UNITED STATES
PATENT AND TRADEMARK OFFICE



Ex Parte Appeals Made Easy

James Worth, lead administrative patent judge Alyssa Finamore, administrative patent judge

November 7, 2019



Question/comment submission

To send in questions or comments during the webinar, please email:

PTABBoardsideChat@uspto.gov



Agenda

- Composition of PTAB
- Ex Parte Appeals
- Takeaways
- Resources



Composition of PTAB



The Board

- The Board is created by statute (35 U.S.C. § 6)
 - That statute mandates the Board's:
 - Duties
 - Composition
 - Qualifications for membership
 - Panel form of decision-making (appeals, derivation proceedings, postgrant reviews, and *inter partes* reviews)
- Original "board of disinterested persons" provided for in Patent Act of 1836
- Patent Act of 1861 formed the permanent Board of Appeals of "persons of competent legal knowledge and scientific ability"
 - President Lincoln appointed George Harding, Esq. of Philadelphia as the first "Examiner-in-Chief"



Statutory members of the Board

• 35 U.S.C. § 6(a) provides:

- There shall be in the Office a Patent Trial and Appeal Board. The Director, the Deputy Director, the Commissioner for Patents, the Commissioner for Trademarks, and the administrative patent judges shall constitute the Patent Trial and Appeal Board.
- Administrative patent judges must be legally and technically trained.



Locations of PTAB Judges



^{*}Alexandria, Va. count includes judges who participate in TEAPP.

Types of PTAB proceedings

- Appeals in ex parte patent applications
- Appeals in ex parte and inter partes reexamination proceedings
- Interferences
- Inter partes reviews (IPR)
- Post-grant reviews (PGR)
- Covered business method reviews (CBM)
- Derivations (DER)



Ex parte appeals

Ex parte appeal to the PTAB

- An alternative to continuing prosecution before the Examiner
- Consideration of the application as is, not a forum for making substantive amendments or submitting new evidence
- Generally results in a decision affirming or reversing the Examiner
 - The PTAB will not issue a patent. We simply review the Examiner's decision.



Ex parte appeal to the PTAB

 Review by a "fresh pair of eyes," namely a panel of at least three administrative patent judges

- A more formal, legal environment within the Office
 - Legal briefing
 - Optional oral argument before panel of judges



Ex Parte Appeal Process: 9 steps

- **Step 1:** Adverse Decision of the Examiner
- **Step 2:** Notice of Appeal
- Step 3: Appeal Brief
- **Step 4:** Examiner's Answer
- Step 5: Appeal Forwarding Fee + Reply Brief (optional) + Request for Oral Hearing (optional)
- **Step 6:** Oral Hearing (*if requested*)
- **Step 7:** Board decision
- Step 8: Request for rehearing (optional)
- Step 9: Decision on rehearing (if requested)



Step 1: Adverse Decision of the Examiner

- This is generally an Office action including a rejection of one or more claims.
- Appeal is taken from the Office action, so the Office action defines the Examiner's position on appeal.
- You cannot appeal from every Office action.
 - Application must be twice rejected.
 - The Office action does not have to be final.



Step 2: Notice of Appeal

- You must give notice that you intend to appeal from the Examiner's decision <u>and</u> pay an appeal fee.
- The notice and payment of the fee are due 3 months after the mailing date of the Examiner's decision from which appeal is being taken, e.g., final Office action. This time period is extendable for 3 additional months, so you can file a Notice of Appeal with payment of the appeal fee as late as 6 months after the Examiner's decision.
- Office provides a form: https://www.uspto.gov/sites/default/files/documents/aia0031.pdf



Notice of Appeal Form

fee payment

extension of time (if applicable)

> signature information

I hereby certify that this correspondence is being facsimile

Approved for use through 11/30/2020. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Docket Number (Optional)

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

In re Application of

NOTICE OF APPEAL FROM THE EXAMINER TO

THE PATENT TRIAL AND APPEAL BOARD

transmitted to the USPTO, EFS-Web transmitted to the USPTO, or				
deposited with the United States Postal Service with sufficient	Application Number	Filed		
postage in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, on Alexandria, VA 22313-1450" [37 CFR 1.8(a)]				
	For			
on		Ι		
Signature	Art Unit	Examiner		
Typed or printed name				
Applicant hereby appeals to the Patent Trial and Appeal Board from the last decision of the examiner.				
The fee for this Notice of Appeal is (37 CFR 41.20(b)(1))		\$		
Applicant asserts small entity status. See 37 CFR 1.27. Therefore, the fee shown above is reduced by 50%, and the resulting fee is:				
Applicant certifies micro entity status. See 37 CFR 1.29. Therefore, the fee shown above is reduced by 75%, and the resulting fee is: Form PTO/SB/15A or B or equivalent must either be enclosed or have been submitted previously.				
A check in the amount of the fee is enclosed.				
Payment by credit card. Form PTO-2038 is attached.				
The Director is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No				
Payment made via EFS-Web.				
A petition for an extension of time under 37 CFR 1.136(a) (PTO/AIA/22 or equivalent) is enclosed. For extensions of time in reexamination proceedings, see 37 CFR 1.550.				
WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.				
I am the				
applicant attorney or agent of record		acting under 37 CFR 1.34		
Registration number Registration number				
Signature				
Typed or printed name				
Telephone Number				
Date				
NOTE: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications. Submit multiple				
forms if more than one signature is required, see below*.				
* Total of forms are submitted.				

patent application information

This collection of information is required by 37 CFR 41.20(b)(1) and 41.31. 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, 1.14 and 41.6. This collection is estimated to take 12 minutes 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.

Step 3: Appeal Brief

- No fee due with Appeal Brief
- The Appeal Brief is due 2 months after you file the Notice of Appeal. This time period is extendable for 5 additional months.
- Legal brief (not a form) that includes your arguments and defines the appeal
 - The Appeal Brief identifies the issues the judges will consider on appeal.
 - The judges generally will not go looking for issues, even issues that would resolve the appeal in your favor.
 - If an argument is not raised in the Appeal Brief, it may be waived.



Step 3: Appeal Brief

- No new evidence or substantive amendment
- Must include certain sections:
 - Real party in interest
 - **Related matters**, e.g., appeals, AIA proceedings, district court cases
 - Summary of the claimed subject matter
 - Argument
 - Claims appendix
- A pro se appellant needs to only "substantially comply" with certain requirements shown in bold.

Appeal Brief: Argument

37 C.F.R. § 41.37(c)(iv)

Argument. The arguments of appellant with respect to each ground of rejection, and the basis therefor, with citations of the statutes, regulations, authorities, and parts of the Record relied on. The arguments shall explain why the examiner erred as to each ground of rejection contested by appellant. Except as provided for in §§ 41.41, 41.47 and 41.52, any arguments or authorities not included in the appeal brief will be refused consideration by the Board for purposes of the present appeal. Each ground of rejection contested by appellant must be argued under a separate heading, and each heading shall reasonably identify the ground of rejection being contested (e.g., by claim number, statutory basis, and applied reference, if any).



Step 4: Examiner's Answer

- The Examiner's response to the Appeal Brief
 - The Examiner will respond to all of the arguments in the Appeal Brief.
 - The Examiner will consider whether to maintain or modify each rejection.
- Includes certain sections
 - Ground(s) of Rejection to Be Reviewed on Appeal
 - Withdrawn Rejection(s)
 - New Ground(s) of Rejection
 - Response to Arguments



Step 5: Appeal Forwarding Fee

- Due 2 months after Examiner's Answer NOT EXTENDABLE
- Easy to forget
- Office provides a form for submitting payment of the fee: https://www.uspto.gov/sites/default/files/forms/aia0034.pdf
- May be filed with Reply Brief (optional) and/or request for oral hearing (optional)
 - No fee for Reply Brief
 - Request for oral hearing requires payment of a fee



Appeal Forwarding Fee

Doc code: WFEE.APPEAL

Doc Description: Certification and Transmittal of Appeal Forwarding Fee

		PTO/AIA/34 (06-14)		
CERTIFICATION AND TRANSMITTAL OF APPEAL	FORWARDING FEE	Docket Number (Optional)		
I hereby certify that this correspondence is being facsimile transmitted to the USPTO, EFS-Web transmitted to the USPTO, or	In re Application of			
deposited with the United States Postal Service with sufficient postage in an envelope addressed to "Commissioner for Patents, P.O.	Application Number	Filed		
Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)]	For			
Signature	Art Unit	Examiner		
Typed or printed name				
37 CFR 41.45 specifies that, in order to avoid dismissal of the appeal, appellant must pay the fee set in 37 CFR 41.20(b)(4) within two months of the later of the date of either the examiner's answer, or a decision refusing to grant a petition under 37 CFR 1.181 to designate a new ground of rejection in an examiner's answer.				
The undersigned certifies that the appropriate fee accompanies this tra	nsmittal.			
The fee for forwarding this appeal is (37 CFR 41.20(b)(4))		\$		
Appellant asserts small entity status. See 37 CFR 1.27. Therefore, t by 50%, and the resulting fee is:	he fee shown above is reduced	\$		
Appellant certifies micro entity status. See 37 CFR 1.29. Therefore, the fee shown above is reduced by 75%, and the resulting fee is: Form PTO/SB/15A or B or equivalent must either be enclosed or have been submitted previously.				
A check in the amount of the fee is enclosed.				
Payment by credit card. Form PTO-2038 is attached.				
The Director is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No.				
Payment made via EFS-Web.				
Extensions of time under 37 CFR 1.136(a) for patent applications are not applicable to the time period set forth in 37 CFR 41.45. See 37 CFR 1.136(b) for extensions of time to reply for patent applications and 37 CFR 1.550(c) for extensions of time to reply for ex parte reexamination proceedings.				
WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.				
I am the				
appellant attorney or agent of record Registration number	attorney o	r agent acting under 37 CFR 1.34		
	Registration	number		
Signature				
Typed or printed name				
Telephone Number				
NOTE: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications. Submit multiple forms if more than one signature is required, see below*.				
* Total of forms are submitted				



Step 5: Reply Brief

- Optional
- Due 2 months after Examiner's Answer NOT EXTENDABLE
- Should be submitted at the same time as payment of the appeal forwarding fee
- No additional fee for the Reply Brief
- Only one Reply Brief permitted



Step 5: Reply Brief

- Legal brief (not a form)
- No new evidence or amendment
- No new arguments that were not raised in the Appeal Brief, unless
 - Responsive to an argument in the Examiner's Answer
 - Addressing new ground of rejection in the Examiner's Answer



Step 5: Oral Hearing Request

- Optional
- Due 2 months after Examiner's Answer or on the date of filing a reply brief, whichever is earlier – NOT EXTENDABLE
- Must include payment of a fee
- Office provides a form: https://www.uspto.gov/sites/default/files/documents/aia0032.pdf



Oral Hearing Request

PTO/AIA/32 (03-13)

Approved for use through 11/30/2020. OMB 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 displays a valid OMB control number.

REQUEST FOR ORAL HEARING BEFORE		Docket Number (Optional)		
THE PATENT TRIAL AND APPEAL BOARD				
I hereby certify that this correspondence is being facsimile	In re Application of			
transmitted to the USPTO, EFS-Web transmitted to the USPTO, or deposited with the United States Postal Service with sufficient postage in an envelope addressed to "Commissioner for Patents, P.O.	Application Number	Filed		
	Application Number	Tiled		
Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)]	For			
on				
Signature	Art Unit	Examiner		
Typed or printed name				
Applicant hereby requests an oral hearing before the Patent Trial and A	Appeal Board in the appeal o	f the above-identified application.		
The fee for this Request for Oral Hearing is (37 CFR 41.20(b)(3))		\$		
Applicant asserts small entity status. See 37 CFR 1.27. Therefore, t	the fee shown above is redu	red		
by 50%, and the resulting fee is:	and recombined by the recombined	\$		
_				
Applicant certifies micro entity status. See 37 CFR 1.29. Therefore	, the fee shown above is red	uced		
by 75%, and the resulting fee is: Form PTO/SB/15A or B or equivalent must either be enclosed or have been submitted previously				
A check in the amount of the fee is enclosed.				
Payment by credit card. Form PTO-2038 is attached.				
The Director has already been authorized to charge fees in this ap	plication to a Deposit Accou	nt.		
The Director is hereby authorized to charge any fees which may b	e required, or credit any ove	rpayment		
to Deposit Account No.				
Payment made via EFS-Web.				
A petition for an extension of time under 37 CFR 1.136(b) (PTO/SB/23 or equivalent) is enclosed.				
For extensions of time in reexamination proceedings, see 37 CFR 1.550.	,			
WARNING: Information on this form may become public. Credit card information should not be included				
on this form. Provide credit card information and authorization on PTO-2038.				
I am the				
applicant attorney or agent of record	attorney	or agent acting under 37 CFR 1.34		
Registration number	Registrati	ion number		
Signature				
Typed or printed name				
Telephone Number				
Date				
NOTE: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications. Submit multiple				
forms if more than one signature is required, see below*.				
* Total of forms are submitted.				

This collection of information is required by 37 CFR 41.20(b)(3). 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, 1.14 and 41.6. This collection is estimated to take 12 minutes 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. Petent and Trademark Office, U.S. Department of Commerce, P.O. 804, 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. 804, 1450, Alexandria, VA 22313-1450.



Step 6: Oral Hearing





Step 6: Oral Hearing

- If requested, the Office will notify you of the hearing date. You
 must reply to the hearing notice and confirm that you will attend
 the hearing.
- Attendance may be in person, telephonically, or via a video connection.
- Although rare, the Examiner may appear at the hearing.
- Decorum required at all times.



Step 6: Oral Hearing

- You will have 20 minutes to present your case to three judges, who
 may be in the hearing room or attending remotely.
- Judges will have already read the record on appeal, namely the Office action, Appeal Brief, Examiner's Answer, and Reply Brief (if filed), and may or may not ask questions.
- No new arguments or evidence, absent a showing of good case based on a recent, relevant decision of the PTAB or a Federal Court



Step 7: Board Decision

- Three judges will consider all of the arguments and evidence on appeal, confer, decide whether the Examiner erred in rejecting each claim on appeal, and issue a written decision.
- If the judges decide the Examiner did not err in rejecting a claim, they will sustain the rejection of the claim.
- The outcome of the decision depends on whether the judges decide to sustain all, some, or none of the rejections.



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Step 7: Board Decision

- The outcome may be an affirmance, an affirmance-in-part, a reversal, or new ground(s) of rejection.
 - Affirmance: Each and every claim subject to a sustained rejection no non-rejected claim
 - Affirmance-in-Part: At least one claim, but not all, subject to a sustained rejection
 - Reversed: No claim subject to a rejection no sustained rejections
 - New Ground(s) of Rejection: The Judges issue a new rejection of one or more claims.



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Step 7: Board Decision

- The outcome dictates who is responsible for taking the next step.
 - If the outcome is an affirmance or new ground(s) of rejection, you must take the next step.
 - If the outcome is an affirmance-in-part, you may take the next step.
 - If the outcome is a reversal, the Examiner will take the next step.



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Takeaways

Takeaways: ex parte appeals

- An ex parte appeal to the PTAB provides:
 - a review by three judges
 - a more judicial forum
 - a determination as to whether the Examiner erred or not
- An ex parte appeal does <u>not</u>:
 - issue a patent
 - make a final determination as to patentability
 - prevent the application from returning to the Examiner



Takeaways: ex parte appeals

- Make sure an ex parte appeal is right for you.
- Consider the alternatives.
 - Response to the Office action
 - Amendment to the claims or new evidence
 - Request for Continued Examination (RCE)
 - Continuing application



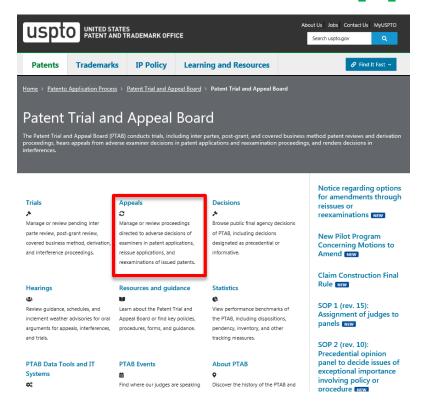
Takeaways: strategy

- Evaluate whether you need patent protection.
 - Value is not necessarily the same as patentability.
 - A patent conveys the right to exclude others from using the invention, not the right to use the invention.
 - A patent is not required to commercialize the invention.
 - Have you changed the invention?



Resources

PTAB Website, Appeals



https://www.uspto.gov/patents-application-process/patenttrialandappealboard

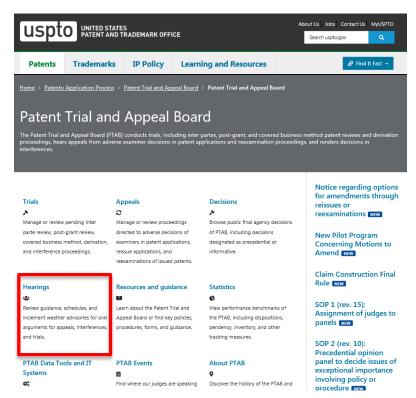


Additional Resources

- Inventor Assistance Center: https://www.uspto.gov/learning-andresources/support-centers/inventors-assistance-center-iac
- MPEP 1200: https://www.uspto.gov/web/offices/pac/mpep/index.html
- 37 C.F.R. §§ 41.30-81: https://www.uspto.gov/web/offices/pac/mpep/consolidated_rules.pdf
- Appeal forms: https://www.uspto.gov/patent/forms/forms-patentapplications-filed-or-after-september-16-2012



PTAB Website, Hearings



https://www.uspto.gov/patents-application-process/patenttrialandappealboard



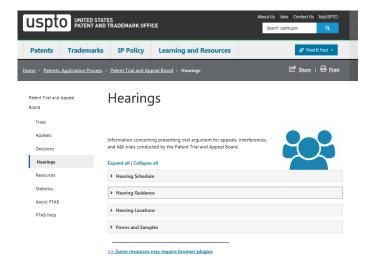
Hearings

 Hearings Guide: https://www.uspto.gov/sites/default/files/documents/PTAB%20Hearings%20Guide.pdf

Hearings page on the PTAB website:

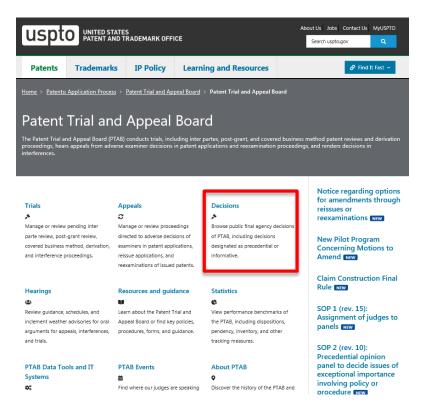
https://www.uspto.gov/patents-application-process/patent-trial-

and-appeal-board/hearings





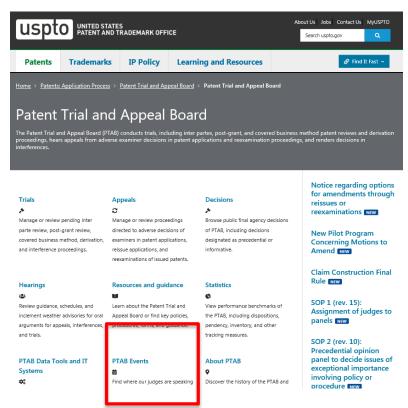
PTAB Website, Decisions



https://www.uspto.gov/patents-application-process/patenttrialandappealboard



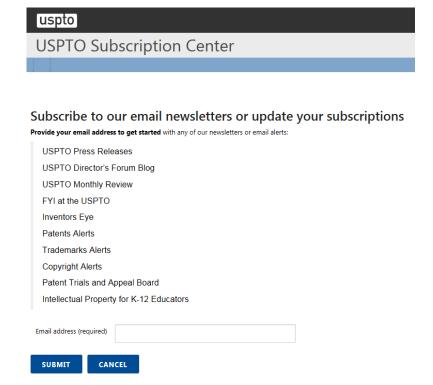
PTAB Website, Events



https://www.uspto.gov/patents-application-process/patenttrialandappealboard



PTAB Subscription Center



Question/comment submission

To send in questions or comments during the webinar, please email:

PTABBoardsideChat@uspto.gov



Thank You



