

Instructions for Information Disclosure Statement

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1. Fillable Form Instructions

Overview

EFS-Web fillable PDF forms use the features provided within Adobe Acrobat products. There is some validation of the information you enter, however you are responsible for entering all required information (instructions may require some information to be handwritten on the form).

Versioning of the IDS form

e-Filers must use the current version of the [IDS form](#).

Software Requirements

To view, complete and print USPTO fillable PDF forms you will need the free [Adobe Reader](#) software installed on your computer. Version 7.0.8, 7.0.9, 8.1.1 or 8.1.2 is required.

Opening the Form

Your web browser may be configured with an Adobe Reader plug-in to automatically open the file within your browser's window upon download. To download the file directly to disk, right click the form title link then select "Save Target/Link As..." from the menu. Use Adobe Reader to open the file.

Completing the Form

When positioning the cursor on a fillable area or element, the cursor will change appearance. The I-beam pointer allows you to type text. The hand pointer allows you to select a check box or radio button.

Enter the appropriate data in each box or field. To move from one field to the next, press the Tab key. You can also use your cursor to move from field to field. Place your cursor in the field you want to fill in, then left-click.

Some fields limit the maximum number of characters you can enter and may automatically advance to the next field.

For additional help with fillable forms, see the Adobe Reader's online help information.

Tips:

- Save a copy of your work to avoid loss
- The USPTO is only accepting certain types of applications electronically. Visit www.uspto.gov for more details

1. Detailed Form Instructions by Field

Information Disclosure Statement Header:

Application Number	Enter the US Application number you wish to file the Information Disclosure Statement against, for example 99999999 or 09999999
Filing Date	Enter the filing date of the US Application number with which you are filing the Information Disclosure Statement.
First Named Inventor	Enter the Last Name of the first named inventor. If the name is more than 50 characters in length. Characters beyond the 50th will be truncated in USPTO internal systems
Art Unit	Enter the Art Unit location if known.
Examiner Name	Enter the name of the examiner assigned, if known or likely to be assigned to the corresponding patent application.
Attorney Docket Number	Enter the Attorney Docket Number. The text format is alpha numeric.

U.S. Patents:

Examiner Initial	When the examiner processes the form, he or she will initial this box if they accept the citation. For USPTO action only.
Cite Number	This number is self-incrementing; as you add more citations, this number will increase by one to a maximum of 50. When U.S. Patent Application Publications are also listed, the maximum combined total is 50. For USPTO action only.
Patent Number	Enter the Patent Number to be cited, example is 9999999 or 09999999
Kind	Enter the Kind code of the patent number if known. WIPO Standard ST. 16 codes (kind codes) include a letter, and in many cases a number, used to distinguish the kind of patent document (e.g., publication of an application for a utility patent (patent application publication), patent, plant patent application publication, plant patent, or design patent) and the level of publication (e.g., first publication, second publication, or corrected publication).
Issue Date	Enter the date of Issue for the cited patent.
Name of Patentee or Applicant of cited Document	Enter the Last Name of the first named inventor of the cited patent. If the name is more than 50 characters in length characters beyond the 50th will be truncated in USPTO internal systems
Pages, Columns, Lines where relevant passages or relevant figures appear.	Enter any relevant information of the cited patent regarding Page Number, Column Location or Line Number where the Relevant Passages or Figures appear.
Remove	Selecting the DELETE button will delete the last U.S. Patent Citation row of data.
Add	Selecting the ADD button will add additional U.S. Patent Citation data fields.

U.S. Patent Application Publications

Examiner Initial	When the examiner processes the form, he or she will initial this box if they accept the citation. For USPTO action only.
Cite Number	This number is self-incrementing; as you add more citations, this number will increase by one to a maximum of 50. When U.S. Patents are also listed, are also listed, the maximum combined total is 50. For USPTO action only.
Publication Number	Enter the Publication Number to be cited, example is YYYY9999999
Kind	Enter the Kind code of the patent number if known. WIPO Standard ST. 16 codes (kind codes) include a letter, and in many cases a number, used to distinguish the kind of patent document (e.g., publication of an application for a utility patent (patent application publication), patent, plant patent application publication, plant patent, or design patent) and the level of publication (e.g., first publication, second publication, or corrected publication).

Publication Date	Enter the date of Publication for the cited application.
Name of Patentee or Applicant of cited Document	Enter the Last Name of the first named inventor of the cited patent. If the name is more than 50 characters in length characters beyond the 50th will be truncated in USPTO internal systems
Pages, Columns, Lines where relevant passages or relevant figures appear.	Enter any relevant information of the cited patent regarding Page Number, Column Location or Line Number where the Relevant Passages or Figures appear.
Remove	Selecting the DELETE button will delete the selected U.S. Patent Citation row of data.
Add	Selecting the ADD button will add additional U.S. Patent Citation data fields.

Foreign Patent Documents:

Examiner Initial	When the examiner processes the form, he or she will initial this box if they accept the citation. For USPTO action only.
Cite Number	This number is self-incrementing; as you add more citations, this number will increase by one to a maximum of 50. For USPTO action only.
Foreign Document Number	Enter up to 17 characters alpha numeric of the Foreign Document Number.
Country Code	See the attached WIPO ST.3 Table for the correct 2 digit code.
Kind	See the attached WIPO ST.16 Kind Code Table
Publication Date	Date of Publication of the Foreign Patent Document
Name of Patentee or Applicant of cited Document	If known, enter the Last Name of the Inventor of the cited Foreign Patent Document
Pages, Columns, Lines where relevant passages or relevant figures appear.	List the page, column or line number of the relevant text or figures of the cited Foreign Patent Document.
T	Check the box if an English translation of the Foreign Patent Document is attached to the IDS submission
Remove	Selecting the DELETE button will delete the bottom Foreign Patent Document Citation row of data.
Add	Selecting the ADD button will Add an additional row of data for Foreign Patent Document citation.

Non-Patent Literature Documents:

Examiner Initial	When the examiner processes the form, he or she will initial this box if they accept the citation. USPTO internal action only.
Cite Number	This number is self-incrementing; as you add more citations, this number will increase by one to a maximum of 50. USPTO internal action only.
Name of the author, title of the article, title of the item, publisher, city and or country where published.	If known, enter the Last Name of the author, the title of the article or item, the publisher, city and or country of publication.
T	Check the box if an English translation of the Non-Patent Literature is attached to the IDS submission
Remove	Selecting the DELETE button will delete the bottom citation row of Non-Patent Literature.
Add	Selecting the ADD button will Add an additional citation row of data for Non-Patent Literature.

Certification Statement

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.	Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):
That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.	Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):
See attached certification statement.	Select this box if the eFiler intends to submit their own IDS Certification Statement.
Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.	Select this box for an Information Disclosure Statement under CFR 37 1.97(c) or 1.97 (d) or a submission under CFR 1.37 1.99:
None	Select this box if none of the selections apply.

Signature

Signature	Enter the electronic signature of the individual signing the Information Disclosure Statement. An example would be /John Q Public/ See 37CFR 1.4d(3)
Date	Enter the date of submission of the Information Disclosure Statement.
Name/Print	Type or write the name of the individual submitting the Information Disclosure Statement.
Registration Number	Enter the Registration Number of the U.S. Patent Practitioner who is submitting the Information Disclosure Statement.
Remove	Selecting the DELETE button will delete the bottom citation row of Non-Patent Literature.
Add	Selecting the ADD button will Add an additional citation row of data for Non-Patent Literature.

2. WIPO ST.3 Table

LIST OF STATES, OTHER ENTITIES AND INTERGOVERNMENTAL ORGANIZATIONS, IN ALPHABETIC SEQUENCE OF THEIR SHORT NAMES, AND THEIR CORRESPONDING CODES (as of March 22, 2007)

AFGHANISTAN	AF
AFRICAN INTELLECTUAL PROPERTY ORGANIZATION (OAPI) ⁽¹⁾	OA
AFRICAN REGIONAL INTELLECTUAL PROPERTY ORGANIZATION (ARIPO) ⁽¹⁾	AP
ALBANIA	AL
ALGERIA	DZ
ANDORRA	AD
ANGOLA	AO
ANGUILLA	AI
ANTIGUA AND BARBUDA	AG
ARGENTINA	AR
ARMENIA	AM
ARUBA	AW
AUSTRALIA	AU
AUSTRIA	AT
AZERBAIJAN	AZ
BAHAMAS	BS
BAHRAIN	BH
BANGLADESH	BD
BARBADOS	BB
BELARUS	BY
BELGIUM	BE
BELIZE	BZ
BENELUX OFFICE FOR INTELLECTUAL PROPERTY (BOIP) ⁽²⁾	BX
BENIN	BJ
BERMUDA	BM
BHUTAN	BT
BOLIVIA	BO
BOSNIA AND HERZEGOVINA	BA
BOTSWANA	BW
BOUVET ISLAND	BV
BRAZIL	BR
BRUNEI DARUSSALAM	BN
BULGARIA	BG
BURKINA FASO	BF
BURUNDI	BI
CAMBODIA	KH
CAMEROON	CM
CANADA	CA
CAPE VERDE ...	CV
CAYMAN ISLANDS	KY
CENTRAL AFRICAN REPUBLIC	CF
CHAD	TD
CHILE	CL
CHINA	CN
COMMUNITY PLANT VARIETY OFFICE (EUROPEAN COMMUNITY) (CPVO)	QZ
COLOMBIA	CO
COMOROS	KM
CONGO (see Congo, below;	

Democratic Republic of the Congo)	
CONGO	CG
COOK ISLANDS.	CK
COSTA RICA	CR
CÔTE D'IVOIRE	CI
CROATIA	HR
CUBA	CU
CYPRUS	CY
CZECH REPUBLIC	CZ
DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA	KP
DEMOCRATIC REPUBLIC OF THE CONGO	CD
DENMARK	DK
DJIBOUTI	DJ
DOMINICA ...	DM
DOMINICAN REPUBLIC	DO
ECUADOR	EC
EGYPT	EG
EL SALVADOR	SV
EQUATORIAL GUINEA	GQ
ERITREA	ER
ESTONIA	EE
ETHIOPIA	ET
EURASIAN PATENT ORGANIZATION (EAPO) ⁽¹⁾	EA
EUROPEAN COMMUNITY TRADE MARK OFFICE (See Office for Harmonization in the Internal Market)	
EUROPEAN PATENT OFFICE (EPO) ⁽¹⁾	EP
FALKLAND ISLANDS (MALVINAS)	FK
FAROE ISLANDS	FO
FIJI	FJ
FINLAND	FI
FRANCE	FR
GABON	GA
GAMBIA	GM
GEORGIA	GE
GERMANY ⁽³⁾	DE
GHANA	GH
GIBRALTAR	GI
GREECE	GR
GREENLAND ...	GL
GRENADA ...	GD
GUATEMALA ...	GT
GUERNSEY.	GG
GUINEA	GN
GUINEA-BISSAU	GW
GULF COOPERATION COUNCIL (see Patent Office of the Cooperation Council for the Arab States of the Gulf)	
GUYANA	GY
HAITI	HT
HOLY SEE ...	VA
HONDURAS	HN

HONG KONG (See The Hong Kong Special Administrative Region of the People's Republic of China)	
HUNGARY	HU
ICELAND	IS
INDIA	IN
INDONESIA	ID
INTERNATIONAL BUREAU OF THE WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO) ⁽⁴⁾	IB, WO
IRAN, ISLAMIC REPUBLIC OF	IR
IRAQ	IQ
IRELAND	IE
ISLE OF MAN	IM
ISRAEL	IL
ITALY	IT
JAMAICA	JM
JAPAN	JP
JERSEY	JE
JORDAN	JO
KAZAKHSTAN	KZ
KENYA	KE
KIRIBATI	KI
KOREA (see Democratic People's Republic of Korea; Republic of Korea)	
KUWAIT	KW
KYRGYZSTAN	KG
LAO PEOPLE'S DEMOCRATIC REPUBLIC	LA
LATVIA	LV
LEBANON	LB
LESOTHO	LS
LIBERIA	LR
LIBYAN ARAB JAMAHIRIYA	LY
LIECHTENSTEIN	LI
LITHUANIA	LT
LUXEMBOURG	LU
MACAO	MO
MACEDONIA (see The former Yugoslav Republic of Macedonia)	
MADAGASCAR	MG
MALAWI	MW
MALAYSIA ...	MY
MALDIVES ...	MV
MALI	ML
MALTA	MT
MAURITANIA	MR
MAURITIUS	MU
MEXICO	MX
MOLDOVA (see Republic of Moldova)	
MONACO	MC
MONGOLIA	MN
MONTENEGRO.	ME
MONTSERRAT	MS
MOROCCO	MA
MOZAMBIQUE	MZ
MYANMAR	MM
NAMIBIA	NA
NAURU	NR
NEPAL	NP
NETHERLANDS.	NL
NETHERLANDS ANTILLES	AN
NEW ZEALAND	NZ

NICARAGUA	NI
NIGER	NE
NIGERIA	NG
NORDIC PATENT INSTITUTE (NPI)	XN
NORTHERN MARIANA ISLANDS	MP
NORWAY	NO
OFFICE FOR HARMONIZATION IN THE INTERNAL MARKET (TRADE MARKS AND DESIGNS) (OHIM)	EM
OMAN	OM
PAKISTAN ...	PK
PALAU	PW
PANAMA	PA
PAPUA NEW GUINEA	PG
PARAGUAY	PY
PATENT OFFICE OF THE COOPERATION COUNCIL FOR THE ARAB STATES OF THE GULF (GCC)	GC
PERU	PE
PHILIPPINES ...	PH
POLAND	PL
PORTUGAL	PT
QATAR	QA
REPUBLIC OF KOREA	KR
REPUBLIC OF MOLDOVA	MD
ROMANIA	RO
RUSSIAN FEDERATION	RU
RWANDA	RW
SAINT HELENA	SH
SAINT KITTS AND NEVIS ...	KN
SAINT LUCIA ...	LC
SAINT VINCENT AND THE GRENADINES	VC
SAMOA	WS
SAN MARINO	SM
SAO TOME AND PRINCIPE	ST
SAUDI ARABIA	SA
SENEGAL	SN
SERBIA	RS
SEYCHELLES	SC
SIERRA LEONE	SL
SINGAPORE	SG
SLOVAKIA ...	SK
SLOVENIA ...	SI
SOLOMON ISLANDS	SB
SOMALIA	SO
SOUTH AFRICA	ZA
SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS	GS
SPAIN	ES
SRI LANKA	LK
SUDAN	SD
SURINAME	SR
SWAZILAND	SZ
SWEDEN	SE
SWITZERLAND	CH
SYRIAN ARAB REPUBLIC	SY
TAIWAN, PROVINCE OF CHINA	TW
TAJIKISTAN	TJ
TANZANIA (see United Republic of Tanzania)	
THAILAND ...	TH
THE FORMER YUGOSLAV	MK

REPUBLIC OF MACEDONIA	
THE HONG KONG SPECIAL ADMINISTRATIVE REGION OF THE PEOPLE'S REPUBLIC OF CHINA	HK
TIMOR-LESTE	TL
TOGO	TG
TONGA	TO
TRINIDAD AND TOBAGO	TT
TUNISIA	TN
TURKEY	TR
TURKMENISTAN	TM
TURKS AND CAICOS ISLANDS	TC
TUVALU	TV
UGANDA	UG
UKRAINE	UA
UNITED ARAB EMIRATES	AE
UNITED KINGDOM	GB
UNITED REPUBLIC OF TANZANIA	TZ

UNITED STATES OF AMERICA	US
URUGUAY ...	UY
UZBEKISTAN ...	UZ
VANUATU ...	VU
VATICAN CITY STATE (See Holy See)	
VENEZUELA	VE
VIET NAM	VN
VIRGIN ISLANDS, BRITISH	VG
WESTERN SAHARA ⁽⁵⁾	EH
WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO) (INTERNATIONAL BUREAU OF) ⁽⁴⁾	WO, IB
YEMEN	YE
ZAMBIA	ZM
ZIMBABWE	ZW

- (1) Intergovernmental organizations (regional patent offices) acting for certain Contracting States under the PCT (Patent Cooperation Treaty). In case of the European Patent Office, it also acts as International Searching Authority and International Preliminary Examining Authority under the PCT.
- (2) The Benelux Office for Intellectual Property (BOIP) (former Benelux Trademark and Designs Offices) have replaced the national Offices of Belgium, Luxembourg and the Netherlands with regard to actions relating to marks and industrial designs.
- (3) In the electronic database of the International Register of Marks, the International Bureau of WIPO uses the following additional codes, not part of the active codes of Standard ST.3: "DD" to designate Germany without the territory that, prior to October 3, 1990, constituted the Federal Republic of Germany; "DT" to designate Germany without the territory that, prior to October 3, 1990, constituted the German Democratic Republic.
- (4) The code "WO" is used in relation to the international publication under the Patent Cooperation Treaty (PCT) of international applications filed with any PCT receiving Office, as well as in the publication of international deposits of industrial designs under the Hague Agreement Concerning the International Deposit of Industrial Designs. In this regard, reference is made to INID code (33) given in WIPO Standards [ST.9](#) and [ST.80](#). The code "WO" is also the appropriate code to be used with respect to international registrations of marks under the Madrid Agreement and the Madrid Protocol Concerning the International Registration of Marks. The code "IB" is used in relation to the receipt of international applications under the PCT filed with the International Bureau of WIPO in its capacity as a PCT receiving Office.
- (5) Provisional name.
- (6) Code BF adopted in 1984..
- (7) Code CD adopted in 1997.
- (8) Code MM adopted in 1989.
- (9) Code TL adopted on May 20, 2002.
- (10) Code SY used before 1.1.1978.
- (11) Code DL used before 1.1.1978.
- (12) Subsequent to the country name change of "Yugoslavia" to "Serbia and Montenegro", that took effect on February 4, 2003, and to the decision by the ISO 3166/MA to use the new country name and new two-letter code "CS" (to replace "YU"), which was announced on July 23, 2003, the SCIT Standards and Documentation Working Group agreed, at its fifth session, in November 11, 2004, to recommend that the two-letter code "YU" continue to be used for "Serbia and Montenegro" in the industrial property field because code "CS" raised certain problems due to its former use to represent "Czechoslovakia" until 1993.

3. WIPO ST.16 Kind Codes

Summary of USPTO Kind Codes Used on Documents Published Beginning January 2, 2001

WIPO ST.16 Kind Codes	Kind of document	Comments
A1	Patent Application Publication	Pre-grant publication available March 2001
A2	Patent Application Publication (Republication)	Pre-grant publication available March 2001
A9	Patent Application Publication (Corrected Publication)	Pre-grant publication available March 2001
B1	Patent	No previously published pre-grant publication
B2	Patent	Having a previously published pre-grant publication and available March 2001
C1, C2, C3...	Reexamination Certificate	Previously used codes B1 and B2 are now used for granted Patents
E	Reissue Patent	No change
H	Statutory Invention Registration (SIR)	No change
P1	Plant Patent Application Publication	Pre-grant publication available March 2001
P2	Plant Patent	No previously published pre-grant publication
P3	Plant Patent	Having a previously published pre-grant publication and available March 2001
P4	Plant Patent Application Publication (Republication)	Pre-grant publication available after March 2001
P9	Plant Patent Application Publication (Corrected Publication)	Pre-grant publication available March 2001
S	Design Patent	No change