The Central Reexamination Unit (CRU): reexamination, reissue & supplemental examination

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The history of the USPTO’s Central Reexamination Unit (CRU)

- The Central Reexamination Unit (CRU) was formed in the summer of 2005 from a selection of senior primary patent examiners and supervisory patent examiners with expert technical and advanced patent legal knowledge from across various patent technology centers.

- The CRU’s initial mission was to centralize the handling of all reexamination proceedings in order to ensure quality examination while complying with statutory mandate of special dispatch.

- The CRU began examining reissue applications in 2014.
Current makeup of the CRU

- 1 SES Group Director
- 8 Supervisory Patent Reexamination Specialists
- 1 Quality Assurance Specialist
- 67 GS-15 Patent Reexamination Specialists with 15-20 years of examining experience
- 1 Manager for technical support staff
- 8 Paralegals
- 3 Legal Instrument Examiners
- 1 Office Manager
- 1 Secretary
Proceedings handled by the CRU

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## Comparison of *ex parte* reexams, supplemental exams and reissues

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- **Ex parte reexamination**
  - Limited to patentability issues based on prior art patents and printed publications.
  - No broadening amendments permitted.
  - Reexamination certificate publishes.

- **Supplemental examination**
  - All patentability issues based on any information relevant to the patent.
  - No amendment in Supplemental Examination phase.
  - Supplemental examination certificate publishes. If reexam is ordered, reexam certificate also publishes.

- **Reissue**
  - All patentability issues.
  - Broadening amendments permitted if reissue filed within 2 years of issue.
  - Reissue patent publishes.
I. *Ex parte* reexamination

35 U.S.C. 302 States:

- Any person at any time may file a request for reexamination by the Office of any claim of a patent on the basis of any prior art cited under the provisions of section 301. The request must be in writing and must be accompanied by payment of an examination fee established by the Director pursuant to the provisions of section 41. The request must set forth the pertinency and manner of applying cited prior art to every claim for which reexamination is requested. Unless the requesting person is the owner of the patent, the Director promptly will send a copy of the request to the owner of record of the patent.

- 35 U.S.C. 303-307 govern *ex parte* reexamination
- 37 C.F.R. 1.510 *et seq.* implement the *ex parte* reexamination statute
- MPEP Chapter 2200 provides guidance regarding *ex parte* reexamination
The reexamination process

- Request for reexamination filed
- Determination of a substantial new question of patentability (SNQ)
- Decision to order reexamination
- Patent owner statement & third party requester reply (if any)
- Examination stage
- Appeal
- Issuance of reexamination certificate
The reexamination process (request)

- 37 CFR 1.510 sets forth content requirements for a request for *ex parte* reexamination
  - A request for reexamination of a patent may be filed at any time during the period of enforceability of the patent.
  - The request must be accompanied by payment of a reexamination fee.
  - The request must be based upon patents and printed publications only.
  - The request must set forth the pertinency and manner of applying cited prior art to every claim for which reexamination is requested.
  - If filed by a third party, the request must include a certification that a copy of the request has been served on the patent owner at the address provided for in 37 CFR 1.33(c).
  - If filed by a third party, the request must include a certification that estoppel provisions under 35 USC 315(e)(1) or 325(e)(1) do not prohibit the requester from filing the reexamination request.
The examiner determines whether a "substantial new question of patentability" (SNQ) affecting any claim of the patent exists.

An SNQ can be raised not only by new patents or printed publications, but also by patents and printed publications previously considered during examination if they are presented in a new light. (Patent and Trademark Office Authorization Act of 2002).

The decision on a request for reexamination must be made no later than 3 months from its filing date.

If an SNQ is found, an order for ex parte reexamination of the patent is issued.
35 USC 315(e)(1) and 325(e)(1) estoppel

• 35 USC 315(e) Estoppel
  – (1)Proceedings before the office.—The petitioner in an *inter partes* review of a claim in a patent under this chapter that results in a final written decision under section 318(a), or the real party in interest or privy of the petitioner, may not request or maintain a proceeding before the Office with respect to that claim on any ground that the petitioner raised or reasonably could have raised during that *inter partes* review.

• 35 USC 325(e)(1) Estoppel
  – (1)Proceedings before the office.—The petitioner in a post-grant review of a claim in a patent under this chapter that results in a final written decision under section 328(a), or the real party in interest or privy of the petitioner, may not request or maintain a proceeding before the Office with respect to that claim on any ground that the petitioner raised or reasonably could have raised during that post-grant review.
Thus, once a final written decision is issued with respect to a claim in a patent in an inter partes review or post grant review proceeding, the petitioner, real party-in-interest or privy of the petitioner, is barred from filing a subsequent request for ex parte reexamination of that claim of the patent on any ground that was raised or could have been raised during the prior AIA proceeding.

See MPEP 2214
35 USC 325(d)-Director discretionary denial of a request for reexamination

- (d) **MULTIPLE PROCEEDINGS.**—Notwithstanding sections 135(a), 251, and 252, and chapter 30, during the pendency of any post-grant review under this chapter, if another proceeding or matter involving the patent is before the Office, the Director may determine the manner in which the post-grant review or other proceeding or matter may proceed, including providing for the stay, transfer, consolidation, or termination of any such matter or proceeding. **In determining whether to institute or order a proceeding under this chapter, chapter 30, or chapter 31, the Director may take into account whether, and reject the petition or request because, the same or substantially the same prior art or arguments previously were presented to the Office.**
35 USC 325(d)-Director discretionary denial of a request for reexamination (cont.)

- Thus, even if the examiner determines that the request for *ex parte* reexamination of a patent raises an SNQ, the Director has the discretionary authority to deny reexamination if the same or substantially the same art or arguments were previously presented to the Office.
The reexamination process (statement/reply)

• If reexamination is ordered based upon a third party request, the patent owner may file a statement within two months from the mailing date of the order including any proposed narrowing amendments to the patent claims.

• If patent owner files a statement, the third party may file a reply within two months of patent owner’s statement.

• If patent owner waives right to file a statement, the third party is not permitted to file a reply.

• The third party is not permitted to file any further papers in the proceeding.
The reexamination process (examination)

- The reexamination proceeding is *ex parte* and must proceed with "special dispatch" within the Office.

- The third party requester will be sent copies of Office actions and the patent owner must serve responses on the requester.

- Affidavits or declarations or other written evidence which explain the contents or pertinent dates of prior art patents or printed publications in more detail may be considered in reexamination.

- The scope of a claim cannot be enlarged by amendment in a reexamination.

- Examination concludes with the issuance of a Notice of Intent to Issue a Reexamination Certificate (NIRC).
The reexamination process (appeal)

- A patent owner may appeal to the Patent Trial and Appeal Board (PTAB or Board) by filing a notice of appeal.
- Third party requesters may not appeal or participate in the patent owner’s appeal.
- Failure to timely appeal the rejection(s) of record will result in a NIRC indicating the status of the claims at the time of last rejection.
- A patent owner may seek judicial review of an adverse decision by the PTAB by filing an appeal to the U.S. Court of Appeals for the Federal Circuit (CAFC).
- Third party requesters may not seek judicial review of any decision favorable to patentability.
The reexamination process (certificate)

- Reexamination certificate is part of the issued patent
- The reexamination certificate will list:
  - The cancellation of unpatentable claims
  - The confirmation of patentable claims
  - Any patentable amended or new claims
  - Any statutory or terminal disclaimers
  - Any patent claims not reexamined
Streamlined reexamination

- On November 14, 2017, the USPTO issued a final rule that included streamlined *ex parte* reexamination filing fees.
  - 50% reduced filing fees
- Streamlined reexamination fees will apply to *ex parte* reexamination requests having 40 pages or less that meet certain format requirements. The half price fee reduction for reexamination requests must meet the requirements of 37 C.F.R. § 1.20(c)(1).
**Inter partes reexamination**

- Effective September 16, 2012, the *inter partes* reexamination process was replaced by the *inter partes* review (IPR) trial process and no new *inter partes* reexamination requests may be filed.

- 17 IPR are pending as of June 2023.
Knowledge check A

Which of the following is NOT true with regard to *ex parte* reexamination proceedings?

A. The requester of an *ex parte* reexamination may be a third party.
B. If the patent owner files a statement, the third party may file a reply.
C. The third party will receive a copy of all communications from the patent office.
D. If an appeal is requested, the third party may participate.
Knowledge check A: Answer

The answer is D. After filing the request and any reply permitted after patent owner’s statement, the reexamination proceeds *ex parte* and the third party cannot participate.
II. Supplemental examination

• A patent owner may request supplemental examination of a patent in the Office to consider, reconsider, or correct information believed to be relevant to the patent.

• The supplemental examination concludes with a certificate indicating whether the information in the request raises a substantial new question of patentability.

• If the certificate is issued indicating a substantial new question of patentability, an *ex parte* reexamination is ordered.
II. Supplemental examination (cont.)

• Potentially shields patent owners from a finding of unenforceability due to inequitable conduct for the information considered and subject to a written decision by the Office. See 77 Fed. Reg. 48828 (Aug. 14, 2012).

• A request for supplemental examination of a patent may be filed at any time during the period of enforceability of the patent.

• Only the patent owner(s) may request supplemental examination.

• May present information, believed to be relevant to the patent, that the patent owner requests the Office to consider, reconsider, or correct.

• The information presented in a request is not limited to patents and printed publications.
Requirements for a request for supplemental examination

• 37 CFR 1.610(b) sets forth content requirements for a request for supplemental examination
  – Identification of the number of the patent, and each claim of the patent, for which supplemental examination is requested.
  – A list of all items of information - each request for supplemental examination may include no more than twelve items of information believed to be relevant to the patent.
  – A list of prior or concurrent post-patent Office proceedings involving the patent.
  – A separate, detailed explanation of relevance and manner of applying each item of information to each patent claim for which supplemental examination is requested.
Requirements for a request for supplemental examination (cont.)

- 37 CFR 1.610(b) sets forth content requirements for a request for supplemental examination (cont.)
  - A copy of the patent for which supplemental examination is requested, and a copy of any disclaimer or certificate issued for the patent.
  - A copy of each item of information listed in the request accompanied by a written English translation of all of the necessary and pertinent parts of any non-English language document.
  - A summary of the relevant portions of any submitted document (including patent documents), other than the request, that is over fifty (50) pages in length.
  - An identification of the owner(s) of the entire right, title, and interest in the patent requested to be examined, and a submission by the patent owner in compliance with 37 CFR 3.73(c) establishing the entirety of the ownership in the patent requested to be examined.
Supplemental examination guidelines

- Within 3 months following the filing date of a request for supplemental examination, the examiner will determine whether a substantially new question (SNQ) affecting any claim of the patent is raised by any of the items of information properly presented in the request.

- The determination will generally be limited to a review of the item(s) of information identified in the request as applied to the identified claim(s) of the patent.

- The determination will be based on the claims in effect at the time of the determination and will become a part of the official record of the patent.
Supplemental examination guidelines (cont.)

• The patent owner must promptly notify the USPTO of any federal court decision involving the patent.

• No amendments will be accepted and no interviews will be conducted during supplemental examination.

• A supplemental examination proceeding will conclude with the electronic issuance of a supplemental examination certificate which will indicate whether any of the items of information raised an SNQ.
Action following issuance of a supplemental examination certificate

- If the supplemental examination certificate states that an SNQ is raised by one or more of the items of information submitted as part of the request, *ex parte* reexamination of the patent will be ordered under 35 U.S.C. 257.

- If the supplemental examination certificate states that no SNQ of patentability is raised in the request, then an *ex parte* reexamination proceeding will not be initiated at the conclusion of the supplemental examination proceeding.
Action following issuance of a supplemental examination certificate (cont.)

* Ex parte reexamination ordered under 35 U.S.C. 257 will be conducted in accordance with regular *ex parte* reexamination, except that:
  
  - The patent owner will not have the right to file a patent owner statement.
  - Reexamination of any claim of the patent may be conducted on the basis of any item of information and is not limited to patents and printed publications.
  - Issues in addition to those raised by patents and printed publications, and by subject matter added or deleted during a reexamination proceeding, may be considered and resolved.
  - Information material to patentability will be defined by § 1.56(b).
Knowledge check B

Which of the following is NOT true with regard to *ex parte* reexamination ordered as a result of supplemental examination?

A. No more than twelve items of information believed to be relevant to the patent may be filed in the request for supplemental examination.

B. If the patent owner files a statement, the third party may file a reply.

C. Issues of patentability may be raised and considered based upon patents, printed publications and other items of information.

D. The patent owner must promptly notify the Office of any federal court decision involving the patent.
Knowledge check B: answer

The answer is B. The patent owner may not file a statement in an *ex parte* reexamination proceeding that was the result of a supplemental examination. As third parties may not initiate a supplemental examination, there can never be a third party. Therefore, because the patent owner cannot submit a statement and there can be no third party in an *ex parte* reexamination that resulted from a supplemental examination, a third party cannot possibly file a reply to a patent owner statement in an *ex parte* reexamination that resulted from a supplemental examination.
Sources of information on *ex parte* reexamination and supplemental examination

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<th>MPEP</th>
<th>Statutes</th>
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<tr>
<td>Inter Partes Reexamination</td>
<td>2600</td>
<td>Pre-AIA version of 35 U.S.C. §§ 311-318 in force on September 15, 2012</td>
<td>37 CFR 1.902-1.997</td>
</tr>
</tbody>
</table>
III. Reissue

• Reissue of an original patent –
• Permits errors made in the original patent to be corrected
• Permits claims to be broadened, if broadening reissue filed within two years of issuance of original patent
• Reissue may be used to correct inventorship
• Not all errors are correctable through reissue

See 35 U.S.C. §§ 251 & 252; MPEP §1401-1470
Requirements for filing reissue

- Fees
- Reissue “specification” – the printed patent
- Reissue oath or declaration (“oath/dec”)
- Consent of assignee to filing & statement of ownership
  - Is needed if patent is assigned, otherwise a statement that ownership of the patent is in the inventor(s) is required.
Reissue oath or declaration

• Must point out error(s) being corrected
  – Only one error need be given
  – The error must be specifically identified with how it renders the patent wholly or partly inoperative or invalid

• Reissue applications filed on or after September 16, 2012, are not required to state that all errors being corrected arose without deceptive intent
Reissue oath or declaration (cont.)

• Reissue oath/declaration must include the requirements of 37 CFR 1.63, as is required for any non-provisional application

• Generally, the oath or declaration must be signed by the inventors. The oath or declaration may be signed by the assignee of the entire interest if:
  – The reissue application does not seek to enlarge the scope of the claims of the original patent; or
  – The application for the original patent was filed under 37 CFR 1.46 by the assignee of the entire interest. See 37 CFR 1.175(c)
Oath/Declaration: broadening reissue
37 CFR 1.175 and MPEP 1414

• Where the claims are broadened:
  – The oath/declaration must identify at least one claim that the application seeks to broaden (37 CFR 1.175(b)) and
  – All inventors are required to sign the oath/declaration except
    • If the application for the original patent was filed on or after 9/16/2012 under 37 CFR 1.46 by the assignee of the entire interest or
    • If the application is filed with a substitute statement in lieu of an oath or declaration under 37 CFR 1.64 (see next slide).

• If there are no broadened claims, the assignee of the entire interest may sign the oath/declaration as an alternative to the inventors (37 CFR 1.175).
For a continuing reissue application, a copy of the inventor’s oath or declaration from the earlier-filed post-AIA reissue parent application may be used, provided that:

- The inventor or each joint inventor of a claimed invention in the reissue application executed an inventor’s oath or declaration for the earlier filed reissue application, except as provided in 37 CFR 1.64;
- The continuing reissue application does not seek to enlarge the scope of the claims of the original patent; or
- The application for the original patent was filed under 37 CFR 1.46 by the assignee of the entire interest.

Oath/Declaration, continuing Reissue: 37 CFR 1.175 and MPEP 1410.01
Consent of assignee to the Reissue

• If the patent is assigned, the assignee must consent to filing the reissue even where the oath/dec is signed by the inventor(s)
  – Consent must be signed by a party authorized to act on behalf of assignee
  – Consent must be supported by a 37 CFR 3.73 statement establishing ownership of assignee (see next slide)

• If the patent is not assigned, no formal consent is needed and the inventor(s) execute the oath/dec, as long as there is indication of non-assignment

• Without proper consent, oath/dec is incomplete
Establishing assignee ownership of patent

- Consent of assignee is a “taking of action” by the assignee pursuant to 37 CFR 3.73
- Statement under 37 CFR 3.73 must:
  1) Identify the assignee
  2) Identify the reel or frame number where assignment is recorded, or attach a copy of the assignment document(s)
  3) Be signed by a party having apparent authority to act on behalf of the assignee, or include a statement that the party signing the submission is authorized to act on behalf of the assignee
- Recordation of assignment in assignment records of USPTO is not sufficient; §3.73 statement must be filed in reissue application
Reissue specification and drawings

• Reissue specification (including claims) is filed in double-column format (copy of printed patent)

• Original drawings:
  – Clean copies of printed patent drawing sheets are filed as the formal drawings (Submission of a complete copy of the printed patent meets this requirement.)

• Change to drawings:
  – New drawings sheets are required for any new or amended figures

See 37 CFR 1.84 and 1.173
Surrendering original patent

- Applicants do not need to physically surrender the original patent when filing a reissue application
  - See MPEP §1416 and 37 CFR 1.178(a) as amended effective September 21, 2004.
Limitations on reissue: in general

• Reissue may be used to correct errors in the original patent, such as:
  – Error based on scope of claims;
  – Inventorship error;
  – Error related to priority to foreign application;
  – Error in benefit claim to domestic application;
  – Error in drawing or specification; and
  – Error in filing terminal disclaimer.

See MPEP 1402
Limitations on reissue: in general (cont.)

- Expired patent is not eligible for reissue
  - Patent is reissued “for the unexpired part of the term of the original patent”; 35 U.S.C. §251
  - Different from reexamination, where a proceeding can be initiated or continued after expiration, as long as the patent is still enforceable; see 37 CFR 1.510(a) and MPEP 2211

- Term of patent cannot be extended by eliminating 35 U.S.C. §120 benefits in a reissue; original term remains in effect

- Subject matter surrendered to obtain the original patent cannot be recaptured by filing a reissue (Recapture discussed in later slides)
Limitation on reissue: claim broadening

• No broadening of coverage of patent claims unless a broadening reissue application was filed within two years from patent grant
  – 35 U.S.C. §251(d): “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.”

• Reissue application filed within two years for reasons other than broadening may not be broadened later in prosecution after the two-year date
  – Intent to broaden must be established in the reissue application within two years – In re Graff, 42 USPQ2d 1471
Limitation on reissue: claim broadening (cont.)

- Meaning of “Broadened Reissue Claim” – test for broadening coverage of the patent:

- An amended/new claim in the reissue that contains within its scope any conceivable invention that would not have infringed any of the claims of the original patent.

- See Tillotson, Ltd. v. Walbro Corp., 4 USPQ2d 1450, 1453 n.2 (Fed. Cir. 1987) (Citing In re Self, 213 USPQ 1 (CCPA 1982))
  - Will the reissued patent claims cause a previously non-infringing invention to now infringe the patent?

See MPEP §1412.03 (I)
Limitation on reissue: recapture

• Even within two years of patent grant, patentee cannot recover via broadening in reissue subject matter surrendered in an effort to obtain allowance of the original patent claims.

• Rationale: deliberate withdrawal of claimed subject matter or amendment in order to obtain allowance of the patent cannot be “error” as required by statute.
3-Step test for impermissible recapture (MPEP §1412.02)

- Determine whether, and in what respect, the reissue claims are broader in scope than the original patent claims;
- Determine whether the broader aspects of the reissue claims relate to subject matter surrendered in the original prosecution; and
- Determine whether the reissue claims were materially narrowed in other respects, and hence avoid the recapture rule.
  
  Materially narrowing claim limitations must be related to the surrendered subject matter. In re Mostafazadeh, 98 USPQ2d 1639 (Fed. Cir. 2011).
Limitation on reissue: claims non-elected in application

- If claims were non-elected in the application (that became the patent) and the non-elected claims were not re-filed in a divisional, they cannot be recovered via reissue.
  - Rationale: Failure to file a divisional application on the non-elected claims is not considered to be an “error” correctable under 35 U.S.C. §251 by reissue of the original patent. There is no error in the original patent due to the absence of the non-elected claims.
Limitation on reissue: original patent requirement

• 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.

• To satisfy the original patent requirement where a new invention is sought by reissue, the specification must clearly and unequivocally disclose the newly claimed invention as a separate invention.
Narrowing reissue claims

• A reissue application may add one or more claims that is/are narrower than one or more broader existing patent claims (claiming “more than” the patentee had a right to claim).

• Adding narrower claims (both independent or dependent claims) without amending or canceling the broader patent claims may be correctable by reissue. In re Tanaka, 98 USPQ2d 1331 (Fed. Cir. 2011).

• The declaration may be signed by the assignee instead of inventor(s).
Sources of information on reissue of patents

- Statute: 35 U.S.C. §§ 251, 252
- Rules: 37 CFR 1.171 – 1.178
- MPEP Chapter 1400
Knowledge check C

Which of the following are true of reissue applications? (select all that apply)

A. Must point out an error being corrected
B. Cannot be used for expired patents
C. Can be filed solely to review a patent based on new prior art
D. May not broaden the claims if intent to broaden was not evident within 2 years of issuance of the original patent
E. Cannot be used to make changes to the drawings
Knowledge check C: answer

The answers are **A, B, and D**. See 35 U.S.C. 251 and MPEP §1414.

- C is false because the reissue applicant must state an error in the original patent.
- E is false because reissue practice can be used to correct errors with the drawings.
Co-pending reexaminations/reissues before the CRU

• Stay or suspension
• Merger
  – Reexam/Reexam
  – Reexam/Reissue (reissue rules apply)
• Examine co-pending proceedings concurrently
Federal Register Notice

• On April 22, 2019, the USPTO published, in the Federal Register, “Notice Regarding Options for Amendments by Patent Owner through Reissue or Reexamination During a Pending AIA Trial Proceeding.”

• This notice provides information to the public on existing office practice as it pertains to reissue and reexamination procedures for amending claims available to patent owner during the pendency of a trial proceeding under the America Invents Act ("AIA") involving the same patent.
Amendments through reissue or reexamination

• This Federal Register notice also provided:
  – A summary of current practice regarding existing USPTO procedures that apply to reissue and reexamination, including after a petitioner files an AIA petition challenging claims of same patent, after Board institutes a trial, and after Board issues a final written decision (FWD).
  – Summary information about factors the Board currently considers when determining:
    • Whether to stay or suspend a reissue proceeding, or stay a reexamination proceeding, that involves a patent at issue in an AIA proceeding; and
    • When and whether to lift such a stay or suspension.
Other post grant mechanisms

1. Certificate of correction (patent owner)
2. Disclaimers (patent owner)
3. AIA trial petitions (third party)
   - *Inter partes* review (IPR)
   - Post grant review (PGR)
The passage of AIA provided third parties the ability to challenge the same patent concurrently under multiple different Office proceedings (Ex parte reexamination, Inter partes review (IPR), and Post grant review (PGR)).

The CRU closely monitors all pending and concluded PTAB post grant proceedings and reviews all PTAB determinations before taking any action in an ex parte reexamination proceeding or pending reissue application involving the same patent.
Interplay – PTAB/CRU

• AIA allows for different types of co-pending post grant challenges to be handled by different business units within USPTO
  - IPR/PGR handled by PTAB
  - Reexams handled by CRU

• Requires consideration of all pending post grant challenges to consider
  - 35 USC 315(e)(1) petitioner estoppel
  - 35 USC 325(d) discretionary denial
  - 37 CFR 42.73(d)(3) patent owner estoppel
  - Conflicting positions on claim construction
  - Conflicting positions on prior art
Summary

• You should now be more familiar with the following:
• The ways a patent may be corrected
• Where to get further information on these ways to correct or examine a patent
Relevant MPEP sections

- Reexamination – MPEP § 2200
  - https://www.uspto.gov/web/offices/pac/mpep/mpep-2200.html

- Supplemental Examination – MPEP § 2800
  - https://www.uspto.gov/web/offices/pac/mpep/mpep-2200.html

- Reissues, Certificates of Correction, and Disclaimers – MPEP § 1400
  - https://www.uspto.gov/web/offices/pac/mpep/mpep-1400.html
Office resources

• CRU help desk 571-272-7705
• OPLA Reissue/Reexamination number – 571-272-7703
• Patent Trial and Appeal Board - 571-272-9797
• [http://www.uspto.gov](http://www.uspto.gov)
Questions?
Thank you!

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