file of 300 MB to 800 MB (37 CFR 1.21(o)(1))..... \$1,060 | | \$ |
| Fee for submission of Sequence Listing text file of more than 800 MB (37 CFR 1.21(o)(2))..... \$10,500 | | \$ |
| Processing fee for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i))..... \$140 + | | \$ |
| TOTAL OF ABOVE CALCULATIONS = | | \$ |
| <input type="checkbox"/> Applicant asserts small entity status. See 37 CFR 1.27. Fees above are reduced by ½. | | |
| <input type="checkbox"/> Applicant certifies micro entity status. See 37 CFR 1.29. Fees above are reduced by ¾. Applicant must attach form PTO/SB/15A or B or equivalent. | | |
| TOTAL NATIONAL FEE = | | \$ |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31)..... \$50.00 per property + | | \$ |
| TOTAL FEES ENCLOSED = | | \$ |

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- a. A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
- c. The Director is hereby authorized to charge additional fees which may be required, or credit any overpayment, to Deposit Account No. _____ as follows:
- i. any required fee.
- ii. any required fee except for excess claims fees required under 37 CFR 1.492(d) and (e) and multiple dependent claim fee required under 37 CFR 1.492(f).
- d. Fees are to be charged to a credit card. **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. The PTO-2038 should only be mailed or faxed to the USPTO. However, when paying the basic national fee, the PTO-2038 may NOT be faxed to the USPTO.

ADVISORY: If filing by EFS-Web, do **NOT** attach the PTO-2038 form as a PDF along with your EFS-Web submission. Please be advised that this is **not** recommended and by doing so your **credit card information may be displayed via PAIR**. To protect your information, it is recommended to pay fees online by using the electronic payment method.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications

- This application (1) claims priority to or the benefit of an application filed before March 16, 2013, and (2) also contains, or contained at any time, a claim to a claimed invention that has an effective filing date on or after March 16, 2013.

NOTE 1: By providing this statement under 37 CFR 1.55 or 1.78, **this application, with a filing date on or after March 16, 2013, will be examined under the first inventor to file provisions of the AIA.**

NOTE 2: A U.S. national stage application may not claim priority to the international application of which it is the national phase. The filing date of a U.S. national stage application is the international filing date. See 35 U.S.C. 363.

Correspondence Address

- The address associated with Customer Number: _____ **OR** Correspondence address below

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|---------|--|-------|--|-----------|--|
| Name | | | | | |
| Address | | | | | |
| City | | State | | Zip Code | |
| Country | | | | Telephone | |
| Email | | | | | |

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|----------------------|--|--|--------------------------------------|--|
| Signature | | | Date | |
| Name (Print/Type) | | | Registration No. (Attorney/Agent) | |

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.