

| | | |
|---|--|---|
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 | | Attorney Docket No. PLIUCC-PT010 |
| | | U.S. Application No. (if known, see 37 CFR 1.5) |
| International Application No. PCT/EP2011/068240 | International Filing Date 19 October 2011 | Priority Date Claimed 19 October 2010 |
| Title of Invention A LIGHT SOURCE | | |
| First Named Inventor Peter O'BRIEN | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information. | | |
| <p>1. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). NOTE: The express request under 35 U.S.C. 371(f) will not be effective unless the requirements under 35 U.S.C. 371(c)(1), (2), and (4) for payment of the basic national fee, copy of the International Application and English translation thereof (if required), and the oath or declaration of the inventor(s) have been received.</p> <p>2. <input checked="" type="checkbox"/> A copy of the International Application (35 U.S.C. 371(c)(2)) is attached hereto (not required if the International Application was previously communicated by the International Bureau or was filed in the United States Receiving Office (RO/US)).</p> <p>3. An English language translation of the International Application (35 U.S.C. 371(c)(2))</p> <p>a. <input type="checkbox"/> is attached hereto.</p> <p>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>4. An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4))</p> <p>a. <input type="checkbox"/> is attached.</p> <p>b. <input type="checkbox"/> was previously filed in the international phase under PCT Rule 4.17(iv).</p> | | |
| Items 5 to 8 below concern amendments made in the international phase. | | |
| <u>PCT Article 19 and 34 amendments</u> | | |
| <p>5. <input type="checkbox"/> Amendments to the claims under PCT Article 19 are attached (not required if communicated by the International Bureau) (35 U.S.C. 371(c)(3)).</p> <p>6. <input type="checkbox"/> English translation of the PCT Article 19 amendment is attached (35 U.S.C. 371(c)(3)).</p> <p>7. <input type="checkbox"/> English translation of annexes (Article 19 and/or 34 amendments only) of the International Preliminary Examination Report is attached (35 U.S.C. 371(c)(5)).</p> | | |
| <u>Cancellation of amendments made in the international phase</u> | | |
| <p>8a. <input type="checkbox"/> Do not enter the amendment made in the international phase under PCT Article 19.</p> <p>8b. <input type="checkbox"/> Do not enter the amendment made in the international phase under PCT Article 34.</p> | | |
| NOTE: A proper amendment made in English under Article 19 or 34 will be entered in the U.S. national phase application absent a clear instruction from applicant not to enter the amendment(s). | | |
| The following items 9 to 17 concern a document(s) or information included. | | |
| <p>9. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>10. <input checked="" type="checkbox"/> A preliminary amendment.</p> <p>11. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>12. <input type="checkbox"/> A substitute specification. NOTE: A substitute specification cannot include claims. See 37 CFR 1.125(b).</p> <p>13. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>14. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.3 and 37 CFR 1.821-1.825.</p> <p>15. <input type="checkbox"/> Assignment papers (<i>cover sheet and document(s)</i>). Name of Assignee: _____</p> <p>16. <input type="checkbox"/> 37 CFR 3.73(c) Statement (<i>when there is an Assignee</i>).</p> | | |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | |
|---|---|--|
| U.S. APPLN. No. (if known – see 37 CFR 1.5) | INTERNATIONAL APPLICATION No. PCT/EP2011/068240 | ATTORNEY DOCKET No. PLIUCC-PT010 |
| 17. <input checked="" type="checkbox"/> Other items or information: PCT/EP2011/068240 Notification of Transmittal of The International Search Report International Search Report Written Opinion of the International Searching Authority | | |
| The following fees have been submitted. | | CALCULATIONS PTO USE ONLY |
| 18. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a)) \$280 | | \$ 280 |
| 19. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$0 All other situations \$720 | | \$ 720 |
| 20. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$120 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB \$480 All other situations \$600 | | \$ 480 |
| TOTAL OF 18, 19, and 20 = | | \$ 1480 |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) in an electronic medium or computer program listing in an electronic medium) (37 CFR 1.492(j)). Fee for each additional 50 sheets of paper or fraction thereof \$400 | | |
| Total Sheets | Extra Sheets | RATE |
| 20 | - 100 = | x \$400 |
| | | \$ |
| Surcharge of \$140.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)). | | \$ |
| CLAIMS | NUMBER FILED | NUMBER EXTRA |
| Total claims | 15 | - 20 = |
| | | x \$80 |
| | | \$ |
| Independent claims | 2 | - 3 = |
| | | x \$420 |
| | | \$ |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | + \$780 |
| | | \$ |
| Processing fee of \$140.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)). | | + |
| | | \$ |
| TOTAL OF ABOVE CALCULATIONS = | | \$ 1480 |
| <input checked="" type="checkbox"/> Applicant asserts small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2. | | \$740 |
| <input type="checkbox"/> Applicant certifies micro entity status. See 37 CFR 1.29. Fees above are reduced by 3/4. Applicant must attach form PTO/SB/15A or B or equivalent. | | |
| TOTAL NATIONAL FEE = | | \$ |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property. | | + |
| | | \$ |
| TOTAL FEES ENCLOSED = | | \$740 |
| | | Amount to be refunded: |
| | | \$ |
| | | Amount to be charged: |
| | | \$ |

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
- c. The Director is hereby authorized to charge additional fees which may be required, or credit any overpayment, to Deposit Account No. 220483 as follows:
- i. any required fee.
- ii. any required fee except for excess claims fees required under 37 CFR 1.492(d) and (e) and multiple dependent claim fee required under 37 CFR 1.492(f).
- d. Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. The PTO-2038 should only be mailed or faxed to the USPTO. However, when paying the basic national fee, the PTO-2038 may NOT be faxed to the USPTO.

ADVISORY: If filing by EFS-Web, do NOT attach the PTO-2038 form as a PDF along with your EFS-Web submission. Please be advised that this is not recommended and by doing so your credit card information may be displayed via PAIR. To protect your information, it is recommended to pay fees online by using the electronic payment method.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

Statement under 37 CFR 1.55 or 1.76 for AIA (First Inventor to File) Transition Applications

- This application (1) claims priority to or the benefit of an application filed before March 16, 2013, and (2) also contains, or contained at any time, a claim to a claimed invention that has an effective filing date on or after March 16, 2013.

NOTE: A U.S. national stage application may not claim priority to the international application of which it is the national phase. The filing date of a U.S. national stage application is the international filing date. See 35 U.S.C. 363.

Correspondence Address

- The address associated with Customer Number: 03624 OR Correspondence address below

| | | | | | |
|---------|--|-------|--|-----------|--|
| Name | | | | | |
| Address | | | | | |
| City | | State | | Zip Code | |
| Country | | | | Telephone | |
| Email | | | | | |

| | | | |
|----------------------|---------------------|--------------------------------------|---------------|
| Signature | /Stephen B. Schott/ | Date | 19 April 2013 |
| Name (Print/Type) | Stephen B. Schott | Registration No. (Attorney/Agent) | 51,294 |

Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.