



**UNITED STATES PATENT AND TRADEMARK OFFICE**

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UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

**NOV - 7 2016**

Dr. Francis Gurry  
Director General  
World Intellectual Property Organization  
34, chemin des Colombettes  
1211 Geneva 20  
Switzerland

Dear Dr. Gurry,

The United States Patent and Trademark Office (USPTO) became a Providing Office in the World Intellectual Property Organization's system for Centralized Access to Search and Examination (WIPO CASE) on October 19, 2015. I am pleased to inform you that the USPTO will participate in WIPO CASE as an Accessing Office beginning December 2, 2016.

In accordance with paragraph 35 of the June 1, 2015 Terms and Conditions for use of the WIPO CASE System, please find attached the USPTO's modified Notice of Participation. We look forward to expanding our participation in WIPO CASE.

Sincerely,

A handwritten signature in blue ink that reads "Michelle K. Lee".

Michelle K. Lee  
Under Secretary of Commerce for Intellectual Property and  
Director of the United States Patent and Trademark Office

## NOTICE OF PARTICIPATION

The United States Patent and Trademark Office (USPTO) began participation in the World Intellectual Property Organization system for Centralized Access to Search and Examination (WIPO CASE) as a Providing Office on October 19, 2015. The USPTO hereby notifies the Director General that the USPTO will modify its participation in WIPO CASE by becoming an Accessing Office on December 2, 2016.

In accordance with paragraph 35 of the June 1, 2015 Terms and Conditions for use of WIPO CASE (WIPO's T&Cs), USPTO informs the Director General that the USPTO will act as both Providing Office and an Accessing Office beginning December 2, 2016. Further, USPTO provides the following information.

**(i) Scope and nature of the dossier information that will be made available to Accessing Offices**

- Published/Issued patent applications which are publically available under 37 CFR 1.14. The dossier information available is that available publically via the USPTO's Patent Application Information Retrieval System (PAIR) and may include:
  - Bibliographic Data
  - Prosecution History
  - Classification Data
  - National stage entry application and its related PCT application information
  - Foreign priority data
  - Image File Wrapper (IFW) data including
    - Application data, forms, petitions, etc., from applicants
    - Office correspondence
    - Attorney/Agent Address information
    - Office Actions
    - Continuity data
    - Search History
  - Citation References

**(ii) Scope and nature of the dossier information that will be made available to the public**

USPTO dossier information, which is otherwise available publically via the USPTO's PAIR, may be made available to the public. These dossiers are generally those of issued (granted) or published patent applications or patent applications, which are otherwise publically available under 37 CFR 1.14.

**(iii) Technical details and the relevant data formats**

USPTO will make its dossier information available through WIPO CASE via software service calls identified in the One Portal Dossier (OPD) Specification. The current OPD Specification version 1.0.0 dated July 31, 2014 is the current version and is the same specification that WIPO CASE employs in sharing dossier information with the Japan Patent Office (JPO).

The data format for the data exchange is described in the aforementioned OPD Specification and related appendices.

**(iv) USPTO points of contact for management of access to WIPO CASE and technical liaison**

USPTO's point of contact for the management of access to WIPO CASE and for technical liaison will be Mr. Don Levin who may be contacted at the following email address: [CASEfeedback@USPTO.gov](mailto:CASEfeedback@USPTO.gov).

**(v) Additional terms and conditions for access to USPTO dossier information**

USPTO will comply with the OPD technical specification, operating procedures, service levels, and other technical matters, as agreed to by the IP5, and will not be bound by WIPO-proposed updates.

Access to the dossier information at the USPTO shall be restricted to real time access by request. Namely, batch access or access similar thereto shall be prohibited. This is intended to prevent incidents, such as access delay by users from the other Accessing Offices and system failure due to excessive communication load by such access.

Further to paragraph 30 of WIPO's T&Cs, and notwithstanding paragraph 38 of WIPO's T&Cs, if any of the Accessing Offices create, or contribute to, any incidents listed in paragraph 28 of WIPO's T&Cs, or otherwise deliberately or inadvertently abuse the dossier system, then USPTO may deny access to its dossier information by terminating the International Bureau's access. Such termination will result in denial of access to USPTO dossier information by all participants of WIPO CASE.