

C. PCT 1627

August 10, 2021

Madam,
Sir,

Proposed modifications of the Administrative Instructions under the PCT (“the Administrative Instructions”) and certain Forms annexed to the Administrative Instructions

This Circular is addressed to your Office in its capacity as a receiving Office (RO), an International Searching Authority (ISA), an International Preliminary Examining Authority (IPEA), an Authority specified for supplementary search and/or a designated or elected Office under the Patent Cooperation Treaty (PCT) for the purposes of consultation under PCT Rule 89.2(b). It is also addressed to certain non-governmental organizations representing users of the PCT System.

The purpose of this Circular is to consult on proposed modifications of the Administrative Instructions to implement the proposed amendments to the Regulations under the PCT (“the Regulations”) which have been recommended by the PCT Working Group for adoption by the next session of the PCT Assembly (see paragraph 5 of document PCT/WG/13/14 and the Annex to document PCT/WG/13/8), with the primary aim of implementing the new WIPO Standard ST.26 in the PCT as the means for presentation of nucleotide and amino acid sequences in international applications. The draft is based on the assumption that the PCT Assembly will adopt the proposed amendments to the Regulations as set out in the Annex to document PCT/WG/13/8.

The proposed modifications of the Administrative Instructions are set out in the Annexes to this Circular, as follows:

- ./. - Annex I: Proposed modifications of the main body of the Administrative Instructions,
- ./. - Annex II: Proposed new Annex C of the Administrative Instructions, and
- ./. - Annex III: Proposed modifications of certain forms in Annex A of the Administrative Instructions.

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In Annex I, proposed additions and deletions are marked by underline and strike-out, respectively. Certain paragraphs that are not proposed to be modified have been included for ease of reference. Annex II, being a complete replacement for existing Annex C, is shown as a clean text. In Annex III, the proposed modifications to the Forms are shown in a marked-up way which indicates deleted and new text on separate pages. Thus, on the first marked-up page, the deleted text appears in red with the text struck out. This is followed by the second marked-up page of the same page where new text is underlined in blue. Each page indicates clearly whether the modifications concern deleted or new text.

Detailed explanations of the proposed modifications are provided below, noting that explanations may not be provided at all times, especially when the proposed modifications are self-evident or of an editorial nature.

I. Background to the Changes

WIPO Standard ST.26 is a standard for the presentation of nucleotide and amino acid sequences in an XML format more closely aligned with the formats used in public repositories and able to indicate characteristics of sequences that are not supported by WIPO Standard ST.25, as currently required in international applications under the PCT. The new standard was adopted by the Committee on WIPO Standards in March 2016, but the Committee recommended that it not be used immediately. Rather, common software tools should be developed and national Offices and the PCT should prepare for implementation of the new standard on a common date (a “big bang” scenario) to minimize difficulties in moving from the old standard to the new.

From a procedural perspective, the major difference between the old and new standards and the way that they are implemented by the amendments to the Regulations is that WIPO Standard ST.26 is an exclusively electronic, data-centric format. It will no longer be possible to present a sequence listing on paper or electronically as an image. The listing must be an XML file containing the sequences in the appropriate machine-processable format.

A second difference is that, where translations of free text within the sequence listing are required, this should now be done by embedding the translated text within a copy of the sequence listing itself, rather than repeating the free text within the main body of the international application, as required by current Rule 5.2(b). That way, the free text will be associated with the sequence listings in a more readily usable way, instead of as large tables of text, disconnected from its intended context.

At present, Annex C of the Administrative Instructions contains a complete definition of the technical standard for sequence listings and WIPO Standard ST.25 refers to a copy of that Annex. In contrast, the new draft Annex C is devoted primarily to the procedural requirements for the submission and processing of sequence listings. The technical requirements of the listing are set out by reference to WIPO Standard ST.26. If the Standard is updated after the Administrative Instructions come into force, the Director General will publish information concerning the date of entry into force for the purposes of the PCT and any transitional arrangements that may apply to sequence listings furnished in relation to international applications filed prior to that date.

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The implementation of the new standard in the PCT has been designed to minimize the requirements for receiving Offices, whose staff will typically not be skilled in the areas necessary to consider the content of the listings. In general, receiving Offices will not be expected to validate the content of sequence listings, but merely to pass the content on to the International Bureau and the International Searching Authority.

II. Proposed Modifications of the Main Body of the Administrative Instructions

The modifications to the main body of the Administrative Instructions are generally either consequential on the amendments to the Regulations, or else provide a basis for the details set out in new Annex C.

Section 204(a) paragraphs (vii) and (viii) are deleted as a consequence of the amendments to Rule 5.2(a) meaning that the headings “Sequence Listing” and “Sequence Listing Free Text” are no longer relevant because sequence listings must in future be in electronic form and there is no requirement to duplicate the free text from the sequence listing in the main body of the description.

Section 207 contains similar deletions in relation to the arrangement and numbering of elements within the international application and adds a requirement for any sequence listing to be presented in a separate electronic file in accordance with Annex C.

Section 208 is modified to delete the reference to “whether on paper or in electronic form” since only the latter will be possible in future. The scope of the section is also extended to provide a basis for including requirements in Annex C covering the presentation of sequences and references to sequences made in the main body of the description.

Section 313(c) is deleted since, under the new Standard, there is usually no need to furnish a sequence listing only for the purpose of international search; any sequence listing submitted on the international filing date in the permitted format should form part of the international application itself. For the exceptional cases where any such sequence listing is furnished, the relevant instructions are moved to Section 335(d).

Section 332(a-*bis*) is modified to require receiving Offices to notify the language or languages which it is prepared to accept for the purpose of language-dependent free text in the sequence listing part of the description. In most cases, these languages will match the languages that may be used for the main body of the description. However, it is open to the Office to allow different languages to be used, including the possibility of providing the free text in English as well as or instead of a different language used for the main body of the description, which may assist applicants and provide improved information to public database suppliers when the international application is published. Paragraph (b) provides for updating such information if the requirements of the Office change and Section 405 is modified to make clear that such notifications should be published in the Gazette.

Section 332(c) is modified to clarify that the existing arrangements permitting receiving Offices to accept international applications on a case-by-case basis that do not meet their notified language requirements also extends to the case where the language requirements of the sequence listing are not met.

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Section 333 is modified as a consequence of new Rule 19.4(a)(ii-*bis*), which provides the basis for transferring international applications to the International Bureau if all or some of the international application is in an electronic format not accepted by the receiving Office – while not explicitly limited to the issue of sequence listings, this was introduced largely to deal with the possibility that a sequence listing too large to upload to an Office's system might be provided on a physical medium or in case of paper filings containing a sequence listing.

Section 335 provides a general basis for the receiving Office processing sequence listings in a manner equivalent to what is done for the main body of the description, with special details to be set out in Annex C.

Section 513(a) is deleted as a consequence of the deletion of Rule 13*ter*.1(f) and that amended Rule 5.2(b) no longer requires sequence listing free text to be repeated in the main body of the international application.

Section 513(c) and Section 610(b) are modified for consistency with the revised wording of Rule 13*ter*, to emphasize that the language of the free text may be a reason for the International Searching or Preliminary Examining Authority not being able to conduct a meaningful search and preliminary examination.

Section 513(d) and Section 610(c) are modified to limit their scope to the special case of sequence listings submitted under Rule 13*ter* on physical media. The submission of paper sequence listings will no longer be possible and it is not necessary to regulate the metadata used internally by International Authorities for electronic files as long as it is sufficient to support any coding required for document exchange, which is dealt with in Annex F and the "*minspec*" document exchange specification.

Section 513(e) and (f) and Section 610(e) are modified to reflect the fact that sequence listings cannot be submitted on paper and International Authorities must be prepared to receive sequence listings in electronic form.

Section 610(d) is modified to provide an arrangement equivalent to that in Section 513(e)(ii), whereby the International Preliminary Examining Authority should transmit to the International Bureau a copy of any sequence listing furnished for the purpose of international preliminary examination (note that this does not mean that sequence listings should be re-transmitted if they were originally furnished for the purpose of international search and subsequently used by the International Preliminary Examining Authorities). This change is not related to the sequence listings being supplied in WIPO Standard ST.26 format, but rather reflects the earlier amendments to Rules 71.1(b) and 94.1(c), allowing the International Bureau to make available documents from the file of the International Preliminary Examining Authority on behalf of elected Offices.

Section 707(a-*bis*) is modified to maintain the arrangement that sequence listings in suitable electronic format should not be included in page fee calculations, while recognizing that the receiving Office is not expected to check the content of files "appearing to be" sequence listings.

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III. Proposed New Annex C of the Administrative Instructions

The new Annex C will replace the current Annex C in its entirety and apply to sequence listings relating to international applications filed on or after the date of entry into force of the amendments to the Regulations. The former Annex C will continue to apply to sequence listings in international applications filed before that date.

The Annex is drafted so as to be readable on its own and consequently repeats some content from the Rules, main body of the Administrative Instructions and WIPO Standard ST.26. Where this is done, the higher level source of the relevant statements is indicated.

The definition of “sequence listing forming part of the international application” in paragraph 3(b) embraces sequence listings furnished for a wide variety of reasons. Noting that most receiving Offices will not validate the content of sequence listings, those relating to corrections and missing or erroneous parts will be extremely rare. Nevertheless, in principle, a sequence listing may be subject to most of the processes that can apply to the main body of the description. In the very rare case that a receiving Office needs to handle actions that involve a replacement listing, the International Bureau may provide any required advice and support.

Paragraphs 6 and 7 implement the requirements of WIPO Standard ST.26 regarding the sequences that must and must not be included in a sequence listing. While this could have been done by reference to WIPO Standard ST.26, this is a matter of fundamental significance to the applicant in understanding whether a sequence listing needs to be included and the principle of what it should contain. Consequently, noting that this requirement is unlikely to change, it is proposed to explicitly include this text in the Administrative Instructions to avoid the need for users to look up the information in a separate text. The details of how sequences and features are presented within the sequence listing are defined by reference to WIPO Standard ST.26 and will, in practice, be made transparent by the use of software such as WIPO Sequence.

The section on language-related requirements includes several principles:

(i) There is significant flexibility on the language or languages that a receiving Office can accept for the language-dependent free text in a sequence listing. It is permissible to accept the language-dependent free text in a language different from that in the main body of the application. It is also permissible to accept the language-dependent free text in two languages simultaneously, for example, the language of filing of the main body of the description and the language into which a translation of the main body of the description will be required for the purpose of search, or else the language of the main body of the application and English. On the other hand, the receiving Office may alternatively require the language-dependent free text to be supplied only in the language of the main body of the description. The receiving Office may not require the applicant to provide the language-dependent free text in more than one language at the time of filing.

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(ii) Where a translation of the language-dependent free text is required after filing, it should be supplied in the form of a complete new sequence listing with the free text in the new language either supplementing or replacing that in the sequence listing as filed. Neither International Authorities nor designated and elected Offices may, if the required language version is available, require a new translated sequence listing simply because that sequence listing also contains the same language-dependent free text in a second language that is not required by that Authority or Office.

(iii) Translated sequence listings should preferably have their general information sections based on the bibliographic data (international application number, international filing date, title, first applicant's name, etc.) including any modifications that may have been made between the international filing date and the submission of the translated listing, rather than being a strict translation of the entire original sequence listing. However, receiving Offices and International Authorities should only object to a translation if the sequence listing part of the application does not properly match with the original. Any discrepancies in the general information section should be ignored and have no adverse consequences for the applicant.

(iv) Preferably, designated Offices should take the same approach to translations submitted in the national phase, but the Administrative Instructions leave flexibility for such Offices to require translation of the general information section into their language of processing.

In the following sections, it is clarified that the receiving Office is not required to undertake any checks of the contents of a sequence listing file. In general, this will be done by the International Searching Authority. Any defects preventing the use of the sequence listing for the purposes of international search will typically be handled by requesting the applicant to furnish a sequence listing under Rule 13~~ter~~ for the purposes of international search. That sequence listing does not form part of the international application and the defect may need correction in the national phase.

It is, nevertheless, possible for corrections, rectifications and amendments to be made to sequence listings in the international phase, as well as incorporation by reference, and these are allowed for. Such actions will be generally at the request of the applicant since there is no requirement by the receiving Office to validate the listings and consequently most receiving Offices will never invite a correction. In the event that the applicant requests such a procedure before a receiving Office not ready to handle it, the International Bureau will provide assistance.

With regard to storing and transmitting copies of sequence listings, paragraphs 42 and 43 clarify that the official copies of sequence listings should not be modified *ex-officio* from the versions received from applicants. Information such as the international application number and filing date should be associated with the file using filenames, referencing XML and equivalent metadata, according to the particular form of storage or transmission, rather than modifying the relevant elements within the XML. Offices remain free to prepare modified versions of the listings for transmission to database providers, where appropriate.

IV. Proposed Modifications of Certain Forms in Annex A of the Administrative Instructions

Consequential to the proposed modifications in Section 208 and Annex C, Form PCT/RO/101 (Request) check list for paper filing is modified to replace the indication of number of pages for submission of sequence listing on paper with the type and number of physical data carrier(s). The accompanying items 8 and 9, sequence listing in text format for search purposes and the accompanying statement, are also deleted.

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Further, Forms PCT/IPEA/401 (Demand) and PCT/IB/375 (Supplementary Search Request) are modified to remove the references to WIPO Standard ST.25 and align the wording of the accompanying statement as required under paragraph 39 of Annex C in case of a sequence listing submission for search or examination purposes. A checkbox for amended sequence listing under Article 34 is added to Form PCT/IPEA/401 check list.

Form PCT/RO/151 contains additions to further accommodate the transmittal of the international application to the International Bureau under Rule 19.4, consequential to the proposed modifications to Rule 19.4(a)(ii-*bis*) and Section 333.

The following Forms are modified to remove the references to paper and text or image file sequence listing formats, align the wording of the accompanying statement as required under paragraph 39 of Annex C and/or accommodate for the language requirement as proposed in Rule 13~~ter~~ and Sections 513(c) and 610(b): PCT/ISA/201, PCT/ISA/202, PCT/ISA/203, PCT/ISA/210, PCT/ISA/225, PCT/ISA/237, PCT/IPEA/408, PCT/IPEA/409, PCT/IPEA/441, PCT/SISA/501, PCT/SISA/502, PCT/SISA/504 and PCT/SISA/506. Additionally, a checkbox is added to Forms PCT/ISA/201, PCT/ISA/210, PCT/ISA/237, PCT/IPEA/408, PCT/IPEA/409 and PCT/SISA/501 to address a common scenario where the search or examination is conducted even when a standard-compliant sequence listing is not available, following comments received from the Sequence Listing Task Force of the Committee on WIPO Standards.

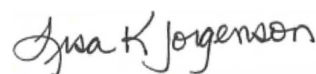
The references to any sequence listing filed on paper or as text or image files are also removed in Forms PCT/ROIB/198 and PCT/ROIB/199, and the option to indicate the physical data carrier type and number is added. In Form PCT/IB/399, the outdated reference to tables relating to sequences is deleted.

Lastly, consequential to the proposed deletions of Rule 13~~ter~~.1(f) and Section 513(a), Form PCT/ISA/233 is deleted.

V. Comments on the Proposed Modifications of the Administrative Instructions and Certain Forms

Your Office is invited to provide comments, if any, by September 17, 2021, by e-mail to: pct.legal@wipo.int.

Yours sincerely,



Lisa Jorgenson
Deputy Director General
Patents and Technology Sector

Enclosures: Annex I — Proposed modifications of the main body of the Administrative Instructions

Annex II — Proposed new Annex C of the Administrative Instructions

Annex III — Proposed modifications of certain forms in Annex A of the Administrative Instructions (modified pages only)

PROPOSED MODIFICATIONS TO MAIN BODY OF THE ADMINISTRATIVE INSTRUCTIONS

Section 204

Headings of the Parts of the Description

- (a) The headings of the parts of the description shall preferably be as follows:
- (i) to (v) [No change]
 - (vi) for matter referred to in Rule 5.1(a)(vi), "Industrial Applicability";
 - (vii) ~~[Deleted] for matter referred to in Rule 5.2(a), "Sequence Listing";~~
 - (viii) ~~[Deleted] for matter referred to in Rule 5.2(b), "Sequence Listing Free Text".~~
- (b) [No change]

Section 207

Arrangement of Elements and Numbering of Sheets of the International Application

- (a) In effecting the sequential numbering of the sheets of the international application in accordance with Rule 11.7, the elements of the international application shall be placed in the following order:
- (i) [No change] the request;
 - (ii) the description (~~if applicable, including the sequence listing free text referred to in Rule 5.2(b) but~~ excluding the sequence listing part of the description referred to in [Rule 5.2\(a\) item \(vi\) of this paragraph](#));
 - (iii) [No change] the claims;
 - (iv) [No change] the abstract;
 - (v) if applicable, the drawings;
 - (vi) ~~[Deleted] if applicable, the sequence listing part of the description.~~

Any sequence listing part of the description shall be presented in a separate electronic file in accordance with Annex C.

(b) The sequential numbering of the sheets shall be effected by using the following separate series of numbering:

(i) [No change] the first series applying to the request only and commencing with the first sheet of the request;

(ii) [No change] the second series commencing with the first sheet of the description (as referred to in paragraph (a)(ii)) and continuing through the claims until the last sheet of the abstract;

(iii) if applicable, a further series applying to the sheets of the drawings only and commencing with the first sheet of the drawings; the number of each sheet of the drawings shall consist of two Arabic numerals separated by a slant, 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);

~~(iv) if applicable, a further series applying to the sequence listing part of the description, commencing with the first sheet of that part.~~

Section 208

Sequence Listings

Any sequence listing, ~~whether on paper or in electronic form~~, whether forming part of the international application or not forming part of the international application, shall comply with Annex C. Sequences and references to sequences included in the main part of the description shall also comply with Annex C.

Section 313

Documents Filed with the International Application; Manner of Marking the Necessary Annotations in the Check List

(a) and (b) [No change]

~~(c) Any sequence listing not forming part of the international application, whether on paper or in electronic form, that is furnished for the purposes of the international search to the receiving Office together with the international application or subsequent to the filing of the international application, shall be transmitted to the International Searching Authority together with the search copy. Where such a sequence listing is received by the receiving Office after~~

~~the transmittal of the search copy, that sequence listing shall be promptly transmitted to the International Searching Authority.~~

Section 332

Notification of Languages Accepted by the Receiving Office under Rules 12.1(a), ~~and (c)~~ and (d) and 12.4(a)

(a) [No change] Each receiving Office shall notify the International Bureau of the language or languages which, having regard to Rule 12.1(b), it is prepared to accept under Rule 12.1(a) for the filing of international applications.

(a-bis) Each receiving Office shall notify the International Bureau of the language or languages of any language-dependent free text which, having regard to Rules 12.1(a) and (b), it is prepared to accept under Rule 12.1(d) for the filing of the sequence listing part of the description.

(b) Each receiving Office shall notify the International Bureau of any change to the information notified under paragraphs (a), (a-bis), (d) and (e). If the change means that

(i) the receiving Office is no longer prepared to accept the filing of international applications in a language that it had previously notified the International Bureau that it was prepared to accept; or

(ii) the receiving Office is no longer prepared to accept the translation of international applications into a language of publication that it had previously notified the International Bureau that it was prepared to accept; or

(iii) the receiving Office is no longer prepared to accept the filing of requests in a language that it had previously notified the International Bureau that it was prepared to accept; or

(iv) the receiving Office is no longer prepared to accept the filing of the sequence listing part of the description containing language-dependent free text in a language that it had previously notified the International Bureau that it was prepared to accept,

the effective date of such change shall be two months after the date of publication of the notification of the change in the Gazette pursuant to Section 405 or such later date as may be determined by the receiving Office.

(c) Nothing in paragraph (a), (a-bis), (b), (d) or (e) prevents any receiving Office from accepting, in a particular case,

(i) the filing of an international application in a language that it has not notified the International Bureau that it is prepared to accept; or

(ii) the translation of an international application into a language of publication that it has not notified the International Bureau that it is prepared to accept; or

(iii) the filing of a request in a language that it has not notified the International Bureau that it is prepared to accept; or

(iv) the filing of the sequence listing part of the description containing language-dependent free text in a language that it has not notified the International Bureau that it is prepared to accept.

(d) [No change] Each receiving Office concerned shall notify the International Bureau of the language or languages which it is prepared to accept under Rule 12.4(a) for the translation of international applications into a language of publication.

(e) [No change] Each receiving Office shall notify the International Bureau of the language or languages which it is prepared to accept under Rule 12.1(c) for the filing of requests.

Section 333

Transmittal of International Application to the International Bureau as Receiving Office

(a) Where a national Office intends to proceed under Rule 19.4(b) having regard to Rule 19.4(a)(i), ~~or~~ (ii) or (ii-bis), it shall, if it requires payment of the fee referred to in Rule 19.4(b) and that fee has not already been paid, promptly invite the applicant to pay that fee within a time limit of 15 days from the date of the invitation.

(b) [No change] Where a national Office intends to proceed under Rule 19.4(b) having regard to Rule 19.4(a)(iii), it shall promptly request the International Bureau as receiving Office to agree to the transmittal of the international application. The International Bureau as receiving Office shall promptly respond to that request. If the International Bureau as receiving Office agrees to the transmittal, the national Office shall promptly invite the applicant:

(i) if the transmittal has not already been authorized by the applicant, to submit to that Office, within a time limit of 15 days from the date of the invitation, an authorization of the transmittal, and,

(ii) if the Office requires payment of the fee referred to in Rule 19.4(b) and that fee has not already been paid, to pay that fee within the time limit referred to in item (i).

(c) [No change] The national Office:

(i) need not proceed under Rule 19.4(b) having regard to Rule 19.4(a)(i) to (iii) if the Office requires payment of the fee referred to in Rule 19.4(b) and the applicant does not pay that fee;

(ii) shall not proceed under Rule 19.4(b) having regard to Rule 19.4(a)(iii) if the International Bureau as receiving Office does not agree to, or if the applicant does not authorize, the transmittal of the international application under Rule 19.4(a)(iii).

Section 335

Procedures Relating to Sequence Listings

(a) Sections 305bis, 308(b), 308bis to 310ter and 325 shall apply *mutatis mutandis* to any sequence listing furnished as a separate electronic file in the relevant procedures, subject to paragraphs (b) to (d) and any special provisions set out in Annex C.

(b) Where the receiving Office receives a sequence listing on a physical medium, that Office shall physically label the medium with the words "SEQUENCE LISTING" together with other markings equivalent to those required for sheets filed or submitted according to Sections 308(b), 308bis to 310ter or 325, as the case may be, in accordance with the procedures in Annex C.

(c) The receiving Office shall keep the contents of any file received from the applicant representing a sequence listing unchanged. Any required annotation concerning the international application number or purpose for which the sequence listing was furnished shall be recorded in the filename or other metadata associated with the file in accordance with the procedures in Annex C.

(d) Where the receiving Office receives a sequence listing under Rule 13ter for the purposes of international search and any accompanying statement as set out in Annex C, it

shall forward these to the International Searching Authority, together with the search copy or as soon as possible thereafter.

Section 405

Publication of Notifications of Languages

Accepted by the Receiving Office under Rules 12.1(a), ~~and~~ (c) and (d) and 12.4(a)

The International Bureau shall promptly publish in the Gazette any notification under Section 332(a), (a-bis), (b), (d) or (e).

Section 513

Sequence Listings

(a) [Deleted] ~~Where the International Searching Authority receives a correction of a defect under Rule 13ter.1(f), it shall:~~

~~(i) indelibly mark, in the upper right-hand corner of each replacement sheet, the international application number and the date on which that sheet was received;~~

~~(ii) indelibly mark, in the middle of the bottom margin of each replacement sheet, the words "SUBSTITUTE SHEET (Rule 13ter.1(f))" or their equivalent in the language of publication of the international application;~~

~~(iii) indelibly mark on the letter containing the correction, or accompanying any replacement sheet, the date on which that letter was received;~~

~~(iv) keep in its files a copy of the letter containing the correction or, when the correction is contained in a replacement sheet, the replaced sheet, a copy of the letter accompanying the replacement sheet, and a copy of the replacement sheet;~~

~~(v) promptly transmit any letter and any replacement sheet to the International Bureau, and a copy thereof to the receiving Office.~~

(b) [No change] Where the international search report and the written opinion of the International Searching Authority are based on a sequence listing not forming part of the international application but furnished for the purposes of the international search, the

international search report and the written opinion of the International Searching Authority shall so indicate.

(c) Where a meaningful international search cannot be carried out and a meaningful written opinion, as to whether the claimed invention appears to be novel, to involve an inventive step (to be non-obvious) and to be industrially applicable, cannot be established because a sequence listing is not available to the International Searching Authority in the required form, language and manner, that Authority shall so state in the international search report or declaration referred to in Article 17(2)(a), and in the written opinion.

(d) ~~The International Searching Authority shall indelibly mark, on the first sheet of any sequence listing on paper which does not form part of the international application but was furnished for the purposes of the international search, the words "SEQUENCE LISTING NOT FORMING PART OF THE INTERNATIONAL APPLICATION" or their equivalent in the language of publication of the international application.~~ Where ~~such a~~ sequence listing for the purposes of the international search is furnished ~~in electronic form~~ on a physical medium, that Authority shall physically label that medium ~~accordingly~~ with the words "SEQUENCE LISTING NOT FORMING PART OF THE INTERNATIONAL APPLICATION" in accordance with the procedures in Annex C.

(e) The International Searching Authority shall:

(i) keep in its files one copy of any sequence listing, ~~whether on paper or in electronic form~~, which does not form part of the international application but was furnished for the purposes of the international search; and

(ii) ~~where the sequence listing which does not form part of the international application but was furnished for the purposes of the international search is in electronic form~~, transmit one copy thereof to the International Bureau together with the copy of the international search report. If that listing ~~in electronic form~~ is ~~filed~~ furnished on a physical medium in less than the number of copies required by the International Searching Authority, that Authority shall be responsible for the preparation of the additional copy and shall have the right to fix a fee for performing that task and to collect such fee from the applicant.

(f) ~~Any~~ Each International Searching Authority ~~which requires, for the purposes of the international search, the furnishing of a sequence listing in electronic form~~ shall notify the International Bureau ~~accordingly. In that notification, the Authority shall specify~~ of the means of transmittal of the sequence listing ~~in electronic form~~ accepted by it in accordance with Annex F. The International Bureau shall promptly publish details of the notification in the Gazette.

Section 610
Sequence Listings

(a) [No change] Where the written opinion of the International Preliminary Examining Authority or the international preliminary examination report is based on a sequence listing not forming part of the international application but furnished for the purposes of the international preliminary examination, the written opinion and the international preliminary examination report of the International Preliminary Examining Authority shall so indicate.

(b) Where a meaningful written opinion of the International Preliminary Examining Authority cannot be established, or a meaningful international preliminary examination cannot be carried out, as to whether the claimed invention appears to be novel, to involve an inventive step (to be non-obvious) and to be industrially applicable, because a sequence listing is not available to the International Preliminary Examining Authority in the required form, language and manner, that Authority shall so state in the written opinion and in the international preliminary examination report.

(c) ~~The International Preliminary Examining Authority shall indelibly mark, on the first sheet of any sequence listing on paper which does not form part of the international application but was furnished for the purposes of the international preliminary examination, the words “SEQUENCE LISTING NOT FORMING PART OF THE INTERNATIONAL APPLICATION” or their equivalent in the language of publication of the international application.~~ Where ~~such a~~ sequence listing for the purposes of the international preliminary examination is furnished ~~in electronic form~~ on a physical medium, that Authority shall physically label that medium ~~accordingly~~ with the words “SEQUENCE LISTING NOT FORMING PART OF THE INTERNATIONAL APPLICATION” in accordance with the procedures in Annex C.

(d) The International Preliminary Examining Authority shall:

(i) keep in its files one copy of any sequence listing, ~~whether on paper or in electronic form~~, which does not form part of the international application but was furnished for the purposes of the international preliminary examination; and

(ii) transmit one copy thereof to the International Bureau, either immediately or together with the international preliminary examination report. If that listing is furnished on a physical medium in less than the number of copies required by the International Preliminary Examining Authority, that Authority shall be responsible for the preparation of the additional copy and shall have the right to fix a fee for performing that task and to collect such fee from the applicant.

(e) ~~Any~~ Each International Preliminary Examining Authority ~~which requires, for the purposes of the international preliminary examination, the furnishing of a sequence listing in electronic form~~ shall notify the International Bureau ~~accordingly. In that notification, the Authority shall specify~~ of the means of transmittal of the sequence listing ~~in electronic form~~ accepted by it in accordance with Annex F. The International Bureau shall promptly publish details of the notification in the Gazette.

(f) [No change] Where the national Office or intergovernmental organization that acted as the International Searching Authority also acts as the International Preliminary Examining Authority, any sequence listing not forming part of the international application but furnished to that Office or organization for the purposes of the international search shall be considered to have been furnished to it also for the purposes of the international preliminary examination.

Section 707

Calculation of International Filing Fee and Fee Reduction

(a) [No change] Where an international application is filed in electronic form, the international filing fee shall, subject to paragraph (a-bis), be calculated on the basis of the number of sheets that the application would contain if presented as a print-out complying with the physical requirements prescribed in Rule 11.

(a-bis) Where ~~a sequence listing is contained in an~~ the international application as filed contains an electronic file appearing to be a sequence listing ~~in electronic form~~, the calculation of the international filing fee shall, in the calculation of the number of sheets, not take into account any ~~sheet of the sequence listing if that listing is presented as a separate part of the description in accordance with Rule 5. 2(a) and is in the electronic document format specified in paragraph 40 of Annex C~~ material contained in such an electronic file.

(b) [No change]

[Annex II follows]

PROPOSED NEW ANNEX C OF THE ADMINISTRATIVE INSTRUCTIONS

ANNEX C¹

INSTRUCTIONS RELATING TO THE PRESENTATION OF NUCLEOTIDE AND AMINO ACID SEQUENCE LISTINGS IN INTERNATIONAL PATENT APPLICATIONS UNDER THE PCT

INTRODUCTION

1. In accordance with Rule 5.2(a), where the international application contains disclosure of nucleotide and/or amino acid sequences that, pursuant to the Administrative Instructions, are required to be included in a sequence listing, the description shall include a sequence listing part of the description complying with the standard provided for in the Administrative Instructions. In accordance with Section 208, any sequence listing, whether forming part of the international application or not forming part of the international application, shall comply with Annex C (this Annex).

2. This Annex provides the Instructions referred to above in relation to the filing and processing of sequence listings, whether forming part of an international applications or not forming part of an international application.

DEFINITIONS

3. For the purposes of these Instructions:

(a) the expressions “sequence listing”, “nucleotide” and “amino acid” have the same meaning as in WIPO Standard ST.26;

(b) the expression “sequence listing forming part of the international application” means a sequence listing contained in the international application as filed, including any sequence listing which:

(i) is included in the international application under Rule 20.5(b) or (c) or Rule 20.5*bis*(b) or (c),

(ii) is considered to have been contained in the international application under Rule 20.6(b),

¹ The Instructions set out in this Annex apply to international applications filed on or after [date of entry into force of the relevant amendments to the PCT Regulations]. The previous version of Annex C continues to apply to international applications filed prior to that date.

(iii) has been corrected under Rule 26, rectified under Rule 91 or amended under Article 34(2)(b), or

(iv) is included in the international application by way of an amendment under Article 34(2)(b) of the description in relation to sequences contained in the international application as filed but not originally included in a sequence listing;

(c) the expression “sequence listing not forming part of the international application” means a sequence listing that does not form part of the international application but is furnished for the purposes of the international search or international preliminary examination.

RELATIONSHIP WITH WIPO STANDARD ST.26

4. The sequence listing part of the description shall comply with WIPO Standard ST.26. Subject to the specific requirements set out in this Annex, that Standard shall apply to any nucleotide or amino acid sequence disclosure in an international application, notably with regard to:

- (a) whether such disclosure is to be included in a sequence listing;
- (b) the manner in which disclosures are to be presented;
- (c) the qualifiers for which “free text” is permitted as a value and the identification of those qualifiers for which such free text is considered language-dependent²; and
- (d) the Document Type Definition (DTD) for a sequence listing in XML (eXtensible Markup Language).

5. Following any revision of WIPO Standard ST.26, the Director General shall decide a date from which the revised version of that Standard shall apply to international applications and publish that information in the Gazette, together with any transitional provisions concerning the furnishing on or after that date of sequence listings related to international applications filed prior to that date.

² See paragraphs 87 and 88 of WIPO Standard ST.26 and Section 6, Table 5 and Section 8, Table 6 in Annex I to that Standard.

SEQUENCES REQUIRED TO BE PRESENTED IN A SEQUENCE LISTING

6. In accordance with WIPO Standard ST.26, a sequence required to be included in a sequence listing for the purposes of Rule 5.2 is one that is disclosed anywhere in an international application by enumeration of its residues and can be represented as:

(a) an unbranched sequence or a linear region of a branched sequence containing ten or more specifically defined nucleotides, wherein adjacent nucleotides are joined by:

(i) a 3' to 5' (or 5' to 3') phosphodiester linkage; or

(ii) any chemical bond that results in an arrangement of adjacent nucleobases that mimics the arrangement of nucleobases in naturally occurring nucleic acids; or

(b) an unbranched sequence or a linear region of a branched sequence containing four or more specifically defined amino acids, wherein the amino acids form a single peptide backbone, that is, adjacent amino acids are joined by peptide bonds.

7. In accordance with WIPO Standard ST.26, a sequence listing must not include, as a sequence assigned its own sequence identification number, any sequences having fewer than ten specifically defined nucleotides or fewer than four specifically defined amino acids.

SEQUENCES IN THE MAIN PART OF THE DESCRIPTION

8. Where sequences are included in a sequence listing, Offices may not require that the sequences also appear in the main part of the description. However, in specific cases, the applicant may have valid reasons for setting out some sequences or parts of sequences from the sequence listing in the main part of the description. Where any sequences are presented within the main part of description, they may be set out in the manner considered most appropriate to present the information for the relevant purpose, rather than strictly adhering to the presentation requirements of WIPO Standard ST.26. Similarly, sequences too short to be included in the sequence listing may be presented in the manner considered most appropriate by the applicant. In the description, claims or drawings of the application, the sequences included in the sequence listing shall be referred to by the sequence identifier and preceded by "SEQ ID NO:", even if the sequence is also embedded in the description, claims or drawings.

LANGUAGE-RELATED REQUIREMENTS

9. WIPO Standard ST.26 prescribes the use of "controlled vocabulary" that must be used when describing the features of a sequence, that is, annotations of regions or sites of interest as set out in Annex I to the Standard.

10. Under the Standard, “qualifiers” are used to supply certain information about features in addition to that conveyed by the feature key and feature location. There are several types of permitted “value formats” to accommodate different types of information conveyed by qualifiers, namely controlled vocabulary, enumerated values (for example, a number or date), “free text” and sequences.

11. The vocabulary set out in Annex I of the Standard that is not language-dependent shall be presented only in conformance with the requirements of WIPO Standard ST.26 and must not be translated. This includes:

- (a) the nucleotide codes set out in Section 1 and the amino acid codes set out in Section 3;
- (b) the abbreviations for modified nucleotides set out in Section 2 and the abbreviations for modified amino acids set out in Section 4 as the only permitted values for the certain qualifiers;
- (c) the feature key names set out in Sections 5 and 7, and the qualifier names set out in Sections 6 and 8, notwithstanding that many of the allowed names of feature keys and qualifiers are in English or are English abbreviations (see, for example, feature keys 5.1 “C-region” and 7.18 “MOD_RES” (abbreviation of “modification of a residue”); and qualifiers 6.5 “cell_type” and 8.3 “ORGANISM”);
- (d) all “value formats” set out in Sections 6 and 8 allowed to be used to accommodate different types of information conveyed by qualifiers other than “free text” (that is, controlled vocabulary, enumerated values like a number or date, and sequences), notwithstanding that many of these allowed “value formats” contain elements in English or English abbreviations or are recognizably derived from English or Latin words (see, for example, qualifier 6.15 “direction”, with the value format: “left, right or both”); and
- (e) “free text” qualifier values other than those identified in the Standard as language-dependent.

12. The language-dependent free text qualifiers as identified in the Standard must be provided in the language required or one or more of the languages permitted for the relevant purpose. WIPO Standard ST.26 allows language-dependent free text to be provided in either one or two languages within the same sequence listing: English (in the `INSDQualifier_value` element) and/or another specified language (in the

NonEnglishQualifier_value element). The language or languages permitted or required to be used in any particular case are considered in paragraphs 15 to 19.

13. The language of any free text included in the NonEnglishQualifier_value element shall be indicated in the nonEnglishFreeTextLanguageCode attribute. The same language shall be used for the contents of all NonEnglishQualifier_value elements in a sequence listing. Where language-dependent free text is provided for any INSDQualifier_value or NonEnglishQualifier_value element, it shall be provided in the relevant language for all such elements.

14. The language considered to be the original language of all of the language-dependent free text, being the language, or one of the languages, included in the sequence listing furnished at the time of filing, shall preferably be indicated using the originalFreeTextLanguageCode attribute of the ST26SequenceListing element. The indicated language may be used in the international phase to assist the assessment and, where relevant, rectification of discrepancies found between an INSDQualifier_value element and a NonEnglishQualifier_value element for a language-dependent free text qualifier included in the sequence listing as filed. For national phase processing, the relevance of the indicated original language in cases where more than one language version of free text was included on the international filing date shall be a matter of national law.

15. WIPO Standard ST.26 requires that the name of the first mentioned applicant be provided in the language of filing. Where the name of the first mentioned applicant is not provided in Latin characters, a transliteration or translation must also be provided in Latin characters, irrespective of the language of the sequence listing otherwise. The title of the invention must be provided in the language of filing and may, where different, also be provided in English or the language used for any NonEnglishQualifier_value elements. In any sequence listing translation submitted to the receiving Office, the International Bureau, the International Searching Authority or the International Preliminary Examining Authority, the applicant may add these items in the language of the translation, but shall not be required to do so.

Languages of the Sequence Listing as Filed

16. Rule 12.1(d) allows receiving Offices to specify the language or languages that may be used for language-dependent free text in a sequence listing forming part of the international application as filed. The Office may allow or require the language-dependent free text to be submitted in a language either the same as or different to that of the main body of the international application. The receiving Office may also permit, but may not require the

sequence listing as filed to include language-dependent free text in a second language in accordance with WIPO Standard ST.26. This allows the language-dependent free text to be submitted simultaneously in the language of the main body of the international application as filed and in a different language required for the purposes of the international search or international publication under Rule 12.3 or 12.4. In this case, it is not required to submit the translation of the main body of the international application at the same time as the sequence listing; the translation of the main body may be provided at a later date and the translation as a whole will be considered as received on the date on which the final part of the translation is received.

Translations of the Sequence Listing

17. Where a translation of the language-dependent free text in the sequence listing of the international application or of an earlier application is required as part of a translation under Rule 12.3, 12.4, 12*bis*.2(a)(ii), 20.6(a)(iii), 45*bis*.1(c)(i), 49.5 or 55.2(a), that translation shall be provided in the form of a new sequence listing containing all of the language-dependent free text in the required language, either in addition to or replacing languages in the sequence listing from which the text is being translated. The remainder of the sequence listing shall remain unchanged, save for:

- (a) the appropriate attributes of `ST26SequenceListing` describing the content, notably including the `productionDate` and, where relevant, `nonEnglishFreeTextLanguageCode`;
- (b) preferably, including the application identification details (IP Office code, international application number and international filing date) if these have been accorded and notified to the applicant, as well as, where applicable, updating any of the other elements of the general information part that have been modified since the international application was filed, or translating them into the language of the translated language-dependent free text. The receiving Office or International Authority shall not require correction of any differences in the general information part of the sequence listing from the corresponding details in the remainder of the international application, nor require translation of such details.

18. The `originalFreeTextLanguageCode` attribute shall continue to indicate the original language, irrespective of whether that language version is included in the translated sequence listing. The applicant shall not be required to update the elements referred to in paragraph 17(b) solely because names, priority claim details or the title of the invention have changed between the international filing date and the date on which the translation is submitted.

Languages of Sequence Listings Not Forming Part of the International Application

19. Where a sequence listing is furnished under Rule 13*ter*.1 or 13*ter*.2 for the purposes of the international search or the international preliminary examination, the language-dependent free text shall be provided in one of the languages accepted by the International Searching Authority or the International Preliminary Examining Authority, normally the same language as that used for the main part of the description. The sequence listing may also include the language-dependent free text in a second language, normally either the language of filing or English.

FILING AN INTERNATIONAL APPLICATION CONTAINING A SEQUENCE LISTING OR FURNISHING A SEQUENCE LISTING AFTER FILING

20. The definition of a sequence listing in WIPO Standard ST.26 as an XML file means that sequence listings can only be filed or furnished in electronic form. An application containing sequences as described in paragraph 6 without such a sequence listing is defective and may be difficult to correct at a later stage. It is strongly recommended that the sequence listing be prepared using WIPO SEQUENCE or equivalent software, which validates the form and aspects of the content of the sequence listing.

21. Where an international application containing a sequence listing is filed in electronic form, whether transmitted by electronic or physical means, the sequence listing should preferably form part of a package filed in accordance with Annex F, with the sequence listing indexed in accordance with the standards set out in that Annex.

22. Notwithstanding paragraph 21, any receiving Office may accept an electronic file appearing to contain a sequence listing submitted separately from the main package on the date of filing and should accept such a separate electronic file in any case where it is not practical for the applicant to include the sequence listing as part of the main package, for example, because the file size is too large to be handled by the software used for preparing or receiving the remainder of the international application. If the receiving Office is not able to process such an application, the application shall be considered to have been received by that Office on behalf of the International Bureau as receiving Office in accordance with Rule 19.4(a)(ii-*bis*).

SEQUENCE LISTING FILED ON SEPARATE PHYSICAL MEDIA

23. Any physical medium containing a sequence listing filed separately from a package as referred to in paragraph 21 or where the remainder of the international application is filed on paper, shall be clearly labeled "Sequence Listing" or its equivalent in the language of publication, to which the Office to which the sequence listing is submitted shall add the

international application number. Where the sequence listing is submitted after the international filing date, the Office shall also indicate the nature of the sequence listing in accordance with the appropriate one of Sections 309 to 310~~ter~~, 325, 513 or 610. Preferably, the physical medium used for the transmittal of the sequence listing shall be of a type accepted by both the receiving Office and the International Searching Authority chosen to carry out the international search.

24. Where the file size of a sequence listing is too large to be included on a single physical medium, it shall be split such that the files can be rejoined to form one single contiguous file without any missing or repeating contents in accordance with the procedures set out in paragraphs 2(c) and (c-*bis*) of Appendix IV to Annex F of these Administrative Instructions. In addition to the labeling referred to in paragraph 23, the physical media shall each be numbered, for example "DISK 1/3", "DISK 2/3", "DISK 3/3".

SEQUENCE LISTING IN ELECTRONIC FORM WITH THE REMAINDER OF THE INTERNATIONAL APPLICATION FILED ON PAPER

25. Applicants are strongly discouraged from filing international applications with the main body on paper and the sequence listing separately in electronic form. Nevertheless, in accordance with Section 703 paragraphs (d) and (e), any receiving Office may accept an international application filed in that way and should do so if it is apparent that it would not have been practical for the applicant to file the application with the receiving Office in any other way. If the receiving Office is not able to process such an application, the application shall be considered to have been received by that Office on behalf of the International Bureau as receiving Office in accordance with Rule 19.4(a)(ii-*bis*).

RECEIVING AND PROCESSING AN INTERNATIONAL APPLICATION CONTAINING A SEQUENCE LISTING

CHECKING BY THE RECEIVING OFFICE

Electronic File Appearing to Be a Sequence Listing

26. The receiving Office shall treat any electronic file appearing to be a sequence listing as a sequence listing forming part of the international application if it is received on or before the date on which the receiving Office determines that the papers purporting to be an international application fulfill all of the requirements under Article 11(1), whether or not that listing is referred to in the main part of the description or in the request, even if it is not correctly marked as such, except for the case where a second sequence listing is provided as part of a translation for international search under Rule 12.3 or international publication under Rule 12.4. This is

independent of the question whether or not the electronic file purporting or appearing to be a sequence listing is in fact compliant with WIPO Standard ST.26 (which is not required to be checked by the receiving Office but only by the International Searching Authority).

Checking for Compliance with WIPO Standard ST.26 and for Other Defects

27. The receiving Office shall not be required to perform automated validations to check whether a sequence listing is compliant with WIPO Standard ST.26 or otherwise to check whether its contents are compliant with the requirements of the Rules and these Administrative Instructions. However, where the Office becomes aware of a defect, for example, because its online filing processes or other Office procedures check the sequence listing file using the validation tool provided for the purpose by the International Bureau, the Office may notify the applicant accordingly.

28. Where the receiving Office identifies a discrepancy between any of the information in the general information part of the sequence listing and the corresponding information in the request or application body, the receiving Office may draw the fact to the applicant's attention. The applicant may correct the discrepancy within the time limit provided for in Rule 26.2 but shall not be required to do so. The international application shall be processed on the basis of the indications made in the request.

Calculation of International Filing Fee

29. In accordance with Section 707(a-bis), where the international application as filed contains an electronic file purporting or appearing to be a sequence listing, the calculation of the international filing fee shall, in the calculation of the number of sheets, not take into account any material contained in such an electronic file. However, where the receiving Office determines that the electronic file in fact contains material which is clearly not a sequence listing, such as PDF pages containing sequences, or the main part of the description or drawings mislabeled as a sequence listing, such pages should be taken into account in the calculation of the number of sheets.

Processing of a Sequence Listing Submitted After the International Filing Date

30. Where a sequence listing is received after the international filing date under any of Rules 12.3 (translation for the purposes of international search), 12.4 (translation for the purposes of international publication) or 26.4 (correction of a defect), the receiving Office shall forward a copy of the sequence listing to the International Searching Authority and to the International Bureau together with any replacement sheets also submitted for the relevant purpose, in accordance with Section 305bis or 325, as applicable under Section 335(a).

31. Where a sequence listing is received after the international filing date under Rule 13*ter* (sequence listing for the purposes of international search, not forming part of the international application), the receiving Office shall forward it to the International Searching Authority.

CHECKING BY THE INTERNATIONAL SEARCHING AUTHORITY OR THE INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

32. The International Searching Authority or the International Preliminary Examining Authority shall check that any sequence listing received as part of the search copy, or of a copy of the international application provided for the purposes of international preliminary examination, is compliant with the requirements of WIPO Standard ST.26 and that the language-dependent free text meets the language requirements of the Authority. Where the sequence listing contains defects, or where the international application contains sequences that should have been included in a sequence listing but were not, the Authority may invite the applicant to submit a sequence listing under Rule 13*ter*.1 for the purposes of international search or Rule 13*ter*.2 for the purposes of international preliminary examination.

CORRECTION, RECTIFICATION AND AMENDMENT OF A SEQUENCE LISTING

33. Any correction under Rule 26, rectification under Rule 91 or amendment under Article 34(2)(b) of the description submitted in relation to a sequence listing forming part of the international application as filed and any sequence listing included in the international application by way of an amendment under Article 34(2)(b) of the description in relation to sequences contained in the international application as filed shall be made by submitting a complete new sequence listing compliant with WIPO Standard ST.26 including the relevant correction, rectification or amendment. The nature of the correction, rectification or amendment shall be clearly explained in an accompanying letter.

34. In compliance with WIPO Standard ST.26, any sequence listing referred to in paragraph 33 shall, where possible, maintain the original numbering of the sequences in the application as filed, representing any “intentionally skipped sequence” as prescribed by WIPO Standard ST.26, where necessary. Otherwise, the sequences shall be numbered in compliance with that Standard in the order in which they appear in the international application.

35. Where the sequence listing referred to in paragraph 33 as proposed to be corrected, rectified or amended is presented on physical media, the media shall be labeled “Sequence Listing – Correction”, “Sequence Listing – Rectification” or “Sequence Listing – Amendment”, as the case may be, or the equivalents in the language of publication, together with the international application number.

36. Where the new sequence listing is received by the receiving Office, that Office shall not be required to check the content of the sequence listing. The Office may simply check that it has received an electronic file that appears to be a sequence listing, together with an accompanying letter and then forward these items to the International Searching Authority and International Bureau, together with any accompanying corrected, rectified or amended sheets of the main part of the international application.

INCORPORATION BY REFERENCE; MISSING AND ERRONEOUSLY FILED PARTS

37. A sequence listing missing from the international application as filed may be included into the international application under Rule 20.5, or a sequence listing erroneously filed may be removed and replaced under Rule 20.5*bis*. Where relevant, the appropriate sequence listing may be confirmed as incorporated by reference under Rule 20.6.

38. In accordance with Section 335, the procedures for such arrangements are equivalent to those for other parts of the description. Where the sequence listing is not incorporated by reference and the international filing date is corrected, there is no need to compare the newly provided sequence listing to that from the earlier filed application and the receiving Office need only tag the sequence listing in the appropriate manner and proceed as in Sections 310 and 310*bis*. Where the sequence listing is incorporated by reference, the procedure in Section 309 applies, in which case the receiving Office shall make the appropriate marking in the filename or metadata of the XML file containing the respective sequence listing. The receiving Office is recommended to seek guidance from the International Bureau if assistance is required in the comparison of sequence listings provided for confirmation of incorporation by reference with the sequence listing from an earlier application.

SEQUENCE LISTING NOT FORMING PART OF THE INTERNATIONAL APPLICATION

39. Any sequence listing furnished under Rule 13*ter*.1, 13*ter*.2 and 45*bis*.5(c) to an International Authority for the purposes of international search or preliminary examination shall not form part of the international application, pursuant to Rule 13*ter*.1(e) (where applicable, by virtue of Rules 13*ter*.2 and 45*bis*.5(c)). Any such sequence listing submitted shall be accompanied by a statement to the effect that the sequence listing does not go beyond the disclosure therein.

40. Paragraphs 4 to 20 and 24 of this Annex shall apply *mutatis mutandis* to any such sequence listing. Such a sequence listing shall contain all sequences disclosed in the international application as filed that meet the criteria referred to in paragraph 6. In compliance with WIPO Standard ST.26, such a sequence listing shall, where possible, maintain the original numbering of the sequences in the application as filed, representing any “intentionally skipped

sequence” as prescribed by WIPO Standard ST.26, where necessary. Otherwise, the sequences shall be numbered in compliance with that Standard in the order in which they appear in the international application.

41. Where such a sequence listing is furnished on physical media, the media shall be labeled “Sequence Listing Not Forming Part of the International Application”, or its equivalent in the language of publication or of international preliminary examination, together with the international application number.

TRANSMISSION OF SEQUENCE LISTINGS BETWEEN OFFICES

42. Where a sequence listing is to be transmitted between any of the receiving Office, the International Bureau, the International Searching Authority, the International Preliminary Examining Authority and a designated or elected Office, it shall be sent with the file contents unchanged from the version received from the applicant. Where the sequence listing is transmitted online, the international application number and type of sequence listing (as filed, corrected, for purpose of international search, etc.) shall be encoded in the filename, referencing XML or equivalent metadata appropriate to the means of online transmission.

43. Where a sequence listing was received on a physical medium, the sequence listing may be transmitted online, in which case, the international application number and type of sequence listing should be encoded in the filename or associated metadata in the same way as if the sequence listing had been received online. If the sequence listing is transmitted on a physical medium, the medium should be physically labelled as indicated in the relevant paragraphs above, without changing any of the content on the medium.

PROCEDURE BEFORE DESIGNATED AND ELECTED OFFICES

44. Rules 13*ter*.3 and 76.5 require that no designated or elected Office shall require the applicant to furnish to it a sequence listing other than a sequence listing complying with the standard provided for in the Administrative Instructions. Where no sequence listing complying with the standard and containing the language-dependent free text in the language required for national processing is available to the designated or elected Office, that Office may require the applicant to furnish a translation under Rule 49.5 in the form of a new sequence listing according to paragraphs 17 and 18, within a time limit which shall be reasonable in the circumstances.

45. The designated or elected Office shall not require a new sequence listing as part of a translation under Rule 49.5 solely because a sequence listing already provided as part of the international application contains language-dependent free text in a second language in addition

to that required for national processing or because the sequence listing does not contain national application identifiers in the general information part of the sequence listing.

[Annex III 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*) (25 characters maximum)

Box No. I TITLE OF INVENTION	
Box No. II APPLICANT <input type="checkbox"/> This person is also inventor	
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>)	Telephone No.
	Facsimile No.
	Applicant's registration No. with the Office
E-mail authorization: Marking one of the check-boxes below authorizes the receiving Office, the International Searching Authority, the International Bureau and the International Preliminary Examining Authority to use the e-mail address indicated in this Box to send notifications issued in respect of this international application to that e-mail address if those offices are willing to do so. <input type="checkbox"/> as advance copies followed by paper notifications; or <input type="checkbox"/> exclusively in electronic form (no paper notifications will be sent). E-mail address:	
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"/> the States indicated in the Supplemental Box	
Box No. III FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S)	
<input type="checkbox"/> Further applicants and/or (further) inventors are indicated on a continuation sheet.	
Box No. IV AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE	
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: (<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.
	Agent's registration No. with the Office
E-mail authorization: Marking one of the check-boxes below authorizes the receiving Office, the International Searching Authority, the International Bureau and the International Preliminary Examining Authority to use the e-mail address indicated in this Box to send notifications issued in respect of this international application to that e-mail address if those offices are willing to do so. <input type="checkbox"/> as advance copies followed by paper notifications; or <input type="checkbox"/> exclusively in electronic form (no paper notifications will be sent). E-mail address:	
<input type="checkbox"/> 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.	

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 (<i>if desired</i>) (25 characters maximum)

Box No. I TITLE OF INVENTION	
Box No. II APPLICANT <input type="checkbox"/> This person is also inventor	
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>)	Telephone No.
	Facsimile No.
	Applicant's registration No. with the Office
<p>E-mail authorization: Marking one of the check-boxes below authorizes the receiving Office, the International Searching Authority, the International Bureau and the International Preliminary Examining Authority to use the e-mail address indicated in this Box to send notifications issued in respect of this international application to that e-mail address if those offices are willing to do so.</p> <input type="checkbox"/> as advance copies followed by paper notifications; or <input type="checkbox"/> exclusively in electronic form (no paper notifications will be sent). E-mail address: _____	
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"/> the States indicated in the Supplemental Box	
Box No. III FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S)	
<input type="checkbox"/> Further applicants and/or (further) inventors are indicated on a continuation sheet.	
Box No. IV AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE	
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: (<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.
	Agent's registration No. with the Office
<p>E-mail authorization: Marking one of the check-boxes below authorizes the receiving Office, the International Searching Authority, the International Bureau and the International Preliminary Examining Authority to use the e-mail address indicated in this Box to send notifications issued in respect of this international application to that e-mail address if those offices are willing to do so.</p> <input type="checkbox"/> as advance copies followed by paper notifications; or <input type="checkbox"/> exclusively in electronic form (no paper notifications will be sent). E-mail address: _____	
<input type="checkbox"/> 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. IX CHECK LIST for PAPER filings — ~~this sheet is only to be used when filing an international application on PAPER~~

This international application contains the following:	Number of sheets	This international application is accompanied by the following item(s) (<i>mark the applicable check-boxes below and indicate in right column the number of each item</i>):	Number of items
(a) request form PCT/RO/101 (including any declarations and supplemental sheets) :		1. <input type="checkbox"/> fee calculation sheet. :	
(b) description (excluding any sequence listing part of the description; see (f), below) :		2. <input type="checkbox"/> original separate power of attorney :	
(c) claims :		3. <input type="checkbox"/> original general power of attorney :	
(d) abstract :		4. <input type="checkbox"/> copy of general power of attorney; reference number: :	
(e) drawings (if any) :		5. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s) :	
(f) sequence listing part of the description (if any) :		6. <input type="checkbox"/> Translation of international application into (<i>language</i>): :	
Total number of sheets :		7. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material :	
		8. <input type="checkbox"/> (only where item (f) is marked in the left column) copy in electronic form (Annex C/ST.25 text file) on physical data carrier(s) of the sequence listing, not forming part of the international application, which is furnished only for the purposes of international search under Rule 13ter (type and number of physical data carriers) :	
		9. <input type="checkbox"/> (only where item (f) (in the left column) and item 8 (above) are marked) a statement confirming that "the information recorded in electronic form submitted under Rule 13ter is identical to the sequence listing as contained in the international application" as filed on paper :	
		10. <input type="checkbox"/> copy of results of earlier search(es) (Rule 12bis.1(a)) :	
		11. <input type="checkbox"/> other (<i>specify</i>): :	

Figure of the drawings which should accompany the abstract:	Language of filing of the international application:
-------------------------------------------------------------	------------------------------------------------------

Box No. X 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 request).

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

For International Bureau use only

Date of receipt of the record copy by the International Bureau:

Box No. IX CHECK LIST for PAPER filing – only to be used when filing on PAPER			
This international application contains the following:	Number of sheets	This international application is accompanied by the following item(s) (<i>mark the applicable check-boxes below and indicate in right column the number of each item</i>):	Number of items
(a) request form PCT/RO/101 (including any declarations and supplemental sheets)..... :		1. <input type="checkbox"/> fee calculation sheet..... :	
(b) description :		2. <input type="checkbox"/> original separate power of attorney :	
(c) claims :		3. <input type="checkbox"/> original general power of attorney..... :	
(d) abstract :		4. <input type="checkbox"/> copy of general power of attorney; reference number: :	
(e) drawings (if any)..... :		5. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s) :	
Total number of sheets :		6. <input type="checkbox"/> Translation of international application into (<i>language</i>): :	
(f) <u>sequence listing part of the description as a WIPO Standard ST.26 XML file (<i>indicate type and number of physical data carrier(s)</i>):</u>		7. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material :	
		8. <input type="checkbox"/> copy of results of earlier search(es) (Rule 12bis.1(a)) ... :	
		9. <input type="checkbox"/> other (<i>specify</i>): :	
Figure of the drawings which should accompany the abstract:		Language of filing of the international application:	

Box No. X 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 request).

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

For International Bureau use only

Date of receipt of the record copy by the International Bureau:

Box No. IX CHECK LIST for EFS-Web filings this sheet is only to be used when filing an international application with RO/US via EFS-Web	
<p>This international application contains the following:</p> <p>(a) request form PCT/RO/101 (including any declarations and supplemental sheets)</p> <p>(b) description (excluding any sequence listing part of the description, see (f), below)</p> <p>(c) claims</p> <p>(d) abstract</p> <p>(e) drawings (if any)</p> <p>(f) sequence listing part of the description in the form of an image file (e.g. PDF)</p> <p>Total number of sheets (including the sequence listing part of the description if filed as an image file)</p> <p>(g) sequence listing part of the description</p> <p><input type="checkbox"/> filed in the form of an Annex C/ST.25 text file</p> <p><input type="checkbox"/> WILL BE filed separately on physical data carrier(s), on the same day and in the form of an Annex C/ST.25 text file</p> <p>Indicate type and number of physical data carrier(s)</p>	<p>This international application is accompanied by 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: :</p> <p>5. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s) :</p> <p>6. <input type="checkbox"/> Translation of international application into (language): :</p> <p>7. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material :</p> <p>8. <input type="checkbox"/> (only where item (f) is marked in the left column) copy of the sequence listing in electronic form (Annex C/ST.25 text file) not forming part of the international application but furnished only for the purposes of international search under Rule 13ter. :</p> <p>9. <input type="checkbox"/> (only where item (f) (in the left column) and item 8 (above) are marked) a statement confirming that "the information recorded in electronic form submitted under Rule 13ter is identical to the sequence listing as contained in the international application" as filed via EFS-Web: :</p> <p>10. <input type="checkbox"/> copy of results of earlier search(es) (Rule 12bis.1(a)) ... :</p> <p>11. <input type="checkbox"/> other (specify): :</p>
Figure of the drawings which should accompany the abstract:	Language of filing of the international application:
Box No. X SIGNATURE OF APPLICANT, AGENT OR COMMON REPRESENTATIVE	
<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>	

For receiving Office use only

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

For International Bureau use only

Date of receipt of the record copy by the International Bureau:

Box No. IX CHECK LIST for electronic filing with RO/US – only to be used when filing via [the USPTO electronic filing system](#)

This international application contains the following:	Number of sheets	This international application is accompanied by the following item(s) (<i>mark the applicable check-boxes below and indicate in right column the number of each item</i>):	Number of items
(a) request form PCT/RO/101 (including any declarations and supplemental sheets)		1. <input type="checkbox"/> fee calculation sheet. :	
(b) description		2. <input type="checkbox"/> original separate power of attorney	
(c) claims		3. <input type="checkbox"/> original general power of attorney. :	
(d) abstract		4. <input type="checkbox"/> copy of general power of attorney; reference number:	
(e) drawings (if any).		5. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s)	
Total number of sheets		6. <input type="checkbox"/> Translation of international application into (<i>language</i>):	
(f) sequence listing part of the description		7. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material	
<input type="checkbox"/> filed as an WIPO Standard ST.26 XML file		8. <input type="checkbox"/> copy of results of earlier search(es) (Rule 12bis.1(a)) ... :	
<input type="checkbox"/> WILL BE filed separately on physical data carrier(s) as a WIPO Standard ST.26 XML file, on the same day		9. <input type="checkbox"/> other (<i>specify</i>):	
Indicate type and number of physical data carrier(s)			

Figure of the drawings which should accompany the abstract:	Language of filing of the international application:
--------------------------------------------------------------------	-------------------------------------------------------------

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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).

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5. International Searching Authority (if two or more are competent):	6. <input type="checkbox"/> Transmittal of search copy delayed until search fee is paid

For International Bureau use only
Date of receipt of the record copy by the International Bureau:

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/. 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.

The request form should be typed or printed; 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)).

CONFIRMATION COPY OF THE REQUEST FORM

Where the international application was initially filed by facsimile with a receiving Office that accepts such filings (see the *PCT Applicant's Guide*, Annex C) this should be indicated on the first sheet of the form by the annotation "CONFIRMATION COPY" followed by the date of the facsimile transmission.

APPLICANT'S OR AGENT'S FILE REFERENCE

A **File Reference** may be indicated, if desired. It should not exceed 25 characters. Characters in excess of 25 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)):

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, for example, where the inventor is deceased or has assigned the invention and the assignee is the applicant for all designated States. 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.

For the indication of the designated States for which a person is applicant, mark the applicable check-box (only one for each person). If the person is not an applicant for all designated States, the check-box "the States indicated in the Supplemental Box" must be marked, and 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)): It is strongly recommended to always name the inventor since such information is generally required in the national phase. For details, see the *PCT Applicant's Guide*, Annex B.

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.

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/. 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.

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(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)).

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

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, for example, where the inventor is deceased or has assigned the invention and the assignee is the applicant for all designated States. 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.

For the indication of the designated States for which a person is applicant, mark the applicable check-box (only one for each person). If the person is not an applicant for all designated States, the check-box "the States indicated in the Supplemental Box" must be marked, and 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)): It is strongly recommended to always name the inventor since such information is generally required in the national phase. For details, see the *PCT Applicant's Guide*, Annex B.

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 Numbers and/or E-mail Addresses should be indicated for the persons named in Boxes Nos. II and IV in order to allow rapid communication with them (see Rule 4.4(c)). Any telephone or facsimile number should include the applicable country and area codes. A single e-mail address only should be indicated.

Unless one of the applicable check-boxes is marked, any e-mail address supplied will be used only for the types of communication which might be made by telephone. If one of the applicable check-boxes is marked, the receiving Office, the International Searching Authority, the International Bureau and the International Preliminary Examining Authority may send notifications in respect of the international application to the applicant, avoiding processing or postal delays. Note that not all Offices will send such notifications by e-mail, (for details about each Office's procedure see the *PCT Applicant's Guide*, Annex B). If the first check-box is marked, any such e-mail notification will always be followed by the official notification on paper. Only that paper copy of the notification is considered the legal copy of the notification and only the date of mailing of that paper copy will commence any time limit within the meaning of Rule 80. If the second check-box is marked, the applicant requests the discontinuation of the sending of paper copies of notifications and acknowledges that the date of mailing indicated on the electronic copy will commence any time limit within the meaning of Rule 80.

Note that it is the applicant's responsibility to keep any e-mail address details up-to-date and to ensure that incoming e-mails are not blocked for any reason on the recipient's side. Changes to the e-mail address indicated in the request should be requested to be recorded, preferably directly at the International Bureau, under Rule 92*bis*. Where the e-mail authorization is given both in respect of the applicant and in respect of an agent or common representative, the International Bureau will send e-mail communications only to the appointed agent or common representative.

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*, Annex K, may be used.

BOX No. IV

Who Can Act as Agent? (Article 49 and Rule 83.1*bis*): For each of the receiving Offices, information as to who can act as agent is given in the *PCT Applicant's Guide*, 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), address(es) (including names of States), telephone, facsimile numbers and/or e-mail addresses 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

Notes to the request form (PCT/RO/101) (page 2) (July 2020)

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*, 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*, 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).

Telephone, Facsimile Numbers and/or E-mail Addresses
See Notes to Boxes Nos II and III.

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*, Annex B.

Telephone, Facsimile Numbers and/or E-mail Addresses should be indicated for the persons named in Boxes Nos. II and IV in order to allow rapid communication with them (see Rule 4.4(c)). Any telephone or facsimile number should include the applicable country and area codes. A single e-mail address only should be indicated.

Unless one of the applicable check-boxes is marked, any e-mail address supplied will be used only for the types of communication which might be made by telephone. If one of the applicable check-boxes is marked, the receiving Office, the International Searching Authority, the International Bureau and the International Preliminary Examining Authority may send notifications in respect of the international application to the applicant, avoiding processing or postal delays. Note that not all Offices will send such notifications by e-mail, (for details about each Office's procedure see the *PCT Applicant's Guide*, Annex B). If the first check-box is marked, any such e-mail notification will always be followed by the official notification on paper. Only that paper copy of the notification is considered the legal copy of the notification and only the date of mailing of that paper copy will commence any time limit within the meaning of Rule 80. If the second check-box is marked, the applicant requests the discontinuation of the sending of paper copies of notifications and acknowledges that the date of mailing indicated on the electronic copy will commence any time limit within the meaning of Rule 80.

Note that it is the applicant's responsibility to keep any e-mail address details up-to-date and to ensure that incoming e-mails are not blocked for any reason on the recipient's side. Changes to the e-mail address indicated in the request should be requested to be recorded, preferably directly at the International Bureau, under Rule 92*bis*. Where the e-mail authorization is given both in respect of the applicant and in respect of an agent or common representative, the International Bureau will send e-mail communications only to the appointed agent or common representative.

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*, Annex K, may be used.

BOX No. IV

Who Can Act as Agent? (Article 49 and Rule 83.1*bis*): For each of the receiving Offices, information as to who can act as agent is given in the *PCT Applicant's Guide*, 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), address(es) (including names of States), telephone, facsimile numbers and/or e-mail addresses 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*, 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*, 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).

Telephone, Facsimile Numbers and/or E-mail Addresses
See Notes to Boxes Nos II and III.

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*, Annex B.

However, for the reasons explained below, it is possible to indicate, by marking the applicable check-box(es), that DE Germany, JP Japan and/or KR Republic of Korea 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, **at the time of filing** or subsequently under Rule 26bis.1, 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 is not affected by what is said above. For details see the *PCT Applicant's Guide*, in the relevant Annex B.

Only the three States mentioned above may be excluded from the all-inclusive coverage of all designations in Box No. V. For any other PCT Contracting State which the applicant wishes to exclude from the all-inclusive coverage of all designations, the applicant should submit a separate notice of withdrawal of the designation concerned under Rule 90bis.2. **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), 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 (see however below), 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 a regional application and at least one of the countries party to the regional patent treaty is neither party to the Paris Convention nor a Member of the World Trade Organization, 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)) in the Supplemental Box.

As to the possibility of correcting or adding a priority claim, see Rule 26bis.1 and the *PCT Applicant's Guide*, International Phase.

Restoration of the Right of Priority (Rules 4.1(c)(v) and 26bis.3): The procedure for restoration of the right of priority is not applicable to a receiving Office which has provided notice to the International Bureau under Rule 26bis.3(j) of the incompatibility of Rule 26bis.3(a) to (i) with the national law applied by that Office. Where the international application is filed on a date which is later than the date on which the priority period (see Rule 2.4) expired but within the period of two months from that date, the applicant may request the receiving Office to restore the right of priority (Rule 26bis.3). Such a request must

be filed with the receiving Office within two months from the date on which the priority period expired; it may be included in the request (Rule 4.1(c)(v)) by identifying the priority claim(s) in Box No. VI. If, in Box No. VI, a priority claim is identified in respect of which a request to restore the right of priority is made, in such case, a separate document should be submitted entitled "Statement for Restoration of the Right of Priority". This separate document should indicate, for each earlier application concerned, the filing date, the earlier application number and the name or two-letter code of the country, Member of WTO, regional Office or receiving Office. Then, for each earlier application concerned, the applicant should state the reasons for the failure to file the international application within the priority period (Rules 26bis.3(a) and 26bis.3(b)(ii)). Note that such a request may be subjected by the receiving Office to the payment to it of a fee, payable within the time limit referred to above (Rule 26bis.3(e)). According to Rule 26bis.3(d), the time limit for payment of the fee may be extended, at the option of the receiving Office, for a period of up to two months from the expiration of the time limit applicable under Rule 26bis.3(e). Note further that the receiving Office may require the furnishing, within a reasonable time limit, of a declaration or other evidence in support of the statement of reasons; preferably, such declaration or other evidence should already be submitted to the receiving Office together with the request for restoration (Rule 26bis.3(b) and (f)). The receiving Office shall restore the right of priority if it finds that a criterion for restoration applied by the Office is satisfied (Rule 26bis.3(a)). For information on which criteria a receiving Office applies see the *PCT Applicant's Guide*, Annex C.

Incorporation by Reference (Rules 4.18 and 20): The procedure for incorporation by reference is not applicable to a receiving Office which has provided notice to the International Bureau, under Rule 20.8(a) or (a-bis), of the incompatibility of the provisions on incorporation by reference with its national law. Where the receiving Office finds that any of the requirements of Article 11(1)(iii)(d) and (e) are not or appear not to be fulfilled, it will invite the applicant to either furnish the required correction or confirm that the element concerned referred to in Article 11(1)(iii)(d) or (e) is incorporated by reference under Rule 4.18. Where the applicant furnishes the required correction under Article 11(2), the international filing date will be the date on which the receiving Office receives the required correction (see Rule 20.3(a)(ii) and (b)(i)), provided that all other requirements of Article 11(1) are fulfilled. However, where the applicant confirms the incorporation by reference of an element referred to in Article 11(1)(iii)(d) or (e) which is completely contained in an earlier application the priority of which is claimed in the international application, that element will be considered to have been contained in the purported international application on the date on which one or more elements referred to in Article 11(1)(iii) were first received by the receiving Office, and the international filing date will be the date on which all Article 11(1) requirements are fulfilled (see Rule 20.3(a)(ii) and (b)(ii)).

Where the applicant furnishes a missing part to the receiving Office after the date on which all of the requirements of Article 11(1) were fulfilled but within the applicable time limit under Rule 20.7, that part will be included in the international application and the international filing date will be corrected to the date on which the receiving Office received that part (see Rule 20.5(c)). In such a case, the applicant will be given the opportunity to request the receiving Office to disregard the missing part concerned, in which case the missing part would be considered not to have been furnished and the correction of the international filing date not to have been made (see Rule 20.5(e)). However, where the applicant confirms the incorporation by reference of a missing part in accordance with Rule 20.6(a) and the receiving Office finds that all the requirements of Rules 4.18 and 20.6(a) are complied with, that part will be considered to have been contained in the purported international application on the date on which one or more elements referred to in Article 11(1)(iii) were first received by the receiving Office, and the international filing date will be the date on which all of the requirements of Article 11(1) are fulfilled (see Rule 20.5(d)).

Where, in the case of an element or part having been erroneously filed, the applicant furnishes the correct element or part to the receiving Office after the date on which all of

However, for the reasons explained below, it is possible to indicate, by marking the applicable check-box(es), that DE Germany, JP Japan and/or KR Republic of Korea 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, **at the time of filing** or subsequently under Rule 26bis.1, 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 is not affected by what is said above. For details see the *PCT Applicant's Guide*, in the relevant Annex B.

Only the three States mentioned above may be excluded from the all-inclusive coverage of all designations in Box No. V. For any other PCT Contracting State which the applicant wishes to exclude from the all-inclusive coverage of all designations, the applicant should submit a separate notice of withdrawal of the designation concerned under Rule 90bis.2. **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), 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 (see however below), 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 a regional application and at least one of the countries party to the regional patent treaty is neither party to the Paris Convention nor a Member of the World Trade Organization, 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)) in the Supplemental Box.

As to the possibility of correcting or adding a priority claim, see Rule 26bis.1 and the *PCT Applicant's Guide*, International Phase.

Restoration of the Right of Priority (Rules 4.1(c)(v) and 26bis.3): The procedure for restoration of the right of priority is not applicable to a receiving Office which has provided notice to the International Bureau under Rule 26bis.3(j) of the incompatibility of Rule 26bis.3(a) to (i) with the national law applied by that Office. Where the international application is filed on a date which is later than the date on which the priority period (see Rule 2.4) expired but within the period of two months from that date, the applicant may request the receiving Office to restore the right of priority (Rule 26bis.3). Such a request must

be filed with the receiving Office within two months from the date on which the priority period expired; it may be included in the request (Rule 4.1(c)(v)) by identifying the priority claim(s) in Box No. VI. If, in Box No. VI, a priority claim is identified in respect of which a request to restore the right of priority is made, in such case, a separate document should be submitted entitled "Statement for Restoration of the Right of Priority". This separate document should indicate, for each earlier application concerned, the filing date, the earlier application number and the name or two-letter code of the country, Member of WTO, regional Office or receiving Office. Then, for each earlier application concerned, the applicant should state the reasons for the failure to file the international application within the priority period (Rules 26bis.3(a) and 26bis.3(b)(ii)). Note that such a request may be subjected by the receiving Office to the payment to it of a fee, payable within the time limit referred to above (Rule 26bis.3(e)). According to Rule 26bis.3(d), the time limit for payment of the fee may be extended, at the option of the receiving Office, for a period of up to two months from the expiration of the time limit applicable under Rule 26bis.3(e). Note further that the receiving Office may require the furnishing, within a reasonable time limit, of a declaration or other evidence in support of the statement of reasons; preferably, such declaration or other evidence should already be submitted to the receiving Office together with the request for restoration (Rule 26bis.3(b) and (f)). The receiving Office shall restore the right of priority if it finds that a criterion for restoration applied by the Office is satisfied (Rule 26bis.3(a)). For information on which criteria a receiving Office applies see the *PCT Applicant's Guide*, Annex C.

Incorporation by Reference (Rules 4.18 and 20): The procedure for incorporation by reference is not applicable to a receiving Office which has provided notice to the International Bureau, under Rule 20.8(a) or (a-bis), of the incompatibility of the provisions on incorporation by reference with its national law. Where the receiving Office finds that any of the requirements of Article 11(1)(iii)(d) and (e) are not or appear not to be fulfilled, it will invite the applicant to either furnish the required correction or confirm that the element concerned referred to in Article 11(1)(iii)(d) or (e) is incorporated by reference under Rule 4.18. Where the applicant furnishes the required correction under Article 11(2), the international filing date will be the date on which the receiving Office receives the required correction (see Rule 20.3(a)(ii) and (b)(i)), provided that all other requirements of Article 11(1) are fulfilled. However, where the applicant confirms the incorporation by reference of an element referred to in Article 11(1)(iii)(d) or (e) which is completely contained in an earlier application the priority of which is claimed in the international application, that element will be considered to have been contained in the purported international application on the date on which one or more elements referred to in Article 11(1)(iii) were first received by the receiving Office, and the international filing date will be the date on which all Article 11(1) requirements are fulfilled (see Rule 20.3(a)(ii) and (b)(ii)).

Where the applicant furnishes a missing part to the receiving Office after the date on which all of the requirements of Article 11(1) were fulfilled but within the applicable time limit under Rule 20.7, that part will be included in the international application and the international filing date will be corrected to the date on which the receiving Office received that part (see Rule 20.5(c)). In such a case, the applicant will be given the opportunity to request the receiving Office to disregard the missing part concerned, in which case the missing part would be considered not to have been furnished and the correction of the international filing date not to have been made (see Rule 20.5(e)). However, where the applicant confirms the incorporation by reference of a missing part in accordance with Rule 20.6(a) and the receiving Office finds that all the requirements of Rules 4.18 and 20.6(a) are complied with, that part will be considered to have been contained in the purported international application on the date on which one or more elements referred to in Article 11(1)(iii) were first received by the receiving Office, and the international filing date will be the date on which all of the requirements of Article 11(1) are fulfilled (see Rule 20.5(d)).

Where, in the case of an element or part having been erroneously filed, the applicant furnishes the correct element or part to the receiving Office after the date on which all of

the requirements of Article 11(1) were fulfilled but within the applicable time limit under Rule 20.7, the correct element or part will be included in the international application, the erroneously filed element or part will be removed from the international application, and the international filing date will be corrected to the date on which the receiving Office received that element or part (see Rule 20.5bis(c)). In such a case, the applicant will be given the opportunity to request the receiving Office to disregard the correct element or part concerned, in which case the correct element or part would be considered not to have been furnished and the correction of the international filing date not to have been made (see Rule 20.5bis(e)). However, where the applicant confirms the incorporation by reference of the correct element or part in accordance with Rule 20.6(a) and the receiving Office finds that all the requirements of Rules 4.18 and 20.6(a) are complied with, the correct element or part will be considered to have been contained in the purported international application on the date on which one or more elements referred to in Article 11(1)(iii) were first received by the receiving Office, and the international filing date will be the date on which all of the requirements of Article 11(1) are fulfilled.

Furnishing the priority document(s) (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 was 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 requests may be made by marking the applicable check-boxes in Box No. VI. Note that 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)).

Where the priority document is available from an Office that participates in the WIPO Digital Access Service for Priority Documents (DAS) (www.wipo.int/das/en), the applicant may use DAS to provide the priority document to the International Bureau. Once the applicant requests the depositing Office to provide a copy of the priority document to DAS (see *PCT Applicant's Guide*, Annex B of the DAS depositing Office for further indications of the procedure to be followed), the applicant will receive an access code (unless the applicant has already automatically received the access code from the depositing Office in the priority application filing process). The applicant should then mark the applicable check-boxes in Box No. VI, and indicate the access code for each specific priority document.

Information concerning whether and which priority documents are available to the International Bureau from a digital library is published in the *Official Notices (PCT Gazette)* pursuant to Section 715(c) and the *PCT Applicant's Guide*, Annex B(IB).

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, “26 October 2018 (26.10.2018)”, “26 October 2018 (26/10/2018)” or “26 October 2018 (26-10-2018)”.

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.

Continuation of BOX No. VII, item 1

Request to Use Results of Earlier Search; Submission of Earlier Search Results (Rules 4.12, 12bis, 16.3 and 41.1). The applicant may request the ISA to take into account, in carrying out the international search, the results of an earlier search carried out either by that Authority, by another ISA or by a national or regional Office (Rule 4.12). Where the applicant has made such a request and complied with the requirements under Rule 12bis, and where the earlier search was carried out by the same ISA or by the same national or regional Office as that which is acting as the ISA, the ISA shall, to the extent possible, take into account the results of the earlier search. If, on the other hand, the earlier search was carried out by another ISA or by a national or regional Office other than that is acting as the ISA, the ISA may, but is not obliged to, take the results of the earlier search into account (Rule 41.1). Where the ISA takes into account the results of an earlier search, it shall (partially) refund the search fee to the extent and under the conditions provided for in the agreement under Article 16(3)(b) (see, for each ISA, the *PCT Applicant's Guide*, Annex D).

Any request to take into account the results of an earlier search should identify: the filing date and number of the application in respect of which the earlier search was carried out and the Authority or Office which carried out the earlier search (Rules 4.1(b)(ii) and 4.12(i)).

The applicant shall submit to the receiving Office, together with the international application at the time of filing, a copy of the results of the earlier search (Rule 12bis.1(a)), except:

- where the earlier search was carried out by the same Office as that which is acting as the receiving Office or where the earlier search results are otherwise available to the receiving Office, the applicant may, instead of submitting a copy of the results of the earlier search, request the receiving Office to transmit a copy of those results to the ISA by marking the appropriate check-box (Rule 12bis.1(b) and (d));
- where the earlier search was carried out by the same Authority or Office as that which is acting as ISA, no copy of the results of the earlier search is required to be submitted to the receiving Office or to the ISA (Rules 12bis.1(c) and 12bis.2(b));
- where a copy of the results of the earlier search is available to the receiving Office or to the ISA in a form and manner acceptable to it, and if so indicated in the request form by the applicant by marking the appropriate check-box, no copy of the results is required to be submitted to the receiving Office or to the ISA (Rules 12bis.1(d) and 12bis.2(b));

Where the applicant has made a request under Rule 4.12, the earlier search results to be submitted by the receiving Office to the ISA shall include, where applicable, a copy of any earlier classification results (Rule 23bis.1(b)).

Use of Results of more than one Earlier Search: Where the ISA is requested to use the results of more than one earlier search, please mark the relevant check-box, and furnish duplicates of this page, marked “continuation sheet of item 1 of Continuation of Box No. VII”, attached to the request form.

Continuation of BOX NO. VII, item 2

Transmission of the Earlier Search and Classification Results to the ISA by the Receiving Office where the applicant did not make a request under Rule 4.12 Where the international application claims priority of an earlier application, subject to Article 30(2) and (3), the receiving Office shall transmit to the ISA a copy of the results of the earlier search and classification (unless such copy is already available to the ISA) if the earlier application was filed with the same national or regional Office as

the requirements of Article 11(1) were fulfilled but within the applicable time limit under Rule 20.7, the correct element or part will be included in the international application, the erroneously filed element or part will be removed from the international application, and the international filing date will be corrected to the date on which the receiving Office received that element or part (see Rule 20.5bis(c)). In such a case, the applicant will be given the opportunity to request the receiving Office to disregard the correct element or part concerned, in which case the correct element or part would be considered not to have been furnished and the correction of the international filing date not to have been made (see Rule 20.5bis(e)). However, where the applicant confirms the incorporation by reference of the correct element or part in accordance with Rule 20.6(a) and the receiving Office finds that all the requirements of Rules 4.18 and 20.6(a) are complied with, the correct element or part will be considered to have been contained in the purported international application on the date on which one or more elements referred to in Article 11(1)(iii) were first received by the receiving Office, and the international filing date will be the date on which all of the requirements of Article 11(1) are fulfilled.

Furnishing the priority document(s) (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 was 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 requests may be made by marking the applicable check-boxes in Box No. VI. Note that 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)).

Where the priority document is available from an Office that participates in the WIPO Digital Access Service for Priority Documents (DAS) (www.wipo.int/das/en), the applicant may use DAS to provide the priority document to the International Bureau. Once the applicant requests the depositing Office to provide a copy of the priority document to DAS (see *PCT Applicant's Guide*, Annex B of the DAS depositing Office for further indications of the procedure to be followed), the applicant will receive an access code (unless the applicant has already automatically received the access code from the depositing Office in the priority application filing process). The applicant should then mark the applicable check-boxes in Box No. VI, and indicate the access code for each specific priority document.

Information concerning whether and which priority documents are available to the International Bureau from a digital library is published in the *Official Notices (PCT Gazette)* pursuant to Section 715(c) and the *PCT Applicant's Guide*, Annex B(IB).

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, “26 October 2018 (26.10.2018)”, “26 October 2018 (26/10/2018)” or “26 October 2018 (26-10-2018)”.

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.

Continuation of BOX No. VII, item 1

Request to Use Results of Earlier Search; Submission of Earlier Search Results (Rules 4.12, 12bis, 16.3 and 41.1). The applicant may request the ISA to take into account, in carrying out the international search, the results of an earlier search carried out either by that Authority, by another ISA or by a national or regional Office (Rule 4.12). Where the applicant has made such a request and complied with the requirements under Rule 12bis, and where the earlier search was carried out by the same ISA or by the same national or regional Office as that which is acting as the ISA, the ISA shall, to the extent possible, take into account the results of the earlier search. If, on the other hand, the earlier search was carried out by another ISA or by a national or regional Office other than that is acting as the ISA, the ISA may, but is not obliged to, take the results of the earlier search into account (Rule 41.1). Where the ISA takes into account the results of an earlier search, it shall (partially) refund the search fee to the extent and under the conditions provided for in the agreement under Article 16(3)(b) (see, for each ISA, the *PCT Applicant's Guide*, Annex D).

Any request to take into account the results of an earlier search should identify: the filing date and number of the application in respect of which the earlier search was carried out and the Authority or Office which carried out the earlier search (Rules 4.1(b)(ii) and 4.12(i)).

The applicant shall submit to the receiving Office, together with the international application at the time of filing, a copy of the results of the earlier search (Rule 12bis.1(a)), except:

- where the earlier search was carried out by the same Office as that which is acting as the receiving Office or where the earlier search results are otherwise available to the receiving Office, the applicant may, instead of submitting a copy of the results of the earlier search, request the receiving Office to transmit a copy of those results to the ISA by marking the appropriate check-box (Rule 12bis.1(b) and (d));
- where the earlier search was carried out by the same Authority or Office as that which is acting as ISA, no copy of the results of the earlier search is required to be submitted to the receiving Office or to the ISA (Rules 12bis.1(c) and 12bis.2(b));
- where a copy of the results of the earlier search is available to the receiving Office or to the ISA in a form and manner acceptable to it, and if so indicated in the request form by the applicant by marking the appropriate check-box, no copy of the results is required to be submitted to the receiving Office or to the ISA (Rules 12bis.1(d) and 12bis.2(b));

Where the applicant has made a request under Rule 4.12, the earlier search results to be submitted by the receiving Office to the ISA shall include, where applicable, a copy of any earlier classification results (Rule 23bis.1(b)).

Use of Results of more than one Earlier Search: Where the ISA is requested to use the results of more than one earlier search, please mark the relevant check-box, and furnish duplicates of this page, marked “continuation sheet of item 1 of Continuation of Box No. VII”, attached to the request form.

Continuation of BOX NO. VII, item 2

Transmission of the Earlier Search and Classification Results to the ISA by the Receiving Office where the applicant did not make a request under Rule 4.12 Where the international application claims priority of an earlier application, subject to Article 30(2) and (3), the receiving Office shall transmit to the ISA a copy of the results of the earlier search and classification (unless such copy is already available to the ISA) if the earlier application was filed with the same national or regional Office as

that which is acting as the receiving Office, and that Office has carried out the earlier search in respect of the earlier application (Rule 23*bis*.2(a)); the receiving Office may transmit a copy of the results of the earlier search and classification if the earlier application was filed with a different Office but where the results of that earlier search and classification are nevertheless available to the receiving Office (Rule 23*bis*.2(c)).

Request not to Transmit the Earlier Search Results by the receiving Office to the ISA: Where the international application is filed with a receiving Office which has notified the International Bureau under Rule 23*bis*.2(b) that it may, on request of the applicant, **decide not to** transmit the results of an earlier search to the ISA, the applicant may check the check-box in item 2.2 of Continuation of Box No. VII. This only concerns international applications filed with the following receiving Offices: DE, FI and SE (see www.wipo.int/pct/en/texts/reservations/res_incomp.html).

Authorization to Transmit the Earlier Search and Classification Results by the receiving Office to the ISA: Where the international application is filed with a receiving Office which has notified the International Bureau under Rule 23*bis*.2(e) that the transmission of copies of earlier search and classification results without the authorization of the applicant is not compatible with the national law applied by the receiving Office, the applicant may check the first check-box in item 2.3 of Continuation of Box No. VII to nevertheless **authorize** the receiving Office to transmit the earlier search and classification results to the ISA. This only concerns international applications filed with the following receiving Offices: AU, CZ, FI, HU, IL, JP, NO, SE, SG and US. (see www.wipo.int/pct/en/texts/reservations/res_incomp.html).

In respect of all receiving Offices, the second check-box in item 2.3 of Continuation of Box No. VII may also be used to expressly authorize the receiving Office to transmit the earlier search and classification results where the earlier search was carried out in respect of an international application, the priority of which is subsequently claimed in this international application and where the earlier international search was carried out by a **different** ISA than the ISA chosen in Box No. VII.

Use of Results of more than one Earlier Search: Where the international application claims priority of more than one earlier application, and where the applicant is entitled and wishes to make an indication under item 2.2 or 2.3 (Rule 23*bis*.2(a)(b) and (e)) for each earlier application, please mark the relevant check-box, and furnish duplicates of this page that lists each priority claim concerned, marked “continuation sheet of item 2 of Continuation of Box No. VII”, attached to the request form.

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 26*ter*, Section 216 and the *PCT Applicant’s Guide*, International Phase.

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*, in the relevant National Chapter.

Effect in Designated Offices (Rule 51*bis*.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 26*ter*, 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.

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.

that which is acting as the receiving Office, and that Office has carried out the earlier search in respect of the earlier application (Rule 23bis.2(a)); the receiving Office may transmit a copy of the results of the earlier search and classification if the earlier application was filed with a different Office but where the results of that earlier search and classification are nevertheless available to the receiving Office (Rule 23bis.2(c)).

Request not to Transmit the Earlier Search Results by the receiving Office to the ISA: Where the international application is filed with a receiving Office which has notified the International Bureau under Rule 23bis.2(b) that it may, on request of the applicant, **decide not to** transmit the results of an earlier search to the ISA, the applicant may check the check-box in item 2.2 of Continuation of Box No. VII. This only concerns international applications filed with the following receiving Offices: DE, FI and SE (see www.wipo.int/pct/en/texts/reservations/res_incomp.html).

Authorization to Transmit the Earlier Search and Classification Results by the receiving Office to the ISA: Where the international application is filed with a receiving Office which has notified the International Bureau under Rule 23bis.2(e) that the transmission of copies of earlier search and classification results without the authorization of the applicant is not compatible with the national law applied by the receiving Office, the applicant may check the first check-box in item 2.3 of Continuation of Box No. VII to nevertheless **authorize** the receiving Office to transmit the earlier search and classification results to the ISA. This only concerns international applications filed with the following receiving Offices: AU, CZ, FI, HU, IL, JP, NO, SE, SG and US. (see www.wipo.int/pct/en/texts/reservations/res_incomp.html).

In respect of all receiving Offices, the second check-box in item 2.3 of Continuation of Box No. VII may also be used to expressly authorize the receiving Office to transmit the earlier search and classification results where the earlier search was carried out in respect of an international application, the priority of which is subsequently claimed in this international application and where the earlier international search was carried out by a **different** ISA than the ISA chosen in Box No. VII.

Use of Results of more than one Earlier Search: Where the international application claims priority of more than one earlier application, and where the applicant is entitled and wishes to make an indication under item 2.2 or 2.3 (Rule 23bis.2(a)(b) and (e)) for each earlier application, please mark the relevant check-box, and furnish duplicates of this page that lists each priority claim concerned, marked “continuation sheet of item 2 of Continuation of Box No. VII”, attached to the request form.

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*, International Phase.

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*, 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.

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.

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 51*bis*.1(a)(i)):

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

... (*name*) of ... (*address*) is the inventor of the subject matter for which protection is sought by way of [the] [this] international application”

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. 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 51*bis*.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*)”

Items (i) to (viii) 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*)”

Items (i) to (viii) 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).

The name, residence and address must be included for each inventor. If the name and address of an inventor is not written in the Latin alphabet, the name and address must be indicated in the

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 51*bis*.1(a)(i)):

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

... (*name*) of ... (*address*) is the inventor of the subject matter for which protection is sought by way of [the] [this] international application”

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. 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 51*bis*.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*)”

Items (i) to (viii) 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*)”

Items (i) to (viii) 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).

The name, residence and address must be included for each inventor. If the name and address of an inventor is not written in the Latin alphabet, the name and address must be indicated in the

Latin alphabet. All inventors must sign and date the declaration even if they do not all sign the same copy of the declaration (Section 214(b)).

If there are more than three inventors, those other inventors must be indicated on the "Continuation of Box No. VIII (i) to (v)" sheet. The continuation sheet should be entitled "Continuation of Box No. VIII (iv)," must indicate the name, residence and address for those other inventors, and at least the name and address in the Latin alphabet. In such a case, the "complete declaration" includes Box No. VIII (iv) and the continuation sheet. All inventors must sign and date a complete declaration even if they do not all sign the same copy of the complete declaration, and a copy of each separately signed complete declaration must be submitted (Section 214(b)).

Where the declaration was not included in the request, but is furnished later, the PCT application number MUST be indicated within the text of Box No. VIII (iv).

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*): ..."

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. Items (iii) and (iv) may be incorporated depending upon the circumstances.

BOX No. IX

Sheets Constituting the International Application: The number of sheets of the various parts of the international application must be indicated in the check list using Arabic numerals. Sheets containing any of the Boxes Nos. VIII(i) to (v) (declaration sheets) must be counted as part of the request. ~~It is noted that any tables, including those related to a sequence listing, should be an integral part of the description and the pages containing such tables will be counted as sheets of the international application. There is no longer any provision for submission of those tables separately or a reduced fee for such a submission.~~

Nucleotide and/or amino acid sequences: Paper Filings: ~~Where the international application is filed on paper (using the sheet "last sheet - paper") and contains disclosure of one or more nucleotide and/or amino acid sequences, a 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, that is, in compliance with WIPO Standard ST.25. The number of pages of the sequence listing must be indicated under item (f) in Box No. IX and included in the total number of sheets. Furthermore, where the sequence listing is filed on paper, a copy of the sequence listing in the form of an Annex C/ST.25 text file saved on physical data carrier(s) (together with the required statement) should accompany the international application, if so required by the ISA but only for the purposes of international~~

~~search under Rule 13ter. In such cases therefore, check-boxes Nos. 8 and 9 must be marked in Box No. IX. In addition, the type and number of carriers such as diskettes, CD-ROMs, CD-Rs or other data carriers accepted by the ISA, should be indicated in item 8.~~

For EFS-Web filing with RO/US

Nucleotide and/or amino acid sequences: Electronic Filings via EFS-Web with RO/US: ~~There exist two alternative last sheets of the request form which contain two distinct Boxes No. IX. The sheet "last sheet - paper", described earlier, should be used if the applicant intends to file the international application on paper. The sheet "last sheet - EFS" should only be used if the request form is filed online with the receiving Office of the United States of America via EFS-Web.~~

(a) ~~EFWeb and text file:~~ Where the international application is filed via EFS-Web (using the sheet "last sheet - EFS") and contains disclosure of one or more nucleotide and/or amino acid sequences, a 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, that is, in compliance with WIPO Standard ST.25. The sequence listing should preferably be furnished as an Annex C/ST.25 text file; in such cases, the first check-box of check-box (g) in Box No. IX should be marked. When furnished in this manner, the number of sheets of the sequence listing is not included in the total number of sheets making up the international application. Whenever the sequence listing is furnished as an Annex C/ST.25 text file, there is no need to file another copy of the text file for search purposes under Rule 13ter since the text file submitted will be used for both disclosure of the international application and for search purposes.

(b) ~~EFWeb and image file:~~ If the sequence listing is filed online via EFS-Web as an image file (e.g. PDF file) rather than the recommended text file, the corresponding boxes in check-box (f) in Box No. IX should be marked. The number of sheets of the sequence listing must be included in the total number of sheets making up the international application. Where the sequence listing is filed in image format, a copy of the sequence listing in the form of an Annex C/ST.25 text file (together with the required statement) should accompany the international application, if so required by the ISA but only for the purposes of international search under Rule 13ter. In such cases, check-boxes Nos. 8 and 9 must be marked in Box No. IX.

(c) ~~EFWeb and physical data carriers:~~ The receiving Office of the United States of America has two distinct limitations on the size of the sequence listing file it can accept via EFS-Web. If the text file containing the sequence listing is larger than 100MB, or if the image file (e.g. PDF file) containing the sequence listing is larger than 25MB, the applicant must file the sequence listings as an Annex C/ST.25 text file on physical data carrier(s). The receiving Office does not accept the filing of image (e.g. PDF file) on physical data carrier(s). In such cases, the data carrier(s) must be furnished on the same day that the international application is filed online. This may be furnished via "Express Mail Post Office to Addressee" with a date in by the United States Postal Service the same date as the online filing date, or via commercial delivery services or by hand, provided that it reaches the receiving Office on the same day as the international application filed online. In such cases, the corresponding check-boxes in check-box (g) in Box No. IX must be marked. The number and type of carrier(s) should be indicated in check-box (g). Whenever the sequence listing is furnished as an Annex C/ST.25 text file, there is no need to file another copy of the text file for search purposes under Rule 13ter since the text file submitted will be used for both disclosure of the international application and for search purposes.

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

Latin alphabet. All inventors must sign and date the declaration even if they do not all sign the same copy of the declaration (Section 214(b)).

If there are more than three inventors, those other inventors must be indicated on the "Continuation of Box No. VIII (i) to (v)" sheet. The continuation sheet should be entitled "Continuation of Box No. VIII (iv)," must indicate the name, residence and address for those other inventors, and at least the name and address in the Latin alphabet. In such a case, the "complete declaration" includes Box No. VIII (iv) and the continuation sheet. All inventors must sign and date a complete declaration even if they do not all sign the same copy of the complete declaration, and a copy of each separately signed complete declaration must be submitted (Section 214(b)).

Where the declaration was not included in the request, but is furnished later, the PCT application number MUST be indicated within the text of Box No. VIII (iv).

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*): ..."

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. Items (iii) and (iv) may be incorporated depending upon the circumstances.

BOX No. IX

Sheets Constituting the International Application: The number of sheets of the various parts of the international application must be indicated in the check list using Arabic numerals. Sheets containing any of the Boxes Nos. VIII(i) to (v) (declaration sheets) must be counted as part of the request. Any tables, including those related to a disclosure of sequences, form an integral part of the description and the pages containing such tables will be counted as sheets of the description.

Nucleotide and/or amino acid sequences: If the international application contains disclosure of nucleotide and/or amino acid sequences, the sequences must be presented in a sequence listing in compliance with WIPO Standard ST.26 (XML file). It is strongly recommended to file the entire application electronically whenever possible. If the sequence listing is too large to upload to the receiving Office online filing system, applicants may provide the sequence listing on physical data carrier(s) accepted by the Office and indicate the type and number of the carriers.

Nevertheless, if an international application containing a sequence listing is filed on paper, the sequence listing must be filed on physical data carrier(s) labeled "Sequence Listing"; the type and number of the carriers such as diskettes, CD-ROMs, CD-Rs or other data carriers accepted by the ISA, should be indicated in item (f).

Electronic filing with RO/US

The sheet containing Box No. IX CHECK LIST for electronic filing with RO/US "last sheet – electronic filing with RO/US" should only be used if the request form is filed online with the receiving Office of the United States of America (RO/US).

Nucleotide and/or amino acid sequences: Where the international application containing a sequence listing is filed electronically, the first check-box of check-box (f) in Box No. IX should be marked. An international application that includes a WIPO Standard ST.26 XML file can only be filed electronically with RO/US via the USPTO Patent Center web interface.

The RO/US has a limitation on the size of the XML sequence listing file it can accept electronically. If the XML file containing the sequence listing, or a compressed zip file package thereof, is larger than 100MB, the applicant must file the sequence listing on physical data carrier(s) labeled "Sequence Listing". In such cases, the data carrier(s) must be furnished on the same day that the international application is filed online. This may be furnished via "Priority Mail Express Post Office to Addressee" service with a "date accepted" by the United States Postal Service the same date as the online filing date. Alternatively, the data carrier(s) may be submitted using commercial delivery services or by hand delivery to the Customer Service Window, provided that it reaches the RO/US on the same day as the international application filed online. In such cases, the corresponding check-boxes in check-box (f) in Box No. IX must be marked. The number and type of carrier(s) should be indicated in check-box (f).

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. 6: 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. 7: 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*, Annex L)), do not mark this check-box (for further information, see Rule 13bis and Section 209).

Language of Filing of the International Application (Rules 12.1(a) and 20.1(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)); as regards the language of the language-dependent free text contained in the sequence listing part of the description, see Rule 12.1(d)). Note that where the international application is filed with the RO/US, all elements of the international application (request, description, sequence listing part of the description, claims, abstract and text matter of drawings) must, for the purposes of according an international filing date, be in English except that

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. 6: 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. 7: 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*, Annex L)), do not mark this check-box (for further information, see Rule 13*bis* and Section 209).

~~**Check-boxes Nos. 8 and 9:** Where the sequence listing part of the description is submitted on paper, a copy of the sequence listing in the form of an Annex C/ST.25 text file (together with the required statement) should accompany the international application, if so required by the ISA, but only for the purposes of international search under Rule 13*ter*. In this case, check-boxes Nos. 8 and 9, must be marked in Box No. IX.~~

Language of Filing of the International Application (Rules 12.1(a) and 20.1(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 26.3*ter*(a) and (b); as regards the language of the request, see Rules 12.1(c) and 26.3*ter*(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, 26.2*bis*(a), 51*bis*.1(a)(vi) and 90): 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 applicants by all of them (Rule 90*bis*.5), or by an agent or a common representative whose appointment has been effected by each applicant signing, at his choice, the request, the demand, a separate power of attorney (Rule 90.4(a)) or a general power of attorney (Rule 90.5(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. The power of attorney must be signed by the applicant, or if there is more than one applicant, by at least one of them. 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*, Annex C).

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 49*bis*.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.

the language-dependent free text in any sequence listing part of the description, complying with WIPO Standard ST.26, may additionally be in a language other than English.

BOX No. X

Signature (Rules 4.1(d), 4.15, 26.2bis(a), 51bis.1(a)(vi) and 90): 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 applicants by all of them (Rule 90bis.5), or by an agent or a common representative whose appointment has been effected by each applicant signing, at his choice, the request, the demand, a separate power of attorney (Rule 90.4(a)) or a general power of attorney (Rule 90.5(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. The power of attorney must be signed by the applicant, or if there is more than one applicant, by at least one of them. 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*, Annex C).

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, the claim(s), the abstract, the drawings (if any).

All sheets of the description, 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).

Indication of the Applicant's or Agent's File Reference on the sheets of the description, claim(s), abstract and drawings (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

(Applicants may be entitled to a reduction of certain fees as indicated in the PCT Fee Tables
(www.wipo.int/pct/en/fees.pdf))

1. TRANSMITTAL FEE: T

2. SEARCH FEE: S

International search to be carried out by: _____

3. INTERNATIONAL FILING FEE

Enter total number of sheets indicated in Box No IX: _____

i1 Fixed amount for the first 30 sheets i1

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

Add amounts entered at i1 and i2 and enter total at I: I

(Applicants from certain States are entitled to a reduction of 90% of the international filing fee (see
www.wipo.int/pct/en/fees/fee_reduction.pdf). Where the applicant is (or all applicants are) so entitled, the total
to be entered at I is 10% of the international filing fee.)

4. FEE FOR PRIORITY DOCUMENT (if applicable): P

5. FEE FOR RESTORATION OF THE RIGHT OF PRIORITY (if applicable): RP

6. FEE FOR EARLIER SEARCH DOCUMENTS (if applicable): ES

7. TOTAL FEES PAYABLE

Add amounts entered at T, S, I, P, RP and ES,
and enter total in the TOTAL box

TOTAL	

MODE OF PAYMENT (Not all modes of payment may be available at all receiving Offices)

- credit card (details should not be included on this sheet) authorization to charge deposit or current account (see below) bank transfer cash
- postal money order check revenue stamps other (specify): _____

AUTHORIZATION TO CHARGE (OR CREDIT) DEPOSIT OR CURRENT 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 or current 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 or Current Account No.: _____

Date: _____

Name: _____

Signature: _____

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

(Applicants may be entitled to a reduction of certain fees as indicated in the PCT Fee Tables (www.wipo.int/pct/en/fees.pdf))

1. TRANSMITTAL FEE: T

2. SEARCH FEE: S

International search to be carried out by: _____

3. INTERNATIONAL FILING FEE

Enter total number of sheets indicated in Box No IX: _____

i1 Fixed amount for the first 30 sheets i1

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

Add amounts entered at i1 and i2 and enter total at I: I

(Applicants from certain States are entitled to a reduction of 90% of the international filing fee (see www.wipo.int/pct/en/fees/fee_reduction.pdf). Where the applicant is (or all applicants are) so entitled, the total to be entered at I is 10% of the international filing fee.)

4. FEE FOR PRIORITY DOCUMENT (if applicable): P

5. FEE FOR RESTORATION OF THE RIGHT OF PRIORITY (if applicable): RP

6. FEE FOR EARLIER SEARCH DOCUMENTS (if applicable): ES

7. TOTAL FEES PAYABLE

Add amounts entered at T, S, I, P, RP and ES, and enter total in the TOTAL box

TOTAL	

MODE OF PAYMENT *(Not all modes of payment may be available at all receiving Offices)*

- | | | | |
|--------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|-----------------------------------------|--------------------------------------------------------|
| <input type="checkbox"/> credit card <i>(details should not be included on this sheet)</i> | <input type="checkbox"/> authorization to charge deposit or current account (see below) | <input type="checkbox"/> bank transfer | <input type="checkbox"/> cash |
| <input type="checkbox"/> postal money order | <input type="checkbox"/> check | <input type="checkbox"/> revenue stamps | <input type="checkbox"/> other <i>(specify):</i> _____ |

AUTHORIZATION TO CHARGE (OR CREDIT) DEPOSIT OR CURRENT 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 or current 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 or Current 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 and the International Bureau at www.wipo.int/pct/en/fees.pdf. 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.

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*, 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*, 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*, Annex C.

Box I: International Filing Fee: The amount of the international filing fee depends on the number of sheets of the international application indicated in Box No. IX of the request ~~as explained below.~~

~~That number is the Total number of sheets indicated in Box No. IX of the request, which includes the actual number of sheets of the sequence listing part of the description, if the listing is filed on paper and not as an Annex C/ST.25 text file.~~

For EFS-Web filing with RO/US

~~Nucleotide and/or amino acid sequences: via EFS-Web: Where the international application is filed via EFS-Web and contains a sequence listing filed in an Annex C/ST.25 text file, even when, due to the size of the text file, the sequence listing has to be submitted on a data carrier, no fee is due for filing the sequence listing.~~

~~Where the sequences listing is an image file (e.g. PDF) the actual number of sheets that make up this part of the description must be included.~~

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

Reductions: Applicants may be entitled to reductions to certain fees, which are indicated in the PCT Fee Tables (www.wipo.int/pct/en/fees.pdf) and the relevant Annex C of the *PCT Applicants Guide*. If reduced fees apply, the reduced amount should be indicated in the fee calculation sheet.

These include reductions that apply where the international application is filed in electronic form and/or if the applicant is a natural person from certain States. These two types of fees reduction are fully explained below.

Reduction of the International Filing Fee Where the International Application Is Filed in Electronic Form: Where the international application is filed in electronic form, the total amount of the international filing fee is reduced depending on the electronic formats used. The international filing fee is reduced by: 100 Swiss francs (or the equivalent in the currency in which the international filing fee is paid to the receiving Office) in respect of international applications where the request is not in character coded format (see PCT Schedule of Fees, item 4(a)); 200 Swiss francs (or the equivalent in the currency in which the international filing fee is paid to the receiving Office) where the request is in character coded format (see PCT Schedule of Fees, item 4(b)); and 300 Swiss francs (or the equivalent in the currency in which the international filing fee is paid to the receiving Office) where the request, description, claims and abstract are all in character coded format (see PCT Schedule of Fees, item 4(c)). For further details, see the *PCT Applicant's Guide*, International Phase and Annex C, as well as information published in the *Official Notices (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 that is listed as being a State whose per capita gross domestic product is below US\$ 25,000 (according to the most recent ten year average per capita gross domestic product figures at constant 2005 US\$ values published by the United Nations), and whose nationals and residents who are natural persons have filed less than 10 international applications per year (per million population) or less than 50 international applications per year (in absolute numbers) according to the most recent 5-year average yearly filing figures published by the International Bureau; or an applicant, whether a natural person or not, who is a national of and resides in a State that is listed as being classified by the United Nations as a least developed country, is entitled, in accordance with the Schedule of Fees, to a reduction of 90% of certain PCT fees including the international filing fee. The applicant is only entitled to the reduction of the international filing fee if, at the time of filing of the international application, the applicant is or all applicants are the true and only owner(s) of the application and under no obligation to assign, grant, convey or license the rights in the invention to another party which is not eligible for the fee reduction. If there are several applicants, each must satisfy the above-mentioned criteria. If the applicant is or all applicants are entitled to the reduction of the international filing fee, this reduction applies on the basis of the indications of name, nationality and residence given in Boxes Nos. II and III of the request, without the need for a specific request to be made.

**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 and the International Bureau at www.wipo.int/pct/en/fees.pdf. 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.

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*, 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*, 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*, Annex C.

Box I: International Filing Fee: The amount of the international filing fee depends on the **Total number of sheets** of the international application indicated in Box No. IX of the request. No fee is charged for any WIPO Standard ST.26 XML sequence listing.

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

Reductions: Applicants may be entitled to reductions to certain fees, which are indicated in the PCT Fee Tables (www.wipo.int/pct/en/fees.pdf) and the relevant Annex C of the *PCT Applicants Guide*. If reduced fees apply, the reduced amount should be indicated in the fee calculation sheet. These include reductions that apply where the international application is filed in electronic form and/or if the applicant is a natural person from certain States. These two types of fees reduction are fully explained below.

Reduction of the International Filing Fee Where the International Application Is Filed in Electronic Form: Where the international application is filed in electronic form, the total amount of the international filing fee is reduced depending on the electronic formats used. The international filing fee is reduced by: 100 Swiss francs (or the equivalent in the currency in which the international filing fee is paid to the receiving Office) in respect of international applications where the request is not in character coded format (see PCT Schedule of Fees, item 4(a)); 200 Swiss francs (or the equivalent in the currency in which the international filing fee is paid to the receiving Office) where the request is in character coded format (see PCT Schedule of Fees, item 4(b)); and 300 Swiss francs (or the equivalent in the currency in which the international filing fee is paid to the receiving Office) where the request, description, claims and abstract are all in character coded format (see PCT Schedule

of Fees, item 4(c)). For further details, see the *PCT Applicant's Guide*, International Phase and Annex C, as well as information published in the *Official Notices (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 that is listed as being a State whose per capita gross domestic product is below US\$ 25,000 (according to the most recent ten year average per capita gross domestic product figures at constant 2005 US\$ values published by the United Nations), and whose nationals and residents who are natural persons have filed less than 10 international applications per year (per million population) or less than 50 international applications per year (in absolute numbers) according to the most recent 5-year average yearly filing figures published by the International Bureau; or an applicant, whether a natural person or not, who is a national of and resides in a State that is listed as being classified by the United Nations as a least developed country, is entitled, in accordance with the Schedule of Fees, to a reduction of 90% of certain PCT fees including the international filing fee. The applicant is only entitled to the reduction of the international filing fee if, at the time of filing of the international application, the applicant is or all applicants are the true and only owner(s) of the application and under no obligation to assign, grant, convey or license the rights in the invention to another party which is not eligible for the fee reduction. If there are several applicants, each must satisfy the above-mentioned criteria. If the applicant is or all applicants are entitled to the reduction of the international filing fee, this reduction applies on the basis of the indications of name, nationality and residence given in Boxes Nos. II and III of the request, without the need for a specific request to be made.

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 90% of certain PCT fees, including the international filing fee, is contained in the *PCT Applicant's Guide*, Annex C and on the WIPO website (see www.wipo.int/pct/en/), and is also published and regularly updated in the *Official Notices (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 10% of the international filing fee (see below).

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 90% of certain PCT fees, including the international filing fee, is contained in the *PCT Applicant's Guide*, Annex C and on the WIPO website (see www.wipo.int/pct/en/), and is also published and regularly updated in the *Official Notices (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 10% of the international filing fee (see below).

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*, 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.

Box RP: Fee for the restoration of the right of priority (Rule 26bis.3(d)): Where the applicant has requested within the applicable time limit under Rule 26bis.3(e) that the receiving Office restore the right of priority in connection with any earlier application the priority of which is claimed in the international

application, the amount of the fee prescribed by the receiving Office for such service may be entered (for information, see the *PCT Applicant's Guide*, Annex C).

Box ES: Fee for earlier search documents (Rule 12bis.1(b) and (d)): Where the applicant has requested, by marking the appropriate check-box in item 1.2 of Continuation of Box No. VII, of the request, that the receiving Office prepare and transmit to the ISA copies of the results of an earlier search, which are requested by the applicant to be taken into consideration by the ISA (such a request may only be filed if the earlier search was carried out by the same Office as that which is acting as the receiving Office (Rule 12bis.1(b)) or where the earlier search results are otherwise available to the receiving Office (Rule 12bis.1(d)), the amount of the fee prescribed by the receiving Office for such service may be entered (for information, see the *PCT Applicant's Guide*, Annex C).

Total Box: The total of the amounts entered in boxes T, S, I, P, RP and ES should be entered in this box. If the applicant so wishes, the currency, or currencies, 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. Credit card details should not be included on the fee calculation sheet. They should be furnished separately and by secure means acceptable to the receiving Office.

AUTHORIZATION TO CHARGE (OR CREDIT) DEPOSIT OR CURRENT ACCOUNT

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

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*, 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.

Box RP: Fee for the restoration of the right of priority (Rule 26bis.3(d)): Where the applicant has requested within the applicable time limit under Rule 26bis.3(e) that the receiving Office restore the right of priority in connection with any earlier application the priority of which is claimed in the international application, the amount of the fee prescribed by the receiving Office for such service may be entered (for information, see the *PCT Applicant's Guide*, Annex C).

Box ES: Fee for earlier search documents (Rule 12bis.1(b) and (d)): Where the applicant has requested, by marking the appropriate check-box in item 1.2 of Continuation of Box No. VII, of the request, that the receiving Office prepare and transmit to the ISA copies of the results of an earlier search, which are requested by the applicant to be taken into

consideration by the ISA (such a request may only be filed if the earlier search was carried out by the same Office as that which is acting as the receiving Office (Rule 12bis.1(b)) or where the earlier search results are otherwise available to the receiving Office (Rule 12bis.1(d)), the amount of the fee prescribed by the receiving Office for such service may be entered (for information, see the *PCT Applicant's Guide*, Annex C).

Total Box: The total of the amounts entered in boxes T, S, I, P, RP and ES should be entered in this box. If the applicant so wishes, the currency, or currencies, 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. Credit card details should not be included on the fee calculation sheet. They should be furnished separately and by secure means acceptable to the receiving Office.

AUTHORIZATION TO CHARGE (OR CREDIT) DEPOSIT OR CURRENT ACCOUNT

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

PATENT COOPERATION TREATY

From the RECEIVING OFFICE

PCT

NOTIFICATION OF TRANSMITTAL OF PURPORTED
INTERNATIONAL APPLICATION TO THE
INTERNATIONAL BUREAU AS RECEIVING OFFICE
AND INVITATION TO PAY FEE

(PCT Rule 19.4(a)(i) and (ii) and
Administrative Instructions, Section 333)

To:

Date of mailing
(day/month/year)

Applicant's or agent's file reference

REPLY DUE 15 days from the above date of mailing
(only if item 3 applies)

Receiving Office reference/International application No.

Date of receipt of the purported
international application
(day/month/year)

Applicant

1. The applicant is hereby **notified** that:
 - this receiving Office is not competent, on account of the **nationality and residence** of the applicant, to receive the international application (Rule 19.1 or 19.2).
 - the international application is not in a **language** accepted by this receiving Office under Rule 12.1(a) but is in a language accepted by the International Bureau as receiving Office.
2. Consequently, the international application **is considered to have been received by this receiving Office on behalf of the International Bureau as receiving Office** on the date of receipt indicated above, and is or will be promptly transmitted to it.
3. The transmittal to the International Bureau as receiving Office is subject to the payment of a fee in the amount of:
 - The fee will be deducted from any fee already paid to this receiving Office.
 - The applicant is hereby **invited to pay** that fee within the time limit indicated above.

Failure to pay that fee may result in the international application not being transmitted to the International Bureau as receiving Office.
4. Any fees paid by the applicant will be refunded in due course, except, where applicable, the above-mentioned fee payable to this Office under Rule 19.4(b) (see item 3).
5. The transmittal fee, the international filing fee and the search fee are payable to the International Bureau as receiving Office, in a currency prescribed by it within a time limit of one month from the actual date of receipt of the international application by the International Bureau as receiving Office (rather than one month from the date of receipt of the international application indicated above).
6. **ATTENTION:** If the applicant has requested this receiving Office to prepare and transmit to the International Bureau a certified copy of any earlier application the priority of which is claimed by marking the check-box provided for in Box No. VI of the request (see Rule 17.1(b)), it remains the applicant's responsibility to submit such certified copy to the International Bureau, or to the International Bureau as receiving Office, within the time limit under Rule 17.1(a).
7. A copy of this notification is being sent to the International Bureau as receiving Office together with the above-mentioned international application.

Name and mailing address of the receiving Office

Facsimile No.

Authorized officer

Telephone No.

PATENT COOPERATION TREATY

From the RECEIVING OFFICE

PCT

NOTIFICATION OF TRANSMITTAL OF PURPORTED
INTERNATIONAL APPLICATION TO THE
INTERNATIONAL BUREAU AS RECEIVING OFFICE
AND INVITATION TO PAY FEE

(PCT Rule 19.4(a)(i), (ii) and (ii-bis) and
Administrative Instructions, Section 333)

To:

Date of mailing
(day/month/year)

Applicant's or agent's file reference

REPLY DUE 15 days from the above date of mailing
(only if item 3 applies)

Receiving Office reference/International application No.

Date of receipt of the purported
international application
(day/month/year)

Applicant

1. The applicant is hereby **notified** that:
 - this receiving Office is not competent, on account of the **nationality and residence** of the applicant, to receive the international application (Rule 19.1 or 19.2).
 - the international application is not in a **language** accepted by this receiving Office under Rule 12.1(a) but is in a language accepted by the International Bureau as receiving Office.
 - the language-dependent free text in the sequence listing part of the description is not in a language accepted by this receiving Office under Rule 12.1(d) but is in a language accepted by the International Bureau as receiving Office.
 - all or part of the international application is filed in electronic form in a format not accepted by this receiving Office.
2. Consequently, the international application **is considered to have been received by this receiving Office on behalf of the International Bureau as receiving Office** on the date of receipt indicated above, and is or will be promptly transmitted to it.
3. The transmittal to the International Bureau as receiving Office is subject to the payment of a fee in the amount of:
 - The fee will be deducted from any fee already paid to this receiving Office.
 - The applicant is hereby **invited to pay** that fee within the time limit indicated above.

Failure to pay that fee may result in the international application not being transmitted to the International Bureau as receiving Office.
4. Any fees paid by the applicant will be refunded in due course, except, where applicable, the above-mentioned fee payable to this Office under Rule 19.4(b) (see item 3).
5. The transmittal fee, the international filing fee and the search fee are payable to the International Bureau as receiving Office, in a currency prescribed by it within a time limit of one month from the actual date of receipt of the international application by the International Bureau as receiving Office (rather than one month from the date of receipt of the international application indicated above).
6. **ATTENTION:** If the applicant has requested this receiving Office to prepare and transmit to the International Bureau a certified copy of any earlier application the priority of which is claimed by marking the check-box provided for in Box No. VI of the request (see Rule 17.1(b)), it remains the applicant's responsibility to submit such certified copy to the International Bureau, or to the International Bureau as receiving Office, within the time limit under Rule 17.1(a).
7. A copy of this notification is being sent to the International Bureau as receiving Office together with the above-mentioned international application.

Name and mailing address of the receiving Office

Facsimile No.

Authorized officer

Telephone No.

PATENT COOPERATION TREATY

PCT

LIST OF DOCUMENTS FILED WITH THE
INTERNATIONAL BUREAU
AS RECEIVING OFFICE

To:

The International Bureau of WIPO
PCT RO/IB Team
34, chemin des Colombettes
1211 Geneva 20
Switzerland

Applicant's or agent's file reference		
International application No. <i>(if known)</i>	International filing date <i>(day/month/year)</i> <i>(if known)</i>	(Earliest) Priority date <i>(day/month/year)</i>
Applicant		
Title of invention		

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

the receipt by the following means:

- mail *(surface, air mail, registered)*
 delivery service
 hand delivery
 efilng

of the documents/elements listed below:

- PCT request (including declaration sheets) (_____ pages)
 description ~~(excluding sequence listing)~~ (_____ pages)
 claims (_____ pages)
 abstract (_____ pages)
 drawings (_____ pages)
 sequence listing
 ~~Annex C/ST.25 text file~~
 ~~PDF or image file~~ (_____ pages)
 ~~on paper~~ (_____ pages)
 ~~statement(s) accompanying sequence listing (if more than one, indicate number: _____)~~
 fee calculation sheet
 separate authorization to charge deposit account
 power of attorney *(general power, copy of general power, separate power)* *(indicate kind and number)*
 priority document(s) *(if more than one, indicate number: _____)*
 separate indications concerning deposited microorganism or other biological material (_____ pages)
 accompanying letter
 other *(specify):*

PATENT COOPERATION TREATY

PCT

LIST OF DOCUMENTS FILED WITH THE
INTERNATIONAL BUREAU
AS RECEIVING OFFICE

To:

The International Bureau of WIPO
PCT RO/IB Team
34, chemin des Colombettes
1211 Geneva 20
Switzerland

Applicant's or agent's file reference		
International application No. <i>(if known)</i>	International filing date <i>(day/month/year)</i> <i>(if known)</i>	(Earliest) Priority date <i>(day/month/year)</i>
Applicant		
Title of invention		

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

the receipt by the following means:

- mail *(surface, air mail, registered)*
 delivery service
 hand delivery
 efilng

of the documents/elements listed below:

- PCT request (including declaration sheets) (_____ pages)
 description (_____ pages)
 claims (_____ pages)
 abstract (_____ pages)
 drawings (_____ pages)
 sequence listing
 physical data carrier type and number (_____)
 fee calculation sheet
 separate authorization to charge deposit account
 power of attorney *(general power, copy of general power, separate power)* *(indicate kind and number)*
 priority document(s) *(if more than one, indicate number: _____)*
 separate indications concerning deposited microorganism or other biological material (_____ pages)
 accompanying letter
 other *(specify)*:

PATENT COOPERATION TREATY

PCT

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

From the RECEIVING OFFICE

To:

Date of mailing (day/month/year)	IMPORTANT COMMUNICATION
Applicant's or agent's file reference	
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
 hand delivery
 e-filing
- PCT request (including declaration sheets) (_____ pages)
 description (~~excluding sequence listing~~) (_____ pages)
 claims (_____ pages)
 abstract (_____ pages)
 drawings (_____ pages)
 sequence listing
 ~~Annex C/ST.25 text file~~
 ~~PDF or image file~~ (_____ pages)
 ~~on paper~~ (_____ pages)
 ~~statement(s) accompanying sequence listing (if more than one, indicate number: _____)~~
- fee calculation sheet
 separate authorization to charge deposit account
 power of attorney (*general power, copy of general power, separate power*) (*indicate kind and number*)
 priority document(s) (*if more than one, indicate number: _____*)
 separate indications concerning deposited microorganism or other biological material (_____ pages)
 accompanying letter
 form PCT/RO/198 (RO/IB)
 other (*specify*):

The applicant's attention is drawn to the fact that **these documents/elements 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 documents/elements meet the requirements necessary for the according of an international filing date. As soon as these documents/elements have been checked, the applicant will be informed accordingly.

2. Additional observations (*if necessary*):

Name and mailing address of the receiving Office: The International Bureau of WIPO PCT RO/IB Team 34, chemin des Colombettes, 1211 Geneva 20, Switzerland	Authorized officer Telephone No. +41 22 338 92 22
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------

PATENT COOPERATION TREATY

PCT

INTERNATIONAL-TYPE SEARCH REPORT

(PCT Article 15(5))

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

Date of request for international-type search	International-type search request No.
-----------------------------------------------	---------------------------------------

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.

a translation of the application into _____ which is the language of a translation furnished for the purposes of the international-type search.

b. ~~This international-type search report has been established taking into account the rectification of an obvious mistake authorized by or notified to this Authority under Rule 91.~~

e. 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).

PATENT COOPERATION TREATY

PCT

INTERNATIONAL-TYPE SEARCH REPORT

(PCT Article 15(5))

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

Date of request for international-type search	International-type search request No.
-----------------------------------------------	---------------------------------------

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.

a translation of the application into _____ which is the language of a translation furnished for the purposes of the international-type search.

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.c of the first sheet)

1. With regard to any nucleotide and/or amino acid sequence disclosed in the ~~international~~ application, this international-type search was carried out on the basis of a sequence listing filed or furnished:

a. ~~(means)~~

~~on paper~~

~~in electronic form~~

b. ~~(time)~~

~~in the application as filed~~

~~together with the application in electronic form~~

~~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 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. I Nucleotide and/or amino acid sequence(s) (Continuation of item 1.c 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 sequence listing filed or furnished:

together with the application

subsequently to this Authority for the purposes of search

accompanied by a statement to the effect that the sequence listing does not go beyond the disclosure in the application as filed.

2. With regard to any nucleotide and/or amino acid sequence disclosed in the application, this report has been established to the extent that a meaningful search could be carried out without a WIPO Standard ST.26 compliant sequence listing.

3. Additional comments:

INTERNATIONAL-TYPE SEARCH REPORT

Search request No.

A. CLASSIFICATION OF SUBJECT MATTER

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

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)

C. 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 the continuation of Box C. Patent family members are listed in annex.

<p>* Special categories of cited documents:</p> <p>“A” document defining the general state of the art which is not considered to be of particular relevance</p> <p>“D” document cited by the applicant in the international application</p> <p>“E” earlier application or patent but published on or after the international filing date</p> <p>“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)</p> <p>“O” document referring to an oral disclosure, use, exhibition or other means</p> <p>“P” document published prior to the international filing date but later than the priority date claimed</p>	<p>“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</p> <p>“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</p> <p>“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</p> <p>“&” document member of the same patent family</p>
----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

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/	Authorized officer
--------------------------------------	--------------------

Facsimile No.	Telephone No.
---------------	---------------

INTERNATIONAL-TYPE SEARCH REPORT

Search request No.

A. CLASSIFICATION OF SUBJECT MATTER

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

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 search (name of data base, and, where practicable, search terms used)

C. 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 the continuation of Box C.

Patent family members are listed in annex.

- | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>* Special categories of cited documents:</p> <p>“A” document defining the general state of the art which is not considered to be of particular relevance</p> <p>“D” document cited by the applicant in the <u>national</u> application</p> <p>“E” earlier application or patent but published on or after the <u>national</u> filing date</p> <p>“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)</p> <p>“O” document referring to an oral disclosure, use, exhibition or other means</p> <p>“P” document published prior to the <u>national</u> filing date but later than the priority date claimed</p> | <p>“T” later document published after the <u>national</u> filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention</p> <p>“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</p> <p>“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</p> <p>“&” document member of the same patent family</p> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

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/

Authorized officer

Facsimile No.

Telephone No.

PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

PCT

NOTIFICATION OF RECEIPT
OF SEARCH COPY

(PCT Rule 25.1)

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)	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 in the form of an Annex C/ST.25 text file under PCT Rule 13ter.1(a) for the purposes of international search only.~~

3. ~~The search copy contained a nucleotide and/or amino acid sequence listing in the form of an Annex C/ST.25 text file forming part of the international application as filed.~~

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 43bis.1(a)).

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/ Facsimile No.	Authorized officer Telephone No.
-----------------------------------------------------------	-----------------------------------------

PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

PCT

NOTIFICATION OF RECEIPT
OF SEARCH COPY

(PCT Rule 25.1)

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)

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 contained a nucleotide and/or amino acid sequence listing forming part of the international application as filed.](#)

3. [The search copy was accompanied by a nucleotide and/or amino acid sequence listing under PCT Rule 13ter.1\(a\) furnished for the purposes of international search only.](#)

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 43bis.1(a)).

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/ Facsimile No.

Authorized officer 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	IMPORTANT DECLARATION
International application No.	Date of mailing (<i>day/month/year</i>)
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:

the description the claims 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 the form of an Annex C/ST.25 text file~~, and such listing was not available to the International Searching Authority in a form and manner acceptable to it; ~~or the sequence listing furnished did not comply with the standard provided for in Annex C of the Administrative Instructions.~~
 - ~~furnish a sequence listing on paper or in the form of an image file 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; or the sequence listing furnished did not comply with the standard provided for in Annex C of the Administrative Instructions.~~
 - 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. Further comments:

Name and mailing address of the ISA/ Facsimile No.	Authorized officer 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	IMPORTANT DECLARATION
International application No.	Date of mailing (<i>day/month/year</i>)
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:
- the description the claims 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 complying with WIPO Standard ST.26, and such listing was not available to the International Searching Authority in a form, language 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).

4. Further comments:

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

a translation of the international application into _____ which is the language of a translation furnished for the purposes of international search (Rules 12.3(a) and 23.1(b)).

b. This international search report has been established taking into account the **rectification of an obvious mistake** authorized by or notified to this Authority under Rule 91 (Rule 43.6bis(a)).

c. 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, 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.

PATENT COOPERATION TREATY

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference		FOR FURTHER ACTION 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.

a translation of the international application into _____ which is the language of a translation furnished for the purposes of international search (Rules 12.3(a) and 23.1(b)).

b. This international search report has been established taking into account the **rectification of an obvious mistake** authorized by or notified to this Authority under Rule 91 (Rule 43.6bis(a)).

c. 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, 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.c of the first sheet)

1. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international search was carried out on the basis of a sequence listing:
 - a. forming part of the international application as filed:
 - ~~in the form of an Annex C/ST.25 text file.~~
 - ~~on paper or in the form of an image file.~~
 - b. ~~furnished together with the international application under PCT Rule 13ter.1(a) for the purposes of international search only in the form of an Annex C/ST.25 text file.~~
 - e. furnished subsequent to the international filing date for the purposes of international search ~~only~~:
 - ~~in the form of an Annex C/ST.25 text file (Rule 13ter.1(a)).~~
 - ~~on paper or in the form of an image file (Rule 13ter.1(b) and Administrative Instructions, Section 713).~~
2. ~~In addition, in the case that more than one version or copy of a sequence listing has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that forming part of 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. I Nucleotide and/or amino acid sequence(s) (Continuation of item 1.c of the first sheet)

1. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international search was carried out on the basis of a sequence listing:
 - a. forming part of the international application as filed.
 - b. furnished subsequent to the international filing date for the purposes of international search (Rule 13ter.1(a)),
 accompanied by a statement to the effect that the sequence listing does not go beyond the disclosure in the international application as filed.
2. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, this report has been established to the extent that a meaningful search could be carried out without a WIPO Standard ST.26 compliant sequence listing.
3. Additional comments:

PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

PCT

INVITATION TO FURNISH NUCLEOTIDE AND/OR
AMINO ACID SEQUENCE LISTING AND TO PAY,
WHERE APPLICABLE, LATE FURNISHING FEE

(PCT Rule 13ter.1(a) to (d) and
Administrative Instructions, Section 208 and Annex C)

To:

Date of mailing
(day/month/year)

Applicant's or agent's file reference

REPLY DUE 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 the form of an Annex C/ST.25 text file~~, accompanied by a **statement** that the ~~information recorded in the form of an Annex C/ST.25 text file is identical to that forming part of~~ the international application as filed.
- a **statement** ~~confirming that the information recorded in the form of an Annex C/ST.25 text file submitted under Rule 13ter.1(a) is identical to that forming part of~~ the international application as filed.
- a ~~nucleotide and/or amino acid~~ sequence listing ~~in the form of an Annex C/ST.25 text file (Rule 13ter.1(a))~~, accompanied by a **statement** to the effect that the sequence listing does not go beyond the disclosure in the international application as filed.
- a ~~nucleotide and/or amino acid~~ sequence listing ~~on paper or in the form of an image file~~ complying with the standard provided for in Annex C of the Administrative Instructions (Rule 13ter.1(b)), 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 the form of an Annex C/ST.25 text file, on paper or in the form of an ~~image file~~, as the case may be, already furnished to this Authority, does not go beyond the disclosure in the international application as filed.

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 _____ (currency/amount)

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

To:

INVITATION TO FURNISH NUCLEOTIDE AND/OR AMINO ACID SEQUENCE LISTING AND TO PAY, WHERE APPLICABLE, LATE FURNISHING FEE

(PCT Rule 13ter.1(a) to (d) and Administrative Instructions, Section 208 and Annex C)

	Date of mailing (day/month/year)
Applicant's or agent's file reference	REPLY DUE 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 sequence listing (WIPO Standard ST.26 XML file) under Rule 13ter.1(a), 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 furnished under Rule 13ter.1(a) does not go beyond the disclosure in the international application as filed.

a complete sequence listing containing a translation of the language-dependent free text into the (or one of the) following language(s) accepted by this Authority (this translation may replace or supplement the original text):
_____.

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 _____ (currency/amount)

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:

Date of mailing
(day/month/year)

Applicant's or agent's file reference

FOR FURTHER ACTION
See paragraph 2 below

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. 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 and 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.

Name and mailing address of the ISA/ Facsimile No.	Date of completion of this opinion	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:

Date of mailing
(day/month/year)

Applicant's or agent's file reference

FOR FURTHER ACTION
See paragraph 2 below

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. 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 and 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.

Name and mailing address of the ISA/ Facsimile No.	Date of completion of this opinion	Authorized officer Telephone No.
-----------------------------------------------------------	------------------------------------	-----------------------------------------

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.
 - a translation of the international application into _____ which is the language of a translation furnished for the purposes of international search (Rules 12.3(a) and 23.1(b)).

2. This opinion has been established taking into account the **rectification of an obvious mistake** authorized by or notified to this Authority under Rule 91 (Rule 43*bis*.1(b)).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, this opinion has been established on the basis of a sequence listing:
 - a. forming part of the international application as filed:
 - ~~in the form of an Annex C/ST.25 text file.~~
 - ~~on paper or in the form of an image file.~~
 - b. ~~furnished together with the international application under PCT Rule 13*ter*.1(a) for the purposes of international search only in the form of an Annex C/ST.25 text file.~~
 - e. furnished subsequent to the international filing date for the purposes of international search ~~only~~:
 - ~~in the form of an Annex C/ST.25 text file (Rule 13*ter*.1(a)).~~
 - ~~on paper or in the form of an image file (Rule 13*ter*.1(b) and Administrative Instructions, Section 713).~~

4. ~~In addition, in the case that more than one version or copy of a sequence listing has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that forming part of the application as filed or does not go beyond the application as filed, as appropriate, were furnished.~~

5. Additional comments:

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.
 - a translation of the international application into _____ which is the language of a translation furnished for the purposes of international search (Rules 12.3(a) and 23.1(b)).

2. This opinion has been established taking into account the **rectification of an obvious mistake** authorized by or notified to this Authority under Rule 91 (Rule 43*bis*.1(b)).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, this opinion has been established on the basis of a sequence listing:
 - a. forming part of the international application as filed.
 - b. furnished subsequent to the international filing date for the purposes of international search (Rule 13*ter*.1(a)),
 accompanied by a statement to the effect that the sequence listing does not go beyond the disclosure in the international application as filed.

4. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, this opinion has been established to the extent that a meaningful opinion could be formed without a WIPO Standard ST.26 compliant sequence listing.

5. Additional comments:

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 search (*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 (*specify*):

- 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 the form of an Annex C/ST.25 text file~~, and such listing was not available to the International Searching Authority in the form and manner acceptable to it; ~~or the sequence listing furnished did not comply with the standard provided for in Annex C of the Administrative Instructions.~~

- ~~furnish a sequence listing on paper or in the form of an image file 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 the form and manner acceptable to it; or the sequence listing furnished did not comply with the standard provided for in Annex C of the Administrative Instructions.~~

- 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).~~

- See Supplemental Box for further details.

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 search (*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 (*specify*):
- 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 complying with WIPO Standard ST.26, and such listing was not available to the International Searching Authority in the form, language 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).
- See Supplemental Box for further details.

The supplementary search request must be filed directly with the International Bureau. The full name or two-letter code of the Authority specified for supplementary search must be indicated by the applicant below:

AUTHORITY

PCT

SUPPLEMENTARY SEARCH REQUEST

Under Rule 45bis.1, the undersigned requests that a supplementary international search be carried out in respect of the international application specified below:

For International Bureau use only

Identification of Authority	Date of receipt of Request
Box No. I IDENTIFICATION OF THE INTERNATIONAL APPLICATION	
Applicant's or agent's file reference	International application No.
International filing date (day/month/year)	(Earliest) Priority date (day/month/year)
Title of invention	
Box No. II APPLICANT	
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.
	Applicant's registration No. with the Office
<p>E-mail authorization: Marking one of the check-boxes below authorizes the International Bureau and the Authority specified for supplementary search to use the e-mail address indicated in this Box to send notifications issued in respect of this international application if those offices are willing to do so.</p> <p><input type="checkbox"/> as advance copies followed by paper notifications; or <input type="checkbox"/> exclusively in electronic form (no paper notifications will be sent). E-mail address: _____</p>	
State (that is, country) of nationality:	State (that is, country) of residence:
Box No. III AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE	
<p>The following person is <input type="checkbox"/> agent <input type="checkbox"/> common representative and <input type="checkbox"/> has been appointed earlier and represents the applicant(s) also for the supplementary international search. <input type="checkbox"/> is hereby appointed and any earlier appointment of (an) agent(s)/common representative is hereby revoked. <input type="checkbox"/> is hereby appointed, specifically for the procedure before this Authority specified for supplementary search, in addition to the agent(s)/common representative appointed earlier.</p>	
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.
	Agent's registration No. with the Office
<p>E-mail authorization: Marking one of the check-boxes below authorizes the International Bureau and the Authority specified for supplementary search to use the e-mail address indicated in this Box to send notifications issued in respect of this international application if those offices are willing to do so.</p> <p><input type="checkbox"/> as advance copies followed by paper notifications; or <input type="checkbox"/> exclusively in electronic form (no paper notifications will be sent). E-mail address: _____</p>	

The supplementary search request must be filed directly with the International Bureau. The full name or two-letter code of the Authority specified for supplementary search must be indicated by the applicant below:

AUTHORITY/ _____

PCT

SUPPLEMENTARY SEARCH REQUEST

Under Rule 45bis.1, the undersigned requests that a supplementary international search be carried out in respect of the international application specified below:

For International Bureau use only	
Identification of Authority	Date of receipt of Request
Box No. I IDENTIFICATION OF THE INTERNATIONAL APPLICATION	
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	
Box No. II APPLICANT	
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.
	Applicant's registration No. with the Office
<p>E-mail authorization: Marking one of the check-boxes below authorizes the International Bureau and the Authority specified for supplementary search to use the e-mail address indicated in this Box to send notifications issued in respect of this international application if those offices are willing to do so.</p> <p><input type="checkbox"/> as advance copies followed by paper notifications; or <input type="checkbox"/> exclusively in electronic form (no paper notifications will be sent). E-mail address: _____</p>	
State (<i>that is, country</i>) of nationality:	State (<i>that is, country</i>) of residence:
Box No. III AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE	
<p>The following person is <input type="checkbox"/> agent <input type="checkbox"/> common representative and <input type="checkbox"/> has been appointed earlier and represents the applicant(s) also for the supplementary international search. <input type="checkbox"/> is hereby appointed and any earlier appointment of (an) agent(s)/common representative is hereby revoked. <input type="checkbox"/> is hereby appointed, specifically for the procedure before this Authority specified for supplementary search, in addition to the agent(s)/common representative appointed earlier.</p>	
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.
	Agent's registration No. with the Office
<p>E-mail authorization: Marking one of the check-boxes below authorizes the International Bureau and the Authority specified for supplementary search to use the e-mail address indicated in this Box to send notifications issued in respect of this international application if those offices are willing to do so.</p> <p><input type="checkbox"/> as advance copies followed by paper notifications; or <input type="checkbox"/> exclusively in electronic form (no paper notifications will be sent). E-mail address: _____</p>	

Sheet No. . . .

International application No.

Continuation of Box No. III ADDRESS FOR CORRESPONDENCE

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 SUPPLEMENTARY INTERNATIONAL SEARCH

Language for the purposes of supplementary international search: _____

- which is the language in which the international application was filed
- which is the language of translation furnished for the purposes of international search
- which is the language of translation furnished for the purposes of international publication
- which is the language of the translation to be furnished for the purposes of supplementary international search

Following the finding by the International Searching Authority that the international application does not comply with the requirements of unity of invention, the applicant wishes to limit the supplementary international search to one of the inventions as identified by the International Searching Authority other than the main invention referred to in Article 17(3)(a). The numbers of the claims relating to this invention are:

Box No. V CHECK LIST

The supplementary search request is accompanied by the item(s) marked below:

- 1. translation of the international application for the purposes of the supplementary international search (Rule 45bis.1(c)(i))
- 2. fee calculation sheet
- 3. original separate power of attorney
- 4. original general power of attorney
- 5. copy of general power of attorney; reference number, if any:
- 6. sequence listing ~~in the form of an Annex C/ST.25 text file~~ (Rule 45bis.1(c)(ii))
- 7. statement ~~confirming that the copy of the sequence listing in the form of an Annex C/ST.25 text file (see above) is identical to the sequence listing forming part of the international application as filed~~
- 8. other (*specify*):

For International Bureau use only

received not received

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

Box No. VI 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 this request).

For International Bureau use only

- 1. Date of actual receipt of REQUEST:
- 2. The date of receipt is AFTER the expiration of 22 months from the priority date and items 3 and 4, below, do not apply.
- 3. The date of receipt of the request is WITHIN the time limit of 22 months from the priority date as extended by virtue of Rule 80.5.
- 4. Although the date of receipt of the request is after the expiration of 22 months from the priority date, the delay in arrival is EXCUSED pursuant to Rules 82 or 82quater.

Sheet No. . . .

International application No.

Continuation of Box No. III ADDRESS FOR CORRESPONDENCE

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 SUPPLEMENTARY INTERNATIONAL SEARCH

Language for the purposes of supplementary international search: _____

- which is the language in which the international application was filed
- which is the language of translation furnished for the purposes of international search
- which is the language of translation furnished for the purposes of international publication
- which is the language of the translation to be furnished for the purposes of supplementary international search

Following the finding by the International Searching Authority that the international application does not comply with the requirements of unity of invention, the applicant wishes to limit the supplementary international search to one of the inventions as identified by the International Searching Authority other than the main invention referred to in Article 17(3)(a). The numbers of the claims relating to this invention are:

Box No. V CHECK LIST

The supplementary search request is accompanied by the item(s) marked below:

- 1. translation of the international application for the purposes of the supplementary international search (Rule 45bis.1(c)(i))
- 2. fee calculation sheet
- 3. original separate power of attorney
- 4. original general power of attorney
- 5. copy of general power of attorney; reference number, if any:
- 6. sequence listing (Rule 45bis.1(c)(ii))
- 7. statement to the effect that the sequence listing does not go beyond the disclosure in the international application as filed
- 8. other (*specify*):

For International Bureau use only

received not received

- | received | not received |
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| <input type="checkbox"/> | <input type="checkbox"/> |
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| <input type="checkbox"/> | <input type="checkbox"/> |
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| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |

Box No. VI 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 this request).

For International Bureau use only

- 1. Date of actual receipt of REQUEST:
- 2. The date of receipt is AFTER the expiration of 22 months from the priority date and items 3 and 4, below, do not apply.
- 3. The date of receipt of the request is WITHIN the time limit of 22 months from the priority date as extended by virtue of Rule 80.5.
- 4. Although the date of receipt of the request is after the expiration of 22 months from the priority date, the delay in arrival is EXCUSED pursuant to Rules 82 or 82quater.

NOTES TO THE SUPPLEMENTARY SEARCH REQUEST FORM (PCT/IB/375)

These notes are intended to facilitate the filing of the supplementary search request form and to give some information concerning the supplementary international search. For more detailed information, see the *PCT Applicant's Guide*, a WIPO publication, which is available, together with other PCT related documents, on WIPO's website: www.wipo.int/pct/en/. 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 supplementary search request form and these Notes, "Article", "Rule" and "Section" refer to the provisions of the PCT, the PCT Regulations and the Administrative Instructions, respectively.

The supplementary search request form shall be typed or printed; check-boxes may be marked by hand with dark ink (Rules 11.9(a) and (b) and 11.14).

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

IMPORTANT GENERAL INFORMATION

Which International Searching Authority can be selected to carry out a supplementary international search? Only an International Searching Authority which has stated its preparedness to carry out supplementary international searches (Rule 45*bis*.1(e)), and which is not carrying out the international search under Article 16(1) ("main search"), can be selected (Rule 45*bis*.9(b)). Information about which Authorities are prepared to carry out such searches and about any possible limitations and conditions is provided in the *PCT Applicant's Guide*, Annex SISA.

If the applicant wishes more than one supplementary international search to be carried out (Rule 45*bis*.1(a)), a separate request form should be submitted for each supplementary search requested.

Where must the supplementary search request be filed? (Rule 45*bis*.1). A supplementary search request must be filed with the International Bureau and not with the Authority specified for supplementary search. The International Bureau transmits the request to the Authority selected by the applicant once the requirements under Rule 45*bis*.1(b), (c)(i), 45*bis*.2(c) and 45*bis*.3(c) have been complied with, but not before the date of receipt by the International Bureau of the international search report or the expiration of 17 months from the priority date, whichever occurs first.

The Authority specified for supplementary search chosen by the applicant should be identified, preferably by an indication of the name or two-letter code of the Authority, at the top of the first sheet of the supplementary search request in the space provided for that purpose.

When must the supplementary search request be filed? (Rule 45*bis*.1(a)). The supplementary search request must be filed with the International Bureau prior to the expiration of 22 months from the priority date.

In which language must the supplementary search request be filed? (Rule 92.2(d)). The supplementary search request must be filed in either English or French.

What is the language of correspondence? (Rule 92.2(d) and Section 104). 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.

What must the supplementary search request be accompanied by? Where neither the language in which the international application was filed nor that in which a translation (if any) has been furnished under Rule 12.3 or 12.4 is accepted by the Authority specified for supplementary search, a translation of the international application into a language which is accepted by that Authority should be submitted together with the request.

If applicable, a copy of a sequence listing in electronic form complying with ~~the standard provided for in the Administrative Instructions~~, if required by the Authority specified for supplementary search, should preferably be submitted together with the request.

Box No. I

Applicant's or Agent's file reference: A file reference may be indicated, if desired. It should not exceed 25 characters. Characters in excess of 25 may be disregarded (Section 109).

Identification of the international application: The international application number must be indicated in Box No. I.

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, "26 October 2018 (26.10.2018)", "26 October 2018 (26/10/2018)" or "26 October 2018 (26-10-2018)". 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 (Rule 45*bis*.1(b)(i)): The applicant, or, if there is more than one applicant, at least one of the applicants must be indicated in the supplementary search request. Mark in Box No. II of the supplementary search request the same indications that are in Boxes No. II and III of the PCT Request. The Notes to the PCT Request apply *mutatis mutandis*.

Applicant's registration number with the Office: Where the applicant is registered with the national or regional Office that is acting as the Authority specified for supplementary search, the supplementary search request may indicate the number or other indication under which the applicant is so registered.

Telephone, Facsimile Number and/or E-mail address should be indicated for the person named in Box No. II in order to allow rapid communication with the applicant (see Rule 4.4(c)). Any telephone or facsimile number should include the applicable country and area codes. A single e-mail address only should be indicated.

Unless one of the check-boxes is marked, any e-mail address supplied will be used only for the types of communication which might be made by telephone. If one of the check-boxes

NOTES TO THE SUPPLEMENTARY SEARCH REQUEST FORM (PCT/IB/375)

These notes are intended to facilitate the filing of the supplementary search request form and to give some information concerning the supplementary international search. For more detailed information, see the *PCT Applicant's Guide*, a WIPO publication, which is available, together with other PCT related documents, on WIPO's website: www.wipo.int/pct/en/. 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 supplementary search request form and these Notes, "Article", "Rule" and "Section" refer to the provisions of the PCT, the PCT Regulations and the Administrative Instructions, respectively.

The supplementary search request form shall be typed or printed; check-boxes may be marked by hand with dark ink (Rules 11.9(a) and (b) and 11.14).

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

IMPORTANT GENERAL INFORMATION

Which International Searching Authority can be selected to carry out a supplementary international search? Only an International Searching Authority which has stated its preparedness to carry out supplementary international searches (Rule 45*bis*.1(e)), and which is not carrying out the international search under Article 16(1) ("main search"), can be selected (Rule 45*bis*.9(b)). Information about which Authorities are prepared to carry out such searches and about any possible limitations and conditions is provided in the *PCT Applicant's Guide*, Annex SISA.

If the applicant wishes more than one supplementary international search to be carried out (Rule 45*bis*.1(a)), a separate request form should be submitted for each supplementary search requested.

Where must the supplementary search request be filed? (Rule 45*bis*.1). A supplementary search request must be filed with the International Bureau and not with the Authority specified for supplementary search. The International Bureau transmits the request to the Authority selected by the applicant once the requirements under Rule 45*bis*.1(b), (c)(i), 45*bis*.2(c) and 45*bis*.3(c) have been complied with, but not before the date of receipt by the International Bureau of the international search report or the expiration of 17 months from the priority date, whichever occurs first.

The Authority specified for supplementary search chosen by the applicant should be identified, preferably by an indication of the name or two-letter code of the Authority, at the top of the first sheet of the supplementary search request in the space provided for that purpose.

When must the supplementary search request be filed? (Rule 45*bis*.1(a)). The supplementary search request must be filed with the International Bureau prior to the expiration of 22 months from the priority date.

In which language must the supplementary search request be filed? (Rule 92.2(d)). The supplementary search request must be filed in either English or French.

What is the language of correspondence? (Rule 92.2(d) and Section 104). 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.

What must the supplementary search request be accompanied by? Where neither the language in which the international application was filed nor that in which a translation (if any) has been furnished under Rule 12.3 or 12.4 is accepted by the Authority specified for supplementary search, a translation of the international application into a language which is accepted by that Authority should be submitted together with the request.

If applicable, a copy of a sequence listing in electronic form complying with [WIPO Standard ST.26](#), if required by the Authority specified for supplementary search, should preferably be submitted together with the request.

Box No. I

Applicant's or Agent's file reference: A file reference may be indicated, if desired. It should not exceed 25 characters. Characters in excess of 25 may be disregarded (Section 109).

Identification of the international application: The international application number must be indicated in Box No. I.

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, "26 October 2018 (26.10.2018)", "26 October 2018 (26/10/2018)" or "26 October 2018 (26-10-2018)". 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 (Rule 45*bis*.1(b)(i)): The applicant, or, if there is more than one applicant, at least one of the applicants must be indicated in the supplementary search request. Mark in Box No. II of the supplementary search request the same indications that are in Boxes No. II and III of the PCT Request. The Notes to the PCT Request apply *mutatis mutandis*.

Applicant's registration number with the Office: Where the applicant is registered with the national or regional Office that is acting as the Authority specified for supplementary search, the supplementary search request may indicate the number or other indication under which the applicant is so registered.

Telephone, Facsimile Number and/or E-mail address should be indicated for the person named in Box No. II in order to allow rapid communication with the applicant (see Rule 4.4(c)). Any telephone or facsimile number should include the applicable country and area codes. A single e-mail address only should be indicated.

Unless one of the check-boxes is marked, any e-mail address supplied will be used only for the types of communication which might be made by telephone. If one of the check-boxes is marked, the International Bureau and Authority specified for

is marked, the International Bureau and Authority specified for supplementary search may, if they wish to do so, send notifications in respect of the international application to the applicant, thus avoiding processing or postal delays. Note that not all Offices will send such notifications by e-mail (for details about each Office's procedure, see *PCT Applicant's Guide*, Annex B). If the first check-box is marked, any such e-mail notification will always be followed by the official notification on paper. Only that paper copy of the notification is considered the legal copy of the notification and only the date of mailing of that paper copy will commence any time limit within the meaning of Rule 80. If the second check-box is marked, the applicant requests the discontinuation of the sending of paper copies of notifications and acknowledges that the date of mailing indicated on the electronic copy will commence any time limit within the meaning of Rule 80.

Note that it is the applicant's responsibility to keep any e-mail address details up-to-date and to ensure that incoming e-mails are not blocked, for any reason, on the recipient's side. Changes to the e-mail address indicated should be requested to be recorded, preferably directly at the International Bureau, under Rule 92*bis*. Where the e-mail authorization is given both in respect of the applicant and in respect of an agent or common representative, the International Bureau and the Authority specified for supplementary search will send e-mail communications only to the appointed agent or common representative.

Box No. III

Agent or Common Representative (Rules 45*bis*.1(b)(i), 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 supplementary search request* and any earlier appointment of another person is revoked, or *is appointed specifically for the procedure before the Authority specified for supplementary search* (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 Authority specified for supplementary search, all notifications issued by that Authority will be addressed only to that additional person. A separate power of attorney must be filed with the Authority specified for supplementary search, the International Bureau or the receiving Office, if the person appointed at the time the supplementary search request is filed (i.e., was not appointed earlier) signs the supplementary search request on behalf of the applicant (Rule 90.4).

Agent's registration number with the Office: Where the agent is registered with the national or regional Office that is acting as Authority specified for supplementary search, the supplementary search request may indicate the number or other indication under which the agent is so registered.

E- mail address (see Notes to Box. No. II)

Address for correspondence 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. 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

Language for the supplementary international search: The language for the purposes of supplementary international search should be indicated in Box No. IV and it should be specified whether that language is that of the international application as filed, the language of the translation furnished for the purposes of international search (Rule 12.3), the language of the translation furnished for the purposes of publication of the international application (Rule 12.4) and/or the language of the translation to be furnished for the purposes of supplementary international search.

Where neither the language in which the international application was filed nor that in which a translation (if any) has been furnished under Rule 12.3 or 12.4 is accepted by the Authority specified for supplementary search, a translation of the international application into a language which is accepted by that Authority must be furnished with the supplementary search request.

Limitation of the supplementary international search to certain claims: The check-box should be marked where the International Searching Authority has found that the international application does not comply with the requirement of unity of invention and the applicant wishes to limit the supplementary international search to one of the inventions as identified by the International Searching Authority other than the main invention referred to in Article 17(3)(a). The claims relating to the invention selected and, where applicable, the number of the invention as identified by the International Searching Authority, should be indicated in the space provided. Note that where the international search report is available to the Authority specified for supplementary search before it starts the search, the Authority may exclude from the supplementary search any claims which were not the subject of the international search (Rule 45*bis*.5(d)).

Box No. V

Check list: It is recommended that this Box be filled in carefully in order for the Authority specified for supplementary search to determine, as soon as possible, whether it is in possession of the documents on the basis of which the applicant wishes supplementary international search to start. Where a translation of the international application must be furnished for the purposes of supplementary international search (Rule 45*bis*.1(c)(i)), check-Box No. 1 should be marked.

Where the international application contains disclosure of one or more nucleotide and/or amino acid sequences, and ~~a copy of the sequence listing in the form of an Annex C/ST.25 text file is required by the Authority specified for supplementary search,~~ the applicant should preferably furnish the listing ~~in that form~~ to the International Bureau with the supplementary search request (Rule 45*bis*.1(c)(ii)). If this is the case, check-box No.6 should be marked.

Box No. VI

Signature of applicant, agent or common representative (Rules 90 and 92.1): The supplementary search request must be signed by one of the applicants, the agent or the common representative.

Important: Should a notice of withdrawal of the supplementary search request 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 90*bis*.5), or by an agent or a common representative whose appointment has been effected by each applicant signing, at his choice, the request, the request for supplementary search, the demand, a separate power of attorney (Rule 90.4(a)) or a general power of attorney (Rule 90.5(a)).

supplementary search may, if they wish to do so, send notifications in respect of the international application to the applicant, thus avoiding processing or postal delays. Note that not all Offices will send such notifications by e-mail (for details about each Office's procedure, see *PCT Applicant's Guide*, Annex B). If the first check-box is marked, any such e-mail notification will always be followed by the official notification on paper. Only that paper copy of the notification is considered the legal copy of the notification and only the date of mailing of that paper copy will commence any time limit within the meaning of Rule 80. If the second check-box is marked, the applicant requests the discontinuation of the sending of paper copies of notifications and acknowledges that the date of mailing indicated on the electronic copy will commence any time limit within the meaning of Rule 80.

Note that it is the applicant's responsibility to keep any e-mail address details up-to-date and to ensure that incoming e-mails are not blocked, for any reason, on the recipient's side. Changes to the e-mail address indicated should be requested to be recorded, preferably directly at the International Bureau, under Rule 92bis. Where the e-mail authorization is given both in respect of the applicant and in respect of an agent or common representative, the International Bureau and the Authority specified for supplementary search will send e-mail communications only to the appointed agent or common representative.

Box No. III

Agent or Common Representative (Rules 45bis.1(b)(i), 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 supplementary search request* and any earlier appointment of another person is revoked, or *is appointed specifically for the procedure before the Authority specified for supplementary search* (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 Authority specified for supplementary search, all notifications issued by that Authority will be addressed only to that additional person. A separate power of attorney must be filed with the Authority specified for supplementary search, the International Bureau or the receiving Office, if the person appointed at the time the supplementary search request is filed (i.e., was not appointed earlier) signs the supplementary search request on behalf of the applicant (Rule 90.4).

Agent's registration number with the Office: Where the agent is registered with the national or regional Office that is acting as Authority specified for supplementary search, the supplementary search request may indicate the number or other indication under which the agent is so registered.

E- mail address (see Notes to Box. No. II)

Address for correspondence 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. 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

Language for the supplementary international search: The language for the purposes of supplementary international search should be indicated in Box No. IV and it should be specified whether that language is that of the international application as filed, the language of the translation furnished for the purposes of international search (Rule 12.3), the language of the translation furnished for the purposes of publication of the international application (Rule 12.4) and/or the language of the translation to be furnished for the purposes of supplementary international search.

Where neither the language in which the international application was filed nor that in which a translation (if any) has been furnished under Rule 12.3 or 12.4 is accepted by the Authority specified for supplementary search, a translation of the international application into a language which is accepted by that Authority must be furnished with the supplementary search request.

Limitation of the supplementary international search to certain claims: The check-box should be marked where the International Searching Authority has found that the international application does not comply with the requirement of unity of invention and the applicant wishes to limit the supplementary international search to one of the inventions as identified by the International Searching Authority other than the main invention referred to in Article 17(3)(a). The claims relating to the invention selected and, where applicable, the number of the invention as identified by the International Searching Authority, should be indicated in the space provided. Note that where the international search report is available to the Authority specified for supplementary search before it starts the search, the Authority may exclude from the supplementary search any claims which were not the subject of the international search (Rule 45bis.5(d)).

Box No. V

Check list: It is recommended that this Box be filled in carefully in order for the Authority specified for supplementary search to determine, as soon as possible, whether it is in possession of the documents on the basis of which the applicant wishes supplementary international search to start. Where a translation of the international application must be furnished for the purposes of supplementary international search (Rule 45bis.1(c)(i)), check-Box No. 1 should be marked.

Where the international application contains disclosure of one or more nucleotide and/or amino acid sequences and the international application does not contain a sequence listing complying with WIPO Standard ST.26, the applicant should preferably furnish the listing for search purposes to the International Bureau with the supplementary search request (Rule 45bis.1(c)(ii)). If this is the case, check-box No.6 should be marked.

Box No. VI

Signature of applicant, agent or common representative (Rules 90 and 92.1): The supplementary search request must be signed by one of the applicants, the agent or the common representative.

Important: Should a notice of withdrawal of the supplementary search request 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), or by an agent or a common representative whose appointment has been effected by each applicant signing, at his choice, the request, the request for supplementary search, the demand, a separate power of attorney (Rule 90.4(a)) or a general power of attorney (Rule 90.5(a)).

PCT

FEE CALCULATION SHEET

Annex to the supplementary search request

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**NOTES TO THE FEE CALCULATION SHEET
(ANNEX TO FORM PCT/IB/375)**

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 supplementary search request. This will help the International Bureau to verify the calculations and to identify any error in them.

CALCULATION OF PRESCRIBED FEES

Two fees must be paid for supplementary international search:

- (i) the supplementary search fee for the benefit of the Authority specified for supplementary search (Rule 45*bis*.3);
- (ii) the supplementary search handling fee for the benefit of the International Bureau (Rule 45*bis*.2).

Both fees must be paid to the International Bureau within one month from the date on which the request for supplementary search was received. Payments of the fees can only be accepted in Swiss francs. The amount payable shall be the amount applicable on the date of payment.

Information as to the amount of those fees can be obtained from the International Bureau. This information is also published in the *PCT Applicant's Guide*, Annex SISA, the *PCT Newsletter* and in *Official Notices (PCT Gazette)*.

Box SS: The amount of the supplementary search fee must be entered in Box SS.

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Reductions: Some Offices have different supplementary search fees, depending upon the documentation to be searched, which are indicated in the PCT Fee Tables (www.wipo.int/pct/en/fees.pdf) and the relevant Annex SISA of the *PCT Applicant's Guide*. If reduced fees apply, the reduced amount should be indicated in the fee calculation sheet. Applicants may also be entitled to a reduction to the supplementary search handling fee, which is explained further below.

Reduction of the supplementary search 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 that is listed as being a State whose per capita gross domestic product is below US\$ 25,000 (according to the most recent ten year average per capita gross domestic product figures at constant 2005 US\$ values published by the United Nations), and whose nationals and residents who are natural persons have filed less than 10 international applications per year (per million population) or less than 50 international applications per year (in absolute numbers) according to the most recent 5-year average yearly filing figures published by the International Bureau; or an applicant, whether a natural person or not, who is a national of and resides in a State that is listed as being classified by the United Nations as a least developed country, is entitled, in accordance with the Schedule of Fees, to a reduction of 90% of certain PCT fees including the supplementary search handling fee. The applicant is only entitled to the reduction of the supplementary search handling fee if, at the time of filing of the supplementary search request, the applicant is or all applicants are the true and only owner(s) of the application and under no obligation to assign, grant, convey or license the rights in the invention to another party which is not eligible for the fee reduction. If there are several

applicants, each must satisfy the above-mentioned criteria. If the applicant is or all applicants are entitled to the reduction of the supplementary search handling fee, this reduction applies on the basis of the indications of name, nationality and residence given in Box No. II of the supplementary search request, without the need for a specific request to be made.

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 90% of certain PCT fees, including the supplementary search handling fee, is contained in the *PCT Applicant's Guide*, Annex C and on the WIPO website (see www.wipo.int/pct/en/), and is also published in the *Official Notices (PCT Gazette)* and the *PCT Newsletter*.

Calculation of the supplementary search handling fee in case of fee reduction: Where the applicant is (or all applicants are) entitled to a reduction of the supplementary search handling fee, the total to be entered in Box SH is 10% of the supplementary search handling fee.

Total Box (item 3): the total of the amounts inserted in Boxes SS and SH is the amount which must be paid to the International Bureau.

MODE OF PAYMENT

In order to help the International Bureau identify the mode of payment of the prescribed fees, it is recommended to mark the applicable check-box(es). Credit card details should not be furnished with the request for supplementary search. Applicants who choose credit card payment will be sent an e-mail with a unique link to our secure E-payment system. Where an e-mail address has been indicated, in Box No. II or III, this address will be used. If no e-mail address has been indicated or the applicant wishes to use an alternative e-mail address for the purposes of E-payment, this should be indicated here.

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

This mode of payment is only available if a current account has been opened with the International Bureau. Information on how to open such an account with the International Bureau can be found on WIPO's website: www.wipo.int/pct/en/filing/account.htm. Any current account with the receiving Office cannot be charged for the purpose of paying the supplementary search fee and the supplementary search handling fees due to the International Bureau.

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PATENT COOPERATION TREATY

From the INTERNATIONAL BUREAU

PCT

INTERNATIONAL APPLICATION STATUS FORM
(IASF)

To:

Date of establishment of this IASF:
(the information contained in this IASF reflects the status of the international application as of this date)

I	INTERNATIONAL APPLICATION	
I-1	International application number:	
I-2	International filing date:	
I-3	Earliest priority date:	
I-4	Title of the invention:	
I-5	International Patent Classification:	
I-6	Language of filing:	
I-7	The State for which the Office acts as a designated Office has been designated in the international application:	
I-7-1	Indication of the State(s) designated in the international application in respect of which the Office acts as a designated Office (only where the designated Office is a regional Office):	
I-7-2	The international application has been considered withdrawn in a declaration made by the receiving Office on (date):	
I-7-3	The international application or the designation of the State for which the Office acts as a designated Office has been withdrawn by the applicant (date on which withdrawal became effective):	
I-7-4	Kind of protection or treatment:	
I-7-4-1	Identification of parent application or parent grant:	
I-8	Date of receipt of record copy by the International Bureau:	
I-9	Applicant(s) and/or inventor(s) for the State(s) for which the Office acts as a designated Office	
I-9-1	Applicant and/or inventor	
I-9-1-1	Data currently on record	
I-9-1-1-1	Applicant's and/or inventor's name:	
I-9-1-1-2	Address:	
I-9-1-1-3	State of nationality:	
I-9-1-1-4	State of residence:	
I-9-1-1-5	This person is:	
I-9-1-2	Data previously on record (in case of a change recorded by the International Bureau under Rule 92 <i>bis</i>):	
I-9-1-2-1	Date of receipt of Rule 92 <i>bis</i> request:	
I-9-1-2-1-1	Address:	
I-9-1-2-1-2	State of nationality:	
I-9-1-2-1-3	State of residence:	
I-9-1-2-1-4	This person is:	
I-9-1-3	Indication of the State(s) designated in the international application for the purposes of which the person is an applicant and/or inventor (only where the designated Office is a regional Office):	

PATENT COOPERATION TREATY

From the INTERNATIONAL BUREAU

PCT

INTERNATIONAL APPLICATION STATUS FORM
(IASF)

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Date of establishment of this IASF:
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I-3	Earliest priority date:	
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I-7-2	The international application has been considered withdrawn in a declaration made by the receiving Office on (date):	
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I-9-1-1-4	State of residence:	
I-9-1-1-5	This person is:	
I-9-1-2	Data previously on record (in case of a change recorded by the International Bureau under Rule 92 <i>bis</i>):	
I-9-1-2-1	Date of receipt of Rule 92 <i>bis</i> request:	
I-9-1-2-1-1	Address:	
I-9-1-2-1-2	State of nationality:	
I-9-1-2-1-3	State of residence:	
I-9-1-2-1-4	This person is:	
I-9-1-3	Indication of the State(s) designated in the international application for the purposes of which the person is an applicant and/or inventor (only where the designated Office is a regional Office):	

PCT
WO
Date of establishment of this IASF:

I-10	The international application contains a sequence listing and/or tables filed under Section 801(a) of the Administrative Instructions:	
I-11	The following declaration(s) referred to in Rule 4.17 made for the purposes of the State(s) for which the Office acts as a designated Office was (were) contained in the international application as filed or received by the International Bureau before the expiration of the time limit under Rule 26ter.1:	
I-11-1	Declaration(s) as to the identity of the inventor (Rules 4.17(i) and 51 bis.1(a)(i)):	
I-11-2	Declaration(s) 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)):	
I-11-3	Combined declaration(s) as to the identity of the inventor (Rules 4.17(i) and 51 bis.1(a)(i)) and 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)):	
I-11-4	Declaration(s) as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application (Rules 4.17(iii) and 51 bis.1(a)(iii)):	
I-11-5	Declaration(s) of inventorship (only for the purposes of the designation of the United States of America) (Rules 4.17(iv) and 51 bis.1(a)(iv)):	
I-11-6	Declaration(s) as to non-prejudicial disclosures or exceptions to lack of novelty (Rules 4.17(v) and 51 bis.1(a)(v)):	
II	PRIORITY CLAIM(S)	
II-1	Number of earlier application:	
II-1-1	Filing date of earlier application:	
II-1-2	Country in which, or regional Office or receiving Office with which earlier application was filed (where the earlier application is an ARIPO application, indication of the country party to the Paris Convention or Member of the World Trade Organization for which that earlier application was filed):	
II-1-3	Priority document received at the International Bureau on:	
II-1-4	Priority document submitted or transmitted in compliance with Rule 17.1(a) or (b) (only where priority document was received at the International Bureau):	
II-1-5	Applicant has requested the receiving Office to prepare and transmit the priority document in compliance with Rule 17.1(b) (only where no priority document was received at the International Bureau):	
II-1-6	Priority claim withdrawn by a notice from the applicant (date on which withdrawal became effective; if the notice of withdrawal was received by the International Bureau after completion of technical preparations for international publication, such withdrawal will not have been reflected in the pamphlet) (Rule 90 bis.3):	
II-1-7	Declaration by the receiving Office or the International Bureau that priority claim is considered, for the purposes of the procedure under the Treaty, not to have been made (date of declaration) (Rule 26 bis.2(b)):	
III	INTERNATIONAL SEARCH REPORT	
III-1	International Searching Authority carrying out the international search:	
III-2	International search report or declaration under Article 17(2)(a) received by the International Bureau:	
III-3	Corrected version(s) of the international search report (if any) received by the International Bureau:	

PCT
WO
Date of establishment of this IASF:

I-10	The international application contains a sequence listing:	
I-11	The following declaration(s) referred to in Rule 4.17 made for the purposes of the State(s) for which the Office acts as a designated Office was (were) contained in the international application as filed or received by the International Bureau before the expiration of the time limit under Rule 26 <i>ter</i> .1:	
I-11-1	Declaration(s) as to the identity of the inventor (Rules 4.17(i) and 51 <i>bis</i> .1(a)(i)):	
I-11-2	Declaration(s) 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 <i>bis</i> .1(a)(ii)):	
I-11-3	Combined declaration(s) as to the identity of the inventor (Rules 4.17(i) and 51 <i>bis</i> .1(a)(i)) and the applicant's entitlement, as at the international filing date, to apply for and be granted a patent (Rules 4.17(ii) and 51 <i>bis</i> .1(a)(ii)):	
I-11-4	Declaration(s) as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application (Rules 4.17(iii) and 51 <i>bis</i> .1(a)(iii)):	
I-11-5	Declaration(s) of inventorship (only for the purposes of the designation of the United States of America) (Rules 4.17(iv) and 51 <i>bis</i> .1(a)(iv)):	
I-11-6	Declaration(s) as to non-prejudicial disclosures or exceptions to lack of novelty (Rules 4.17(v) and 51 <i>bis</i> .1(a)(v)):	
II	PRIORITY CLAIM(S)	
II-1	Number of earlier application:	
II-1-1	Filing date of earlier application:	
II-1-2	Country in which, or regional Office or receiving Office with which earlier application was filed (where the earlier application is an ARIPO application, indication of the country party to the Paris Convention or Member of the World Trade Organization for which that earlier application was filed):	
II-1-3	Priority document received at the International Bureau on:	
II-1-4	Priority document submitted or transmitted in compliance with Rule 17.1(a) or (b) (only where priority document was received at the International Bureau):	
II-1-5	Applicant has requested the receiving Office to prepare and transmit the priority document in compliance with Rule 17.1(b) (only where no priority document was received at the International Bureau):	
II-1-6	Priority claim withdrawn by a notice from the applicant (date on which withdrawal became effective; if the notice of withdrawal was received by the International Bureau after completion of technical preparations for international publication, such withdrawal will not have been reflected in the pamphlet) (Rule 90 <i>bis</i> .3):	
II-1-7	Declaration by the receiving Office or the International Bureau that priority claim is considered, for the purposes of the procedure under the Treaty, not to have been made (date of declaration) (Rule 26 <i>bis</i> .2(b)):	
III	INTERNATIONAL SEARCH REPORT	
III-1	International Searching Authority carrying out the international search:	
III-2	International search report or declaration under Article 17(2)(a) received by the International Bureau:	
III-3	Corrected version(s) of the international search report (if any) received by the International Bureau:	

PCT
WO
Date of establishment of this IASF:

IV	REFERENCE TO DEPOSITED BIOLOGICAL MATERIAL	
IV-1	Indications relating to deposited biological material were received by the International Bureau (if received after completion of technical preparations for international publication, such reference/indications may not be reflected in the pamphlet) (Rule 13 <i>bis</i> .4(d)(ii)):	
V	INTERNATIONAL PUBLICATION	
V-1	International publication number:	
V-2	International publication date:	
V-3	Language of publication:	
V-4	Number of figure of drawing published together with the abstract:	
V-5	Republication(s) (republication date(s) and reason(s)):	
VI	INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY (CHAPTER I)	
VI-1	International preliminary report on patentability (Chapter I) issued by the International Bureau on:	
VI-2	Corrected version(s) of the international preliminary report on patentability (Chapter I) (if any) issued by the International Bureau on:	
VII	INTERNATIONAL PRELIMINARY EXAMINATION	
VII-1	A demand electing the State(s) for which the Office acts as an elected Office has been received by the International Preliminary Examining Authority (where the elected Office is a regional Office, indication of the State(s) elected in respect of which the Office acts as an elected Office):	
VII-2	The election was made before/after the expiration of 19 months from the priority date:	
VII-3	The election or the demand containing the election of the State(s) for which the Office acts as an elected Office has been considered not to have been made or submitted in a declaration made by the competent International Preliminary Examining Authority on (date):	
VII-4	The election or the demand containing the election of the State(s) for which the Office acts as an elected Office has been withdrawn by the applicant (date on which withdrawal became effective being the date of receipt of the notice of withdrawal by the International Bureau) (Rule 90 <i>bis</i> .4):	
VII-5	International Preliminary Examining Authority carrying out international preliminary examination:	
VII-6	International preliminary report on patentability (Chapter II) received by the International Bureau:	
VII-7	Corrected version(s) of the international preliminary report on patentability (Chapter II) (if any) received by the International Bureau:	

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland	Authorized officer e-mail pct.impact@wipo.int Telephone No. +41 22 338 XX XX
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PCT
WO
Date of establishment of this IASF:

IV	REFERENCE TO DEPOSITED BIOLOGICAL MATERIAL	
IV-1	Indications relating to deposited biological material were received by the International Bureau (if received after completion of technical preparations for international publication, such reference/indications may not be reflected in the pamphlet) (Rule 13 <i>bis</i> .4(d)(ii)):	
V	INTERNATIONAL PUBLICATION	
V-1	International publication number:	
V-2	International publication date:	
V-3	Language of publication:	
V-4	Number of figure of drawing published together with the abstract:	
V-5	Republication(s) (republication date(s) and reason(s)):	
VI	INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY (CHAPTER I)	
VI-1	International preliminary report on patentability (Chapter I) issued by the International Bureau on:	
VI-2	Corrected version(s) of the international preliminary report on patentability (Chapter I) (if any) issued by the International Bureau on:	
VII	INTERNATIONAL PRELIMINARY EXAMINATION	
VII-1	A demand electing the State(s) for which the Office acts as an elected Office has been received by the International Preliminary Examining Authority (where the elected Office is a regional Office, indication of the State(s) elected in respect of which the Office acts as an elected Office):	
VII-2	The election was made before/after the expiration of 19 months from the priority date:	
VII-3	The election or the demand containing the election of the State(s) for which the Office acts as an elected Office has been considered not to have been made or submitted in a declaration made by the competent International Preliminary Examining Authority on (date):	
VII-4	The election or the demand containing the election of the State(s) for which the Office acts as an elected Office has been withdrawn by the applicant (date on which withdrawal became effective being the date of receipt of the notice of withdrawal by the International Bureau) (Rule 90 <i>bis</i> .4):	
VII-5	International Preliminary Examining Authority carrying out international preliminary examination:	
VII-6	International preliminary report on patentability (Chapter II) received by the International Bureau:	
VII-7	Corrected version(s) of the international preliminary report on patentability (Chapter II) (if any) received by the International Bureau:	

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland	Authorized officer e-mail pct.impact@wipo.int Telephone No. +41 22 338 XX XX
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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 DEMAND

CHAPTER II

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
------------------------	---------------------------

Box No. I IDENTIFICATION OF THE INTERNATIONAL APPLICATION

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	

Box No. II APPLICANT(S)

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.
	Applicant's registration No. with the Office

E-mail authorization: Marking one of the check-boxes below authorizes the International Bureau and the International Preliminary Examining Authority to use the e-mail address indicated in this Box to send notifications issued in respect of this international application if those offices are willing to do so.

as advance copies followed by paper notifications; or exclusively in electronic form (no paper notifications will be sent).
E-mail address: _____

State (<i>that is, country</i>) of nationality:	State (<i>that is, country</i>) 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.*)

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:

Further applicants are indicated on a continuation sheet.

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

DEMAND

CHAPTER II

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
------------------------	---------------------------

Box No. I IDENTIFICATION OF THE INTERNATIONAL APPLICATION	
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	

Box No. II APPLICANT(S)	
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.
	Applicant's registration No. with the Office

E-mail authorization: Marking one of the check-boxes below authorizes the International Bureau and the International Preliminary Examining Authority to use the e-mail address indicated in this Box to send notifications issued in respect of this international application if those offices are willing to do so.

as advance copies followed by paper notifications; or exclusively in electronic form (no paper notifications will be sent).

E-mail address: _____

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.	
------------------------------------------------------------------------------------	--

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.

Agent's registration No. with the Office

E-mail authorization: Marking one of the check-boxes below authorizes the International Bureau and the International Preliminary Examining Authority to use the e-mail address indicated in this Box to send notifications issued in respect of this international application if those offices are willing to do so.

as advance copies followed by paper notifications; or exclusively in electronic form (no paper notifications will be sent).
 E-mail address: _____

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 description as originally filed, or
 as amended under Article 34
- the sequence listing (if any) as originally filed, or
 as amended under Article 34:
 ~~in the form of an Annex C/ST.25 text file~~
 ~~on paper or in the form of an image file~~
- the claims as originally filed, or
 as amended under Article 19, and/or
 as amended under Article 34
- the drawings (if any) as originally filed, or
 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 requests **to postpone** the start of the international preliminary examination until 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. 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.

Agent's registration No. with the Office

E-mail authorization: Marking one of the check-boxes below authorizes the International Bureau and the International Preliminary Examining Authority to use the e-mail address indicated in this Box to send notifications issued in respect of this international application if those offices are willing to do so.

as advance copies followed by paper notifications; or exclusively in electronic form (no paper notifications will be sent).
E-mail address: _____

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 description as originally filed, or
 as amended under Article 34

the sequence listing (if any) as originally filed, or
 as amended under Article 34

the claims as originally filed, or
 as amended under Article 19, and/or
 as amended under Article 34

the drawings (if any) as originally filed, or
 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 requests **to postpone** the start of the international preliminary examination until 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. letter accompanying the amendments under Article 34 (Rule 66.8) | : | sheets |
| 4. copy (or, where required, translation) of amendments under Article 19 | : | sheets |
| 5. copy of the letter accompanying the amendments under Article 19 (Rules 46.5(b) and 53.9) | : | sheets |
| 6. copy (or, where applicable, translation) of any statement under Article 19 (Rule 62.1(ii)) | : | sheets |
| 7. 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"/>
<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"/> sequence listing in the form of an Annex C/ST.25 text file |
| 2. <input type="checkbox"/> original separate power of attorney | 6. <input type="checkbox"/> other (<i>specify</i>): _____ |
| 3. <input type="checkbox"/> original general power of attorney | _____ |
| 4. <input type="checkbox"/> copy of general power of attorney; reference number, if any: | _____ |

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. 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.
 The applicant has been informed accordingly.
4. 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.
5. 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 Rules 82 or 82*quater*.

6. The date of receipt of the demand is AFTER the expiration of the time limit under Rule 54*bis*.1(a) and item 7 or 8, below, does not apply.
7. The date of receipt of the demand is WITHIN the time limit under Rule 54*bis*.1(a) as extended by virtue of Rule 80.5.
8. Although the date of receipt of the demand is after the expiration of the time limit under Rule 54*bis*.1(a), the delay in arrival is EXCUSED pursuant to Rules 82 or 82*quater*.

For International Bureau use only

Demand received from IPEA on:

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. | <u>amended sequence listing under Article 34</u> | : | <u> </u> |
| 4. | letter accompanying the amendments under Article 34 (Rule 66.8) | : | sheets |
| 5. | copy (or, where required, translation) of amendments under Article 19 | : | sheets |
| 6. | copy of the letter accompanying the amendments under Article 19 (Rules 46.5(b) and 53.9) | : | sheets |
| 7. | copy (or, where applicable, translation) of any statement under Article 19 (Rule 62.1(ii)) | : | sheets |
| 8. | 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"/>
<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"/> <u>sequence listing for the purposes of international preliminary examination (Rule 13ter)</u> |
| 2. <input type="checkbox"/> original separate power of attorney | 6. <input type="checkbox"/> <u>a statement to the effect that the sequence listing does not go beyond the disclosure in the international application as filed</u> |
| 3. <input type="checkbox"/> original general power of attorney | 7. <input type="checkbox"/> other (<i>specify</i>): _____ |
| 4. <input type="checkbox"/> copy of general power of attorney; reference number, if any: | |

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. 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.
 The applicant has been informed accordingly.
4. 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.
5. 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 Rules 82 or 82quater.

6. 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.
7. 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.
8. 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 Rules 82 or 82quater.

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/. 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.

The demand form shall be typed or printed; 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*, 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*, 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 55.3 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 25 characters. Characters in excess of 25 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, "26 October 2018 (26.10.2018)", "26 October 2018 (26/10/2018)" or "26 October 2018 (26-10-2018)". 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 those persons named as "inventor only" in the request need not be named in the demand.

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/. 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.

The demand form shall be typed or printed; 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*, 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*, 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 55.3 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 25 characters. Characters in excess of 25 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, "26 October 2018 (26.10.2018)", "26 October 2018 (26/10/2018)" or "26 October 2018 (26-10-2018)". 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 those persons named as "inventor only" in the request need not be named in the demand.

Insert in Box No. II of the demand the required indications as 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.

An E-mail address should be indicated for the person named in Box No. II in order to allow rapid communication with the applicant (see Rule 4.4(c)). Any telephone or facsimile number should include the applicable country and area codes. A single e-mail address only should be indicated.

Unless one of the applicable check-boxes is marked, any e-mail address supplied will be used only for the types of communication which might be made by telephone. If one of the applicable check-boxes is marked, the International Bureau and the International Preliminary Examining Authority may, if they wish to do so, send notifications in respect of the international application to the applicant by e-mail, thus avoiding processing or postal delays. Note that not all Offices will send such notifications by e-mail, (for details about each Office’s procedure see the *PCT Applicant’s Guide*, Annex B). If the first check-box is marked, any such e-mail notification will always be followed by the official notification on paper. Only that paper copy of the notification is considered the legal copy of the notification and only the date of mailing of that paper copy will commence any time limit within the meaning of Rule 80. If the second check-box is marked, the applicant requests the discontinuation of the sending of paper copies of notifications and acknowledges that the date of mailing indicated on the electronic copy will commence any time limit within the meaning of Rule 80.

Note that it is the applicant’s responsibility to keep any e-mail address details up-to-date and to ensure that incoming e-mails are not blocked, for any reason, on the recipient’s side. Changes to the e-mail address indicated should be requested to be recorded, preferably directly at the International Bureau, under Rule 92*bis*. Where the e-mail authorization is given both in respect of the applicant and in respect of an agent or common representative, the International Bureau and the International Preliminary Examining Authority will send e-mail communications only to the appointed agent or common representative.

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*, Annex B(1B), Annex C and Annex 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.

E-mail address (see Notes to Box. No. II).

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)(iv), 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 under Article 19 are to be taken into account, the applicant should preferably submit a copy of the amendments made under Article 19, the letter accompanying the amendments (Rules 62.1(ii) and 46.5(b)) and any statement (Rule 62.1(ii)). Where amendments under Article 34 are to be taken into account, the applicant must submit *with the Demand* the amendments of the international application under Article 34, together with a letter which must draw attention to the differences caused by the amendments and indicate the basis for the amendments in the application as filed and shall also explain the reasons for the amendments (Rule 66.8). If a

Insert in Box No. II of the demand the required indications as 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.

An E-mail address should be indicated for the person named in Box No. II in order to allow rapid communication with the applicant (see Rule 4.4(c)). Any telephone or facsimile number should include the applicable country and area codes. A single e-mail address only should be indicated.

Unless one of the applicable check-boxes is marked, any e-mail address supplied will be used only for the types of communication which might be made by telephone. If one of the applicable check-boxes is marked, the International Bureau and the International Preliminary Examining Authority may, if they wish to do so, send notifications in respect of the international application to the applicant by e-mail, thus avoiding processing or postal delays. Note that not all Offices will send such notifications by e-mail, (for details about each Office’s procedure see the *PCT Applicant’s Guide*, Annex B). If the first check-box is marked, any such e-mail notification will always be followed by the official notification on paper. Only that paper copy of the notification is considered the legal copy of the notification and only the date of mailing of that paper copy will commence any time limit within the meaning of Rule 80. If the second check-box is marked, the applicant requests the discontinuation of the sending of paper copies of notifications and acknowledges that the date of mailing indicated on the electronic copy will commence any time limit within the meaning of Rule 80.

Note that it is the applicant’s responsibility to keep any e-mail address details up-to-date and to ensure that incoming e-mails are not blocked, for any reason, on the recipient’s side. Changes to the e-mail address indicated should be requested to be recorded, preferably directly at the International Bureau, under Rule 92*bis*. Where the e-mail authorization is given both in respect of the applicant and in respect of an agent or common representative, the International Bureau and the International Preliminary Examining Authority will send e-mail communications only to the appointed agent or common representative.

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*, Annex B(1B), Annex C and Annex 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.

E-mail address (see Notes to Box. No. II).

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)(iv), 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 under Article 19 are to be taken into account, the applicant should preferably submit a copy of the amendments made under Article 19, the letter accompanying the amendments (Rules 62.1(ii) and 46.5(b)) and any statement (Rule 62.1(ii)). Where amendments under Article 34 are to be taken into account, the applicant must submit *with the Demand* the amendments of the international application under Article 34, together with a letter which must draw attention to the differences caused by the amendments and indicate the basis for the amendments in the application as filed and shall also explain the reasons for the amendments (Rule 66.8). 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 if the applicant wants to keep the option for the filing of amendments of the claims under Article 19 open 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 under Rule 69.1(d) (Rule 53.9(b)).

Mark check-box No. 4 if the applicant wishes to **postpone** the start of the international preliminary examination until the expiration of the applicable time limit under Rule 54bis.1(a). Otherwise, and unless Rule 69.1(b) applies (see above), the IPEA will start the international preliminary examination once it is in possession of the required fees, the international search report (or the declaration under Article 17(2)(a)) and the written opinion established by the ISA (Rule 69.1(a)).

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 and the corresponding check-box should be marked.

Language of Amendments (Rule 55.3): Amendments, letters and statements 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 the form of an Annex C/ST.25 text file is required by the IPEA, the applicant may furnish the listing in that form to the IPEA with the demand. If this is the case, check-box No. 5 must be marked.~~

BOX No. VII

Signature (Rules 53.8, 60.1(a-ter) and 90): 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.

Where the signature on the demand 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 the original of which has already been deposited with the receiving Office or the competent Authority, must be furnished. The power of attorney must be signed by the applicant or, if there is more than one applicant, by at least one of them. If the power is not filed with the demand, the IPEA will invite the applicant to furnish it, unless it has waived the requirement for a separate power of attorney (for details about each IPEA, see the *PCT Applicant's Guide*, Annex E).

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), or by an agent or a common representative whose appointment has been effected by each applicant signing, at his choice, the request, the demand, a separate power of attorney (Rule 90.4(a)) or a general power of attorney (Rule 90.5(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 if the applicant wants to keep the option for the filing of amendments of the claims under Article 19 open 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 under Rule 69.1(d) (Rule 53.9(b)).

Mark check-box No. 4 if the applicant wishes to **postpone** the start of the international preliminary examination until the expiration of the applicable time limit under Rule 54bis.1(a). Otherwise, and unless Rule 69.1(b) applies (see above), the IPEA will start the international preliminary examination once it is in possession of the required fees, the international search report (or the declaration under Article 17(2)(a)) and the written opinion established by the ISA (Rule 69.1(a)).

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 and the corresponding check-box should be marked.

Language of Amendments (Rule 55.3): Amendments, letters and statements 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.

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Where the signature on the demand 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 the original of which has already been deposited with the receiving Office or the competent Authority, must be furnished. The power of attorney must be signed by the applicant or, if there is more than one applicant, by at least one of them. If the power is not filed with the demand, the IPEA will invite the applicant to furnish it, unless it has waived the requirement for a separate power of attorney (for details about each IPEA, see the *PCT Applicant's Guide*, Annex E).

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), or by an agent or a common representative whose appointment has been effected by each applicant signing, at his choice, the request, the demand, a separate power of attorney (Rule 90.4(a)) or a general power of attorney (Rule 90.5(a)).

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 **REPLY DUE** 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 and 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 55.3 and 66.8.

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.

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 **REPLY DUE** 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 and 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 55.3 and 66.8.

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. 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 (*specify*):

- 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 the form of an Annex C/ST.25 text file~~, and such listing was not available to the International Preliminary Examining Authority in the form and manner acceptable to it; ~~or the sequence listing furnished did not comply with the standard provided for in Annex C of the Administrative Instructions.~~

- ~~furnish a sequence listing on paper or in the form of an image file complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Preliminary Examining Authority in the form and manner acceptable to it; or the sequence listing furnished did not comply with the standard provided for in Annex C of the Administrative Instructions.~~

- 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.

- See Supplemental Box for further details.

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 (*specify*):

- 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 complying with WIPO Standard ST.26, and such listing was not available to the International Preliminary Examining Authority in the form, language 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) and 13ter.2.

- See Supplemental Box for further details.

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 sequence listing:
 - a. forming part of the international application as filed:
 - ~~in the form of an Annex C/ST.25 text file.~~
 - ~~on paper or in the form of an image file.~~
 - b. ~~furnished together with the international application under PCT Rule 13ter.1(a) for the purposes of international search only in the form of an Annex C/ST.25 text file.~~
 - e. furnished subsequent to the international filing date for the purposes of international search and/or examination:
 - ~~in the form of an Annex C/ST.25 text file (Rule 13ter.1(a)).~~
 - ~~on paper or in the form of an image file (Rule 13ter.1(b) and Administrative Instructions, Section 713).~~
 - d. furnished to this Authority as an amendment under PCT Article 34 on _____ ÷
 - ~~in the form of an Annex C/ST.25 text file, and preferably identified as "Amended" at the first line of text.~~
 - ~~on paper or in the form of an image file.~~
2. ~~In addition, in the case that more than one version or copy of a sequence listing has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that forming part of 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 Relating to Sequence Listing

Continuation of Box No. 1, 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 sequence listing:
 - a. forming part of the international application as filed.
 - b. furnished subsequent to the international filing date for the purposes of international search and/or examination,
 accompanied by a statement to the effect that the sequence listing does not go beyond the disclosure in the international application as filed.
 - c. furnished to this Authority as an amendment under PCT Article 34 on _____ :
2. 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 to the extent that a meaningful opinion could be formed without a WIPO Standard ST.26 compliant sequence listing.
3. Additional comments:

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		FOR FURTHER ACTION See Form PCT/IPEA/416	
International application No.	International filing date (day/month/year)	Priority date (day/month/year)	
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/or sheets containing rectifications authorized by this Authority, unless those sheets were superseded or cancelled, and any accompanying letters (see Rules 46.5, 66.8, 70.16, 91.2, and Section 607 of the Administrative Instructions).
- sheets containing rectifications, where the decision was made by this Authority not to take them into account because they were not authorized by or notified to this Authority at the time when this Authority began to draw up this report, and any accompanying letters (Rules 66.4bis, 70.2(e), 70.16 and 91.2).
- superseded sheets and any accompanying letters, where this Authority either considers that the superseding sheets contain an amendment that goes beyond the disclosure in the international application as filed, or the superseding sheets were not accompanied by a letter indicating the basis for the amendments in the application as filed, as indicated in item 4 of Box No. I and the Supplemental Box (see Rule 70.16(b)).

b. ~~(sent to the International Bureau only) a total of (indicate type and number of electronic carrier(s)) _____ containing a sequence listing, in the form of an Annex C/ST.25 text file, as indicated in the Supplemental Box Relating to Sequence Listing (see paragraph 3ter of Annex C 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 and 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.

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		FOR FURTHER ACTION 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. a total of _____ sheets, as follows:

sheets of the description, claims and/or drawings which have been amended and/or sheets containing rectifications authorized by this Authority, unless those sheets were superseded or cancelled, and any accompanying letters (see Rules 46.5, 66.8, 70.16, 91.2, and Section 607 of the Administrative Instructions).

sheets containing rectifications, where the decision was made by this Authority not to take them into account because they were not authorized by or notified to this Authority at the time when this Authority began to draw up this report, and any accompanying letters (Rules 66.4*bis*, 70.2(e), 70.16 and 91.2).

superseded sheets and any accompanying letters, where this Authority either considers that the superseding sheets contain an amendment that goes beyond the disclosure in the international application as filed, or the superseding sheets were not accompanied by a letter indicating the basis for the amendments in the application as filed, as indicated in item 4 of Box No. I and the Supplemental Box (see Rule 70.16(b)).

b. a separate electronic file containing a sequence listing (*sent to the International Bureau only*).

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 and 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. 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 (*specify*):

- 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 the form of an Annex C/ST.25 text file~~, and such listing was not available to the International Preliminary Examining Authority in the form and manner acceptable to it; ~~or the sequence listing furnished did not comply with the standard provided for in Annex C of the Administrative Instructions.~~

- ~~furnish a sequence listing on paper or in the form of an image file complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Preliminary Examining Authority in the form and manner acceptable to it; or the sequence listing furnished did not comply with the standard provided for in Annex C of the Administrative Instructions.~~

- 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.

- See Supplemental Box for further details.

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 (*specify*):

- 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 complying with WIPO Standard ST.26, and such listing was not available to the International Preliminary Examining Authority in the form, language 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 13*ter*.1(a) and 13*ter*.2.

- See Supplemental Box for further details.

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 sequence listing:

- a. forming part of the international application as filed:
 - ~~in the form of an Annex C/ST.25 text file.~~
 - ~~on paper or in the form of an image file.~~
- b. ~~furnished together with the international application under PCT Rule 13ter.1(a) for the purposes of international search only in the form of an Annex C/ST.25 text file.~~
- e. furnished subsequent to the international filing date for the purposes of international search and/or examination:
 - ~~in the form of an Annex C/ST.25 text file (Rule 13ter.1(a)).~~
 - ~~on paper or in the form of an image file (Rule 13ter.1(b) and Administrative Instructions, Section 713).~~
- d. furnished to this Authority as an amendment* under PCT Article 34 on _____ :
 - ~~in the form of an Annex C/ST.25 text file, and preferably identified as "Amended" at the first line of text.~~
 - ~~on paper or in the form of an image file.~~

2. ~~In addition, in the case that more than one version or copy of a sequence listing has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that forming part of 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 sequence listing, which forms part of the basis of the report, may be marked "superseded."

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 sequence listing:
 - a. forming part of the international application as filed.
 - b. furnished subsequent to the international filing date for the purposes of international search and/or examination,
 accompanied by a statement to the effect that the sequence listing does not go beyond the disclosure in the international application as filed.
 - c. furnished to this Authority as an amendment* under PCT Article 34 on _____ .
2. 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 to the extent that a meaningful opinion referred to in Article 33(1) could be formed without a WIPO Standard ST.26 compliant sequence listing.
3. Additional comments:

* If item 4 in Box No. I applies, the sequence listing, which forms part of the basis of the report, may be marked "superseded."

PATENT COOPERATION TREATY

From the
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

PCT

INVITATION TO FURNISH NUCLEOTIDE AND/OR
AMINO ACID SEQUENCE LISTING AND TO PAY,
WHERE APPLICABLE, LATE FURNISHING FEE

(PCT Rule 13ter.2 and Administrative Instructions,
Section 208 and Annex C)

To:

Date of mailing
(day/month/year)

Applicant's or agent's file reference

REPLY DUE 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 the form of an Annex C/ST.25 text file~~, accompanied by a **statement** that the ~~information recorded in the form of an Annex C/ST.25 text file is identical to that forming part of the international application as filed.~~
- a **statement** ~~confirming that the information recorded in the form of an Annex C/ST.25 text file submitted under Rule 13ter.1(a) is identical to that forming part of the international application as filed.~~
- a ~~nucleotide and/or amino acid sequence listing in the form of an Annex C/ST.25 text file (Rule 13ter.1(a))~~, accompanied by a **statement** to the effect that the sequence listing does not go beyond the disclosure in the international application as filed.
- a ~~nucleotide and/or amino acid sequence listing on paper or in the form of an image file complying with the standard provided for in Annex C of the Administrative Instructions (Rule 13ter.1(b))~~, 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 the form of an Annex C/ST.25 text file, on paper or in the form of an image file, as the case may be, already furnished to this Authority, does not go beyond the disclosure in the international application as filed.~~

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 _____ (currency/amount)

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.

PATENT COOPERATION TREATY

From the
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

PCT

To:

INVITATION TO FURNISH NUCLEOTIDE AND/OR
AMINO ACID SEQUENCE LISTING AND TO PAY,
WHERE APPLICABLE, LATE FURNISHING FEE

(PCT Rule 13ter.2 and Administrative Instructions,
Section 208 and Annex C)

	Date of mailing (day/month/year)
Applicant's or agent's file reference	REPLY DUE 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 sequence listing (WIPO Standard ST.26 XML file) under Rule 13ter.2, 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 furnished under Rule 13ter.2 does not go beyond the disclosure in the international application as filed.**

a **complete sequence listing containing a translation of the language-dependent free text into the (or one of the) following language(s) accepted by this Authority (this translation may replace or supplement the original text):** _____

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 _____ (currency/amount)

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.
------------------------------------------------------------	-----------------------------------------

PATENT COOPERATION TREATY

PCT

SUPPLEMENTARY INTERNATIONAL SEARCH REPORT

(PCT Rule 45bis)

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>)
Applicant	

This supplementary international search report has been prepared by this Authority specified for supplementary search and it is transmitted to the applicant in accordance with Rule 45bis.8(a). A copy is being transmitted to the International Bureau.

This report is a revised version of a previously issued supplementary international search report

This supplementary 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 supplementary international search was carried out on the basis of:

the international application in the language in which it was filed.

a translation of the international application into _____ which is the language of a translation furnished for the purposes of:

the international search (Rules 12.3(a) and 23.1(b)).

the international publication (Rule 12.4)

the supplementary international search (Rule 45bis.1(c)(i))

b. This supplementary international search report has been established taking into account the **rectification of an obvious mistake** notified to this Authority under Rule 91 (Rules 43.6bis(a) and 45bis.7(c)).

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

d. This supplementary international search report has been established taking due account of the international search report, or the declaration under Article 17(2)(a) that no international search report will be established, and the written opinion established under Rule 43bis.1.

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

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

PATENT COOPERATION TREATY

PCT

SUPPLEMENTARY INTERNATIONAL SEARCH REPORT

(PCT Rule 45bis)

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>)
Applicant	

This supplementary international search report has been prepared by this Authority specified for supplementary search and it is transmitted to the applicant in accordance with Rule 45bis.8(a). A copy is being transmitted to the International Bureau.

This report is a revised version of a previously issued supplementary international search report

This supplementary 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 supplementary international search was carried out on the basis of:

the international application in the language in which it was filed.

a translation of the international application into _____ which is the language of a translation furnished for the purposes of:

the international search (Rules 12.3(a) and 23.1(b)).

the international publication (Rule 12.4)

the supplementary international search (Rule 45bis.1(c)(i))

b. This supplementary international search report has been established taking into account the **rectification of an obvious mistake** notified to this Authority under Rule 91 (Rules 43.6bis(a) and 45bis.7(c)).

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

d. This supplementary international search report has been established taking due account of the international search report, or the declaration under Article 17(2)(a) that no international search report will be established, and the written opinion established under Rule 43bis.1.

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

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

SUPPLEMENTARY INTERNATIONAL SEARCH REPORT

International application No.

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

1. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the supplementary international search was carried out on the basis of a sequence listing:
 - a. forming part of the international application as filed:
 - ~~in the form of an Annex C/ST.25 text file.~~
 - ~~on paper or in the form of an image file.~~
 - b. ~~furnished together with the supplementary search request under PCT Rule 45bis.1(c)(ii) for the purposes of supplementary international search only in the form of an Annex C/ST.25 text file.~~
 - e. furnished subsequent to the supplementary search request for the purposes of supplementary international search only (Rules 45bis.5(c) and 13ter):
 - ~~in the form of an Annex C/ST.25 text file (Rule 13ter.1(a)).~~
 - ~~on paper or in the form of an image file (Rule 13ter.1(b) and Administrative Instructions, Section 713).~~
2. ~~In addition, in the case that more than one version or copy of a sequence listing has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that forming part of the application as filed or does not go beyond the application as filed, as appropriate, were furnished.~~
3. Additional comments:

SUPPLEMENTARY INTERNATIONAL SEARCH REPORT

International application No.

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

1. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the supplementary international search was carried out on the basis of a sequence listing:
 - a. forming part of the international application as filed.
 - b. furnished subsequent to the supplementary search request for the purposes of supplementary international search only (Rules 45bis.5(c) and 13ter).
 accompanied by a statement to the effect that the sequence listing does not go beyond the disclosure in the international application as filed.
2. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, this report has been established to the extent that a meaningful search could be carried out without a WIPO Standard ST.26 compliant sequence listing.
3. Additional comments:

PATENT COOPERATION TREATY

PCT

DECLARATION OF NON-ESTABLISHMENT OF SUPPLEMENTARY INTERNATIONAL SEARCH REPORT
(PCT Article 17(2)(a), Rules 13ter.1(c) and (d), 39 and 45bis.5(c) and (e))

IMPORTANT DECLARATION	Date of mailing (<i>day/month/year</i>)
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>)
Applicant	

This Authority specified for supplementary search hereby declares, in accordance with Article 17(2)(a) and Rule 45bis.5(c), that **no supplementary international search report will be established** for this international application for the reasons indicated below.

1. The International Searching Authority (ISA/_____) has made a declaration under Article 17(2)(a) and has not established an international search report (see Form PCT/ISA/203 dated _____ (*day/month/year*)), (Rule 45bis.5(e)).
2. 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 Authority specified for supplementary search is not equipped to search prior art
3. The failure of the following parts of the international application to comply with prescribed requirements prevents a meaningful search from being carried out:

the description the claims the drawings

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

PATENT COOPERATION TREATY

PCT

DECLARATION OF NON-ESTABLISHMENT OF SUPPLEMENTARY INTERNATIONAL SEARCH REPORT
(PCT Article 17(2)(a), Rules 13ter.1(c) and (d), 39 and 45bis.5(c) and (e))

IMPORTANT DECLARATION	Date of mailing (<i>day/month/year</i>)
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>)
Applicant	

This Authority specified for supplementary search hereby declares, in accordance with Article 17(2)(a) and Rule 45bis.5(c), that **no supplementary international search report will be established** for this international application for the reasons indicated below.

1. The International Searching Authority (ISA/_____) has made a declaration under Article 17(2)(a) and has not established an international search report (see Form PCT/ISA/203 dated _____ (*day/month/year*)), (Rule 45bis.5(e)).

2. 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 Authority specified for supplementary search is not equipped to search prior art

3. The failure of the following parts of the international application to comply with prescribed requirements prevents a meaningful search from being carried out:

- the description the claims the drawings

Name and mailing address of the Authority/ Facsimile No.	Authorized officer Telephone No.
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**DECLARATION OF NON-ESTABLISHMENT OF
SUPPLEMENTARY INTERNATIONAL SEARCH REPORT**

International application No.

4. 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 the form of an Annex C/ST.25 text file~~, and such listing was not available to the Authority specified for supplementary search in a form and manner acceptable to it; ~~or the sequence listing furnished did not comply with the standard provided for in Annex C of the Administrative Instructions.~~
 - ~~furnish a sequence listing on paper or in the form of an image file complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the Authority specified for supplementary search in a form and manner acceptable to it; or the sequence listing furnished did not comply with the standard provided for in Annex C of the Administrative Instructions.~~
 - 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)~~.

5. Further comments:

**DECLARATION OF NON-ESTABLISHMENT OF
SUPPLEMENTARY INTERNATIONAL SEARCH REPORT**

International application No.

4. 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 complying with WIPO Standard ST.26, and such listing was not available to the Authority specified for supplementary search in a form, language 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).

5. Further comments:

PATENT COOPERATION TREATY

From the AUTHORITY SPECIFIED FOR
SUPPLEMENTARY SEARCH

PCT

INVITATION TO FURNISH NUCLEOTIDE AND/OR
AMINO ACID SEQUENCE LISTING AND TO PAY,
WHERE APPLICABLE, LATE FURNISHING FEE

(PCT Rules 13ter.1(a) to (d) and 45bis.5(c) and
Administrative Instructions, Section 208 and Annex C)

To:

Date of mailing
(day/month/year)

Applicant's or agent's file reference

REPLY DUE 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 for the purposes of the supplementary international search:
 - a ~~nucleotide and/or amino acid~~ sequence listing ~~in the form of an Annex C/ST.25 text file~~, accompanied by a **statement** that the ~~information recorded in the form of an Annex C/ST.25 text file is identical to that forming part of~~ the international application as filed.
 - a **statement** ~~confirming that the information recorded in the form of an Annex C/ST.25 text file submitted under Rule 13ter.1(a) is identical to that forming part of~~ the international application as filed.
 - a ~~nucleotide and/or amino acid~~ sequence listing ~~in the form of an Annex C/ST.25 text file (Rule 13ter.1(a))~~, accompanied by a ~~statement to the effect that the sequence listing does not go beyond the disclosure in the international application as filed~~.
 - a ~~nucleotide and/or amino acid~~ sequence listing ~~on paper or in the form of an image file~~ complying with the standard provided for in Annex C of the Administrative Instructions (Rule 13ter.1(b)), 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 the form of an Annex C/ST.25 text file, on paper or in the form of an image file, as the case may be, already furnished to this Authority, does not go beyond the disclosure in the international application as filed~~.
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 _____ (currency/amount)
3. **Failure to comply with this Invitation** may result in this Authority only carrying out the supplementary 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 Authority/

Facsimile No.

Authorized officer

Telephone No.

PATENT COOPERATION TREATY

From the AUTHORITY SPECIFIED FOR
SUPPLEMENTARY SEARCH

PCT

To:

INVITATION TO FURNISH NUCLEOTIDE AND/OR
AMINO ACID SEQUENCE LISTING AND TO PAY,
WHERE APPLICABLE, LATE FURNISHING FEE

(PCT Rules 13ter.1(a) to (d) and 45bis.5(c) and
Administrative Instructions, Section 208 and Annex C)

	Date of mailing (day/month/year)
Applicant's or agent's file reference	REPLY DUE 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 for the purposes of the supplementary international search:

a sequence listing (WIPO Standard ST.26 XML file) under Rule 13ter.1(a), 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 furnished under Rule 13ter.1(a) does not go beyond the disclosure in the international application as filed.

a complete sequence listing containing a translation of the language-dependent free text into the (or one of the) following language(s) accepted by this Authority (this translation may replace or supplement the original text):
_____.

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 _____ (currency/amount)

3. **Failure to comply with this Invitation** may result in this Authority only carrying out the supplementary 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 Authority/ Facsimile No.	Authorized officer Telephone No.
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PATENT COOPERATION TREATY

From the AUTHORITY SPECIFIED FOR
SUPPLEMENTARY SEARCH

PCT

NOTIFICATION OF RECEIPT
OF COPY OF INTERNATIONAL APPLICATION
FOR THE PURPOSES OF SUPPLEMENTARY
INTERNATIONAL SEARCH

(Administrative Instructions, Section 519)

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)

Priority date (day/month/year)

Applicant

1. The applicant is hereby notified that a copy of the international application, for the purposes of supplementary international search, was received by this Authority specified for supplementary search on _____ (date of receipt).

2. ~~The copy of the international application was accompanied, for the purposes of supplementary international search, by a nucleotide and/or amino acid sequence listing in the form of an Annex C/ST.25 text file (Rules 13ter.1(a) and 45bis.1(c)(ii)).~~

3. ~~The copy of the international application contained a nucleotide and/or amino acid sequence listing in the form of an Annex C/ST.25 text file forming part of the international application as filed.~~

4. **Time limit for establishment of the supplementary international search report**
The applicant is informed that the time limit for establishing the supplementary international search report is 28 months from the priority date (Rule 45bis.7(a)).

A copy of this Notification is being sent to the International Bureau.

Name and mailing address of the Authority/

Facsimile No.

Authorized officer

Telephone No.

PATENT COOPERATION TREATY

From the AUTHORITY SPECIFIED FOR
SUPPLEMENTARY SEARCH

PCT

NOTIFICATION OF RECEIPT
OF COPY OF INTERNATIONAL APPLICATION
FOR THE PURPOSES OF SUPPLEMENTARY INTER-
NATIONAL SEARCH

(Administrative Instructions, Section 519)

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)

Priority date (day/month/year)

Applicant

1. The applicant is hereby notified that a copy of the international application, for the purposes of supplementary international search, was received by this Authority specified for supplementary search on _____ (date of receipt).

2. [The copy of the international application contained a nucleotide and/or amino acid sequence listing forming part of the international application as filed.](#)

3. [The copy of the international application was accompanied by a nucleotide and/or amino acid sequence listing for the purposes of supplementary international search \(Rules 13ter.1\(a\) and 45bis.1\(c\)\(ii\)\).](#)

4. **Time limit for establishment of the supplementary international search report**
The applicant is informed that the time limit for establishing the supplementary international search report is 28 months from the priority date (Rule 45bis.7(a)).

A copy of this Notification is being sent to the International Bureau.

Name and mailing address of the Authority/

Facsimile No.

Authorized officer

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