



C.PCT 1012

- 41

December 14, 2004

Madam,  
Sir,

*Proposed modifications of Forms relating to Receiving Offices, International Searching Authorities and International Preliminary Examining Authorities*

This circular is addressed to your Office in its capacity as receiving Office (RO), International Searching Authority (ISA), International Preliminary Examining Authority (IPEA) and/or designated and/or elected Office under the Patent Cooperation Treaty (PCT) for the purpose of consultation under Rule 89.2(b). It is also addressed to certain intergovernmental and non-governmental organizations.

This circular concerns proposed modifications to specific PCT forms relating to ROs, ISAs and IPEAs in order to take into account amendments of the Regulations under the PCT adopted by the PCT Assembly at its thirty-third (19<sup>th</sup> extraordinary) session held from September 27 to October 5, 2004 (see document PCT/A/33/7), which will enter into force on April 1, 2005. The amendments of the Regulations concern the introduction of a late furnishing fee in respect of sequence listings, a simplified protest procedure in case of non-unity of invention and certain corrigenda and consequential amendments to the Regulations as in force from January 1, 2004.

The proposals also take into account proposed modifications to the existing written opinion of the ISA (Form PCT/ISA/237), which were introduced during the tenth session of the Meeting of International Authorities under the PCT (PCT/MIA) held from September 13 to 15, 2004 (see document PCT/MIA/10/11) as well as certain other corrections to Forms which have been modified as a consequence of the amendments to the Regulations under the PCT which entered into force on January 1, 2003.

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- Detailed explanations of the proposed modifications are set out in Annex I of this Circular. The proposed modified Forms are set out in Annex II (RO Forms), Annex III (RO/IB Forms), Annex IV (ISA Forms) and Annex V (IPEA Forms) of this Circular (the modifications are identified by vertical lines in the right or left margin of the sheets concerned).

*Comments on the proposed modifications to the Forms*

Noting that the modified Forms should be promulgated with effect from April 1, 2005, and that further consultation may be required after consideration of the comments received in response to this Circular, you are invited to provide comments, if any, to the International Bureau by February 1, 2005, preferably by fax to (+41-22) 910 00 30 or by email to [pct.legal@wipo.int](mailto:pct.legal@wipo.int).

Yours sincerely,



Francis Gurry  
Deputy Director General

Enclosures: Annex I—Detailed explanations of the proposed modifications to certain RO, ISA and IPEA Forms

Annex II—Proposed modified Forms PCT/RO/101 and PCT/RO/157

Annex III—Proposed modified Forms PCT/RO/198 (RO/IB) and PCT/RO/199 (RO/IB)

Annex IV—Proposed modified Forms PCT/ISA/201, PCT/ISA/202, PCT/ISA/203, PCT/ISA/206, PCT/ISA/210, PCT/ISA/212, PCT/ISA/225 and PCT/ISA/237. Form PCT/ISA/228 is proposed to be deleted.

Annex V—Proposed modified Forms PCT/IPEA/401, PCT/IPEA/405, PCT/IPEA/408, PCT/IPEA/409, PCT/IPEA/420 and PCT/IPEA/441. Form PCT/IPEA/437 is proposed to be deleted.

DETAILED EXPLANATIONS OF THE PROPOSED MODIFICATIONS TO  
CERTAIN RECEIVING OFFICE, INTERNATIONAL SEARCHING  
AUTHORITY AND INTERNATIONAL EXAMINING AUTHORITY FORMS

*General comment*

The International Bureau proposes a number of minor editorial and layout changes with a view to, as the case may be, harmonize, simplify and make the Forms more readable. One such example is to replace all references to “computer readable” and “written” form to “electronic” and “paper” form, respectively. Such changes are not explained in detail below but they are all identified by a vertical line in the right or left margin of the sheets concerned.

*Detailed comments on specific Forms*

(a) *PCT/RO/101 (the “Request”)*

Apart from minor editorial changes, in Box Nos. II and III on page 1 of the Notes to the Request Form, the reference to the Rule is proposed to be corrected from Rule 4.1(a)(v) to Rule 4.1(a)(iv).

(b) *PCT/RO/157 (“Invitation to Furnish Translation of International Application and to Pay, Where Applicable, Late Furnishing Fee”)*

This Form was created to implement amended Rule 12.4 which came into force on January 1, 2003. Since the applicable time limit to furnish a translation of the international application and to pay the late furnishing fee under Rule 12.4 is calculated on the basis of the priority date, a new section block is proposed to be added to allow indication of the priority date next to the international filing date.

(c) *PCT/ISA/201 (“International-Type Search Report”)*

Following the amendments of Rules 40.1 and 40.2, the “Remark on Protest” in Box No. III is proposed to provide for the possibility to refer to the payment of the protest fee or lack thereof.

(d) *PCT/ISA/202 (“Notification of Receipt of Search Copy”)*

A new item 3 is proposed to be added to reflect that, under Part 8 of the Administrative Instructions, a sequence listing or tables related thereto in electronic form could be a part of the search copy rather than being furnished as a separate copy under Rule 13*ter*.

(e) *PCT/ISA/203 (“Declaration of Non-Establishment of International Search Report”)*

(i) The text of item 3 is proposed to be modified and a new box is added to reflect provisions for the late furnishing fee for submitting a sequence listing in response to an invitation under Rule 13*ter*.1.

(ii) The text of item 4 is proposed to be modified to clarify that an ISA may only require applicants to furnish an electronic copy of tables related to sequence listings under Section 802 (b-*quater*).

(f) *PCT/ISA/206 (“Invitation to Pay Additional Fees and Protest Fee”)*

The title of this form is proposed to be modified and a new item 3 is added to reflect provisions for payment to the ISA of a protest fee under amended Rules 40.1 and 40.2.

(g) *PCT/ISA/210 (“International Search Report”)*

Following the amendments of Rules 40.1 and 40.2, the “Remark on Protest” in Box No. III is proposed to provide for the possibility to refer to the payment of the protest fee or lack thereof.

(h) *PCT/ISA/212 (“Notification of Decision on Protest or Declaration That Protest Considered Not To Have Been Made”)*

In the title of this form and its content throughout, modifications are proposed to reflect changes to the protest procedure before the ISA and the requirement of payment of a protest fee in case of lack of unity of invention.

(i) *PCT/ISA/225 (“Invitation to Furnish Nucleotide and/or Amino Acid Sequence Listing and/or Tables Related Thereto Complying with Standard and/or Technical Requirements”)*

A new item 2 is proposed to be added to reflect provisions for the late furnishing fee for submitting a sequence listing in response to an invitation under Rule 13*ter*.1.

(j) *PCT/ISA/228 (“Notification Regarding Review of Justification for Invitation to Pay Additional Search Fees”)*

This form is proposed to be deleted in light of the proposed modifications to Form PCT/ISA/206.

(k) *PCT/ISA/237 (“Written Opinion of the International Searching Authority”)*

(i) The text of item 1 in Box No. II is proposed to be modified to reflect changes agreed to by the PCT/MIA held from September 13 to 15, 2004. It was recognized that there was a potential for confusion in comprehending indications made in item 1 of Box No. II. This would arise particularly where the ISA wished to indicate that a copy of the earlier application (the priority document) or a translation thereof was not in the possession of that Authority even though the priority document had been furnished by the applicant or was otherwise available to the receiving Office or the International Bureau.

(ii) The text and format in Box No. III is proposed to be modified and a new item is added to reflect provisions for the late furnishing fee for submitting a sequence listing in response to an invitation under Rule 13*ter*.1.

(iii) Modifications to item 1 in Box No. IV are proposed to add provisions for the payment of a protest fee in response to an invitation concerning lack of unity of invention.

(l) *PCT/IPEA/401 (the “Demand”)*

Item 3 of Box No. IV and the corresponding text on page 2 of the Notes to the Demand Form are proposed to be modified to reflect the amendment to Rule 69.1(d)(iii) concerning international applications wherein an IPEA which is also the ISA wishes to begin the international preliminary examination at the same time as the international search in accordance with Rule 69.1(b).

(m) *PCT/IPEA/405 (“Invitation to Restrict or Pay Additional Fees, and Protest Fee”)*

The title of this form is proposed to be modified and a new item 3 is proposed to be added to reflect changes to the protest procedure and the requirement of payment to the IPEA of a protest fee in case of lack of unity of invention.

(n) *PCT/IPEA/408 (“Written Opinion of the International Preliminary Examination Authority”)*

(i) The text and format in Box No. III is proposed to be modified and a new item is proposed to be added to reflect provisions for the late furnishing fee for submitting a sequence listing in response to an invitation under Rules 13*ter*.1 and 13*ter*.2.

(ii) Modifications to item 1 of Box No. IV are proposed to be added to reflect changes to the protest procedure and the requirement of payment of a protest fee in case of lack of unity of invention.

(o) *PCT/IPEA/409 (“International Preliminary Report on Patentability”)*

(i) The text and format in Box No. III is proposed to be modified and a new item is proposed to be added to reflect provisions for the late furnishing fee for submitting a sequence listing in response to an invitation under Rules 13*ter*.1 and 13*ter*.2.

(ii) Modifications to item 1 of Box No. IV are proposed to be added to reflect changes to the protest procedure and the requirement of payment of a protest fee in case of lack of unity of invention.

(p) *PCT/IPEA/420 (“Notification of Decision on Protest or Declaration That Protest Considered Not To Have Been Made”)*

In the title of this form and its content throughout, modifications are proposed to reflect changes to the protest procedure before the IPEA and the requirement of payment of a protest fee in case of lack of unity of invention.

(q) *PCT/IPEA/437 (“Invitation to Pay Protest Fee”)*

This form is proposed to be deleted in light of the proposed modifications to Form PCT/IPEA/405.

(r) *PCT/IPEA/441 (“Invitation to Furnish Nucleotide and/or Amino Acid Sequence Listing and/or Tables Related Thereto Complying with Standard and/or Technical Requirements”)*

A new item 2 is proposed to be added to reflect provisions for the late furnishing fee for submitting a sequence listing in response to an invitation under Rules 13*ter*.1 and 13*ter*.2.

[Annex II follows]

**PCT****REQUEST**

The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty.

For receiving Office use only

International Application No.

International Filing Date

Name of receiving Office and "PCT International Application"

Applicant's or agent's file reference  
(if desired) (12 characters maximum)

<b>Box No. I TITLE OF INVENTION</b>	
<b>Box No. II APPLICANT</b> <input type="checkbox"/> This person is also inventor	
Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)	Telephone No.
	Facsimile No.
	Teleprinter No.
	Applicant's registration No. with the Office
State (that is, country) of nationality:	State (that is, country) of residence:
This person is applicant for the purposes of: <input type="checkbox"/> all designated States <input type="checkbox"/> all designated States except the United States of America <input type="checkbox"/> the United States of America only <input type="checkbox"/> the States indicated in the Supplemental Box	
<b>Box No. III FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S)</b>	
Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)	This person is: <input type="checkbox"/> applicant only <input type="checkbox"/> applicant and inventor <input type="checkbox"/> inventor only (If this check-box is marked, do not fill in below.)
	Applicant's registration No. with the Office
	State (that is, country) of nationality:
This person is applicant for the purposes of: <input type="checkbox"/> all designated States <input type="checkbox"/> all designated States except the United States of America <input type="checkbox"/> the United States of America only <input type="checkbox"/> the States indicated in the Supplemental Box	
<input type="checkbox"/> Further applicants and/or (further) inventors are indicated on a continuation sheet.	
<b>Box No. IV AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE</b>	
The person identified below is hereby/has been appointed to act on behalf of the applicant(s) before the competent International Authorities as: <input type="checkbox"/> agent <input type="checkbox"/> common representative	
Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)	Telephone No.
	Facsimile No.
	Teleprinter No.
	Agent's registration No. with the Office
<input type="checkbox"/> <b>Address for correspondence:</b> Mark this check-box where no agent or common representative is/has been appointed and the space above is used instead to indicate a special address to which correspondence should be sent.	

Sheet No. . . . .

<b>Continuation of Box No. III FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S)</b> <i>If none of the following sub-boxes is used, this sheet should not be included in the request.</i>	
Name and address: <i>(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)</i>	This person is: <input type="checkbox"/> applicant only <input type="checkbox"/> applicant and inventor <input type="checkbox"/> inventor only <i>(If this check-box is marked, do not fill in below.)</i>
Applicant's registration No. with the Office	
State <i>(that is, country)</i> of nationality:	State <i>(that is, country)</i> of residence:
This person is applicant for the purposes of: <input type="checkbox"/> all designated States <input type="checkbox"/> all designated States except the United States of America <input type="checkbox"/> the United States of America only <input type="checkbox"/> the States indicated in the Supplemental Box	
Name and address: <i>(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)</i>	This person is: <input type="checkbox"/> applicant only <input type="checkbox"/> applicant and inventor <input type="checkbox"/> inventor only <i>(If this check-box is marked, do not fill in below.)</i>
Applicant's registration No. with the Office	
State <i>(that is, country)</i> of nationality:	State <i>(that is, country)</i> of residence:
This person is applicant for the purposes of: <input type="checkbox"/> all designated States <input type="checkbox"/> all designated States except the United States of America <input type="checkbox"/> the United States of America only <input type="checkbox"/> the States indicated in the Supplemental Box	
Name and address: <i>(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)</i>	This person is: <input type="checkbox"/> applicant only <input type="checkbox"/> applicant and inventor <input type="checkbox"/> inventor only <i>(If this check-box is marked, do not fill in below.)</i>
Applicant's registration No. with the Office	
State <i>(that is, country)</i> of nationality:	State <i>(that is, country)</i> of residence:
This person is applicant for the purposes of: <input type="checkbox"/> all designated States <input type="checkbox"/> all designated States except the United States of America <input type="checkbox"/> the United States of America only <input type="checkbox"/> the States indicated in the Supplemental Box	
Name and address: <i>(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)</i>	This person is: <input type="checkbox"/> applicant only <input type="checkbox"/> applicant and inventor <input type="checkbox"/> inventor only <i>(If this check-box is marked, do not fill in below.)</i>
Applicant's registration No. with the Office	
State <i>(that is, country)</i> of nationality:	State <i>(that is, country)</i> of residence:
This person is applicant for the purposes of: <input type="checkbox"/> all designated States <input type="checkbox"/> all designated States except the United States of America <input type="checkbox"/> the United States of America only <input type="checkbox"/> the States indicated in the Supplemental Box	
<input type="checkbox"/> Further applicants and/or (further) inventors are indicated on another continuation sheet.	



Sheet No. . . . .

**Supplemental Box***If the Supplemental Box is not used, this sheet should not be included in the request.*

1. *If, in any of the Boxes, except Boxes Nos. VIII(i) to (v) for which a special continuation box is provided, **the space is insufficient** to furnish all the information: in such case, write "Continuation of Box No...." (indicate the number of the Box) and furnish the information in the same manner as required according to the captions of the Box in which the space was insufficient, in particular:
 
  - (i) **if more than two persons are to be indicated as applicants and/or inventors** and no "continuation sheet" is available: in such case, write "Continuation of Box No. III" and indicate for each additional person the same type of information as required in Box No. III. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below;
  - (ii) if, in Box No. II or in any of the sub-boxes of Box No. III, the indication "**the States indicated in the Supplemental Box**" is checked: in such case, write "Continuation of Box No. II" or "Continuation of Box No. III" or "Continuation of Boxes No. II and No. III" (as the case may be), indicate the name of the applicant(s) involved and, next to (each) such name, the State(s) (and/or, where applicable, ARIPO, Eurasian, European or OAPI patent) for the purposes of which the named person is applicant;
  - (iii) if, in Box No. II or in any of the sub-boxes of Box No. III, **the inventor or the inventor/applicant is not inventor for the purposes of all designated States or for the purposes of the United States of America**: in such case, write "Continuation of Box No. II" or "Continuation of Box No. III" or "Continuation of Boxes No. II and No. III" (as the case may be), indicate the name of the inventor(s) and, next to (each) such name, the State(s) (and/or, where applicable, ARIPO, Eurasian, European or OAPI patent) for the purposes of which the named person is inventor;
  - (iv) if, in addition to the agent(s) indicated in Box No. IV, there are **further agents**: in such case, write "Continuation of Box No. IV" and indicate for each further agent the same type of information as required in Box No. IV;
  - (v) if, in Box No. VI, there are **more than three earlier applications whose priority is claimed**: in such case, write "Continuation of Box No. VI" and indicate for each additional earlier application the same type of information as required in Box No. VI.*
2. *If the applicant intends to make an indication of the wish that the international application be treated, in certain designated States, as an application for a patent of addition, certificate of addition, inventor's certificate of addition or utility certificate of addition: in such a case, write the name or two-letter code of each designated State concerned and the indication "**patent of addition**," "**certificate of addition**," "**inventor's certificate of addition**" or "**utility certificate of addition**," the number of the parent application or parent patent or other parent grant and the date of grant of the parent patent or other patent grant or the date of filing of the parent application (Rules 4.11(a)(iii) and 49bis.1(a) or (b)).*
3. *If the applicant intends to make an indication of the wish that the international application be treated, in the United States of America, as a continuation or continuation-in-part of an earlier application: in such a case, write "United States of America" or "US" and the indication "**continuation**" or "**continuation-in-part**" and the number and the filing date of the parent application (Rules 4.11(a)(iv) and 49bis.1(d)).*

Sheet No. . . . .

<b>Box No. V DESIGNATIONS</b>				
The filing of this request <b>constitutes under Rule 4.9(a), the designation</b> of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents. However,				
<input type="checkbox"/> DE Germany <b>is not designated</b> for any kind of national protection				
<input type="checkbox"/> KR Republic of Korea <b>is not designated</b> for any kind of national protection				
<input type="checkbox"/> RU Russian Federation <b>is not designated</b> for any kind of national protection				
<i>(The check-boxes above may be used to exclude (irrevocably) the designations concerned in order to avoid the ceasing of the effect, under the national law, of an earlier national application from which priority is claimed. See the Notes to Box No. V as to the consequences of such national law provisions in these and certain other States.)</i>				
<b>Box No. VI PRIORITY CLAIM</b>				
The priority of the following earlier application(s) is hereby claimed:				
Filing date of earlier application <i>(day/month/year)</i>	Number of earlier application	Where earlier application is:		
		national application: country or Member of WTO	regional application: * regional Office	international application: receiving Office
item (1)				
item (2)				
item (3)				
<input type="checkbox"/> Further priority claims are indicated in the Supplemental Box.				
The receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the earlier application(s) <i>(only if the earlier application was filed with the Office which for the purposes of this international application is the receiving Office)</i> identified above as:				
<input type="checkbox"/> all items <input type="checkbox"/> item (1) <input type="checkbox"/> item (2) <input type="checkbox"/> item (3) <input type="checkbox"/> other, see Supplemental Box				
* Where the earlier application is an ARIPO application, indicate at least one country party to the Paris Convention for the Protection of Industrial Property or one Member of the World Trade Organization for which that earlier application was filed (Rule 4.10(b)(ii)): . . . . .....				
<b>Box No. VII INTERNATIONAL SEARCHING AUTHORITY</b>				
<b>Choice of International Searching Authority (ISA)</b> <i>(if two or more International Searching Authorities are competent to carry out the international search, indicate the Authority chosen; the two-letter code may be used):</i> ISA / .....				
<b>Request to use results of earlier search; reference to that search</b> <i>(if an earlier search has been carried out by or requested from the International Searching Authority):</i>				
Date <i>(day/month/year)</i>	Number	Country <i>(or regional Office)</i>		
<b>Box No. VIII DECLARATIONS</b>				
The following <b>declarations</b> are contained in Boxes Nos. VIII (i) to (v) <i>(mark the applicable check-boxes below and indicate in the right column the number of each type of declaration):</i>				Number of declarations
<input type="checkbox"/> Box No. VIII (i)	Declaration as to the identity of the inventor			:
<input type="checkbox"/> Box No. VIII (ii)	Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent			:
<input type="checkbox"/> Box No. VIII (iii)	Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application			:
<input type="checkbox"/> Box No. VIII (iv)	Declaration of inventorship (only for the purposes of the designation of the United States of America)			:
<input type="checkbox"/> Box No. VIII (v)	Declaration as to non-prejudicial disclosures or exceptions to lack of novelty			:

Sheet No. . . . .

**Box No. VIII (i) DECLARATION: IDENTITY OF THE INVENTOR**

*The declaration must conform to the standardized wording provided for in Section 211; see Notes to Boxes Nos. VIII, VIII (i) to (v) (in general) and the specific Notes to Box No. VIII (i). If this Box is not used, this sheet should not be included in the request.*

Declaration as to the identity of the inventor (Rules 4.17(i) and 51bis.1(a)(i)):

This declaration is continued on the following sheet, "Continuation of Box No. VIII (i)".

Sheet No. . . . .

**Box No. VIII (ii) DECLARATION: ENTITLEMENT TO APPLY FOR AND BE GRANTED A PATENT**

*The declaration must conform to the standardized wording provided for in Section 212; see Notes to Boxes Nos. VIII, VIII (i) to (v) (in general) and the specific Notes to Box No.VIII (ii). If this Box is not used, this sheet should not be included in the request.*

Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent (Rules 4.17(ii) and 51bis.1(a)(ii)), in a case where the declaration under Rule 4.17(iv) is not appropriate:

This declaration is continued on the following sheet, "Continuation of Box No. VIII (ii)".

Sheet No. . . . .

**Box No. VIII (iii) DECLARATION: ENTITLEMENT TO CLAIM PRIORITY**

*The declaration must conform to the standardized wording provided for in Section 213; see Notes to Boxes Nos. VIII, VIII (i) to (v) (in general) and the specific Notes to Box No.VIII (iii). If this Box is not used, this sheet should not be included in the request.*

Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application specified below, where the applicant is not the applicant who filed the earlier application or where the applicant's name has changed since the filing of the earlier application (Rules 4.17(iii) and 51bis.1(a)(iii)):

This declaration is continued on the following sheet, "Continuation of Box No. VIII (iii)".

Sheet No. . . . .

**Box No. VIII (iv) DECLARATION: INVENTORSHIP (only for the purposes of the designation of the United States of America)**  
*The declaration must conform to the following standardized wording provided for in Section 214; see Notes to Boxes Nos. VIII, VIII (i) to (v) (in general) and the specific Notes to Box No. VIII (iv). If this Box is not used, this sheet should not be included in the request.*

**Declaration of inventorship (Rules 4.17(iv) and 51bis.1(a)(iv))  
for the purposes of the designation of the United States of America:**

I hereby declare that I believe I am the original, first and sole (if only one inventor is listed below) or joint (if more than one inventor is listed below) inventor of the subject matter which is claimed and for which a patent is sought.

This declaration is directed to the international application of which it forms a part (if filing declaration with application).

This declaration is directed to international application No. PCT/ . . . . . (if furnishing declaration pursuant to Rule 26ter).

I hereby declare that my residence, mailing address, and citizenship are as stated next to my name.

I hereby state that I have reviewed and understand the contents of the above-identified international application, including the claims of said application. I have identified in the request of said application, in compliance with PCT Rule 4.10, any claim to foreign priority, and I have identified below, under the heading "Prior Applications," by application number, country or Member of the World Trade Organization, day, month and year of filing, any application for a patent or inventor's certificate filed in a country other than the United States of America, including any PCT international application designating at least one country other than the United States of America, having a filing date before that of the application on which foreign priority is claimed.

Prior Applications: . . . . .  
. . . . .

I hereby acknowledge the duty to disclose information that is known by me to be material to patentability as defined by 37 C.F.R. § 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the PCT international filing date of the continuation-in-part application.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**Name:** . . . . .

**Residence:** . . . . .  
(city and either US state, if applicable, or country)

**Mailing Address:** . . . . .  
. . . . .

**Citizenship:** . . . . .

**Inventor's Signature:** . . . . .  
(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

**Date:** . . . . .  
(of signature which is not contained in the request, or of the declaration that is corrected or added under Rule 26ter after the filing of the international application)

**Name:** . . . . .

**Residence:** . . . . .  
(city and either US state, if applicable, or country)

**Mailing Address:** . . . . .  
. . . . .

**Citizenship:** . . . . .

**Inventor's Signature:** . . . . .  
(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

**Date:** . . . . .  
(of signature which is not contained in the request, or of the declaration that is corrected or added under Rule 26ter after the filing of the international application)

This declaration is continued on the following sheet, "Continuation of Box No. VIII (iv)".

Sheet No. . . . .

**Box No. VIII (v) DECLARATION: NON-PREJUDICIAL DISCLOSURES OR EXCEPTIONS TO LACK OF NOVELTY**

*The declaration must conform to the standardized wording provided for in Section 215; see Notes to Boxes Nos. VIII, VIII (i) to (v) (in general) and the specific Notes to Box No. VIII (v). If this Box is not used, this sheet should not be included in the request.*

Declaration as to non-prejudicial disclosures or exceptions to lack of novelty (Rules 4.17(v) and 51bis.1(a)(v)):

This declaration is continued on the following sheet, "Continuation of Box No. VIII (v)".

Sheet No. . . . .

**Continuation of Box No. VIII (i) to (v) DECLARATION**

*If the space is insufficient in any of Boxes Nos. VIII (i) to (v) to furnish all the information, including in the case where **more than two inventors are to be named** in Box No. VIII (iv), in such case, write "Continuation of Box No. VIII ..." (indicate the item number of the Box) and furnish the information in the same manner as required for the purposes of the Box in which the space was insufficient. If additional space is needed in respect of two or more declarations, a separate continuation box must be used for each such declaration. If this Box is not used, this sheet should not be included in the request.*



Sheet No. . . . .

<b>Box No. IX CHECK LIST; LANGUAGE OF FILING</b>		
<p>This international application <b>contains</b>:</p> <p>(a) <b>in paper form</b>, the following number of sheets:</p> <p>request (including declaration sheets) : _____</p> <p>description (excluding sequence listing and/or tables related thereto) : _____</p> <p>claims : _____</p> <p>abstract : _____</p> <p>drawings : _____</p> <p><b>Sub-total number of sheets</b> : _____</p> <p>sequence listing : _____</p> <p>tables related thereto : _____</p> <p><i>(for both, actual number of sheets if filed in paper form, whether or not also filed in electronic form; see (c) below)</i></p> <p><b>Total number of sheets</b> : _____</p> <p>(b) <input type="checkbox"/> <b>only in electronic form</b> (Section 801(a)(i))</p> <p>(i) <input type="checkbox"/> sequence listing</p> <p>(ii) <input type="checkbox"/> tables related thereto</p> <p>(c) <input type="checkbox"/> <b>also in electronic form</b> (Section 801(a)(ii))</p> <p>(i) <input type="checkbox"/> sequence listing</p> <p>(ii) <input type="checkbox"/> tables related thereto</p> <p><b>Type and number of carriers</b> (diskette, CD-ROM, CD-R or other) on which are contained the</p> <p><input type="checkbox"/> sequence listing: . . . . .</p> <p><input type="checkbox"/> tables related thereto: . . . . .</p> <p><i>(additional copies to be indicated under items 9(ii) and/or 10(ii), in right column)</i></p>	<p>This international application is <b>accompanied by</b> the following item(s) <i>(mark the applicable check-boxes below and indicate in right column the number of each item)</i>:</p> <p>1. <input type="checkbox"/> fee calculation sheet : _____</p> <p>2. <input type="checkbox"/> original separate power of attorney : _____</p> <p>3. <input type="checkbox"/> original general power of attorney : _____</p> <p>4. <input type="checkbox"/> copy of general power of attorney; reference number, if any: . . . . . : _____</p> <p>5. <input type="checkbox"/> statement explaining lack of signature : _____</p> <p>6. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s): . . . . . : _____</p> <p>7. <input type="checkbox"/> translation of international application into <i>(language)</i>: . . . . . : _____</p> <p>8. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material : _____</p> <p>9. <input type="checkbox"/> sequence listing in electronic form <i>(indicate type and number of carriers)</i></p> <p>(i) <input type="checkbox"/> copy submitted for the purposes of international search under Rule 13ter only (and not as part of the international application) : _____</p> <p>(ii) <input type="checkbox"/> <i>(only where check-box (b)(i) or (c)(i) is marked in left column)</i> additional copies including, where applicable, the copy for the purposes of international search under Rule 13ter : _____</p> <p>(iii) <input type="checkbox"/> together with relevant statement as to the identity of the copy or copies with the sequence listing mentioned in left column : _____</p> <p>10. <input type="checkbox"/> tables in electronic form related to sequence listing <i>(indicate type and number of carriers)</i></p> <p>(i) <input type="checkbox"/> copy submitted for the purposes of international search under Section 802(b-quarter) only (and not as part of the international application) : _____</p> <p>(ii) <input type="checkbox"/> <i>(only where check-box (b)(ii) or (c)(ii) is marked in left column)</i> additional copies including, where applicable, the copy for the purposes of international search under Section 802(b-quarter) : _____</p> <p>(iii) <input type="checkbox"/> together with relevant statement as to the identity of the copy or copies with the tables mentioned in left column : _____</p> <p>11. <input type="checkbox"/> other <i>(specify)</i>: . . . . . : _____</p>	<p>Number of items</p>
<p><b>Figure of the drawings</b> which should accompany the abstract:</p>	<p><b>Language of filing</b> of the international application:</p>	
<p><b>Box No. X SIGNATURE OF APPLICANT, AGENT OR COMMON REPRESENTATIVE</b></p> <p><i>Next to each signature, indicate the name of the person signing and the capacity in which the person signs (if such capacity is not obvious from reading the request).</i></p>		

For receiving Office use only	
<p>1. Date of actual receipt of the purported international application:</p>	<p>2. Drawings:</p> <p><input type="checkbox"/> received:</p>
<p>3. Corrected date of actual receipt due to later but timely received papers or drawings completing the purported international application:</p>	<p><input type="checkbox"/> not received:</p>
<p>4. Date of timely receipt of the required corrections under PCT Article 11(2):</p>	<p>6. <input type="checkbox"/> Transmittal of search copy delayed until search fee is paid</p>
<p>5. International Searching Authority (if two or more are competent): <b>ISA /</b></p>	

For International Bureau use only
<p>Date of receipt of the record copy by the International Bureau:</p>

**NOTES TO THE REQUEST FORM (PCT/RO/101)**

These Notes are intended to facilitate the filling in of the request form. For more detailed information, see the *PCT Applicant's Guide*, a WIPO publication, which is available, together with other PCT related documents, at WIPO's Website: [www.wipo.int/pct/en/index.html](http://www.wipo.int/pct/en/index.html). The Notes are based on the requirements of the Patent Cooperation Treaty (PCT), the Regulations and the Administrative Instructions under the PCT. In case of any discrepancy between these Notes and those requirements, the latter are applicable.

In the request form and these Notes, "Article", "Rule" and "Section" refer to the provisions of the PCT, the PCT Regulations and the PCT Administrative Instructions, respectively.

Please use a typewriter; check-boxes may be marked by hand with black ink (Rule 11.9(a) and (b)).

The request form and these Notes may be downloaded from WIPO's Website at the address given above.

**WHERE TO FILE  
THE INTERNATIONAL APPLICATION**

The international application (request, description, claims, abstract and drawings, if any) must be filed with a competent receiving Office (Article 11(1)(i))—that is, subject to any applicable prescriptions concerning national security, at the choice of the applicant, either:

(i) the receiving Office of, or acting for, a PCT Contracting State of which the applicant or, if there are two or more applicants, at least one of them, is a resident or national (Rule 19.1(a)(i) or (ii) or (b)), or

(ii) the International Bureau of WIPO in Geneva, Switzerland, if the applicant or, if there are two or more applicants, at least one of the applicants is a resident or national of any PCT Contracting State (Rule 19.1(a)(iii)).

**APPLICANT'S OR AGENT'S FILE REFERENCE**

A **file reference** may be indicated, if desired. It should not exceed 12 characters. Characters in excess of 12 may be disregarded by the receiving Office or any International Authority (Rule 11.6(f) and Section 109).

**BOX No. I**

**Title of Invention** (Rules 4.3 and 5.1(a)): The title must be short (preferably two to seven words when in English or translated into English) and precise. It must be identical with the title heading the description.

**BOXES Nos. II AND III**

**General:** At least one of the applicants named must be a resident or national of a PCT Contracting State for which the receiving Office acts (Articles 9 and 11(1)(i) and Rules 18 and 19). If the international application is filed with the International Bureau under Rule 19.1(a)(iii), at least one of the applicants must be a resident or national of any PCT Contracting State.

**Indication Whether a Person is Applicant and/or Inventor** (Rules 4.5(a) and 4.6(a) and (b)):

All of the inventors must be named also as applicants for the purposes of the designation of the United States of America (see "Different Applicants for Different Designated States", below).

*Check-box "This person is also inventor"* (Box No. II): Mark this check-box if the applicant named is also the inventor or one of the inventors; do not mark this check-box if the applicant is a legal entity.

*Check-box "applicant and inventor"* (Box No. III): Mark this check-box if the person named is both applicant and inventor; do not mark this check-box if the person is a legal entity.

*Check-box "applicant only"* (Box No. III): Mark this check-box if the person named is a legal entity or if the person named is not also inventor.

*Check-box "inventor only"* (Box No. III): Mark this check-box if the person named is inventor but not also applicant. This would be the case in particular where the inventor is deceased or the particular inventor is not an inventor for the purposes of the designation of the United States of America. Do not mark this check-box if the person is a legal entity.

In Box No. III, one of the three check-boxes must always be marked for each person named.

A person must not be named more than once in Boxes Nos. II and III, even where that person is both applicant and inventor.

**Different Applicants for Different Designated States** (Rules 4.5(d), 18.3 and 19.2): It is possible to indicate different applicants for the purposes of different designated States. At least one of all the applicants named must be a national or resident of a PCT Contracting State for which the receiving Office acts, irrespective of the designated State(s) for the purposes of which that applicant is named. *All of the inventors must be named also as applicants for the United States of America (except as indicated above) and the check-boxes "This person is also inventor" (in Box No. II) and/or "applicant and inventor" (in Box No. III) must be marked.*

For the indication of the designated States for which a person is applicant, mark the applicable check-box (only one for each person). The check-box "the States indicated in the Supplemental Box" must be marked where none of the other three check-boxes fits the circumstances; in such a case, the name of the person must be repeated in the Supplemental Box with an indication of the States for which that person is applicant (see item 1(ii) in that Box).

**Naming of Inventor** (Rule 4.1(a)(iv) and (c)(i)): The inventor's name and address must be indicated since the national law of the United States of America requires that the name of the inventor be furnished at the time of filing. It is strongly recommended to always name the inventor. For details, see the *PCT Applicant's Guide*, Volume I/A, Annexes B1 and B2.

**Different Inventors for Different Designated States** (Rule 4.6(c)): Different persons may be indicated as inventors for different designated States (for example, where, in this respect, the requirements of the national laws of the designated States are not the same); in such a case, the Supplemental Box must be used (see item 1(iii) in that Box). In the absence of any indication, it will be assumed that the inventor(s) named is (are) inventor(s) for all designated States.

**Names and Addresses** (Rule 4.4): The family name (preferably in capital letters) must be indicated before the given name(s). Titles and academic degrees must be omitted. Names of legal entities must be indicated by their full official designations.

The address must be indicated in such a way that it allows prompt postal delivery; it must consist of all the relevant administrative units (up to and including the indication of the house number, if any), the postal code (if any), and the name of the country.

Only one address may be indicated per person. For the indication of a special "address for correspondence", see the notes to Box No. IV.

**Telephone, Facsimile and/or Teleprinter Numbers** should be indicated for the person named in Box No. II in order to allow rapid communication with the applicant. Any such number should include the applicable country and area codes.

**Applicant's Registration Number with the Office** (Rule 4.5(e)): Where the applicant is registered with the national or regional Office acting as receiving Office, the request may indicate the number or other indication under which the applicant is so registered.

**Nationality** (Rules 4.5(a) and (b) and 18.1): For each applicant, the nationality must be indicated by the name or two-letter code of the State (that is, country) of which the person is a national. A legal entity constituted according to the national law of a State is considered a national of that State. The indication of the nationality is not required where a person is inventor only.

**Residence** (Rules 4.5(a) and (c) and 18.1): For each applicant, the residence must be indicated by the name or two-letter code of the State (that is, country) of which the person is a resident. If the State of residence is not indicated, it will be assumed to be the same as the State indicated in the address. Possession of a real and effective industrial or commercial establishment in a State is considered residence in that State. The indication of the residence is not required where a person is inventor only.

**Names of States** (Section 115): For the indication of names of States, the two-letter codes appearing in WIPO Standard ST.3 and in the *PCT Applicant's Guide*, Volume I/B, Annex K, may be used.

#### BOX No. IV

**Who Can Act as Agent** (Article 49 and Rule 83.1bis): For each of the receiving Offices, information as to who can act as agent is given in the *PCT Applicant's Guide*, Volume I/B, Annex C.

**Agent or Common Representative** (Rules 4.7, 4.8, 90.1 and 90.2 and Section 108): Mark the applicable check-box in order to indicate whether the person named is (or has been) appointed as "agent" or "common representative" (the "common representative" must be one of the applicants). For the manner in which name(s) and address(es) (including names of States) must be indicated, see the notes to Boxes Nos. II and III. Where several agents are listed, the agent to whom correspondence should be addressed is to be listed first. If there are two or more applicants but no common agent is appointed to represent all of them, one of the applicants who is a national or resident of a PCT Contracting State may be appointed by the other applicants as their common representative. If this is not done, the applicant first named in the request who is entitled to file an international application with the receiving Office concerned will be considered to be the common representative.

**Manner of Appointment of Agent or Common Representative** (Rules 90.4 and 90.5 and Section 106): The appointment of an agent or a common representative may be effected by designating the agent or common representative in Box No. IV and by the applicant signing the request or a separate power of attorney. Where there are two or more applicants, the appointment of a common agent or common representative must be effected by each applicant signing, at his choice, the request or a separate power of attorney. If the

separate power of attorney is not signed, or if the required separate power of attorney is missing, or if the indication of the name or address of the appointed person does not comply with Rule 4.4, the power of attorney will be considered non-existent unless the defect is corrected. However, the receiving Office may waive the requirement that a separate power of attorney be submitted to it (for details about each receiving Office, see the *PCT Applicant's Guide*, Volume I/B, Annex C).

Where a general power of attorney has been filed and is referred to in the request, a copy thereof must be attached to the request. Any applicant who did not sign the general power of attorney must sign either the request or a separate power of attorney, unless the receiving Office has waived the requirement that a separate power of attorney be submitted to it (for details, see the *PCT Applicant's Guide*, Volume I/B, Annex C).

**Agent's Registration Number with the Office** (Rule 4.7(b)): Where the agent is registered with the national or regional Office that is acting as receiving Office, the request may indicate the number or other indication under which the agent is so registered.

**Address for Correspondence** (Rule 4.4(d) and Section 108): Where an agent is appointed, any correspondence intended for the applicant will be sent to the address indicated for that agent (or for the first-mentioned agent, if more than one is appointed). Where one of two or more applicants is appointed as common representative, the address indicated for that applicant in Box No. IV will be used.

Where no agent or common representative is appointed, any correspondence will be sent to the address, indicated in Box No. II or III, of the applicant (if only one person is named as applicant) or of the applicant who is considered to be common representative (if there are two or more persons named as applicants). However, if the applicant wishes correspondence to be sent to a different address in such a case, that address must be indicated in Box No. IV instead of the designation of an agent or common representative. In this case, and only in this case, the last check-box of Box No. IV must be marked (that is, the last check-box must not be marked if either of the check-boxes "agent" or "common representative" has been marked).

#### BOX No. V

**Designations (Regional and national patents)** (Rule 4.9): Upon filing of the request, the applicant will obtain an automatic and all-inclusive coverage of all designations available under the PCT on the international filing date, in respect of every kind of protection available and, where applicable, in respect of both regional and national patents. If the applicant wishes the international application to be treated, in a certain designated or elected State, as an application not for a patent but for another kind of protection available under the national law of the designated or elected State concerned, the applicant will have to indicate his choice directly to the designated or elected Office when performing the acts, referred to in Articles 22 or 39(1), for entry into the national phase. For details about various kinds of protection available in designated or elected States, see the *PCT Applicant's Guide*, Volume I/A, Annexes B1 and B2.

However, for the reasons explained below, it is possible to indicate, by marking the applicable check-box(es), that DE Germany, KR Republic of Korea and/or RU Russian Federation are not designated for any kind of national protection. Each of those States has notified the International Bureau that Rule 4.9(b) applies to it since its national law provides that the filing of an international application which contains the designation of that State and claims the priority of an earlier national application (for DE: for the same kind of protection) having effect in that State shall have the result that the earlier national application ceases, where applicable, after the expiration of certain time limits, to have effect with the same consequences as the withdrawal of the earlier national application. The designation of DE Germany for the purposes of a EP European patent and of

RU Russian Federation for the purposes of a EA Eurasian patent are not affected by what is said above. For details see the *PCT Applicant's Guide*, Volume I/A, in the relevant Annex B1.

Even though no other State has notified the International Bureau that Rule 4.9(b) applies to it, note that the consequences described above with respect to the earlier national application whose priority is claimed may also apply to other States, for example, JP Japan. For details, see the *PCT Applicant's Guide*, Volume I/A, in the relevant Annex B1. Therefore, the applicant may wish to consider submitting, separately from the request, a separate notice of withdrawal of the designation concerned. **Important: Should a notice of withdrawal be filed, that notice will have to be signed by the applicant or, if there are two or more applicants, by all of them (Rule 90bis.5(a)), or by an agent or a common representative whose appointment has been effected by each applicant signing, at his choice, the request, the demand or a separate power of attorney (Rule 90.4(a)).**

#### BOX No. VI

**Priority Claim(s)** (Rule 4.10): If the priority of an earlier application is claimed, the declaration containing the priority claim must be made in the request.

The request must indicate the *date* on which the earlier application from which priority is claimed was filed and the *number* it was assigned. Note that that date must fall within the period of 12 months preceding the international filing date.

Where the earlier application is a national application, the *country* party to the Paris Convention for the Protection of Industrial Property, or the *Member* of the World Trade Organization that is not a party to that Convention, in which that earlier application was filed must be indicated. Where the earlier application is a regional application, the *regional Office* concerned must be indicated. Where the earlier application is an international application, the *receiving Office* with which that earlier application was filed must be indicated.

Where the earlier application is a regional application (other than an ARIPO application), or an international application, the priority claim may also, if the applicant so wishes, indicate one or more countries party to the Paris Convention for which that earlier application was filed (Rule 4.10(b)(i)); such an indication is not, however, mandatory. Where the earlier application is an ARIPO application, at least one country party to the Paris Convention or one Member of the World Trade Organization for which that earlier application was filed must be indicated (Rule 4.10(b)(ii)).

As to the possibility of correcting or adding a priority claim, see Rule 26bis and the *PCT Applicant's Guide*, Volume I/A, General Part.

**Certified Copy of Earlier Application** (Rule 17.1): A certified copy of each earlier application the priority of which is claimed (priority document) must be submitted by the applicant, irrespective of whether that earlier application is a national, regional or international application. The priority document must be submitted to the receiving Office or to the International Bureau before the expiration of 16 months from the (earliest) priority date or, where an early start of the national phase is requested, not later than at the time such request is made. Any priority document received by the International Bureau after the expiration of the 16-month time limit but before the date of international publication shall be considered to have been received on the last day of that time limit (Rule 17.1(a)).

Where the priority document is issued by the receiving Office, the applicant may, instead of submitting the priority document, request the receiving Office (not later than 16 months after the priority date) to prepare and transmit the priority document to the International Bureau (Rule 4.1(c)(ii)). Such request may be made by marking the applicable check-boxes which identify the respective documents. *Attention:* where

such a request is made, the applicant must, where applicable, pay to the receiving Office the *fee for priority document*, otherwise, the request will be considered not to have been made (see Rule 17.1(b)).

**Dates** (Section 110): Dates must be indicated by the Arabic number of the day, the name of the month and the Arabic number of the year – in that order; after, below or above such indication, the date should be repeated in parentheses, using two-digit Arabic numerals each for the number of the day and for the number of the month followed by the number of the year in four digits, in that order and separated by periods, slants or hyphens, for example, “21 March 2005 (21.03.2005)”, “21 March 2005 (21/03/2005)” or “21 March 2005 (21-03-2005)”.

#### BOX No. VII

**Choice of International Searching Authority (ISA)** (Rules 4.1(b)(iv) and 4.14bis): If two or more International Searching Authorities are competent for carrying out the international search in relation to the international application – depending on the language in which that application is filed and the receiving Office with which it is filed – the name of the competent Authority chosen by the applicant must be indicated in the space provided, either by its full name or two-letter code.

**Request to Use Results of Earlier Search; Reference to that Search** (Rules 4.11(a)(i) and (ii) and 4.1): The earlier search, if any, must be identified in such a manner that the ISA can retrieve the results easily. Where those results can be used, the ISA may refund the international search fee or a portion thereof.

#### BOX No. VIII

**Declarations Containing Standardized Wording** (Rules 4.1(c)(iii) and 4.17): At the option of the applicant, the request may, for the purposes of the national law applicable in one or more designated States, contain one or more of the following declarations:

- (i) declaration as to the identity of the inventor;
- (ii) declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent;
- (iii) declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application;
- (iv) declaration of inventorship (only for the purposes of the designation of the United States of America);
- (v) declaration as to non-prejudicial disclosures or exceptions to lack of novelty;

which must conform to the standardized wording provided for in Sections 211 to 215, respectively, and which must be set forth in Boxes Nos. VIII (i) to (v), as detailed below. Where any such declarations are included, the appropriate check-boxes in Box No. VIII should be marked and the number of each type of declaration should be indicated in the right-hand column. As to the possibility of correcting or adding a declaration, see Rule 26ter, Section 216 and the *PCT Applicant's Guide*, Volume I/A, General Part.

If the circumstances of a particular case are such that the standardized wordings are not applicable, the applicant should not attempt to make use of the declarations provided for in Rule 4.17 but rather will have to comply with the national requirements concerned upon entry into the national phase.

The fact that a declaration is made under Rule 4.17 does not of itself establish the matters declared; the effect of those matters in the designated States concerned will be determined by the designated Offices in accordance with the applicable national law.

Even if the wording of a declaration does not conform to the standardized wording provided for in the Administrative Instructions pursuant to Rule 4.17, any designated Office may accept that declaration for the purposes of the applicable national law, but is not required to do so.

**Details as to National Law Requirements:** For information on the declarations required by each designated Office, see the *PCT Applicant's Guide*, Volume II, in the relevant National Chapter.

**Effect in Designated Offices (Rule 51bis.2):** Where the applicant submits any of the declarations provided for in Rule 4.17(i) to (iv) containing the required standardized wording (either with the international application, or to the International Bureau within the relevant time limit under Rule 26ter, or directly to the designated Office during the national phase), the designated Office may not, in the national phase, require further documents or evidence on the matter to which the declaration relates, unless that designated Office may reasonably doubt the veracity of the declaration concerned.

**Incompatibility of Certain Items of Rule 51bis.2(a) with National Laws (Rule 51bis.2(c)):** Certain designated Offices have informed the International Bureau that the applicable national law is not compatible in respect of certain declarations provided in Rule 4.17(i), (ii) and (iii). Those designated Offices are therefore entitled to require further documents or evidence on the matters to which those declarations relate. For regularly updated information on such Offices, see the WIPO Website:  
[http://www.wipo.int/pct/en/texts/reservations/res\\_incomp.pdf](http://www.wipo.int/pct/en/texts/reservations/res_incomp.pdf).

#### **BOXES Nos. VIII (i) to (v) (IN GENERAL)**

**Different Declaration Boxes:** There are six different declaration boxes in the pre-printed request form—one box for each of the five different types of declarations provided for in Rule 4.17 (Box No. VIII (i) to Box No. VIII (v)) and a continuation sheet (Continuation of Box No. VIII (i) to (v)) to be used in case any single declaration does not fit in the corresponding box. The title of each type of declaration which is found in the standardized wording provided for in the Administrative Instructions is pre-printed on the appropriate sheet of the request.

**Separate Sheet for Each Declaration:** Each declaration must start on a separate sheet of the request form in the appropriate Declaration Box.

**Titles, Items, Item Numbers, Dotted Lines, Words in Parentheses and Words in Brackets:** The prescribed standardized wording of the declarations includes titles, various items, item numbers, dotted lines, words in parentheses and words in brackets. Except for Box No. VIII (iv) which contains the pre-printed standardized wording, only those items which are applicable should be included in a declaration where necessary to support the statements in that declaration (that is, omit those items which do not apply) and item numbers need not be included. Dotted lines indicate where information is required to be inserted. Words in parentheses are instructions to applicants as to the information which may be included in the declaration depending upon the factual circumstances. Words in brackets are optional and should appear in the declaration without the brackets if they apply; if they do not apply, they should be omitted together with the corresponding brackets.

**Naming of Several Persons:** More than one person may be named in a single declaration. In the alternative, with one exception, a separate declaration may be made for each person. With respect to the declaration of inventorship set forth in Box No. VIII (iv), which is applicable only for the purposes of the

designation of the United States of America, all inventors must be indicated in a single declaration (see Notes to Box No. VIII (iv), below). The wording of declarations to be set forth in Boxes Nos. VIII (i), (ii), (iii) and (v) may be adapted from the singular to the plural as necessary.

**Designated States to Which the Declarations Apply:** Each declaration must indicate the designated States to which it applies. In this regard, the standardized wording of the declaration of inventorship (Box No. VIII (iv); see also Rule 4.17(iv) and Section 214) indicates in the title that it is for the purposes of the designation of the United States of America. The other declarations include prescribed wording to indicate whether the declaration is made for all designations or specific designations; one of these choices should always be included in the declaration. Where the declaration is for more than one person, the declaration may include separate statements indicating whether the declaration is made for all designations or specific designations with respect to each separate applicant. For example, this may be expected to occur where the request indicates different applicants for different States in accordance with Rule 4.5(d). However, in such a case, it is advisable to include a separate declaration for each person.

#### **BOX No. VIII (i)**

**Declaration as to the Identity of the Inventor (Rule 4.17(i) and Section 211):** The declaration must be worded as follows:

“Declaration as to the identity of the inventor (Rules 4.17(i) and 51bis.1(a)(i)):

in relation to [this] international application [No. PCT/...],

- (i) ... (*name*) of ... (*address*) is the inventor of the subject matter for which protection is sought by way of [the] [this] international application
- (ii) this declaration is made for the purposes of (*include as applicable*):
  - (a) all designations [except the designation of the United States of America]
  - (b) the following designations for national and/or regional patents: ...”

Such a declaration is not necessary in respect of any inventor who is indicated as such (either as inventor only or applicant and inventor) in Box No. II or No. III in accordance with Rule 4.5 or 4.6. However, where the inventor is indicated as applicant in Box No. II or No. III in accordance with Rule 4.5, a declaration as to the applicant's entitlement to apply for and be granted a patent (Rule 4.17(ii)) may be appropriate for the purposes of all designated States except the United States of America. Where indications regarding the inventor in accordance with Rule 4.5 or 4.6 are not included in Box No. II or No. III, this declaration may be combined with the prescribed wording of the declaration as to the applicant's entitlement to apply for and be granted a patent (Rule 4.17(ii)). For details on such a combined declaration, see Notes to Box No. VIII (ii), below. For details as to the declaration of inventorship for the purposes of the designation of the United States of America, see Notes to Box No. VIII (iv), below.

#### **BOX No. VIII (ii)**

**Declaration as to the Applicant's Entitlement to Apply for and Be Granted a Patent (Rule 4.17(ii) and Section 212):** The declaration must be worded as follows, with such inclusion, omission, repetition and re-ordering of the matters listed as items (i) to (viii) as is necessary to explain the applicant's entitlement:

“Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent (Rules 4.17(ii) and 51bis.1(a)(ii)), in a case where the declaration under Rule 4.17(iv) is not appropriate:

in relation to [this] international application [No. PCT/...],

... (*name*) is entitled to apply for and be granted a patent by virtue of the following:

- (i) ... (*name*) of ... (*address*) is the inventor of the subject matter for which protection is sought by way of [the] [this] international application
- (ii) ... (*name*) [is] [was] entitled as employer of the inventor, ... (*inventor's name*)
- (iii) an agreement between ... (*name*) and ... (*name*), dated ...
- (iv) an assignment from ... (*name*) to ... (*name*), dated ...
- (v) consent from ... (*name*) in favor of ... (*name*), dated ...
- (vi) a court order issued by ... (*name of court*), effecting a transfer from ... (*name*) to ... (*name*), dated ...
- (vii) transfer of entitlement from ... (*name*) to ... (*name*) by way of ... (*specify kind of transfer*), dated ...
- (viii) the applicant's name changed from ... (*name*) to ... (*name*) on ... (*date*)
- (ix) this declaration is made for the purposes of (*include as applicable*):
  - (a) all designations [except the designation of the United States of America]
  - (b) the following designations for national and/or regional patents: ..."

Either (a) or (b) of item (ix) should always be included in the declaration. The remainder of the items may be incorporated as is necessary to explain the applicant's entitlement. ***This declaration is only applicable to those events which have occurred prior to the international filing date.*** The possible kinds of transfer of entitlement in item (vii) include merger, acquisition, inheritance, donation, etc. Where there has been a succession of transfers from the inventor, the order in which transfers are listed should follow the actual succession of transfers, and items may be included more than once, as necessary to explain the applicant's entitlement. Where the inventor is not indicated in Box No. II or No. III, this declaration may be presented as a combined declaration explaining the applicant's entitlement to apply for and be granted a patent and identifying the inventor. In such a case, the introductory phrase of the declaration must be as follows:

"Combined declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent (Rules 4.17(ii) and 51*bis*.1(a)(ii)) and as to the identity of the inventor (Rules 4.17(i) and 51*bis*.1(a)(i)), in a case where the declaration under Rule 4.17(iv) is not appropriate:"

The remainder of the combined declaration must be worded as indicated in the preceding paragraphs.

For details as to the declaration as to the identity of the inventor, see the Notes to Box No. VIII (i), above.

#### BOX No. VIII (iii)

**Declaration as to the Applicant's Entitlement to Claim Priority of the Earlier Application** (Rule 4.17(iii) and Section 213): The declaration must be worded as follows, with such inclusion, omission, repetition and re-ordering of the matters listed as items (i) to (viii) as is necessary to explain the applicant's entitlement:

"Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application specified below, where the applicant is not the applicant who filed the earlier application or where the applicant's name has changed since the filing of the earlier application (Rules 4.17(iii) and 51*bis*.1(a)(iii)):

in relation to [this] international application [No. PCT/...],

... (*name*) is entitled to claim priority of earlier application No. ... by virtue of the following:

- (i) the applicant is the inventor of the subject matter for which protection was sought by way of the earlier application
- (ii) ... (*name*) [is] [was] entitled as employer of the inventor, ... (*inventor's name*)
- (iii) an agreement between ... (*name*) and ... (*name*), dated ...
- (iv) an assignment from ... (*name*) to ... (*name*), dated ...
- (v) consent from ... (*name*) in favor of ... (*name*), dated ...
- (vi) a court order, issued by ... (*name of court*), effecting a transfer from ... (*name*) to ... (*name*), dated ...
- (vii) transfer of entitlement from ... (*name*) to ... (*name*) by way of ... (*specify kind of transfer*), dated ...
- (viii) the applicant's name changed from ... (*name*) to ... (*name*) on ... (*date*)
- (ix) this declaration is made for the purposes of (*include as applicable*):
  - (a) all designations
  - (b) the following designations for national and/or regional patents: ..."

Either (a) or (b) of item (ix) should always be included in the declaration. The remainder of the items may be incorporated as is necessary to explain the applicant's entitlement. ***This declaration is only applicable to those events which have occurred prior to the international filing date.*** In addition, this declaration is only applicable where the person or name of the applicant is different from that of the applicant who filed the earlier application from which priority is claimed. For example, this declaration may be applicable where only one applicant out of five is different from the applicants indicated in respect of an earlier application. The possible kinds of transfer of entitlement in item (vii) include merger, acquisition, inheritance, donation, etc. Where there has been a succession of transfers from the applicant in respect of the earlier application, the order in which transfers are listed should follow the actual succession of transfers, and items may be included more than once, as necessary to explain the applicant's entitlement.

#### BOX No. VIII (iv)

**Declaration of Inventorship** (Rule 4.17(iv) and Section 214): The standardized wording for the declaration is pre-printed in Box No. VIII (iv).

All inventors must be named in the declaration, even if they do not all sign the same (copy of) the declaration (Section 214(b)). Bibliographic data, such as address of residence and citizenship, must be included for each inventor. Where the declaration is included in the request, the inventor(s) need not sign and date the declaration if they have signed in Box No. X of the request. If there are more than two inventors, those other inventors must be indicated on the "continuation sheet for declaration." In such a case, write "Continuation of Box No. VIII (iv)," and indicate only the bibliographical data in respect of each inventor. The text of the declaration itself should not be repeated on that continuation sheet. The inventor(s) identified on the continuation sheet must sign and date such sheet, unless the declaration, including the continuation sheet, is included with the request and the inventor(s) has (have) signed in Box No. X of the request.

**BOX No. VIII (v)**

**Declaration as to Non-prejudicial Disclosures or Exceptions to Lack of Novelty** (Rule 4.17(v) and Section 215): The declaration must be worded as follows, with such inclusion, omission, repetition and re-ordering of the matters listed as items (i) to (iv) as is necessary:

“Declaration as to non-prejudicial disclosures or exceptions to lack of novelty (Rules 4.17(v) and 51bis.1(a)(v)):

in relation to [this] international application [No. PCT/...],

... (*name*) declares that the subject matter claimed in [the] [this] international application was disclosed as follows:

- (i) kind of disclosure (*include as applicable*):
  - (a) international exhibition
  - (b) publication
  - (c) abuse
  - (d) other: ... (*specify*)
- (ii) date of disclosure: ...
- (iii) title of disclosure (*if applicable*): ...
- (iv) place of disclosure (*if applicable*): ...
- (v) this declaration is made for the purposes of (*include as applicable*):
  - (a) all designations
  - (b) the following designations for national and/or regional patents: ...”

Either (a), (b), (c) or (d) of item (i) should always be included in the declaration. Item (ii) should also always be included in the declaration. Either (a) or (b) of item (v) should always be included in the declaration. Items (iii) and (iv) may be incorporated depending upon the circumstances.

**BOX No. IX**

**Items Constituting the International Application:** The number of sheets of the various parts of the international application must be given in the check list in Arabic numerals. Sheets containing any of Boxes Nos. VIII (i) to (v) must be counted as part of the request.

Where the application contains disclosure of one or more *nucleotide and/or amino acid sequences*, the applicant has the following three options.

First, the applicant may choose to file the sequence listing and/or tables related thereto *in paper form only* (“option (a)”), in which case the number of sheets of the listing and/or tables, respectively, must be indicated under item (a) in the left column of Box No. IX (and therefore included in the total number of sheets), noting that a copy of the sequence listing and/or a copy of the tables, in electronic form, may accompany the international application but only for the purposes of international search under Rule 13ter and/or Section 802(b-quater); in such a case, check-boxes Nos. 9, 9(i) and/or 10(i) and, where applicable, 9(iii) and/or 10(iii) must be marked in the right column of Box No. IX.

Second, the applicant may choose to file the sequence listing and/or tables related thereto *in electronic form only*, under Section 801(a)(i) (“option (b)”), in which case check-boxes b(i) and/or b(ii) must be marked but the spaces for the number of sheets of the sequence listing and/or tables, respectively, under item (a) must be left blank; the type and number of carriers must also be indicated on the dotted lines at the bottom of the left column; in addition, check-boxes Nos. 9, 9(ii) and/or 10(ii) and, where applicable, 9(iii) and/or 10(iii) must be marked if additional copies of the sequence listing and/or tables in electronic form are furnished.

Third, the applicant may choose to file the sequence listing and/or tables related thereto *both in electronic form and in*

*paper form*, under Section 801(a)(ii) (“option (c)”), in which case the number of sheets (in paper form) of the sequence listing and/or tables, respectively, must be indicated under item (a) in the left column of Box No. IX (although those numbers of sheets will not be taken into account for calculation of the international filing fee) and check-boxes c(i) and/or c(ii), respectively, must be marked; the type and number of carriers must also be indicated on the dotted lines at the bottom of the left column; in addition, check-boxes Nos. 9, 9(ii) and/or 10(ii) and, where applicable, 9(iii) and/or 10(iii) must be marked if additional copies of the sequence listing and/or tables in electronic form are furnished.

Under all three options described above, the sequence listing must be presented as a separate part of the description (“sequence listing part of description”) in accordance with the standard contained in Annex C of the Administrative Instructions. Also, tables related to a sequence listing must be presented in accordance with the standard contained in Annex C-bis of the Administrative Instructions.

**Items Accompanying the International Application:**

Where the international application is accompanied by certain items, the applicable check-boxes must be marked, any applicable indication must be made on the dotted line after the applicable item, and the number of such items should be indicated at the end of the relevant line; detailed explanations are provided below only in respect of those items which so require.

**Check-box No. 4:** Mark this check-box where a copy of a general power of attorney is filed with the international application; where the general power of attorney has been deposited with the receiving Office, and that Office has accorded to it a reference number, that number may be indicated.

**Check-box No. 5:** Mark this check-box where a statement explaining the lack of signature of an inventor/applicant for the purposes of the United States of America is furnished together with the international application (see also Notes to Box No. X).

**Check-box No. 7:** Mark this check-box where a translation of the international application for the purposes of international search (Rule 12.3) is filed together with the international application and indicate the language of that translation.

**Check-box No. 8:** Mark this check-box where a filled-in Form PCT/RO/134 or any separate sheet containing indications concerning deposited microorganisms and/or other biological material is filed with the international application. If Form PCT/RO/134 or any sheet containing the said indications is included as one of the sheets of the description (as required by certain designated States (see the *PCT Applicant's Guide*, Volume I/B, Annex L)), do not mark this check-box (for further information, see Rule 13bis and Section 209).

**Check-box No. 9:** Where the international application contains a sequence listing and a copy thereof in electronic form is required by the ISA under Rule 13ter, the applicant may furnish the listing in electronic form (together with the required statement) to the receiving Office with the international application, in which case check-boxes Nos. 9, 9(i) and, where applicable, 9(iii) must be marked. Where the applicant has chosen option (b) or option (c) mentioned above, and an additional copy or copies of the sequence listing in electronic form are required under Section 804, the applicant may furnish such additional copies together with the international application, in which case check-boxes Nos. 9, 9(ii) and, where applicable, 9(iii) must be marked. In all cases mentioned above, the applicant should indicate at the end of each applicable entry the type and number of diskettes, CD-ROMs, CD-Rs, or other data carriers furnished.

**Check-box No. 10:** Where the international application contains tables related to a sequence listing and a copy thereof in electronic form is required by the ISA under Section 802(b-quater), the applicant may furnish the tables in

electronic form (together with the required statement) to the receiving Office with the international application, in which case check-boxes Nos. 10, 10(i) and, where applicable, 10(iii) must be marked. Where the applicant has chosen option (b) or option (c) mentioned above, and an additional copy or copies of the tables in electronic form are required under Section 804, the applicant may furnish such additional copies together with the international application, in which case check-boxes Nos. 10, 10(ii) and, where applicable, 10(iii) must be marked. In all cases mentioned above, the applicant should indicate at the end of each applicable entry the type and number of diskettes, CD-ROMs, CD-Rs, or other data carriers furnished.

**Language of Filing of the International Application** (Rules 12.1(a) and 20.4(c) and (d)): With regard to the language in which the international application is filed, for the purposes of according an international filing date, it is, subject to the following sentence, sufficient that the description and the claims are in the language, or one of the languages, accepted by the receiving Office for the filing of international applications; that language should be indicated in that check-box (as regards the language of the abstract and any text matter in the drawings, see Rule 26.3ter(a) and (b); as regards the language of the request, see Rules 12.1(c) and 26.3ter(c) and (d)). Note that where the international application is filed with the United States Patent and Trademark Office as receiving Office, all elements of the international application (request, description, claims, abstract, text matter of drawings) must, for the purposes of according an international filing date, be in English except that the free text in any sequence listing part of the description, complying with the standard set out in Annex C of the Administrative Instructions, may be in a language other than English.

#### BOX No. X

**Signature** (Rules 4.1(d), 4.15, 26.2bis(a), 51bis.1(a)(vi), 90 and 90bis.5): The signature must be that of the applicant; if there are several applicants, all must sign. However, if the signature of one or more of the applicants is missing, the receiving Office will not invite the applicant to furnish the missing signature(s) provided that at least one of the applicants signed the request.

**Important: Should a notice of withdrawal be filed at any time during the international phase, that notice will have to be signed by the applicant or, if there are two or more applicant's by all of them (Rule 90bis.5(a)), or by an agent or a common representative whose appointment has been effected by each applicant signing, at his choice, the request, the demand or a separate power of attorney (Rule 90.4(a)).**

Furthermore, for the purposes of the national phase processing, each designated Office will be entitled to require the applicant to furnish the confirmation of the international application by the signature of any applicant for the designated State concerned, who has not signed the request.

Where the signature on the request is not that of the applicant but that of the agent, or the common representative, a separate power of attorney appointing the agent or the common representative, respectively, or a copy of a general power of attorney already in the possession of the receiving Office, must be furnished. If the power is not filed with the request, the receiving Office will invite the applicant to furnish it, unless it has waived the requirement for a separate power of attorney (for details about each receiving Office, see the *PCT Applicant's Guide*, Volume I/B, Annex C).

If an inventor/applicant for the designation of the United States of America refused to sign the request or could not be

found or reached after diligent effort, a statement explaining the lack of signature may be furnished. It should be noted that this applies only where there are two or more applicants and the international application has been signed by at least one other applicant. The statement must satisfy the receiving Office. If such a statement is furnished with the international application, check-box No. 5 in Box No. IX should be marked.

#### SUPPLEMENTAL BOX

The cases in which the Supplemental Box may be used and the manner of making indications in it are explained in the left column of that Box.

Items 2 and 3: Even if an indication is made in respect of items 2 and 3 under Rule 49bis.1(a), (b) or (d), the applicant will be required to make an indication to this effect upon entry into the national phase before the designated offices concerned.

If the applicant wishes to specify that the international application be treated in any designated State as an application for a utility model, see Notes to Box No. V.

#### GENERAL REMARKS

**Language of Correspondence** (Rule 92.2 and Section 104): Any letter from the applicant to the receiving Office must be in the language of filing of the international application provided that, where the international application is to be published in the language of a translation required under Rule 12.3, such letter should be in the language of that translation; however, the receiving Office may authorize the use of another language.

Any letter from the applicant to the International Bureau must be in the same language as the international application if that language is English or French; otherwise, it must be in English or French, at the choice of the applicant.

Any letter from the applicant to the ISA must be in the same language as the international application, provided that, where a translation of the international application for the purposes of international search has been transmitted under Rule 23.1(b), such letter is in the language of that translation. However, the ISA may authorize the use of another language.

**Arrangement of Elements and Numbering of Sheets of the International Application** (Rule 11.7 and Section 207): The elements of the international application must be placed in the following order: the request, the description (excluding the sequence listing part, if any), the claim(s), the abstract, the drawings (if any), the sequence listing part of the description (if any).

All sheets of the description (excluding the sequence listing part), claims and abstract must be numbered in consecutive Arabic numerals, which must be placed at the top or bottom of the sheet, in the middle, but not in the margin which must remain blank. The number of each sheet of the drawings must consist of two Arabic numerals separated by an oblique stroke, the first being the sheet number and the second being the total number of sheets of drawings (for example, 1/3, 2/3, 3/3). For numbering of the sheets of the sequence listing part of the description, see Section 207.

**Indication of the Applicant's or Agent's File Reference** on the sheets of the description (excluding the sequence listing part, if any), claim(s), abstract, drawings and sequence listing part of the description (Rule 11.6(f)): The file reference indicated on the request may also be indicated in the left-hand corner of the top margin, within 1.5 cm from the top of any sheet of the international application.



This sheet is not part of and does not count as a sheet of the international application.

# PCT

## FEE CALCULATION SHEET Annex to the Request

For receiving Office use only

International Application No. \_\_\_\_\_

Date stamp of the receiving Office \_\_\_\_\_

Applicant's or agent's  
file reference

Applicant

### CALCULATION OF PRESCRIBED FEES

1. TRANSMITTAL FEE . . . . . \_\_\_\_\_ T

2. SEARCH FEE . . . . . \_\_\_\_\_ S

International search to be carried out by \_\_\_\_\_  
*(If two or more International Searching Authorities are competent to carry out the international search, indicate the name of the Authority which is chosen to carry out the international search.)*

3. INTERNATIONAL FILING FEE

Where items (b) and/or (c) of Box No. IX apply, enter **Sub-total number of sheets** } \_\_\_\_\_  
Where items (b) and (c) of Box No. IX do not apply, enter **Total number of sheets** }

i1 first 30 sheets . . . . . \_\_\_\_\_ i1

i2 \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_ i2  
number of sheets fee per sheet  
in excess of 30

i3 additional component (only if a sequence listing and/or tables related thereto are filed in electronic form under Section 801(a)(i), or both in that form and on paper, under Section 801(a)(ii)):  
  
400 x \_\_\_\_\_ = \_\_\_\_\_ i3  
fee per sheet

Add amounts entered at i1, i2 and i3 and enter total at I . . . . . \_\_\_\_\_ I

*(Applicants from certain States are entitled to a reduction of 75% of the international filing fee. Where the applicant is (or all applicants are) so entitled, the total to be entered at I is 25% of the international filing fee.)*

4. FEE FOR PRIORITY DOCUMENT (if applicable) . . . . . \_\_\_\_\_ P

5. TOTAL FEES PAYABLE . . . . . \_\_\_\_\_  
Add amounts entered at T, S, I and P, and enter total in the TOTAL box

TOTAL

### MODE OF PAYMENT

- authorization to charge deposit account (see below)
- postal money order
- cash
- coupons
- cheque
- bank draft
- revenue stamps
- other (specify): \_\_\_\_\_

### AUTHORIZATION TO CHARGE (OR CREDIT) DEPOSIT ACCOUNT

*(This mode of payment may not be available at all receiving Offices)*

- Authorization to charge the total fees indicated above.
- (This check-box may be marked only if the conditions for deposit accounts of the receiving Office so permit)* Authorization to charge any deficiency or credit any overpayment in the total fees indicated above.
- Authorization to charge the fee for priority document.

Receiving Office: RO/ \_\_\_\_\_

Deposit Account No.: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

NOTES TO THE FEE CALCULATION SHEET  
(ANNEX TO FORM PCT/RO/101)

The purpose of the fee calculation sheet is to help the applicant to identify the prescribed fees and to calculate the amounts to be paid. It is strongly recommended that the applicant complete the sheet by entering the appropriate amounts in the boxes provided and submit the fee calculation sheet at the time of filing the international application. This will help the receiving Office to verify the calculations and to identify any error in them.

Information about the applicable fees payable can be obtained from the receiving Office. The amounts of the international filing and search fees may change due to currency fluctuations. Applicants are advised to check what are the latest applicable amounts. All fees, must be paid within one month from the date of receipt of the international application.

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**CALCULATION OF PRESCRIBED FEES**

**Box T: Transmittal Fee** for the benefit of the receiving Office (Rule 14.1): The amount of the transmittal fee, if any, is fixed by the receiving Office. It must be paid within one month from the date of receipt of the international application by the receiving Office. Information about this fee is contained in the *PCT Applicant's Guide*, Volume I/B, Annex C.

**Box S: Search Fee** for the benefit of the International Searching Authority (ISA) (Rule 16.1): The amount of the search fee is fixed by the ISA. It must be paid within one month from the date of receipt of the international application by the receiving Office. Information about this fee is contained in the *PCT Applicant's Guide*, Volume I/B, Annex D.

Where two or more ISAs are competent, the applicant must indicate his choice in the space provided for this purpose and pay the amount of the international search fee fixed by the ISA chosen. Information on the competent ISA and whether the applicant has a choice between two or more ISAs is contained in the *PCT Applicant's Guide*, Volume I/B, Annex C.

**Box I: International Filing Fee** for the benefit of the International Bureau (Rule 15): The amount of the international filing fee is as set out in Swiss francs in the Schedule of Fees and the applicable amount of this fee in other currencies is as published in the *PCT Gazette* (Rule 15.2). Information about this fee is also contained in the *PCT Applicant's Guide*, Volume I/B, Annex C.

**Reduction of the International Filing Fee Where PCT-EASY Software Is Used:** A fee reduction of 100 Swiss francs (or the equivalent in the currency in which the international filing fee is paid to the receiving Office) is available in certain cases where the PCT-EASY software is used to prepare the request, provided that the necessary conditions are met. For further details, see the *PCT Applicant's Guide*, Volume I/A, General Part, and Volume I/B, Annex C, as well as information published in the *PCT Gazette* and the *PCT Newsletter*. Since applicants using the PCT-EASY software will file the Request Form and Fee Calculation Sheet in the form of a printout prepared using that software, no provision is made for this fee reduction in the Fee Calculation Sheet annexed to Form PCT/RO/101.

**Reduction of the International Filing Fee Where the International Application Is Filed in Electronic Form:** The international filing fee is reduced by 200 Swiss francs (or the equivalent in the currency in which the international filing fee is paid to the receiving Office) if the international application is, in accordance with and to the extent provided for in Part 7 and Annex F of the Administrative Instructions, filed in electronic form where the text of the description, claims and abstract is **not** in character coded format, or by 300 Swiss francs (or the equivalent in the currency in which the international filing fee is paid to the receiving Office) where the international application is filed in electronic form where the text of the description, claims and abstract is in character coded format. For further details, see the *PCT Applicant's*

*Guide*, Volume I/A, General Part, and Volume I/B, Annex C, as well as information published in the *PCT Gazette* and the *PCT Newsletter*. Since international applications filed in electronic form will contain the Request Form and Fee Calculation Sheet in such electronic form, no provision is made for this fee reduction in the Fee Calculation Sheet annexed to Form PCT/RO/101.

**Reduction of the International Filing Fee for Applicants from Certain States:** An applicant who is a natural person and who is a national of and resides in a State whose per capita national income is below 3,000 US dollars (according to the average per capita national income figures used by the United Nations for determining its scale of assessments for the contributions payable for the years 1995, 1996 and 1997) or an applicant, whether a natural person or not, who is a national of and resides in a State that is classed as a least developed country by the United Nations, is entitled, to a reduction of 75% of certain PCT fees including the international filing fee. If there are several applicants, each must satisfy the above-mentioned criteria. The reduction of the international filing fee is automatically available to any applicant (or applicants) who is (or are) so entitled on the basis of the indications of name, nationality and residence given in Boxes Nos. II and III of the request.

The fee reduction is available even if one or more of the applicants are not from PCT Contracting States, provided that each of them is a national and resident of a State that meets the above-mentioned requirements and that at least one of the applicants is a national or resident of a PCT Contracting State and thus is entitled to file an international application.

Information about PCT Contracting States whose nationals and residents are entitled to a reduction of 75% of certain PCT fees, including the international filing fee, is contained in the *PCT Applicant's Guide*, Volume I/B, Annex C and on the WIPO Website (see <http://www.wipo.int/pct/en/index.html>), and is also published and regularly updated in the *PCT Gazette* and the *PCT Newsletter*.

**Calculation of the International Filing Fee in Case of Fee Reduction:** Where the applicant is (or all applicants are) entitled to a reduction of the international filing fee, the total to be entered in box I is 25% of the international filing fee (see below).

**Box I: International Filing Fee:** The amount of the international filing fee depends on the number of sheets of the international application indicated under item (a) of Box No. IX of the request as explained below.

That number is the **Total number of sheets** where items (b) and (c) of Box No. IX of the request do not apply (that is, where the international application either does not contain a sequence listing and/or tables related thereto or where it contains such listing and/or tables but not filed in electronic form under Section 801(a)(i) or (ii)); in such a case, item "i3" must not be filled in.

Annex II to Circular C.PCT 1012  
page 21

page 2

Otherwise, where items (b) and/or (c) of Box No. IX of the request apply (that is, where the international application contains a sequence listing and/or tables related thereto which are filed in electronic form only, under Section 801(a)(i), or both in that form and in paper form under Section 801(a)(ii)), the number of sheets to be used for the purpose of calculating the amount of the international filing fee is the **Sub-total number of sheets**. In such a case, item "i3" must be filled in on the basis that the sequence listing and/or tables related thereto in electronic form are considered to be equal to 400 sheets (see Section 803).

The international filing fee must be paid within one month from the date of receipt of the international application by the receiving Office.

**Box P: Fee for Priority Document** (Rule 17.1(b)): Where the applicant has requested, by marking the applicable check-box in Box No. VI of the request, that the receiving Office prepare and transmit to the International Bureau a certified copy of the earlier application the priority of which is claimed, the amount of the fee prescribed by the receiving Office for such service may be entered (for information, see the *PCT Applicant's Guide*, Volume I/B, Annex C).

If that fee is not paid at the latest before the expiration of 16 months from the priority date, the receiving Office may consider the request under Rule 17.1(b) as not having been made.

**Total Box:** The total of the amounts entered in boxes T, S, I and P should be entered in this box. If the applicant so wishes, the currency in which the fees are paid may be indicated next to or in the total box.

**MODE OF PAYMENT**

In order to help the receiving Office identify the mode of payment of the prescribed fees, it is recommended that the applicable check-box(es) be marked.

**AUTHORIZATION TO CHARGE  
(OR CREDIT) DEPOSIT ACCOUNT**

The receiving Office will not charge (or credit) fees to deposit accounts unless the deposit account authorization is signed and indicates the deposit account number.

## PATENT COOPERATION TREATY

From the RECEIVING OFFICE

To:

**PCT**

INVITATION TO FURNISH TRANSLATION OF  
INTERNATIONAL APPLICATION AND TO PAY,  
WHERE APPLICABLE, LATE FURNISHING FEE

(PCT Rule 12.4(c) and (e))

		Date of mailing (day/month/year)	
Applicant's or agent's file reference		<b>TIME LIMIT</b> see item 2 below	
International application No.	International filing date/Date of receipt (day/month/year)	Priority date (day/month/year)	
Applicant			

1. The applicant is hereby notified that this receiving Office has **not yet received the required translation of the international application** into a language of publication accepted by this receiving Office that is, into the (or one of the) following language(s):

2. The applicant is hereby **invited**:

- a.  to furnish the required translation within 14 months from the priority date
- b.  in the event that the required translation is not furnished within the time limit referred to in item 2.a, to furnish the required translation within 16 months from the priority date

together with a late furnishing fee of \_\_\_\_\_

3. **Failure to furnish** the required translation and/or, where applicable, to pay the required late furnishing fee within the applicable time limit referred to in item 2.b will result in the international application being considered withdrawn and so declared by the receiving Office. **However**, any translation and any payment received by the receiving Office before that Office makes the declaration under the previous sentence and before the expiration of 17 months from the priority date will be considered to have been received before the expiration of that time limit.

A copy of this invitation is being sent to the International Bureau

Name and mailing address of the receiving Office	Authorized officer
Facsimile No.	Telephone No.

## PATENT COOPERATION TREATY

PCT

LIST OF DOCUMENTS FILED WITH THE  
INTERNATIONAL BUREAU  
AS RECEIVING OFFICE

To:

The International Bureau of WIPO  
PCT Receiving Office Section  
34, chemin des Colombettes  
1211 Geneva 20  
Switzerland

Facsimile No. +41 22 910 06 10

Applicant's or agent's file reference

International application No.  
(if known)International filing date (day/month/year)  
(if known)(Earliest) Priority date  
(day/month/year)

Applicant

Title of invention

The applicant hereby requests the International Bureau to acknowledge to the following person (*include full name, address, facsimile No. and telephone No.*):

the receipt by the following means:

mail (*surface, air mail, registered*)     delivery service     facsimile transmission     hand delivery

of the documents/elements listed below:

- PCT request (including declaration sheets) (        pages)
- description (excluding sequence listing and/or tables relating thereto) (        pages)
- claims (        pages)
- abstract (        pages)
- drawings (        pages)
- sequence listing and/or tables relating thereto (        pages)
- fee calculation sheet
- separate authorization to charge deposit account
- cheque (*indicate currency and amount*)
- cash (*in person only*) (*indicate amount*)
- power of attorney (*general power, copy of general power, separate power*) (*indicate kind and number*)
- statement explaining lack of signature (*if more than one, indicate number*)
- priority document (*if more than one, indicate number*)
- separate indications concerning deposited microorganism or other biological material (        pages)
- sequence listing and/or tables relating thereto in electronic form (*indicate type and number of carriers*)
- statement accompanying sequence listing and/or tables relating thereto in electronic form (*if more than one, indicate number*)
- accompanying letter
- other (*specify*):

## PATENT COOPERATION TREATY

**PCT**ACKNOWLEDGEMENT OF RECEIPT OF  
DOCUMENTS FILED WITH THE  
INTERNATIONAL BUREAU  
AS RECEIVING OFFICE

To:

Facsimile No.:

Date of mailing (day/month/year)	
Applicant's or agent's file reference	<b>IMPORTANT COMMUNICATION</b>
International application No.	Date of receipt/International filing date (day/month/year)
Applicant	
Title of invention	

1. The International Bureau has received the documents/elements listed below on: \_\_\_\_\_  
by the following means:

- mail (*surface, air mail, registered*)     delivery service     facsimile transmission     hand delivery  
 PCT request (including declaration sheets)    (    pages)  
 description (excluding sequence listing and/or tables relating thereto)    (    pages)  
 claims    (    pages)  
 abstract    (    pages)  
 drawings    (    pages)  
 sequence listing and/or tables relating thereto    (    pages)  
 fee calculation sheet  
 separate authorization to charge deposit account  
 cheque  
 cash (*in person only*)  
 power of attorney (*general power, copy of general power, separate power*) (*indicate kind and number*)  
 statement explaining lack of signature (*if more than one, indicate number*)  
 priority document (*if more than one, indicate number*)  
 separate indications concerning deposited microorganism or other biological material (    pages)  
 sequence listing and/or tables relating thereto in electronic form (*indicate type and number of carriers*)  
 statement accompanying sequence listing and/or tables relating thereto in electronic form (*if more than one, indicate number*)  
 accompanying letter  
 form PCT/RO198 (RO/IB)  
 other (*specify*):

The applicant's attention is drawn to the fact that **these papers have not yet been checked by this receiving Office** in respect of their compliance with the requirements of Article 11(1), that is, whether these papers meet the requirements necessary for the according of an international filing date. As soon as these papers have been checked, the applicant will be informed accordingly.

2. Additional observations (*if necessary*):

Name and mailing address of the receiving Office: International Bureau of WIPO PCT Receiving Office Section 34, chemin des Colombettes, 1211 Geneva 20, Switzerland Facsimile No. +41 22 910 06 10	Authorized officer  Telephone No. +41 22 338 91 11
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## PATENT COOPERATION TREATY

## PCT

## INTERNATIONAL-TYPE SEARCH REPORT

(PCT Article 15(5))

National application No.	Country or Office of filing	Applicant's or agent's file reference
Filing date ( <i>day/month/year</i> )		(Earliest) Priority date ( <i>day/month/year</i> )
Applicant		

Date of request for international-type search	International-type search request No.
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This international-type search report has been prepared by this International Searching Authority and is transmitted to the applicant.

This international-type search report consists of a total of \_\_\_\_\_ sheets.

It is also accompanied by a copy of each prior art document cited in this report.

1. **Basis of the report**

a. With regard to the **language**, the international-type search was carried out on the basis of the application in the language in which it was filed, unless otherwise indicated under this item

the international-type search was carried out on the basis of a translation of the application furnished to this Authority.

b.  With regard to any **nucleotide and/or amino acid sequence** disclosed in the application, see Box No. I.

2.  **Certain claims were found unsearchable** (See Box No. II).

3.  **Unity of invention is lacking** (See Box No. III).

## INTERNATIONAL-TYPE SEARCH REPORT

Search request No.

**Box No. I Nucleotide and/or amino acid sequence(s) (Continuation of item 1.b of the first sheet)**

1. With regard to any nucleotide and/or amino acid sequence disclosed in the application, this international-type search was carried out on the basis of :
  - a. type of material
    - a sequence listing
    - table(s) related to the sequence listing
  - b. format of material
    - in paper form
    - in electronic form
  - c. time of filing/furnishing
    - contained in the application as filed
    - filed together with the application in electronic form
    - furnished subsequently to this Authority for the purposes of search
2.  In addition, in the case that more than one version or copy of a sequence listing and/or table relating thereto has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that in the application as filed or does not go beyond the application as filed, as appropriate, were furnished.
3. Additional comments:



**INTERNATIONAL-TYPE SEARCH REPORT**

Search request No.

**Box No. II Observations where certain claims were found unsearchable (Continuation of item 2 of first sheet)**

This international-type search report has not been established in respect of certain claims for the following reasons:

1.  Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:
  
2.  Claims Nos.:  
because they relate to parts of the national application that do not comply with the prescribed requirements to such an extent that no meaningful international-type search can be carried out, specifically:

**Box No. III Observations where unity of invention is lacking (Continuation of item 3 of first sheet)**

This International Searching Authority found multiple inventions in this national application, as follows:

1.  As all required additional search fees were timely paid by the applicant, this international-type search report covers all searchable claims.
2.  As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3.  As only some of the required additional search fees were timely paid by the applicant, this international-type search report covers only those claims for which fees were paid, specifically claims Nos.:
4.  No required additional search fees were timely paid by the applicant. Consequently, this international-type search report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

**Remark on Protest**

- The additional search fees were accompanied by the applicant's protest and, where applicable, the payment of a protest fee.
- The additional search fees were accompanied by the applicant's protest but the applicable protest fee was not paid within the time limit specified in the invitation.
- No protest accompanied the payment of additional search fees.

Annex IV to Circular C.PCT 1012  
page 4

**INTERNATIONAL-TYPE SEARCH REPORT**

Search request No.

<b>A. CLASSIFICATION OF SUBJECT MATTER</b>  According to International Patent Classification (IPC) or to both national classification and IPC				
<b>B. FIELDS SEARCHED</b>  Minimum documentation searched (classification system followed by classification symbols)  Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched  Electronic data base consulted during the international search (name of data base, and, where practicable, search terms used)				
<b>C. DOCUMENTS CONSIDERED TO BE RELEVANT</b>				
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.		
<input type="checkbox"/> Further documents are listed in the continuation of Box C. <input type="checkbox"/> Patent family members are listed in annex.				
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none; vertical-align: top;">           * Special categories of cited documents:            "A" document defining the general state of the art which is not considered to be of particular relevance            "E" earlier application or patent but published on or after the international filing date            "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)            "O" document referring to an oral disclosure, use, exhibition or other means            "P" document published prior to the international filing date but later than the priority date claimed         </td> <td style="width: 50%; border: none; vertical-align: top;">           "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention            "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone            "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art            "&amp;" document member of the same patent family         </td> </tr> </table>			* Special categories of cited documents: "A" document defining the general state of the art which is not considered to be of particular relevance "E" earlier application or patent but published on or after the international filing date "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) "O" document referring to an oral disclosure, use, exhibition or other means "P" document published prior to the international filing date but later than the priority date claimed	"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art "&" document member of the same patent family
* Special categories of cited documents: "A" document defining the general state of the art which is not considered to be of particular relevance "E" earlier application or patent but published on or after the international filing date "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) "O" document referring to an oral disclosure, use, exhibition or other means "P" document published prior to the international filing date but later than the priority date claimed	"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art "&" document member of the same patent family			
Date of the actual completion of the international-type search	Date of mailing of the international-type search report			
Name and mailing address of the ISA/  Facsimile No.	Authorized officer  Telephone No.			

**INTERNATIONAL-TYPE SEARCH REPORT**

Search request No.

C (Continuation). DOCUMENTS CONSIDERED TO BE RELEVANT		
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.

**INTERNATIONAL-TYPE SEARCH REPORT**  
Information on patent family members

Search request No.

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**INTERNATIONAL-TYPE SEARCH REPORT**

Search request No.

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**PATENT COOPERATION TREATY**

From the INTERNATIONAL SEARCHING AUTHORITY

To:

**PCT**NOTIFICATION OF RECEIPT  
OF SEARCH COPY

(PCT Rule 25.1)

Date of mailing  
(*day/month/year*)

Applicant's or agent's file reference

**IMPORTANT NOTIFICATION**

International application No.

International filing date (*day/month/year*)Priority date (*day/month/year*)

Applicant

**1. Where the International Searching Authority and the receiving Office are not the same Office:**

The applicant is hereby notified that the search copy of the international application was received by this International Searching Authority on the date indicated below.

**Where the International Searching Authority and the receiving Office are the same Office:**

The applicant is hereby notified that the search copy of the international application was received on the date indicated below.

\_\_\_\_\_ (*date of receipt*).

2.  The search copy was accompanied by a nucleotide and/or amino acid sequence listing or tables related thereto in electronic form.

3.  The search copy contained a nucleotide and/or amino acid sequence listing or tables related thereto in electronic form.

**4. Time limit for establishment of international search report and written opinion of the International Searching Authority**

The applicant is informed that the time limit for establishing the international search report and the written opinion of the International Searching Authority is three months from the date of receipt indicated above or nine months from the priority date, whichever time limit expires later (Rules 42.1 and 43*bis*.1(a)).

5. A copy of this notification has been sent to the International Bureau and, where the first sentence of paragraph 1 applies, to the receiving Office.

Name and mailing address of the ISA/

Authorized officer

Facsimile No.

Telephone No.

## PATENT COOPERATION TREATY

## PCT

## DECLARATION OF NON-ESTABLISHMENT OF INTERNATIONAL SEARCH REPORT

(PCT Article 17(2)(a), Rules 13ter.1(c) and (d) and 39)

Applicant's or agent's file reference	<b>IMPORTANT DECLARATION</b>	Date of mailing ( <i>day/month/year</i> )
International application No.	International filing date ( <i>day/month/year</i> )	(Earliest) Priority Date ( <i>day/month/year</i> )
International Patent Classification (IPC) or both national classification and IPC		
Applicant		

This International Searching Authority hereby declares, according to Article 17(2)(a), that **no international search report will be established** on the international application for the reasons indicated below.

1.  The subject matter of the international application relates to:
  - a.  scientific theories
  - b.  mathematical theories
  - c.  plant varieties
  - d.  animal varieties
  - e.  essentially biological processes for the production of plants and animals, other than microbiological processes and the products of such processes
  - f.  schemes, rules or methods of doing business
  - g.  schemes, rules or methods of performing purely mental acts
  - h.  schemes, rules or methods of playing games
  - i.  methods for treatment of the human body by surgery or therapy
  - j.  methods for treatment of the animal body by surgery or therapy
  - k.  diagnostic methods practised on the human or animal body
  - l.  mere presentations of information
  - m.  computer programs for which this International Searching Authority is not equipped to search prior art
2.  The failure of the following parts of the international application to comply with prescribed requirements prevents a meaningful search from being carried out:
 

<input type="checkbox"/> the description	<input type="checkbox"/> the claims	<input type="checkbox"/> the drawings
--	-------------------------------------	---------------------------------------
3.  A meaningful search could not be carried out without the sequence listing; the applicant did not, within the prescribed time limit:
  - furnish a sequence listing in paper form complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Searching Authority in a form and manner acceptable to it.
  - furnish a sequence listing in electronic form complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Searching Authority in a form and manner acceptable to it.
  - pay the required late furnishing fee for the furnishing of a sequence listing in response to an invitation under Rule 13ter.1(a) or (b).
4.  A meaningful search could not be carried out without the tables related to the sequence listings; the applicant did not, within the prescribed time limit, furnish such tables in electronic form complying with the technical requirements provided for in Annex C-bis of the Administrative Instructions, and such tables were not available to the International Searching Authority in a form and manner acceptable to it.
5. Further comments:

Name and mailing address of the ISA/	Authorized officer
Facsimile No.	Telephone No.

**PATENT COOPERATION TREATY**

From the INTERNATIONAL SEARCHING AUTHORITY

**PCT**

INVITATION TO PAY  
ADDITIONAL FEES AND PROTEST FEE

(PCT Article 17(3)(a) and Rules 40.1 and 40.2(e))

To:	
Applicant's or agent's file reference	Date of mailing (day/month/year)
International application No.	PAYMENT DUE within <b>ONE MONTH</b> from the above date of mailing
Applicant	International filing date (day/month/year)

1. This International Searching Authority

(i) considers that there are \_\_\_\_\_ (number of) inventions claimed in the international application covered by the claims indicated below/on an extra sheet:

(ii) therefore considers that **the international application does not comply with the requirements of unity of invention** (Rules 13.1, 13.2 and 13.3) for the reasons indicated below/on an extra sheet:

(iii)  has carried out a partial international search (see Annex)  will establish the international search report on those parts of the international application which relate to the invention first mentioned in claims Nos.:

(iv) will establish the international search report on the other parts of the international application only if, and to the extent to which, additional fees are paid.

2. Consequently, the applicant is hereby **invited to pay**, within the time limit indicated above, additional fees in the amount indicated below:

\_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_  
 Fee per additional invention      number of additional inventions      total amount of additional fees/currency

3. The applicant is informed that, according to Rule 40.2(c), **the payment of any additional fees may be made under protest**, that is, a reasoned statement to the effect that the international application complies with the requirement of unity of invention or that the amount of the required additional fees is excessive; where applicable, subject to the payment of a protest fee.

Where the applicant pays additional fees under protest, the applicant is hereby invited, within the time limit indicated above, to pay a protest fee (Rule 40.2(e)) in the amount of \_\_\_\_\_ (amount/currency)

Where the applicant has not, within the time limit indicated above, paid the required protest fee, the protest will be considered not to have been made and the International Searching Authority will so declare.

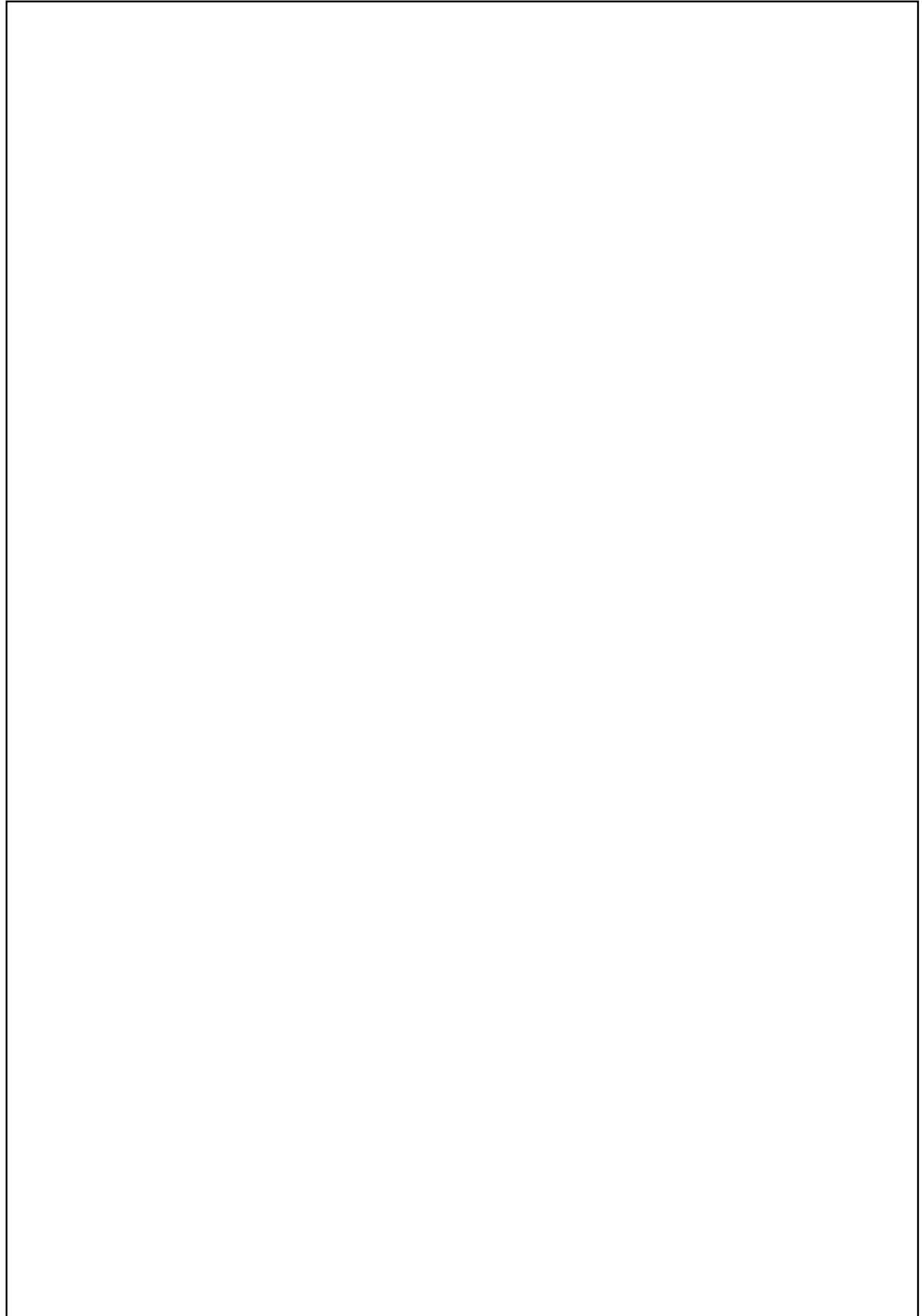
4.  Claim(s) Nos. \_\_\_\_\_ have been found to be unsearchable under Article 17(2)(b) because of defects under Article 17(2)(a) and therefore have not been included with any invention.

Name and mailing address of the ISA/	Authorized officer
Facsimile No.	Telephone No.



INVITATION TO PAY ADDITIONAL FEES AND PROTEST FEE

International application No.



ANNEX TO FORM PCT/ISA/206

COMMUNICATION RELATING TO THE RESULTS OF THE  
PARTIAL INTERNATIONAL SEARCH

International application No.

1. The present communication is an Annex to the invitation to pay additional fees and, where applicable protest fee (Form PCT/ISA/206). It shows the results of the international search established on the parts of the international application which relate to the invention first mentioned in claims Nos.:
2. This communication is not the international search report which will be established according to Article 18 and Rule 43.
3. If the applicant does not pay any additional search fees, the information appearing in this communication will be considered as the result of the international search and will be included as such in the international search report.
4. If the applicant pays additional fees, the international search report will contain both the information appearing in this communication and the results of the international search on the other parts of the international application for which such fees will have been paid.

DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.

Further documents are listed in a continuation Box.

See patent family annex.

\* Special categories of cited documents:  
 "A" document defining the general state of the art which is not considered to be of particular relevance  
 "E" earlier document but published on or after the international filing date  
 "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)  
 "O" document referring to an oral disclosure, use, exhibition or other means  
 "P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention  
 "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone  
 "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art  
 "&" document member of the same patent family

ANNEX TO FORM PCT/ISA/206

COMMUNICATION RELATING TO THE RESULTS OF THE  
PARTIAL INTERNATIONAL SEARCH

International application No.
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DOCUMENTS CONSIDERED TO BE RELEVANT (Continuation)		
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.

**Patent Family Annex**  
Information on patent family members

International application No.

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PATENT COOPERATION TREATY

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference	<b>FOR FURTHER ACTION</b>	see Form PCT/ISA/220 as well as, where applicable, item 5 below.
International application No.	International filing date ( <i>day/month/year</i> )	(Earliest) Priority Date ( <i>day/month/year</i> )
Applicant		

This international search report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This international search report consists of a total of \_\_\_\_\_ sheets.

It is also accompanied by a copy of each prior art document cited in this report.

1. **Basis of the report**

a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

The international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

b.  With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, see Box No. I.

2.  **Certain claims were found unsearchable** (see Box No. II)

3.  **Unity of invention is lacking** (see Box No. III)

4. With regard to the **title**,

the text is approved as submitted by the applicant

the text has been established by this Authority to read as follows:

5. With regard to the **abstract**,

the text is approved as submitted by the applicant

the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box No. IV. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority

6. With regard to the **drawings**,

a. the figure of the **drawings** to be published with the abstract is Figure No. \_\_\_\_\_

as suggested by the applicant

as selected by this Authority, because the applicant failed to suggest a figure

as selected by this Authority, because this figure better characterizes the invention

b.  none of the figures is to be published with the abstract

**INTERNATIONAL SEARCH REPORT**

International application No.

**Box No. I Nucleotide and/or amino acid sequence(s) (Continuation of item 1.b of the first sheet)**

1. With regard to any nucleotide and/or amino acid sequence disclosed in the international application and necessary to the claimed invention, the international search was carried out on the basis of:

a. type of material

a sequence listing

table(s) related to the sequence listing

b. format of material

in paper form

in electronic form

c. time of filing/furnishing

contained in the international application as filed

filed together with the international application in electronic form

furnished subsequently to this Authority for the purposes of search

2.  In addition, in the case that more than one version or copy of a sequence listing and/or table relating thereto has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that in the application as filed or does not go beyond the application as filed, as appropriate, were furnished.

3. Additional comments:

**INTERNATIONAL SEARCH REPORT**

International application No.

**Box No. II Observations where certain claims were found unsearchable (Continuation of item 2 of first sheet)**

This international search report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1.  Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:
  
2.  Claims Nos.:  
because they relate to parts of the international application that do not comply with the prescribed requirements to such an extent that no meaningful international search can be carried out, specifically:
  
3.  Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

**Box No. III Observations where unity of invention is lacking (Continuation of item 3 of first sheet)**

This International Searching Authority found multiple inventions in this international application, as follows:

1.  As all required additional search fees were timely paid by the applicant, this international search report covers all searchable claims.
2.  As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3.  As only some of the required additional search fees were timely paid by the applicant, this international search report covers only those claims for which fees were paid, specifically claims Nos.:
  
4.  No required additional search fees were timely paid by the applicant. Consequently, this international search report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

**Remark on Protest**

- The additional search fees were accompanied by the applicant's protest and, where applicable, the payment of a protest fee.
- The additional search fees were accompanied by the applicant's protest but the applicable protest fee was not paid within the time limit specified in the invitation.
- No protest accompanied the payment of additional search fees.

**INTERNATIONAL SEARCH REPORT**

International application No.

**Box No. IV**    **Text of the abstract (Continuation of item 5 of the first sheet)**



**INTERNATIONAL SEARCH REPORT**

International application No.

<b>A. CLASSIFICATION OF SUBJECT MATTER</b>				
According to International Patent Classification (IPC) or to both national classification and IPC				
<b>B. FIELDS SEARCHED</b>				
Minimum documentation searched (classification system followed by classification symbols)				
Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched				
Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)				
<b>C. DOCUMENTS CONSIDERED TO BE RELEVANT</b>				
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.		
<input type="checkbox"/> Further documents are listed in the continuation of Box C. <input type="checkbox"/> See patent family annex.				
* Special categories of cited documents: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;">           "A" document defining the general state of the art which is not considered to be of particular relevance            "E" earlier application or patent but published on or after the international filing date            "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)            "O" document referring to an oral disclosure, use, exhibition or other means            "P" document published prior to the international filing date but later than the priority date claimed         </td> <td style="width: 50%; border: none;">           "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention            "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone            "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art            "&amp;" document member of the same patent family         </td> </tr> </table>			"A" document defining the general state of the art which is not considered to be of particular relevance "E" earlier application or patent but published on or after the international filing date "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) "O" document referring to an oral disclosure, use, exhibition or other means "P" document published prior to the international filing date but later than the priority date claimed	"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art "&" document member of the same patent family
"A" document defining the general state of the art which is not considered to be of particular relevance "E" earlier application or patent but published on or after the international filing date "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) "O" document referring to an oral disclosure, use, exhibition or other means "P" document published prior to the international filing date but later than the priority date claimed	"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art "&" document member of the same patent family			
Date of the actual completion of the international search	Date of mailing of the international search report			
Name and mailing address of the ISA/  Facsimile No.	Authorized officer  Telephone No.			

**INTERNATIONAL SEARCH REPORT**

International application No.

C (Continuation). DOCUMENTS CONSIDERED TO BE RELEVANT		
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.

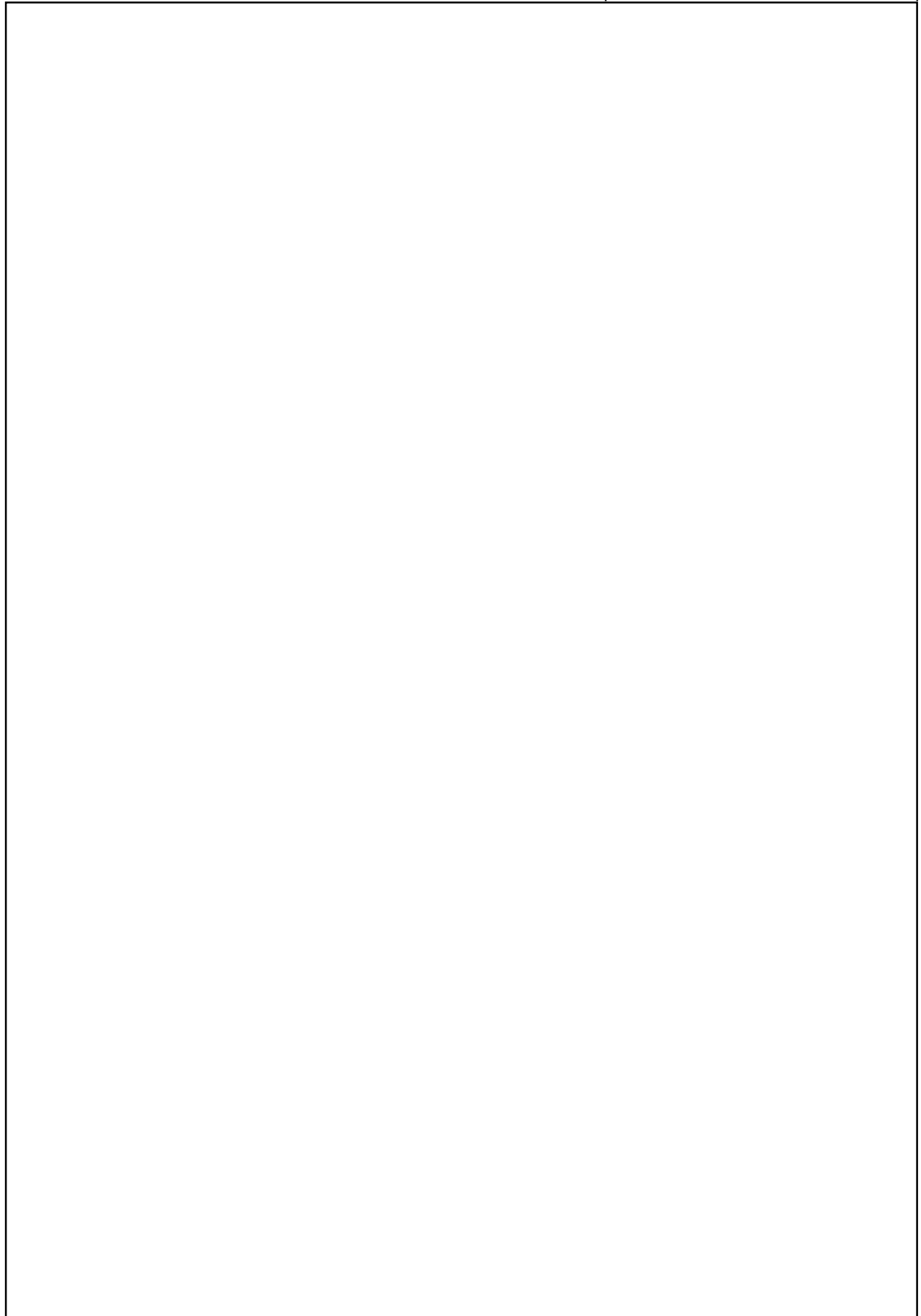
**INTERNATIONAL SEARCH REPORT**  
Information on patent family members

International application No.

--

**INTERNATIONAL SEARCH REPORT**

International application No.



## PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

**PCT**NOTIFICATION OF DECISION ON PROTEST  
OR DECLARATION THAT PROTEST  
CONSIDERED NOT TO HAVE BEEN MADE(PCT Rule 40.2(c) and (e) and  
Administrative Instructions, Section 502)

To:

Date of mailing  
(day/month/year)

Applicant's or agent's file reference

**IMPORTANT NOTIFICATION**

International application No.

International filing date  
(day/month/year)

Applicant

The applicant is hereby notified that this International Searching Authority, after having examined the protest on the payment of the additional fees, has reached the decision indicated below.

1.  **The protest is found justified** to the extent that:

- a.  total reimbursement of the additional fees and, where applicable, any protest fee paid will be made in due course
- b.  partial reimbursement in the amount of \_\_\_\_\_ (amount/currency) will be made in due course for the following reason(s):

2.  **The protest is found unjustified** and the additional fees and, where applicable, any protest fee paid will not be refunded for the following reason(s):

3.  The International Searching Authority declares that the protest is considered not to have been made since the applicant has not paid the protest fee within the time limit referred to in the invitation (Form PCT/ISA/206) dated \_\_\_\_\_.

**ATTENTION**

The applicant should notify the International Bureau promptly if he wishes a copy of the protest and the decision thereon to be sent to the designated Offices.

A copy of this notification has been sent to the International Bureau.

Name and mailing address of the ISA/

Authorized officer

Facsimile No.

Telephone No.

## PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

To:	<h1 style="margin: 0;">PCT</h1> <p style="margin: 0;">INVITATION TO FURNISH NUCLEOTIDE AND/OR AMINO ACID SEQUENCE LISTING AND/OR TABLES RELATED THERETO COMPLYING WITH STANDARD AND/OR TECHNICAL REQUIREMENTS</p> <p style="margin: 0;">(PCT Rule 13<i>ter</i>.1(a) to (d) and Administrative Instructions, Sections 208 and 802 and Annexes C and C-<i>bis</i>)</p>
	Date of mailing (day/month/year)
Applicant's or agent's file reference	<b>REPLY DUE</b> within _____ months/days from the above date of mailing
International application No.	International filing date (day/month/year)
Applicant	

1. The applicant is hereby **invited**, within the time limit indicated above, to furnish to this Authority:

a nucleotide and/or amino acid sequence listing **in paper form** complying with the standard provided for in Annex C of the Administrative Instructions, accompanied by a **statement** to the effect that the sequence listing does not go beyond the disclosure in the international application as filed

a **statement** to the effect that the sequence listing in paper form, already furnished to this Authority, does not go beyond the disclosure in the international application as filed

a nucleotide and/or amino acid sequence listing and/or tables related thereto **in electronic form** complying with the standard and/or technical requirements provided for in Annex C and/or Annex C-*bis* of the Administrative Instructions, accompanied by a **statement** that the information recorded in electronic form is identical to the sequence listing and/or tables related thereto in paper form

a **statement** that the information recorded in electronic form (that electronic form having already been furnished to this Authority) is identical to the sequence listing and/or tables related thereto in paper form

2. The applicant is hereby invited, within the time limit indicated above, to pay to this Authority:

a late furnishing fee in the amount of \_\_\_\_\_ (amount/currency)

3. **Failure to comply with this invitation** may result in this Authority only carrying out the international search to the extent that a meaningful search can be carried out without the sequence listing.

4. Further observations (*if necessary*):

Name and mailing address of the ISA/  Facsimile No.	Authorized officer  Telephone No.
---	---

**PATENT COOPERATION TREATY**

From the  
INTERNATIONAL SEARCHING AUTHORITY

**PCT**

WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY

(PCT Rule 43*bis*.1)

To:	<p><b>PCT</b></p> <p>WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY</p> <p>(PCT Rule 43<i>bis</i>.1)</p>	
	Date of mailing ( <i>day/month/year</i> )	
Applicant's or agent's file reference	<b>FOR FURTHER ACTION</b> See paragraph 2 below	
International application No.	International filing date ( <i>day/month/year</i> )	Priority date ( <i>day/month/year</i> )
International Patent Classification (IPC) or both national classification and IPC		
Applicant		

1. This opinion contains indications relating to the following items:

- Box No. I Basis of the opinion
- Box No. II Priority
- Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- Box No. IV Lack of unity of invention
- Box No. V Reasoned statement under Rule 43*bis*.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- Box No. VI Certain documents cited
- Box No. VII Certain defects in the international application
- Box No. VIII Certain observations on the international application

2. **FURTHER ACTION**

If a demand for international preliminary examination is made, this opinion will be considered to be a written opinion of the International Preliminary Examining Authority ("IPEA") except that this does not apply where the applicant chooses an Authority other than this one to be the IPEA and the chosen IPEA has notified the International Bureau under Rule 66.1*bis*(b) that written opinions of this International Searching Authority will not be so considered.

If this opinion is, as provided above, considered to be a written opinion of the IPEA, the applicant is invited to submit to the IPEA a written reply together, where appropriate, with amendments, before the expiration of 3 months from the date of mailing of Form PCT/ISA/220 or before the expiration of 22 months from the priority date, whichever expires later.

For further options, see Form PCT/ISA/220.

3. For further details, see notes to Form PCT/ISA/220.

Name and mailing address of the ISA/  Facsimile No.	Date of completion of this opinion	Authorized officer  Telephone No.
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WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY

International application No.

**Box No. I**      **Basis of this opinion**

1. With regard to the **language**, this opinion has been established on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

This opinion has been established on the basis of a translation from the original language into the following language \_\_\_\_\_, which is the language of a translation furnished for the purposes of international search (under Rules 12.3 and 23.1(b)).

2. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application and necessary to the claimed invention, this opinion has been established on the basis of:

a. type of material

a sequence listing

table(s) related to the sequence listing

b. format of material

in paper form

in electronic form

c. time of filing/furnishing

contained in the international application as filed

filed together with the international application in electronic form

furnished subsequently to this Authority for the purposes of search

3.  In addition, in the case that more than one version or copy of a sequence listing and/or table(s) relating thereto has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that in the application as filed or does not go beyond the application as filed, as appropriate, were furnished.

4. Additional comments:



WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY

International application No.

**Box No. II**    **Priority**

1.  The validity of the priority claim has not been considered because the International Searching Authority does not have in its possession a copy of the earlier application whose priority has been claimed or, where required, a translation of that earlier application. This opinion has nevertheless been established on the assumption that the relevant date (Rules 43*bis*.1 and 64.1) is the claimed priority date.
2.  This opinion has been established as if no priority had been claimed due to the fact that the priority claim has been found invalid (Rules 43*bis*.1 and 64.1). Thus for the purposes of this opinion, the international filing date indicated above is considered to be the relevant date.
3. Additional observations, if necessary:

WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY

International application No. \_\_\_\_\_

**Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability**

The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non obvious), or to be industrially applicable have not been examined in respect of

- the entire international application
- claims Nos. \_\_\_\_\_

because:

- the said international application, or the said claims Nos. \_\_\_\_\_ relate to the following subject matter which does not require an international preliminary examination (*specify*):

- the description, claims or drawings (*indicate particular elements below*) or said claims Nos. \_\_\_\_\_ are so unclear that no meaningful opinion could be formed (*specify*):

- the claims, or said claims Nos. \_\_\_\_\_ are so inadequately supported by the description that no meaningful opinion could be formed

- no international search report has been established for said claims Nos. \_\_\_\_\_

- a meaningful opinion could not be formed without the sequence listing; the applicant did not, within the prescribed time limit:

- furnish a sequence listing in paper form complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Searching Authority in a form and manner acceptable to it.

- furnish a sequence listing in electronic form complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Searching Authority in a form and manner acceptable to it.

- pay the required late furnishing fee for the furnishing of a sequence listing in response to an invitation under Rule 13*ter*.1(a) or (b).

- a meaningful opinion could not be formed without the tables related to the sequence listings; the applicant did not, within the prescribed time limit, furnish such tables in electronic form complying with the technical requirements provided for in Annex C-*bis* of the Administrative Instructions, and such tables were not available to the International Searching Authority in a form and manner acceptable to it.

- the tables related to the nucleotide and/or amino acid sequence listing, if in electronic form only, do not comply with the technical requirements provided for in Annex C-*bis* of the Administrative Instructions.

- See Supplemental Box for further details.

WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY

International application No.

**Box No. IV Lack of unity of invention**

1.  In response to the invitation (Form PCT/ISA/206) to pay additional fees the applicant has, within the applicable time limit:
  - paid additional fees
  - paid additional fees under protest and, where applicable, the protest fee
  - paid additional fees under protest but the applicable protest fee was not paid
  - not paid additional fees
2.  This Authority found that the requirement of unity of invention is not complied with and chose not to invite the applicant to pay additional fees.
3. This Authority considers that the requirement of unity of invention in accordance with Rule 13.1, 13.2 and 13.3 is
  - complied with
  - not complied with for the following reasons:
4. Consequently, this opinion has been established in respect of the following parts of the international application:
  - all parts
  - the parts relating to claims Nos. \_\_\_\_\_

WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY

International application No.

**Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Statement

Novelty (N)	Claims	_____	YES
	Claims	_____	NO
Inventive step (IS)	Claims	_____	YES
	Claims	_____	NO
Industrial applicability (IA)	Claims	_____	YES
	Claims	_____	NO

2. Citations and explanations:

WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY

International application No.

**Box No. VI** Certain documents cited

1. Certain published documents (Rules 43bis.1 and 70.10)

Application No. Patent No.	Publication date (day/month/year)	Filing date (day/month/year)	Priority date (valid claim) (day/month/year)
-------------------------------	--------------------------------------	---------------------------------	---

2. Non-written disclosures (Rules 43bis.1 and 70.9)

Kind of non-written disclosure	Date of non-written disclosure (day/month/year)	Date of written disclosure referring to non-written disclosure (day/month/year)
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**WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY**

International application No.

**Box No. VII Certain defects in the international application**

The following defects in the form or contents of the international application have been noted:

**WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY**

International application No.

**Box No. VIII Certain observations on the international application**

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:

**WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY**

International application No.

**Supplemental Box**

In case **the space in any of the preceding boxes is not sufficient.**  
Continuation of:



## Annex V to Circular C.PCT 1012

*The demand must be filed directly with the competent International Preliminary Examining Authority or, if two or more Authorities are competent, with the one chosen by the applicant. The full name or two-letter code of that Authority may be indicated by the applicant on the line below:*

**IPEA/** \_\_\_\_\_

# PCT

**CHAPTER II**

## DEMAND

under Article 31 of the Patent Cooperation Treaty:

The undersigned requests that the international application specified below be the subject of international preliminary examination according to the Patent Cooperation Treaty.

For International Preliminary Examining Authority use only		
Identification of IPEA	Date of receipt of DEMAND	
<b>Box No. I IDENTIFICATION OF THE INTERNATIONAL APPLICATION</b>		
Applicant's or agent's file reference		
International application No.	International filing date ( <i>day/month/year</i> )	(Earliest) Priority date ( <i>day/month/year</i> )
Title of invention		
<b>Box No. II APPLICANT(S)</b>		
Name and address: ( <i>Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.</i> )		Telephone No.
		Facsimile No.
		Teleprinter No.
		Applicant's registration No. with the Office
State ( <i>that is, country</i> ) of nationality:	State ( <i>that is, country</i> ) of residence:	
Name and address: ( <i>Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.</i> )		
State ( <i>that is, country</i> ) of nationality:	State ( <i>that is, country</i> ) of residence:	
Name and address: ( <i>Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.</i> )		
State ( <i>that is, country</i> ) of nationality:	State ( <i>that is, country</i> ) of residence:	
<input type="checkbox"/> Further applicants are indicated on a continuation sheet.		

Annex V to Circular C.PCT 1012  
page 2

Sheet No. . . .

International application No.

**Continuation of Box No. II APPLICANT(S)**

*If none of the following sub-boxes is used, this sheet should not be included in the demand.*

Name and address: *(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)*

State *(that is, country)* of nationality:

State *(that is, country)* of residence:

Name and address: *(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)*

State *(that is, country)* of nationality:

State *(that is, country)* of residence:

Name and address: *(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)*

State *(that is, country)* of nationality:

State *(that is, country)* of residence:

Name and address: *(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)*

State *(that is, country)* of nationality:

State *(that is, country)* of residence:

Further applicants are indicated on another continuation sheet.

Sheet No. . . .

International application No.

**Box No. III AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE**

The following person is  agent  common representative  
and  has been appointed earlier and represents the applicant(s) also for international preliminary examination.  
 is hereby appointed and any earlier appointment of (an) agent(s)/common representative is hereby revoked.  
 is hereby appointed, specifically for the procedure before the International Preliminary Examining Authority, in addition to the agent(s)/common representative appointed earlier.

Name and address: *(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)*

Telephone No.

Facsimile No.

Teleprinter No.

Agent's registration No. with the Office

**Address for correspondence:** Mark this check-box where no agent or common representative is/has been appointed and the space above is used instead to indicate a special address to which correspondence should be sent.

**Box No. IV BASIS FOR INTERNATIONAL PRELIMINARY EXAMINATION**

**Statement concerning amendments:\***

1. The applicant wishes the international preliminary examination **to start on the basis of:**

- the international application as originally filed
- the description  as originally filed  
 as amended under Article 34
- the claims  as originally filed  
 as amended under Article 19 (together with any accompanying statement)  
 as amended under Article 34
- the drawings  as originally filed  
 as amended under Article 34

- 2.  The applicant wishes any amendment to the claims under Article 19 to be considered as reversed.
- 3.  Where the IPEA wishes to start the international preliminary examination at the same time as the international search in accordance with Rule 69.1(b), the applicant requests the IPEA **to postpone** the start of the international preliminary examination until the expiration of the applicable time limit under Rule 69.1(d).
- 4.  The applicant expressly wishes the international preliminary examination **to start earlier** than at the expiration of the applicable time limit under Rule 54bis.1(a).

\* Where no check-box is marked, international preliminary examination will start on the basis of the international application as originally filed or, where a copy of amendments to the claims under Article 19 and/or amendments of the international application under Article 34 are received by the International Preliminary Examining Authority before it has begun to draw up a written opinion or the international preliminary examination report, as so amended.

**Language for the purposes of international preliminary examination:** .....

- which is the language in which the international application was filed.
- which is the language of a translation furnished for the purposes of international search.
- which is the language of publication of the international application.
- which is the language of the translation (to be) furnished for the purposes of international preliminary examination.

**Box No. V ELECTION OF STATES**

The filing of this demand constitutes the election of all Contracting States which are designated and are bound by Chapter II of the PCT.

Sheet No. . . .

International application No.

**Box No. VI CHECK LIST**

The demand is accompanied by the following elements, in the language referred to in Box No. IV, for the purposes of international preliminary examination:

- |  |   |        |
|--|---|--------|
| 1. translation of international application                              | : | sheets |
| 2. amendments under Article 34   | : | sheets |
| 3. copy (or, where required, translation) of amendments under Article 19 | : | sheets |
| 4. copy (or, where required, translation) of statement under Article 19  | : | sheets |
| 5. letter  | : | sheets |
| 6. other ( <i>specify</i> )  | : | sheets |

For International Preliminary Examining Authority use only

received                      not received

- |                          |                          |
|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |

The demand is also accompanied by the item(s) marked below:

- |  |   |
|--|---|
| 1. <input type="checkbox"/> fee calculation sheet  | 5. <input type="checkbox"/> statement explaining lack of signature                  |
| 2. <input type="checkbox"/> original separate power of attorney                          | 6. <input type="checkbox"/> sequence listing in electronic form                     |
| 3. <input type="checkbox"/> original general power of attorney                           | 7. <input type="checkbox"/> tables in electronic form related to a sequence listing |
| 4. <input type="checkbox"/> copy of general power of attorney; reference number, if any: | 8. <input type="checkbox"/> other ( <i>specify</i> ):                               |

**Box No. VII SIGNATURE OF APPLICANT, AGENT OR COMMON REPRESENTATIVE**

*Next to each signature, indicate the name of the person signing and the capacity in which the person signs (if such capacity is not obvious from reading the demand).*

For International Preliminary Examining Authority use only

1. Date of actual receipt of DEMAND:	
2. Adjusted date of receipt of demand due to CORRECTIONS under Rule 60.1(b):	
3. <input type="checkbox"/> The date of receipt of the demand is AFTER the expiration of 19 months from the priority date and item 4 or 5, below, does not apply.  <input type="checkbox"/> The applicant has been informed accordingly.	6. <input type="checkbox"/> The date of receipt of the demand is AFTER the expiration of the time limit under Rule 54bis.1(a) and item 7 or 8, below, does not apply.
4. <input type="checkbox"/> The date of receipt of the demand is WITHIN the time limit of 19 months from the priority date as extended by virtue of Rule 80.5.	7. <input type="checkbox"/> The date of receipt of the demand is WITHIN the time limit under Rule 54bis.1(a) as extended by virtue of Rule 80.5.
5. <input type="checkbox"/> Although the date of receipt of the demand is after the expiration of 19 months from the priority date, the delay in arrival is EXCUSED pursuant to Rule 82.	8. <input type="checkbox"/> Although the date of receipt of the demand is after the expiration of the time limit under Rule 54bis.1(a), the delay in arrival is EXCUSED pursuant to Rule 82.

For International Bureau use only

Demand received from IPEA on:
-------------------------------

**NOTES TO THE DEMAND FORM (PCT/IPEA/401)**

These Notes are intended to facilitate the filling in of the demand form and to give some information concerning international preliminary examination under Chapter II of the Patent Cooperation Treaty (PCT). For more detailed information, see the *PCT Applicant's Guide*, a WIPO publication, which is available, together with other PCT related documents, at WIPO's Website: [www.wipo.int/pct/en/index.html](http://www.wipo.int/pct/en/index.html). The Notes are based on the requirements of the PCT, the Regulations and the Administrative Instructions under the PCT. In case of any discrepancy between these Notes and those requirements, the latter are applicable.

In the demand form and these Notes, "Article", "Rule" and "Section" refer to the provisions of the PCT, the PCT Regulations and the Administrative Instructions, respectively.

Please use a typewriter; check-boxes may be marked by hand with dark ink (Rules 11.9(a) and (b) and 11.14).

The demand form and these Notes may be downloaded from WIPO's Website at the address given above.

**IMPORTANT GENERAL INFORMATION**

**Who May File a Demand?** (Article 31(2)(a) and Rule 54): A demand (for international preliminary examination) may only be filed by an applicant who is a national or resident of a PCT Contracting State which is bound by Chapter II of the PCT; furthermore, the international application must have been filed with a receiving Office of, or acting for, a State bound by Chapter II. Where there are two or more applicants (for the same or different elected States) at least one of them must qualify.

**Where Must the Demand Be Filed?** (Article 31(6)(a)): The demand must be filed with a competent International Preliminary Examining Authority (IPEA). The receiving Office with which the international application was filed will, upon request, give information about the competent IPEA (or see the *PCT Applicant's Guide*, Volume I/B, Annex C). If several IPEAs are competent, the applicant has the choice and the demand must be filed with (and the fees must be paid to) the IPEA chosen by the applicant. The IPEA chosen by the applicant may be identified, preferably by an indication of the name or two-letter code of the IPEA, at the top of the first sheet of the demand in the space provided for that purpose.

**When Must the Demand Be Filed?** (Article 39(1) and Rule 54bis.1): As long as certain designated Offices are still not bound by the 30-month time limit under Article 22 for entry into the national phase, the demand—because it contains the required election of designated States—must be filed within 19 months from the priority date if the applicant wishes to postpone entry into the national phase from 20 to 30 months from the priority date in respect of those designated Offices. For updated information about those Offices, see the *PCT Applicant's Guide*, Volume II, National Chapters, Summaries, available on the WIPO Website at the address indicated above. It is recalled that the time limit of 30 months from the priority date applies to all other designated Offices regardless of whether or not a demand is filed.

If the applicant wishes to file a demand, but not because of the reason explained above, the applicable time limit for filing such demand is three months from the date of transmittal of the international search report or of the declaration referred to in Article 17(2)(a), and the written opinion established by the International Searching Authority or 22 months from the priority date, whichever expires later (see Rule 54bis.1(a)).

Any demand made after the expiration of the applicable time limit will be considered as if it had not been submitted and the IPEA shall so declare.

**In Which Language Must the Demand Be Filed?** (Rule 55.1): The demand must be filed in the language in which international preliminary examination will be carried out (see Notes to Box No. IV).

**What is the Language of Correspondence?** (Rules 66.9 and 92.2 and Section 104): Any letter from the applicant to the IPEA must be in the same language as the international application to which it relates. However, where the international preliminary examination will be carried out on the basis of a translation (see Notes to Box No. IV), any letter from the applicant to the IPEA must be in the language of the translation. The IPEA may authorize the use of other languages for letters which do not contain or relate to amendments of the international application. Any letter from the applicant to the International Bureau must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

**BOX No. I**

**Applicant's or Agent's File Reference:** A file reference may be indicated, if desired. It should not exceed 12 characters. Characters in excess of 12 may be disregarded (Section 109).

**Identification of the International Application** (Rule 53.6): The international application number must be indicated in Box No. I. Where the demand is filed at a time when the international application number has not yet been notified by the receiving Office, the name of that Office must be indicated instead of the international application number.

**International Filing Date and (Earliest) Priority Date** (Section 110): Dates must be indicated by the Arabic number of the day, the name of the month and the Arabic number of the year—in that order; after, below or above such indication, the date should be repeated in parentheses, using two-digit Arabic numerals each for the number of the day and for the number of the month followed by the number of the year in four digits, in that order, and separated by periods, slants or hyphens, for example, "21 March 2005 (21.03.2005)", "21 March 2005 (21/03/2005)" or "21 March 2005 (21-03-2005)". Where the international application claims the priority of several earlier applications, the filing date of the earliest application whose priority is claimed must be indicated as the priority date.

**Title of the Invention:** If a new title has been established by the International Searching Authority, that title must be indicated in Box No. I.

### BOX No. II

**Applicant(s)** (Rule 53.4): All the applicants for the elected States must be indicated in the demand. It should be noted that the persons named as “inventor only” in the request need not be named in the demand.

Make in Box No. II of the demand the required indications as appearing in Boxes Nos. II and III of the request. The Notes to the request apply *mutatis mutandis*. If there are two or more applicants for the States elected in the demand, give the required indications for each of them; if there are more than three applicants, make the required indications on the “Continuation Sheet”.

If different applicants were indicated in the request for different designated States, there is no need to again indicate in the demand the States for which a person is applicant, because those indications have been made in the request.

**Applicant’s registration number with the Office** (Rule 53.4): Where the applicant is registered with the national or regional Office that is acting as International Preliminary Examining Authority, the demand may indicate the number or other indication under which the applicant is so registered.

### BOX No. III

**Agent or Common Representative** (Rules 53.5, 90.1 and 90.2): Mark the applicable check-boxes to indicate *first* whether the person named in this Box is agent or common representative, *then* whether that person *has been appointed earlier* (i.e., during the procedure under Chapter I), or *is appointed in the demand* and any earlier appointment of another person is revoked, or *is appointed specifically for the procedure before the IPEA* (without revocation of any earlier appointment), in addition to the person(s) appointed earlier.

Where an additional person is appointed specifically for the procedure before the IPEA, all notifications issued by the IPEA will be addressed only to that additional person.

A separate power of attorney must be filed with the IPEA, the International Bureau or the receiving Office, if the person appointed at the time the demand is filed (i.e., was not appointed earlier) signs the demand on behalf of the applicant (Rule 90.4). However, the receiving Office, the International Bureau or the IPEA may waive the requirement that a separate power of attorney be filed. For details, see the *PCT Applicant’s Guide*, Volume I/A, Annex B2(IB), and Volume I/B, Annexes C and E.

**Agent’s registration number with the Office** (Rule 53.5): Where the agent is registered with the national or regional Office that is acting as International Preliminary Examining Authority, the demand may indicate the number or other indication under which the agent is so registered.

**Address for Correspondence** (Rule 4.4(d) and Section 108): Where an agent is appointed, any correspondence intended for the applicant will be sent to the address indicated for that agent (or for the first-mentioned agent, if more than one is appointed). Where one of two or more applicants is appointed as common representative, the address indicated for that applicant in Box No. III will be used.

Where no agent or common representative is appointed, any correspondence will be sent to the address, indicated in Box No. II, of the applicant (if only one person is named as applicant) or of the applicant who is considered to be common representative (if there are two or more persons named as applicants). However, if the applicant wishes correspondence to be sent to a different address in such a case, that address may be indicated in Box No. III instead of the designation of an agent or common representative. In this case, and only in this case, the last check-box of Box No. III must be marked (that is, the last check-box must not be marked if either of the check-boxes “agent” or “common representative” in Box No. III has been marked).

### BOX No. IV

**Statement Concerning Amendments** (Rules 53.2(a)(v), 53.9, 62, 66.1 and 69.1): The international preliminary examination will start on the basis of the international application as filed or, if amendments have been filed, as amended. Mark the appropriate check-box(es) to enable the IPEA to determine when and on what basis it can start international preliminary examination.

**Mark the corresponding check-box(es) under No. 1** where the international preliminary examination should start on the basis of the international application as originally filed or where amendments are to be taken into account, as the case may be. Where amendments are to be taken into account, the applicant must submit *with the demand* a copy of amendments to the claims under Article 19 (Rule 53.9(a)(i)) and/or the amendments of the international application under Article 34 (Rule 53.9(c)), as the case may be. If a check-box is marked but the demand is not accompanied by the documents referred to, the start of international preliminary examination will be delayed until the IPEA receives them.

**Mark check-box No. 2** if amendments of the claims under Article 19 have been filed with the International Bureau during the Chapter I procedure, but the applicant wishes those amendments to be considered reversed by an amendment under Article 34 (Rule 53.9(a)(ii)).

**Mark check-box No. 3** where the applicant wants to keep the option for the filing of amendments of the claims under Article 19 open and where the IPEA wishes to start the international preliminary examination at the same time as the international search in accordance with Rule 69.1(b). The applicant may request the IPEA to **postpone** the start of international preliminary examination until the expiration of the applicable time limit (Rules 46.1, 53.9(b) and 69.1(d)).

**Mark check-box No. 4** if the applicant wishes that the international preliminary examination start earlier than at the expiration of the applicable time limit under Rule 54bis.1(a).

Where the ISA and IPEA are not the same Authority, examination will not commence until the IPEA is in possession of the international search report, or a notice of the declaration under Article 17(2)(a) and the written opinion established by the ISA.

**The applicable time limit under Rule 54bis.1(a)** is three months from the date of transmittal of the international search report or of the declaration referred to in Article 17(2)(a), and the written opinion established by the International Searching Authority, or 22 months from the priority date, whichever expires later.

If no check-box is marked, refer to the footnote at the bottom of the Box.

**Language for the Purposes of International Preliminary Examination** (Rule 55.2): Where neither the language in which the international application is filed nor the language in which the international application is published is accepted by the IPEA that is to carry out the international preliminary examination, the applicant must furnish with the demand a translation of the international application into a language which is both a language accepted by that Authority and a language of publication.

Where such translation has already been furnished to the International Searching Authority for the purposes of carrying out international search and the IPEA is part of the same Office or intergovernmental organization as the International Searching Authority, the applicant need not furnish another translation. In such a case the international preliminary examination is carried out on the basis of the translation furnished for the purposes of international search.

The language for the purposes of international preliminary examination should be indicated in Box No. IV, on the dotted line, and the corresponding check-box should be marked.

**Language of Amendments** (Rules 55.3 and 66.9): Amendments and letters relating thereto must be in the same language as that in which the international preliminary examination is carried out, as explained in the preceding paragraphs.

**Time Limit for Furnishing Translation of the International Application** (Rule 55.2): Any required translation of the international application should be furnished (by the applicant) together with the demand. If it is not so furnished, the IPEA will invite the applicant to furnish it within a time limit which shall not be less than one month from the date of the invitation. That time limit may be extended by the IPEA.

#### BOX No. V

**Election of States** (Rule 53.7): The making of a demand shall constitute the election of all States which have been designated and which are bound by Chapter II of the PCT.

#### BOX No. VI

**Check List:** It is recommended that this Box be filled in carefully in order for the IPEA to determine as soon as possible whether it is in possession of the documents on the basis of which the applicant wishes international preliminary examination to start.

Where the international application contains disclosure of one or more nucleotide and/or amino acid sequences, and a copy of the sequence listing in electronic form complying with the standard provided for in the Administrative Instructions is required by the IPEA, the applicant may furnish the listing in electronic form to the IPEA with the demand. If this is the case, check-box No. 6 must be marked.

Similarly, where such an application contains tables related to the sequence listing, and a copy of the tables in electronic form complying with the standard provided for in the Administrative Instructions is required by the IPEA, the applicant may furnish the tables in electronic form to the IPEA with the demand. If this is the case, check-box No. 7 must be marked.

#### BOX No. VII

**Signature** (Rules 53.8, 60.1(a-ter), 90.3(a) and 90.4(a) and (d)): The demand must be signed by the applicant or by his agent; if there are several applicants, the demand must be signed by all of them, or by the common agent or the common representative of all of them. However, if the signature(s) of one or more applicants is missing, the IPEA will not invite the applicants to furnish the missing signature(s) provided that at least one of the applicants has signed the demand.

**Important: Should a notice of withdrawal be filed at any time during the international phase, that notice will have to be signed by the applicant or, if there are two or more applicant's by all of them (Rule 90bis.5(a)), or by an agent or a common representative whose appointment has been effected by each applicant signing, at his choice, the request, the demand or a separate power of attorney (Rule 90.4(a)).**

**PCT**

**FEE CALCULATION SHEET**

**Annex to the Demand**

International application No.	For International Preliminary Examining Authority use only	
Applicant's or agent's file reference	Date stamp of the IPEA	
Applicant		
<b>CALCULATION OF PRESCRIBED FEES</b>		
1. Preliminary examination fee .....		P
2. Handling fee ( <i>Applicants from certain States are entitled to a reduction of 75% of the handling fee. Where the applicant is (or all applicants are) so entitled, the amount to be entered at H is 25% of the handling fee.</i> ) .....		H
3. Total of prescribed fees Add the amounts entered at P and H and enter total in the TOTAL box .....		
<b>TOTAL</b>		
<b>MODE OF PAYMENT</b>		
<input type="checkbox"/> authorization to charge deposit account with the IPEA (see below)	<input type="checkbox"/> cash	
<input type="checkbox"/> cheque	<input type="checkbox"/> revenue stamps	
<input type="checkbox"/> postal money order	<input type="checkbox"/> coupons	
<input type="checkbox"/> bank draft	<input type="checkbox"/> other ( <i>specify</i> ):	
<b>AUTHORIZATION TO CHARGE (OR CREDIT) DEPOSIT ACCOUNT</b> <i>(This mode of payment may not be available at all IPEAs)</i>		
<input type="checkbox"/> Authorization to charge the total fees indicated above.	IPEA/ _____	
<input type="checkbox"/> ( <i>This check-box may be marked only if the conditions for deposit accounts of the IPEA so permit</i> ) Authorization to charge any deficiency or credit any overpayment in the total fees indicated above.	Deposit Account No.: _____	
	Date: _____	
	Name: _____	
	Signature: _____	



**NOTES TO THE FEE CALCULATION SHEET  
(ANNEX TO FORM PCT/IPEA/401)**

The purpose of the fee calculation sheet is to help the applicant to identify the prescribed fees and to calculate the amounts to be paid. It is strongly recommended that the applicant complete, by entering the appropriate amounts in the boxes provided, and submit the fee calculation sheet at the time of filing of the demand. This will help the International Preliminary Examining Authority (IPEA) to verify the calculations and to identify any error in them.

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**CALCULATION OF PRESCRIBED FEES**

Two fees must be paid for international preliminary examination:

- (i) the preliminary examination fee for the benefit of the IPEA (Rule 58.1);
- (ii) the handling fee for the benefit of the International Bureau (Rule 57).

Both fees must be paid to the IPEA within one month from the date on which the demand is submitted or 22 months from the priority date, whichever expires later. The amount payable is the amount applicable on the date of payment (Rules 57.3 and 58.1(b)). The fees must be paid in a currency acceptable to the IPEA.

Information about the amount of those fees or about equivalent amounts in other currencies can be obtained from the IPEA or the receiving Office. This information is also published in the *PCT Applicant's Guide*, Volume I/B, Annex E, and from time to time in Section IV of the *PCT Gazette*.

**Box P:** The amount of the preliminary examination fee must be entered in Box P.

**Box H:** The amount of the handling fee must be entered in Box H.

**Reduction of the Handling Fee for Applicants from Certain States:** An applicant who is a natural person and who is a national of and resides in a State whose per capita national income is below 3,000 US dollars (according to the average per capita national income figures used by the United Nations for determining its scale of assessments for the contributions payable for the years 1995, 1996 and 1997) or an applicant, whether a natural person or not, who is a national of and resides in a State that is classed as a least developed country by the United Nations, is entitled, in accordance with the Schedule of Fees, to a reduction of 75% of certain PCT fees including the handling fee. If there are several applicants, each must satisfy the above-mentioned criteria. The reduction of the handling fee will be automatically available to any applicant (or applicants) who is (or are) so entitled on the basis of the indications of name, nationality and residence given in Box No. II of the demand.

The fee reduction will be available even if one or more of the applicants are not from PCT Contracting States, provided that each of them is a national and resident of a State that meets the above-mentioned requirements and that at least one of the applicants is a national or resident of a PCT Contracting State and thus is entitled to file an international application.

Information about PCT Contracting States whose nationals and residents are entitled to a reduction of 75% of certain PCT fees, including the handling fee, is contained in the *PCT Applicant's Guide*, Volume I/B, Annex C and on the WIPO Website (see <http://www.wipo.int/pct/en/index.html>), and is also published and regularly updated in the *PCT Gazette* and the *PCT Newsletter*.

**Calculation of the Handling Fee in Case of Fee Reduction:** Where the applicant is (or all applicants are) entitled to a reduction of the handling fee, the total to be entered at Box H is 25% of the handling fee.

**Total Box:** The total of the amounts inserted in Boxes P and H is the amount which must be paid to the IPEA.

**MODE OF PAYMENT**

In order to help the IPEA identify the mode of payment of the prescribed fees, it is recommended to mark the applicable check-box(es).

**AUTHORIZATION TO CHARGE  
(OR CREDIT) DEPOSIT ACCOUNT**

The applicant should check whether the IPEA allows the use of deposit accounts for payment of PCT fees. In addition, it is recommended that the applicant check what are the specific conditions applicable to the use of deposit accounts with the IPEA since not all IPEAs provide the same services.

Finally, if the IPEA is not the same national Office or intergovernmental organization as that with which the international application was filed, the deposit account with the receiving Office cannot be charged for the purpose of paying the preliminary examination and handling fees due to the IPEA.

The IPEA will not charge fees to deposit accounts unless the deposit account authorization is signed and indicates the deposit account number.

**PATENT COOPERATION TREATY**

From the  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

**PCT**

INVITATION TO RESTRICT OR  
PAY ADDITIONAL FEES, AND PROTEST FEE

(PCT Article 34(3)(a) and Rules 68.2 and 68.3(e))

To:

Date of mailing  
(day/month/year)

Applicant's or agent's file reference **REPLY OR PAYMENT DUE** within **ONE MONTH** from the above date of mailing

International application No. International filing date  
(day/month/year)

Applicant

1. This International Preliminary Examining Authority

- (i) considers that there are \_\_\_\_\_ (number of) inventions claimed in the international application as indicated in the Annex.
- (ii) therefore considers that **the international application does not comply with the requirement of unity of invention** (Rules 13.1, 13.2 and 13.3) for the reasons indicated in the Annex.
- (iii) recalls that claims relating to inventions in respect of which no international search report has been established need not be the subject of international preliminary examination (Rule 66.1(e)).

2. Consequently the applicant is hereby **invited**, within the time limit indicated above, **to restrict the claims** as suggested under item 4, below, **or to pay** the amount indicated below:

$$\frac{\text{Fee per additional invention}}{\text{number of additional inventions}} \times \text{number of additional inventions} = \text{total amount of additional fees/currency}$$

3. The applicant is informed that, according to Rule 68.3(c), **the payment of any additional fees may be made under protest**, that is, a reasoned statement to the effect that the international application complies with the requirement of unity of invention or that the amount of the required additional fees is excessive, where applicable, subject to the payment of a protest fee.

Where the applicant pays additional fees under protest, the applicant is hereby invited, within the time limit indicated above, to pay a protest fee (Rule 68.3(e)) in the amount of \_\_\_\_\_ (amount/currency).

Where the applicant has not, within the time limit indicated above, paid the required protest fee within the prescribed time limit, the protest shall be considered not to have been made and the International Preliminary Examining Authority shall so declare.


4. **If the applicant opts to restrict the claims**, this Authority suggests the restriction possibilities indicated in the Annex, which in its opinion would be in compliance with the requirement of unity of invention.

5. **In the absence of any response** from the applicant, this Authority will establish the international preliminary examination report on those parts of the international application indicated in the Annex which, in the opinion of this Authority, appear to relate to the main invention.

Name and mailing address of the IPEA/	Authorized officer
Facsimile No.	Telephone No.

ANNEX TO FORM PCT/IPEA/405

International application No.



## PATENT COOPERATION TREATY

From the  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

# PCT

WRITTEN OPINION OF THE  
INTERNATIONAL PRELIMINARY  
EXAMINING AUTHORITY

(PCT Rule 66)

To:		Date of mailing (day/month/year)	
Applicant's or agent's file reference		<b>REPLY DUE</b> within _____ months/days from the above date of mailing	
International application No.	International filing date (day/month/year)	Priority date (day/month/year)	
International Patent Classification (IPC) or both national classification and IPC			
Applicant			

1.  The written opinion established by the International Searching Authority:  
 is  is not  
considered to be a written opinion of the International Preliminary Examining Authority.

2. This \_\_\_\_\_ (first, etc.) opinion contains indications relating to the following items:

Box No. I Basis of the opinion

Box No. II Priority

Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability

Box No. IV Lack of unity of invention

Box No. V Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

Box No. VI Certain documents cited

Box No. VII Certain defects in the international application

Box No. VIII Certain observations on the international application

3. The applicant is hereby **invited to reply** to this opinion.

**When?** See the time limit indicated above. The applicant may, before the expiration of that time limit, request this Authority to grant an extension, see Rule 66.2(e).

**How?** By submitting a written reply, accompanied, where appropriate, by amendments, according to Rule 66.3. For the form and the language of the amendments, see Rules 66.8 and 66.9.

**Also** For the examiner's obligation to consider amendments and/or arguments, see Rule 66.4*bis*. For an informal communication with the examiner, see Rule 66.6. For an additional opportunity to submit amendments, see Rule 66.4.

**If no reply is filed**, the international preliminary examination report will be established on the basis of this opinion.

4. The final date by which the international preliminary report on patentability (Chapter II of the PCT) must be established according to Rule 69.2 is: \_\_\_\_\_

Name and mailing address of the IPEA/	Authorized officer
Facsimile No.	Telephone No.

WRITTEN OPINION OF THE  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

International application No.

Box No. I Basis of the opinion

1. With regard to the **language**, this opinion has been established on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

- This opinion is based on a translation from the original language into the following language \_\_\_\_\_, which is the language of a translation furnished for the purposes of:
- international search (under Rules 12.3 and 23.1(b))
  - publication of the international application (under Rule 12.4)
  - international preliminary examination (under Rules 55.2 and/or 55.3)

2. With regard to the elements of the international application, this opinion has been established on the basis of (*replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this opinion as "originally filed."*):

- the international application as originally filed/furnished
- the description:  
pages \_\_\_\_\_ as originally filed/furnished  
pages \_\_\_\_\_ received by this Authority on \_\_\_\_\_  
pages \_\_\_\_\_ received by this Authority on \_\_\_\_\_
- the claims:  
pages \_\_\_\_\_ as originally filed/furnished  
pages \_\_\_\_\_ as amended (together with any statement) under Article 19  
pages \_\_\_\_\_ received by this Authority on \_\_\_\_\_  
pages \_\_\_\_\_ received by this Authority on \_\_\_\_\_
- the drawings:  
pages \_\_\_\_\_ as originally filed/furnished  
pages \_\_\_\_\_ received by this Authority on \_\_\_\_\_  
pages \_\_\_\_\_ received by this Authority on \_\_\_\_\_
- a sequence listing and/or any related table(s) - see Supplemental Box Relating to Sequence Listing.

3.  The amendments have resulted in the cancellation of:

- the description, pages \_\_\_\_\_
- the claims, Nos. \_\_\_\_\_
- the drawings, sheets/figs \_\_\_\_\_
- the sequence listing (*specify*): \_\_\_\_\_
- any table(s) related to the sequence listing (*specify*): \_\_\_\_\_

4.  This opinion has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).

- the description, pages \_\_\_\_\_
- the claims, Nos. \_\_\_\_\_
- the drawings, sheets/figs \_\_\_\_\_
- the sequence listing (*specify*): \_\_\_\_\_
- any table(s) related to the sequence listing (*specify*): \_\_\_\_\_

**WRITTEN OPINION OF THE  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY**

International application No.

**Box No. II Priority**

1.  This opinion has been established as if no priority had been claimed due to the failure to furnish within the prescribed time limit the requested:
  - copy of the earlier application whose priority has been claimed (Rule 66.7(a))
  - translation of the earlier application whose priority has been claimed (Rule 66.7(b))
2.  This opinion has been established as if no priority had been claimed due to the fact that the priority claim has been found invalid (Rule 64.1). Thus for the purposes of this opinion, the international filing date indicated above is considered to be the relevant date.
3. Additional observations, if necessary:

WRITTEN OPINION OF THE  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

International application No.

**Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability**

The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non obvious), or to be industrially applicable have not been examined in respect of:

- the entire international application
- claims Nos. \_\_\_\_\_

because:

- the said international application, or the said claims Nos. \_\_\_\_\_  
relate to the following subject matter which does not require an international preliminary examination (*specify*):

- the description, claims or drawings (*indicate particular elements below*) or said claims Nos. \_\_\_\_\_  
are so unclear that no meaningful opinion could be formed (*specify*):

- the claims, or said claims Nos. \_\_\_\_\_ are so inadequately supported  
by the description that no meaningful opinion could be formed.

- no international search report has been established for said claims Nos. \_\_\_\_\_

- a meaningful opinion could not formed without the sequence listing; the applicant did not, within the prescribed time limit:

- furnish a sequence listing in paper form complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Searching Authority in a form and manner acceptable to it.

- furnish a sequence listing in electronic form complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Searching Authority in a form and manner acceptable to it.

- pay the required late furnishing fee for the furnishing of a sequence listing in response to an invitation under Rule 13*ter*.1(a) or (b).

- a meaningful opinion could not formed without the tables related to the sequence listings; the applicant did not, within the prescribed time limit, furnish such tables in electronic form complying with the technical requirements provided for in Annex C-*bis* of the Administrative Instructions, and such tables were not available to the International Searching Authority in a form and manner acceptable to it.

- the tables related to the nucleotide and/or amino acid sequence listing, if in electronic form only, do not comply with the technical requirements provided for in Annex C-*bis* of the Administrative Instructions.

- See Supplemental Box for further details.





**WRITTEN OPINION OF THE  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY**

International application No.

**Box No. V Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability;  
citations and explanations supporting such statement**

1. Statement

Novelty (N)	Claims	_____
	Claims	_____
Inventive step (IS)	Claims	_____
	Claims	_____
Industrial applicability (IA)	Claims	_____
	Claims	_____

2. Citations and explanations:

**WRITTEN OPINION OF THE  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY**

International application No.

**Box No. VI Certain documents cited**

1. Certain published documents (Rule 70.10)

<u>Application No. Patent No.</u>	<u>Publication date (day/month/year)</u>	<u>Filing date (day/month/year)</u>	<u>Priority date (valid claim) (day/month/year)</u>
---------------------------------------	--	---	---

2. Non-written disclosures (Rule 70.9)

<u>Kind of non-written disclosure</u>	<u>Date of non-written disclosure (day/month/year)</u>	<u>Date of written disclosure referring to non-written disclosure (day/month/year)</u>
---------------------------------------	--	--

**WRITTEN OPINION OF THE  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY**

International application No.

**Box No. VII Certain defects in the international application**

The following defects in the form or contents of the international application have been noted:

**WRITTEN OPINION OF THE  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY**

International application No.

**Box No. VIII Certain observations on the international application**

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:

WRITTEN OPINION OF THE  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

International application No.

Supplemental Box Relating to Sequence Listing

Continuation of Box No. I, item 2:

1. With regard to any nucleotide and/or amino acid sequence disclosed in the international application and necessary to the claimed invention, this opinion was established on the basis of:

a. type of material

- a sequence listing  
 table(s) related to the sequence listing

b. format of material

- in paper form  
 in electronic form

c. time of filing/furnishing

- contained in the international application as filed  
 filed together with the international application in electronic form  
 furnished subsequently to this Authority for the purposes of search and/or examination  
 received by this Authority as an amendment on \_\_\_\_\_

2.  In addition, in the case that more than one version or copy of a sequence listing and/or table(s) relating thereto has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that in the application as filed or does not go beyond the application as filed, as appropriate, were furnished.

3. Additional comments:

**WRITTEN OPINION OF THE  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY**

International application No.

**Supplemental Box**

In case **the space in any of the preceding boxes is not sufficient.**  
Continuation of:

## PATENT COOPERATION TREATY

## PCT

## INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

(Chapter II of the Patent Cooperation Treaty)

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference	<b>FOR FURTHER ACTION</b>		See Form PCT/IPEA/416
International application No.	International filing date ( <i>day/month/year</i> )	Priority date ( <i>day/month/year</i> )	
International Patent Classification (IPC) or national classification and IPC			
Applicant			

1. This report is the international preliminary examination report, established by this International Preliminary Examining Authority under Article 35 and transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of \_\_\_\_\_ sheets, including this cover sheet.

3. This report is also accompanied by ANNEXES, comprising:

a.  (*sent to the applicant and to the International Bureau*) a total of \_\_\_\_\_ sheets, as follows:

sheets of the description, claims and/or drawings which have been amended and are the basis of this report and/or sheets containing rectifications authorized by this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions).

sheets which supersede earlier sheets, but which this Authority considers contain an amendment that goes beyond the disclosure in the international application as filed, as indicated in item 4 of Box No. I and the Supplemental Box.

b.  (*sent to the International Bureau only*) a total of (indicate type and number of electronic carrier(s)) \_\_\_\_\_, containing a sequence listing and/or tables related thereto, in electronic form only, as indicated in the Supplemental Box Relating to Sequence Listing (see Section 802 of the Administrative Instructions).

4. This report contains indications relating to the following items:

Box No. I Basis of the report

Box No. II Priority

Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability

Box No. IV Lack of unity of invention

Box No. V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

Box No. VI Certain documents cited

Box No. VII Certain defects in the international application

Box No. VIII Certain observations on the international application

Date of submission of the demand	Date of completion of this report
Name and mailing address of the IPEA/ Facsimile No.	Authorized officer Telephone No.

International application No. \_\_\_\_\_

**INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY**

**Box No. I Basis of the report**

1. With regard to the **language**, this report is based on the international application in the language in which it was filed, unless otherwise indicated under this item.

- This report is based on translations from the original language into the following language \_\_\_\_\_, which is the language of a translation furnished for the purposes of:
  - international search (under Rules 12.3 and 23.1(b))
  - publication of the international application (under Rule 12.4)
  - international preliminary examination (under Rules 55.2 and/or 55.3)

2. With regard to the **elements** of the international application, this report is based on (*replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report*):

- the international application as originally filed/furnished
- the description:
  - pages \_\_\_\_\_ as originally filed/furnished
  - pages\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
  - pages\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
- the claims:
  - pages \_\_\_\_\_ as originally filed/furnished
  - pages\* \_\_\_\_\_ as amended (together with any statement) under Article 19
  - pages\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
  - pages\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
- the drawings:
  - pages \_\_\_\_\_ as originally filed/furnished
  - pages\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
  - pages\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
- a sequence listing and/or any related table(s) - see Supplemental Box Relating to Sequence Listing.

3.  The amendments have resulted in the cancellation of:

- the description, pages \_\_\_\_\_
- the claims, Nos. \_\_\_\_\_
- the drawings, sheets/figs \_\_\_\_\_
- the sequence listing (*specify*): \_\_\_\_\_
- any table(s) related to sequence listing (*specify*): \_\_\_\_\_

4.  This report has been established as if (some of) the amendments annexed to this report and listed below had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).

- the description, pages \_\_\_\_\_
- the claims, Nos. \_\_\_\_\_
- the drawings, sheets/figs \_\_\_\_\_
- the sequence listing (*specify*): \_\_\_\_\_
- any table(s) related to sequence listing (*specify*): \_\_\_\_\_

\* If item 4 applies, some or all of those sheets may be marked "superseded."



**INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY**

International application No.

**Box No. II    Priority**

1.  This report has been established as if no priority had been claimed due to the failure to furnish within the prescribed time limit the requested:
  - copy of the earlier application whose priority has been claimed (Rule 66.7(a))
  - translation of the earlier application whose priority has been claimed (Rule 66.7(b))
2.  This report has been established as if no priority had been claimed due to the fact that the priority claim has been found invalid (Rule 64.1). Thus for the purposes of this report, the international filing date indicated above is considered to be the relevant date.
3. Additional observations, if necessary:

International application No.

INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

**Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability**

The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non obvious), or to be industrially applicable have not been examined in respect of:

- the entire international application
- claims Nos. \_\_\_\_\_

because:

- the said international application, or the said claims Nos. \_\_\_\_\_ relate to the following subject matter which does not require an international preliminary examination (*specify*):

- the description, claims or drawings (*indicate particular elements below*) or said claims Nos. \_\_\_\_\_ are so unclear that no meaningful opinion could be formed (*specify*):

- the claims, or said claims Nos. \_\_\_\_\_ are so inadequately supported by the description that no meaningful opinion could be formed.

- no international search report has been established for said claims Nos. \_\_\_\_\_

- a meaningful preliminary examination could not be carried out without the sequence listing; the applicant did not, within the prescribed time limit:

- furnish a sequence listing in paper form complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Searching Authority in a form and manner acceptable to it.

- furnish a sequence listing in electronic form complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Searching Authority in a form and manner acceptable to it.

- pay the required late furnishing fee for the furnishing of a sequence listing in response to an invitation under Rules 13ter.1(a) or (b) and 13ter.2.

- a meaningful search could not be carried out without the tables related to the sequence listings; the applicant did not, within the prescribed time limit, furnish such tables in electronic form complying with the technical requirements provided for in Annex C-bis of the Administrative Instructions, and such tables were not available to the International Searching Authority in a form and manner acceptable to it.

- the tables related to the nucleotide and/or amino acid sequence listing, if in electronic form only, do not comply with the technical requirements provided for in Annex C-bis of the Administrative Instructions.

- See Supplemental Box for further details.



**INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY**

International application No.

**Box No. V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Statement

Novelty (N)	Claims	_____	YES
	Claims	_____	NO
Inventive step (IS)	Claims	_____	YES
	Claims	_____	NO
Industrial applicability (IA)	Claims	_____	YES
	Claims	_____	NO

2. Citations and explanations (Rule 70.7)

**INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY**

International application No.

**Box No. VI Certain documents cited**

1. Certain published documents (Rule 70.10)

Application No. Patent No.	Publication date ( <i>day/month/year</i> )	Filing date ( <i>day/month/year</i> )	Priority date (valid claim) ( <i>day/month/year</i> )
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2. Non-written disclosures (Rule 70.9)

Kind of non-written disclosure	Date of non-written disclosure ( <i>day/month/year</i> )	Date of written disclosure referring to non-written disclosure ( <i>day/month/year</i> )
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**INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY**

International application No.

**Box No. VII Certain defects in the international application**

The following defects in the form or contents of the international application have been noted:

**INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY**

International application No.

**Box No. VIII Certain observations on the international application**

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:

INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.

Supplemental Box Relating to Sequence Listing

Continuation of Box No. I, item 2:

1. With regard to any nucleotide and/or amino acid sequence disclosed in the international application and necessary to the claimed invention, this report was established on the basis of:

a. type of material

- a sequence listing  
 table(s) related to the sequence listing

b. format of material

- in paper form  
 in electronic form

c. time of filing/furnishing

- contained in the international application as filed  
 filed together with the international application in electronic form  
 furnished subsequently to this Authority for the purposes of search and/or examination  
 received by this Authority as an amendment\* on \_\_\_\_\_

2.  In addition, in the case that more than one version or copy of a sequence listing and/or table(s) relating thereto has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that in the application as filed or does not go beyond the application as filed, as appropriate, were furnished.

3. Additional comments:

\* If item 4 in Box No. I applies, the listing and/or table(s) related thereto, which form part of the basis of the report, may be marked "superseded."



**INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY**

International application No.

**Supplemental Box**

In case **the space in any of the preceding boxes is not sufficient.**  
Continuation of:

**PATENT COOPERATION TREATY**

From the  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

**PCT**

**NOTIFICATION OF DECISION ON PROTEST  
OR DECLARATION THAT PROTEST  
CONSIDERED NOT TO HAVE BEEN MADE**

(PCT Rule 68.3(c) and (e) and  
Administrative Instructions, Section 603)

To:	
	Date of mailing (day/month/year)
Applicant's or agent's file reference	<b>IMPORTANT NOTIFICATION</b>
International application No.	International filing date (day/month/year)
Applicant	

The applicant is hereby notified that this International Preliminary Examining Authority, after having examined the protest on the payment of the additional fees, has reached the decision indicated below.

1.  **The protest is found justified** to the extent that:

total reimbursement of the additional fees and, where applicable, any protest fee will be made in due course

partial reimbursement in the amount of \_\_\_\_\_ (amount/currency) will be made in due course for the following reason(s):

2.  **The protest is found unjustified** and the additional fees and, where applicable, any protest fee paid will not be refunded for the following reason(s):

3.  The International Preliminary Examining Authority declares that the **protest is considered not to have been made** since the applicant has not paid the protest fee within the time limit referred to in the invitation (Form PCT/IPEA/405) dated \_\_\_\_\_.

**ATTENTION**

The applicant should notify the International Bureau promptly if he wishes a copy of the protest and the decision thereon to be sent to the elected Offices.

A copy of this notification has been sent to the International Bureau

Name and mailing address of the IPEA/	Authorized officer
Facsimile No.	Telephone No.

**PATENT COOPERATION TREATY**

From the  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

**PCT**

INVITATION TO FURNISH NUCLEOTIDE  
AND/OR AMINO ACID SEQUENCE LISTING  
AND/OR TABLES RELATED THERETO  
COMPLYING WITH STANDARD  
AND/OR TECHNICAL REQUIREMENTS

(PCT Rule 13ter.2) and  
Administrative Instructions, Sections 208 and 802  
and Annexes C and C-bis)

To:	
	Date of mailing (day/month/year)
Applicant's or agent's file reference	<b>REPLY DUE</b> within _____ months/days from the above date of mailing
International application No.	International filing date (day/month/year)
Applicant	

1. The applicant is hereby **invited**, within the time limit indicated above, to furnish to this Authority:

a nucleotide and/or amino acid sequence listing **in paper form** complying with the standard provided for in Annex C of the Administrative Instructions, accompanied by a **statement** to the effect that the sequence listing does not go beyond the disclosure in the international application as filed

a **statement** to the effect that the sequence listing in paper form, already furnished to this Authority, does not go beyond the disclosure in the international application as filed

a nucleotide and/or amino acid sequence listing and/or tables related thereto **in electronic form** complying with the standard and/or technical requirements provided for in Annex C and/or Annex C-bis of the Administrative Instructions, accompanied by a **statement** that the information recorded in electronic form is identical to the sequence listing and/or tables related thereto in paper form

a **statement** that the information recorded in electronic form (that electronic form having already been furnished to this Authority) is identical to the sequence listing and/or tables related thereto in paper form

2. The applicant is hereby invited, within the time limit indicated above, to pay to this Authority:

a late furnishing fee in the amount of \_\_\_\_\_ (amount/currency)

3. **Failure to comply with this invitation** may result in this Authority only carrying out the international preliminary examination to the extent that a meaningful examination can be carried out without the sequence listing.

4. Further observations (if necessary):

Name and mailing address of the IPEA/  Facsimile No.	Authorized officer  Telephone No.
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