

# PTAB IPR Filing Procedure – Step by Step

This presentation walks through the process for filing a new PTAB-AIA Petition, such as an IPR petition.

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7034150012

# Log In:

## <https://ptab.uspto.gov/#/login>

### Log In

## Welcome to PTAB E2E

This system currently handles **Inter Partes Review (IPR)**, **Post Grant Review(PGR)**, **Covered Business Method Patents (CBM)**, and **Derivation AIA Review (DER)** Trials.

\* Username

\* Password

[Forgot Password?](#)

[Create an account](#)

# Select Petition Type

The screenshot shows the USPTO Patent Trial and Appeal Board website. The browser address bar displays `ptab.uspto.gov/#/external/initiatePetition`. The page header includes the USPTO logo and the text "Patent Trial and Appeal Board". A navigation menu contains "Dashboard", "Enter Appearance As Patent Owner/Respondent", "Initiate New Petition", "My Docket", "Payments", and "Search". The main content area is titled "Initiate New Petition" and includes a breadcrumb "Home > Initiate Petition". A sidebar on the left is titled "Create Petition" and lists several options: "Verification", "Petition Information", "Claims Challenged", "Petition Documents", "Relevant Information", and "Real Party". The "Verification" section is highlighted, and a callout box displays the following text:

**Verification**

You need to verify that the Patent in question exists before you can create a Petition.

The petition requirements can be found on the Federal Register

**\* Trial Type**

- Select a Trial Type...
- Select a Trial Type...
- Inter Partes Review
- Post Grant Review
- Covered Business Method
- Derivation AIA Review

# Enter Patent Number

ptab.uspto.gov/#/external/initiatePetition

uspto

## Patent Trial and Appeal Board

Dashboard Enter Appearance As Patent Owner/Respondent **Initiate New Petition** My Docket Payments Search

Home > Initiate Petition

### Initiate New Petition

#### Create Petition

- Verification**
- Petition Information
  - Claims Challenged
  - Petition Documents
- Relevant Information
  - Real Party
  - Additional Real Party

#### Verification

You need to verify that the Patent in question exists before you can create a Petition.

The petition requirements can be found on the Federal Register

\* Trial Type  
Inter Partes Review

\* Patent Number  
e.g 5555555  
A patent number is required

Verify

# Initiate New Petition

uspto About Us Careers Contact

Patent Trial and Appeal Board

Dashboard Enter Appearance As Patent Owner/Respondent Initiate New Petition My Docket Payments Search

Home > Initiate Petition

## Initiate New Petition

### Create Petition

- Verification
- Petition Information**
- Claims Challenged
- Petition Documents
- Relevant Information
- Real Party
- Additional Real Party
- Review

### AIA Review Information

Petition Name  Cancel petition name change button

AIA Review Number: IPR2021-00379  
Trial Type: Inter Partes Review

### Patent Owner/Respondent's Information

Patent Number: 7676375  
Application Number: 09979976  
Tech Center: 3600  
Art Unit: 3688

# Petition Proceeding Number Appears

**Initiate New Petition**

**Create Petition**

- Verification
- ✔ Petition Information
- Claims Challenged**
- Petition Documents
- Relevant Information
  - Real Party
  - Additional Real Party
- Review

**Claims Challenged**

AIA Review Number: **IPR2021-00380**

\* Statutory Grounds

\* Challenged Claim Numbers   
e.g. 2.3-6.8,15-19

\* Prior Art

Additional Prior Art

# Enter First Ground In the Petition Art (Statute, Claims, Prior Art)

- Do Not Click “Continue”

## Initiate New Petition

**Create Petition**

Verification

✔ Petition Information

✘ Claims Challenged

Petition Documents

**Relevant Information**

Real Party

Additional Real Party

**Review**

**Claims Challenged**

AIA Review Number: IPR2021-00380

\* Statutory Grounds

\* Challenged Claim Numbers   
e.g. 2.3-6.8.15-19

\* Prior Art

Smith US patent ~~XXXXXXXX~~

Jones US patent ~~YYYYYY~~

Additional Prior Art

# Enter First Ground In the Petition Art (Statute, Claims, Prior Art)

- Put Cursor in the “Challenged Claim Numbers” field, and hit “Enter” key

**Initiate New Petition**

**Create Petition**

Verification

✓ Petition Information

✗ Claims Challenged

Petition Documents

Relevant Information


Real Party

Additional Real Party

Review

**Claims Challenged** AIA Review Number: IPR2021-00380

\* Statutory Grounds

\* Challenged Claim Numbers    
e.g. 2.3-6.8.15-19

\* Prior Art

Smith US patent 5XXXXXX

Jones US patent 5YYYYYY

Additional Prior Art



# First Ground Is Entered

**Initiate New Petition**

AIA Review Number: IPR2021-00380

**Create Petition**

- Verification
- ✔ Petition Information
- ✘ Claims Challenged 3
- Petition Documents
- Relevant Information
  - Real Party
  - Additional Real Party
- Review

**Claims Challenged**

\* Statutory Grounds

\* Challenged Claim Numbers   
e.g. 2,3-6,8,15-19  
Claim number cannot be empty when adding a claim.

\* Prior Art

Additional Prior Art

Statutory Ground 35 U.S.C 103

Challenged Claim Numbers	Prior Art	Statutory Ground	Actions
1-3	Smith US patent 5XXXXXX	35 U.S.C 103	<input type="button" value="edit"/> <input type="button" value="delete"/>
1-3	Jones US patent 5YYYYYY	35 U.S.C 103	<input type="button" value="edit"/> <input type="button" value="delete"/>

# Enter Next Ground When All Grounds Entered, “Continue”

**Initiate New Petition**  
Initiate New Petition

CI

**Create Petition**

- Verification
- ✓ Petition Information
- ✗ Claims Challenged 3
- Petition Documents
- Relevant Information
  - Real Party
  - Additional Real Party
- Review

**Claims Challenged** AIA Review Number: IPR2021-00380

\* Statutory Grounds

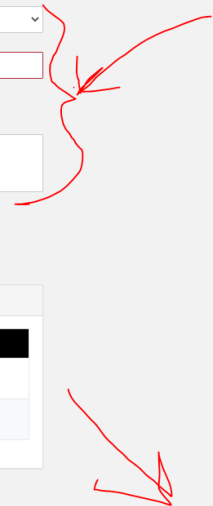
\* Challenged Claim Numbers   
e.g. 2,3-6,8,15-19  
Claim number cannot be empty when adding a claim.

\* Prior Art

Additional Prior Art

▼ Statutory Ground 35 U.S.C 103

Challenged Claim Numbers	Prior Art	Statutory Ground	Actions
1-3	Smith US patent 5XXXXXX	35 U.S.C 103	<input type="button" value="edit"/> <input type="button" value="delete"/>
1-3	Jones US patent 5YYYYYY	35 U.S.C 103	<input type="button" value="edit"/> <input type="button" value="delete"/>



# Upload/Identify Documents

## Initiate New Petition

**Create Petition**

Verification

✔ Petition Information

✔ Claims Challenged

Petition Documents

Relevant Information

Real Party

**Petition Documents** AIA Review Number: IPR2021-00380

\* Type: Paper

\* Name:

\* Availability: Available for everyone.

\* Paper Type: Select a paper type

\* Attach a document: Choose File No file chosen

Paper type is required.

Add Document Clear Form

\* Type

Select a document type

Select a document type

Paper

Exhibits

**Petition Documents**

\* Type: Exhibits

\* Exhibit Number: 1001

**Petition Documents**

\* Type: Paper

\* Paper Type

Select a paper type

Select a paper type

Corrected Petition

Declaration

Exhibit List

Notice

Notice of Deposition

Objection

Opposition

Oral Hearing Request

Other (Not for motions)

Petition

Power of Attorney

Refund Request

Reply

Response

# Upload/Identify Documents

- POA required
- Petition required

# Add RPI Petitioners

**Initiate New Petition**

**Create Petition**

- Verification
- ✔ Petition Information
- ✔ Claims Challenged
- Petition Documents
- Relevant Information**
  - Real Party
  - Additional Real Party
- Review

**Real Party in Interest** AIA Review Number: IPR2021-00380

\* Party Type: Individual

\* Pro Se:  Yes  No

**Petitioner Information**

\* First Name: Richard

Email: rneifeld@neifeld.com

Address: 9112 Shearman Street

City: Fairfax

ZIP Code: 22032

Phone Number: 7034150012

Fax Number: 7034150013

\* Last Name: Neifeld

Country: UNITED STATES

Street Address 2:

State/Province: VIRGINIA

Extension: Extension

# Add RPI *Non*-Petitioners

**Initiate New Petition**

**Create Petition**

- Verification
- ✔ Petition Information
- ✔ Claims Challenged 3
- Petition Documents
- Relevant Information
- Real Party 1
- Additional Real Party**
- Counsel
- Review

**Additional Real Party in Interest** AIA Review Number: IPR2021-00380

\* Party Type: Individual

\* First Name:

Email:

Address:

City:

Phone Number:

Fax Number:

\* Last Name:

Country:

Extension:

# Add Lead, First Backup, and other Backup Counsel

**Initiate New Petition**

AIA Review Number: IPR2021-00380

**Create Petition**

- Verification
- ✓ Petition Information
- ✓ Claims Challenged
- Petition Documents
- Relevant Information
  - Real Party
  - Additional Real Party
  - Counsel**
- Review

**Counsel**

\* Counsel Type:  (dropdown menu open showing: Select a counsel type, Lead Counsel, First Back Up Counsel, Back Up Counsel)

\* Email:

\* Address:

\* City:

\* Phone Number:

Fax Number:

\* Country:

Street Address 2:

Extension:

# Review, then Pay

**Initiate New Petition**

**Create Petition**

- Verification
- ✓ Petition Information
- ✓ Claims Challenged
- ✓ Petition Documents
- Relevant Information
- ✓ Real Party
- Additional Real Party
- ✓ Counsel
- Review**

**AIA Review IPR2021-00380**

Status: **Initiated**

Patent Number: 7676375      Tech Center: 3600      Art Unit: 3688

Claims | Documents

Statutory Ground 35 U.S.C.103

Challenged Claim Numbers	Prior Art
1-3	Smith US patent EXXXXXX
1-3	Jones US patent EYYYYYY

**Relevant Information**

Real Party    Additional Real Party    Counsel

Name	Individual or Organization	Address	Email	Phone Number	Fax Number
Richard Neifeld	Individual	9122 Shearman Street Fairfax, VA 22032 US	rneifeld@neifeld.com	7034150012	7034150013

**Payment**

Before completing your payment, please review your AIA Review fees:

Quantity	Type of Fee	Unit Cost	Subtotal
1	Inter Parties Review request fee- up to 20 claims	\$18,000.00	\$18,000.00
1	Inter Parties Review Post-Institution fee	\$22,500.00	\$22,500.00
			<b>Total Due: \$41,500.00</b>

Withdraw Petition      **Pay**



# Certify Authorization

Dashboard Enter Appearance As Patent Owner/Respondent Initiate New Petition My Dashboard Payments Search

Home > Initiate Petition

## Initiate New Petition

Create Petition

Verification

- ✓ Petition Information
- ✓ Claims Challenged
- ✓ Petition Documents

Relevant Information

- ✓ Real Party
- Additional Real Party
- ✓ Counsel

**Review**

Real Party Additional Real Party Counsel

**AIA Review IPR2021-00380**

Status: **Initiated**

Patent Number: 7676,373 Tech Center: 3600 Art Unit: 3608

Claims Documents

Statutory Ground 35 U.S.C. 103

Challenged Claim Numbers	Prior Art
1-3	Smith US patent 8000000
1-3	Jones US patent 8777777

Relevant Information

Name	Individual or Organization	Address	Email	Phone Number	Fax Number
Richard Neifeld	Individual	8112 Shearman Street Fairfax, VA 22032 US	rneifeld@neifeld.com	7034150012	7034150013

Payment

Before completing your payment, please review your AIA Review fees.

Quantity	Type of Fee	Unit Cost	Subtotal
1	Inter-Party Review request fee - up to 20 claims	\$18,000.00	\$18,000.00
1	Inter-Party Review Post-Institution fee	\$12,500.00	\$12,500.00

Total Due: \$41,500.00

Withdraw Petition Pay

# Your are linked to fees.uspto.gov for payment

fees.uspto.gov/pay/

cubscoutpack1818v... Neifeld IP Law, PC... MyUSPTO authenti...

uspto About Us Careers Contact Us

## Make Payment

Sign in Help

**Warning:** Your order exceeds the United States Department of the Treasury's credit card daily limit. Please do not pay using a credit card as Treasury will reject the payment and you will be required to start the order process over. You may use a debit card, deposit account, or EFT to successfully complete the payment. See the [Accepted payment methods](#) page for more information.

**Why am I landing on this page?**  
The USPTO is updating its systems to improve your fee payment experience. If you've created a uspto.gov account, you can sign in now and use new features to pay with a stored payment method and better manage your payments.  
If you have not created a uspto.gov account, please proceed to "Pay as a guest" now so that you do not lose your order information. After completing your payment, visit our [Fees Self-Service Help](#) page to learn about how you can start using our new fee payment management tools.

### Sign in for Payment

If you are already a USPTO Financial Manager user, you can sign in using your uspto.gov username and password below to pay with your stored payment methods. If you're not a Financial Manager user, you can still checkout as a guest by clicking the Pay as a guest button below.

**Sign in**

Email address or username \*

Password \*

[Sign in](#)

**Pay as a guest**

Continue the payment process as a guest.

[Pay as a guest](#) [Cancel](#)

# Pay as Guest Option Fails, for PTAB AIA Petitions

The screenshot shows the USPTO payment portal at fees.uspto.gov/pay/. The page title is "Make Payment". A warning message states: "Warning: Your order exceeds the United States Department of the Treasury's credit card daily limit. Please do not pay using a credit card as Treasury will reject the payment and you will be required to start the order process over. You may use a debit card, deposit account, or EFT to successfully complete the payment. See the [Accepted payment methods](#) page for more information." The "Payment" section shows "Order Details" with a summary table:

TOTAL	TRANSACTION DESCRIPTION
\$41,500.00	PTABE2TRANSACTION

Below this is a table of items:

Sale Item Reference #	Attorney Docket #	Fee Code	Item Price	Qty	Item Total
IPR2021-00380		1414	\$22,500.00	1	\$22,500.00
IPR2021-00380		1406	\$19,000.00	1	\$19,000.00

The "Payment Information" section includes a note: "The USPTO accepts American Express, Discover Network, MasterCard, and Visa branded credit cards and MasterCard and Visa branded debit cards that do not require the use of a PIN. Financial Manager users may pay with any stored payment method of credit/debit card, deposit account, or electronic funds transfer (EFT). Guest users may only pay with a credit/debit card. For more information about payment options, including how to establish a stored payment method, please see the 'Help' section." Payment options include "Required Fields", "Payment Options", and "Card Number". Logos for VISA, MasterCard, and DISCOVER are visible at the bottom.

# You Must Pay using a USPTO Financial Manager Account, Stored Payment Method

fees.uspto.gov/pay/

cubscoutpack1818v... Neifeld IP Law, PC... MyUSPTO authenti...

## Make Payment

Warning: Your order exceeds the United States Department of the Treasury's credit card daily limit. Please do not pay using a credit card as Treasury will reject the payment and you will be required to start the order process over. You may use a debit card, deposit account, or EFT to successfully complete the payment. See the [Accepted payment methods](#) page for more information.

### Payment

Order Details

TOTAL	TRANSACTION DESCRIPTION
\$41,500.00	PTABE2TRANSACTION

Sale Item Reference #	Attorney Docket #	Fee Code	Item Price	Qty	Item Total
IPR2021-00380		1414	\$32,500.00	1	\$32,500.00
IPR2021-00380		1406	\$19,000.00	1	\$19,000.00

### Payment Information

Approved for use through 3/31/2021. [OMM 0651-0043](#)

Required Fields \*

Payment Options \*

Stored Payment Method

Credit/Debit Card

Stored Payment Method \*

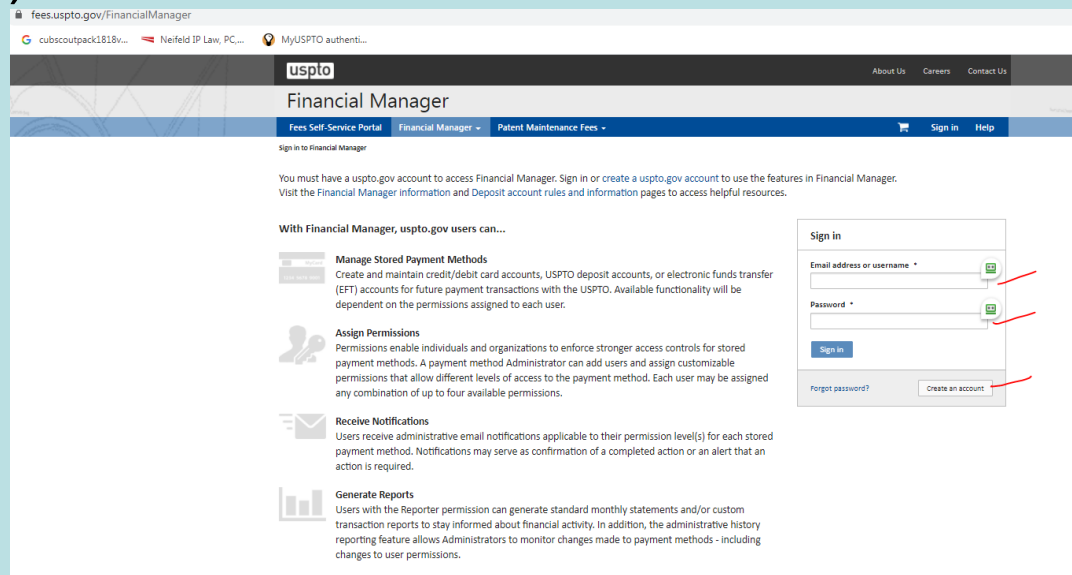
# USPTO Financial Manager Account, Stored Payment Methods, include

- USPTO Deposit Account
- Electronic Funds Transfer from a Bank Account
- Credit Cards
  
- **Only a Deposit Account or an EFT will work for a PTAB AIA Petition fee payment**

# Financial Manager – Add Payment Method

<https://fees.uspto.gov/FinancialManager>

Log in to Your FM Account (or create account, and then log in.)



The screenshot shows the USPTO Financial Manager login page. The browser address bar displays "fees.uspto.gov/FinancialManager". The page header includes the USPTO logo and navigation links for "About Us", "Careers", and "Contact Us". Below the header, there are tabs for "Fees Self-Service Portal", "Financial Manager", and "Patent Maintenance Fees". A "Sign in" button is visible in the top right corner.

The main content area features a "Sign in to Financial Manager" section with the following text: "You must have a uspto.gov account to access Financial Manager. Sign in or create a uspto.gov account to use the features in Financial Manager. Visit the Financial Manager information and Deposit account rules and information pages to access helpful resources."

Below this, a section titled "With Financial Manager, uspto.gov users can..." lists several features:

- Manage Stored Payment Methods**: Create and maintain credit/debit card accounts, USPTO deposit accounts, or electronic funds transfer (EFT) accounts for future payment transactions with the USPTO. Available functionality will be dependent on the permissions assigned to each user.
- Assign Permissions**: Permissions enable individuals and organizations to enforce stronger access controls for stored payment methods. A payment method Administrator can add users and assign customizable permissions that allow different levels of access to the payment method. Each user may be assigned any combination of up to four available permissions.
- Receive Notifications**: Users receive administrative email notifications applicable to their permission level(s) for each stored payment method. Notifications may serve as confirmation of a completed action or an alert that an action is required.
- Generate Reports**: Users with the Reporter permission can generate standard monthly statements and/or custom transaction reports to stay informed about financial activity. In addition, the administrative history reporting feature allows Administrators to monitor changes made to payment methods - including changes to user permissions.

On the right side of the page, there is a "Sign in" form with the following fields and buttons:

- Email address or username**: A text input field with a red arrow pointing to it.
- Password**: A text input field with a red arrow pointing to it.
- Sign in**: A blue button.
- Forgot password?**: A link.
- Create an account**: A button with a red arrow pointing to it.

# Click “Add Payment Method”

The screenshot shows the USPTO Financial Manager interface. At the top, there are browser tabs for 'fees.uspto.gov/FinancialManager' and 'MyUSPTO authenti...'. The main header includes the 'uspto' logo and navigation links for 'About Us', 'Careers', and 'Contact Us'. Below this is a blue navigation bar with 'Fees Self-Service Portal', 'Financial Manager', and 'Patent Maintenance Fees'. The main content area is titled 'My Payment Methods' and includes a 'Sort by Nickname (A to Z)' dropdown. A prominent button labeled '+ Add a Payment Method' is highlighted with a red line. Below the button, there are sections for 'Filters:' and 'SHOW ONLY THESE TYPES:'.

# 8 Business Days to Set Up an Electronic Funds Transfer

fees.uspto.gov/FinancialManager/paymentmethod/add




uspto

Financial Manager

Payment Methods » Add a Payment Method

## Add a Payment Method

Storing a payment method allows you to securely conduct business with the USPTO more efficiently. To get started, select the stored payment type that is right for you.

Payment Method	Credit/Debit Card	Deposit Account	Electronic Funds Transfer
	 1234 5678 9001 <b>Add New</b>	 <b>Add New</b>	 <b>Add New</b>
Activation Timeframe	Immediate	Immediate (funds must be available)	8 business days
Limitations	There is a \$24,999.99 daily limit per credit card. There is no daily limit per debit card.  Credit/debit cards cannot be used to fund a deposit account.	A sufficient balance to cover all fees must always be on deposit. Charges to accounts with insufficient funds will not be accepted.  A minimum balance of \$1,000.00 is required on the last business day of each month to avoid a \$25.00 service charge.	A U.S. bank account is required. Banking information must be initially verified before using this option.
More Information	The USPTO accepts American Express, Discover Network, Mastercard, and Visa branded credit/debit cards that do not require a PIN.	Only deposit accounts may be used for providing an authorization to charge any deficiency in the payment of the required fee(s), thus preserving the original filing date or payment date.	Payments will not be processed if there is an ACH/EFT block or filter on the bank account. You may need to provide your bank with the USPTO's ACH company ID number of 1310000101 to properly establish the EFT payment method.
	<a href="#">Learn more about Credit/Debit Cards</a>	<a href="#">Learn more about Deposit Accounts</a>	<a href="#">Learn more about EFTs</a>



# Electronic Funds Transfer Setup

fees.uspto.gov/FinancialManager/add/eft

uspto  
Financial Manager

Financial Manager - Patient Maintenance Fees - Help

Add an Electronic Funds Transfer (EFT) Approved for use through 3/31/2021. [View Help Topics](#)

Required fields \*

If you believe someone in your organization has already added the EFT to their Financial Manager profile you may consider asking that user to grant you permission to the payment method. Using the permission option means that you may not be using the payment method immediately and can avoid the 8 Business Day authentication process.

### EFT Details

Nickname  You can enter a custom nickname.

Name of Financial Institution \*  Only United States bank accounts can be used to make payments at USPTO.

Account Type \*  
 Checking  
 Savings

Account Classification \*  
 Business  
 Personal

Name on Bank Account \*

Routing Number \*

Confirm Routing Number \*

Bank Account Number \*

Confirm Bank Account Number \*

### Correspondence Address

Attention Line

Address Line 1 \*

Address Line 2

Country \*

City \*

State / Region \*

Zip / Postal Code \*

# Key Points To Know

You must file a PTAB AIA Petition using the **PTABE2E** system.

Filing the Petition requires entry of all Formal Details relating to the Petition.

You do not get a Petition filing date until the PTO receives both the Petition and Petition Fee.

Paying the Petition Fee requires a **USPTO FM Account**, linked to either a **USPTO Deposit Account** or a **Bank Account** having sufficient funds. Linking a Bank Account to an FM Account takes (at least) **8 days**.