



## File PPA with new USPTO system instructions (1/25/24)

These instructions are to submit as a “guest user”. If you are a registered user you can still file as a guest and follow these instructions.

These instructions are also to file as a “Micro Entity”. As of 12/31/23 you qualify as a “micro entity” if you individually make less than \$185,000. The fee should be \$60. (This periodically will change)

To file as a Micro Entity you need to fill out the USPTO form SB15A. Here is a link to the fillable form. <https://www.uspto.gov/sites/default/files/documents/sb0015a.pdf>

The sections of this form that must be filled out are:

- First named inventor
- Title of Invention (get this from your PPA)
- Signature. You can electronically sign this as follows /your name/ (that is a backslash then type your name then another backslash.. no spaces between the backslash and your name)
- Name: Type your first and last name
- Date: Type date
- Telephone: Type your phone #

Once you have completed this form you need to save/convert it to a PDF and name it “sb15a” (do not include the quote marks and do not have any spaces between the numbers and letters. Name it exactly as shown above. Have it ready to attach to the application when you get to the “upload documents” page.

If you used SmartIP to write your PPA you should have 3 documents; Abstract, Specification (the big bulk of the PPA) and Drawings.

If you did not use SmartIP you may only have your Drawings and Specification.

Regardless of which of the above you used, you will need all those documents combined/merged into one Multi-Page pdf. You can convert each one individually to a pdf then combine/merge the 3 or you can just create one pdf with all the info. Whatever is easiest for you. I recommend converting each one individually to a pdf, then combining/merging all 3 together.

Here is a link to a free tool to do this.

[https://pdfsimpli.com/lp/pdf-writer?account=665-587-7639&utm\\_source=google&utm\\_medium=sem&utm\\_campaign=2001047213&utm\\_term=convert%20pdf%20file&network=g&device=c&adposition=&adgroupid=156450466003&placement=](https://pdfsimpli.com/lp/pdf-writer?account=665-587-7639&utm_source=google&utm_medium=sem&utm_campaign=2001047213&utm_term=convert%20pdf%20file&network=g&device=c&adposition=&adgroupid=156450466003&placement=)



[https://www.uspto.gov/patents-application-process/filing-online?location=9029804&gad\\_source=1&gclid=CjwKCAiAzJOtBhALEiwAtwj8toy6FeXqynNrC\\_MjdwRG2oKi94RxZfVKlr-lgrnVcajQE5ZI4LC5-xoCTn8QAvD\\_BwE](https://www.uspto.gov/patents-application-process/filing-online?location=9029804&gad_source=1&gclid=CjwKCAiAzJOtBhALEiwAtwj8toy6FeXqynNrC_MjdwRG2oKi94RxZfVKlr-lgrnVcajQE5ZI4LC5-xoCTn8QAvD_BwE)

You will see the option to convert documents to PDF and the option to Merge Pdfs when you click on the above link.

A real simple way to convert a document to PDF is to open the document on your computer, then click on "Print" and look for the convert to PDF option there. Sometimes you have to click on the "Printer Options" where you select what printer to send it to and there is a "Print to PDF" this will not actually print it, rather it will convert it to a PDF.

Whatever you do you will need all your specification, abstract (if applicable) and your drawings merged into one pdf and named "Specification" prior to proceeding.

At this point you should have 2 pdfs ready. Your Specification just mentioned and your SB15A.

When you have all the above done proceed with the following instructions.

Only click on the **yellow**:

- Go to [www.uspto.gov](http://www.uspto.gov)
- Hover over (don't click) the " Patents" tab, then under the "Application process" column go down to and click on "Filing Online"
- Under the large FILE ONLINE click on the gray box that says "Open Patent Center"
- Scroll down to the "Activities" section and click on "New Submission"
- Under the "Regular Submissions" column click on "Utility Provisional"
- A "Warning" box will pop up. Click on "Continue"
- Under "Application Data Sheet (ADS) filing options, click on "Select" under Web ADS
- On right side of screen click on "Add new inventor"
- Fill out Add new inventor info, then click on "Add"
- Then click "Next Section"
- Under Correspondence information click on "provide a physical address"
- Fill out Country, Name 1, Address 1, City, State/Province, Postal code, Email, Title of invention (match what is on your PPA) Application type should be Provisional, Subject matter should be Utility, Total number of drawing sheets ( put in how many pages of "drawings" you have then click on "Next Section"
- On Representative information, just click "Next Section"
- On Domestic Benefit/National Stage information, just click "Next Section"
- On Foreign priority information, just click "Next Section"
- On statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications, just click "Next Section"



- On Authorization or Opt-Out of Authorization to Permit Access, scroll down to 2. Opt-Out of Authorizations to Permit Access by a Foreign Intellectual Property Office(s), click the **little boxes next to A. and B.** Then click **“Next Section”**
- On Applicant, click **“Next Section”**
- On Assignee information including non-applicant assignee information, click **“Next Section”**
- On “Summary”, just review that everything is correct, then click **“Next Section”**
- At this point you are still on the “Summary” page and you need to scroll to the bottom to the “Signature” section. In the box that says “Signature” you need to put a / then type your first and last name then put another / there should be no spaces between the /and your name. There is an example right below but DO NOT include the '. So it should look like this: **/John Doe/** then put your First name in the next box and your Last name in the next box, then scroll to the bottom of the page and click **“Continue”**
- Now you should be on the “Upload documents” page. You will see a big box with dotted lines around it. Click on **“Browse files”** button. Find your 2 PDFs named “Specification” (that contains your Combined/Merged documents mentioned at the beginning of this instruction sheet) and your SB15a. Highlight both those documents and hit <<enter>> and you will see they have been added below the big box with the dotted lines around it. At this point you will see three documents attached. Your Application Data Sheet, Specification and your SB15a. You will need to make sure that a description is added. You will see under the first document, its “description” is “Application Data Sheet”. If your Specification did not automatically add the description, make sure you click on the drop down box and go to the **Application Part** then click on **“Specification”**. Also make sure that you add the description for the SB15a (Certification of Micor Entity) Then go to the bottom of page and click **“Continue”**
- You will now be on the “Calculate fees” page. Click on the circle next to **Micro** to indicate that you are a “micro entity”. Then on the line that says, “# of pages in the specification (including any external tables) and drawings, put **how many pages** are in that Combined/Merged PDF you named “Specification”. Then click **“Continue”**
- On this page under the “Select fees to pay” section, click on the little box next to **“Provisional Application Filing Fee”** It should be \$60. (this periodically will change). Then click on **“Continue”**
- Now you are on the “Review and submit” page. Scroll down to the “eFiler information” section and put in your First Name and your Last Name and Email. Then click **“Submit”**
- Now you are on the “Electronic Acknowledgement Receipt” page. Scroll to the top of this page and either **print, save or email** you a copy of this. It is very important that you have this document. Just be sure that you DO NOT exit out yet. Once you have saved a copy of this document click on the blue box that says **“Pay fees now”**
- Click on **“Pay as a guest”**
- Now you are on the credit card processing page. **Enter your information**
- **Print final receipt** showing that you filed and paid.
- Exit site.



**Mail in instructions:**

If you go through this and get an error or if you just want to mail the application follow the following instructions.

Mailing PPA in:

Here are some instructions to help you file your PPA by mailing it in.

First of all here are the documents you will need.

1. USPTO form SB15a Certification of Micro Entity. (1page)
2. USPTO form SB16 Provisional Application for Patent Cover Sheet. (2 pages)
3. Your drawings (how ever many pages you have)
4. Your Specification. This will be the main body of your PPA with the descriptions and everything. ( Usually multiple pages)
5. Your Abstract if you have it. This is not required but SmartIP creates it automatically.
5. USPTO form PTO2038 (Credit Card Payment Form)

Link to PTO2038

<https://www.uspto.gov/sites/default/files/documents/PTO-2038.pdf>

**Instructions to fill out the PTO2038 form:**

1. Fill out the “Credit Card Information” and “Credit Card Billing Address” sections as they pertain to you.
2. In the “Request and Payment Information” section the only thing you need to do is type “PPA Fees” in the “Description of Request and Payment Information” section.
3. You do not need to check any boxes or fill out anything else in this section.

Here is the Customer Service number at the USPTO if you have troubles. 866-217-9197 then press (1)

I have included samples of how to fill out the 2 USPTO forms SB15a and SB16.

Mail all documents to: (they advised to NOT send it requiring a signature, just regular mail)

Commissioner for Patent  
PO Box 1450  
Alexandria VA 22313-1450

**\*IMPORTANT\*** When mailing application in, make copies of everything prior to mailing.



**Here are the links to the fillable forms:**

<https://www.uspto.gov/sites/default/files/documents/sb0015a.pdf>

<https://www.uspto.gov/sites/default/files/documents/sb0016.pdf>

<https://www.uspto.gov/sites/default/files/documents/PTO-2038.pdf>

Template to fill out forms

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PTO/SB/16 (10-18)

Approved for use through 11/30/2020. OMB 0651-0032

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

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### PROVISIONAL APPLICATION FOR PATENT COVER SHEET – Page 1 of 2

This is a request for filing a PROVISIONAL APPLICATION FOR PATENT under 37 CFR 1.53(c).

Priority Mail Express® Label No. \_\_\_\_\_

INVENTOR(S)		
Given Name (first and middle [if any])	Family Name or Surname	Residence (City and either State or Foreign Country)
Additional inventors are being named on the _____ separately numbered sheets attached hereto.		
<b>TITLE OF THE INVENTION (500 characters max):</b>		
Get this from your PPA		
Direct all correspondence to: <b>CORRESPONDENCE ADDRESS</b>		
<input type="checkbox"/> The address corresponding to Customer Number: _____		
<b>OR</b>		
<input checked="" type="checkbox"/> Firm or Individual Name _____		
Address _____		
City _____	State _____	Zip _____
Country _____	Telephone _____	Email _____
<b>ENCLOSED APPLICATION PARTS (check all that apply)</b>		
<input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76.		
<input type="checkbox"/> CD(s), Number of CDs _____		
<input checked="" type="checkbox"/> Drawing(s) Number of Sheets _____		
<input type="checkbox"/> Other (specify) _____		
<input checked="" type="checkbox"/> Specification (e.g., description of the invention) Number of Pages _____		
<b>Fees Due:</b> Filing Fee of \$280 (\$140 for small entity) (\$70 for micro entity). If the specification and drawings exceed 100 sheets of paper, an application size fee is also due, which is \$400 (\$200 for small entity) (\$100 for micro entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).		
<b>METHOD OF PAYMENT OF THE FILING FEE AND APPLICATION SIZE FEE FOR THIS PROVISIONAL APPLICATION FOR PATENT</b>		
<input type="checkbox"/> Applicant asserts small entity status. See 37 CFR 1.27.		
<input checked="" type="checkbox"/> Applicant certifies micro entity status. See 37 CFR 1.29. Applicant must attach form PTO/SB/15A or B or equivalent.		
<input type="checkbox"/> A check or money order made payable to the <i>Director of the United States Patent and Trademark Office</i> is enclosed to cover the filing fee and application size fee (if applicable).		
<input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.		
<input type="checkbox"/> The Director is hereby authorized to charge the filing fee and application size fee (if applicable) or credit any overpayment to Deposit Account Number: _____		
<div style="border: 1px solid black; padding: 5px; display: inline-block;">\$60.00</div> <b>TOTAL FEE AMOUNT (\$)</b>		

This is your PPA.

if micro entity

#### USE ONLY FOR FILING A PROVISIONAL APPLICATION FOR PATENT

This collection of information is required by 37 CFR 1.51. 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 1.11 and 1.14. This collection is estimated to take 10 hours to complete, including gathering, preparing, and submitting the completed application 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.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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

PROVISIONAL APPLICATION FOR PATENT COVER SHEET - Page 2 of 2

The invention was made by an agency of the United States Government or under a contract with an agency of the United States Government. (NOTE: Providing this information on a provisional cover sheet, such as this Provisional Application for Patent Cover Sheet (Form PTO/SB/16), does not satisfy the requirement of 35 U.S.C. 202(c)(6), which requires that the *specification* contain a statement specifying that the invention was made with Government support and that the Government has certain rights in the invention.)

No.

Yes, the invention was made by an agency of the U.S. Government. The U.S. Government agency name is: \_\_\_\_\_

Yes, the invention was made under a contract with an agency of the U.S. Government.

The contract number is: \_\_\_\_\_

The U.S. Government agency name is: \_\_\_\_\_

In accordance with 35 U.S.C. 202(c)(6) and 37 CFR 401.14(f)(4), the specifications of any United States patent applications and any patent issuing thereon covering the invention, including the enclosed provisional application, must state the following:

"This invention was made with government support under [IDENTIFY THE CONTRACT] awarded by [IDENTIFY THE FEDERAL AGENCY]. The government has certain rights in the invention."

WARNING:

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

TYPED OR PRINTED NAME \_\_\_\_\_ REGISTRATION NO. \_\_\_\_\_  
(if appropriate)

TELEPHONE \_\_\_\_\_ DOCKET NUMBER \_\_\_\_\_

CERTIFICATION OF MICRO ENTITY STATUS (GROSS INCOME BASIS)			
Application Number or Control Number (if applicable):		Patent Number (if applicable):	
First Named Inventor:		Title of Invention: <i>Get this From your PPA</i>	
The applicant hereby certifies the following—			
<p>(1) <b>SMALL ENTITY REQUIREMENT</b> – The applicant qualifies as a small entity as defined in 37 CFR 1.27.</p> <p>(2) <b>APPLICATION FILING LIMIT</b> – Neither the applicant nor the inventor nor a joint inventor has been named as the inventor or a joint inventor on more than four previously filed U.S. patent applications, excluding provisional applications and international applications under the Patent Cooperation Treaty (PCT) for which the basic national fee under 37 CFR 1.492(a) was not paid, and also excluding patent applications for which the applicant has assigned all ownership rights, or is obligated to assign all ownership rights, as a result of the applicant's previous employment.</p> <p>(3) <b>GROSS INCOME LIMIT ON APPLICANTS AND INVENTORS</b> – Neither the applicant nor the inventor nor a joint inventor, in the calendar year preceding the calendar year in which the applicable fee is being paid, had a gross income, as defined in section 61(a) of the Internal Revenue Code of 1986 (26 U.S.C. 61(a)), exceeding the "Maximum Qualifying Gross Income" reported on the USPTO Web site at <a href="http://www.uspto.gov/patents/law/micro_entity.jsp">http://www.uspto.gov/patents/law/micro_entity.jsp</a> which is equal to three times the median household income for that preceding calendar year, as most recently reported by the Bureau of the Census.</p> <p>(4) <b>GROSS INCOME LIMIT ON PARTIES WITH AN "OWNERSHIP INTEREST"</b> – Neither the applicant nor the inventor nor a joint inventor has assigned, granted, or conveyed, nor is under an obligation by contract or law to assign, grant, or convey, a license or other ownership interest in the application concerned to an entity that, in the calendar year preceding the calendar year in which the applicable fee is being paid, had a gross income, as defined in section 61(a) of the Internal Revenue Code of 1986, exceeding the "Maximum Qualifying Gross Income" reported on the USPTO Web site at <a href="http://www.uspto.gov/patents/law/micro_entity.jsp">http://www.uspto.gov/patents/law/micro_entity.jsp</a> which is equal to three times the median household income for that preceding calendar year, as most recently reported by the Bureau of the Census.</p>			
<b>SIGNATURE by an authorized party set forth in 37 CFR 1.33(b)</b>			
Signature			
Name			
Date	Telephone	Registration No.	
<input type="checkbox"/>	There is more than one inventor and I am one of the inventors who are jointly identified as the applicant. The required additional certification form(s) signed by the other joint inventor(s) are included with this form.		