# UNITED STATES PATENT AND TRADEMARK OFFICE



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# Why use DOCX?



## **DOCX** benefits

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#### Increases application quality

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#### Saves time

- Detects and splits specification, claims, abstract and drawings found in a single file (i.e., multi-section document) in Patent Center
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- Eliminates requirement to convert DOCX into PDF for filing
- Results in fewer non-compliant notices



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 Starting January 17, 2024, a surcharge up to \$400 will apply when filing a new non-provisional utility application\* in PDF format

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- Surcharge does not apply to the following application types provisional, national stage, design, plant, and PCT applications



<sup>\*</sup> Applies to the specification, claims, and abstract when filed in PDF format. Please Visit the <u>Summary of Final</u> Patent Fee Rules

# **Auxiliary PDF**

- Applicants have the option to submit a PDF document of their application along with their DOCX document in Patent Center.
  - Applies to utility non-provisional applications
  - Until further notice
- This initiative will allow more time for applicants to acclimate to DOCX filing and for the USPTO to receive any feedback on issues with the DOCX to PDF conversion process.
- Applicants will still rely on the DOCX version as the source or evidentiary copy.
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- Applicants should contact the Electronic Business Center (EBC) if they experience any issues with filing applications in DOCX format.
- Refer to the <u>Federal Register Notice</u> published on 4/28/2022, 12/20/2022 and 06/06/2023 for further guidance.

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### Filing DOCX in Patent Center vs EFS-Web

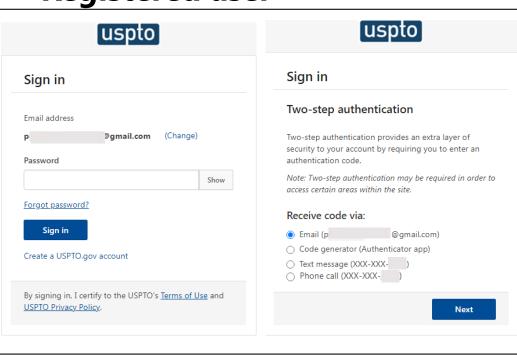
DOCX filing is available in both Patent Center and EFS-Web with some key differences

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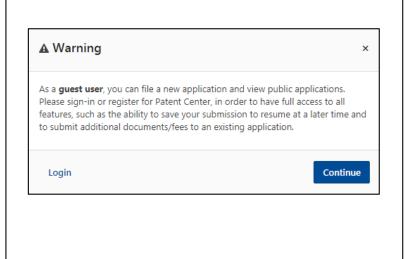
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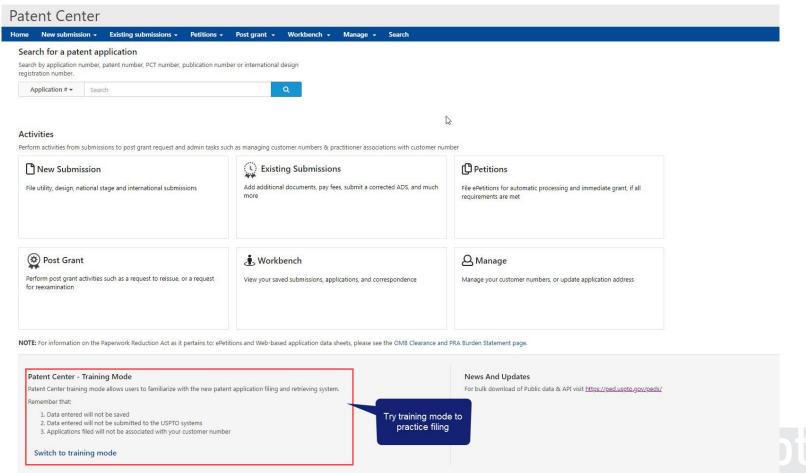
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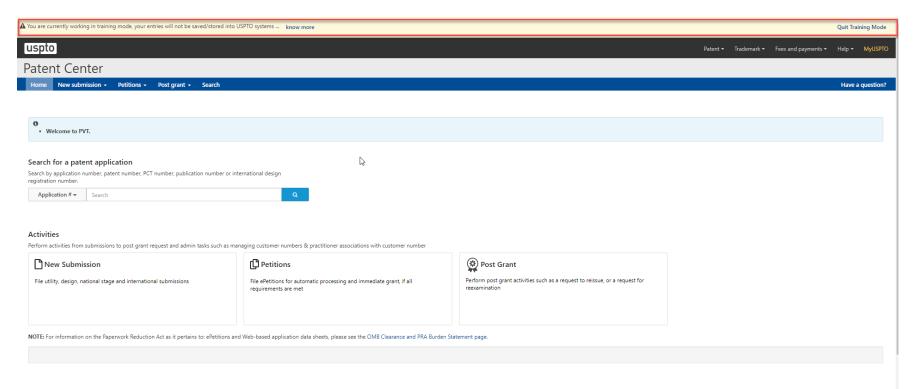




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#### **Utility Nonprovisional**

Nonprovisional Application under 35 USC 111(a)

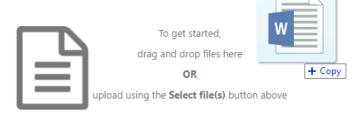


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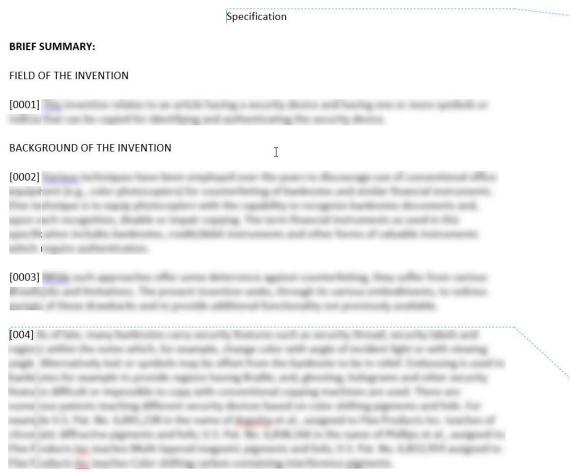
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## Feedback summary and specification feedback



USPTO Feedback Summary:

- Independent claim count = 1
   Dependent claim count = 3
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**AWarnings (6)** • The specification paragraph numbering is not in the proper format.

- At least one claim number appears to be missing or out of order.
- The claims appear to contain duplicate claim numbering. (2 Instances)
- The claims appear to contain an improper dependency with at least one claim that depends on itself.
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Specification paragraph numbering should contain at least four numerals.

## Claims feedback

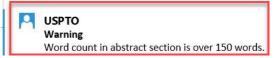
Claims USPTO Independent claim 1. A financial instrument comprising: USPTO Warning This claim appears to contain a claim with an improper dependency with at least one claim that does not depend on a previous claim. 2. An article as defined in claim 1, USPTO Warning This claim appears to contain an improper 3. An article as defined in claim 3 dependency with at least one claim that depends on itself. USPTO 3. An article as defined in claim 1, Warning The claims appear to contain duplicate claim numbering. USPTO Warning The claims appear to contain duplicate claim numbering. **USPTO** Warning This claim number appears to be missing or out of order.



## **Abstract feedback**

#### Abstract

This is an example of an abstract of the invention. In this abstract example we will exceed 150 words. Since MPEP section 608.01(b) recommends that the number of words in the abstract be within the range of 50-100 words, this is a useful detection provided by our USPTO DOCX system. After detection of the abstract of the invention, the number of words are validated. Upon uploading the abstract, the user is immediately notified if they have exceeded this amount and a feedback document is provided to the user pre-submission. Upon opening the feedback document, a message indicated that the number of words in the abstract has been exceeded will be shown. The user may desire to delete, modify and upload the abstract again. The user will be able to easily identify where the number of words are exceeded since the system will indicate the exact location of the extra words. Here are the extra words.





# Auxiliary PDF Utility Nonprovisional

Nonprovisional Application under 35 USC 111(a)



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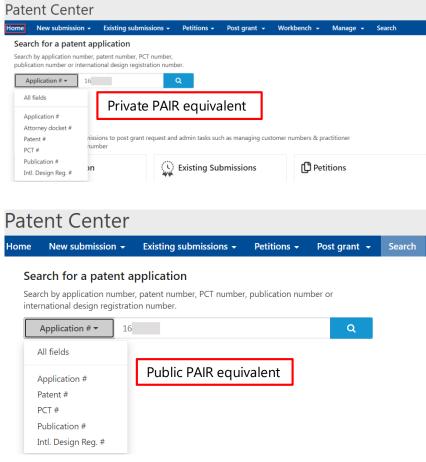
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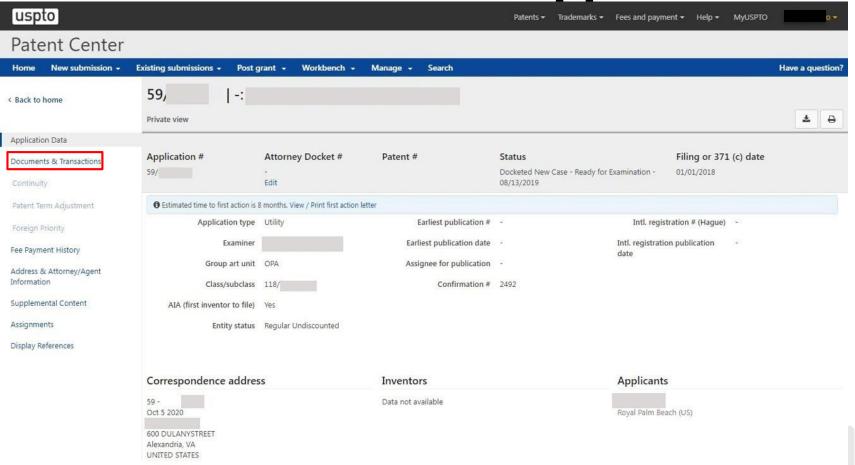
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- Common acceptable formats: 99/999,999 or 99999999.
- PCTs should be in formats: PCT/CCYYYY/NNNNNN or PCT/CCYY/NNNNN, where C = Country Code, Y = year filed, and N = 5 or 6 digit number.



Patent Center-intuitive application



# DOCX-multi-section split documents and XML retrieval

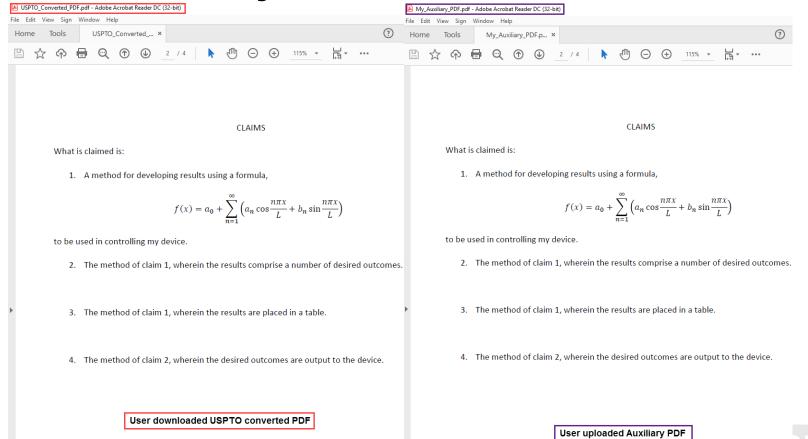
#### **Documents & transaction history**

Documents Transactions

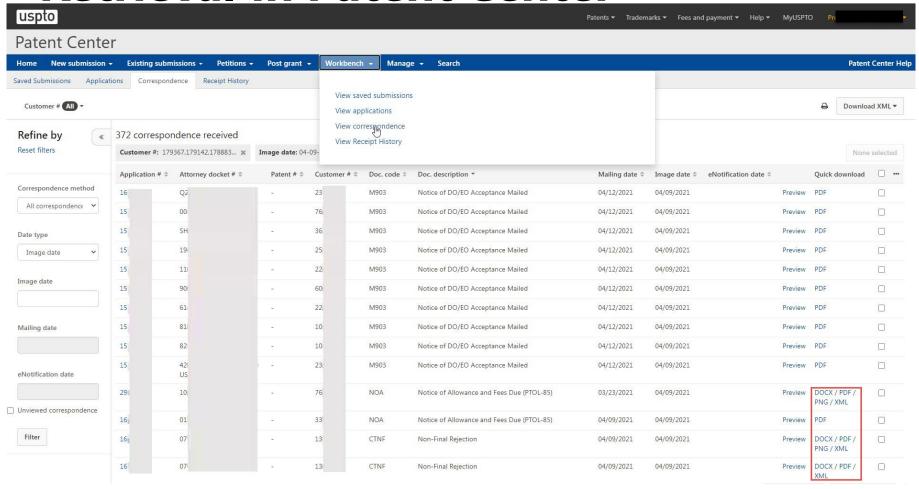
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02/08/2022	DRW	Drawings-only black and white line drawings	2	Preview	DOCX / PDF / XML	✓
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02/08/2022	SPEC	Specification	30	Preview	DOCX / PDF / XML	<b>☑</b>
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