

## EFS-Web Security



EFS-Web is the United States Patent and Trademark Office's (USPTO's) new easy-to-use, web-based patent application and document submission solution. Using EFS-Web, anyone with a web-enabled computer can file patent applications and documents without downloading special software or changing document preparation tools and processes.

### Product Overview

EFS-Web allows anyone with a computer, web browser and Internet connection to file as either an Unregistered or Registered user. While the patent data submitted in either manner is acceptable, there are important security benefits to filing as a Registered user.

Becoming a Registered user provides access to a much deeper level of security than is available through other means, and it can provide an enhanced experience to EFS-Web users.

### Registered and Unregistered Filers

While EFS-Web gives anyone who accesses the site the ability to submit patent applications and documents, as a registered filer you have such added benefits as filing follow-on papers and/or fees and saving the package before submission.

Registering is easy and can be done by submitting a notarized Certificate Action Form to USPTO's Electronic Business Center, which will then issue a Digital Certificate that authenticates your identity. Please allow a few business days for processing of the Certificate Action Forms. It is recommended that you start the process well in advance of your need for a digital certificate.

### Strong Security through Public Key Infrastructure

USPTO provides the highest level of security for registered filers through a security architecture called Public Key Infrastructure (PKI). PKI provides important benefits, including:

- Certainty of the quality of information sent and received electronically
- Certainty of the source and destination of that information
- Assurance of the time and timing of that information (providing the source of time is known)
- Certainty of the privacy of that information
- Assurance that the information may be introduced as evidence in a court or law

### How PKI Works

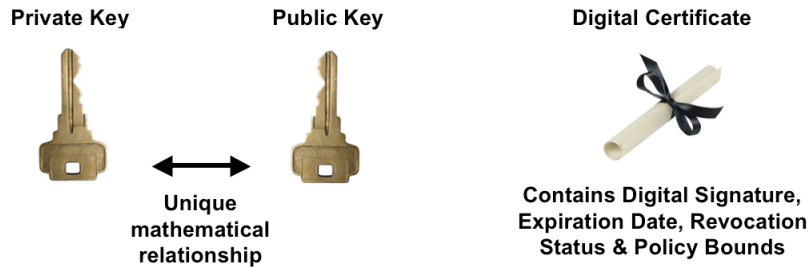
PKI uses a pair of mathematically related cryptographic keys and a digital certificate. If one key is used to encrypt information, then only the related key can decrypt that information.

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If you know one of the keys, you cannot easily calculate what the other one is. As a result, in a 'public key system' you have the following:

- A public key
- A corresponding (and unique) private key
- A digital certificate



A digital certificate is information referring to a public key that has been digitally signed by a Certificate Authority (CA). The information normally found in a certificate conforms to the ITU (IETF) standard X.509 v3. Certificates conforming to that standard include information about the published identity of the owner of the corresponding private key, the key length, the algorithm used, and associated algorithms, dates of validity of the certificate and the actions the key can be used for.

While PKI infrastructure administration can be complex, USPTO eliminates this complexity by managing it for registered EFS-Web users.

### **Becoming a Registered Filer and Obtaining a Digital Certificate**

EFS-Web users wishing to become registered filers can do so easily by filling out on paper a form on USPTO's web site, called a Certificate Action Form. Once the Certificate Action form is filled out, it must be notarized and mailed to USPTO's Electronic Business Center (EBC). The EBC will then request a Digital Certificate from its authorized Certificate Authority (CA), which will generate two access codes, a reference number and an authorization code, that will be used to create the digital certificate. These codes will be delivered separately to the user, one via email and one over the phone. Upon receipt of the access codes, you will need to go to the Digital Certificate Management home page via the USPTO Portal. Once there, click on the 'New User' link and enter the codes received from the Electronic Business Center. Once doing so, you will need to choose a location to save your .epf file and create a username and password. Once completed, your Digital Certificate will be created and ready for use.

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### **Registering for Recovery Codes**

The new Digital Certificate Management system allows users to recover their certificates without having to call the Electronic Business Center. Certificate holders will be able register for a set of seven (7) recovery codes for use in the event a user's profile becomes expired or corrupt. To register, users can go to the Digital Certificate Management home page via the USPTO Portal and click on 'Register for Recovery Codes'. You will then need to browse for your .epf file and enter your password. You will then need to assign your certificate a unique email address and re-enter your password. A set of seven (7) recovery codes will be generated and assigned to your account. You will need to either print or save these codes and keep them in a secure location for future use.

### **Recovering with Recovery Codes**

If at any time your profile becomes expired or corrupt and you have previously registered for recovery codes, you will be able to recover your digital certificate without having to call the Electronic Business Center. To recover your profile using one of your recovery codes, go to the Digital Certificate Management home page via the USPTO Portal and select 'Recover with Codes'. You will be asked to enter your registered email address and one of the recovery codes you have not yet used. Once doing so, your profile will be restored and you will need to select a location for your new certificate to be saved, and assign it a username and password. You can only use each code one (1) time for a total of seven (7) recoveries. After your seventh recovery, you must call the Electronic Business Center for assistance.

### **Update A Registered E-mail Address**

If you wish to update the e-mail address you previously assigned to your certificate when registering for recovery codes, you may do so going to the Digital Certificate Management home page via the USPTO Portal and selecting 'Update Registered E-mail Address'. You will login using your .epf file and password. You will enter one of your recovery codes and will then be able to assign a new email address to your digital certificate account.

### **Patent EBC Assisted Recovery**

If you need to recover your profile and you have not registered for recovery codes, you will need to contact the Electronic Business Center. The EBC will then request a certificate recovery from its authorized Certificate Authority (CA). You will then receive an authorization code via email and a reference number over the phone. You will then need to go to the Digital Certificate Management home page via the USPTO Portal and select 'Patent EBC Assisted Recovery'. You will then follow the same process as a new user by entering your access codes, selecting a location for your .epf file and creating a username and password. Once completed, your Digital Certificate will be created and ready for use.

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### **Support**

Technical support is available through USPTO's Electronic Business Center (EBC) at 866-217-9197 from 6 a.m. to 12 Midnight Eastern Time, Monday – Friday.

### **Training**

Training and EFS-Web QuickStart Guides are provided on the USPTO EFS-Web page. Self-paced Computer Based Training is available 24 x 7 in various file formats, including Windows Media, Real Media, PowerPoint and PDF files.

### **Contact Us Today**

USPTO is committed to assisting the intellectual property community in moving towards electronic submission of all patent applications and documents. For more information on EFS-Web, visit our website at [www.USPTO.gov](http://www.USPTO.gov).