

VB Assets - EXHIBIT 2014
Amazon.com, Services LLC, v. VB Assets, LLC
IPR2025-01167



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
15/192,860	04/26/2022	11315071	PM12993-US	4453

136714 7590 04/06/2022

Pierce Atwood LLP (Attn: Amazon Docketing)
Attn: Patent Docketing (Amazon)
100 Summer Street
Suite 2250
Boston, MA 02110

ISSUE NOTIFICATION

The projected patent number and issue date are specified above.

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (application filed on or after May 29, 2000)

The Patent Term Adjustment is 339 day(s). Any patent to issue from the above-identified application will include an indication of the adjustment on the front page.

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Application Assistance Unit (AAU) of the Office of Patents Stakeholder Experience (OPSE), Stakeholder Support Division (SSD) at (571)-272-4200.

INVENTOR(s) (Please see PAIR WEB site <http://pair.uspto.gov> for additional inventors):

Peter Van Tuyl Bentley, Seattle, WA;
Jonathan Allen Smuda, Bothell, WA;

APPLICANT(s) (Please see PAIR WEB site <http://pair.uspto.gov> for additional applicants):

Amazon Technologies, Inc., Seattle, WA;

The United States represents the largest, most dynamic marketplace in the world and is an unparalleled location for business investment, innovation, and commercialization of new technologies. The USA offers tremendous resources and advantages for those who invest and manufacture goods here. Through SelectUSA, our nation works to encourage and facilitate business investment. To learn more about why the USA is the best country in the world to develop technology, manufacture products, and grow your business, visit SelectUSA.gov.

<i>Notice of References Cited</i>	Application/Control No. 15/192,860		Applicant(s)/Patent Under Reexamination Bentley et al.	
	Examiner KRISTIE A MAHONE		Art Unit 3627	Page 1 of 4

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	CPC Classification	US Classification
*	A	US-6204763-B1	03-2001	Sone; Masahiro	A47G29/141	221/2
*	B	US-20120232897-A1	09-2012	Pettyjohn; Nathan	G06Q30/0603	704/235
*	C	US-20150262120-A1	09-2015	Kulig; Matthew	G06Q10/087	705/28
*	D	US-20090157392-A1	06-2009	ALEWINE; Neal J.	G10L15/183	704/201
*	E	US-20040228456-A1	11-2004	Glynn, Kenneth P.	G06Q10/06	379/88.01
*	F	US-20040210442-A1	10-2004	Glynn, Kenneth P.	G06Q10/06	704/275
*	G	US-20040093216-A1	05-2004	Ashish, Vora	G10L15/30	704/270.1
*	H	US-6813341-B1	11-2004	Mahoney; Jerome R.	G06Q10/087	340/572.1
*	I	US-9626703-B2	04-2017	Kennewick, Sr.; Michael R.	G06Q30/0601	1/1
*	J	US-9147212-B2	09-2015	Pettyjohn; Nathan	G06Q30/0603	1/1
*	K	US-20170357661-A1	12-2017	Hornkvist; John M.	G06F17/30392	1/1
*	L	US-20180233139-A1	08-2018	FINKELSTEIN; Erich-Soren	G06K9/726	1/1
*	M	US-20180232817-A1	08-2018	ISAACSON; Thomas M.	G06Q30/0613	1/1

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	CPC Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

<i>Notice of References Cited</i>	Application/Control No. 15/192,860		Applicant(s)/Patent Under Reexamination Bentley et al.	
	Examiner KRISTIE A MAHONE		Art Unit 3627	Page 2 of 4

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	CPC Classification	US Classification
*	A	US-9930444-B1	03-2018	Stanley; Craig M.	H04R1/025	1/1
*	B	US-20180210702-A1	07-2018	SHIM; Woo-chul	G06F3/167	1/1
*	C	US-20180197533-A1	07-2018	Lyon; Richard	G10L15/16	1/1
*	D	US-20160165387-A1	06-2016	Nhu; Hoang	H04L67/10	455/41.1
*	E	US-20140172953-A1	06-2014	Blanksteen; Scott Ian	H04W4/02	709/203
*	F	US-10027866-B2	07-2018	Carlotto; Victor Henrique Sfoggia	G06F17/3028	1/1
*	G	US-9953278-B2	04-2018	Glassman; Ellen T.	G06Q10/06	1/1
*	H	US-9922530-B2	03-2018	Wu; Ke	G08B21/24	1/1
*	I	US-9719720-B2	08-2017	Seo; Woonkyu	F25D29/00	1/1
*	J	US-9109943-B2	08-2015	Mager; Michael J.	G01G23/3735	1/1
*	K	US-20180108066-A1	04-2018	Kale; Ajinkya Gorakhnath	G06F17/30247	1/1
*	L	US-6728676-B1	04-2004	Ortega; Kerry A.	G06Q20/203	704/231
*	M	US-6658389-B1	12-2003	Alpdemir; Ahmet	G06Q30/02	704/270

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	CPC Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

Notice of References Cited	Application/Control No. 15/192,860		Applicant(s)/Patent Under Reexamination Bentley et al.	
	Examiner KRISTIE A MAHONE		Art Unit 3627	Page 3 of 4

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	CPC Classification	US Classification
*	A	US-9123339-B1	09-2015	Shaw; Hayden	G10L15/22	1/1
*	B	US-9060224-B1	06-2015	List; Timothy T.	G10L15/08	1/1
*	C	US-20180239967-A1	08-2018	Matsuoka; Yoky	G06K9/00771	1/1
*	D	US-20140266669-A1	09-2014	Fadell; Anthony M.	G05B19/042	340/501
*	E	US-20170004828-A1	01-2017	LEE; Juwan	G06F3/012	1/1
*	F	US-20140252091-A1	09-2014	Morse; Bradd A.	F25D29/00	235/385
*	G	US-20100102930-A1	04-2010	MCCOY; RICHARD A.	G06F19/3462	340/5.92
*	H	US-20170109687-A1	04-2017	KAMADOLLI; SUNIL	G06Q30/0201	1/1
*	I	US-9990176-B1	06-2018	Gray; Timothy Thomas	G06F3/167	1/1
*	J	US-20100106624-A1	04-2010	ASHRAFZADEH; FARHAD	G06Q10/08	705/28
*	K	US-20070122035-A1	05-2007	Lai; Yu-Sheng	G01G23/3707	382/181
*	L	US-20080319752-A1	12-2008	Kuo; Chih-Chung	G10L13/047	704/258
*	M	US-20150186836-A1	07-2015	CHOUHAN; Himanshu	G06Q10/087	705/28

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	CPC Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

<i>Notice of References Cited</i>	Application/Control No. 15/192,860		Applicant(s)/Patent Under Reexamination Bentley et al.	
	Examiner KRISTIE A MAHONE		Art Unit 3627	Page 4 of 4

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	CPC Classification	US Classification
*	A	US-20150379467-A1	12-2015	SKAAKSRUD; Ole-Petter	G06F21/6245	705/338
*	B	US-20170255680-A1	09-2017	Malatesha; Rathnakara	G06F17/30522	1/1
*	C	US-20160140526-A1	05-2016	Cummins; Oran	G06Q10/08	705/28
*	D	US-20180129998-A1	05-2018	Frazier; Charlene K.	G06Q10/06315	1/1
*	E	US-20130077534-A1	03-2013	HU; QINGMIN	H04L41/5054	370/259
	F					
	G					
	H					
	I					
	J					
	K					
	L					
	M					

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	CPC Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

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

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	307926-00025
		Application Number	
Title of Invention	SPEECH-BASED STORAGE TRACKING		
<p>The application data sheet is part of the provisional or nonprovisional application for which it is being submitted. The following form contains the bibliographic data arranged in a format specified by the United States Patent and Trademark Office as outlined in 37 CFR 1.76.</p> <p>This document may be completed electronically and submitted to the Office in electronic format using the Electronic Filing System (EFS) or the document may be printed and included in a paper filed application.</p>			

Secrecy Order 37 CFR 5.2:

☐	Portions or all of the application associated with this Application Data Sheet may fall under a Secrecy Order pursuant to 37 CFR 5.2 (Paper filers only. Applications that fall under Secrecy Order may not be filed electronically.)
--------------------------	---

Inventor Information:

Inventor	1				Remove
Legal Name					
Prefix	Given Name	Middle Name	Family Name	Suffix	
	Peter	Van Tuyl	Bentley		
Residence Information (Select One) ☒ US Residency ☐ Non US Residency ☐ Active US Military Service					
City	Seattle	State/Province	WA	Country of Residence	US

Mailing Address of Inventor:

Address 1	410 Terry Avenue North				
Address 2					
City	Seattle	State/Province	WA		
Postal Code	98109-5210	Country	US		

Inventor	2				Remove
Legal Name					
Prefix	Given Name	Middle Name	Family Name	Suffix	
	Jonathan	Allen	Smuda		
Residence Information (Select One) ☒ US Residency ☐ Non US Residency ☐ Active US Military Service					
City	Bothell	State/Province	WA	Country of Residence	US

Mailing Address of Inventor:

Address 1	410 Terry Avenue North				
Address 2					
City	Seattle	State/Province	WA		
Postal Code	98109-5210	Country	US		

All Inventors Must Be Listed - Additional Inventor Information blocks may be generated within this form by selecting the **Add** button.

Add

Correspondence Information:

Enter either Customer Number or complete the Correspondence Information section below.
For further information see 37 CFR 1.33(a).

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	307926-00025
		Application Number	
Title of Invention	SPEECH-BASED STORAGE TRACKING		

☐ An Address is being provided for the correspondence information of this application.

Customer Number	136700		
Email Address	ipmail@eckertseamans.com	<input type="button" value="Add Email"/>	<input type="button" value="Remove Email"/>

Application Information:

Title of the Invention	SPEECH-BASED STORAGE TRACKING		
Attorney Docket Number	307926-00025	Small Entity Status Claimed	☐
Application Type	Nonprovisional		
Subject Matter	Utility		
Total Number of Drawing Sheets (if any)	16	Suggested Figure for Publication (if any)	

Filing By Reference:

Only complete this section when filing an application by reference under 35 U.S.C. 111(c) and 37 CFR 1.57(a). Do not complete this section if application papers including a specification and any drawings are being filed. Any domestic benefit or foreign priority information must be provided in the appropriate section(s) below (i.e., "Domestic Benefit/National Stage Information" and "Foreign Priority Information").

For the purposes of a filing date under 37 CFR 1.53(b), the description and any drawings of the present application are replaced by this reference to the previously filed application, subject to conditions and requirements of 37 CFR 1.57(a).

Application number of the previously filed application	Filing date (YYYY-MM-DD)	Intellectual Property Authority or Country

Publication Information:

☐ Request Early Publication (Fee required at time of Request 37 CFR 1.219)

☒ **Request Not to Publish.** I hereby request that the attached application not be published under 35 U.S.C. 122(b) and certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

Representative Information:

Representative information should be provided for all practitioners having a power of attorney in the application. Providing this information in the Application Data Sheet does not constitute a power of attorney in the application (see 37 CFR 1.32). Either enter Customer Number or complete the Representative Name section below. If both sections are completed the customer Number will be used for the Representative Information during processing.

Please Select One:	☒ Customer Number	☐ US Patent Practitioner	☐ Limited Recognition (37 CFR 11.9)
Customer Number	136700		

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	307926-00025
		Application Number	
Title of Invention	SPEECH-BASED STORAGE TRACKING		

Domestic Benefit/National Stage Information:

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, 365(c), or 386(c) or indicate National Stage entry from a PCT application. Providing benefit claim information in the Application Data Sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78.

When referring to the current application, please leave the "Application Number" field blank.

Prior Application Status	<input type="text"/>	<input type="button" value="Remove"/>	
Application Number	Continuity Type	Prior Application Number	Filing or 371(c) Date (YYYY-MM-DD)
<input type="text"/>	<input type="text"/>		
Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the Add button.			<input type="button" value="Add"/>

Foreign Priority Information:

This section allows for the applicant to claim priority to a foreign application. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55. When priority is claimed to a foreign application that is eligible for retrieval under the priority document exchange program (PDX)ⁱ the information will be used by the Office to automatically attempt retrieval pursuant to 37 CFR 1.55(i)(1) and (2). Under the PDX program, applicant bears the ultimate responsibility for ensuring that a copy of the foreign application is received by the Office from the participating foreign intellectual property office, or a certified copy of the foreign priority application is filed, within the time period specified in 37 CFR 1.55(g)(1).

			<input type="button" value="Remove"/>
Application Number	Country ⁱ	Filing Date (YYYY-MM-DD)	Access Code ⁱ (if applicable)
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Additional Foreign Priority Data may be generated within this form by selecting the Add button.			<input type="button" value="Add"/>

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

☐ This application (1) claims priority to or the benefit of an application filed before March 16, 2013 and (2) also contains, or contained at any time, a claim to a claimed invention that has an effective filing date on or after March 16, 2013. NOTE: By providing this statement under 37 CFR 1.55 or 1.78, this application, with a filing date on or after March 16, 2013, will be examined under the first inventor to file provisions of the AIA.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	307926-00025
		Application Number	
Title of Invention	SPEECH-BASED STORAGE TRACKING		

Authorization or Opt-Out of Authorization to Permit Access:

When this Application Data Sheet is properly signed and filed with the application, applicant has provided written authority to permit a participating foreign intellectual property (IP) office access to the instant application-as-filed (see paragraph A in subsection 1 below) and the European Patent Office (EPO) access to any search results from the instant application (see paragraph B in subsection 1 below).

Should applicant choose not to provide an authorization identified in subsection 1 below, applicant **must opt-out** of the authorization by checking the corresponding box A or B or both in subsection 2 below.

NOTE: This section of the Application Data Sheet is **ONLY** reviewed and processed with the **INITIAL** filing of an application. After the initial filing of an application, an Application Data Sheet cannot be used to provide or rescind authorization for access by a foreign IP office(s). Instead, Form PTO/SB/39 or PTO/SB/69 must be used as appropriate.

1. Authorization to Permit Access by a Foreign Intellectual Property Office(s)

A. Priority Document Exchange (PDX) - Unless box A in subsection 2 (opt-out of authorization) is checked, the undersigned hereby **grants the USPTO authority** to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the State Intellectual Property Office of the People's Republic of China (SIPO), the World Intellectual Property Organization (WIPO), and any other foreign intellectual property office participating with the USPTO in a bilateral or multilateral priority document exchange agreement in which a foreign application claiming priority to the instant patent application is filed, access to: (1) the instant patent application-as-filed and its related bibliographic data, (2) any foreign or domestic application to which priority or benefit is claimed by the instant application and its related bibliographic data, and (3) the date of filing of this Authorization. See 37 CFR 1.14(h)(1).

B. Search Results from U.S. Application to EPO - Unless box B in subsection 2 (opt-out of authorization) is checked, the undersigned hereby **grants the USPTO authority** to provide the EPO access to the bibliographic data and search results from the instant patent application when a European patent application claiming priority to the instant patent application is filed. See 37 CFR 1.14(h)(2).

The applicant is reminded that the EPO's Rule 141(1) EPC (European Patent Convention) requires applicants to submit a copy of search results from the instant application without delay in a European patent application that claims priority to the instant application.

2. Opt-Out of Authorizations to Permit Access by a Foreign Intellectual Property Office(s)

☒ A. Applicant **DOES NOT** authorize the USPTO to permit a participating foreign IP office access to the instant application-as-filed. If this box is checked, the USPTO will not be providing a participating foreign IP office with any documents and information identified in subsection 1A above.

☒ B. Applicant **DOES NOT** authorize the USPTO to transmit to the EPO any search results from the instant patent application. If this box is checked, the USPTO will not be providing the EPO with search results from the instant application.

NOTE: Once the application has published or is otherwise publicly available, the USPTO may provide access to the application in accordance with 37 CFR 1.14.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	307926-00025
		Application Number	
Title of Invention	SPEECH-BASED STORAGE TRACKING		

Applicant Information:

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

Applicant	1	Remove
<p>If the applicant is the inventor (or the remaining joint inventor or inventors under 37 CFR 1.45), this section should not be completed. The information to be provided in this section is the name and address of the legal representative who is the applicant under 37 CFR 1.43; or the name and address of the assignee, person to whom the inventor is under an obligation to assign the invention, or person who otherwise shows sufficient proprietary interest in the matter who is the applicant under 37 CFR 1.46. If the applicant is an applicant under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest) together with one or more joint inventors, then the joint inventor or inventors who are also the applicant should be identified in this section.</p> <p style="text-align: right;">Clear</p>		
☒ Assignee	Legal Representative under 35 U.S.C. 117	Joint Inventor
Person to whom the inventor is obligated to assign.		Person who shows sufficient proprietary interest
If applicant is the legal representative, indicate the authority to file the patent application, the inventor is:		
<div style="border: 1px solid black; height: 20px; width: 100%;"></div>		
Name of the Deceased or Legally Incapacitated Inventor: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		
If the Applicant is an Organization check here. ☒		
Organization Name	Amazon Technologies, Inc.	
Mailing Address Information For Applicant:		
Address 1	P.O. Box 81226	
Address 2		
City	Seattle	State/Province WA
Country	US	Postal Code 98108-1226
Phone Number		Fax Number
Email Address		
Additional Applicant Data may be generated within this form by selecting the Add button. Add		

Assignee Information including Non-Applicant Assignee Information:

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	307926-00025
		Application Number	
Title of Invention	SPEECH-BASED STORAGE TRACKING		

Assignee	1		
Complete this section if assignee information, including non-applicant assignee information, is desired to be included on the patent application publication. An assignee-applicant identified in the "Applicant Information" section will appear on the patent application publication as an applicant. For an assignee-applicant, complete this section only if identification as an assignee is also desired on the patent application publication.			
Remove			
If the Assignee or Non-Applicant Assignee is an Organization check here. ☒			
Organization Name	Amazon Technologies, Inc.		
Mailing Address Information For Assignee including Non-Applicant Assignee:			
Address 1	P.O. Box 81226		
Address 2			
City	Seattle	State/Province	WA
Country ⁱ	US	Postal Code	98108-1226
Phone Number		Fax Number	
Email Address			
Additional Assignee or Non-Applicant Assignee Data may be generated within this form by selecting the Add button. Add			

Signature:[Remove](#)

NOTE: This Application Data Sheet must be signed in accordance with 37 CFR 1.33(b). However, if this Application Data Sheet is submitted with the **INITIAL** filing of the application and either box A or B is **not** checked in subsection 2 of the "Authorization or Opt-Out of Authorization to Permit Access" section, then this form must also be signed in accordance with 37 CFR 1.14(c).

This Application Data Sheet **must** be signed by a patent practitioner if one or more of the applicants is a **juristic entity** (e.g., corporation or association). If the applicant is two or more joint inventors, this form must be signed by a patent practitioner, **all** joint inventors who are the applicant, or one or more joint inventor-applicants who have been given power of attorney (e.g., see USPTO Form PTO/AIA/81) on behalf of **all** joint inventor-applicants.

See 37 CFR 1.4(d) for the manner of making signatures and certifications.

Signature	/Seth A. Newman/		Date (YYYY-MM-DD)	2016-06-24	
First Name	Seth A.	Last Name	Newman	Registration Number	73745
Additional Signature may be generated within this form by selecting the Add button. Add					

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	307926-00025
		Application Number	
Title of Invention	SPEECH-BASED STORAGE TRACKING		

This collection of information is required by 37 CFR 1.76. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 23 minutes to complete, including gathering, preparing, and submitting the completed application data sheet form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.