

United States Patent and Trademark Office (USPTO)

Patent e-Commerce

Essentials | Systems | Support



USPTO Patent e-Commerce

Essentials

Customer Number

PKI Security

Digital Certificate Management

Systems

Patent EFS-Web

PAIR

Support

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Patent's Customer Number Program

OVERVIEW

The Customer Number is uniquely assigned by the USPTO and associates a single correspondence address, a group of patent practitioners and/or a fee address with submitted patents and applications. Customer Numbers are also required for online customer access to patent application status information using Private PAIR.

When a customer receives a Customer Number, it is recommended that they associate all pending applications and patents with this number using the Customer Number Upload Spreadsheet and then transmit this information to the USPTO's Patent Electronic Business Center.

Customer Numbers are used in the following areas:

- Links a correspondence address with patent applications
- Links a group of patent practitioners with patents and patent applications
- Links a Maintenance Fee address to published patents
- Permits access to Private PAIR (along with a PKI Digital Certificate)
- Permits access to EFS-Web for retrieving applications in progress and for submitting follow on submissions (along with a PKI Digital Certificate)

ADVANTAGES OF USING A CUSTOMER NUMBER

- Allows the correspondence information of multiple applications to be easily updatable. Instead of mailing a change of correspondence address for each application customers can use the USPTO assigned Customer Number and the Customer Number Update Spreadsheet to expedite the process.
 - Allows registered practitioners, persons granted limited recognition, and independent inventors to be associated with as many Customer Numbers as needed. This option is used to control access to pending application information for organizations with multiple client groups.
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Patent's Customer Number Program

PATENT EBC CUSTOMER SERVICE

The Patent Electronic Business Center (EBC) is the single point of customer contact for all Patent eCommerce initiatives. The Patent EBC customer service center ensures all customer requests and inquiries regarding the Customer Number Program are handled promptly, courteously, and resolved to each customer's satisfaction.

The EBC assists customers in obtaining a customer number. Customer support is available for downloading and submitting the Customer Number Request Form and for downloading the Customer Number Upload Template and submitting the Customer Number Upload spreadsheet file.

To request a Customer Number, please print or download a Customer Number Request form at <http://www.uspto.gov/ebc/portal/infocustomernumber.htm>. Mail the completed form to the Patent Electronic Business Center. To associate your existing applications with a customer number, to update the association and/or to update the contact address information associated with existing applications, please download the Customer Number Upload Template and instructions at the same web address and mail the file to the Patent Electronic Business Center.

Customer Number Program Service Areas:

- Assists customers in obtaining and using a Customer Number.
- Facilitates review of Customer Number request information and issues new Customer Numbers
- Assists customers with questions regarding USPTO Customer Number business rules and provide instruction on downloading and completing Customer Number forms
- Educates customers on the process of associating previously filed applications to an issued Customer Number using the Customer Number Update Template
- Processes Customer Number Update Templates to facilitate address changes to multiple applications and patents
- Facilitates Customer Number data change requests and association of registered practitioners and persons granted limited recognition to Customer Numbers.

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Patent EBC Web site: <http://www.uspto.gov/ebc/index.html>

Public Key Infrastructure

OVERVIEW

The Public Key Infrastructure (PKI) is used by the USPTO to permit e-commerce customer transactions using Public Key Technology (digital certificate) that assures secure user identity.

PKI technology supports e-commerce interaction that maintains:

Confidentiality • Strong Authentication • Integrity

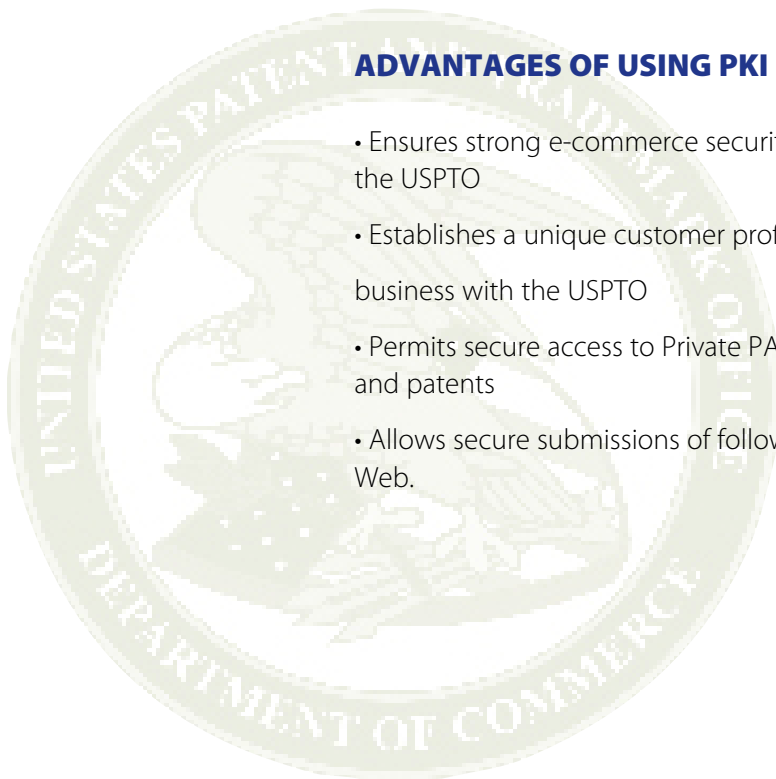
TYPES OF PKI CERTIFICATIONS

The USPTO serves as a Certificate Authority and issues digital certificates to authorized customers. Two types of Certifications are accepted:

- Low-Level Certification allows customers to initially file new utility and provisional patent applications. An email address serves as the low-level certification.
- High Level Certification using PKI Certificates is required to use Private PAIR and EFS-Web. High Level PKI Certificates can only be obtained by independent inventors and registered practitioners.

ADVANTAGES OF USING PKI

- Ensures strong e-commerce security in conducting electronic business transactions with the USPTO
- Establishes a unique customer profile that authorizes users to conduct e-commerce business with the USPTO
- Permits secure access to Private PAIR for status updates on submitted patent applications and patents
- Allows secure submissions of follow-on papers to existing patent applications via EFS-Web.



Public Key Infrastructure

PATENT EBC CUSTOMER SERVICE

The Electronic Business Center (EBC) is the single point of customer contact for all Patent Electronic Products. The Patent EBC customer service center ensures all customer requests and inquiries regarding the Public Key Infrastructure are handled promptly, courteously, and resolved to each customer's satisfaction.

The EBC assists customers in obtaining and using a PKI digital certificate. Customer support is available for downloading and submitting the PKI Certificate Action Form, ensuring prompt USPTO security processing and authorized issuance, and creating a PKI digital user profile.

To request a PKI digital certificate, please download a PKI Certificate Action Form at <http://www.uspto.gov/ebc/digitalcert.htm> and mail the completed form to the EBC.

The completed Certificate Action Form must be submitted to the EBC in its original format and with verification that 1) it has been notarized and has an original signature and 2) all required information is complete. When a certificate is issued, the associated registration number or limited recognition number must be linked with the Customer Number assigned to each applicant.

PKI Service Areas:

- Assists customers with questions and procedures on how to obtain a PKI digital certificate
- Reviews all customer submitted PKI Certificate Action Forms and ensure each request is promptly processed through USPTO security measures prior to authorized issuance
- Assists customers in establishing and using a PKI digital certificate and creating the customer profile needed to access Private PAIR and certain types of EFS submissions
- Troubleshoots customer inquiries regarding use of a PKI digital certificate including recovery/reissue of PKI authorization codes

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Digital Certificate Management

OVERVIEW

Digital Certificate Management allows users to easily self-enroll, maintain and recover their digital certificates all from the USPTO web-based portal.

The system will allow users to:

- Create New User Digital Certificates
- Recover Corrupted User Certificates
- Register for USPTO's new Self-Recovery Codes
- Assign and Manage a registered Email Address

ADVANTAGES OF USING DIGITAL CERTIFICATE MANAGEMENT

Easy to use New Digital Certificate Management is an extension of the USPTO's web-based portal, which allows for easy registration and management of your digital certificate. The USPTO portal now provides a single point of entry for all e-Commerce systems (EFS-Web, Public and Private PAIR, Digital Certificate Management).

Saves Time No longer will you have to call our Patent Electronic Business Center to recover your digital certificate and wait for a set of new registration codes. New Digital Certificate Management will allow users to register for and download a set of seven (7) 'Recovery Codes', which you can use to manually recover a corrupted profile immediately.

Enhanced Security The new recovery code feature allows users to recover their certificate without any interaction with the Patent Electronic Business Center. Users who register their email address with their digital certificate and will be notified each time a recovery occurs.



Digital Certificate Management

PATENT EBC CUSTOMER SERVICE

The Patent Electronic Business Center (EBC) is the single point of customer contact for all Patent Electronic Products. The EBC customer service center ensures all customer requests and inquiries regarding Digital Certificate Management are handled promptly, courteously, and resolved to each customer's satisfaction. Digital Certificate Management is supported by the Self-Administration Server at <https://sas.uspto.gov/ptosas>.

Digital Certificate Management Service Areas:

- Assists customers with questions and procedures on how to use Digital Certificate Management.
- Troubleshoots customer inquiries including accessing and navigating through the system.

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EFS-Web Overview

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 utilizes standard web-based screens and prompts to enable you to submit a portable document format (PDF) document directly to the USPTO within minutes. You choose the tool, process and workflow with which you author your documents; convert them to standard PDF files and then submit them to USPTO's secure servers. EFS-Web is safe, simple and secure and provides an instantaneous electronic receipt that acknowledges the receipt date.

EFS-Web Benefits

EFS-Web brings several important benefits to anyone who needs to submit patent applications or follow-on documents:

EFS-Web is safe. Filings made with EFS-Web provides you with the same legal protection as paper-based filings. You receive an electronic receipt and confirmation, as well as the ability to print the receipt for your records, affirming your receipt date.

EFS-Web is simple. Even the largest and most complex patent applications can be submitted by attaching PDF files and filing our a simple web screens.

EFE-Web is secure. EFS-Web submissions are protected through state-of-the-art security method, including Transport Layer Security (TLS), and if you sign up as a registered filer, Digital Certificates, one of the most secure methods now available.

EFS-Web is fast. In just a few minutes and using a few web screens, you can submit a patent application, pay for your filing, and receive an acknowledge receipt.

EFS-Web is flexible. EFS-Web requires you to make no changes to the tools, processes, or workflows you use to author patent applications and documents. Filing with EFS-Web does not require you to learn how to use new authoring tools.

EFS-Web is forgiving. EFS-Web validates whether the PDF files and dates that you are trying to file can be acceptable before they are submitted. If there is a problem, EFS-Web will tell you why the document can't be submitted – allowing you to take corrective active quickly.

EFS-Web Overview

How EFS-Web Works

EFS-Web is a hosted patent application and document submission solution that is accessible to anyone who has access to a computer and an Internet connection. USPTO operates EFS-Web on its secure servers.

EFS-Web Features

Web Access

A computer, an Internet browser and an Internet connection are your tickets to electronic filing. Users can access EFS-Web by navigating to the www.USPTO.gov website. Under Patents, click File Online in EFS-Web. Then you can choose Registered or Unregistered e-Filer. Once there, you'll be prompted through a series of screens

Filings Accepted

EFS-Web accepts the following types of new applications and requests: Accelerated Exam, Design (Nonprovisional Applications under 35 USC 171), International Applications for filing in the US receiving office, Provisional, Reexam, Reissue, US National Stage applications under 35 USC 371 and Utility (Nonprovisional Applications under 35 USC 111 (a)). Registered eFilers may also file follow-on documents for previously filed applications.

File Formats Accepted

EFS-Web accepts standard PDF documents up to 25 megabytes per file. Most common versions of commercial PDF Writer software work with EFS-Web when properly configured. These include:

- Adobe Acrobat Professional
- ABXPDF Writer (Freeware)
- Open Office (Freeware)
- Easy Office (Ad ware)
- Cute PDF Writer (Freeware)
- PDF Redirect (Freeware)
- PDF 995 (Ad ware)
- Primo PDF (Freeware)

PDF creation software products that are not listed above may not be compatible with EFS-Web and their use may result in document image degradation and /or processing delays. USPTO supports Adobe PDF standards versions 1.1 to 1.6 for PDF creation, and Adobe Acrobat Reader versions 7.0.8, 7.0.9, 8.1.1, and 8.1.2 for USPTO Fillable forms. A detailed listing of PDF guidelines may be found on USPTO's Electronic filing web page.

Registered and Unregistered Filers

While EFS-Web gives anyone who accesses the site the ability to submit patent applications and documents, you can get more benefit from the system as a registered filer, including filing follow-on papers and saving the package before submission. Registering is easy and can be done by submitting paper forms to USPTO's Electronic Business Center, which will then issue a Digital Certificate that authenticates your identity.

EFS-Web Overview

Security

EFS-Web is a secure hosted application irrespective of whether you are a registered or an unregistered filer. If you file as an unregistered filer, your documents will be transmitted using Transport Layer Security (TLS) or Secure Socket Layer (SSL) protocol. If you choose to register, your filings will be conducted under a Public Key Infrastructure system that provides strong authentication and encryption security.

Built-In File Validation

EFS-Web automatically validates files and informs you before submission whether your application meets USPTO standards. If it doesn't meet standards, you'll be notified of the problem so you can take corrective action before final submission.

Online Payment of Fees

EFS-Web allows you to pay filing fees in an e-commerce environment, smoothing the process and allowing you to select the payment option that you desire.

Valid Electronic Receipt

EFS-Web provides an Acknowledgement Receipt that contains critical information, including a time and date stamp, an application number and a confirmation number. This electronic receipt may be printed, and it carries the security and authority of the Post Card receipt commonly provided in paper-filed applications.

Public/Private PAIR Integration

EFS-Web submissions are viewable in Public/Private PAIR just like paper applications. If you are a registered filer, your electronically filed patent applications and documents become available in Private PAIR in a short time.

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Patent Application Information Retrieval

OVERVIEW

The Patent Application Information Retrieval (PAIR) system allows users to view the status of their own pending applications and any patented or published applications.

Public PAIR	Private PAIR
Requires NO PKI software	Requires High-Level PKI Certificate
Review Patented & Published Application Information <ul style="list-style-type: none"> • Prosecution History • Status and Location • Image File Wrapper (IFW) contents • Supplemental Content 	Requires Customer Number Review Pending & Patented Application Information <ul style="list-style-type: none"> • Prosecution History • Status and Location • Limited Bibliographic Data • Current Customer Number Details • Outgoing Correspondence Notification • Image File Wrapper (IFW) contents • Supplemental Content • First Action Prediction and Status Letter

There are two components of PAIR: Public and Private

Public PAIR provides status and history information for granted patents to the general public with unrestricted access to issued patents and published applications via the Internet. Public PAIR also provides access to the IFW document images for online viewing and downloading.

Private PAIR allows independent inventors and registered practitioners and persons granted limited recognition the ability to access real-time status of their pending patent applications. The system provides Internet based access to patent application status and history information, including IFW document images of their application file folder. Customers can also view and download cited US Patent and US publication references in PDF format.

For additional information on both Public and Private PAIR, please visit the USPTO PAIR website at: <http://portal.uspto.gov/external/portal/home>

ADVANTAGES OF USING PAIR

- Public PAIR allows access to published application image file wrapper content via the Internet
- Public PAIR allows customers to search and select published applications to download and print from the desktop and conveniently order certified copies online

Patent Application Information Retrieval

- Private PAIR permits secure online searching by application, patent, publication, attorney docket, and customer number to retrieve information on prosecution history, status and location, supplemental content, first action prediction and status letter and limited bibliographic data
- Private PAIR enables applicants to electronically identify and request changes to their applications prior to the publication of the applications

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The Patent EBC assists customers in securing online Private PAIR access to view submitted patent application status information and obtaining Customer Numbers and PKI Certificates.

The Patent EBC provides complete registration and user instruction on the USPTO web site. The EBC also provides direct customer assistance via phone or email.

PAIR Service Areas:

Customer support in using Public PAIR and Private PAIR status information and Image File Wrapper (IFW) contents. Troubleshooting and problem resolution including connecting to PAIR, server/firewall issues, copying a customer profile to multiple machines, and reconfiguring browser settings and system configuration.

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Support

OVERVIEW ONLINE HELP & TUTORIALS

Online help & tutorials are available on the left-hand navigation bar in Private PAIR, Public PAIR and EFS-Web.

Each systems left-hand navigation bar includes:

- Announcements
- Frequently Asked Questions
- Help & Tutorial links
- System Documentation

ADVANTAGES OF ONLINE HELP & TUTORIALS

Allows customers to become knowledgeable and proficient in using the latest USPTO electronic business products including the tools, techniques, and practices used to successfully submit an electronically filed patent application.

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