Receipt date: 12/06/2019 16/052,623 - GAU: 3992 Doc code: IDS Doc description: Information Disclosure Statement (IDS) Filed PTO/SB/Q Approved for use through 11/30/2020. OMP 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE 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. 16052623 Application Number Filing Date 2018-08-02 INFORMATION DISCLOSURE First Named Inventor Manli Zhu STATEMENT BY APPLICANT Art Unit 3992 (Not for submission under 37 CFR 1.99) Examiner Name ESCALANTE, OVIDIO Attorney Docket Number CreativeTech_01REC **U.S.PATENTS** Pages,Columns,Lines where Examiner Cite Name of Patentee or Applicant Kind Issue Date Patent Number Relevant Passages or Relevant Initial* No Colde1 of cited Document Figures Appear 2018-12-04 1 10147439 B1 Amazon Technølogies, Inc., Seattle, WA(US) 2 8983057 B1 2015-03-17 Amazon Technologies, Inc., Seattle, WA(US) 3 5825898 1998-10-20 Lama Signal Processing Ltd., А Haifa, İsrael Amazon Techkologies, Inc., 9767828 B1 2017-09-19 4 Seattle, WA(US) Amazon Technologies, 🗽 ., Reno, 2016-05-03 5 9332167 В1, NV(US) Amazon Technologies, Inc., 6 9363616 B1 2016-06-07 Seattle, WA(US) Amazon Technologies, Inc., 7 999715 Β1 2018-06-12 Seattle, WA(US) Amazon Technologies, Inc., 8 9591404 B1 2017-03-07 Seattle, WA(US)

Find authenticated court documents without watermarks at <u>docketalarm.com</u>.

FES W/ 2 1 18

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99) Filing Date 2018-08-02 Interpretation of the submission under 37 CFR 1.99) Filing Date 2018-08-02 Interpretation of the submission under 37 CFR 1.99) Filing Date 3982 Interpretation of the submission under 37 CFR 1.99) Filing Date 2018-08-02 Interpretation of the submission under 37 CFR 1.99) Filing Date 2018-08-02 Interpretation of the submission under 37 CFR 1.99) Filing Date 2018-08-02 Interpretation of the submission under 37 CFR 1.99) Filing Date 2018-08-02 Interpretation of the submission under 37 CFR 1.99) Filing Date 2018-08-01 Interpretation of the submission under 37 CFR 1.99) Filing Date Filing Date Interpretation of the submission under 37 CFR 1.99) Filing Date Filing Date Interpretation of the submission under 37 CFR 1.99) Filing Date CreativeTecon_D1RECon Interpretation of the submission under 37 CFR 1.99) Filing Date Filing Date Interpretation of the submission under 37 CFR 1.99) Filing Date Filing Date Interpretation of the submission under 37 CFR 1.99) Filing Date Filing Date Interpretation under 37 CFR 1.99) Filing Date Filing Date Inty ou wish to add additional U.S. Patiented Application citation i					Applic	ation N	umber		16052623			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.9) First Named Inventor Manifizhu An Unit 3992 Examiner Name ESCALANTE. CVIDIO Attorney Docket Number CreativeTech_DIRECon 10 997348 B1 2017-38-15 Amazon Technologies, Inc., Seattle, WA(US) 10 997348 B1 2018-35-15 Amazon Technologies, Inc., Seattle, WA(US) 11 9319783 B1 2018-34-19 Amazon Technologies, Inc., Seattle, WA(US) 12 0040071284 A1 2018-34-19 Amazon Technologies, Inc., Examiner Cite No Publication Mumber Cited Document 1 2 20130265276 A1 2004-34-15 Abutation of Patentee or Applicant Relevant Passages or Relevant Figures Appear 1 2012-32-10-10 Amazon Technologies, Inc., Reno, NV(US) 3 20120327115 A1 2012-12-27 Chhetri et.al. If you wish to add additional U.S. Published Application clation information please click the Add button. FOREICR PATENT DOCUMENTS Examiner Cite Foreign Dacument Courty Kind Publication Number Patentee or Application clation information please click the Add button. FOREICR PATENT DOCUMENTS 1 2012-12-27 Chhetri et.al. If you wish to add additional U.S. Published Application clation information please click the Add button. FOREICR PATENT DOCUMENTS FOREICR PATENT DOCUMENTS 1 wumber ³ Cite Foreign Dacument Courty Kind Publication Amazon Technologies, Inc., Reno, Number ³ Cite Foreign Patent Document clation information please click the Add button. 1 wumber ³ To Patentee of Patentee of Patentee of Patentee of Pages Columns, Lines There are application clation Pages Columns, Lines There are application clation information please click the Add button. 1 wumber ³ To Patentee of Pages Columns, Lines There are application clation information please click the Add button.	INFORMATION DISCLOSURE STATEMENT BY APPLICANT											
(Not for submission under 37 CFR 1.99) Antonic Sate Sate (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not wide for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not wide for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not for submission under 37 CFR 1.99) (Not wide for submissing th						-			Zhu			
(Not for submission under 37 CFR 1.99) Examiner Name ESCALANTE. OVIDIO Examiner Name ESCALANTE. OVIDIO Attorney Docket Number CreativeTeor_0*RECon 10 9973849 B1 2017-08-15 Amazon Technologies, IncSeattle, WA(US) 11 9319783 B1 2016-08-15 Amazon Technologies, IncSeattle, WA(US) 11 9319783 B1 2016-04-19 Amazon Technologies, IncSeattle, WA(US) US.Patent citation information please click the/Add button. U.S.Patent VPLICATION PVELICATION PVELICATIONS Examiner Cite No Publication Number Name of Patentee or Applicant of field Document Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear 1 20040071284 A1 2004-04-15 Abutalbei et al. Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear 3 20120227115 D1 2012-12-27 Chetri et. al. Pages,Columns,Lines If you wish to add additional U.S. Pyblished Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS Examiner Cite Foreign Document Code ² i Code ² i Chetri et. al. <td< th=""><th>Art Ur</th><th colspan="3"></th><th colspan="3">3992</th></td<>					Art Ur				3992			
Attorney Docket Number CreativeTedt_DTRECon 9 9734845 B1 2017-08-15 Amazon Technologies, Inc., Seattle, WA(US) 10 9973849 B1 2018-05-15 Amazon Technologies, Inc., Seattle, WA(US) 11 9319783 B1 2016-04-19 Amazon Technologies, Inc., Seattle, WA(US) If you wish to add additional U.S. Patent citation information please click the Add button. U.S.PATENT PPLICATION PPELCATIONS Examiner Initial* Cite No Publication Kind Publication 1 20040071284 A1 2004-04-15 Abuilable et al. 2 20130265276 A1 2012-12-27 Chetri et al. 3 20120327115 A1 2012-12-27 Chetri et al. FOREIGN PATENT DOCUMENTS FOREIGN PATENT DOCUMENTS FOREIGN PATENT DOCUMENTS To Code ² i If you wish to add additional U.S. Profilshed Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS FOREIGN PATENT DOCUMENTS If you wish to add additional U.S. Profilshed Application citation information please click the Add button.	(Not for submission under 37 CFR 1.99)						me	ESC	LANTE, OVIDIO			
9 9734845 B1 2017-08-15 Amazon Technologies, Inc., Seattle, WA(US) 10 9973849 B1 2018-05-15 Amazon Technologies, Inc., Seattle, WA(US) 11 9319783 B1 2016-04-19 Amazon Technologies, Inc., Seattle, WA(US) 11 9319783 B1 2016-04-19 Amazon Technologies, Inc., Seattle, WA(US) 11 9319783 B1 2016-04-19 Amazon Technologies, Inc., Seattle, WA(US) US-PATEIN APPLICATION PGELCATIONS US-PATEIN APPLICATION PGELCATIONS Examiner Cite No Publication Number 1 20040071284 A1 2004-04-15 Abutalbol et al. 2 20130265276 A1 2012-12-27 Chebri et. al. If you wish to add additional U.S. Profilshed Application citation Information please click the top button. USE Columns, Lines Where Relevant Passages or Relevant Figures Appear 3 20120327115 A1 2012-12-27 Chebri et. al. If you wish to add additional U.S. Profilshed Application citation Information please click the top button. FOREIGN PATEIN DOCUMENTS Examiner Cite Foreign Document Number? Columns, Lines Marke Relevant Passages or Relevant Passes Relevant Passages or Relevant Passages Relevant Passages Relev												
9 9/3403 91 2017-36-15 Seattle, WA(US) 10 9673849 B1 2018-05-15 Amazon Technologies, Inc., Seattle, WA(US) 11 9319783 B1 2018-04-19 Amazon Technologies, Inc., Seattle, WA(US) 11 9319783 B1 2016-04-19 Amazon Technologies, Inc., Seattle, WA(US) If you wish to add additional U.S. Patent citation information please click the Add button. US.PATENT APPLICATION PBLICATIONS Examiner Cite No Publication Name of Patentee or Applicant Pages, Columns, Lines where Relevant Passages or Relevant Passages					7							
9 9/3403 D1 2017-02-13 Seattie, WA(US) 10 9673649 B1 2018-05-15 Amazon Technologies, Inc., Seattie, WA(US) 11 9319783 B1 2016-04-18 Amazon Technologies, Inc., Seattie, WA(US) If you wish to add additional U.S. Patent citation information please click the Add button. U.S.PATENT APPLICATION Problemation Seattie, WA(US) Examiner Initial* Cite No Publication Number Name of Patentee or Applicant Of effed Document Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear 1 20040071284 A1 2004-04-15 Abutabe et al. Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear 2 20130265276 A1 2012-12-27 Chetri et. al. Pages, Columns, Lines Where Relevant ForEIGN PATENT DOCUMENTS If you wish to add additional U.S. Published Application citation information please click the Add button. Foreign Document Code ² i Name of Patentee or Applicant of cited Document Pages, Columns, Lines Where Relevant Ressages or Relevant Pages appear 1 Initial* No Number3 Code ² i Kind Code ² i Publication Code ² i Name of Patentee or Applicant of cited Document Pages, Columns, Lines Where Relevant Ressages or Relevant Pages appear												
10 9973949 B1 2018-05-15 Seattle, WA(US) 11 9319783 B1 2016-04-19 Amazon Technologies, Inc., Seattle, WA(US) If you wish to add additional U.S. Patent citation information please click the Add button. U.S.PATENT APPLICATION PUBLICATIONS Examiner Cite No Publication Number Name of Patentee or Applicant Passages or Relevant Figures Appear 1 20040071284 A1 2004-04-15 Abutabol et al. 2 20130265276 A1 2012-12-27 Chhetri et al. If you wish to add additional U.S. Profilshed Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS Examiner Cite Foreign Document 0 1 2012-12-27 Chhetri et al. If you wish to add additional U.S. Profilshed Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS Pages Columns, Lines where Relevant Pages Columns, Lines where Relevant Pages Solution. If you wish to add additional U.S. Profilshed Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS Pages Columns, Lines where Relevant Pages Solution.		9 9734845 B1		В1								
I1 9319763 D1 C010-04-19 Seattle, WA(US) If you wish to add additional U.S. Patent citation information please click the Add button. U.S.PATENT PPLICATION PBLICATIONS Examiner Cite No Publication Kind Code1 Publication Name of Patentee or Applicant of eted Document Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear 1 20040071284 A1 2004-04-15 Abutabbi et al. 2 20130265276 A1 2015-10-10 Amazon Technologies, Inc., Reno, NV(US) 3 20120327115 A1 2012-12-27 Chetri et. al. If you wish to add additional U.S. Published Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS Examiner Cite Foreign Document Number3 Country Code21 Kind Code21 Name of Patentee or Patentee or Pages, Columns, Lines where Relevant Rassages or Relevant Rassages or Relevant Paures Appear 1 Initial* Name of Patentee or Pages, Columns, Lines Pages, Columns, Lines Pages, Columns, Lines Pages, Columns, Lines Pages, Columns, Lines 1 Initial* Foreign Document Number3 Country Code21 Rind Code21 Name of Patentee or Pages, Columns, Lines Pages, Columns, Lines Pages, Columns, Lines Pages, Columns, Lines Pages, Columns, Lines		10 9973849 B1		2018-05	5-15							
U.S.PATENT NPPLICATION PUBLICATIONS Examiner Cite No Publication Number Kind Code1 Publication Date Name of Patentee or Applicant Figures Appear 1 20040071284 A1 2004-04-15 Abutabei et al. 2 20130265276 A1 2003-10-10 Amazon Technologies, Inc., Reno, NV(US) 3 20120327115 A1 2012-12-27 Chhetri et. al. If you wish to add additional U.S. Published Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS Examiner Cite No Foreign Document Country Code2i Kind Code2i Name of Patentee or Applicant of cited Document Pages,Columns,Lines Where Relevant Figures Appear T5 Foreign Document Country Code2i Kind Code2i Name of Patentee or Applicant of cited Document Figures Appear T5 Figures Appear Figures Appear T5 Figures Appear Figures		11	9319783	В1	2016-04	i -19						
Examiner Initial* Cite No Publication Number Kind Codel Publication Date Name of Patentee or Applicant Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear 1 20040071284 A1 2004-04-15 Abutabol et al. Publication Pages, Columns, Lines where Relevant Passages or Relevant 2 20130265276 A1 2013-10-10 Amazon Technologies, Inc., Reno, NV(US) Reno, 3 20120327115 A1 2012-12-27 Chhetri et. al. Pages, Columns, Lines where Relevant If you wish to add additional U.S. Problished Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS Examiner Initial* Cite Foreign Document Number3 Country Code2i Kind Code2i Publication Date Name of Patentee or Applicant of cited Document Pages, Columns, Lines where Relevant Rassages or Relevant Figures Appear 1 Initial* Initial* No Patent Document Country Code2i Kind Date Date Pages, Columns, Lines where Relevant Rassages or Relevant Figures Appear Ts 1 Initial* Initial* Initial* Initial* Initial* Patentee or Applicant of cited Document Pages, Columns, Lines	If you wisl	h to ado	additional U.S. Pate	nt citatio	n inform	ation pl	ease click	the A	dd button.			-
Examined Initial* Cite No Publication Number Nind Code1 Publication Date Name of Patentee of Applicant of sted Document Relevant Passages or Relevant Figures Appear 1 20040071284 A1 2004-04-15 Abutaboli et al. Relevant Passages or Relevant Figures Appear 2 20130265276 A1 204-04-15 Abutaboli et al. Amazon Technologies, Inc., Reno, NV(US) 3 20120327115 A1 2012-12-27 Chhetri et. al. Publication If you wish to add additional U.S. Published Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS Pages,Columns,Lines where Relevant Pages and the add additional U.S. Published Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS Examiner Cite Foreign Document Number? Country Code2i Kind Code4 Publication Date Name of Patentee or Applicant of cited Document Pages,Columns,Lines where Relevant Paures Appear T ⁵ 1 Image: Appear Image: Appear Image: Appear T ⁵ 1 Image: Appear Image: Appear Image: Appear T ⁶ 1 Image: Appear Image: Appear Image: Appear Image: Appear				U.S.P	ATENT	PPLIC		BLI	CATIONS			
2 20130265276 A1 2043-10-10 Amazon Technologies, Inc., Reno, NV(US) 3 20120327115 A1 2012-12-27 Chhetri et. al. If you wish to add additional U.S. Pyblished Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS Examiner Cite Foreign Document Initial* Country Code2i Kind Code4 Publication Date Pages, Columns, Lines where Relevant Plaures Appear 1 Initial* Initial In	Examiner Initial*	I CITE NO I I I		N 1					¹¹ Relevant Passages or Relevant			
2 20130205276 A1 2013-10-10 NV(US) 3 20120327115 A1 2012-12-27 Chhetri et. al. If you wish to add additional U.S. Published Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS Examiner Cite No Foreign Document Number3 Country Code2i Kind Code4 Publication Date Name of Patentee or Applicant of cited Document Pages, Columns, Lines where Relevant Rassages or Relevant Figures Appear T5 1 1 Initial* Initial Initial <th></th> <td colspan="2">1 20040071284 A1</td> <td colspan="2">2004-04-15</td> <td colspan="2">Abutalebi et al.</td> <td></td> <td></td> <td></td> <td></td>		1 20040071284 A1		2004-04-15		Abutalebi et al.						
If you wish to add additional U.S. Published Application citation information please click the Add button. FOREIGN PATENT DOCUMENTS Examiner Cite Foreign Document Country Kind Publication Name of Patentee or Applicant of cited Pages, Columns, Lines where Relevant T5 Initial* No Number3 Country Kind Publication Date Document Pages, Columns, Lines where Relevant T5 1 1 Image: Column Applicant of cited Image: Column Applicant of cited Image: Column Applicant Applicant of cited Image: Column Applicant Appl		2	20130265276	A1	20/3-10-10				logies, Inc., Reno,			
FOREIGN PATENT DOCUMENTS Examiner Initial* Cite No Foreign Document Number3 Country Code2i Kind Code4 Publication Date Name of Patentee or Applicant of cited Document Pages, Columns, Lines where Relevant Rassages or Relevant Figures Appear T ⁵ 1 1		3	20120327115	20120327115 A1 2012-12-27		2-27	Chhetri et. al.					
Examiner Initial* Cite No Foreign Document Number ³ Country Code ² i Kind Code ⁴ Publication Date Name of Patentee or Applicant of cited Document Pages,Columns,Lines where Relevant Figures Appear T ⁵ 1 1 Image: Column term term term term term term term term	If you wisl	h to add	additional U.S. Pybl	ished Ap	plicatior	n citatio	n informati	ion ple	ease click the Add	l butto	on.	
Examiner Initial* Cite No Foreign Document Number ³ Country Code ² i Kind Code ⁴ Publication Date Name of Patentee of Applicant of cited Document where Relevant Passages or Relevant Figures Appear T ⁵ 1 1 Image: Second content of the second con												
If you wish to add additional Foreign Patent Document citation information please click the Add button	Examiner Initial*					Publication A		Applicant of cited	e or v	where Relevant Rassages or Relevant	•5	
		1										
NON-PATENT LITERATURE DOCUMENTS	If you wisl	If you wish to add additional Foreign Patent Document citation information please click the Add button										
		/		NON	-PATE		RATURE	DOC	UMENTS			
FES Web 21.18		10										

DOCKET A L A R M Find authenticated court documents without watermarks at <u>docketalarm.com</u>. Receipt date: 12/06/2019

16/052,623 - GAU: 3992

					[1	
× *			Application Number		16052623		
<u> </u>			Filing Date		2018-08-02		
	8	TION DISCLOSURE	First Named Inventor	Manli	nli Zhu		
	<i>S</i>	NT BY APPLICANT	Art Unit	•	3992		
	JUDIE		Examiner Name	ESC	ALANTE, OVIDIO		
			Attorney Docket Num	ber	CreativeTech_01RECon		
Examiner Initials*	Cite No		rial, symposium, catalog, o		e article (when approprate), title of the item ite, pages(s), volume issue number(s),	T⁵	
	1	OSAMU HOSHUYAMA, AKIHIK A Robust Adaptive Beamformer IEEE TRANSACTIONS ON SIC	for Microphone Arrays with	a Blocki	ng Matrix Using Constrained Adaptive Filters,		
f you wis	h to a	dd additional non-patent literat	ure document citation info	rmatio	n please click the Add button		
		¥		TURE			
Examiner	Signa	ature /ovidio escalant	re \		Date Considered 12/10/2019		
					mance with MPEP 609. Draw line through a th next communication to applicant.		
Standard S ⁻ ⁴ Kind of do	⊺.3). ³ F cument	For Japanese patent documents, the i	ndication of the year of the reign	of the E	office that issued the document, by the two-letter code (V mperor must precede the serial number of the patent do ard ST.16 if possible. ⁵ Applicant is to place a check man	cumen	
Standard S ⁻ ⁴ Kind of do	⊺.3). ³ F cument	For Japanese patent documents, the i by the appropriate symbols as indicat	ndication of the year of the reign	of the E	mperor must precede the serial number of the patent do	cumen	

OR

 \boxtimes

	Application Number		16052623		
	Filing Date		2018-08-02		
INFORMATION DISCLOSURE	First Named Inventor	Manli	Zhu		
(Not for submission under 37 CFR 1.99)	Art Unit		3992		
	Examiner Name	ESCA	ALANTE, OVIDIO		
	Attorney Docket Number		CreativeTech_01RECon		

CERTIFICATION STATEMENT Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s): 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. See 37 CFR 1.97(e)(1). 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. See 37 CFR 1.97(e)(2). See attached certification statement. The fee set forth in 37 CFR 1.17 (p) has been submitted herewith. A certification statement is not submitted herewith. SIGNATURE A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature. 2019-12-09 Signature /a tankha/ Date (YYYY-MM-DD) Name/Print 33802 Ashok Tankha **Registration Number**

This collection of information is required by 37 CFR 1.97 and 1.98. 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 1 hour 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.



Find authenticated court documents without watermarks at docketalarm.com.

DOCKE

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:

- 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 record s.
- 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.