

Chapter 1400 Correction of Patents

- 1401 Reissue
- 1402 Grounds for Filing
- 1403 Diligence in Filing
- 1404 Submission of Papers Where Reissue Patent Is in Litigation
- 1410 Content of Reissue Application
- 1410.01 Reissue Applicant, Oath or Declaration, and Assent of All Assignees
- 1411 Form of Specification
- 1411.01 Certificate of Correction or Disclaimer in Original Patent
- 1411.02 New Matter
- 1412 Content of Claims
- 1412.01 Reissue Claims Must Be for Same General Invention
- 1412.02 Recapture of Canceled Subject Matter
- 1412.03 Broadening Reissue Claims
- 1413 Drawings
- 1414 Content of Reissue Oath or Declaration
- 1414.01 Reissue Oath or Declaration Under 37 CFR 1.175 (a)(1), (a)(2), and (a)(3)
- **
- 1414.03 Requirements of 37 CFR 1.175(a)(5)
- 1414.04 Requirements of 37 CFR 1.175(a)(6)
- 1414.05 Requirements of 37 CFR 1.175(a)(7)
- 1415 Reissue Filing and Issue Fees
- 1416 Offer to Surrender and Return Original Patent
- 1417 Claim for Benefit Under 35 U.S.C. 119> (a) – (d) <
- 1418 Information Disclosure Statement and Other Information
- 1430 Reissue Files Open to the Public and Notice of Filing Reissue Announced in *Official Gazette*
- 1431 Notice in Patent File
- 1440 Examination of Reissue Application
- 1441 Two-Month Delay Period
- 1442 Special Status
- 1442.01 Litigation Related Reissues
- 1442.02 Litigation Not Stayed
- 1442.03 Litigation Stayed
- 1442.04 Litigation Involving Patent
- 1442.05 Cases in Which Stays Were Considered
- 1442.05(a) Stays Granted
- 1442.05(b) Stays Denied
- 1443 Initial Examiner Review
- 1444 Review of Reissue Oath or Declaration
- **
- 1445 Reissue Application Examined in Same Manner as Original Application
- **
- 1447 Additional Information, Affidavits, or Declarations Required
- 1448 Fraud, Inequitable Conduct, or Duty of Disclosure Issues
- 1449 Protest Filed in Reissue Where Patent Is in Interference

- 1449.01 Concurrent Office Proceedings
- 1450 Restriction and Election of Species
- 1451 Divisional Reissue Applications
- 1453 Amendments to Reissue Applications
- 1455 Allowance and Issue
- 1456 Reissue Review
- 1460 Effect of Reissue
- 1480 Certificates of Correction — Office Mistake
- 1481 Applicant's Mistake
- 1485 Handling of Request for Certificates of Correction
- 1490 Disclaimers

Errors in a patent may be corrected in four ways, namely (1) by reissue, (2) by the issuance of a certificate of correction which becomes a part of the patent, (3) by disclaimer, and (4) by reexamination.

1401 Reissue

35 U.S.C. 251. Reissue of defective patents.

Whenever any patent is, through error without any deceptive intention, deemed wholly or partly inoperative or invalid, by reason of a defective specification or drawing, or by reason of the patentee claiming more or less than he had a right to claim in the patent, the Commissioner shall, on the surrender of such patent and the payment of the fee required by law, reissue the patent for the invention disclosed in the original patent, and in accordance with a new and amended application, for the unexpired part of the term of the original patent. No new matter shall be introduced into the application for reissue.

The Commissioner may issue several reissued patents for distinct and separate parts of the thing patented, upon demand of the applicant, and upon payment of the required fee for a reissue for each of such reissued patents.

The provisions of this title relating to applications for patent shall be applicable to applications for reissue of a patent, except that application for reissue may be made and sworn to by the assignee of the entire interest if the application does not seek to enlarge the scope of the claims of the original patent.

No reissued patent shall be granted enlarging the scope of the claims of the original patent unless applied for within two years from the grant of the original patent.

1402 Grounds for Filing [R-2]

The most common bases for filing a reissue application are (1) the claims are too narrow or too broad; (2) the disclosure contains inaccuracies; (3) applicant failed to or incorrectly claimed foreign priority; (4) applicant failed to make reference to or incorrectly made reference to prior pending applications.

An attorney's failure to appreciate the full scope of the invention was held to be an error correctable through reissue in *In re Wilder*, >736 F.2d 1516, < 222 USPQ 369 (Fed. Cir. 1984). The Patent and Trademark Board of

Appeals held in *Ex parte Scudder*, 169 USPQ 814, 815 (Bd. App. 1971) that 35 U.S.C. 251 authorizes reissue application to correct misjoinder of inventors where 35 U.S.C. 256 is inadequate. Reissue may no longer be necessary under the facts in *Ex parte Scudder* in view of 35 U.S.C. 116 ** which provides, *inter alia*,

"Inventors may apply for a patent jointly even though . . . (3) each did not make a contribution to the subject matter of every claim in the patent."

* >See also< 37 CFR 1.45 **>(b)(3).<

The correction of misjoinder of inventors in divisional reissues has been held to be a ground for reissue: *Ex parte Scudder*, 169 USPQ 814 (Bd. App. 1971). The filing of a reissue application may not be necessary if the only change is to correct the inventorship since this can be accomplished under the provisions of 35 U.S.C. 256 and 37 CFR 1.324.

A reissue was granted in *Brenner v. State of Israel*, >400 F.2d 789<, 158 USPQ 584 (D.C. Cir. 1968), where the only ground urged was failure to file a certified copy of the original foreign application to obtain the right of foreign priority under 35 U.S.C. 119 before the patent was granted.

Correction of failure to adequately claim priority in an earlier filed copending U.S. Patent application was held a proper ground for reissue * >.< *Sampson v. Commr. of Pats.*, 195 USPQ 136, 137 (D.D.C. 1976). Reissue applicant's failure to timely file a divisional application is not considered to be error causing a patent granted on elected claims to be partially inoperative by reason of claiming less than they had a right to claim; and thus such applicant's error is not correctable by reissue of the original patent under 35 U.S.C. 251* >.< *In re Orita*, ** >550 F.2d 1277,< 193 USPQ 145, 148 (CCPA 1977); see also *In re Mead*, 581 F.2d 257, 198 USPQ 412 (CCPA 1978)* >.< *In re Watkinson*, >900 F.2d 230,< 14 USPQ2d 1407 (Fed. Cir. 1990).

1403 Diligence in Filing [R-2]

When a reissue application is filed within 2 years from the date of the original patent, a rejection on the grounds of lack of diligence or delay in filing the reissue should not normally be made, in the absence of evidence to the contrary* >.< *Ex parte Lafferty*, 190 USPQ 202 (Bd. App. 1975); but see *Rohm & Haas Co. v. Roberts Chemical Inc.*, 142 F. Supp. 499, 110 USPQ

93 (S.W. Va. 1956) * >rev'd< on other grounds 245 F.2d 693, 113 USPQ 423 (4th Cir. 1957).

However, as stated in the fourth paragraph of 35 U.S.C. 251,

>"<No reissued patent shall be granted enlarging the scope of the claims of the original patent unless applied for within two years from the grant of the original patent.>"< See MPEP § 1412.03 for broadening reissue practice.

*>See< *In re Bennett*, 226 USPQ 413, 416 (Fed. Cir.* >.< 1985); *In re Fotland*, 128 USPQ 193 (Fed. Cir. 1985).

A reissue filed on the 2-year anniversary date is considered filed within 2 years ** >. See< *Switzer & Ward v. Sockman & Brady*, >333 F.2d 935,< 142 USPQ 226 (CCPA 1964) * >(< a similar rule in interferences>)<.

A reissue application can be granted a filing date without an oath or declaration, or the filing fee being present in accordance with 37 CFR 1.53(d)(1). Applicant will be given a period of time to provide the missing parts and to pay the surcharge under 37 CFR 1.16(e). See MPEP § 1410.01.

1404 Submission of Papers Where Reissue Patent Is in Litigation [R-3]

Applicants and protestors (see MPEP § 1901.03) submitting papers for entry in reissue applications of patents involved in litigation are requested to mark the outside envelope and the top right-hand portion of the papers with the words "REISSUE LITIGATION" and with the Office or group art unit of the Patent and Trademark Office in which the reissue application is located; e.g., Assistant Commissioner for Patents, Board of Patent Appeals and Interferences, Examining Group, Office of Publications, etc. Protestor's participation, including the submission of papers, is limited in accordance with 37 CFR 1.291(c). Any "Reissue Litigation" papers mailed to the Office should be so marked and mailed to Box 7, >Assistant< Commissioner *>for< Patents**, Washington, D.C. 20231. The markings preferably should be written in a bright color with a felt point marker. Papers marked "REISSUE LITIGATION" will be given special attention and expedited handling. See MPEP § 1442.01 through § 1442.04 for examination of litigation related applications.

1410 Content of Reissue Application [R-1]

37 CFR 1.171. Application for reissue.

An application for reissue must contain the same parts required for an application for an original patent, complying with all the rules relating thereto except as otherwise provided, and in addition, must comply with the requirements of the rules relating to reissue applications. The application must be accompanied by a certified copy of an abstract of title or an order for a title report accompanied by the fee set forth in § 1.19(b)(4), to be placed in the file, and by an offer to surrender the original patent (§ 1.178).

Applicants for reissue are required to file a reissue oath or declaration which, in addition to complying with 37 CFR 1.63, must comply with 37 CFR 1.175. The oath or declaration or filing fee may be submitted after the filing date under 37 CFR 1.53(d)(1).

1410.01 Reissue Applicant, Oath or Declaration, and Assent of All Assignees [R-1]

37 CFR 1.172. Applicants, assignees.

(a) A reissue oath must be signed and sworn to or declaration made by the inventor or inventors except as otherwise provided (see §§ 1.42, 1.43, 1.47), and must be accompanied by the written assent of all assignees, if any, owning an undivided interest in the patent, but a reissue oath may be made and sworn to or declaration made by the assignee of the entire interest if the application does not seek to enlarge the scope of the claims of the original patent.

(b) A reissue will be granted to the original patentee, his legal representative or assigns as the interest may appear.

The reissue oath must be signed and sworn to or declaration made by all the inventors except as otherwise provided in 37 CFR 1.42, 1.43, and 1.47 (see MPEP § 409). Where the reissue application does *not* seek to enlarge the scope of any of the claims of the original patent, the reissue oath may be made and sworn to or declaration made by the assignee of the entire interest.

The reissue oath or declaration must be accompanied by the written assent of all assignees. 35 U.S.C. 111(a) and 37 CFR 1.53(b)(1) provide, however, for accorded an application a filing date if filed with a specification, including claim(s), and any required drawings. Thus, where an application is filed without an oath or declaration, or without the assent of all assignees, if the application otherwise complies with 37 CFR 1.53(b)(1) and the reissue rules, the Application Branch will send out a notice of missing parts setting a period of time for filing the missing part and for payment of any surcharge required under 37 CFR 1.53(d)(1) and 1.16(e). The surcharge is required because, until the

assent is filed, the reissue oath or declaration is defective, since it is not apparent that the signatures thereon are proper absent an indication the assignees have assented to the filing. See MPEP § 324 for additional requirements of 37 CFR 3.73(b) for assignee seeking to take action.

Where no assignee exists, applicant should affirmatively state that fact. If the file record is silent as to the existence of an assignee, it will be presumed that no assignee exists. Such presumption should be set forth by the examiner in the first Office action alerting applicant to the requirement. It should be noted that the mere filing of a small entity statement in no way relieves applicant of this requirement.

Where the written assent of all the assignees to the filing of the reissue application cannot be obtained, applicant may under appropriate circumstances petition to the Office of *Petitions* (MPEP § 1002.02(b)) for a waiver under 37 CFR 1.183 with fee (37 CFR 1.17(h)) of the requirement of 37 CFR 1.172, to permit the acceptance of the filing of the reissue application.

The reissue application can then be examined, but will not be allowed or issued without the assent of all the assignees as required by 37 CFR 1.172; *N. B. Fassett*, O.G. 420, 1877 C.D. 32; *James D. Wright*, 10 O.G. 587, 1876 C.D. 217, 218.

Form Paragraph 14.15 may be used to indicate that the consent of the assignee is lacking.

¶ 14.15 Consent of Assignee to Reissue Lacking

This application is objected to under 35 U.S.C. 251 as lacking the written consent of all assignees owning an undivided interest in the patent. The consent of the assignee must be in compliance with 37 CFR 3.73(b). See MPEP § 324.

The examiner must inspect the abstract of the title to determine whether 37 CFR 1.172 has been complied with (note MPEP § 201.01).

The reissue will be granted to the original patentee, his or her legal representatives or assigns as the interest may appear.

1411 Form of Specification [R-2]

37 CFR 1.173. Specification.

The specification of the reissue application must include the entire specification and claims of the patent, with the matter to be omitted by reissue enclosed in square brackets; and any additions made by the reissue must be underlined, so that the old and the new specifications and claims may be readily compared. Claims should not be renumbered and the numbering of claims added by reissue should follow the number of

the highest numbered patent claim. No new matter shall be introduced into the specification.

The file wrappers of all reissue applications are stamped "REISSUE" above the Serial Number on the front of the file. "Reissue" also appears below the Serial Number on the printed label on the file wrapper.

Cut-up soft copies of the original patent, with only a single column of the printed patent securely mounted on a separate sheet of paper, may be used in preparing the reissue specification and claims to be filed. It should be noted, however, that amendments to the reissue application should not be prepared in this way. After filing, the specification and claims in the reissue application must be amended by either (1) submitting a copy of a portion of the description or an entire claim with all matter to be deleted from the patent being placed between brackets and all matter to be added to the patent being underlined, or (2) indicating the exact word or words to be stricken out or inserted and the precise point where the deletion or insertion is to be made must be specified in the amendment as provided in 37 CFR 1.121(e) and (a). However, insertions or deletions to the patent specification or claims made prior to filing should be underlined or bracketed, respectively, as indicated in 37 CFR 1.173.

Examples of the form for a twice-reissued patent *>are< found in Re. 23,558 and Re. 28,488.

Entire words or chemical formulas must be shown as being changed. Change in only a part of a word or formula is not permitted. Deletion of chemical formula should be shown by brackets which are substantially larger and darker than any in the formula.

1411.01 Certificate of Correction or Disclaimer in Original Patent

The applicant should include any changes, additions, or deletions that were made by a Certificate of Correction to the original patent grant in the reissue application without underlining or bracketing. The examiner should also make certain that all Certificate of Correction changes have been properly incorporated into the reissue application.

Certificate of Correction changes and disclaimer of claim(s) under 37 CFR 1.321(a) should be made before reissue changes without using underlining or brackets. Since these are part of the original patent and were made before the reissue was filed, they should show up in the

printed reissue document as part of the original patent; i.e., not in italics or bracketed. If the changes are extensive and/or applicant has submitted them improperly with underlining and brackets, a clean copy of the specification with Certificate of Correction changes in it may be requested by the examiner.

1411.02 New Matter [R-2]

New matter, that is, matter not present in the patent sought to be reissued, is excluded from a reissue application in accordance with 35 U.S.C. 251.

The claims in the reissue application must also be for matter which the applicant had the right to claim in the original patent. New matter may exist by virtue of the omission of a feature or of a step in a method. See *United States Industrial Chemicals, Inc. v. Carbide & Carbon Chemicals Corp.*, 315 U.S. 668, 53 USPQ 6 (1942).

>Form Paragraph 14.22.01 may be used where new matter has been added.

¶ 14.22.01 Rejection, 35 U.S.C. 251, New Matter

Claim[1] rejected under 35 U.S.C. 251 as being based upon new matter added to the patent for which reissue is sought. The added material which is not supported by the prior patent is as follows: [2]

Examiner Note:

1. In bracket 2, fill in the applicable page and line numbers and provide an explanation of your position, as appropriate.

2. A rejection under 35 U.S.C. 112, first paragraph, should also be made if the new matter is added to the claims or is added to the specification and affects the claims. If new matter is added to the specification and does not affect the claims, an objection should be made based upon 35 U.S.C. 132 using form paragraph 7.28. <

1412 Content of Claims

The content of claims in a reissue application is somewhat limited as indicated in MPEP § 1412.01 through MPEP § 1412.03.

1412.01 Reissue Claims Must Be for Same General Invention [R-2]

The reissue claims must be for the same invention as that disclosed as being the invention in the original patent, as required by 35 U.S.C. 251. This does *not* mean that the invention claimed in the reissue must have been claimed in the original patent, although this is evidence that applicants considered it their invention. The entire disclosure, not just the claim, is considered in determining what the patentee objectively intended as his invention. The proper test is ** "an essentially factual inquiry

confined to the objective intent manifested by the original patent.” >*In re Amos*, 953 F.2d 613, 618, 21 USPQ2d 1271, 1274 (Fed. Cir. 1991) (quoting *In re Rowand* 526 F.2d 558, 560, 187 USPQ 487, 489 (CCPA 1975). < See also *In re Mead*, 581 F.2d 257, 198 USPQ 412 (CCPA 1978). ** >Some disclosure< in the original patent *>should evidence< that applicant intended to claim or that applicant considered the material now claimed to be his or her invention.

>A patentee may file a reissue application to permit consideration of process claims which qualify for 35 U.S.C. 103(b) treatment if a patent is granted on an application entitled to the benefit of 35 U.S.C. 103(b) without an election having been made as a result of error without deceptive intent. See MPEP § 706.02(n).<

1412.02 Recapture of Canceled Subject Matter [R-2]

A reissue will not normally be granted to “recapture” claimed subject matter deliberately canceled in an application to obtain a patent*>*Ball Corp v. United States*, 729 F.2d 1429, 221 USPQ 289, 295 (Fed. Cir. 1989);< *In re Willingham*, 282 F.2d 353, 127 USPQ 211 (CCPA 1960). **>;< *In re Richman*, 161 USPQ 359, 363, 364 (CCPA 1969); * *In re Wadlinger*, ** 181 USPQ 826 (CCPA 1974). As *>stated< by the * >Federal Circuit< in *Ball* **>:<

The recapture rule bars the patentee from acquiring, through reissue claims that are of the *same or broader scope* than those claims that were canceled from the original application. On the other hand, the patentee is free to acquire, through reissue, claims that are *narrower* in scope than the canceled claims. If the reissue claims are narrower than the canceled claims, yet broader than the original patent claims, reissue must be sought within 2 years after the grant of the original patent.

See MPEP § 1412.03.

>A patentee may file a reissue application to permit consideration of process claims which qualify for 35 U.S.C. 103(b) treatment if a patent is granted on an application entitled to the benefit of 35 U.S.C. 103(b) without an election having been made as a result of error without deceptive intent. See MPEP § 706.02(n).<

1412.03 Broadening Reissue Claims [R-3]

35 U.S.C. 251 prescribes a 2-year limit for filing applications for broadening reissues:

No reissue patent shall be granted enlarging the scope of the original patent unless applied for within two years from the grant of the original patent.

A claim of a reissue enlarges the scope of the claims of the patent if it is broader than such claims in any respect, even though it may be narrower in other respects. For example, if any amended or newly added claim contains within its scope any conceivable apparatus or process which would not have infringed the original patents, then that reissue claim would be broader than the original patent claims. *Tillotson, Ltd. v. Walbro Corp.*, 831 F.2d 1033, 1037 n.2, 4 USPQ2d 1450, 1453 n. 2 (Fed. Cir. 1987); *In re Ruth*, 278 F.2d 729, 126 USPQ 155, 156; (CCPA 1960); *In re Rogoff*, 261 F.2d 601, 120 USPQ 185, 186, (CCPA 1958).

If the reissue application is timely filed within two years of the original patent grant and the applicant indicates in the oath or declaration that the claims will be broadened, then applicant may subsequently further broaden the claims in the pending reissue prosecution, even if the additional broadening occurs beyond the two year limit. *In re Doll*, 419 F.2d 925, 928, 164 USPQ 218, 220 (CCPA 1970). See also *In re Bennett*, 766 F.2d 524, 528, 226 USPQ 413, 416 (Fed. Cir. 1985) (in banc) (allowing correction, more than two years after patent grant, of improperly executed declaration to reissue application, filed within two years after patent grant). However, failure by an applicant to include *an oath or declaration indicating a desire to seek broadened claims* within two years of the patent grant will bar a subsequent attempt to broaden the claims after the two year limit. > *In re Graff*, 42 USPQ2d 1471 (Fed. Cir. 1997) (affirming rejection where reissue application was filed within two years after the original patent grant, but broadened claims were not filed until after the two year limit);< *In re Folland*, 779 F.2d 31, 228 USPQ 193 (Fed. Cir. 1985) (under former version of 37 CFR 1.175, applicant timely sought “no defect” reissue, but Court did not allow attempt made beyond the two year limit to convert the reissue into a broadening reissue) *cert. denied* 476 U.S. 1183 (1986).

A reissue application is considered filed within 2 years of the patent grant if filed on the 2-year anniversary date of the patent grant: see *Switzer & Ward v. Sockman & Brady*, 142 USPQ 226 (CCPA 1964) for a similar rule in interferences.

Form Paragraphs 14.12 and 14.13 may be used in rejections based on improper broadened reissue claims.

¶ 14.12 *Rejection, 35 U.S.C. 251, Broadened Claims After Two Years*

Claim [1] rejected under 35 U.S.C. 251 as being broadened in a reissue application filed outside the two year statutory period. [2].

Examiner Note:

The claim limitations that broaden the scope should be identified and explained in bracket 2. See MPEP § 706.03(x) and § 1412.03.

¶ 14.13 *Rejection, 35 U.S.C. 251, Broadened Claims Filed by Assignee*

Claim [1] rejected under 35 U.S.C. 251 as being improperly broadened in a reissue application made and sworn to by the assignee and not the patentee.

1413 Drawings [R-1]

37 CFR 1.174. *Drawings.*

(a) The drawings upon which the original patent was issued may be used in reissue applications if no changes whatsoever are to be made in the drawings. In such cases, when the reissue application is filed, the applicant must submit a temporary drawing which may consist of a copy of the printed drawings of the patent or a photoprint of the original drawings of the size required for original drawing.

(b) Amendments which can be made in a reissue drawing, that is, changes from the drawing of the patent, are restricted.

If transfer of the patent drawings to the reissue application is desired, a letter requesting transfer of the drawings from the patent file should be filed along with the reissue application.

If transfer of the original drawing is contemplated, applicant must submit a copy of the original drawing.

The drawings of the original patent may be used in lieu of new drawings, provided that no alteration whatsoever is to be made in the drawings, including canceling an entire sheet.

When the reissue case is ready for allowance, the examining group makes the formal transfer of the original drawing to the reissue case ** >, notation thereof being entered on the file wrapper of the patented file. < Additional sheets of drawings may be added, but no changes can be made in the original patent drawings.

1414 Content of Reissue Oath or Declaration [R-2]

37 CFR 1.175. *Reissue oath or declaration.*

(a) Applicants for reissue, in addition to complying with the requirements of § 1.63, must also file with their applications a statement under oath or declaration as follows:

(1) When the applicant verily believes the original patent to be wholly or partly inoperative or invalid, stating such belief and the reasons why.

(2) When it is claimed that such patent is so inoperative or invalid "by reason of a defective specification or drawing," particularly specifying such defects.

(3) When it is claimed that such patent is inoperative or invalid "by reason of the patentee claiming more or less than he had a right to claim in the patent," distinctly specifying the excess or insufficiency in the claims.

(4) [Reserved]

(5) Particularly specifying the errors relied upon, and how they arose or occurred.

(6) Stating that said errors arose "without any deceptive intention" on the part of the applicant.

(7) Acknowledging the duty to disclose to the Office all information known to applicants to be material to patentability as defined in § 1.56.

(b) Corroborating affidavits or declarations of others may be filed and the examiner may, in any case, require additional information or affidavits or declarations concerning the application for reissue and its object.

The reissue oath or declaration is an essential part of a reissue application and must be filed with the application or within the time set under 37 CFR 1.53*(d)<(1). The question of the sufficiency of the reissue oath or declaration filed under 37 CFR 1.175 must in each case be reviewed and decided personally by the primary examiner (see MPEP § 1414.03).

Reissue oaths or declarations must point out very specifically what the defects are and how and when the errors arose, and how and when errors were discovered. If additional defects or errors are discovered after filing and during the examination of the application, a supplemental reissue oath or declaration must be filed pointing out such defects or errors and how and when they arose and how and when they were discovered. Any change or departure from the original specification or claims represents an "error" in the original patent under 35 U.S.C. 251 and must be addressed in the original, or a supplemental, reissue oath or declaration under 37 CFR 1.175. The statements in the oath or declaration must be of facts and not conclusions. All reissue oaths, in addition to complying with sections (a)(1) and (a)(2) and/or (a)(3), must also comply with sections (a)(5), (a)(6), and (a)(7).

The reissue oath or declaration must, as stated in 37 CFR 1.175, also comply with 37 CFR 1.63, including making averments required by 37 CFR 1.63(b) that applicants for reissue (1) have reviewed and understand the contents of the specification, including the claims, as amended by any amendment specifically referred to in the oath or declaration; (2) believe the named inventor or inventors to be the original and the first inventor or inventors of the subject matter which is claimed and for which a patent is sought; and (3) acknowledge the duty to disclose to the Office all information known to the person to be material to patentability as defined in 37 CFR 1.56 and 1.175(a)(7). See also MPEP § 602.

**

1414.01 Reissue Oath or Declaration Under 37 CFR 1.175 (a)(1), (a)(2), and (a)(3) [R-2]

Reissue oaths or declarations, ** must comply with section (a)(1) and the appropriate sections (a)(2) and/or (a)(3). All reissue oaths or declarations must, in addition, comply with sections (a)(5), (a)(6) and, ** (a)(7).

Subsection (a)(1) requires a statement that "applicant verily believes the original patent to be wholly or partly inoperative or invalid," and in addition, "the reasons why." Applicant must acknowledge the existence of a defect in the specification, drawings, or claims which causes the original patent to be defective. *In re Wilder***, >736 F.2d 1516, < 222 USPQ 369 (Fed. Cir. 1984). Subsection (a)(2) applies when it is claimed that such patent is so inoperative or invalid "by reason of a defective specification or drawing"; and requires applicant to particularly specify such defects. Subsection (a)(3) applies when it is claimed that such patent is inoperative or invalid "by reason of patentee claiming more or less than he had a right to claim in the patent"; and requires applicant, in addition, to distinctly specify the excess or insufficiency in the claims. Any change or departure from the original specification or claims represents an "error" in the original patent under 35 U.S.C. 251 and must be addressed in the original or supplemental reissue oath or declaration. The reissue oath or declaration should specify how the reissue overcomes the defect in the original patent; e.g., describe how the newly presented or amended claims differ from those of the original patent.

Form Paragraphs 14.01 and 14.14 (see MPEP § 1444) may be used where the reissue oath or declara-

tion does not state why the patent is wholly or partially inoperative or invalid.

¶ 14.01 Defective Reissue Oath/Declaration, 37 CFR 1.175(a)(1)

The reissue oath or declaration filed with this application is defective because it fails to contain a statement that the applicant believes the original patent to be wholly or partly inoperative or invalid, as required under 37 CFR 1.175(a)(1).

Examiner Note:

1. Use this paragraph when applicant fails to allege a defect.
2. Paragraph 14.14 must follow.

Form Paragraph 14.02 may be used where the reissue oath or declaration fails to specify the nature of the errors in the patent, including defects in the specification or drawings and the excesses or insufficiencies in the claims.

¶ 14.02 Oath Fails To Specify Excess/Insufficiencies and/or Defects, i.e., Errors in the Patent, 37 CFR 1.175(a)(2) or (a)(3)

The reissue oath or declaration filed with this application is defective because it fails to describe the actual error(s) in the patent, i.e., it fails to particularly specify the "defects" in the specification or drawings, 37 CFR 1.175(a)(2); and/or it fails to distinctly specify the "excess or insufficiency" in the claims, 37 CFR 1.175(a)(3). [1]

Examiner Note:

1. Use this paragraph when applicant fails to point out the excess or insufficiency in the claims and/or the defect in the specification or drawings. Applicant must point out every actual error in the patent (every "defect" and "excess or insufficiency"). The examiner should identify the deficiencies in bracket 1.

2. Paragraph 14.14 must follow.

Failure to assert a difference in scope between the original and reissue claims in the reissue oath or declaration has been held to be a fatal defect. The patent statutes afford no authority for the reissue of a patent merely to add claims of the same scope as those already granted: *In re Wittry*, >489 F.2d 1299, < 180 USPQ 320, 323 (CCPA 1974).

**

1414.03 Requirements of 37 CFR 1.175(a)(5)

All reissue oaths or declarations must comply with 37 CFR 1.175(a)(5) by "particularly specifying the errors relied on, and how they arose or occurred". 37 CFR 1.175(a)(5) has two specific requirements, both of which must be complied with in the reissue oath or declaration. This section requires applicant to particularly specify (1) "the errors relied upon" and (2) "how they arose or occurred."

If applicant is seeking to amend claims in view of particular prior art or other information, the reissue

oath or declaration must point out such prior art or other information and “the errors relied on” in view of such prior art or other information. More specifically, the oath or declaration, in appropriate circumstances, might state that some or all claims are deemed to be too broad and invalid in view of references X and Y. Where appropriate, such as where the pertinence of the new references X and Y are not evident, more specificity about “the errors relied on” should be provided.

It is particularly important that the reissue oath or declaration specify in detail how the errors arose or occurred. Included are inadvertent errors in conduct; i.e., actions taken by the applicant, the attorney, or others before the original patent issued, which actions are alleged to have caused the defect in the patent. “How” includes when and under what circumstances the errors arose or occurred. This means that the reissue oath or declaration must specify the manner in which “the errors” “arose or occurred” *Hewlett-Packard Co. v. Bausch & Lomb, Inc.*, 882 F.2d 1556, 11 USPQ2d 1750 (Fed. Cir. 1989); *In re Weiler et al.*, 229 USPQ 673 (Fed. Cir. 1986). For example, the reissue oath or declaration must indicate when and the manner in which the reissue applicant became aware of the prior art or other information and of the error in the patent; such as, for example, through discovery of prior art or other information subsequent to issuance of patent, knowledge of prior art or other information before issuance of patent with significance being brought out after issuance by third party through allegations made in litigation involving the patent, etc. It is particularly important that the reissue oath or declaration adequately specify how the errors arose or occurred. If the reissue oath or declaration does not particularly specify “how,” i.e., the manner in which the errors arose or occurred, the Office will be unable to adequately evaluate reissue applicant’s statement in compliance with 37 CFR 1.175(a)(6) that the “errors arose ‘without any deceptive intention’ on the part of the applicant”; see MPEP § 1414.04.

Form Paragraph 14.03 may be used where the reissue oath or declaration fails to comply with 37 CFR 1.175(a)(5).

¶ 14.03 *Oath Fails To Specify How Errors Arose*, 37 CFR 1.175(a)(5)

The reissue oath or declaration filed with this application is defective because it fails to particularly specify the errors and/or how the errors relied upon arose or occurred as required under 37 CFR 1.175(a)(5). Included are inadvertent errors in conduct, i.e., actions

taken by the applicant, the attorney or others, before the original patent issued, which are alleged to be the cause of the actual errors in the patent. This includes how and when the errors in conduct arose or occurred, as well as how and when these errors were discovered. Applicant’s attention is directed to *Hewlett-Packard v. Bausch & Lomb*, 11 USPQ2d 1750, 1758 (Fed. Cir. 1989). [1].

Examiner Note:

1. Use this paragraph if applicant fails to specify the error(s) in conduct and/or fails to specify the manner and details of how the errors in conduct occurred and when, and the manner in which they were discovered by applicant. The examiner should identify the specific deficiencies in bracket 1.

2. Paragraph 14.14 must follow.

1414.04 Requirements of 37 CFR 1.175(a)(6)

37 CFR 1.175(a)(6) specifically requires that all reissue oaths or declarations contain the averment “that said errors arose ‘without any deceptive intention’ on the part of the applicant.” This requirement for an absence of “deceptive intention” should not be overlooked, since it is a necessary part of any reissue application. The examiner will determine whether the reissue oath or declaration contains the required averment that the “errors arose ‘without any deceptive intention’,” although the examiner will not comment as to whether it appears there was in fact deceptive intention or not (see MPEP § 2022.05).

Form Paragraph 14.04 may be used where the reissue oath or declaration does not comply with 37 CFR 1.175(a)(6).

¶ 14.04 *Oath Lacks Statement of No Deceptive Intent*, 37 CFR 1.175(a)(6)

The reissue oath or declaration filed with this application fails to state that the errors arose “without any deceptive intention” on the part of the applicant, as required under 37 CFR 1.175(a)(6).

Examiner Note:

Paragraph 14.14 must follow.

1414.05 Requirements of 37 CFR 1.175(a)(7) [R-2]

37 CFR 1.175(a)(7) **>parallels< the provisions requiring the same acknowledgment of the duty of disclosure in the oath or declaration in reissue applications as in nonreissue applications. Reissue oaths or declarations, whether original or supplemental, ** should be checked by the examiner for compliance with 37 CFR 1.175(a)(7).

1415 Reissue Filing and Issue Fees [R-2]

The applicant is permitted to present every claim that was issued in the original patent for the basic filing fee. In addition to the basic filing fee, filing or later presentation of each independent claim which is in excess of

the number of independent claims in the original patent requires a fee and in addition filing or later presentation of each claim (whether independent or dependent) in excess of 20 and also in excess of the number of claims in the original patent requires a fee. The Office has prepared a form which is designed to assist in the correct calculation of reissue filing fees.

**>PTO/SB/56 (6-95)
Approved for use through 05/31/96. OMB 0651-0033
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE<

REISSUE APPLICATION FEE DETERMINATION RECORD							Docket Number (Optional)	
Claims as Filed - Part 1								
Claims in Patent	For	Number Filed in Reissue Application	(3) Number Extra	Small Entity		Other than a Small Entity		
				Rate	Fee	Rate	Fee	
(A)	Total Claims (37 CFR 1.16(i))	(B)	**** =	x \$__ =		OR	x \$__ =	
(C)	Independent Claims (37 CFR 1.16(i))	(D)	* =	x \$__ =			x \$__ =	
Basic Fee (37 CFR 1.16(h))					\$__			\$__
Total Filing Fee					\$		OR	\$
Claims as Amended - Part 2								
	(1) Claims Remaining After Amendment		(2) Highest Number Previously Paid For	(3) Extra Claims Present	Small Entity		Other than a Small Entity	
					Rate	Fee	Rate	Fee
Total Claims (37 CFR 1.16(i))	***	MINUS	**	* =	x \$__ =		OR	x \$__ =
Independent Claims (37 CFR 1.16(i))	***	MINUS	*****	=	x \$__ =			x \$__ =
Total Additional Fee					\$		OR	\$
<p>* If the entry in (D) is less than the entry in (C), Write "0" in column 3. ** If the "Highest Number of Total Claims Previously Paid For" is less than 20, Write "20" in this space. *** After any cancellation of claims **** If "A" is greater than 20, use (B - A); if "A" is 20 or less, use (B - 20). ***** "Highest Number of Independent Claims Previously Paid For" or Number of Independent Claims in Patent (C).</p> <p><input type="checkbox"/> Please charge Deposit Account No. _____ in the amount of _____. A duplicate copy of this sheet is enclosed.</p> <p><input type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees under 37 CFR 1.16 or 1.17 which may be required, or credit any overpayment to Deposit Account No. _____. A duplicate copy of this sheet is enclosed.</p> <p><input type="checkbox"/> A check in the amount of \$ _____ to cover the filing / additional fee is enclosed.</p>								
Date _____			Signature of Applicant, Attorney or Agent of Record _____					
			Typed or printed name _____					

****>Burden Hour Statement:** This form is estimated to take 5 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.<

1416 Offer to Surrender and Return Original Patent [R-2]

37 CFR 1.178. Original patent.

The application for a reissue must be accompanied by an offer to surrender the original patent. The application should also be accompanied by the original patent, or if the original is lost or inaccessible, by an affidavit or declaration to that effect. The application may be accepted for examination in the absence of the original patent or the affidavit or declaration, but one or the other must be supplied before the case is allowed. If a reissue be refused, the original patent will be returned to applicant upon his request.

The examination of the reissue application on the merits is made even though the offer to surrender the original patent, or an affidavit or declaration to the effect that the original is lost or inaccessible, has not been received. However, in such case the examiner should require one of the above in the first action. Either the original patent, or an affidavit or declaration as to loss or inaccessibility of the original patent, must be received before the examiner can allow the reissue application.

Form Paragraph 14.05 may be used to require an offer to surrender the original patent.

¶ 14.05 No Offer To Surrender Original Patent

This reissue application was filed without the required offer to surrender the original patent or, if the original is lost or inaccessible, an affidavit or declaration to that effect. The original patent, or an affidavit or declaration as to loss or inaccessibility of the original patent, must be received before the reissue application can be allowed. See 37 CFR 1.178.

Examiner Note:

The examination of the reissue application on the merits is made even though these requirements have not been met. This requirement should be made in the first Office action.

>Form Paragraph 14.05.01 may be used to notify applicant that the original patent or an affidavit as to loss is required before allowance.

¶ 14.05.01 Original Patent Required Prior to Allowance

The original patent, or an affidavit or declaration as to loss or inaccessibility of the original patent, must be received before this reissue application can be allowed. See 37 CFR 1.178.

Examiner Note:

1. This form paragraph may be used in an Office action to remind applicant of the requirement for submission of the original patent before allowance.

2. It may also be used in an *Ex parte Quayle* action to require such submission.

3. **Do not** use this form paragraph in an examiner's amendment. The original patent or declaration of loss must be filed prior to mailing of the "Notice of Allowability".<

If applicant requests the return of the patent on abandonment of the reissue application, it will be sent to the applicant by the ** examining group.

An applicant may request that a surrendered original patent be transferred from an abandoned reissue application to a continuation or divisional reissue application. The clerk making the transfer should note the transfer on the "Contents" of the abandoned application. The application number and filing date of the reissue application to which it is transferred must be included in the notation. Where the original patent grant is not submitted with the reissue application as filed, patentee should include a copy of the printed original patent. Presence of a copy of the original patent is useful for the calculation of the reissue filing fee and for the verification of other identifying data.

1417 Claim for Benefit Under 35 U.S.C.

119>(a)-(d)< [R-1]

A "claim" for the benefit of an earlier filing date in a foreign country under 35 U.S.C. 119>(a)-(d)< must be made in a reissue application even though such a claim was made in the application on which the original patent was granted. However, no additional certified copy of the foreign application is necessary. The procedure is similar to that for "Continuing Applications" in MPEP § 201.14(b).

The heading on printed copies will not be carried forward to the reissue from the original patent. Therefore, it is important that the file wrapper be endorsed under "Claims Foreign Priority."

1418 Information Disclosure Statement and Other Information [R-3]

37 CFR 1.175(a)(7), parallels the requirements of 37 CFR 1.56 and requires acknowledgment in the reissue oath or declaration of the "duty to disclose to the Office all information known to the applicants to be material to patentability as defined in § 1.56." >Form Paragraph 14.11.01 may be used to remind applicant of the duty to disclose any litigation information which is material to patentability.

¶ 14.11.01 Duty Of Disclosure Reminder

Applicant is reminded of the continuing obligation under 37 CFR 1.56, to timely apprise the Office of any litigation information, or other prior or concurrent proceeding, involving Patent No. [1], which is material to patentability of the claims under consideration in this reissue application. This obligation rests with each individual associated with

the filing and prosecution of this application for reissue. See MPEP §§ 1404, 1442.01 and 1442.04.

Examiner Note:

This form paragraph is to be used in the first action in a reissue application. <

Reissue applicants may utilize 37 CFR 1.97 and 1.98 to comply with the duty of disclosure required by 37 CFR 1.56. This does not, however, relieve applicant of the duties under 37 CFR 1.175 of, for example, "particularly specifying the errors relied upon, and how they arose or occurred" in the reissue oath or declaration, or particularly specifying how and when applicant became aware of and/or came to appreciate the relevancy of such prior art or other information.

While 37 CFR 1.97(b) provides for filing an information disclosure statement within 3 months of the filing of an application or before the mailing date of a first Office action, reissue applicants are encouraged to file information disclosure statements at the time of filing in order that such statements will be available to the public during the 2-month period provided by 37 CFR 1.176.

37 CFR 1.175(b) provides that,

"(b) Corroborating affidavits or declarations of others may be filed and the examiner may, in any case, require additional information or affidavits or declarations concerning the application for reissue and its object."

Thus, applicant may under 37 CFR 1.175(b) file "corroborating affidavits or declarations of others . . . concerning the application for reissue and its objects." It also provides that "the examiner may, in any case, require additional information or affidavits or declarations concerning the application for reissue or its object."

1430 Reissue Files Open to the Public and Notice of Filing Reissue Announced in *Official Gazette*

37 CFR 1.11(b) provides that all reissue applications filed after March 1, 1977 "are open to inspection by the general public, and copies may be furnished upon paying the fee therefor. The filing of reissue applications will be announced in the *Official Gazette*." The announcement gives interested members of the public an opportunity to submit to the examiner information pertinent to the patentability of the reissue application. The announcement includes the filing date, reissue application and original patent numbers, title, class and subclass, name of the in-

ventor, name of the owner of record, name of the attorney or agent of record, and the examining group to which the reissue application is initially assigned. A group director or other appropriate Office official may, under appropriate circumstances, postpone access to or the making of copies of a reissue application; such as, for example, to avoid interruption of the examination or other review of the application by an examiner. Those reissue applications already on file prior to March 1, 1977 are not automatically open to inspection, but a liberal policy is followed by the Office of the Assistant Commissioner for Patents in granting petitions for access to such applications.

For those reissue applications filed on or after March 1, 1977, the following procedure will be observed:

(1) The filing of all reissue applications, including those filed under 37 CFR 1.60 and 1.62, will be announced in the *Official Gazette* and will include certain identifying data as specified in 37 CFR 1.11(b). Any member of the general public may request access to a particular reissue application filed after March 1, 1977. Since no record of such request is intended to be kept, an oral request will suffice.

(2) The reissue application files will be maintained in the examining groups and inspection thereof will be supervised by group personnel. Although no general limit is placed on the amount of time spent reviewing the files, the Office may impose limitations, if necessary; e.g., where the application is actively being processed.

(3) Where the reissue application has left the examining group for administrative processing, requests for access should be directed to the appropriate supervisory personnel in the Division or Branch where the application is currently located.

(4) Requests for copies of papers in the reissue application file must be in writing and addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231 and may be either mailed or delivered to the Office mailroom. The price for copies made by the Office is set forth in 37 CFR 1.19.

1431 Notice in Patent File

37 CFR 1.179. Notice of reissue application.

When an application for a reissue is filed, there will be placed in the file of the original patent a notice stating that an application for reissue has been filed. When the reissue is granted or the reissue application is otherwise terminated, the fact will be added to the notice in the file of the original patent.

Whenever a reissue application is filed, a Form PTO-445 notice is placed in the patented file identifying the reissue application by application number and its filing date. The pertinent data is filled in by the Application Branch. When divisional or continuation reissue applications are filed, a separate form for each reissue application is placed in the original patented file. When the reissue is issued or abandoned, it is important that the Record Room be informed by the examining group clerical staff of that fact by written memo. Record Room personnel will update the Form PTO-445 in the patented file.

1440 Examination of Reissue Application

37 CFR 1.176. Examination of reissue.

An original claim, if re-presented in the reissue application, is subject to reexamination, and the entire application will be examined in the same manner as original applications, subject to the rules relating thereto, excepting that division will not be required. Applications for reissue will be acted on by the examiner in advance of other applications, but not sooner than two months after announcement of the filing of the reissue application has appeared in the *Official Gazette*.

37 CFR 1.176 provides that an original claim, if re-presented in a reissue application, will be subject to reexamination and, along with the entire application, will be fully examined in the same manner subject to the same rules relating thereto, as if being presented for the first time in an original application; except that division will not be required. See MPEP § 1450 and § 1451. Reissue applications are normally examined by the same examiner who issued the parent patent. In addition, the application will be examined with respect to compliance with 37 CFR 1.171-1.179 relating specifically to reissue applications; for example, the reissue oath or declaration will be carefully reviewed for compliance with 37 CFR 1.175. See MPEP § 1444 for handling applications in which the oath or declaration lacks compliance with 37 CFR 1.175. Reissue applications with related litigation will be acted on by the examiner before any other special applications, and will be acted on immediately by the examiner, subject only to the 2-month delay after publication for examining reissue applications.

The original patent file wrapper should always be ordered and reviewed when examining a reissue application thereof.

1441 Two-Month Delay Period

37 CFR 1.176 provides that reissue applications will be acted on by the examiner in advance of other applications; i.e., "special", but not sooner than 2 months after announcement of the filing of the reissue has appeared in the *Official Gazette*. The 2-month delay is provided in order that members of the public may have time to review the reissue application and submit pertinent information to the Office before the examiner's action. However, as set forth in MPEP § 1901.04, the public should be aware that such submissions should be made as early as possible since under certain circumstances the 2-month delay period of 37 CFR 1.176 may be waived. The Office will entertain petitions under 37 CFR 1.183 which are accompanied by the fee (37 CFR 1.17(h)) to waive the delay period of 37 CFR 1.176. Appropriate reasons for requesting such a waiver might be, for example, that litigation has been stayed to permit the filing of the reissue application. Such petitions are decided by the Assistant Commissioner for Patents.

Since the examining group to which the reissue application is assigned is listed in the *Official Gazette* notice of filing of the reissue application, the indicated examining group should retain the application file for 2 months after the date of the *Official Gazette* notice before transferring the reissue application under the procedure set forth in MPEP § 903.08(d).

1442 Special Status

All reissue applications are taken up "special", and remain "special" even though applicant does not respond promptly.

All reissue applications, except those under suspension because of litigation, will be taken up for action ahead of other "special" applications; this means that all issues not deferred will be treated and responded to immediately. Furthermore, reissue applications involved in "litigation" will be taken up for action in advance of other reissue applications.

1442.01 Litigation Related Reissues

During initial review, the examiner should determine whether the patent for which the reissue has been filed is involved in litigation and if so the status of that litigation. If the examiner becomes aware of litigation involving the patent sought to be reissued during examination of the reissue application, and applicant has not

made the details regarding that litigation of record in the reissue application, the examiner, in the next Office action, will inquire regarding the specific details of the litigation.

Form Paragraph 14.06 may be used for such an inquiry.

¶ **14.06 Litigation Related Reissue**

The patent sought to be reissued by this application [1] involved in litigation. Any documents and/or materials which would be material to patentability of this reissue application are required to be made of record in response to this action.

Due to the related litigation status of this application, **EXTENSIONS OF TIME UNDER THE PROVISIONS OF 37 CFR 1.136(a) WILL NOT BE PERMITTED DURING THE PROSECUTION OF THIS APPLICATION.**

Examiner Note:

In bracket 1, insert either —is— or —has been—.

If the additional details of the litigation appear to be material to examination of the reissue application, the examiner may make such additional inquiries as necessary and appropriate under 37 CFR 1.175(b).

Where there is litigation, and it has not already been done, the examiner should place a prominent notation on the application file to indicate the litigation, (1) at the bottom of the face of the file in the box just to the right of the box for the retention label, and (2) on the pink Reissue Notice Card form.

Applicants will normally be given 1 month to respond to Office actions in all reissue applications which are being examined during litigation, or after litigation had been stayed, dismissed, etc., to allow for consideration of the reissue by the Office. This 1-month period may be extended only upon a showing of *clear justification* pursuant to 37 CFR 1.136(b). The Office action will inform applicant that the provisions of 37 CFR 1.136(a) are not available. Of course, up to 3 months may be set for response if the examiner determines such a period is clearly justified.

1442.02 Litigation Not Stayed

In order to avoid duplication of effort, action in reissue applications in which there is an indication of concurrent litigation will be suspended automatically unless and until it is evident to the examiner, or the applicant indicates, that: (1) a stay of the litigation is in effect; (2) the litigation has been terminated; (3) there are no significant overlapping issues between the application

and the litigation; or (4) it is applicant's desire that the application be examined at that time.

Form Paragraphs 14.08–14.10 may be used to deny stays.

¶ **14.08 Action Not Stayed — Related Litigation Terminated**

Since the litigation related to this reissue application is terminated and final, action in this reissue application will NOT be stayed. Due to the related litigation status of this reissue application, **EXTENSIONS OF TIME UNDER THE PROVISIONS OF 37 CFR 1.136(a) WILL NOT BE PERMITTED.**

¶ **14.09 Action Not Stayed — Related Litigation Not Overlapping**

While there is concurrent litigation related to this reissue application, action in this reissue application will NOT be stayed because there are no significant overlapping issues between the application and that litigation. Due to the related litigation status of this reissue application, **EXTENSIONS OF TIME UNDER THE PROVISIONS OF 37 CFR 1.136(a) WILL NOT BE PERMITTED.**

¶ **14.10 Action Not Stayed — Applicant's Request**

While there is concurrent litigation related to this reissue application, action in this reissue application will NOT be stayed because of applicant's request that the application be examined at this time. Due to the related litigation status of this reissue application, **EXTENSIONS OF TIME UNDER THE PROVISIONS OF 37 CFR 1.136(a) WILL NOT BE PERMITTED.**

Form Paragraph 14.11 may be used to stay action in a reissue application with concurrent litigation.

¶ **14.11 Action Stayed — Related Litigation**

In view of concurrent litigation, and in order to avoid duplication of effort between the two proceedings, action in this reissue application is STAYED until such time as it is evident to the examiner that (1) a stay of the litigation is in effect, (2) the litigation has been terminated, (3) there are no significant overlapping issues between the application and the litigation, or (4) applicant requests that the application be examined.

1442.03 Litigation Stayed

All reissue applications, except those under suspension because of litigation, will be taken up for action ahead of other "special" applications; this means that all issues not deferred will be treated and responded to *immediately*. Furthermore, reissue applications involved in "stayed litigation" will be taken up for action in advance of other reissue applications. Great emphasis is placed on the expedited processing of such reissue applications. The courts are especially interested in expedited processing in the Office where litigation is stayed.

In reissue applications with "stayed litigation," the Office will entertain petitions under 37 CFR 1.183, which are accompanied by the fee under 37 CFR 1.17(h) to waive the 2-month delay period under 37 CFR 1.176.

Time-monitoring systems have been put into effect which will closely monitor the time used by applicants,

protestors, and examiners in processing reissue applications of patents involved in litigation in which the court has stayed further action. Monthly reports on the status of reissue applications with related litigation are required from each examining group. Delays in reissue processing are to be followed up.

The purpose of these procedures and those deferring consideration of certain issues, until all other issues are resolved or the application is otherwise ready for consideration by the Board of Patent Appeals and Interferences (note MPEP § 1448), is to reduce the time between filing of the reissue application and final action thereon, while still giving all parties sufficient time to be heard.

Requests for stays in reissues where litigation has been stayed may be answered with Form Paragraph 14.07.

¶ 14.07 *Action Not Stayed — Related Litigation Stayed*

While there is concurrent litigation related to this reissue application, action in this reissue application will NOT be stayed because a stay of that litigation is in effect for the purpose of awaiting the outcome of these reissue proceedings. Due to the related litigation status of this reissue application, EXTENSIONS OF TIME UNDER THE PROVISIONS OF 37 CFR 1.136(a) WILL NOT BE PERMITTED.

1442.04 Litigation Involving Patent

Where the patent for which reissue is being sought is, or has been, involved in litigation which raised a question material to patentability of the reissue application, such as the validity of the patent, or any allegation of fraud or inequitable conduct, the existence of such litigation must be brought to the attention of the Office by the applicant at the time of, or shortly after, filing the application, either in the reissue oath or declaration, or in a separate paper, preferably accompanying the application as filed. Litigation begun after filing of the reissue application also should be promptly brought to the attention of the Office. The details and documents from the litigation, insofar as they are “material to patentability” of the reissue application as defined in 37 CFR 1.56(b), should accompany the application as filed, or be submitted as promptly thereafter as possible (note MPEP § 1414.05). For example, the defenses raised against validity of the patent, or charges of fraud or inequitable conduct in the litigation, would normally be “material to patentability” of the reissue application. It would, in most situations, be appropriate to bring such defenses to

the attention of the Office by filing in the reissue application a copy of the Court papers raising such defenses. As a minimum, the applicant should call the attention of the Office to the litigation, the existence and nature of any allegations relating to validity and/or “fraud” or “inequitable conduct” relating to the original patent, and the nature of litigation materials relating to these issues. Enough information should be submitted to clearly inform the Office of the nature of these issues so that the Office can intelligently evaluate the need for asking for further materials in the litigation. Thus, the existence of supporting materials which may substantiate allegations of invalidity or “fraud” or “inequitable conduct” should, at least, be fully described, or submitted. The Office is not interested in receiving voluminous litigation materials which are not relevant to the Office’s consideration of the reissue application. The status of the litigation should be updated in the reissue application as soon as significant events happen in the litigation.

When a reissue application is filed, the examiner should determine whether the original patent has been adjudicated by a court. The decision of the court and also other papers in the suit may give information essential to the examination of the reissue. The patented file will contain notices of the filing and termination of infringement suits on the patent. Such notices are required by law to be filed by the clerks of the District Courts. These notices do not indicate if there was an opinion by the court, nor whether a decision was published. *Shepard’s Federal Citations* and the cumulative digests of the *United States Patents Quarterly*, both of which are in the Office Law Library, contain tables of patent numbers giving the citation of published decisions concerning the patent. Where papers are not otherwise conveniently obtainable, the applicant may be requested to supply copies of papers and records in suits, or the Office of the Solicitor may be requested to obtain them from the court. The information thus obtained should be carefully considered for its bearing on the proposed claims of the reissue, particularly when the reissue application was filed in view of the holding of a court.

If the examiner becomes aware of litigation involving the patent sought to be reissued during examination of the reissue application, and applicant has not made the details regarding that litigation of record in the reissue application, the examiner, in the next

Office action, should inquire regarding the same. The following paragraph may be used for such an inquiry:

“It has come to the attention of the examiner that the patent sought to be reissued by this application (is) (has been) involved in litigation.

Any documents and/or materials, including the defenses raised against validity, or against enforceability because of fraud or inequitable conduct, which would be material to patentability of this reissue application are required to be made of record in response hereto. See 37 CFR 1.175(b).”

If the additional details of the litigation appear to be material to patentability of the reissue application, the examiner may make such additional inquiries as necessary and appropriate under 37 CFR 1.175(b). See MPEP § 1447.

1442.05 Cases in Which Stays Were Considered

District Courts are staying litigation in significant numbers of cases to allow for consideration of a reissue application by the Office. These cases are listed here for the convenience of the courts and the public.

In most instances, the reissue-reexamination procedure is instituted by a patent owner who voluntarily files a reissue application as a consequence of related patent litigation. However, some District Courts have required a patentee-litigant to file a reissue application, for example:

Alpine Engineering Inc. v. Automated Building Components Inc., BNA/PTCJ 367: A-12 (S.D. Fla. 1978);

Lee-Boy Manufacturing Co. v. Puckett, 202 USPQ 573 (D. Ga. 1978);

Choat v. Rome Industries Inc. et al., 203 USPQ 549 (N.D. Ga. 1979).

Other courts have declined to so order, for example:

Bielomatik Leuze & Co., v. Southwest Tablet Manufacturing Co., 204 USPQ 226 (N.D. Texas 1979);

RCA Corp. v. Applied Digital Data Systems Inc., 201 USPQ 451 (D. Del. 1979);

Antonious v. Kamata-Ri & Co. Ltd., 204 USPQ 294 (D. Md. 1979).

Despite the voluntariness of a reissue filing, under present practice, only a patentee or his assignee may file a reissue patent application.

1442.05(a) Stays Granted

“Stays” were ordered in the following sampling of published “decisions”.

PIC Inc. v. Prescon Corp., 195 USPQ 525 (D. Del. 1977).

Fisher Controls Co. Inc. v. Control Components, Inc., 196 USPQ 817 (S.D. Iowa 1977). (Note also 203 USPQ 1059 denying discovery during the stay).

Alpine Engineering Inc. v. Automated Building Components Inc., BNA/PTCJ 367: A-12 (S.D. Fla. 1978).

(Dismissed a Declaratory Judgment suit with order for patentee to seek reissue in the Patent and Trademark Office).

AMI Industries, Inc. v. E. A. Industries, Inc., 204 USPQ 568 (W.D. N.C. 1978). (With dicta that if suit had not been dismissed proceedings would have been stayed for Office consideration).

Reynolds Metal Co. v. Aluminum Co. of America, 198 USPQ 529 (N.D. Ind. 1978).

Sauder Industries, Inc. v. Carborundum Co., 201 USPQ 240 (N.D. Ohio, 1978).

Rohm and Haas Co. v. Mobil Oil Corp., 201 USPQ 80 (D. Del. 1978). (With provision for limited discovery on allegations of fraud for Office's benefit).

Lee-Boy Manufacturing Co. v. Puckett, 202 USPQ 573 (D. Ga. 1978). (Reissue ordered after discovery and during wait for trial).

Fas-Line Sales & Rentals, Inc. v. E-Z Lay Pipe Corp., 203 USPQ 497 (W.D. Okla. 1979).

Choat v. Rome Industries Inc., 203 USPQ 549 (N.D. Ga. 1979) directed patentee to file reissue application.

In re Certain High-Voltage Circuit Interrupters and Components Thereof, 204 USPQ 50 (Int'l Trade Comm. 1979).

1442.05(b) Stays Denied

“Stays” were denied in the following sampling of published “decisions”.

General Tire and Rubber Co. v. Watson-Bowman Associates, Inc., 193 USPQ 479 (D. Del. 1977).

Perkin-Elmer Corp. v. Westinghouse Electric Corp., BNA/PTCJ 376: A-11 (E.D. N.Y. 1978).

In re Certain Ceramic Tile Setters, No. 337-TA-41, BNA/PTCJ 385: A-21 (Int'l Trade Comm. 1978).

E.C.H. Will v. Freundlich—Gomez Machinery Corp., 201 USPQ 476 (S.D. N.Y. 1978).

RCA Corp. v. Applied Digital Data Systems Inc., 201 USPQ 451 (D. Del. 1979) denied stay where a patentee had not filed a reissue.

Bielomatik Leuze & Co., v. Southwest Tablet Manufacturing Co., 204 USPQ 226 (N.D. Texas 1979) refused to order reissue.

Antonious v. Kamata—Ri & Co. Ltd., 204 USPQ 294 (D. Md. 1979) refused to order reissue.

1443 Initial Examiner Review

On initial receipt of a reissue application, the examiner should inspect the abstract of title to determine whether 37 CFR 1.172 has been complied with.

The examiner should determine if the filing of the reissue has been announced in the *Official Gazette* as provided in 37 CFR 1.11(b), especially where the reissue is a file wrapper continuation under 37 CFR 1.62. If the filing has not been announced, the reissue application should be returned to Application Branch to handle the announcement. The examiner should not further act on the reissue until 2 months after announcement of the filing of the reissue has appeared in the *Official Gazette*: see MPEP § 1440 and 37 CFR 1.176.

The examiner should determine if there is concurrent litigation and if so the status thereof (MPEP § 1442.01, *supra*), and whether the reissue file has been appropriately marked. Note MPEP § 1404.

The examiner should determine if a protest has been filed and if so it should be handled as set forth in MPEP § 1901.06.

The examiner should determine whether the patent is involved in an interference, and if so should refer to MPEP § 1449.01 before taking any action on the reissue application.

The examiner should check that an offer to surrender the original patent, or an affidavit or declaration to the effect that the original is lost or inaccessible, has been received. An examination on the merits is made even though the above has not been complied with, but the examiner should require compliance in the first office action.

The examiner should verify that all Certificate of Correction changes have been properly incorporated into the reissue application.

The examiner should verify that the patent on which the reissue application is based has not expired, either because its term has run or because required maintenance fees have not been paid.

1444 Review of Reissue Oath or Declaration [R-2]

When examining the reissue application, the examiner will consider at each stage or point in the examination whether or not the reissue oath or declaration complies with each of the requirements of 37 CFR 1.175; see MPEP § 1414 to § 1414.05. For example, in all reissue applications, the reissue oath or declaration must comply with the requirements of 37 CFR 1.63; see MPEP § 1414, and MPEP § 602, 37 CFR 1.63(b)(1) and (2), especially. Similarly, for example, all reissue declarations must comply with * sections (a)(5) *>, < (a)(6)>, and (a)(7)< of 37 CFR 1.175; see MPEP § 1414.03 *>, < § 1414.04 ** > and < § 1414.05.

The examiner must check that each and every change in the specification or claims is supported in either the original or a supplemental oath or declaration. Every departure from the original patent represents an "error" in said original patent under 35 U.S.C. 251 and must be particularly and distinctly specified and supported in the original, or a supplemental, reissue oath or declaration under 37 CFR 1.175. Any changes in the specification or claims require an updated supplemental oath or declaration specifically directed and supporting said changes under 37 CFR 1.175. See *In re Constant*, 827 F.2d 728, 729, 3 USPQ2d 1479, 1480 (Fed. Cir.), *cert. denied*, 484 U.S. 894 (1987). Any such supplemental oath or declaration should be filed promptly, preferably at the time of or as soon as possible after the changes in the specification and claims are filed. If the examination reveals a lack of compliance with any of the appropriate requirements of 37 CFR 1.175, a rejection of all the claims should be made on the basis that the reissue oath or declaration is insufficient.

>A lack of signature on a reissue oath or declaration would be considered a lack of compliance with 37 CFR 1.175(a) and result in a rejection, including final rejection, of all claims on the basis that the reissue oath or declaration is insufficient. If an unsigned reissue oath or declaration is submitted as a part of a reply which is otherwise properly signed and responsive to any outstanding Office action, the reply should be accepted by the examiner as proper and responsive, and the oath or

declaration considered fully on the merits in the next Office action. The reply should not be treated as non-responsive as in MPEP § 714.01(a), nor do the provisions of *Ex parte Quayle* apply in this situation. The lack of signature, along with any other oath or declaration deficiencies, should be noted in the next Office action rejecting the claims as being based upon an insufficient reissue oath or declaration. <

Use Form Paragraphs 14.01–14.04 and Form Paragraph 14.14 to reject under 35 U.S.C. 251.

¶ 14.14 *Rejection, Defective Reissue Oath/Declaration*

Claim [1] rejected as being based upon a defective reissue [2] under 35 U.S.C. 251. See 37 CFR 1.175.

Examiner Note:

1. In bracket 1, list all claims in the reissue application. See MPEP 706.03(x).
2. This paragraph should be preceded by at least one of paragraphs 14.01–14.04.
3. In bracket 2, insert either —oath— or —declaration—.

>Form Paragraph 14.04.01 should be used where a supplemental reissue oath or declaration is required.

¶ 14.04.01 *Reissue Application Amended – New/Supplemental Oath Required*

In view of the fact that additional errors in the original patent have been corrected through amendments to the [1], a new/supplemental oath or declaration complying with 37 CFR 1.175(a)(1), (a)(2) and/or (a)(3), (a)(5), (a)(6), and (a)(7) is required. See *In re Constant*, 3 USPQ2d 1479.

Examiner Note:

1. In bracket 1, insert —specification—, —drawings—, or —claims—.
2. This paragraph should be used when amendments have been made to the reissue application including the addition of new claims. Sections 1444 and 1444.01 of the MPEP should be reviewed before use of this paragraph. <

Under no circumstances will any reissue application be passed to issue without full compliance with 37 CFR 1.175. No reissue application can be passed for issue with only 37 CFR 1.175(a)(4) type oath or declaration.

**

1445 Reissue Application Examined in Same Manner as Original Application [R–2]

As stated in 37 CFR 1.176, a reissue application, including all the claims therein, is subject to “be examined in the same manner as original applications”. This means the claims, whether identical to or changed from those in

the patent, are subject to any and all rejections which the examiner deems appropriate. The fact that a rejection was not made, or could have been made, or was made and dropped during prosecution of the patent does not prevent that rejection from being made in the reissue application. Claims in a reissue application enjoy no “<presumption of *validity*”>. < *In re Doyle*, >482 F.2d 1385, 1392, < 179 USPQ 227, 232–233 (CCPA 1973); *In re Sneed* ** >, 710 F.2d 1544, 1550 n.4, < 218 USPQ 385, 389 >n.4< (Fed. Cir. 1983). Likewise, the fact that during prosecution of the patent the examiner considered, may have considered, or should have considered information such as, for example, a specific prior art document, does not have any bearing on or prevent its use as prior art during prosecution of the reissue application.

**

1447 Additional Information, Affidavits, or Declarations Required

37 CFR 1.175. *Reissue oath or declaration*

(b) Corroborating affidavits or declarations of others may be filed and the examiner may, in any case, require additional information or affidavits or declarations concerning the application for reissue and its object.

37 CFR 1.175(b) recognizes the need, when appropriate, for additional information or affidavits or declarations, during examination of reissue applications. 37 CFR 1.175(b) provides that the examiner may require additional information or affidavits or declarations concerning the reissue application and its object.

1448 Fraud, Inequitable Conduct, or Duty of Disclosure Issues [R–1]

The Office no longer investigates and rejects reissue applications under 37 CFR 1.56. The Office will not comment upon duty of disclosure issues which are brought to the attention of the Office in reissue applications except to note in the application, in appropriate circumstances, that such issues are no longer considered by the Office during its examination of patent applications. Examination of lack of deceptive intent in reissue applications will continue but without any investigation of fraud,

inequitable conduct, or duty of disclosure issues. Applicant's statement of lack of deceptive intent normally will be accepted as dispositive except in special circumstances such as an admission or judicial determination of fraud or inequitable conduct. Form paragraph 14.22 may be used if a rejection is appropriate.

¶ 14.22 *Rejection, 35 U.S.C. 251, No Error Without Deceptive Intention*

Claims [1] rejected under 35 U.S.C. 251 since ** error was "without deceptive intention" >has not been established<. Paper no. [2], * >filed< [3] does not support a conclusion that any error was "without deceptive intention" because [4].

Examiner Note:

1. In bracket 1, list all claims in the reissue application.
2. In bracket 2, insert paper number.
3. In bracket 3, insert the >filing< date of the paper.
4. In bracket 4, insert a statement that there has been an admission or a judicial determination of fraud or inequitable conduct or insert an explanation of other special circumstances why applicant's statement in the oath or declaration of lack of deceptive intent should not be taken as dispositive.

1449 Protest Filed in Reissue Where Patent Is in Interference [R-3]

If a protest is filed in a reissue application related to a patent involved in a pending interference proceeding, the reissue application should be referred to the **>Special Program Law Office< before considering the protest and acting on the application.

1449.01 Concurrent Office Proceedings

37 CFR 1.565(d) provides that if "a reissue application and a reexamination proceeding on which an order pursuant to 37 CFR 1.525 has been mailed are pending concurrently on a patent, a decision will normally be made to merge the two proceedings or to stay one of the two proceedings." See MPEP § 2285.

If the original patent is involved in an interference, the examiner must consult the examiner-in-chief in charge of the interference before taking any action on the reissue application. It is particularly important that the reissue application not be granted without the examiner-in-chief's approval. See MPEP § 2360.

1450 Restriction and Election of Species [R-2]

The examiner may not require restriction in a reissue application (37 CFR 1.176 * >and< MPEP § 1440). If the original patent contains claims to different inventions which the examiner may nevertheless consider independent and distinct, and the reissue application also claims the same inventions, the examiner should not require restriction between them or take any other action with respect to the question of plural inventions. Restriction is entirely at the option in the first instance of the applicant (37 CFR 1.177 and MPEP § 1451). If the reissue application contains claims to an independent and distinct invention which was not claimed in the original patent, these claims may be treated by a suitable rejection, such as not being "for the invention disclosed in the original patent," as evidenced by the claims in the original patent*>(< *In re Rowand*, >526 F.2d 558, <187 USPQ 487 (CCPA 1975)>><; lack of inoperativeness of, or defect in, the original patent; lack of error; or not being for matter which might have been claimed in the original patent.

Reissue applicant's failure to timely file a divisional application is not considered to be error causing a patent granted on elected claims to be partially inoperative by reason of claiming less than they had a right to claim; and thus such applicant's error is not correctable by reissue of the original patent under 35 U.S.C. 251*>*In re Watkinson*, 900 F.2d 230, 14 USPQ2d 1407 (Fed. Cir. 1990); < *In re Orita*, **>550 F.2d 1277, < 193 USPQ 145, 148 (CCPA 1977); see also *In re Mead*, 581 F. 2d * >251, < 198 USPQ 412 (CCPA 1978).

When the original patent contains claims to a plurality of species and the reissue application contains claims to the same species, election of species should not be required even though there is no allowable generic claim. If the reissue application presents claims to species not claimed in the original patent, election of species should not be required, but the added claims may be rejected on an appropriate ground which may be lack of defect in the original patent and lack of error in obtaining the original patent. Most situations require special treatment.

1451 Divisional Reissue Applications [R-1]

As is pointed out in the preceding section, the examiner cannot require restriction in reissue applications, but if the original patent claims contain several independent and distinct inventions they can only be granted in separate reissues if the applicant demands it. The following rule sets forth the only possibility of divisional reissue applications.

37 CFR 1.177. *Reissue in divisions.*

**>The Commissioner may, in his or her discretion, cause several patents to be issued for distinct and separate parts of the thing patented, upon demand of the applicant, and upon payment of the required fee for each division. Each division of a reissue constitutes the subject of a separate specification descriptive of the part or parts of the invention claimed in such division; and the drawing may represent only such part or parts, subject to the provisions of §§ 1.83 and 1.84. On filing divisional reissue applications, they shall be referred to the Commissioner. Unless otherwise ordered by the Commissioner upon petition and payment of the fee set forth in § 1.17(i), all the divisions of a reissue will issue simultaneously; if there is any controversy as to one division, the others will be withheld from issue until the controversy is ended, unless the Commissioner orders otherwise.<

Divisional reissue applications are required on filing to be referred to the Office of the Assistant Commissioner for Patents. Where such applications are forwarded to the examining group or examiner without having been so referred, they must be referred immediately to the Office of the Assistant Commissioner for Patents.

It is important that divisional reissue applications be appropriately marked so that they "will issue simultaneously" on the same date as required by 37 CFR 1.177.

Divisional reissue cases which arrive together from the examining corps with appropriate identification on their file jackets (in the Continuing Data box) should be kept and processed together by the Publishing Division and throughout all stages of preparation for issue. Situations yielding divisional reissues occur infrequently and usually involve only two such files. It should be noted, however, that in rare instances in the past, there have been more than two (and as many as five) divisional reissues of a patent.

Some special handling of divisional reissue applications is required in various parts of the Office.

Appropriate amendments to the continuing data entries are to be made to the file jackets and specification paragraphs for all such applications so that all "sibling" divisional reissue applications are specifically identified.

1453 Amendments to Reissue Applications [R-2]

37 CFR 1.121. *Manner of making amendments.*

(e) In reissue applications, both the descriptive portion and the claims are to be amended by either (1) submitting a copy of a portion of the description or an entire claim with all matter to be deleted from the patent being placed between brackets and all matter to be added to the patent being underlined, or (2) indicating the exact word or words to be stricken out or inserted and the precise point where the deletion or insertion is to be made. Any word or words to be inserted must be underlined. See § 1.173.

>Form Paragraph 14.20 may be used to advise applicant as to the proper manner of making amendments.

¶ 14.20 *Amendments to Reissue*

Applicant is notified that any subsequent amendment to the specification and/or claims must comply with 37 CFR 1.121(e).

Examiner Note:

This paragraph may be used in the first Office action to advise applicant of the proper manner of making amendments.

Form Paragraph 14.21 may be used to notify applicant that the proposed amendment does not comply with 37 CFR 1.21(e).

¶ 14.21 *Improper Amendment to Reissue*

The amendment filed [1] is informal/non-responsive because the proposed amendments to claim [2] do not comply with 37 CFR 1.121(e), which sets forth the manner of amending claims in reissue applications. A supplemental paper correctly amending the claims is required within a time limit of ONE MONTH from the date of this letter or within the time remaining in the response period of the last Office action, whichever is longer. **NO EXTENSION OF THIS TIME LIMIT MAY BE GRANTED UNDER 37 CFR 1.136(a) OR (b)**, but the period for the response set in the last office action may be extended up to a maximum of SIX MONTHS.

Examiner Note:

Do not use this paragraph for litigated reissue applications as 37 CFR 1.136(a) would not apply.<

When a reissue patent is printed, all underlined matter is printed in italics and all brackets are printed as inserted in the application to show exactly which additions and deletions have been made to the original patent. Therefore, all underlining and bracketing should be made relative to the text of the original patent.

A substantial number of problems arise in the Office because of improper submission of amendments in reissue applications. The following examples are

provided to assist in preparation of proper amendments to reissue applications.

ORIGINAL DESCRIPTION OR CLAIM AMENDED

(1) Submit a copy of the entire paragraph being amended with underlining and bracketing.

Scanning [is] are controlled by clocks which are, in turn, controlled from the display tube line synchronization. The signals resulting from scanning the scope of the character are delivered in parallel, then converted into serial mode through a shift register wherein the shift signal frequency is controlled by a clock that is, in turn, controlled from the display tube line synchronization.

Claim 6. The apparatus of claim [5] 1 wherein the first piezoelectric element is parallel to the second piezoelectric element.

or (2) Submit an amendment indicating the exact word or words to be deleted or inserted and the precise point where the deletion or insertion is to be made.

Column 6, line 1, change [is] to ---are---.

Column 6, line 2, after "are", insert ---, in turn,---.

Column 6, line 7, after "is", insert ---, in turn,---.

Claim 6, line 2, change [5] to ---1---.

ORIGINAL CLAIM CANCELED

(1) Present entire claim within brackets.

[Claim 6. The apparatus of claim 5 wherein the first piezoelectric element is parallel to the second piezoelectric element.]

or (2) direct cancelation of entire claim.

Cancel claim 6.

ADDING ADDITIONAL CLAIMS

New claim should be presented with underlining throughout the claim.

Claim 7. The apparatus of claim 5 further comprising electrodes attaching to said opposite faces of the first and second piezoelectric elements.

Even though original claims may have been canceled, the numbering of the original claims does not change. Any added claims are numbered beginning with the number next higher than the number of claims in

the original patent. If the dependency of any original dependent claims changes, it is proper to change the dependency to the later filed higher numbered claim. If new claims have been added to the reissue application which are later canceled prior to issuance of the reissue patent, the examiner will renumber any remaining new claims in numerical order to follow the number of claims in the original patent.

AMENDMENT OR CANCELATION OF ADDITIONAL CLAIMS

Any amendments to additional claims presented in the reissue application should be amended only by specifying the words to be deleted or added and the precise point of such deletion or insertion. Likewise, any cancellation of additional claims should be made by specifying the number of the claim or claims to be canceled. Such amendments will be entered by the clerical staff within the Patent and Trademark Office.

ORIGINAL CLAIM FURTHER AMENDED

Examples of proper claim amendment in reissue applications.

A. Patent claim.

Claim 1. A cutting means having a handle portion and a blade portion.

B. Proper first amendment format.

Claim 1. A [cutting means] knife having a bone handle portion and a notched blade portion.

C. Proper second amendment format.

Claim 1. A [cutting means] knife having a handle portion and a serrated blade portion.

Note that the second amendment includes the changes presented in the first amendment; i.e. [cutting means] knife, as well as the changes presented in the second amendment; i.e. serrated. However, the term notched which was presented in the first amendment and replaced by the term serrated in the second amendment and the term bone which was presented in the first amendment and deleted in the second amendment are NOT shown in brackets; i.e. [notched] and [bone] in the second amendment. This is because the terms [notched] and [bone] would not be changes from the patent claim text and therefore are not shown. In both the first and the second amendments, the entire claim is presented with all the changes from the patent text.

1455 Allowance and Issue

In all reissue applications prepared for issue, the number of the original patent being reissued should be placed in the box provided therefor below the box for the applicant's name on the Issue Classification Slip (form PTO-270).

The specifications of reissue patents will be printed in such a manner as to show the changes over the original patent by printing material omitted by reissue enclosed in heavy brackets [] and material added by reissue in italics. 37 CFR 1.173 (see MPEP § 1411) requires the specification of a reissue application to be presented in a specified form, specifically designed to facilitate this different manner of printing, as well as for other reasons.

The printed reissue specification will carry the following heading which will be added by the Patent Issue Division:

"Matter enclosed in heavy brackets [] appears in the original patent but forms no part of this reissue specification; matter printed in italics indicates the additions made by reissue."

The examiners should see that the specification is in proper form for printing. Matter appearing in the original patent which is omitted by reissue should be enclosed in heavy brackets, while matter added by reissue should be underlined.

Any material added by amendment in the reissue application which is later canceled should be crossed through. However, cancelation of material in the original patent should be indicated by brackets.

All the claims of the patent should appear in the specification, with omitted claims enclosed in brackets. No renumbering of the original patent claims is necessary, even if the dependency of a dependent claim is changed by reissue so that it is dependent on a subsequent higher numbered claim. However, when a dependent claim in a reissue application depends upon a claim which has been canceled and no change in dependency to a remaining claim has been made, such a dependent claim must be rewritten in independent form. New claims should follow the number of the highest numbered patent claims and be underlined to indicate italics. The provisions of 37 CFR 1.173 that claims should not be renumbered applies to the reissue application as filed. When the reissue is allowed, any claims remaining which are additional to the patent claims are renumbered in sequence starting with the

number next higher than the number of claims in the original patent. Therefore, the number of claims allowed will not necessarily correspond to the number of the last claim in the reissue application, as allowed.

At least one claim of an allowable reissue application must be designated for printing in the *Official Gazette*. Whenever possible, that claim should be one which has been changed or added by the reissue. A canceled claim must not be designated as the claim for the *Official Gazette*.

In the case of reissue applications which have not been prepared in the indicated manner, the examiner may request from the applicant a clean copy of the reissue specification prepared in the indicated form. However, if the deletions from the original patent are small, the reissue application can be prepared for issue by putting the bracketed inserts at the appropriate places and suitably numbering the claims.

All parent application data on the original patent file wrapper should be placed on the reissue file wrapper, if it is still proper.

The list of references to be printed at the end of the reissue specification should include both the references cited during the original prosecution as well as the references cited during the prosecution of the reissue application. A patent cannot be reissued solely for the purpose of adding citations of additional prior art.

NOTE. — Transfer of drawing, MPEP § 1413.

1456 Reissue Review [R-3]

**>All reissue applications are monitored and reviewed in the Examining Groups by the Office of the Special Program Examiner (includes SPRE, paralegal or other technical support who might be assigned as backup) at several stages during the prosecution. In order to ensure that SPREs are aware of the reissue applications in their groups, a pair of terminal-specific PALM flags have been created which must be set by the SPRE before certain PALM transactions can be completed. First, when a new reissue application enters the Examining Group, a PALM flag must be set at a SPRE PALM terminal before a docketing transaction will be accepted. By having to set this first flag, the SPRE is made aware of the assignment of the reissue application to the group and can take steps, as may be appropriate, to instruct the examiner on reissue-specific procedures before the examination process begins, as well as throughout the period that the examiner is handling the reissue application.

Further, a second PALM flag must be set at a SPRE PALM terminal before a Notice of Allowance can be generated or the PALM transaction for an issue revision can be entered, thereby ensuring that the SPRE is made aware of when the reissue application is being allowed so that the SPRE may be able to conduct a final review of the reissue application, if appropriate.

After leaving the Examining Groups, all reissue applications go through a screening process currently performed in the Special Program Law Office which includes review of the reissue applications' oath or declaration for compliance with 37 CFR 1.175 as well as adherence to current reissue practices. A patentability review is made in a sample of reissue applications by the Office of Quality Review. The screening process and the patentability review are appropriate vehicles for correcting errors, identifying problem areas and recognizing trends, providing information on the uniformity of practice, and providing feedback to the Examining Groups. <

1460 Effect of Reissue [R-1]

35 U.S.C. 252. Effect of reissue.

****>**The surrender of the original patent shall take effect upon the issue of the reissued patent, and every reissued patent shall have the same effect and operation in law, on the trial of actions for causes thereafter arising, as if the same had been originally granted in such amended form, but in so far as the claims of the original and reissued patents are identical, such surrender shall not affect any action then pending nor abate any cause of action then existing, and the reissued patent, to the extent that its claims are identical with the original patent, shall constitute a continuation thereof and have effect continuously from the date of the original patent.

A reissued patent shall not abridge or affect the right of any person or that person's successors in business who, prior to the grant of a reissue, made, purchased, offered to sell, or used within the United States, or imported into the United States, anything patented by the reissued patent, to continue the use of, to offer to sell, or to sell to others to be used, offered for sale, or sold, the specific thing so made, purchased, offered for sale, used, or imported unless the making, using, offering for sale, or selling of such thing infringes a valid claim of the reissued patent which was in the original patent. The court before which such matter is in question may provide for the continued manufacture, use, offer for sale, or sale of the thing made, purchased, offered for sale, used, or imported as specified, or for the manufacture, use, offer for sale, or sale in the United States of which substantial preparation was made before the grant of the reissue, and the court may also provide for the continued practice of any process patented by the reissue that is practiced, or for the practice of which substantial preparation was made, before the grant of the reissue, to the extent and under such terms as the court deems equitable for the protection of investments made or business commenced before the grant of the reissue.

(Amended Dec. 8, 1994, Public Law 103-465, sec. 533, 108 Stat. 4809, effective Jan. 1, 1996.) <

1480 Certificates of Correction — Office Mistake

35 U.S.C. 254. Certificate of correction of Patent and Trademark Office mistake.

Whenever a mistake in a patent, incurred through the fault of the Patent and Trademark Office, is clearly disclosed by the records of the Office, the Commissioner may issue a certificate of correction stating the fact and nature of such mistake, under seal, without charge, to be recorded in the records of patents. A printed copy thereof shall be attached to each printed copy of the patent, and such certificate shall be considered as part of the original patent. Every such patent, together with such certificate, shall have the same effect and operation in law on the trial of actions for causes thereafter arising as if the same had been originally issued in such corrected form. The Commissioner may issue a corrected patent without charge in lieu of and with like effect as a certificate of correction.

37 CFR 1.322. Certificate of correction of Office mistake.

(a) A certificate of correction under 35 U.S.C. 254 may be issued at the request of the patentee or the patentee's assignee. Such certificate will not be issued at the request or suggestion of anyone not owning an interest in the patent, nor on motion of the Office, without first notifying the patentee (including any assignee of record) and affording the patentee an opportunity to be heard. When the request relates to a patent involved in an interference, the request shall comply with the requirements of this section and shall be accompanied by a motion under § 1.635.

(b) If the nature of the mistake on the part of the Office is such that a certificate of correction is deemed inappropriate in form, the Commissioner may issue a corrected patent in lieu thereof as a more appropriate form for certificate of correction, without expense to the patentee.

Mistakes incurred through the fault of the Office are the subject of Certificates of Correction under 37 CFR 1.322. If such mistakes are of such a nature that the meaning intended is obvious from the context, the Office may decline to issue a certificate and merely place the correspondence in the patented file, where it serves to call attention to the matter in case any question as to it arises.

Letters which merely call attention to errors in patents, with a request that the letter be made of record in the patented file, will not be acknowledged.

In order to expedite all proper requests, a Certificate of Correction should be requested only for errors of consequence. Letters making errors of record should be utilized whenever possible.

Each issue of the *Official Gazette* (patents section) numerically lists all United States patents having Certificates of Correction. The list appears under the heading "Certificates of Correction for the week of (date)."

1481 Applicant's Mistake [R-3]**35 U.S.C. 255. Certificate of correction of applicant's mistake.**

Whenever a mistake of a clerical or typographical nature, or of minor character, which was not the fault of the Patent and Trademark Office, appears in a patent and a showing has been made that such mistake occurred in good faith, the Commissioner may, upon payment of the required fee, issue a certificate of correction, if the correction does not involve such changes in the patent as would constitute new matter or would require re-examination. Such patent, together with the certificate, shall have the same effect and operation in law on the trial of actions for causes thereafter arising as if the same had been originally issued in such corrected form.

37 CFR 1.323. Certificate of correction of applicant's mistake.

Whenever a mistake of a clerical or typographical nature or of minor character which was not the fault of the Office, appears in a patent and a showing is made that such mistake occurred in good faith, the Commissioner may, upon payment of the fee set forth in § 1.20(a), issue a certificate, if the correction does not involve such changes in the patent as would constitute new matter or would require reexamination. A request for a certificate of correction of a patent involved in an interference shall comply with the requirements of this section and shall be accompanied by a motion under § 1.635.

37 CFR 1.323 relates to the issuance of Certificates of Correction for the correction of errors which were not the fault of the Office. A mistake is not of a minor character if the requested change would materially affect the scope or meaning of the patent. The fee for providing a correction of applicant's mistake, other than inventorship is set forth in 37 CFR 1.20(a).

The Issue Fee Transmittal Form portion (PTOL-85B) of the Notice of Allowance provides a space (item *3<) for assignment data which should be completed in order to comply with 37 CFR 3.81. Unless an assignee's name and address are identified in item *3< of the Issue Fee Transmittal Form PTOL-85B, the patent will issue to the applicant. Assignment data printed on the patent will be based solely on the information so supplied.

A request for a certificate of correction under 37 CFR 1.323 arising from incomplete or erroneous assignee's name furnished in item *3< of PTOL-85B will not be granted unless a petition under 37 CFR 1.183 has been granted. Any such petition under 37 CFR 1.183 should be directed to the Office of Petitions and should include: (1) the petition fee required by 37 CFR 1.17(h); (2) a request that 37 CFR 3.81(a) be waived to permit the correct name of the assignee to be provided after issuance of the patent; (3) a statement (verified if made by other than a registered attorney or agent) that the failure to include the correct assignee name on the PTOL-85B

was inadvertent; and (4) a copy of the Notice or Recordation of Assignment Document.

35 U.S.C. 256. Correction of named inventor.

Whenever through error a person is named in an issued patent as the inventor, or through error an inventor is not named in an issued patent and such error arose without any deceptive intention on his part, the Commissioner may, on application of all the parties and assignees, with proof of the facts and such other requirements as may be imposed, issue a certificate correcting such error.

The error of omitting inventors or naming persons who are not inventors shall not invalidate the patent in which such error occurred if it can be corrected as provided in this section. The court before which such matter is called in question may order correction of the patent on notice and hearing of all parties concerned and the Commissioner shall issue a certificate accordingly.

In requesting the Office to effectuate a court order correcting inventorship in a patent pursuant to 35 U.S.C. 256, a copy of the court order and a certificate of correction under 37 CFR 1.323 should be submitted to the Certificates of Corrections Branch.

37 CFR 1.324. Correction of inventorship in patent.

Whenever a patent is issued and it appears that the correct inventor or inventors were not named through error without deceptive intention on the part of the actual inventor or inventors, the Commissioner may, on petition of all the parties and the assignees and satisfactory proof of the facts and payment of the fee set forth in § 1.20(b), or on order of a court before which such matter is called in question, issue a certificate naming only the actual inventor or inventors. A request to correct inventorship of a patent involved in an interference shall comply with the requirements of this section and shall be accompanied by a motion under § 1.634.

The "satisfactory proof of facts" required by 37 CFR 1.324 must be of the same type and character as the proof required under 37 CFR 1.48 to justify correcting inventorship in a nonprovisional application, as described in MPEP § 201.03. Unlike correction of inventorship in a nonprovisional application under 37 CFR 1.48(a), where the requirement for a verified statement of facts by each originally named inventor may be waived pursuant to 37 CFR 1.183, any correction of inventorship in a patent under 37 CFR 1.324 requires petition of all the parties; i.e., originally named inventors and assignees, in accordance with statute (35 U.S.C. 256) and thus the requirement cannot be waived. Correction of inventorship request under 37 CFR 1.324 should be directed to the Supervisory Primary Examiner whose unit handles the subject matter of the patent. Form Paragraphs 10.13 **> through 10.18< may be used.

¶ 10.13 Petition Under 37 CFR 1.324, Granted

In re Patent No. [1] :
 Issue Date: [2] : **DECISION ON PETITION**
 Appl. No.: [3] : 37 CFR 1.324
 Filed: [4] :
 For: [5] :

This is a decision on the petition, filed [6], to correct inventorship under 37 CFR 1.324.

The petition is granted.

The patented file is being forwarded to Certificate of Corrections Branch for issuance of a certificate naming only the actual inventor or inventors.

[7]
 Supervisory Patent Examiner,
 Art Unit [8],
 Patent Examining Group [9]

[10]

Examiner Note:

1. Petitions to correct inventorship of an issued patent are decided by the Supervisory Patent Examiner, as set forth in the Commissioner's memorandum dated June 2, 1989.

2. In bracket 10, insert the correspondence address of record.

3. Print this form paragraph on PTO letterhead.

¶ 10.14 Treatment of 37 CFR 1.48 Petition Under 37 CFR 1.324, Granted

In re Patent No. [1] :
 Issue Date: [2] : **DECISION ON PETITION**
 Appl. No.: [3] : 37 CFR 1.324
 Filed: [4] :
 For: [5] :

This is a decision on the petition under 37 CFR under 1.48, filed [6]. In view of the fact that the patent has already issued, the petition has been treated as a petition to correct inventorship under 37 CFR 1.324.

The petition is granted.

The patented file is being forwarded to Certificate of Corrections Branch for issuance of a certificate naming only the actual inventor or inventors.

[7]
 Supervisory Patent Examiner,
 Art Unit [8],
 Patent Examining Group [9]

[10]

Examiner Note:

1. Petitions to correct inventorship of an issued patent are decided by the Supervisory Patent Examiner, as set forth in the Commissioner's memorandum dated June 2, 1989.

2. Print this form paragraph on PTO letterhead..

3. Prepare Certificate using form paragraph 10.15.

>¶ 10.15 Memorandum – Certificate of Correction

DATE: [1]
 TO: Certificate of Corrections Branch
 FROM: [2], SPE, Art Unit [3]
 SUBJECT: Request for Certificate of Correction

Please Issue a Certificate of Correction in U. S. Letters Patent No. [4] as specified on the attached Certificate.

[5], SPE
 Art Unit [6]

**UNITED STATES PATENT AND TRADEMARK
OFFICE CERTIFICATE**

Patent No. [7]
 Patented: [8]

On petition requesting issuance of a certificate for correction of inventorship pursuant to 35 U.S.C. 256, it has been found that the above identified patent, through error and without deceptive intent, improperly sets forth the inventorship. Accordingly, it is hereby certified that the correct inventorship of this patent is:

[9]

[10], SPE
 Art Unit [11]

Examiner Note:

1. In bracket 9, insert the full name and residence (City, State) of each actual inventor.

2. This is an internal memo, not to be mailed to applicant, which accompanies the patented file to Certificates of Corrections Branch as noted in form paragraphs 10.13 and 10.14.

3. In brackets 5 and 10, insert name of SPE; in brackets 6 and 11 the Art Unit and sign above each line.

4. Two separate pages of PTO letterhead will be printed when using this form paragraph.

¶ 10.16 Petition Under 37 CFR 1.324, Dismissed

In re Patent No. [2] : Paper No. [1]
 Issue Date: [3] : **DECISION ON PETITION**
 Appl. No.: [4] : 37 CFR 1.324
 Filed: [5] :
 For: [6] :

This is a decision on the petition filed [7] to correct inventorship under 37 CFR 1.324.

The petition is dismissed.

A petition to correct inventorship as provided by 37 CFR 1.324 requires (1) a petition including a statement of facts verified by all parties, including the original named inventor or inventors and any inventor(s) being added, establishing when the error without deceptive intention was discovered and how it occurred, (2) an oath or declaration by each actual inventor or inventors as required by 37 CFR 1.63, (3) the fee set forth in 37 CFR 1.20(b), and (4) the written consent of all assignees in compliance with 37 CFR 3.73. This petition lacks item[8].

[9]
 Supervisory Patent Examiner,
 Art Unit [10],

Patent Examining Group [11]

[12]

Examiner Note:

1. If each of the four specified items has been submitted but one or more is insufficient, the petition should be denied. See paragraph 10.17. However, if the above noted deficiency can be cured by the submission of a renewed petition, a dismissal would be appropriate.

2. If the petition includes a request for suspension of the rules (37 CFR 1.183) of one or more provisions of 37 CFR 1.324 that are required by the statute (35 U.S.C. 256), form paragraph 10.18 should follow this paragraph.

3. In bracket 8, pluralize as necessary and insert the item number(s) which are missing.

3. In bracket 12, insert correspondence address of record.

4. This form paragraph is printed with the PTO letterhead.

¶ 10.17 *Petition Under 37 CFR 1.324, Denied*

	Paper No. [1]	
In re Patent No. [2]	:	
Issue Date: [3]	:	DECISION ON PETITION
Appl. No.: [4]	:	37 CFR 1.324
Filed: [5]	:	
For: [6]	:	

This is a decision on the petition filed [7] to correct inventorship under 37 CFR 1.324.
The petition is denied.

[8]

[9]
Supervisory Patent Examiner,
Art Unit [10],
Patent Examining Group [11]

[12]

Examiner Note:

1. In bracket 8, a full explanation of the deficiency must be provided.

2. If the petition lacks one or more of the required parts set forth in 37 CFR 1.324, it should be dismissed using paragraph 10.14 or 7.99, rather than be denied.

3. In bracket 12, insert correspondence address of record.

4. This form paragraph is printed with the PTO letterhead.

¶ 10.18 *Waiver of Requirements of 37 CFR 1.324 Under 37 CFR 1.183, Dismissed*

Suspension of the rules under 37 CFR 1.183 may be granted for any requirement of the regulations which is not a requirement of the statutes. In this instance, 35 U.S.C. 256 requires [1]. Accordingly, the petition under 37 CFR 1.183 is dismissed as moot.

Examiner Note:

1. This paragraph should follow paragraph 10.16 whenever the petition requests waiver of one or more of the provisions of 37 CFR 1.324 that are also requirements of 35 U.S.C. 256.

2. If the petition requests waiver of requirements of 37 CFR 1.324 that are not specific requirements of the statute (i.e., the fee or the oath or declaration by all inventors), the application must be forwarded to a Petitions Examiner in the Office of the Deputy Assistant Commissioner for Patent Policy and Projects for decision.<

1485 **Handling of Request for Certificates of Correction [R-3]**

Requests for certificates of correction should be addressed to the attention of the Certificate of Correction Branch, Assistant Commissioner for Patents, Washington, DC 20231. Requests for Certificates of Correction will be forwarded by the Correspondence and Mail Division, to the Certificate of Correction Branch of the Publishing Division, where they will be listed in a permanent record book.

If the patent is involved in an interference, a certificate of correction under 37 CFR 1.324 will not be issued unless a corresponding motion under 37 CFR 1.634 has been granted by the examiner-in-chief. See MPEP § 2334. Otherwise, determination as to whether an error has been made, the responsibility for the error, if any, and whether the error is of such a nature as to justify the issuance of a certificate of correction will be made by the Certificate of Correction Branch. If a report is necessary in making such determination, the case will be forwarded to the appropriate group with a request that the report be furnished. If no certificate is to issue, the party making the request is so notified and the request, report, if any, and copy of the communication to the person making the request are placed in the file and entered thereon under "Contents" by the Certificate of Correction Branch. The case is then returned to the patented files. If a certificate is to issue, it will be prepared and forwarded to the person making the request by the Publishing Division. In that case, the request, the report, if any, and a copy of the letter transmitting the certificate of correction to the person making the request will be placed in the file and entered thereon under "Contents".

Applicants, or their attorneys or agents, are urged to submit the text of the correction on a special Certificate of Correction form, PTO-1050, which can serve as the camera copy for use in direct offset printing of the certificate of correction. Both parts of form PTO-1050 must accompany the request since the second part will be placed in the application file for internal use.

A perforated space at the bottom of form PTO-1050 has been provided for the patentee's current mailing address, and for ordering any desired additional copies of the printed certificate. The fee for each

additional copy ordered is set forth in 37 CFR 1.19(a)(1). The fee should accompany the request.

To facilitate the use of the Form PTO-1050, the public may obtain as many copies as needed from the Correspondence and Mail Division.

Where only a part of a request can be approved, or where the Office discovers and includes additional corrections, the appropriate alterations are made on the form PTO-1050 by the Office. The patentee is notified of the changes on the Notification of Approval—in-part form PTOL-404. The certificate is issued approximately 6 weeks thereafter.

Form PTO-1050 should be used exclusively regardless of the length or complexity of the subject matter. Intricate chemical formulas or page of specification or drawings may be reproduced and mounted on a blank copy of PTO-1050. Failure to use the form has frequently delayed issuance since the text must be retyped by the Office onto a PTO-1050.

The exact page and line number where the errors occur in the application file should be identified on the request. However, on form PTO-1050, only the column and line number in the printed patent should be used.

The patent grant should be retained by the patentee. The Office does not attach the Certificate of Correction to patentee's copy of the patent. The patent grant will be returned to the patentee if submitted.

Below is a sample form illustrating a variety of corrections and the suggested manner of setting out the format. Particular attention is directed to:

a. Identification of the exact point of error by reference to column and line number of the printed patent or to claim number and line where a claim is involved.

b. Conservation of space on the form by typing single space, beginning two lines down from the printed message.

c. Starting the correction to each separate column as a sentence, and using semicolons to separate corrections within said column, where possible.

d. Two-inch space left blank at bottom of the last sheet for signature of attesting officer.

e. Use of quotation marks to enclose the exact subject matter to be deleted or corrected; use of double hyphens (— —) to enclose subject matter to be added, except for formulas.

f. Where a formula is involved, setting out only that portion thereof which is to be corrected or, if necessary, pasting a photocopy onto form PTO-1050.

The examiner's comments are requested on form PTO-306 revised, where, under 37 CFR 1.323, there is a question involving change in subject matter.

UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION

Patent No. — — — — —

Dated April 1, 1969

James W. Worth

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

In the drawings, Sheet 3, Fig. 3, the reference numeral 225 should be applied to the plate element attached to the support member 207. Column 7, lines 45 to 49, the left-hand formula should appear as follows:

Rg \

CXⁿZ

CFz: /

Column 10, formula XXXV, that portion of the formula reading

CH	should read	CH
-C-		-C-

Formula XXXVII, that portion of the formula reading "~~CH2CH~~" should read ~~—CHCH—~~. Column 2, line 68 and column 3, lines 3, 8 and 13, for the claim reference numeral "2", each occurrence, should read ~~—1—~~. Column 10, line 16, cancel beginning with "12. A sensor device" to and including "five strips." in column 11, line 8, and insert the following claim:

12. A control circuit of the character set forth in claim 1 and for an automobile having a convertible top, and including; means for moving said top between raised and lowered retracted position; and control means responsive to said sensor relay for energizing the top moving means for moving said top from retracted position to raised position.

1490 Disclaimers [R-3]

35 U.S.C. 253. Disclaimer.

Whenever, without any deceptive intention, a claim of a patent is invalid the remaining claims shall not thereby be rendered invalid. A patentee, whether of the whole or any sectional interest therein, may, on payment of the fee required by law, make disclaimer of any complete claim, stating therein the extent of his interest in such patent. Such disclaimer shall be in writing, and recorded in the Patent and Trademark Office; and it shall thereafter be considered as part of the original patent to the extent of the interest possessed by the disclaimant and by those claiming under him.

In like manner any patentee or applicant may disclaim or dedicate to the public the entire term, or any terminal part of the term, of the patent granted or to be granted.

37 CFR 1.321. Statutory disclaimers, including terminal disclaimers.

(a) A patentee owning the whole or any sectional interest in a patent may disclaim any complete claim or claims in a patent. In like manner any patentee may disclaim or dedicate to the public the entire term, or any terminal part of the term, of the patent granted. Such disclaimer is binding upon the grantee and its successors or assigns. A notice of the disclaimer is published in the *Official Gazette* and attached to the printed copies of the specification. The disclaimer, to be recorded in the Patent and Trademark Office, must:

(1) be signed by the patentee, or an attorney or agent of record;
 (2) identify the patent and complete claim or claims, or term being disclaimed. A disclaimer which is not a disclaimer of a complete claim or claims, or term, will be refused recordation;

(3) state the present extent of patentee's ownership interest in the patent; and

(4) be accompanied by the fee set forth in § 1.20(d).

(b) An applicant or assignee may disclaim or dedicate to the public the entire term, or any terminal part of the term, of a patent to be granted. Such terminal disclaimer is binding upon the grantee and its successors or assigns. The terminal disclaimer, to be recorded in the Patent and Trademark Office, must:

(1) be signed:

(i) by the applicant, or

(ii) if there is an assignee of record of an undivided part interest, by the applicant and such assignee, or

(iii) if there is an assignee of record of the entire interest, by such assignee, or

(iv) by an attorney or agent of record;

(2) specify the portion of the term of the patent being disclaimed;

(3) state the present extent of applicant's or assignee's ownership interest in the patent to be granted; and

(4) be accompanied by the fee set forth in § 1.20(d).

(c) A terminal disclaimer, when filed to obviate a >judicially created< double patenting rejection in a patent application or in a reexamination proceeding, must:

(1) Comply with the provisions of paragraphs (b)(2) through (b)(4) of this section;

(2) Be signed in accordance with paragraph (b)(1) of this section if filed in a patent application or in accordance with paragraph (a)(1) of this section if filed in a reexamination proceeding; and

(3) Include a provision that any patent granted on that application or any patent subject to the reexamination proceeding shall be enforceable only for and during such period that said patent is commonly owned with the application or patent which formed the basis for the rejection.

A disclaimer is a statement filed by an owner (in part or in entirety) of a patent or of a patent to be granted, in which said owner relinquishes certain legal rights to the patent. There are two types of disclaimers: statutory and terminal. For a disclaimer to be accepted, it must be signed by the proper party as follows:

(1) A disclaimer filed in a patent or a reexamination proceeding must be signed by either (a) the patentee, or (b) an attorney or agent of record.

(2) A disclaimer filed in an application must be signed by either (a) the applicant where the application has not been assigned, the applicant and the assignee where each owns a part interest in the application, the assignee where assignee owns the entire interest in the application, or (b) an attorney or agent of record.

(3) Where the assignee signs the disclaimer, there is a requirement to comply with 37 CFR 3.73 (b) in order to

satisfy 37 CFR 1.321. See MPEP § 324 as to compliance with 37 CFR 3.73 (b). A copy of the "Certificate Under 37 CFR 3.73 (b)" reproduced in MPEP § 324 may be sent by the examiner to applicant to provide an acceptable way to comply with the requirements of 37 CFR 3.73 (b).

Where the attorney or agent of record signs the disclaimer, there is no need to comply with 37 CFR 3.73 (b).

STATUTORY DISCLAIMERS

Under 37 CFR 1.321(a) the owner of a patent may disclaim a complete claim or claims of his patent. This may result from a lawsuit or because he has reason to believe that the claim or claims are too broad or otherwise invalid. If the patent is involved in an interference, see MPEP § 2362.

TERMINAL DISCLAIMERS

37 CFR 1.321(a), also provides for the filing by an applicant or patentee of a terminal disclaimer which disclaims or dedicates to the public the entire term or any portion of the term of a patent to be granted.

37 CFR 1.321** (c) specifically * > provides < for the filing of a terminal disclaimer in an application or a reexamination proceeding for the purpose of overcoming a ** > judicially created double patenting rejection <. See MPEP § 804.02.

PROCESSING

The Certificates of Corrections Branch is responsible for the handling of all statutory disclaimers filed under the first paragraph of 35 U.S.C. 253, whether the case is pending or patented, and all terminal disclaimers (filed under the second paragraph of 35 U.S.C. 253) except for those filed in an application pending in an Examining Group. This involves:

(1) Determining compliance with 35 U.S.C. 253 and 37 CFR 1.321 and 3.73;

(2) Notifying applicant or patentee when the disclaimer is informal and thus not acceptable;

(3) Recording the disclaimers; and

(4) Providing the disclaimer data for printing.

TERMINAL DISCLAIMER IN PENDING APPLICATION PRACTICE

Where a terminal disclaimer is filed in an application pending in an Examining Group, it will be processed by the paralegal of the Office of the Special Program

Examiner of the Examining Group having responsibility for the application. The paralegal will:

(1) Determine compliance with 35 U.S.C. 253 and 37 CFR 1.321 and 3.73;

(2) Notify the examiner having charge of the application whether the terminal disclaimer is acceptable or not;

(3) Where the terminal disclaimer is not acceptable, indicate the nature of the informalities so that the examiner can inform applicant in the next Office action;

(4) Record the terminal disclaimer; and

(5) Provide the appropriate terminal disclaimer data for printing.

The paralegal will identify a terminal disclaimer as being present in an application by:

(a) Attaching a green label to the file wrapper;

(b) Stamping a notice on the file of the term which has been disclaimed;

(c) Endorsing the paper containing the terminal disclaimer submission on the "Contents" flap of the application file; and

(d) Entering the terminal disclaimer into the PALM system records, for the application.

As to points 2 and 3 above, the Group's paralegal completes a Terminal Disclaimer Informal Memo to notify the examiner of the nature of the informalities in the terminal disclaimer. The examiner should notify the applicant of the informalities in the next Office action, or by interview with applicant if such will expedite prosecution of the application. Further, the examiner should initial and date the Terminal Disclaimer Informal Memo and return it to the paralegal to indicate that the examiner has appropriately notified applicant about the terminal disclaimer, and so that the Terminal Disclaimer Informal Memo may be discarded.

T.D. INFORMAL MEMO

DATE:

TO: Examiner: _____ Appl. S.N.: _____
 FROM: _____, Paralegal _____ Art Unit: _____

SUBJECT: Decision on Terminal Disclaimer (T.D.) filed: _____

INSTRUCTIONS: I have reviewed the submitted T.D. with the results as set forth below. If you agree, please use the appropriate form paragraphs identified by this informal memo in your next Office action to notify applicant about the T.D. If you disagree with my analysis or have any Q's at all about the acceptability of the T.D., please see me or our Special Program Examiner. **THIS MEMO IS AN INFORMAL, INTERNAL MEMO ONLY. IT SHOULD NOT BE MAILED TO APPLICANT, NOR SHOULD A COPY BE IN THE APPLICATION FILE. WHEN YOUR ACTION IS DONE, YOU SHOULD INITIAL AND RETURN THIS MEMO TO ME.**

The T.D. is PROPER and has been recorded. (See 14.23).

The T.D. is NOT PROPER and has not been accepted for the reason (s) checked below. (See 14.24):

The recording fee of \$ _____ has not been submitted nor is there any authorization in the application file for the use of a deposit account. (See 14.26.07).

The T.D. does not satisfy Rule 321(b) (3) in that the person who has signed the T.D. has not stated the extent of his/her interest (and/or the extent of the interest of the business entity represented by the signature) in the application/patent (See 14.26 and 14.26.01).

The T.D. lacks the enforceable only during the common ownership clause - needed to overcome a double patenting rejection, Rule 321(c). (See 14.26, 14.27.01).

It is directed to a particular claim or claims, which is not acceptable since "the disclaimer must be of a terminal portion of the term of the entire patent to be granted." (MPEP 1490) (See 14.26, 14.26.02).

The person who signed the terminal disclaimer:

has failed to state his/her capacity to sign for the business entity (See 14.28).

is not recognized as an officer of the assignee (See 14.29 and possibly 14.29.01).

No documentary evidence of a chain of title from the original inventor (s) to assignee has been submitted, nor is the reel and frame number specified as to where such evidence is recorded in the Office. 37 CFR 3.73 (b). See 1140 O.G. 72.

NOTE-This documentary evidence or the specifying of the reel and frame number may be found in the T.D. or in a separate paper submitted by applicant. (See 14.30).

No "statement" specifying that the evidentiary documents have been reviewed and that, to the best of the assignee's knowledge and belief title is in the assignee seeking to take action. 37 CFR 3.73 (b). See 1140 O.G. 72.

NOTE-This "statement" may be found in the T.D. or in a separate paper signed by the assignee. (See 14.31).

The T.D. is not signed. (See 14.26, 14.26.03).

The serial number of the application (or the number of the patent) which forms the basis for the double patenting rejection is missing or incorrect. (See 14.32).

The serial number of this application (or the number of the patent in reexam or reissue cases) being disclaimed is missing or incorrect. (See 14.26, 14.26.04 or 14.26.05).

The period disclaimed is incorrect or not specified. (See 14.26, 14.27.02 or 14.27.03).

Other:

Suggestion to request refund (See 14.36). (NOTE-if authorized, credit refund to deposit acc't and do NOT check this item.)

I have appropriately notified applicant (s) about the T.D. filed in this case.

Ex. initials and date: _____

Rev. 1/96

Since the claims of pending applications are subject to cancellation, amendment, or renumbering, a terminal disclaimer directed to a particular claim or claims will not be accepted; the disclaimer must be of a terminal portion of the term of the entire patent to be granted. The statute does not provide for conditional disclaimers and accordingly, a proposed disclaimer which is made contingent on the allowance of certain claims cannot be accepted. The disclaimer should identify the disclaimant and his or her interest in the application and should specify the date when the disclaimer is to become effective.

A terminal disclaimer filed to obviate a double patenting rejection is effective only with respect to the application identified in the disclaimer unless by its terms it extends to continuing applications. For example, a terminal disclaimer filed in a parent application normally has no effect on a continuing application claiming filing date benefits of the parent application under 35 U.S.C. 120. If two (or more) pending applications are filed, in *each* of which a rejection of one claimed invention over the other on the ground of obviousness-type double patenting is proper, the rejection will be made in each application. An appropriate terminal disclaimer must be filed in *each* application. This is because a terminal disclaimer filed to obviate a double patenting rejection is effective only with respect to the application identified in the disclaimer. Moreover, the filing of an appropriate terminal disclaimer in each application will prevent a potential extension of monopoly in the last application to be issued.

>The following Form Paragraphs may be used to inform the applicant of the status of a terminal disclaimer.<

>¶ 14.23 *Terminal Disclaimer Proper*

The terminal disclaimer filed on [1] disclaiming the terminal portion of any patent granted on this application which would extend beyond the expiration date of [2] has been reviewed and is accepted. The terminal disclaimer has been recorded.

Examiner Note:

1. In bracket 1, insert the date the terminal disclaimer was filed.
2. In bracket 2, list the patent number and/or application number (including series code and serial no.) preceded by the phrase --any patent granted on application number--.
3. If an assignment is submitted to support the terminal disclaimer, also use 14.34 to suggest that the assignment be separately submitted for recording in the Office.
4. See MPEP § 1490 for discussion of requirements for a proper terminal disclaimer.

5. Use form paragraph 14.23.01 for reexamination proceedings.
6. For improper terminal disclaimers, see the form paragraphs which follow.

¶ 14.23.01 *Terminal Disclaimer Proper (Reexam Only)*

The terminal disclaimer filed on [1] disclaiming the terminal portion of the patent being reexamined which would extend beyond the expiration date of [2] has been reviewed and is accepted. The terminal disclaimer has been recorded.

Examiner Note:

1. In bracket 1, insert the date the terminal disclaimer was filed.
2. In bracket 2, list the patent number and/or application number (including series code and serial no.) preceded by the phrase --any patent granted on application number--.
3. If an assignment is submitted to support the terminal disclaimer, also use 14.34 to suggest that the assignment be separately submitted for recording in the Office.
4. See MPEP § 1490 for discussion of requirements for a proper terminal disclaimer.
5. For improper terminal disclaimers, see the form paragraphs which follow.

¶ 14.24 *Terminal Disclaimer Not Proper—Introductory Paragraph*

The terminal disclaimer filed on [1] disclaiming the terminal portion of any patent granted on this application which would extend beyond the expiration date of [2] has been reviewed and is NOT accepted.

Examiner Note:

1. In bracket 1, insert the date the terminal disclaimer was filed.
2. In bracket 2, list the patent number and/or application number (including series code and serial no.) preceded by the phrase --any patent granted on application number--.
3. One or more of the appropriate paragraphs 14.26 to 14.32 MUST follow this paragraph to indicate why the terminal disclaimer is not accepted.
4. Form paragraph 14.33 includes the full text of rule 37 CFR 3.73 and may be included in the Office action when deemed appropriate.
5. Form paragraph 14.35 may be used to inform applicant that an additional disclaimer fee will not be required for the submission of a replacement or supplemental terminal disclaimer.
6. Do not use in reexamination proceedings, use form paragraph 14.25 instead.

¶ 14.25 *Terminal Disclaimer Not Proper—Introductory Paragraph (Reexam Only)*

The terminal disclaimer filed on [1] disclaiming the terminal portion of the patent undergoing reexamination which would extend beyond the expiration date of [2] has been reviewed and is NOT accepted.

Examiner Note:

1. In bracket 1, insert the date the terminal disclaimer was filed.
2. In bracket 2, list the patent number and/or the application number (including series code and serial no.) preceded by the phrase --any patent granted on application number--.
3. One or more of the appropriate paragraphs 14.26 to 14.32 MUST follow this paragraph to indicate why the terminal disclaimer is not accepted.
4. Form paragraph 14.33 includes the full text of rule 37 CFR 3.73 and may be included in the Office action when deemed appropriate.
5. Form paragraph 14.35 may be used to inform applicant that an additional disclaimer fee will not be required for the submission of a replacement or supplemental terminal disclaimer.

¶ 14.26 Does Not Comply With 37 CFR 1.321(b) and/or (c) "Sub-Heading" Only

The terminal disclaimer does not comply with 37 CFR 1.321(b) and/or (c) because:

Examiner Note:

1. This paragraph MUST be preceded by 14.24 or 14.25 and followed by one or more of the appropriate paragraphs 14.26.01 to 14.27.03.

¶ 14.26.01 Extent of Interest Not Stated

The person who has signed the disclaimer has not stated the extent of his/her interest, or the business entity's interest, in the application/patent - see 37 CFR 1.321(b)(3).

Examiner Note:

1. This paragraph MUST be preceded by 14.24 or 14.25 AND 14.26.

¶ 14.26.02 Directed To Particular Claim(S)

It is directed to a particular claim or claims, which is not acceptable, since "the disclaimer must be of a terminal portion of the term of the entire [patent or] patent to be granted." See MPEP § 1490.

Examiner Note:

1. This paragraph MUST be preceded by 14.24 or 14.25 AND 14.26.

¶ 14.26.03 Not Signed

The terminal disclaimer was not signed.

Examiner Note:

1. This paragraph MUST be preceded by 14.24 or 14.25 AND 14.26.

¶ 14.26.04 Application/Patent Not Identified

The application/patent being disclaimed has not been identified.

Examiner Note:

1. This paragraph MUST be preceded by 14.24 or 14.25 AND 14.26.

¶ 14.26.05 Application/Patent Improperly Identified

The application/patent being disclaimed has been improperly identified since the number used to identify the [1] being disclaimed is incorrect, the correct number is [2].

Examiner Note:

1. This paragraph MUST be preceded by 14.24 or 14.25 AND 14.26.

2. In bracket 1, insert --application-- or --patent--.

3. In bracket 2, insert the correct application number (including series code and serial no.) or the correct patent number being disclaimed.

4. A terminal disclaimer is acceptable if it includes the correct patent number or the correct application number or the serial number together with the proper filing date or the proper series code.

¶ 14.26.06 Not Signed by All Owners

It was not signed by all owners and, therefore, supplemental terminal disclaimers are required from the remaining owners.

Examiner Note:

1. This paragraph MUST be preceded by 14.24 or 14.25 AND 14.26.

¶ 14.26.07 No Disclaimer Fee Submitted

The disclaimer fee of \$[1] in accordance with 37 CFR 1.20(d) has not been submitted, nor is there any authorization in the application file to charge a specified Deposit Account.

Examiner Note:

1. In bracket 1, insert the fee for a disclaimer.

2. This paragraph MUST be preceded by 14.24 or 14.25 AND 14.26. If the disclaimer fee was paid for a terminal disclaimer which was not accepted, applicant does not have to pay another disclaimer fee when submitting a replacement or supplemental terminal disclaimer, and this paragraph should not be used.

¶ 14.27.01 Lacks Clause of Enforceable Only During Period of Common Ownership

It does not include a recitation that any patent granted shall be enforceable only for and during such period that said patent is commonly owned with the application(s) or patent(s) which formed the basis for the double patenting rejection. See 37 CFR 1.321(c)(3).

Examiner Note:

1. This paragraph MUST be preceded by 14.24 or 14.25 AND 14.26.

¶ 14.27.02 Fails to Disclaim Terminal Portion of Any Patent Granted on Subject Application

It fails to disclaim the terminal portion of any patent granted on the subject application.

Examiner Note:

1. This paragraph MUST be preceded by 14.24 or 14.25 AND 14.26.

2. Use this paragraph when the period disclaimed is not the correct period or when no period is specified at all.

3. When using this form paragraph, give an example of proper terminal disclaimer language using form paragraph 14.27.04 following this or the series of statements concerning the defective terminal disclaimer.

¶ 14.27.03 Fails to Disclaim Terminal Portion of Subject Patent

It fails to disclaim the terminal portion of the subject patent.

Examiner Note:

1. This paragraph MUST be preceded by 14.24 or 14.25 AND 14.26.

2. Use this paragraph in a reissue application or reexamination proceeding when the period disclaimed is not the correct period or when no period is specified at all.

3. When using this form paragraph, give an example of proper terminal disclaimer language using form paragraph 14.27.05 (for reissue) or 14.27.06 (for reexamination proceeding) following this or the series of statements concerning the defective terminal disclaimer.

¶ 14.27.04 Examples of Acceptable Terminal Disclaimer Language in Patent To Be Granted

Examples of acceptable language for making the disclaimer of the terminal portion of any patent granted on the subject application follow:

I. If a Provisional Obviousness-Type Double Patenting Rejection Over A Pending Application was made, use:

Petitioner hereby disclaims, except as provided below, the terminal part of any patent granted on the instant application, which would extend beyond the expiration date of any patent

granted on Application No. ____/_____, filed on _____, as shortened by any terminal disclaimer. Petitioner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and any patent granted on the above-listed application are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors, or assigns.

II. If an Obviousness—Type Double Patenting Rejection Over A Prior Patent was made, use:

Petitioner hereby disclaims, except as provided below, the terminal part of any patent granted on the instant application, which would extend beyond the expiration date of Patent No. _____, as presently shortened by any terminal disclaimer. Petitioner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and the above listed patent are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors, or assigns.

¶ 14.27.05 Examples of Acceptable Terminal Disclaimer Language in an Existing Patent

Examples of acceptable language for making the disclaimer of the terminal portion of the subject patent follow:

I. If a Provisional Obviousness—Type Double Patenting Rejection Over A Pending Application was made, use:

Petitioner hereby disclaims, except as provided below, the terminal part of any patent granted on the instant application, which would extend beyond the expiration date of any patent granted on Application No. ____/_____, filed on _____, as shortened by any terminal disclaimer. Petitioner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and any patent granted on the above-listed application are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors, or assigns.

II. If an Obviousness—Type Double Patenting Rejection Over A Prior Patent was made, use:

Petitioner hereby disclaims, except as provided below, the terminal part of any patent granted on the instant application, which would extend beyond the expiration date of Patent No. _____, as presently shortened by any terminal disclaimer. Petitioner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and the above listed patent are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors, or assigns.

¶ 14.27.06 Examples of Acceptable Terminal Disclaimer Language in Patent (Reexamination Situation)

Examples of acceptable language for making the disclaimer of the terminal portion of the patent being reexamined follow:

I. If a Provisional Obviousness—Type Double Patenting Rejection Over A Pending Application was made, use:

Petitioner hereby disclaims, except as provided below, the terminal part of the patent being reexamined, which would extend beyond the expiration date of any patent granted on Ap-

plication No. ____/_____, filed on _____, as shortened by any terminal disclaimer. Petitioner hereby agrees that the patent being reexamined shall be enforceable only for and during such period that it and any patent granted on the above-listed application are commonly owned. This agreement runs with any reexamination certificate issued on the instant patent and is binding upon the grantee, its successors, or assigns.

II. If an Obviousness—Type Double Patenting Rejection Over A Prior Patent was made, use:

Petitioner hereby disclaims, except as provided below, the terminal part of the patent being reexamined, which would extend beyond the expiration date of Patent No. _____, as presently shortened by any terminal disclaimer. Petitioner hereby agrees that the patent for which a reexamination certificate is issued as a result of this proceeding shall be enforceable only for and during such period that it and the above listed patent are commonly owned. This agreement runs with any reexamination certificate issued on the instant patent and is binding upon the grantee, its successors, or assigns.

¶ 14.28 Failure To State Capacity To Sign

The person who signed the terminal disclaimer has failed to state his/her capacity to sign for the corporation or other business entity.

Examiner Note:

1. This paragraph **MUST** be preceded by 14.24 OR 14.25 and 14.26.

¶ 14.29 Not Recognized as Officer of Assignee "Sub-Heading" Only

The person who signed the terminal disclaimer is not recognized as an officer of the assignee. See MPEP § 324.

Examiner Note:

1. This form paragraph is to be used when the person signing the terminal disclaimer is not an authorized officer as defined in MPEP § 324.

2. This paragraph **MUST** be preceded by 14.24 or 14.25 and followed by 14.29.01 and/or 14.29.02 when appropriate. An attorney or agent of record is always authorized to sign the terminal disclaimer, even though there is no indication that he or she is an officer of the assignee.

4. Use 14.29.02 to explain how an official, other than a recognized officer, may properly execute a terminal disclaimer.

¶ 14.29.01 Attorney/Agent Not Of Record

An attorney or agent, not of record, is not authorized to sign a terminal disclaimer in the capacity as an attorney acting in a representative capacity as provided by 37 CFR 1.34(a). See 37 CFR 1.321(b) and/or (c).

Examiner Note:

1. This paragraph **MUST** be preceded by 14.24 or 14.25 AND 14.29.

2. An attorney or agent, however, may sign a terminal disclaimer provided he/she is an attorney or agent of record or is established as an appropriate official of the assignee. To suggest to the attorney or agent, not of record, how he/she may establish status as an appropriate official of the assignee to execute a terminal disclaimer, use form paragraph 14.29.02.

¶ 14.29.02 Criteria To Accept When Signed by a Non-Recognized Officer

It should be noted that it would be acceptable for a person, other than a recognized officer, to execute a terminal disclaimer, provided the

record for the application includes a statement with both of the following:

- 1) a statement that the person is empowered to sign terminal disclaimers and/or act on behalf of the organization, and
- 2) the standard declaration under 37 CFR 1.68, e.g., —

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Accordingly, a new terminal disclaimer which includes both enumerated items will be considered to be executed by an appropriate official of the assignee. If a terminal disclaimer is executed by a registered practitioner, item 2) above may be omitted. A separately filed paper referencing the previously filed terminal disclaimer and containing a proper empowerment statement would also be acceptable.

Examiner Note:

1. This paragraph **MUST** be preceded by 14.24 or 14.25 AND 14.29.
2. When paragraph 14.29 is used to indicate that a terminal disclaimer is denied because it was not signed by a recognized officer, this paragraph should be used to point out one way to correct the problem.
3. While an indication of the person's title is desirable, its inclusion is not mandatory when this option is employed.
4. A sample terminal disclaimer should be sent with the Office action.

¶ **14.30 No Evidence of Chain of Title to Assignee**

There is no documentary evidence of a chain of title from the original inventor(s) to the assignee, nor is it specified (by reel and frame number) where such documentary evidence is recorded in the Office (37 CFR 3.73(b)).

Examiner Note:

1. This paragraph **MUST** be preceded by 14.24 or 14.25.
2. Where an attorney or agent of record signs a terminal disclaimer, there is no need to provide a statement under 37 CFR 3.73(b). Thus, this form paragraph should not be used.
3. It should be noted that the documentary evidence or the specifying of reel and frame number may be found in the terminal disclaimer itself or in a separate paper.

¶ **14.31 No Statement of Review of Documents and Certification of Title Being in the Assignee Seeking Action**

There is no statement by the assignee specifying that the evidentiary documents have been reviewed and certifying that, to the best of the assignee's knowledge and belief, title is in the assignee seeking to take action (37 CFR 3.73(b)).

Examiner Note:

1. This paragraph **MUST** be preceded by 14.24 or 14.25.
2. Where an attorney or agent of record signs a terminal disclaimer, there is no need to provide a statement under 37 CFR 3.73(b). Thus, this form paragraph should not be used.
3. See MPEP § 324.

¶ **14.32 Application/Patent Which Forms Basis for Rejection Not Identified**

The application/patent which forms the basis for the double patenting rejection is not identified in the terminal disclaimer.

Examiner Note:

1. This paragraph **MUST** be preceded by 14.24 or 14.25.
2. Use this paragraph when no information is presented. If incorrect information is contained in the terminal disclaimer, use form paragraph 14.26 and 14.26.05.
3. Also use this paragraph if a terminal disclaimer fails to list all applications/patents used in the double patenting rejection(s).
4. If appropriate, explain the error by identifying the application(s)/patent(s) improperly identified or omitted.

¶ **14.33 37 CFR 3.73 Establishing Right of Assignee To Prosecute**

The following is a statement of 37 CFR 3.73, which became effective on September 4, 1992:

37 CFR 3.73 Establishing right of assignee to prosecute.

(a) The inventor is presumed to be the owner of a patent application, and any patent that may issue therefrom, unless there is an assignment. The original applicant is presumed to be the owner of a trademark application unless there is an assignment.

(b) When the assignee of the entire right, title, and interest seeks to take action in a matter before the Office with respect to a patent application, trademark application, patent, registration, or reexamination proceeding, the assignee must establish its ownership of the property to the satisfaction of the Commissioner. Ownership is established by submitting to the Office documentary evidence of a chain of title from the original owner to the assignee or by specifying (e.g. reel and frame number, etc.) where such evidence is recorded in the Office. Documents submitted to establish ownership may be required to be recorded as a condition to permitting the assignee to take action in a matter pending before the Office. In addition, the assignee of a patent application or patent must submit a statement specifying that the evidentiary documents have been reviewed and certifying that, to the best of assignee's knowledge and belief, title is in the assignee seeking to take the action.

¶ **14.34 Suggestion To Record Assignment Submitted With Terminal Disclaimer**

The assignment document filed on [1] is acceptable as the documentary evidence required by 37 CFR 3.73. If the assignment document is not already recorded with the Patent and Trademark Office, it is suggested that the assignment document be submitted for recording among the Office assignment records. See 37 CFR 1.331 and MPEP § 302.

Examiner Note:

1. In bracket 1, insert the date the assignment document was filed.
2. This paragraph should be used when an assignment document (an original, facsimile, or copy) is submitted for recording among the assignment records of the Office.

¶ 14.35 Disclaimer Fee Not Required Twice

It should be noted that applicant is not required to pay another disclaimer fee as set forth in 37 CFR 1.20(d) when submitting a replacement or supplemental terminal disclaimer.

Examiner Note:

This paragraph can be used to notify an applicant that another disclaimer fee will not be required when a replacement or supplemental terminal disclaimer is submitted.

¶ 14.36 Suggestion That Applicant Request a Refund

Since the required fee for the terminal disclaimer was previously paid, applicant's payment of an additional terminal disclaimer fee is not required. Applicant may request a refund of this additional terminal disclaimer fee by submitting a written request for a refund and a copy of this Office action to: Commissioner of Patents and Trademarks, Office of Finance, Washington, DC 20231.

Examiner Note:

1. This paragraph should be used to notify applicant that a refund can be obtained if another terminal disclaimer fee was paid when a replacement or supplemental terminal disclaimer was submitted.

2. Note – If applicant has authorized or requested a fee refund to be credited to a specific deposit account, then an appropriate credit should be made to that deposit account and this paragraph should NOT be used.

¶ 14.37 Samples of a Terminal Disclaimer Over a Pending Application and Assignee Certificate Enclosed

Enclosed with this Office action is a sample terminal disclaimer which is effective to overcome a provisional obviousness-type double patenting rejection over a pending application (37 CFR 1.321(b) and (c)).

Also enclosed is a sample Certificate Under 37 CFR 3.73(b) which an assignee may use in order to ensure compliance with the rule. Part A of the Certificate is used when there is a single assignment from the inventor(s). Part B of the Certificate is used when there is a chain of title. The "Copies of assignments..." box should be checked when the assignment document(s) (set forth in part A or part B) is/are not recorded in the Office, and a copy of the assignment document(s) is/are attached. When the "Copies of assignments..." box is checked, either the part A box or the part B box, as appropriate, must be checked, and the "Reel _____, Frame _____" entries should be left blank. If the part B box is checked, and copies of assignments are not included, the "From: _____ To: _____" blank(s) must be filled in. This certificate should be used the first time an assignee seeks to take action in an application under 37 CFR 3.73(b), e.g., when signing a terminal disclaimer or a power of attorney.

Examiner Note:

This paragraph can be used to provide applicant samples of a terminal disclaimer which contains the necessary clauses to overcome a provisional obviousness-type double patenting rejection over a pending application and a Certificate to be signed by an assignee to ensure compliance with 37 CFR 3.73(b).

(See your Group Paralegal or Special Program Examiner for copies of the sample terminal disclaimer and Certificate to enclose with the Office action. Alternatively, it is permissible to copy the sample terminal disclaimer found in MPEP § 1490.)

¶ 14.38 Samples of a Terminal Disclaimer Over a Prior Patent and Assignee Certificate Enclosed

Enclosed with this Office action is a sample terminal disclaimer which is effective to overcome an obviousness-type double patenting rejection over a prior patent (37 CFR 1.321(b) and (c)).

Also enclosed is a sample Certificate Under 37 CFR 3.73(b) which an assignee may use in order to ensure compliance with the rule. Part A of the Certificate is used when there is a single assignment from the inventor(s). Part B of the Certificate is used when there is a chain of title. The "Copies of assignments..." box should be checked when the assignment document(s) (set forth in part A or part B) is/are not recorded in the Office, and a copy of the assignment document(s) is/are attached. When the "Copies of assignments..." box is checked, either the part A box or the part B box, as appropriate, must be checked, and the "Reel _____, Frame _____" entries should be left blank. If the part B box is checked, and copies of assignments are not included, the "From: _____ To: _____" blank(s) must be filled in. This certificate should be used the first time an assignee seeks to take action in an application under 37 CFR 3.73(b), e.g., when signing a terminal disclaimer or a power of attorney.

Examiner Note:

This paragraph can be used to provide applicant samples of a terminal disclaimer which contains the necessary clauses to overcome an obviousness-type double patenting rejection over a prior patent and a Certificate to be signed by an assignee to ensure compliance with 37 CFR 3.73(b).

(See your Group Paralegal or Special Program Examiner for copies of the sample terminal disclaimer and Certificate to enclose with the Office action. Alternatively, it is permissible to copy the sample terminal disclaimer found in MPEP § 1490.)

¶ 14.39 Sample Assignee Certificate Under 37 CFR 3.73(b) Enclosed

Enclosed with this Office action is a sample Certificate under 37 CFR 3.73(b) which an assignee may use in order to ensure compliance with the Rule. Part A of the Certificate is used when there is a single assignment from the inventor(s). Part B of the Certificate is used when there is a chain of title. The "Copies of assignments..." box should be checked when the assignment document(s) (set forth in part A or part B) is/are not recorded in the Office, and a copy of the assignment document(s) is/are attached. When the "Copies of assignments..." box is checked, either the part A box or the part B box, as appropriate, must be checked, and the "Reel _____, Frame _____" entries should be left blank. If the part B box is checked, and copies of assignments are not included, the "From: _____ To: _____" blank(s) must be filled in. This certificate should be used the first time an assignee seeks to take action in an application under 37 CFR 3.73(b).

Examiner Note:

This paragraph can be used to provide applicant a sample of a Certificate to be signed by an assignee to ensure compliance with 37 CFR 3.73(b).

(See your Group Paralegal or Special Program Examiner for copies of the sample terminal disclaimer and Certificate to enclose with the Office action. Alternatively, it is permissible to copy the sample certificate found in MPEP § 324.)<

WITHDRAWING A RECORDED TERMINAL DISCLAIMER

If timely requested, a recorded terminal disclaimer may be withdrawn before the application in which it is

filed issues as a patent, or in a reexamination proceeding before the reexamination certificate issues. After a patent or reexamination certificate issues, it is unlikely that a recorded terminal disclaimer will be nullified.

1. Before Issuance of Patent

While the filing and recordation of an unnecessary terminal disclaimer has been characterized as an “unhappy circumstance” in *In re Jentoft*, 392 F.2d 633, 157 USPQ 363 (CCPA 1968), there is no statutory prohibition against nullifying or otherwise canceling the effect of a recorded terminal disclaimer which was erroneously filed before the patent issues. Since the terminal disclaimer would not take effect until the patent is granted, and the public has not had the opportunity to rely on the terminal disclaimer, relief from this unhappy circumstance may be available by way of petition or by refiling the application.

Under appropriate circumstances, consistent with the orderly administration of the examination process, the nullification of a recorded terminal disclaimer may be addressed by filing a petition under 37 CFR 1.182 requesting withdrawal of the recorded terminal disclaimer. Petitions seeking to reopen the question of the propriety of the double patenting rejection that prompted the filing of the terminal disclaimer have not been favorably considered. The filing of a continuing application, while abandoning the application in which the terminal disclaimer has been filed, will typically nullify the effect of a terminal disclaimer.

2. After Issuance of Patent

The mechanisms to correct a patent — certificate of correction (35 U.S.C. 255), reissue (35 U.S.C. 251), and reexamination (35 U.S.C. 305) — are not available to withdraw or otherwise nullify the effect of a recorded terminal disclaimer. As a general principle, public policy does not favor the restoration to the patent owner of something that has been freely dedicated to the public, particularly where the public interest is not protected in some manner — e.g., intervening rights in the case of a reissue patent. See, e.g., *Altoona Publix Theatres v. American Tri-Ergon Corp.*, 294 U.S. 477, 24 USPQ 308 (1935).

Certificates of correction (35 U.S.C. 255) are available for the correction of an applicant’s mistake. The scope of this remedial provision is limited in two ways — by the nature of the mistake for which correction is sought and the nature of the proposed correction. *In re*

Arnott, 19 USPQ2d 1049 (Comm’r. Pat. 1991). The nature of the mistake for which correction is sought is limited to those mistakes that are:

- (1) of a clerical nature,
- (2) of a typographical nature, or
- (3) of a minor character.

The nature of the proposed correction is limited to those situations where the correction does not involve changes which would:

- (1) constitute new matter, or
- (2) require reexamination.

A mistake in filing a terminal disclaimer does not fall within any of the categories of mistake for which a certificate of correction of applicant’s mistake is permissible, and any attempt to remove or nullify the effect of the terminal disclaimer would typically require reexamination of the circumstances under which it was filed.

Although the remedial nature of reissue (35 U.S.C. 251) is well recognized, reissue is not available to correct all errors. It has been the Office position that reissue is not available to withdraw or otherwise nullify the effect of a terminal disclaimer recorded in an issued patent. First, the reissue statute only authorizes the Commissioner to reissue a patent “for the unexpired part of the term of the original patent”. Since the granting of a reissue patent without the effect of a recorded terminal disclaimer would result in extending the term of the original patent, reissue under these circumstances would be contrary to the statute. Second, the principle against recapturing something that has been intentionally dedicated to the public dates back to *Leggett v. Avery*, 101 U.S. 256 (1879). The attempt to restore that portion of the patent term that was dedicated to the public to secure the grant of the original patent would be contrary to this recapture principle. Finally, applicants have the opportunity to challenge the need for a terminal disclaimer during the prosecution of the application that issues as a patent. “Reissue is not a substitute for Patent Office appeal procedures.” *Ball Corp. v. United States*, 729 F.2d 1429, 1435, 221 USPQ 289, 293 (Fed. Cir. 1984). Where applicants did not challenge the propriety of the examiner’s obvious-type double patenting rejection, but filed a terminal disclaimer to avoid the rejection, the filing of the terminal disclaimer did not constitute error within the meaning of 35 U.S.C. 251. *Ex parte Anthony*, 230 USPQ 467 (Bd. App. 1982), *aff’d*. No. 84-1357 (Fed. Cir. June 14, 1985).

Finally, the nullification of a recorded terminal disclaimer would not be appropriate in a reexamination proceeding. There is a prohibition (35 U.S.C. 305) against enlarging the scope of a claim during a reexamination proceeding. As noted by the Board in *Anthony, supra*, if a terminal disclaimer was nullified,

“claims would be able to be sued upon for a longer period than would the claims of the original patent. Therefore, the vertical scope, as opposed to the horizontal scope (where the subject matter is enlarged), would be enlarged.”

**> PTO/SB/43 (10-95)

Approved for use through 10/31/98. OMB 0851-0031

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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DISCLAIMER IN PATENT	
Name of patentee	Docket Number (Optional)
Patent Number	Date Patent Issued
Title of Invention	
<p>I have reason to believe that without any deceptive intention, claims of the above identified patent are too broad or invalid; therefore:</p> <p>I hereby disclaim the following complete claims in the above identified patent: _____</p> <p>_____</p> <p>The extent of my interest in said patent is [if assignee of record, state liber and page, or reel and frame, where assignment is recorded]: _____</p> <p>The fee for this disclaimer is set forth in 37 CFR 1.20(d).</p> <p><input type="checkbox"/> Patentee is a small entity under 37 CFR 1.9 and 1.27.</p> <p style="margin-left: 20px;"><input type="checkbox"/> A verified statement is attached.</p> <p style="margin-left: 20px;"><input type="checkbox"/> A verified statement of status as a small entity under 37 CFR 1.27 has already been filed in this case, and is still correct.</p> <p><input type="checkbox"/> A check in the amount of the fee is enclosed.</p> <p><input type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required or credit any overpayment to Deposit Account No. _____. I have enclosed a duplicate copy of this sheet.</p> <p>Signed at _____, State of _____ this ____ day of _____, 19____.</p> <p>_____ Signature</p> <p>_____ Typed or printed name</p> <p>_____ Address</p> <p>_____ City, State, Zip Code or Foreign Country as applicable</p>	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. <**

**> PTO/SB/25 (10-96)

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Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**TERMINAL DISCLAIMER TO OBTAIN A PROVISIONAL DOUBLE
PATENTING REJECTION OVER A PENDING SECOND APPLICATION**

Docket Number (Optional)

In re Application of:

Application No.

Filed:

For:

The owner*, _____ of ____ percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application, which would extend beyond the expiration date of the full statutory term defined in 35 U.S.C. 154 to 156 and 173 as shortened by any terminal disclaimer filed prior to the grant of any patent granted on pending second Application Number _____, filed on _____. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and any patent granted on the second application are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.

In making the above disclaimer, the owner does not disclaim the terminal part of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 to 156 and 173 of any patent granted on the second application, as shortened by any terminal disclaimer filed prior to the patent grant, in the event that any such granted patent: expires for failure to pay a maintenance fee, is held unenforceable, is found invalid by a court of competent jurisdiction, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321, has all claims cancelled by a reexamination certificate, is reissued, or is in any manner terminated prior to the expiration of its full statutory term as shortened by any terminal disclaimer filed prior to its grant.

Check either box 1 or 2 below, if appropriate.

1. For submissions on behalf of an organization (e.g., corporation, partnership, university, government agency, etc.), the undersigned is empowered to act on behalf of the organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

2. The undersigned is an attorney of record.

Signature_____
Date_____
Typed or printed name

- Terminal disclaimer fee under 37 CFR 1.20(d) is included.

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TERMINAL DISCLAIMER TO OBVIATE A PROVISIONAL DOUBLE PATENTING REJECTION OVER A PENDING SECOND APPLICATION	Docket Number (Optional)
In re Application of: Application No. Filed: For:	
<p>The owner*, _____ of ___ percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application, which would extend beyond the expiration date of the full statutory term defined in 35 U.S.C. 154 to 156 and 173 as shortened by any terminal disclaimer filed prior to the grant of any patent granted on pending second Application Number _____, filed on _____. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and any patent granted on the second application are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.</p>	
<p>In making the above disclaimer, the owner does not disclaim the terminal part of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 to 156 and 173 of any patent granted on the second application, as shortened by any terminal disclaimer filed prior to the patent grant, in the event that any such granted patent: expires for failure to pay a maintenance fee, is held unenforceable, is found invalid by a court of competent jurisdiction, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321, has all claims cancelled by a reexamination certificate, is reissued, or is in any manner terminated prior to the expiration of its full statutory term as shortened by any terminal disclaimer filed prior to its grant.</p>	
<p>Check either box 1 or 2 below, if appropriate.</p>	
<p>1. <input type="checkbox"/> For submissions on behalf of an organization (e.g., corporation, partnership, university, government agency, etc.), the undersigned is empowered to act on behalf of the organization.</p>	
<p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</p>	
<p>2. <input type="checkbox"/> The undersigned is an attorney of record.</p>	
<p>_____ Signature Date</p>	
<p>_____ Typed or printed name</p>	
<p><input type="checkbox"/> Terminal disclaimer fee under 37 CFR 1.20(d) is included.</p>	
<p>*Certification under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner). Form PTO/SB/96 may be used for making this certification. See MPEP § 324.</p>	

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