

Appendix B: Description of the Transaction History Data Release

B.1 Data Files Included in this Release

This data release consists of three data files that, after matching with the **application_data** file, provide all of the information that an analyst would be able to glean from the “Transaction History” tab on PTO’s Public PAIR website. The first data file is called **transactions** and it includes information on all of the pre-examination and examination events tracked in PatEx. Each observation represents one event. The information includes a code identifying the type of event, the date on which the event occurred, and an identifier for the subject application. It also includes information on how the status of each examination changed over time as various events were recorded. The **transactions** data set includes 275,606,097 observations covering 9,204,051 unique applications.

The second data file is called **event_codes** and it includes short descriptions of the event codes used in the **transactions** data file. The descriptions can be linked to **transactions** using the *event_code* variable. There are 1,873 unique event codes represented in this data file. The final data file is called **status_codes**. This data file includes descriptions of the status codes used to populate the *appl_status_code* variable in **application_data** and the *status_code* variable in **transactions**. The descriptions can be found in the *status_description* variable. The variables included in the three data files can be found in Table B-1, while Figure B-1 provides an illustrative example of the “Transaction History” tab for application number 12/415,706.

B.2 Variables Included in transactions

At first glance, the **transactions** data set appears quite simple. It includes only five variables. As with most of the other data sets included in the PatEx data release, the data set includes a variable, *application_number*, which identifies the subject application. As a key variable, it can be used to link information from the transactions history data to more general information on the applications as well as continuity and patent term adjustment information. The second variable, *event_code*, identifies the type of transaction. It can be linked to the **event_codes** file to retrieve the short transaction descriptions found in the “Transaction History” tab. In Tables B-2 through B-5, we list several of the most common event codes along with more detailed descriptions of each. Table B-2 presents the 100 most common events, Table B-3 presents the event codes for Office actions, Table B-4 presents event codes for applicant amendment filings, and Table B-5 presents event codes that describe the ex parte appeals process. Some of those tables are rather long and are presented at the end of this appendix.

The variable *recorded_date* indicates the date that each transaction occurred and corresponds to the “Date” column on the “Transaction History” tab. The recorded date is formatted as a numeric variable which is set equal to the difference between the filing date and the first day of January 1960. For instance, if an application was received on 10 January 1960, then the date variable would be equal to 9. For dates prior to 1 January 1960, the date variable takes on negative values. In the Stata version of the data set, the %td display format is embedded, so that the dates display with the following format: ddmmmyyyy. The next variable, *sequence_number*, is not found directly on the tab, but is used to order the transactions that are displayed. Note that in Figure B-1 the transactions are not necessarily listed in perfect order by date.

The final variable in **transactions**, *status_code*, is a numerically coded variable populated for those observations where the event triggers a change in status. For instance the event “Case Docketed to Examiner in GAU” (*event_code*=”DOCK”) switches an application’s status to “Docketed New Case-Ready for Examination” (*status_code*=30). As another example, the event “Notice of Allowance Data Verification Completed” (*event_code*=”N/=.”) switches an application’s status to “Allowed-Notice of Allowance Not Yet Mailed” (*status_code*=90). The *status_code* variable can be linked to the **status_codes** file (by matching it to the *appl_status_code* variable in that file) to retrieve short descriptions for each status. Table B-6 lists the most common values of *status_code*. Note that the most common statuses are different from those listed in Table A-7. In the **application_data** data file the only status presented is the current status of the application as of December 31, 2014. In the **transactions** data set, each change in status for each application is recorded.

Figure B-1: Example of the “Transaction History” Tab

Patent Application Information Retrieval									
Order Certified Application As Filed Order Certified File Wrapper View Order List									
12/415,706	DEVICE AND METHOD FOR DETECTING VEHICLE ENGINE PULSE GENERATOR PLATE TOOTH DEFECTS							HON1448-297	
Select New Case	Application Data	Transaction History	Image File Wrapper	Patent Term Adjustments	Fees	Published Documents	Address & Attorney/Agent	Supplemental Content	Assignments
Transaction History									
Date	Transaction Description								
01-24-2012	Recordation of Patent Grant Mailed								
01-04-2012	Issue Notification Mailed								
01-24-2012	Patent Issue Date Used in PTA Calculation								
12-21-2011	Dispatch to FDC								
12-21-2011	Application Is Considered Ready for Issue								
12-19-2011	Issue Fee Payment Verified								
12-19-2011	Issue Fee Payment Received								
10-19-2011	Mail Notice of Allowance								
10-18-2011	Document Verification								
10-17-2011	Notice of Allowance Data Verification Completed								
08-09-2011	Date Forwarded to Examiner								
08-01-2011	Response after Non-Final Action								
08-01-2011	Request for Extension of Time - Granted								
04-01-2011	Mail Non-Final Rejection								
03-28-2011	Non-Final Rejection								
03-31-2009	Information Disclosure Statement considered								
02-23-2010	Case Docketed to Examiner in GAU								
08-27-2009	IFW TSS Processing by Tech Center Complete								
03-31-2009	Electronic Information Disclosure Statement								
07-02-2009	Application Dispatched from OIPE								
06-12-2009	Sent to Classification Contractor								
06-15-2009	Filing Receipt - Updated								
06-08-2009	Payment of additional filing fee/Preexam								
06-08-2009	A statement by one or more inventors satisfying the requirement under 35 USC 115, Oath of the Applic								
06-08-2009	Applicant has submitted new drawings to correct Corrected Papers problems								
04-13-2009	Filing Receipt								
04-13-2009	Notice Mailed--Application Incomplete--Filing Date Assigned								
03-31-2009	PGPub nonPub Request								
04-02-2009	Cleared by OIPE CSR								
03-31-2009	Information Disclosure Statement (IDS) Filed								
03-31-2009	IFW Scan & PACR Auto Security Review								
03-31-2009	Initial Exam Team nn								

Table B-1: List of variables included in the Transaction History data files

Variable Name	Description	Type	Formatting
transactions			
application_number	Application Number	str14	%-14s
event_code	Code identifying type of transaction	str8	%-8s
recorded_date	Date of the transaction	float	%td
sequence_number	Used for ordering transactions	float	%9.0g
status_code	Application status code	int	%8.0f
event_codes			
event_code	Code identifying type of transaction	str8	%-9s
event_description	Transaction description	str100	%-100s
status_codes			
appl_status_code	Application Status Code	int	%8.0g
status_description	Application Status Description	str97	%-97s

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
1	DOCK	Case Docketed to Examiner in GAU	16,264,663	EX	Indicates that a case has been docketed to a patent examiner and is ready for initial examination by that examiner. Once docketed, cases are examined in the order determined by docket management practices.
2	FWDX	Date Forwarded to Examiner	11,923,609	EX	Indicates that a case is ready for action by the examiner. Different from DOCK in that the application is returning to one of the examiner's amended dockets, typically following an applicant response.
3	WIDS	Information Disclosure Statement (IDS) Filed	9,626,527	AA	Indicates that an Information Disclosure Statement (IDS) has been filed by the patent applicant. An IDS is typically filed in order to satisfy an applicant's duty of disclosure (37 CFR 1.56). The mechanics and content of the filing are governed by 37 CFR 1.97 and 1.98.
4	CTNF	Non-Final Rejection	7,717,229	EX	Following the search of prior art, an office action to applicant may include a rejection of one or more claims and does not close out prosecution; the Examiner may receive a count for the non-final rejection.
5	MCTNF	Mail Non-Final Rejection	7,669,612	EX	Indicates that the Office mailed a non-final rejection to the applicant.
6	M844	Information Disclosure Statement (IDS) Filed	7,395,622	AA	Indicates that an Information Disclosure Statement (IDS) has been filed by the patent applicant. An IDS is typically filed in order to satisfy an applicant's duty of disclosure (37 CFR 1.56). The mechanics and content of the filing are governed by 37 CFR 1.97 and 1.98.
7	IEXX	Initial Exam Team nn	7,159,769	PE	Typically the first code and sets status to 19 ("Application Undergoing Preexam Processing"). Indicates that initial processing has been performed on the application.

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
8	A...	Response after Non-Final Action	6,842,372	AA	Amendment filed by the applicant in response to a non-final office action issued by the Examiner based on the merits of the application. Document may be included in AS FILED.
9	SCAN	IFW Scan & PACR Auto Security Review	6,315,420	PE	Indicates that the application was scanned into the Image File Wrapper (IFW) database of patent application images.
10	OIPE	Application Dispatched from OIPE	6,231,909	PE	Indicates that the application has left the Office of Patent Application Processing (OPAP, formerly Office of Initial Patent Examination or OIPE). Indicates some level of completeness of the application.
11	EML_NTR	Email Notification	5,951,620	AD	Indicates that applicant has been sent an email notification that new outgoing correspondence is available for viewing in PAIR.
12	IDSC	Information Disclosure Statement considered	5,934,848	EX	Indicates that an Information Disclosure Statement (IDS) has been considered by an examiner. There is one code entered per IDS, so multiple IDSs will result in multiple entries of the code.
13	N/=.	Notice of Allowance Data Verification Completed	5,522,092	EX	Indicates that the claims in the application have been allowed.
14	MN/=.	Mail Notice of Allowance	5,519,622	EX	Indicates that applicant has been mailed a notice of allowance. Sets application status to 92 ("Allowed -- Notice of Allowance Mailed -- Issue Revision Completed").
15	N084	Issue Fee Payment Verified	5,284,754	ISS	
16	COMP	Application Is Now Complete	5,094,357	PE	Indicates that the specification, drawings (if necessary), etc., have been received.
17	PGM/	Recordation of Patent Grant Mailed	4,848,790	ISS	Indicates that the bond paper copy of the patent grant has been ribboned, sealed, and mailed by the Office of Patent Publication.

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
18	L194	Cleared by OIPE CSR	4,609,481	PE	Indicates that the application has been cleared by Classification Security Review (CSR) in OIPE (Office of Initial Patent Examination--now OPAP or Office of Patent Application Processing)
19	WPIR	Issue Notification Mailed	4,574,633	ISS	<p>The patent number and issue date are determined approximately 10 days prior to the patent issuing. After the patent number and issue date are determined, the Office mails an Issue Notification to the applicant. The Issue Notification contains the patent number and issue date.</p> <p>The process of determining the patent number and issue date was changed significantly in 1999. Prior to this change, the patent number and issue date were determined before electronic capture of the data to appear on the patent. If any unclear data was found during electronic data capture, this process could result in the issue date being missed. The current process resolves those issues prior to mailing of the Issue Notification.</p>
20	EML_NTF	Email Notification	4,211,906	AD	Indicates that applicant has been sent an email notification that new outgoing correspondence is available for viewing in PAIR.
21	XT/G	Request for Extension of Time - Granted	4,093,668	EX	By statute, applicants must respond to examiner office actions within 6 months. If they reply between the end of the 3rd month and the end of the 6th month, they must request an extension of time.
22	ELC_RVW	Electronic Review	4,065,488		
23	RCAP	Reference capture on IDS	3,458,357		Indicator of an IDS filing.
24	PILS	Application Is Considered Ready for Issue	3,332,985	ISS	An indicator that all requirements have been met for the application to issue as a patent.

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
25	CTFR	Final Rejection	3,160,574	EX	Any second or any subsequent actions on the merits from the Examiner may be made final (i.e. final rejection), except where the Examiner introduces a new ground of rejection that is neither necessitated by applicant's amendment of the claims nor based on information submitted in an information disclosure.
26	MCTFR	Mail Final Rejection (PTOL - 326)	3,156,370	EX	Indicates that a final rejection has been mailed in the application. This typically follows a response (A...) to a non-final rejection (MCTNF), though it is possible in rare circumstances for a final rejection to occur without a non-final rejection having occurred (see MPEP 706.07(b) regarding first action final rejections). A final rejection closes prosecution in an application where at least one of the claims has been found by the examiner to be unpatentable.
27	IFEE	Issue Fee Payment Received	2,918,079	ISS	Indicates that the Office has received the issue fee from applicant. This sets the application status to 94 ("Publications -- Issue Fee Payment Received"). The issue fee varies based on the size of the entity applying for the patent. As of January 2014, the issue fee ranged from \$240 for a micro-entity to \$960 for a large entity. See 37 CFR 1.18(a)(1) for the current utility patent issue fees.
28	FLRCPT.O	Filing Receipt	2,876,702	PE	Indicates that a filing receipt has been generated.
29	R1021	Receipt into Pubs	2,723,657		
30	D1935	Dispatch to FDC	2,715,910		Dispatch to the Final Data Capture processing center for printing and final issue preparation
31	PTAC	Patent Issue Date Used in PTA Calculation	2,675,276	AD	Indicates that the PTA calculation has been made. Also indicates that the application has been assigned a patent number and issue date.

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
32	PG-ISSUE	PG-Pub Issue Notification	2,668,448	AD	Indicates that the Pre-Grant Publication (PG-Pub) of the application has been published. This is also a point at which an application becomes available in publicly viewable.
33	C.AD	Correspondence Address Change	2,612,289	AA	<p>Applicant has submitted a request to change the correspondence address or the Office has entered a requested change to the correspondence address. The Office will send all notices, official letters, and other communications relating to the application to the person associated with the correspondence address.</p> <p>An applicant may also designate a maintenance fee address different from the correspondence address. All maintenance fee communications will be sent to this fee address. Effective February 11, 2014, maintenance fee address changes will generate an MFEE.C.AD code.</p> <p>Note that during 2000-2001, a large number of previously-filed correspondence address changes were entered into the system.</p>
34	A.PE	Preliminary Amendment	2,325,115	AA	A preliminary amendment has been filed in the application. A preliminary amendment is an amendment that is received in the Office on or before the mail date of the first Office action. If present on the filing date of the application, it is treated as part of the original disclosure of the application.
35	TSSCOMP	IFW TSS Processing by Tech Center Complete	2,247,912		Image File Wrapper Processing by Technology Support Staff (TSS)

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
36	PGPC	Sent to Classification Contractor	2,155,104	PE	Indicates that the application has been sent to the contractor responsible for assigning the classification(s) of the application. This classification is necessary in order to route the application to the appropriate Technology Center (TC) within the USPTO. This sets the status of the application to 17 ("Sent to Classification contractor").
37	RQPR	Request for Foreign Priority	2,119,299	AA	Applicant may provide priority papers to support a request for foreign priority.
38	DVER	Document Verification	2,101,203		A Notice of Allowance, for example, must go through document verification.
39	PA..	Change in Power of Attorney (May Include Associate POA)	1,936,106	AA	<p>Applicant submitted a Power of Attorney document.</p> <p>Applicant may file a change in Power of Attorney at any time during prosecution of an application. The POA indicates representatives given permission to act on behalf of the inventor or assignee to prosecute an application.</p> <p>Applicant may name as representative any of the following three: (1) one or more joint inventors of the application, (2) the registered patent practitioners associated with a customer number, or (3) ten or fewer individually listed registered patent practitioners.</p> <p>Regarding associate power of attorney, the practice of associate power of attorney was eliminated by the USPTO effective June 25, 2004. It was supplanted by the use of customer numbers.</p>

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
40	A.NE	Response after Final Action	1,868,843	AA	Amendment provided by the applicant after the Examiner closes prosecution with a final rejection. Amendment is not automatically entered by the Examiner. It will not be entered if it requires additional search or more than cursory review.
41	EIDS.	Electronic Information Disclosure Statement	1,755,375	AA	Applicant submitted an electronic IDS.
42	INCD	Notice Mailed--Application Incomplete--Filing Date Assigned	1,682,045	PE	Notice is mailed indicating that a necessary part of the application is missing.
43	EX.A	Examiner's Amendment Communication	1,511,110	EX	The examiner amended the application and that amendment has been processed. Typically, this is done in order to bring the application into condition for allowance and is documented in a Notice of Allowance.
44	BRCE	Workflow - Request for RCE - Begin	1,398,129	AD	See RCEX below
45	ABN9	Disposal for a RCE / CPA / R129	1,394,052	AD	See RCEX below

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
46	RCEX	Request for Continued Examination (RCE)	1,391,929	AA	<p>Applicant filed a request for continued examination (RCE).</p> <p>If prosecution in an application is closed, an applicant may request continued examination (RCE) of the application by filing a submission and the fee prior to payment of the issue fee, abandonment of the application, or the filing of a notice of appeal. A submission includes, but is not limited to, an information disclosure statement, an amendment to the written description, claims, or drawings, new arguments, or new evidence in support of patentability. The USPTO will withdraw the finality of any Office action and the submission will be entered and considered.</p> <p>This typically occurs at some point after the application has been finally rejected (MCTFR). Currently, an RCE causes the status to change to 30 ("Docketed New Case - Ready for Examination"). Prior to November 2009, an RCE caused the status to change to 71 ("Response to Non-Final Office Action Entered and Forwarded to Examiner").</p>
47	ADDFLFEE	Additional Application Filing Fees	1,383,459	PE	
48	EXIN	Examiner Interview Summary Record (PTOL - 413)	1,268,286	EX	When an Examiner conducts an interview with applicant, the Examiner summarizes the record of that interview including any agreements reached in an Examiner Interview Summary Record.
49	FILM	Application Captured on Microfilm	1,260,466	PE	
50	SENT	Workflow - File Sent to Contractor	1,248,651	AD	

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
51	CTRS	Restriction/Election Requirement	1,239,241	EX	Restriction is a generic term that includes the practice of requiring an election between distinct inventions, for example, election between combination and sub-combination inventions, and the practice relating to an election between independent inventions, for example, an election of species. An Examiner may make a restriction requirement when an application may properly support separate patents and they are either independent or distinct.
52	MCTRS	Mail Restriction Requirement	1,237,868	EX	A restriction requirement and/or election of species has been mailed to the applicant. This requires the applicant to elect an invention and/or species. If the application contains claims to multiple independent or distinct inventions and examination of these multiple inventions would be burdensome, the examiner may require the applicant to elect an invention to be examined.
53	ABN2	Aband. for Failure to Respond to O. A.	1,232,313	ABN	The application is considered abandoned because the applicant did not respond to the examiner's office action within 6 months.
54	OATHDECL	A statement by one or more inventors satisfying the requirement under 35 USC 115, Oath of the Applic	1,230,787	PE	
55	MABN2	Mail Abandonment for Failure to Respond to Office Action	1,227,860	ABN	A notice is mailed to the applicant stating that the application has been abandoned due to failure to respond to an office action.
56	ROIPE	Application Return TO OIPE	1,205,580	PE	OIPE is the Office for Initial Patent Examination
57	WROIPE	Application Return from OIPE	1,202,853	PE	OIPE is the Office for Initial Patent Examination

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
58	ELC.	Response to Election / Restriction Filed	1,166,428	AA	Restriction is a generic term that includes the practice of requiring an election between distinct inventions, for example, election between combination and sub-combination inventions, and the practice relating to an election between independent inventions, for example, an election of species. An Examiner may make a restriction requirement when an application may properly support separate patents and they are either independent or distinct. The Examiner may make this request either over the telephone, in which case the applicant's response is recorded in the next Office action, or in a separate letter making the Election or Restriction requirement. In the latter case, the applicant responds to this requirement in a separate response electing an invention or species to be examined.
59	TI1050	Transfer Inquiry to GAU	1,149,392	PE	Transfer inquiries can be initiated when a case has been docketed to an incorrect art unit or when an undocketed new case is assigned an incorrect classification.
60	CTAV	Advisory Action (PTOL-303)	1,121,270	EX	Applicant may submit an amendment in an application after the Examiner has closed out prosecution with a final rejection. The amendment is not automatically entered by the Examiner. If the amendment does not place the application in condition for allowance, the Examiner will send the applicant an advisory action noting whether the proposed amendment will be entered or not, and if not, why it will not be entered. The Examiner also notes to applicant the status of the claims.
61	MCTAV	Mail Advisory Action (PTOL - 303)	1,119,956	EX	Advisory action mailed to the applicant. See CTAV above.

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
62	MEX.A	Mail Examiner's Amendment	1,064,164	EX	The examiner amended the application and this amendment was mailed or otherwise delivered to the applicant. Typically, this is done in order to bring the application into condition for allowance and is documented in a Notice of Allowance.
63	DRWF	Workflow - Drawings Finished	1,015,546	AD	A miscellaneous incoming letter from applicant shall be submitted any time during prosecution that is not directed to a requirement, notice or Office action sent by the USPTO. Document may be included in AS FILED.
64	LET.	Miscellaneous Incoming Letter	957,696	AA	
65	EXP.	Expire Patent	941,231	AD	
66	C.ADB	Correspondence Address Change	909,044	AA	Analogous to C.AD above.
67	SETS	Set Application Status	858,558	AD	A code primarily used for older applications that have been added to Public PAIR.
68	M903	Notice of DO/EO Acceptance Mailed	827,735	PE	The USPTO sends a Notice to applicant of the acceptance of their application by the USPTO as a Designated Office or Elected Office when applicant's international application has met all of the criteria for becoming a US national stage application and is accepted for national patentability examination in the USPTO.
69	RCDT	Receipt Date	813,610	AD	The applicant has filed a new drawing to accompany the application.
70	MLIB	Record Copy Mailed	809,049		
71	DRWM	Workflow - Drawings Matched with File at Contractor	791,997		
72	C614	New or Additional Drawing Filed	787,444	AA	Indicates that a filing receipt has been updated.
73	FLRCPT.U	Filing Receipt - Updated	758,856	PE	Code indicates that a provisional application has expired after 12 months.
74	EXPRO	EXPIRED PROVISIONAL	753,665	AD	

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
75	EX.R	Reasons for Allowance	709,881	EX	Another indicator of allowance.
76	PET.	Petition Entered	685,076	AA	Any incoming petition from applicant shall include all petition attachments submitted during prosecution of an application that is entered/scanned into the file.
77	P102	Notification Concerning Payment of Fees	652,795	PCT	The form PCT/RO/102 is generated for every new international application. It provides the applicant with an explanation of all required fees, how much money has been collected for each fee and whether any addition money is due.
78	L198	Referred to Level 2 (LARS) by OIPE CSR	644,663	PE	License and Review (L&R / LAR) determine whether an application will not be published because publication or disclosure of the application would be detrimental to national security.
79	371COMP	371 Completion Date	641,222	PE	Indicator of national stage entry of existing Patent Cooperation Treaty (PCT) application. Effective filing date of resulting regular application.
80	P105	Notification of Intntl. Appl. Number and Intntl. Filing Date	615,448	PCT	The form PCT/RO/105 is akin to a filing receipt for an international application.
81	APPERMS	Applicants have given acceptable permission for participating foreign	586,154		The Priority Document Exchange (PDX) program enables electronic exchange of certified priority documents between the USPTO, EPO, JPO, and KIPO.
82	L128	Cleared by L&R (LARS)	584,474	PE	License and Review (L&R) determine whether an application will not be published because publication or disclosure of the application would be detrimental to national security.
83	N423	Post Issue Communication - Certificate of Correction	548,369	ISS	Usually to correct minor mistakes that do not affect the scope of the claims.
84	DRWI	Workflow - Drawings Received at Contractor	524,486	AD	

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
85	N/AP	Notice of Appeal Filed	511,996	AA	Applicant filed a Notice of Appeal. After two rejections from the Examiner, an applicant may file a Notice of Appeal noting that applicant (now appellant) is appealing the Examiner's decision. The appeal is to be decided upon by an administrative patent judge from the Patent Board within the USPTO. The judge weighs the evidence in the Appeal Brief and in an Examiner's Answer to reach a decision.
86	DIST	Terminal Disclaimer Filed	498,287	AA	Applicant filed a terminal disclaimer. A timely filed terminal disclaimer may be filed by applicant to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent is shown to be commonly owned with this application. The purpose of a terminal disclaimer is to obviate a double patenting rejection by removing the potential harm to the public by issuing a second patent, and not to remove a patent as prior art. (For example: PTO/SB/25 or PTO/SB/26)
87	M327	Miscellaneous Communication to Applicant - No Action Count	479,673	EX	Any communication from the USPTO to applicant that does not fit into any other doc code may be designated as a miscellaneous communication. Those communications that an Examiner would not receive an action count for would include such communications as supplying a missing page from an Office action or clarifying an action taken at an interview.
88	MM327	Mail Miscellaneous Communication to Applicant	479,413	EX	Mailing of a miscellaneous communication. See M327 above.
89	D1220	Dispatch to Publications	471,184	AD	

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
90	TR.Q	Transfer Inquiry	455,642	PE	Transfer inquiries can be initiated when a case has been docketed to an incorrect art unit or when an undocketed new case is assigned an incorrect classification.
91	MEXIN	Mail Examiner Interview Summary (PTOL - 413)	437,260	EX	The Office mailed an interview summary form (PTOL-413) to the applicant. This can be its own mailing or an attachment to another Office action. This code was introduced in 2001. More specific codes indicating whether the interview was applicant-initiated or examiner-initiated, telephonic, in-person, or a video conference were introduced starting in 2011. Consequently, use of this code has decreased after peaking at 85,679 occurrences in 2010.
92	PDREQUEST	Request from applicant for the USPTO to retrieve the Priority Document	427,016	AA	Request from the applicant authorizing the USPTO to electronically retrieve Official Priority Documents from participating foreign IP Office and enter them into the file wrapper.
93	FTFI	FITF set to NO - revise initial setting	425,947	PE	First inventor to file indicator is set to NO. The value of the FITF indicator determines which prior-art framework will be applied to the application during examination. (If NO then pre-AIA. If YES, then the AIA provisions apply.)
94	TCPB	Printer Rush- No mailing	409,689		When there is an issue in an allowed application that requires correction or clarification in the Technology Center (TC), the Office of Publications (PUBS) returns the application to the TC as a Printer Query. In response, the Examiner may correct and/or initial various documents/forms to update the image file wrapper. This code indicates that it was not necessary to mail documents to the Applicant as part of the Printer Rush.

Table B-2: More detailed descriptions of the 100 most common event codes.

Rank	Code	Description	Frequency	Category	Details
95	FLFEE	Payment of additional filing fee/Preexam	404,457	PE	Applicant has paid additional filing fees.
96	DKST	Case Docketed or Redocketed to Examiner in GAU	399,674	EX	Code was used for 6 months in 2001.
97	PUBTC	Pubs Case Remand to TC	390,952		An allowed application may be returned to the Technology Center (TC) for additional work or clarification.
98	A.NA	Amendment after Notice of Allowance (Rule 312)	385,749	AA	When applicant files an amendment after the Notice of Allowance has been mailed but before the issue fee is paid, the amendment is not entered automatically. It may only be entered upon recommendation of a Primary Examiner. It will not be entered if it requires additional search or more than cursory review.
99	P210	International Search Report Ready to be Mailed	379,628	PCT	This code refers to prior art searches conducted by USPTO under the Patent Cooperation Treaty (PCT). Certain PCT applications are assigned to the USPTO as the searching authority. In such cases examiners at USPTO conduct the prior art search and then forward the results of that search to the appropriate authority. This code indicates that the international search report is ready for mailing.
100	MP210	Mail International Search Report	379,552	PCT	This code indicates that the International Search Report has been mailed to the appropriate authority.

Categories

PE	Pre-examination	ABN	Abandonment
EX	Examination	ISS	Patent Issue
AA	Applicant Activity	PCT	PCT Activity
AD	Administrative		

Table B-3: Event codes for Office actions

Event Code	Description	Details
CTNF	Non-Final Rejection	Following the search of prior art, an office action to applicant includes a rejection of one or more claims and does not close out prosecution, the Examiner receives a non- final rejection count.
MCTNF	Mail Non-Final Rejection	Indicates that the Office mailed a non-final rejection to the applicant.
N/=.	Notice of Allowance Data Verification Completed	Indicates that 1 or more claims in the application have been allowed.
MN/=.	Mail Notice of Allowance	Indicates that applicant has been mailed a notice of allowance. Sets application status to 92 ("Allowed -- Notice of Allowance Mailed -- Issue Revision Completed").
CTFR	Final Rejection	Any second or any subsequent actions on the merits from the Examiner is made final (i.e. final rejection), except where the Examiner introduces a new ground of rejection that is neither necessitated by applicant's amendment of the claims nor based on information submitted in a timely filed information disclosure.
MCTFR	Mail Final Rejection (PTOL - 326)	Indicates that a final rejection has been mailed in the application. This typically follows a response (A...) to a non-final rejection (MCTNF), though it is possible in rare circumstances for a final rejection to occur without a non-final rejection having occurred (see MPEP 706.07(b) regarding first action final rejections). A final rejection closes prosecution in an application where at least one of the claims has been found by the examiner to be unpatentable.
CTRS	Restriction/Election Requirement	Restriction is a generic term that includes the practice of requiring an election between distinct inventions, for example, election between combination and sub-combination inventions, and the practice relating to an election between independent inventions, for example, an election of species. An Examiner may make a restriction requirement when an application may properly support separate patents and they are either independent or distinct.

MCTRS	Mail Restriction Requirement	A restriction requirement and/or election of species has been mailed to the applicant. This requires the applicant to elect an invention and/or species. If the application contains claims to multiple independent or distinct inventions and examination of these multiple inventions would be burdensome, the examiner may require the applicant to elect an invention to be examined.
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Table B-4: Selected event codes for amendment filings by applicants

Event Code	Description	Details
A...	Response after Non-Final Action	Amendment filed by the applicant in response to a non-final office action issued by the Examiner based on the merits of the application. Document may be included in AS FILED.
A.I.	Informal or Non-Responsive Amendment after Examiner Action	Amendment filed by the applicant in response to an Examiner action wherein the Examiner determines the amendment is a bonafide but incomplete attempt to provide a complete response. In such an instance, the Examiner gives the applicant one month from the date of mailing of a letter of non-responsiveness to complete the reply.
A.LA	Untimely (Late) Amendment Filed	When applicant files an amendment after the expiration of the statutory period, the application is abandoned and the remedy is to petition to revive it. The late or untimely amendment is endorsed on the file wrapper, but not formally entered.
A.NA	Amendment after Notice of Allowance (Rule 312)	When applicant files an amendment after the Notice of Allowance has been mailed but before the issue fee is paid, the amendment is not entered automatically. It may only be entered upon recommendation of a Primary Examiner. It will not be entered if it requires additional search or more than cursory review.
A.NE	Response after Final Action	Amendment provided by the applicant after the Examiner closes prosecution with a final rejection. Amendment is not automatically entered by the Examiner. It will not be entered if it requires additional search or more than cursory review.
A.NQ	Amendment Crossed in Mail	When an amendment is filed on or before the mailing date of the regular Office action, but reaches the Examiner later, the amendment is considered to have crossed the Office action in the mail. The amendment that crossed in the mail usually requires the Examiner to prepare a supplemental action that includes a new period for response.
A.PE	Preliminary Amendment	A preliminary amendment has been filed in the application. A preliminary amendment is an amendment that is received in the Office on or before the mail date of the first Office action. If present on the filing date of the application, it is treated as part of the original disclosure of the application.

Table B-4: Selected event codes for amendment filings by applicants

Event Code	Description	Details
A.QU	Response after Ex Parte Quayle Action	An Ex parte Quayle action is an Office action noting that all claims are allowable and the application is in condition for allowance except as to matters of form such as correction of the specification or a new oath. An Ex parte Quayle action closes prosecution on the merits. A proper response from the applicant to an Ex parte Quayle action is limited to correcting these matters of form.

Table B-5: Selected event codes for the appeals process

Event Code	Description	Details
N/AP	Notice of Appeal Filed	Applicant filed a Notice of Appeal. After two rejections from the Examiner, applicant may file a Notice of Appeal noting that applicant (now appellant) is appealing the Examiner's decision. The appeal is to be decided upon by an administrative patent judge from the Patent Board within the USPTO. The judge weighs the evidence in the Appeal Brief and in an Examiner's Answer to reach a decision.
AP.B	Appeal Brief Filed	After two rejections from the Examiner, applicant (now appellant) may file an Appeal Brief of the Examiner's decision. The appeal is to be decided upon by an administrative patent judge from the Patent Board within the USPTO. The judge weighs the evidence in the Appeal Brief and in an Examiner's Answer to reach a decision.
AP/A	Amendment/Argument after Notice of Appeal	An amendment may be filed at any time after final rejection, but before the jurisdiction of the case has passed to the Patent Board. However, after the Notice of Appeal has been filed by applicant, any amendment or argument filed by applicant is not normally entered unless the paper presented clearly places the application in condition for allowance.
AP_DK_M	Docketing Notice Mailed to Appellant	A docketing notice is sent to the appellant letting the appellant know that the application on appeal has been received at the Patent Board. The notice provides the appeal number and the date the appeal brief, reply brief (if any) and the request for hearing (if any) were filed.
APAR	Administrator Remand to the Examiner by BPAI	The Patent Board has the authority to remand a case to the Examiner when it deems necessary. For example, the Board may remand a case for a fuller description of the claimed invention, for further search, for preparation by the Examiner of a Supplemental Examiner's Answer in response to a reply brief, or to consider affidavits or declarations from the appellant.

Table B-5: Selected event codes for the appeals process

Event Code	Description	Details
APBD	Notice -- Defective Appeal Brief	An appellant's brief must be responsive to every ground of rejection stated by the Examiner. If the appeal brief fails to address any such ground, the Examiner sends the appellant a notice of a defective brief and gives the appellant time to correct the defect.
APCH	Confirmation of Hearing by Appellant	Appellant may request an oral hearing before the Patent Board. In response to that request, a notice of the hearing stating the date, time and docket is forwarded to the appellant by the Board. The appellant must send a confirmation within a stated time period confirming that appellant will attend.
APD1	Dec on Reconsideration - Denied	Appellant may request a rehearing before the Patent Board if the Board affirms the Examiner in whole or in part. The Board may decide that there are no new issues to reconsider and deny the request.
APD2	Dec on Reconsideration - Granted	Appellant may request a rehearing before the Patent Board if the Board affirms the Examiner in whole or in part. The Board may decide that there are issues that need to be reconsidered and grant the request.
APD3	Dec on Reconsideration - Granted in Part	Appellant may request a rehearing before the Patent Board if the Board affirms the Examiner in whole or in part. The Board may decide that there are some issues that need to be considered and other issues that do not need to be reconsidered and grant the request in part.
APDA	BPAI Decision - Examiner Affirmed	The Patent Board reaches a decision in response to an appeal brief filed by the appellant specifying alleged errors in the Examiner's rejection and an Examiner's Answer prepared by the Examiner restating the rejection and responding to appellant's arguments. The Board is comprised of administrative patent judges within the USPTO who reach a decision to affirm reverse, or affirm in part the decision of the Examiner. In this instance, the Examiner is affirmed in full without explanation.

Table B-5: Selected event codes for the appeals process

Event Code	Description	Details
APDP	BPAI Decision - Examiner Affirmed in Part	The Patent Board reaches a decision in response to an appeal brief filed by the appellant specifying alleged errors in the Examiner's rejection and an Examiner's Answer prepared by the Examiner restating the rejection and responding to appellant's arguments. The Board is comprised of administrative patent judges within the USPTO who reach a decision to affirm reverse, or affirm in part the decision of the Examiner. In this instance, the Examiner is affirmed in part.
APDR	BPAI Decision - Examiner Reversed	The Patent Board reaches a decision in response to an appeal brief filed by the appellant specifying alleged errors in the Examiner's rejection and an Examiner's Answer prepared by the Examiner restating the rejection and responding to appellant's arguments. The Board is comprised of administrative patent judges within the USPTO who reach a decision to affirm reverse, or affirm in part the decision of the Examiner. In this instance, the Examiner is reversed in full.
APDS	Appeal Dismissed	An Appeal to the Patent Board is dismissed if the brief from the appellant is not filed on time or if the brief is not compliant, for example by not arguing a ground of rejection involving all of the appealed claims or by not including all of the portions required of an appeal brief by 37 CFR 1.192. When an appeal is dismissed, all claims not allowed are withdrawn. If no claims are allowed, the case is abandoned. If some claims are allowed, the application is passed to issue.
APDT	BPAI Decision/Order under 41.50(d)	The Patent Board reaches a decision in response to an appeal brief filed by the appellant specifying alleged errors in the Examiner's rejection and an Examiner's Answer prepared by the Examiner restating the rejection and responding to appellant's arguments. The Board is comprised of administrative patent judges within the USPTO who reach a decision. That decision may be to require appellant to clarify the record under 37CFR 1.196 (d). The clarification may include explaining the applicability of particular case law not previously identified as relevant to the appeal or explaining the applicability

Table B-5: Selected event codes for the appeals process

Event Code	Description	Details
		of particular references not previously of record.
APE2	2nd or Subsequent Examiner's Answer to Appeal Brief	An Examiner's Answer is prepared by the Examiner restating the rejection and responding to appellant's arguments as stated in appellant's appeal brief to the Patent Board. If the appellant files a reply brief, the Board may remand the application to the Examiner for the express purpose of having the Examiner prepare a Supplemental Examiner's Answer to respond to the Reply Brief.
APEA	Examiner's Answer to Appeal Brief	An Examiner's Answer is prepared by the Examiner restating the rejection and responding to appellant's arguments as stated in appellant's appeal brief to the Patent Board.
APND	Notice -- Defective Notice of Appeal	A Notice is sent to the appellant of a defective Notice of Appeal if the Notice was not filed on time, or the fee was unpaid, or if none of the claims have been twice rejected.
APNH	Notification of Appeal Hearing	Appellant may request an oral hearing before the Patent Board. In response to that request, a notice of the hearing stating the date, time and docket is forwarded to the appellant by the Board and confirmation of the appellant's attendance is required.

Table B-5: Selected event codes for the appeals process

Event Code	Description	Details
APNR	Advisory on Non-Entry of Reply Brief	In response to an Examiner's Answer prepared by the Examiner following appellant's appeal brief to the Patent Board, appellant has a right to file a reply brief within two months of the mailing date of the Examiner's Answer. If the reply brief contains an amendment or evidence, or other formal defect, however, it is not considered to be a reply brief and is not entitled to entry. If a reply brief of this nature is submitted, a notice of non-entry of reply brief will be sent to appellant informing the appellant of non-entry of the reply brief. updated: 11/10/08
APOH	Request for Oral Hearing	Appellant may request an oral hearing before the Patent Board. In response to that request, a notice of the hearing stating the date, time and docket is forwarded to the appellant by the Board.
APPD	Hearing Postponement Denied	Appellant may request an oral hearing before the Patent Board. In response to that request, a notice of the hearing stating the date, time and docket is forwarded to the appellant by the Board. The appellant must send a confirmation within a stated time period confirming that appellant will attend. If appellant cannot attend at the designated time, appellant may request a postponement of the hearing. Such a request will not be granted will not be granted in the absence of convincing reasons in support of the requested change.
APPG	Hearing Postponement Granted	Appellant may request an oral hearing before the Patent Board. In response to that request, a notice of the hearing stating the date, time and docket is forwarded to the appellant by the Board. The appellant must send a confirmation within a stated time period confirming that appellant will attend. If appellant cannot attend at the designated time, appellant may request a postponement of the hearing. Such a request may be granted if it does not unduly delay a decision in the case or place undue burden on the Board.

Table B-5: Selected event codes for the appeals process

Event Code	Description	Details
APPH	Postponement of Oral Hearing Request	Appellant may request an oral hearing before the Patent Board. In response to that request, a notice of the hearing stating the date, time and docket is forwarded to the appellant by the Board. The appellant must send a confirmation within a stated time period confirming that appellant will attend. If appellant cannot attend at the designated time, appellant may request a postponement of the hearing. Such a request may be granted if it does not unduly delay a decision in the case or place undue burden on the Board.
APPR	Panel Remand to the Examiner by BPAI	The Patent Board may remand a case to the examiner when it deems it necessary. For example, the Board may remand for a fuller description of the claimed invention, for a further explanation of the pertinence of the references, for further search where it feels that the most pertinent art has not been cited, or to consider an amendment, affidavit, or declaration. The Board may also remand an application to the examiner to prepare a supplemental examiner's Answer in response to a reply brief.
APRB	Reply Brief Filed	In response to an Examiner's Answer prepared by the Examiner following appellant's appeal brief to the Patent Board, appellant has a right to file a reply brief within two months of the mailing date of the Examiner's Answer.
APRD	Order Returning Undocketed Appeal to the Examiner	An order returning an undocketed appeal to the Examiner is sent by the Patent Board if upon review, the Board determines that the application is not ready for docketing. Reasons for the returning the case may be that there was no appropriate indication that an appeal conference had been held, or that an Information Disclosure Statement had been considered, or that an amendment approved for entry by the Examiner had been entered, or that certain references relied upon by the Examiner were scanned in their entirety into IFW.

Table B-5: Selected event codes for the appeals process

Event Code	Description	Details
APWH	Waiver of Hearing by Appellant	Appellant may request an oral hearing before the Patent Board. In response to that request, a notice of the hearing stating the date, time and docket is forwarded to the appellant by the Board. The appellant must send a confirmation within a stated time period confirming that appellant will attend. If appellant no longer can or wishes to attend the scheduled hearing, appellant should inform the Board of a waiver of hearing at the earliest possible opportunity.

Table B-6: Most common application status codes in transactions

Code	Description	Frequency
41	Non Final Action Mailed	9,334,843
40	Non Final Action Counted, Not Yet Mailed	9,082,687
71	Response to Non-Final Office Action Entered and Forwarded to Examiner	8,851,822
30	Docketed New Case - Ready for Examination	8,312,483
20	Application Dispatched from Preexam, Not Yet Docketed	7,405,446
19	Application Undergoing Preexam Processing	7,178,294
90	Allowed -- Notice of Allowance Not Yet Mailed	5,468,009
95	Publications -- Issue Fee Payment Verified	5,405,827
150	Patented Case	5,343,902
93	Notice of Allowance Mailed -- Application Received in Office of Publications	3,347,768
61	Final Rejection Mailed	3,199,224
60	Final Rejection Counted, Not Yet Mailed	3,177,743
92	Allowed -- Notice of Allowance Mailed -- Issue Revision Completed	3,056,754
94	Publications -- Issue Fee Payment Received	2,909,624
17	Sent to Classification contractor	2,156,901
80	Response after Final Action Forwarded to Examiner	1,786,719
161	Abandoned -- Failure to Respond to an Office Action	1,239,599
18	Application Returned back to Preexam	1,205,646