

## Preparing an IDS/SIDS

### Preliminary work – Reviewing and prepping the matter for an IDS

1. Log into FIP
2. Determine whether an IDS/SIDS can be filed at this time:
  - a. Check that the matter is Pending
  - b. Check that the matter has not received a Notice of Allowance or Final Office Action
    - i. IDS/SIDS can be filed even if the matter has received a NOAR or FOAR but it is rare and tricky.
  - c. Check that the matter has unmarked references
3. Ensure that all references that need to be cited have been entered into FIP
  - a. In each matter that requires a SIDS go to the related matters screen. All related matters must have their references checked and updated.
    - i. Make sure that all prosecution documents filed in each matter have been entered as references.
    - ii. Make sure that all references cited in any prosecution documents have been entered as references.
    - iii. Check to see if any US related matters may also require an IDS/SIDS at this time.
    - iv. Check to see if any US related matters have not previously been cited in a Communication Concerning related or Copending Application (CCCA)
4. Ensure that all references to be cited have been entered properly and are ready to be submitted
  - a. In each matter that requires a SIDS check the unmarked references
    - i. Ensure that the NPL documents and foreign documents are attached and have translations or English abstracts.
    - ii. Ensure that all of the references are entered in the required SLW format.
    - iii. Ensure that there are no duplicate references.

### Merge the documents and preparing the IDS

1. Open Sidebar
2. Click on the “merges” tab
3. Enter the matter number into the “Matter #” box
4. Check to see that “Merge Roles” is set to IDS-Other
5. If necessary click merge next to “Header - Communication Concerning Prior or Copending Applications”
  - a. Select any Green (Not Red or Blue) highlighted US applications (NOT PRV or USA)
6. Click Merge next to “IDS – 1449 Form”
  - a. Note the number of documents in the pop up box (look quickly, it will disappear).
  - b. Thoroughly examine the 1449 look for and fix any errors including Misspelled references, improperly entered references, or any other errors.
    - i. Make all corrections in FIP
    - ii. If you make any corrections re-merge 1449

You must check either IDS or SIDS and you must select one of the Office action options. If you are doing a simple IDS those are probably the only boxes you need to check.

7. Click Merge next to "IDS – Communication"  
a. Fill out the form

Usually leave these alone

The IDS will require a fee

Check this if all the references are from a search report or OA from a foreign matter less than 3 months ago.

These options are only for Micron.

The screenshot shows the 'IDS Communications (IDS/SIDS)' window. At the top, 'Filing Method' has radio buttons for 'E-Filing' (selected) and 'Paper Filing'. 'Fee Method' has radio buttons for 'Deposit Account' (selected) and 'Check'. Below, 'Filing Status' has radio buttons for 'IDS' (selected) and 'SIDS'. 'Office Action' has three radio buttons: 'Before First OA' (selected), 'After OA but before Final or NOAR', and 'After Final, NOAR or Issue'. Under 'Office Action', there are three checkboxes: '1.97(e)(1) - Foreign Art (3 mo)', '1.97(e)(2) - Non-Foreign Art (3 mo)', and '1.97(i) - Placed in File'. The 'References' section has two checkboxes: 'First cited in a search report in a foreign application less than 3 months ago' and 'References cited in U.S. parent'. To the right of these are input fields for 'Parent Serial Number' and 'Parent Filing Date'. The 'Miscellaneous' section has a checkbox for 'List McKessons in the body of the IDS Communication', a 'Select Sort Order' dropdown with 'Serial Number' selected, and a checkbox for 'Include foreign McKessons paragraph'. At the bottom left is a 'Mail Stop' field with 'MS Amendment' entered. At the bottom right is a 'Signing Attorney' section with a 'Select Signing Attorney' dropdown. At the very bottom are 'Continue' and 'Cancel' buttons.

The IDS will not require a fee

The IDS will require a fee and the references must fall into special categories. select which category below.

Check this if all references have previously been cited in the parent. Copies will not need to be provided.

These will rarely be changed.

8. Click merge next to "Transmittal – General"
  - a. Fill out the form

General Transmittal			
<input checked="" type="radio"/> E-Filing <input type="radio"/> Paper Filing		<input checked="" type="radio"/> Deposit Account <input type="radio"/> Check	
Due Date		/ /	
Amendment and Response under 37 C.F.R.	# of Pages	0	
		# of Months being Extended: None	
		Extension Fees	
		0.00	
<input type="checkbox"/> Recalculate Necessary Fees		Claims remaining after amendment	
Total Claims		0	
Independent Claims		0	
<input type="checkbox"/> Multiple dependent claims presented (and fee not paid previously)		Highest number previously paid for	
		0	
		0	
IDS/SIDS Pages		1449 Pages	
0		0	
Fee (if necessary)		# Documents	
0.00		0	
Communication Concerning Prior and Copending Applications Pages			
0			
Formal Drawings (# of Sheets)			
0			
Terminal Disclaimer # of pages			
0			
Mail Stop		<input checked="" type="radio"/> Mail Stop Amendment <input type="radio"/> Mail Stop AF	
		<input type="radio"/> Mail Stop Appeal Brief - Patents <input type="radio"/> Other	
Additional Documents		Select Signing Attorney	
		Continue    Cancel	

9. Save all documents to Wordox

a. Transmittal

The screenshot shows the 'WORLDX - Microsoft Word 2007 - File Save As' dialog box. The 'Description' field contains '899.190U51 IDS Xmit'. The 'Profile Group' is 'SLWK General Profile'. The '1. Author' is 'PMCNALLY' (McNally, Patrick). The '2. Doc Type' is 'XMIT' (Transmittal). The '3. Client' is '899' (Starkey Laboratories, Inc.). The '4. Matter' is '190'. The '5. Country' is 'US' (United States). The '6. Ext' is '1' (First). The '7. Cre By' is 'PMCNALLY' (McNally, Patrick). The 'Add'l Comments' field is empty. The 'Doc ID' is '[NewDoc]'. The 'Save As Format' is 'Word 97-2003 Document (\*.doc)'. The 'Security' button is 'Unsecured'. The 'Options', 'OK', and 'Cancel' buttons are visible. On the right, the '8.My Profiles' and '9.Public Profiles' tabs are shown, with 'Quick Profiles' selected. The 'By Profile Group' list shows 'SLWK General Profile'. A 'Load' button is at the bottom right.

b. CCRA

The screenshot shows the 'WORLDX - Microsoft Word 2007 - File Save As' dialog box. The 'Description' field contains '899.190U51 IDS CCRA'. The 'Profile Group' is 'SLWK General Profile'. The '1. Author' is 'PMCNALLY' (McNally, Patrick). The '2. Doc Type' is 'COMM' (Communications). The '3. Client' is '899' (Starkey Laboratories, Inc.). The '4. Matter' is '190'. The '5. Country' is 'US' (United States). The '6. Ext' is '1' (First). The '7. Cre By' is 'PMCNALLY' (McNally, Patrick). The 'Add'l Comments' field is empty. The 'Doc ID' is '[NewDoc]'. The 'Save As Format' is 'Word 97-2003 Document (\*.doc)'. The 'Security' button is 'Unsecured'. The 'Options', 'OK', and 'Cancel' buttons are visible. On the right, the '8.My Profiles' and '9.Public Profiles' tabs are shown, with 'Quick Profiles' selected. The 'By Profile Group' list shows 'SLWK General Profile'. A 'Load' button is at the bottom right.

c. Communication

WORLDQX - Microsoft Word 2007 - File Save As

Description: 899.190U51 IDS Comm

Profile Group: SLWK General Profile

1. Author: PMCNALLY (McNally, Patrick)

2. Doc Type: IDS (Enter code or click on Doc Type button for table.)

3. Client: 899 (Starkey Laboratories, Inc.)

4. Matter: 190

5. Country: US (United States)

6. Ext: 1 (First)

7. Cre By: PMCNALLY (McNally, Patrick)

Add'l Comments:

Doc ID: [NewDoc]

Save As Format: Word 97-2003 Document (\*.doc)

Security: Unsecured

Options OK Cancel

8.My Profiles 9.Public Profiles

Quick Profiles

By Profile Group

SLWK General Profile

Load

d. 1449

WORLDQX - Microsoft Word 2007 - File Save As

Description: 899.190U51 IDS 1449

Profile Group: SLWK General Profile

1. Author: PMCNALLY (McNally, Patrick)

2. Doc Type: IDS (Information Disclosures)

3. Client: 899 (Starkey Laboratories, Inc.)

4. Matter: 190

5. Country: US (United States)

6. Ext: 1 (First)

7. Cre By: PMCNALLY (McNally, Patrick)

Add'l Comments:

Doc ID: [NewDoc]

Save As Format: Word 97-2003 Document (\*.doc)

Security: Unsecured

Options OK Cancel

8.My Profiles 9.Public Profiles

Quick Profiles

By Profile Group

SLWK General Profile

Load

10. Download all saved documents from Worldox

11. Combine all documents together into one PDF (Order below)

- a. Xmit
- b. CCRA
- c. Comm
- d. 1449

12. Send email to attorney for signature

- a. CC the IDS Specialist
- b. Subject line = "<Matter Number> - Documents for signature"
  - i. Add "ASAP" If necessary. Also, if necessary, check the "High Importance Flag"
- c. Body
  - i. I have prepared an IDS/SIDS for <Matter Number>. I prepared the IDS/SIDS to cite the received document and all currently unmarked references in FIP. If this is satisfactory, please sign and return the attached document. If not, please let me know what changes you would like made.
- d. Attach the document
- e. Send

Filing the SIDS

1. Once you have received the signed document back from the attorney you can begin filing.
2. Save the signed copy (I recommend creating a folder for each matter)
3. Check the document
  - a. Make sure the attorney signed everywhere required
  - b. Make sure there are no errors
  - c. Make sure the month in the signature block is correct
4. Add your own signature and name
5. Flatten the document (Print through PDF995).
6. Go to the matter in FIP
  - a. Check to make sure the status of the matter has not changed
  - b. Go to the references screen
    - i. Make sure there are no new references
    - ii. Download all foreign and NPL references for submission.
      1. Check to make sure all references were saved
      2. Check to make sure the number of references downloaded matches the number of files in the folder.
7. Open Sidebar
  - a. Click on the "Toolbox" Tab
  - b. Click on "IDS Tools"
  - c. Enter the matter number into the "Matter #" box
  - d. Click "Get References"
  - e. Click Bulk Rename
  - f. Click through prompt
8. Flatten all references
  - a. Set default printer to PDF995
  - b. Make sure all Adobe windows are closed
  - c. Highlight all the references
  - d. Right click the references – Select "Print"
  - e. Wait. This can take some time

9. Check the resulting references
  - a. Make sure the number of flattened files matches the number of originals.
  - b. Make sure they are all still renamed
  - c. Make sure no file is larger than 25 MB
10. Open a new window and login to USPTO – EFS
  - a. Certification Page
    - i. Check the box for “I certify that I am working under the authority of the certificate holder: <NAME HERE>”
    - ii. Check the box for “Existing application/patent”
      1. Check the box for “Document/Fees for an existing application”
        - a. Fill in the information. This information can be found either on the documents you are filing (Upper right corner) or in the matter in FIP under “Details”.
    - iii. Click continue
      - i. Attach Documents Page
    - iv. Select the signed PDF fill out the fields appropriately (example below)

**EFS Registered**

Registered eFilers | Please Read Announcements | Application Data | Attach Documents | Review Documents | Calculate Fees | Confirm & Submit | Pay Fees | Receipt

**Attach Documents**

A submission has not been filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO Eastern Time. The Acknowledgement Receipt is evidence of this submission.

➡ I have no documents for this filing, please continue to [Calculate Fees](#).

**This is the application data associated with your filing. If any information is incorrect, please click [Cancel](#)**

Application Number	12027151
Title of Invention	ANTENNA USED IN CONJUNCTION WITH THE CONDUCTORS FOR AN AUDIO TRANSDUCER
First Named Inventor	Jeffrey Paul Solum
Customer Number or Correspondence Address	21186
Filed By	Gregory W. Smock/Patrick McNally
Attorney Docket Number	899.170US1
Application Type	Utility under 35 USC 111(a)

Files to be Submitted	Category	Document Description	
1 C:\Users\RapidCity1\Desktop\Proj1			
Does your PDF file contain multiple documents? <input checked="" type="radio"/> Yes <input type="radio"/> No			
Category	Document Description	Page Start	Page End
General Transmittal	Miscellaneous Incoming Letter	1	1
General Transmittal	Miscellaneous Incoming Letter	2	3
IDS/References	Transmittal Letter	4	5
IDS/References	Information Disclosure Statement (IDS) Filed (SB/08)	6	6

[Delete](#) [Add Document](#) [Add File](#)

1. Upload and validate the Signed SIDS document

- v. Click Attach Files
  - 1. Add all references to be submitted as files.
    - a. For Foreign Publications select “IDS/References” and Foreign Reference”
    - b. For NPL documents select “IDS/References” and NPL
  - 2. You can only submit 20 documents and one time and only 60 per filing.
- vi. Check for any errors
  - 1. Documents over 25 MB
    - a. Open the file in Adobe
    - b. Click “Document”
    - c. Click “Reduce file size”
    - d. Select “Acrobat 7.0 or later”
  - 2. Unembedded Font
    - a. Flatten document – If printing through PDF995 doesn’t work contact me.
  - 3. Pages size to large
    - a. Flatten document
- b. Calculate Fees Page
  - vii. You shouldn’t have to do anything here as any IDS/SIDS you are filing should be free.
- c. Submit Application Page
  - viii. Check everything over one last time – Click Submit
- d. Receipt page
  - ix. Save the E-filing receipt.

#### Update FIP

- 1. Go to the matter in FIP.
  - a. SIDS activity (If one does not exist create one)
    - i. Click edit for the unfinished SIDS activity.
      - 1. Fill in the dates for filing and e-filing receipt received.
      - 2. Click Save
    - ii. Click on the open folder for the SIDS activity
      - 1. Add the submitted SIDS as a document
        - a. Leave Subject selection as “Other”
      - 2. Add the E-filing receipt as a reference
        - b. Change Subject section to “Confirmation”
    - iii. Click the green calculator for the SIDS activity
      - 1. Add billing for preparation
        - a. Enter Code
          - i. P37 for IDS
          - ii. P38 for SIDS



- b. Add time billed
        - c. Add client billing code if necessary
    - 2. Add billing for filing
      - a. p42 is the code for filing
  - b. Go to the references screen mark all references cited as cited
  - c. CCRA Activity (Only if you filed a CCRA)
    - i. Create CCRA Activity (Code = CCRA)
    - ii. Add document
    - iii. Add billing
      - a. Enter Code: P40
      - b. Add time as billed
      - c. Add client billing code if necessary
    - iv. Go to related matters screen and mark all cited matters as cited