

## **DOCX Filing Tips & Best Practices**

### **Recommendations or Suggestions**

- **Use proper headings**

- Use of Proper headings is critical for original filings, preliminary amendments, and follow
- Headings should be on a line by themselves
- Heading should be on the first line for the claims, abstract, and drawings sections
- Specification section can be detected if one valid heading is present
- Supported headings can be found on the DOCX information page in the DOCX Resources section

- **Verify the detected sections (specification, claims, abstract and/or drawings) pre-submission**

- **Check the feedback document which contains a summary and pinpoints the locations of warnings or errors**

- **Auxiliary PDFs**

- Upload DOCX document first
- Do not upload a PDF copy of the application in the regular document upload section
- Use the specific section to upload the auxiliary PDF
- Only one auxiliary PDF may be uploaded, but the uploaded auxiliary PDF may contain **BOTH** the original and preliminary amendment.

## DOCX Filing Tips & Best Practices

### Recommendations or Suggestions

- **Use supported fonts and equation tools**
    - equation editing software, such Equation.DSMT4 and Equation.3
    - chemical structure editing software, such as ChemDraw, OLE Objects including Visio.Drawing.11, and ACD.ChemSketch.20, ChemDraw.Document.6.0
  - A list of supported fonts is located on the DOCX information page in the DOCX Resources section
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- **Multi-section DOCX documents**  
**(specification, claims, abstract and/or drawings in a single document)**
    - Receives an "Application body structured text document" document description (Do NOT override the assigned document description)
    - App.text doc code is assigned to the document
    - Use a single section document description (e.g., specification) only if the document does not contain any other sections
    - Application parts (specification, claims, abstract, drawings) are automatically detected and split when proper section headings are used

## **DOCX Filing Tips & Best Practices**

### **Recommendations or Suggestions**

- **Preliminary Amendments**

- In accordance with 37 CFR 1.115(a), a preliminary amendment that is present on the filing date of an application is part of the original disclosure of the application.
- To avoid the non-DOCX surcharge for preliminarily amendments filed under 35 U.S.C. 111(a) on the same day,
  - File the preliminary amendment as a follow-on submission; and
  - File the preliminary amendment in DOCX format

## **DOCX Filing Tips & Best Practices**

### **Recommendations or Suggestions**

- **Amendments**

- Can include a valid main amendment heading on an amendment cover page
- Amendment cover page should also include a subheading, such as:
  - Response to non-final office action
  - Amendment after final rejection
- Should also include valid section headings, such as:
  - Amendment to the Specification
  - Amendment to the Claims
  - Remarks
- Supported headings can be found on the DOCX Information page in the DOCX Resources section

## Best Practices to Avoid Common DOCX Warnings and Errors

Warnings or Errors	Recommendations or Suggestions
The attached document contains fonts that are not recognized by the system. Please correct the fonts in the document before proceeding.	To prevent this error, please use the recommended fonts listed on our <a href="#">DOCX information page</a> . Please also check your equations/formulas for incorrect fonts.
Word count in abstract section is over 150 words.	To prevent this warning please use a word count tool if available and ensure the number of words in the abstract is 150 words or less.
The margins of the attached document do not meet USPTO rules. This may cause processing errors or delays.	To prevent this error, please make sure your margins meet the USPTO requirements. <a href="#">See Patent Rules 1.52.</a>
Non-numerical claim numbers were detected. Please correct the document and reattach. You can view the location of the warnings/errors in docx here.	This warning is usually caused when the claim numbers are included brackets and/or are not followed by a period. Having steps starting with brackets/parentheses or letters within the claims may also generate this warning. Please see the sample templates on our <a href="#">DOCX information page</a> for an example of properly formatted claim numbers.
This document contains user information fields and cannot be processed.	This error is usually caused by an automated field that is not allowed. Please review your document for any automated fields and remove before proceeding with filing. To remove automated fields, Press CTRL+A on your keyboard to select all the text within the document. Right-click, then click Toggle Field Codes. Press CTRL+SHIFT+F9 on your keyboard. This will remove the field codes, replacing them with the text they contained.
Only one specification document is allowed.	This error is usually caused when filing a preliminary amendment with your initial filing. Please only file the initial specification during the initial filing and then file the amended specification or English translation as a follow-on.

Best Practices to Avoid Common DOCX Warnings and Errors	
Warnings or Errors	Recommendations or Suggestions
This document contains fields that reference bookmarks and cannot be processed because bookmarks are not allowed.	This error is caused by a reference bookmark that is not allowed. Please review your document and remove any fields that reference bookmarks.
The orientation of the document is not portrait which may not be rendered correctly by the USPTO. Please correct by changing the orientation to portrait.	Landscape orientation documents are not allowed. Please remove the uploaded document and change it to portrait orientation and then re-upload to avoid this error.
The document contains OLE objects that are currently not supported. These objects may not be visible in your application documents.	Please review/remove your embedded object or image and re-upload a supported OLE object to avoid this error. Supported OLE Objects include Visio.Drawing.11, Equation.DSMT4, ACD.ChemSketch.20, ChemDraw.Document.6.0, Equation.3. A complete listing is located in the <a href="#">DOCX user guide</a> .
This document contains content controls and cannot be processed.	This error is caused by a content control that is not allowed. Please review your document and remove all content controls. To remove the content controls, go to the developer tab, then Select/Highlight the content control, then right click and select remove content control. Note: If the developer tab is not available on the menu bar, you may have to add it.
<p>Bookmarks were found and have been removed.</p> <p>Text decorations were found and have been removed.</p> <p>Hidden items were found and have been removed.</p> <p>Comments were found and have been removed.</p> <p>Dynamic dates have been converted to static dates.</p>	Bookmarks, text decorations, hidden items, and comments are not allowed and dynamic dates are converted to static dates. These elements are also automatically removed. To prevent these warnings please do not include these elements in your DOCX document.