



PCT SEMINAR

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National Seminar on the Patent Cooperation Treaty (PCT) **The System for Worldwide Filing of Patent Applications**

organized by

the World Intellectual Property Organization (WIPO)

and the

Patent Registry Office (PRO), The Brunei Economic Development Board,
Bandar Seri Begawan

Negara Brunei Darussalam, April 11 and 12, 2013

Document prepared by the International Bureau

TABLE OF CONTENTS

	Page
Preface	4
Introduction to the PCT System.....	5
PCT Timeline	11
Basics of the PCT	13
Filing of PCT Applications	18
Declarations	24
PCT-SAFE	28
Agents and Common Representatives under the PCT	42
Priority Claims.....	47
Correction of Defects Relating to the Filing of the Application	62
Recording of Changes under Rule 92 <i>bis</i>	72
Functions of the Receiving Office.....	75
The International Bureau as Receiving Office	78
International Search and Written Opinion of the ISA.....	85
Supplementary International Search	91
Filing of Demand for International Preliminary Examination	100
International Preliminary Examination	108
Unity of Invention and Protest Procedure.....	115
Functions of the International Bureau	120
International Publication	123
Access to File After Publication	130
Fees Payable under the PCT	134
Amendments under the PCT	141
Entry into the National Phase	146
Withdrawals	157
Requirements concerning the Deposit of Biological Material and Sequence Listings ..	160
Procedural Safeguards for International Applications	173
Benefits for Applicants Resulting from Using the PCT	176
The PCT as a Strategy for Filing Foreign Applications	178
Amendments to the PCT Regulations as from 1 January 2013.....	181
Recent Developments.....	182
ePCT	187
Where to Get Help.....	214
Annexes: Sample filled-in Request form (PCT/RO/101)	223
Sample filled-in Demand form (PCT/IPEA/101).....	237
Draft Annexes B and C (BN)	242
Sample filled-in International Search Report (ISA/210)	246
Sample filled-in Written Opinion (ISA/237)	250

PREFACE

This document has been prepared by the International Bureau of the World Intellectual Property Organization (WIPO), Geneva, Switzerland, as a support material for seminars on the Patent Cooperation Treaty (PCT).

The following words and expressions used throughout the document should be understood as follows:

Administrative Instructions	–	the Administrative Instructions under the PCT
Article	–	an Article of the PCT
Chapter I	–	Chapter I of the PCT
Chapter II	–	Chapter II of the PCT
Contracting State	–	a State party to the PCT
Regulations	–	the Regulations under the PCT
Rule	–	a Rule of the Regulations under the PCT
Section	–	a Section of the Administrative Instructions under the PCT

References to “national” Office or national fees, national phase, national processing, etc., should be understood to include “regional” Office (e.g., the EPO), etc.

The following abbreviations should be understood as meaning:

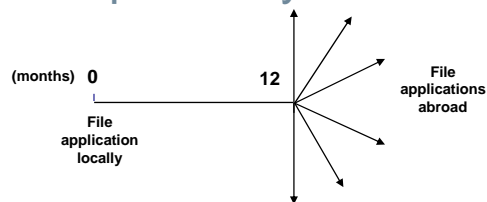
ARIPO	–	African Regional Intellectual Property Organization
DAS	–	Digital Access Service for Priority Documents
DO	–	Designated Office
EAPC	–	Eurasian Patent Convention
EAPO	–	Eurasian Patent Office
EO	–	Elected Office
EPC	–	European Patent Convention
EPO	–	European Patent Office/European Patent Organisation
Euro-PCT	–	a Euro-PCT application is an international application containing the designation “EP” irrespective of the receiving Office with which it was filed
IB	–	International Bureau (of the World Intellectual Property Organization)
IPE	–	International Preliminary Examination
IPEA	–	International Preliminary Examining Authority
IPRP (Chapter I)	–	International Preliminary Report on Patentability (Chapter I of the PCT)
IPRP (Chapter II)	–	International Preliminary Report on Patentability (Chapter II of the PCT)
ISA	–	International Searching Authority
ISR	–	International Search Report
OAPI	–	African Intellectual Property Organization
RO	–	Receiving Office
SIS	–	Supplementary International Search
SISA	–	Supplementary International Searching Authority
SISR	–	Supplementary International Search Report
WIPO	–	World Intellectual Property Organization
WO of ISA	–	Written Opinion of the International Searching Authority
WTO	–	World Trade Organization

This document is 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 this document and those requirements, the latter are applicable.



Introduction to the PCT System

Traditional patent systems



- Local patent application followed within 12 months by multiple foreign applications claiming priority under Paris Convention:
 - ☐ multiple formality requirements
 - ☐ multiple searches
 - ☐ multiple publications
 - ☐ multiple examinations and prosecutions of applications
 - ☐ translations and national fees required at 12 months
- Some rationalization because of regional arrangements: ARIPO, EAPO, EPO, OAPI



PCT system

Local patent application followed within 12 months by international application under the PCT, claiming Paris Convention priority, with “national phase” commencing at 30 months*:

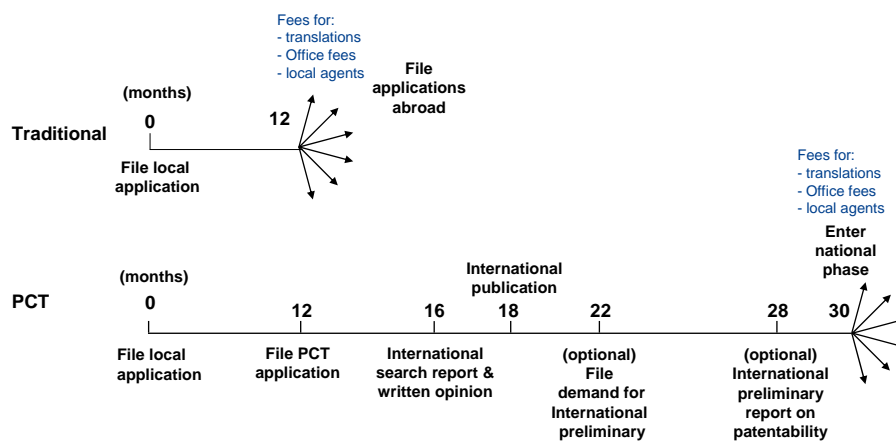
- ☐ one set of formality requirements
- ☐ international search
- ☐ international publication
- ☐ international preliminary examination
- ☐ international application can be put in order before national phase
- ☐ translations and national fees required at 30 months*, and only if applicant wishes to proceed

* For exceptions, see http://www.wipo.int/pct/en/texts/reservations/res_incomp.html

Intro-3
11.09.12

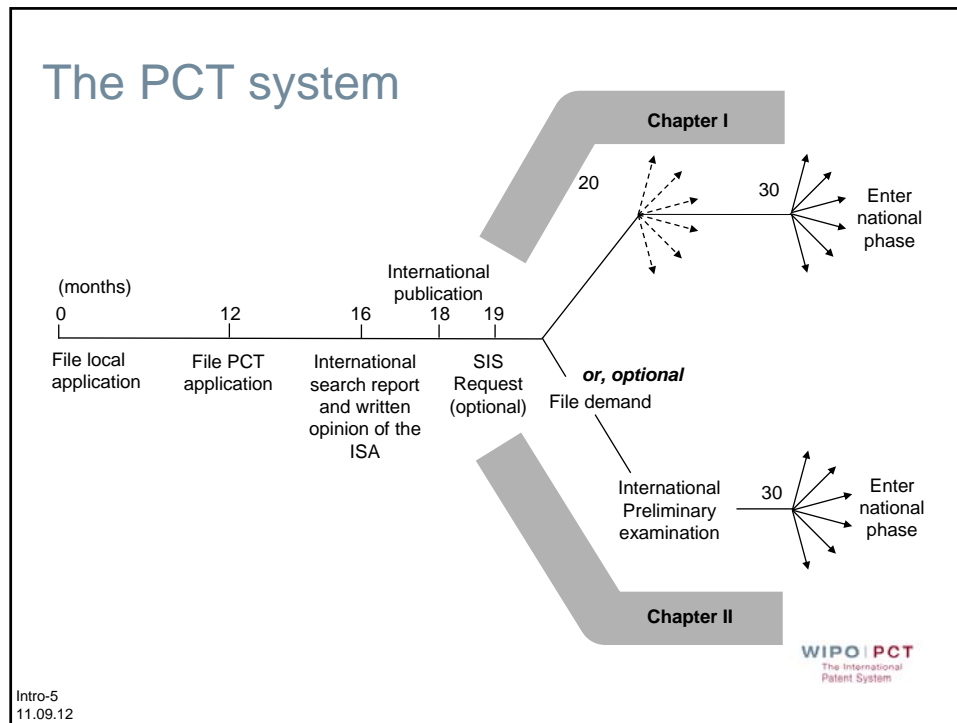
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Traditional patent system vs. PCT system



Intro-4
11.09.12

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General remarks on the PCT system (1)

- The PCT system is a patent “filing” system, not a patent “granting” system. There is no “PCT patent”
- The PCT system provides for
 - an international phase comprising:
 - filing of the international application
 - international search and written opinion of the ISA
 - international publication and
 - international preliminary examination
 - a national/regional phase before designated Offices
- The decision on granting patents is taken exclusively by national or regional Offices in the national phase

General remarks on the PCT system (2)

- Only inventions may be protected via the PCT by applying for patents, utility models and similar titles.
- Design and trademark protection cannot be obtained via the PCT. There are separate international conventions dealing with these types of industrial property protection (the Hague Agreement and the Madrid Agreement and Protocol, respectively).
- The PCT is administered by WIPO as are other international treaties in the field of industrial property, such as the Paris Convention.

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Intro-7
11.09.12

PCT Contracting States (146)

States designated for regional protection and also, unless otherwise indicated, national protection

EA Eurasian Patent

AM Armenia
AZ Azerbaijan
BY Belarus
KG Kyrgyzstan
KZ Kazakhstan
RU Russian Federation
TJ Tajikistan
TM Turkmenistan

EP European Patent

AL Albania¹
AT Austria
* BE Belgium
BG Bulgaria
CH Switzerland
* CY Cyprus
CZ Czech Republic
DE Germany
DK Denmark
EE Estonia
ES Spain
FI Finland
* FR France
GB United Kingdom
* GR Greece
HR Croatia¹
HU Hungary
* IE Ireland
IS Iceland
* IT Italy

LI Liechtenstein
LT Lithuania
LU Luxembourg
* LV Latvia
* MC Monaco
MK The former Yugoslav
Republic of Macedonia¹
* MT Malta
* NL Netherlands
NO Norway
PL Poland
PT Portugal
RO Romania
RS Serbia¹
SE Sweden
* SI Slovenia
SK Slovakia
SM San Marino
TR Turkey

* Regional patent only

1 Extension agreement continues to apply to applications filed before 1 January 2008 (for HR), 1 January 2009 (for MK), 1 May 2010 (for AL) or 1 October 2010 (for RS)

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Intro-8
11.09.12

PCT Contracting States (146) (continued)

States designated for regional protection and also, unless otherwise indicated, national protection

AP ARIPO Patent

BW	Botswana
GH	Ghana
GM	Gambia
KE	Kenya
LR	Liberia
LS	Lesotho
MW	Malawi
MZ	Mozambique
NA	Namibia
RW	Rwanda (from 24.09.2011)
SD	Sudan
SL	Sierra Leone
* SZ	Swaziland
TZ	United Republic of Tanzania
UG	Uganda
ZM	Zambia
ZW	Zimbabwe

OA OAPI Patent

* BF	Burkina Faso
* BJ	Benin
* CF	Central African Republic
* CG	Congo
* CI	Côte d'Ivoire
* CM	Cameroon
* GA	Gabon
* GN	Guinea
* GQ	Equatorial Guinea
* GW	Guinea-Bissau
* ML	Mali
* MR	Mauritania
* NE	Niger
* SN	Senegal
* TD	Chad
* TG	Togo

* Regional patent only

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Intro-9
11.09.12

PCT Contracting States (146) (continued)

States designated for national protection only except where otherwise indicated

AE	United Arab Emirates	HN	Honduras	NZ	New Zealand
AG	Antigua and Barbuda	ID	Indonesia	OM	Oman
AO	Angola	IL	Israel	PA	Panama
AU	Australia	IN	India	PE	Peru
* BA	Bosnia and Herzegovina	JP	Japan	PG	Papua New Guinea
BB	Barbados	KM	Union of the Comoros	PH	Philippines
BH	Bahrain	KN	Saint Kitts and Nevis	QA	Qatar
BN	Brunei Darussalam	KP	Democratic People's Republic of Korea	SC	Seychelles
BR	Brazil	KR	Republic of Korea	SG	Singapore
BZ	Belize	LA	Lao People's Democratic Republic	ST	Sao Tome and Principe
CA	Canada	LC	Saint Lucia	SV	El Salvador
CL	Chile	LK	Sri Lanka	SY	Syrian Arab Republic
CN	China	LY	Libya	TH	Thailand
CO	Colombia	MA	Morocco	TN	Tunisia
CR	Costa Rica	MD	Republic of Moldova	TT	Trinidad and Tobago
CU	Cuba	* ME	Montenegro	UA	Ukraine
DM	Dominica	MG	Madagascar	US	United States of America
DO	Dominican Republic	MN	Mongolia	UZ	Uzbekistan
DZ	Algeria	MX	Mexico	VC	Saint Vincent and the Grenadines
EC	Ecuador	MY	Malaysia	VN	Viet Nam
EG	Egypt	NG	Nigeria	ZA	South Africa
GD	Grenada	NI	Nicaragua		
GE	Georgia				
GT	Guatemala				

* Extension of European patent possible

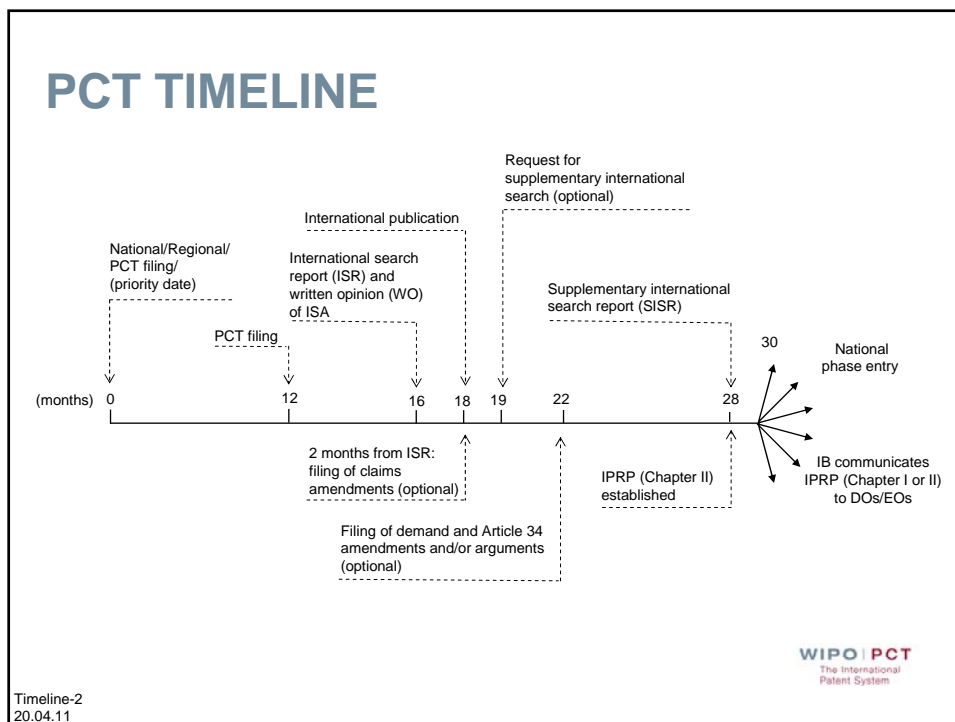
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Countries not yet PCT Contracting States (47)

Afghanistan	Haiti	Palau
Andorra	Iran (Islamic Republic of)	Paraguay
Argentina	Iraq	Samoa
Bahamas	Jamaica	Saudi Arabia
Bangladesh	Jordan	Solomon Islands
Bhutan	Kiribati	Somalia
Bolivia	Kuwait	South Sudan
Burundi	Lebanon	Suriname
Cambodia	Maldives	Timor-Leste
Cape Verde	Marshall Islands	Tonga
Democratic Republic of Congo	Mauritius	Tuvalu
Djibouti	Micronesia	Uruguay
Eritrea	Myanmar	Vanuatu
Ethiopia	Nauru	Venezuela
Fiji	Nepal	Yemen
Guyana	Pakistan	

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Non-applicability of time limit of 30 months under Article 22(1)

- The Offices of the following States have notified the International Bureau that they will not apply the 30 month time limit under Chapter I, as of 1 April 2002, for as long as modified Article 22(1) is not compatible with their national law:

LU	Luxembourg
TZ	United Republic of Tanzania
UG	Uganda

- Where one of these States has been designated for the purposes of a regional patent, the applicable time limit is 31 months
- If no demand for international preliminary examination is filed before the expiration of 19 months in respect of above States, the national phase will have to be entered before the expiration of 20 or 21 months from the priority date

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Basics of the PCT

- The international application
- The international filing date
- The applicant
- Competent RO and ISA

The international application

- Only one application filed, containing, by default, the designation of all States (for every kind of protection available) and usual priority claim(s)
- Has the effect of a regular national filing (including establishment of a priority date) in each designated State: the international filing date is the filing date in each designated State
- Filed in one language
- Filed with one office
- One set of formality requirements
- Delays national processing until 30 months from the priority date (for exceptions, see www.wipo.int/pct/en/texts/reservations/res_incomp.html)



Minimum requirements for an international filing date (Article 11(1)) (1)

- The application must contain at least:
 - ☐ an indication that it is intended as an international application
 - ☐ a request which has the effect of making all possible designations (Article 4 and Rules 3 and 4.9)
 - ☐ the name of the applicant (Rule 4.5)
 - ☐ a description (Rule 5)
 - ☐ a claim (Rule 6)

Minimum requirements for an international filing date (Article 11(1)) (2)

- Note that if:
 - ☐ none of the applicants have the right to file with the receiving Office for reasons of residence or nationality (Rules 18 and 19); or
 - ☐ the application is filed in a language not accepted by the receiving Office for that purpose (Rule 12.1),
 the receiving Office will transmit the application to the receiving Office of the International Bureau for further processing (Rule 19.4)

Not required for obtaining an international filing date

- payment of fees
- applicant's signature
- title of the invention
- abstract
- drawings (for missing drawings, see Article 14(2) and Rule 20.5)
- translation into language of search or publication

The PCT applicant (Article 9 and Rule 18)

- The applicant may be a natural person (e.g. the inventor) or a legal entity (e.g. company, university, NGO) (also for the US since 16 September 2012)
- It is possible to indicate different applicants for different designated States (Rule 4.5(d))
- At least one of the applicants must be a national or resident of a PCT Contracting State (Rule 18.3)

Where to file the international application (Rule 19)

- with a national Office
- with the International Bureau of WIPO, or
- with a regional Office

For details, see PCT Applicant's Guide, International Phase, General Information, Annexes B1 and B2

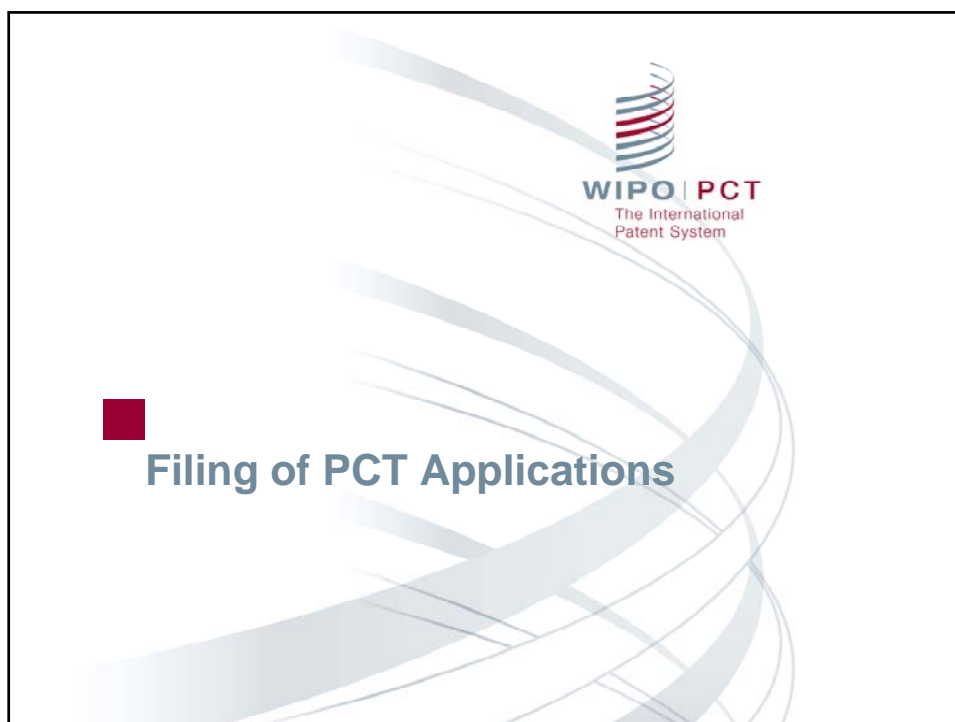
Choice of receiving Office

Considerations:

- Accepted filing languages
- Choice of International Searching Authorities
- Criteria for restoration of the priority right and fee to be paid
- Possibility to incorporate by reference
- Acceptance of pre-conversion files

Which ISA(s) is (are) competent (Rule 35)

- The competent ISA(s) is (are) specified by the RO
- If more than one is specified by the RO, the applicant has the choice:
 - in making that choice, the applicant must take into account the language(s) accepted by the ISA (a translation of the international application for the purposes of international search may be required in certain cases (Rule 12.3))
- If the international application is filed with RO/IB, the competent ISAs will be those which would have been competent if the international application had been filed with (any of) the national or regional Office(s) which, on the basis of applicant's nationality or residence, could be a competent RO
- Choice of ISA to be indicated in the request (Box No. VII)



Elements making up the international application

- Request (Article 3(2))
- description (Article 3(2))
- one or more claims (Article 3(2))
- abstract (may be filed later without affecting the international filing date) (Articles 3(2) and 3(3))
- drawings (where applicable) — later submission may, subject to certain conditions, result in a later international filing date (Articles 3(2) and 14(2))
- sequence listing part of description (where applicable) (Rule 5.2(a))
- indications containing references to deposited microorganisms or other biological material (some designated Offices (e.g. Japan) require that they be in the description or in the international application on the international filing date) (Rule 13*bis*)

Elements which may accompany the international application

- translation of the international application for the purposes of international search or international publication — may be furnished later without affecting the international filing date (Rules 12.3 and 12.4)
- separate power of attorney or copy of general power of attorney — may be filed later without affecting the international filing date (Rules 90.4 and 90.5)
- priority document(s) — may be furnished until the date of international publication (Rule 17.1)
- sequence listing in electronic form complying with the Standard set out in Annex C of the Administrative Instructions—may be furnished later directly to the ISA without affecting the international filing date but subject to a late furnishing fee (Rule 13*ter*)
- separate indications concerning deposited biological material that are not part of the international application, for ex., Form PCT/RO/134 (Rule 13*bis*)

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The request

- Printed request form (Form PCT/RO/101)
 - ☐ periodically updated
 - ☐ available on Internet (<http://www.wipo.int/pct/en/forms>)
 - ☐ may be obtained free of charge from the receiving Office or the International Bureau
- Computer-generated request (Rules 3.1 and 3.4, Section 102(h))
 - ☐ layout and contents must correspond to those of the printed form (no boxes may be omitted)
 - ☐ slight adjustments are permitted
 - ☐ any text printed in italics may be omitted
- PCT-SAFE (EASY mode) request (Rule 89*ter* and Section 102*bis*)
- Electronic filing of the international application in accordance with Part 7 and Annex F of the Administrative Instructions with ROs which accept the filing of international applications in electronic form

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Filing-4
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Concept and operation of designation system (Rule 4.9)

- Automatic and all-inclusive designation of all PCT Contracting States
 - exceptions to the all-inclusive designation possible for DE, JP and KR (countries with particular rules on “self-designation”)
 - but only if the international application contains a priority claim to an earlier application filed in the State that is to be excluded
 - otherwise withdrawals of designations possible
- Choice of types of protection postponed until national phase entry (e.g. patent or utility model, national or regional patent)
- “Parent” information (continuation applications, patents of addition) may be included in PCT request form for search purposes

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Filing-5
08.10.12

Signature of the request (1) (Rules 4.15, 26.2bis(a))

- In principle, the request must be signed by all persons (legal entity or natural persons) indicated as “applicant” or “applicant and inventor”

BUT: if only one of the applicants signs, the lack of signature of the other applicants will not be considered a defect

WARNING: Any notice of withdrawal would have to be signed by or on behalf of all applicants (including applicant/inventors)

NOTE: DOs are entitled to require confirmation of the international application by the signature of any applicant for the DO who has not signed the request

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Filing-6
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Signature of the request (2) (Rules 4.15, 26.2*bis*(a))

- Signature by a person not named as applicant
(FOR---ON BEHALF OF---AS AUTHORIZED SIGNATORY OF)
depends on national law applied by receiving Office:
 - ☐ either an officer or employee of a legal entity (an officer or employee who does not have to be a patent attorney or patent agent)
 - ☐ or a legal representative, if the applicant is a natural person who is incapacitated
 - ☐ or a legal representative, if the applicant is a bankrupt company
- A person indicated as “inventor only” need not sign the request

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Filing-7
08.10.12

Signature of the request (3) (Rules 4.15, 26.2*bis*(a))

- If the request is not signed by the applicant(s) but by an agent, a separate power of attorney signed by all the applicant(s) must be filed (either original individual power or copy of general power)
- BUT: if only a power of attorney signed by one applicant is filed, the lack of powers of attorney signed by the other applicants will not be considered a defect
- NOTE: ROs may waive requirement that a separate power or a copy of a general power of attorney must be submitted

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Filing-8
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Physical requirements of the international application (Rule 11) (1)

- A4 size paper for all the sheets (Rule 11.5)
- Line spacing: 1 1/2 for pages of text in description, claims and abstract (Rule 11.9(c))
- Minimum and maximum margins for the sheets of text and drawings (Rule 11.6)
- Indication of the applicant's or agent's file reference (Rule 11.6(f) and Section 109)
 - 12 characters maximum
 - in the upper left-hand corner of the sheet
 - within 1.5 cm of the top of the sheet

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Filing-9
08.10.12

Physical requirements of the international application (Rule 11) (2)

- Numbering of the sheets (Rule 11.7, Sections 207 and 311)
 - centered at the top or bottom of the sheets, not in the margin
 - 4 series: request
description, claims, abstract
drawings (if any)
sequence listing part of the description (if any)
- Special requirements for drawings (Rule 11.13)

Recommendation: no text matter in the drawings (avoids problems with translations for national phase)

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Filing-10
08.10.12

Headings of the parts of the description (Rule 5 and Section 204 of the Administrative Instructions)

- Technical Field
- Background Art
- Disclosure of Invention *or* Summary of Invention
- Brief Description of Drawings
- Best Mode for Carrying Out the Invention *or, where appropriate, Mode(s) for Carrying Out the Invention*
- Industrial Applicability
- Sequence Listing
- Sequence Listing Free Text

Filing-11
08.10.12

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Declarations under Rule 4.17

- Purpose: possibility to anticipate certain national phase requirements during the international phase (Rule 51 *bis*.2)
- Inclusion in request or subsequent filing is optional
- Declarations relate to the following matters (Rule 4.17):
 - ☐ identity of the inventor
 - ☐ applicant's entitlement to apply for and be granted a patent
 - ☐ applicant's entitlement to claim priority of an earlier application
 - ☐ declaration as to inventorship (for the US designation only)
 - ☐ non-prejudicial disclosures or exceptions to lack of novelty

Formal requirements

- Declarations have to use standardized wording as prescribed in Sections 211 to 215 of the Administrative Instructions
- Where a declaration has been furnished, no documents or evidence as to that matter may be required by the designated/elected Office
 - unless that Office may reasonably doubt the veracity of the declaration; and/or
 - evidence concerning non-prejudicial disclosures or exceptions to lack of novelty may be required

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Declaration-3
04.02.13

Declaration of inventorship (Rule 4.17(iv)) (only for US designation)

- New standardized wording since 16 September 2012 (see Section 214 of the AIs)
- All inventors need to be named in the same declaration
- Declaration must be signed and dated by all inventors
- Signatures may appear on different copies of the same complete declaration
- Signature does not have to be an original (fax copy)
- DO/US accepts a seal as signature when the international application is filed with receiving Offices which accept seals as signatures

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Declaration-4
04.02.13

Addition/correction of declarations (Rule 26^{ter})

- Applicants may correct or add any of the declarations filed under Rule 4.17
- Time limit: until the expiration of 16 months from the priority date (or even later, provided that the declaration is received by the International Bureau before the technical preparations for international publication have been completed)
- The receiving Office or International Bureau may invite the applicant to correct any declaration that is not worded as required or, in the case of the declaration of inventorship (Rule 4.17(iv)), is not signed as required

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Declaration-5
04.02.13

Publication of declarations

- Declarations received within the applicable time limit will be mentioned on the front page of the published international application
- The full text of the declarations will be published as part of the international application

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Declaration-6
04.02.13

Declarations referred to under Rule 4.17: Additional issues

- National forms should not be used for declarations in the international phase (for instance, a combined declaration of inventorship/ power of attorney) since they do not use the standardized wording
- When a declaration is furnished after the international filing date, no further page fee would be required
- If a defective declaration is not corrected during the international phase:
 - does not affect the processing of the declaration by the International Bureau
 - DOs/EOs may accept defective declaration
- No provision for the withdrawal of declarations

Declaration-7
04.02.13

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PCT-SAFE (Secure Applications Filed Electronically)

- Allows for preparation and submission of entire PCT international application in electronic format
- Provides safety, confidence, convenience, efficiency, wide accessibility and simplicity to PCT E-filing
- Based on agreed standards, interoperable with other user software, means for preparing an international application once and the ability to file it anywhere
- Facilitates communications and data exchange between Offices (long term)

Facts and Figures

- PCT-SAFE fully electronic filing possible with RO/IB since 2004
- PCT-EASY type filings accepted by 79 receiving Offices
- Fully electronic filings currently accepted by almost 30 receiving Offices
- Fully electronic and PCT-EASY type filings accounted for over 90% of all PCT filings in 2012
- At RO/IB (2012):
Fully electronic filings 80%, PCT-EASY type filings 3%,
paper only filings 17%



PCT-SAFE-3
11.02.13

PCT-SAFE: two options

- Fully electronic filing of application:
 - entire application in electronic form (image or character-coded), electronically signed
 - transmitted via secure internet connection or on physical media
- Preparing request in “PCT-EASY mode”
 - entire application in paper form (legal copy) including the PCT-EASY request form printout
 - plus physical medium with electronic request form and abstract data



PCT-SAFE-4
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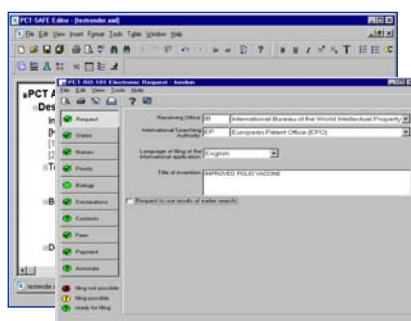
PCT-SAFE: fee reductions

- “PCT-EASY” type of filing (on paper + request and abstract on physical medium)
CHF 100 (EUR 83 or USD 107 or equivalent amount)
- Fully electronic type of filing with application body in image format (for example PDF, TIFF attachments) and only the request in character coded format (XML)
CHF 200 (EUR 165 or USD 213 or equivalent amount)
- Fully electronic type of filing with application body and request in character coded format (XML)
CHF 300 (EUR 248 or USD 320 or equivalent amount)

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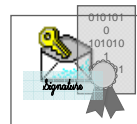
PCT-SAFE-5
11.02.13

PCT-SAFE: Overview



1. Prepare application body:
PDF or XML

2. Prepare Request: PCT-SAFE
Client software



3. Electronically
sign: WIPO
Customer
certificate or
other

4. Transmit (on-line
or on CD-R)



5. Receive a
receipt (on-line)



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11.02.13

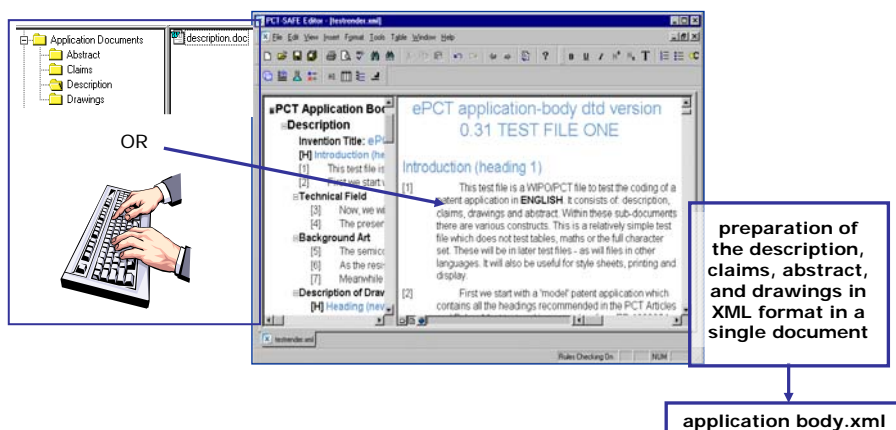
PCT-SAFE: E-filing components

- XML Authoring Tool (e.g. PCT-SAFE Editor)
 - used to create application body (description, claims, abstract, drawings) in XML format
- PCT-SAFE Client
 - used to create PCT request form, attach application documents, electronically sign application, package and transmit to RO
- PKI Services (“Public Key Infrastructure”)
 - technical standard for digital signatures and security for electronic data
- PCT-SAFE receiving Server
 - serves receiving Office to receive electronically filed PCT applications

PCT-SAFE-7
11.02.13

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XML Authoring Tool (e.g. PCT-SAFE Editor)



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11.02.13

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Type of filing: Fully electronic

PCT-RD-101 Electronic Request

File Edit View Tools Help

Type of filing: ☐ PCT-EASY ☒ Fully electronic ☐ Single specification file

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)		4		✓
Description				✗
Claims				✗
Abstract				✗
Drawings				✗

Application body

Open

Calculate total: pages

International Application **Accompanying Items**

In total: 2 documents 0 files

Request (including declaration sheets)

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PCT-SAFE-9
11.02.13

Attaching the application body (image format - single specification pdf)

PCT-RD-101 Electronic Request - singlespec

File Edit View Tools Help

Type of filing: ☐ PCT-EASY ☒ Fully electronic ☐ Single specification file

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)		4		✓
Specification		40	specification.pdf	✓
Drawings				✗
Application body		40	applicationbody.pdf	✓

Calculate total: 44 pages

Content Details

Request including declaration sheets

Specification

Drawings

Application body

For calculation sheet

Electronic File

specification.pdf

Status: Attached As: "specification.pdf"

The Specification contains: pages

Description from page 1 to 40 pages

Claims from page 41 to 40 pages

Abstract from page 41 to 40 pages

In total: 40 pages

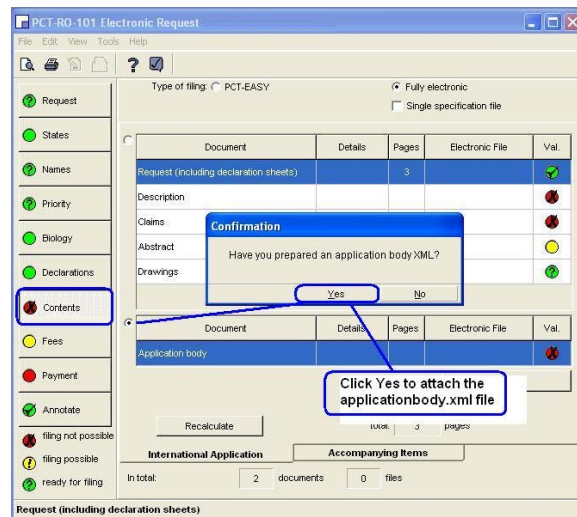
Abstract is not included

OK Cancel

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PCT-SAFE-10
11.02.13

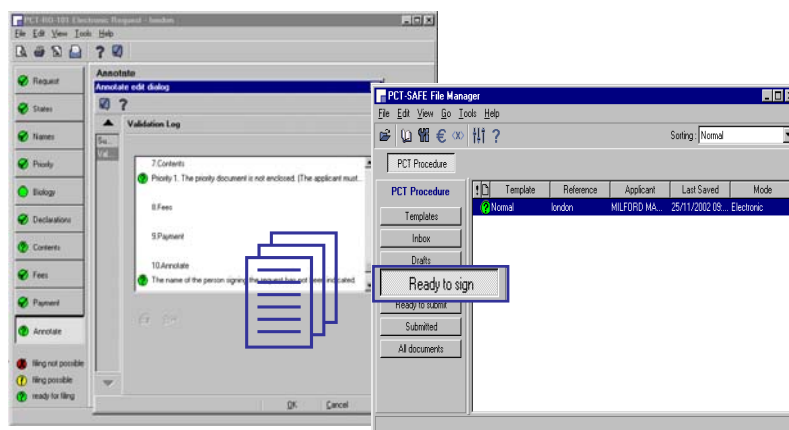
Attaching the application body (character-coded format)



PCT-SAFE-11
11.02.13

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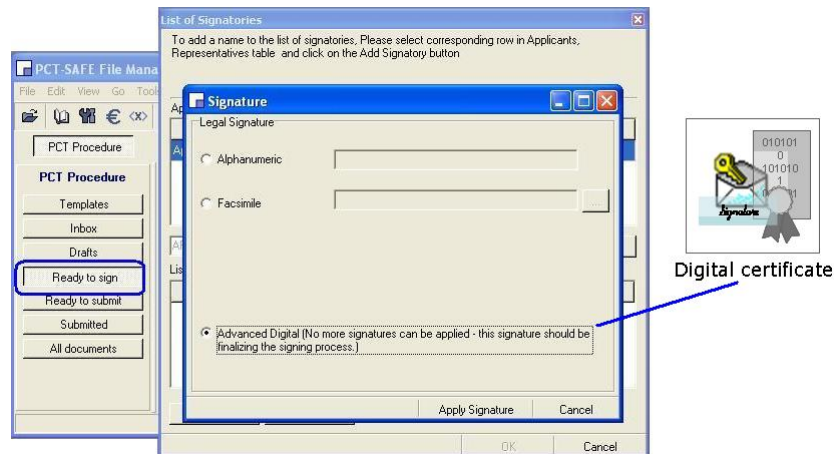
Save as 'Ready to Sign'



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11.02.13

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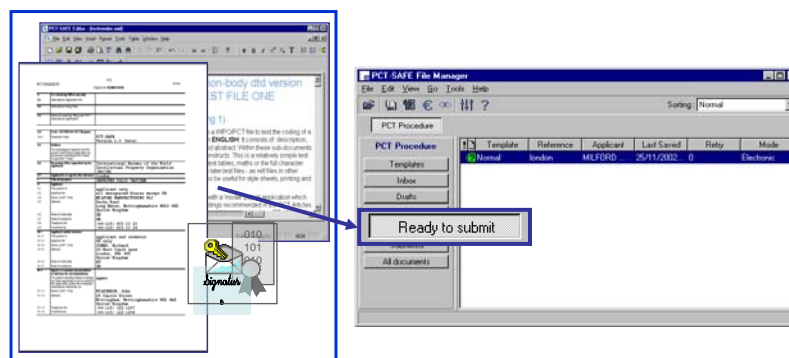
Signing the application



PCT-SAFE-13
11.02.13

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Ready to submit



PCT-SAFE-14
11.02.13

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Accepted file formats

- Image format: pdf, jpeg, tiff
- Character coded format: xml
- For the formats accepted by a particular receiving Office, see
www.wipo.int/pct-safe/en/support/notifications/efiling/efiling.pdf
- If accepted by the receiving Office, applicants are encouraged to attach their pre-conversion files (documents used to create the image/xml documents)

PCT-SAFE: Benefits (1)

- Instant confirmation of filing when submitted online
- Reduced filing costs (printing, copying and mailing)
- Reduced filing fees
- Reduction in amount of paper used
- PCT-SAFE products available free of charge

PCT-SAFE: Benefits (2)

- XML format for application documents renders data more searchable and re-usable
- Digital certificates, required for fulfilling the signature requirement, are available from WIPO free of charge
- Existing certificates accepted by receiving Offices can be used



PCT-SAFE-17
11.02.13

“PCT-EASY Mode”

Definition:

Portion of PCT-SAFE software for preparing electronic request form and abstract data on physical medium (such as diskettes, CD-R, DVD-R, depending on the RO concerned*) and printing paper request form

Purpose:

Assist applicants to prepare PCT request forms & check for errors

International Bureau receives validated bibliographic data and abstract in electronic format

* For further information, see Annex C of the *PCT Applicant's Guide* for each RO concerned



PCT-SAFE-18
11.02.13

“PCT-EASY Mode”: Features

- Validate request form data
- Print computer-generated request form including the fee calculation sheet
- Copy zip file containing request form, fee calculation sheet and abstract on a physical medium for submission with paper filing
- Generate and print PCT power of attorney
- Generate and print Form PCT/RO/134 for deposited microorganisms or other biological material



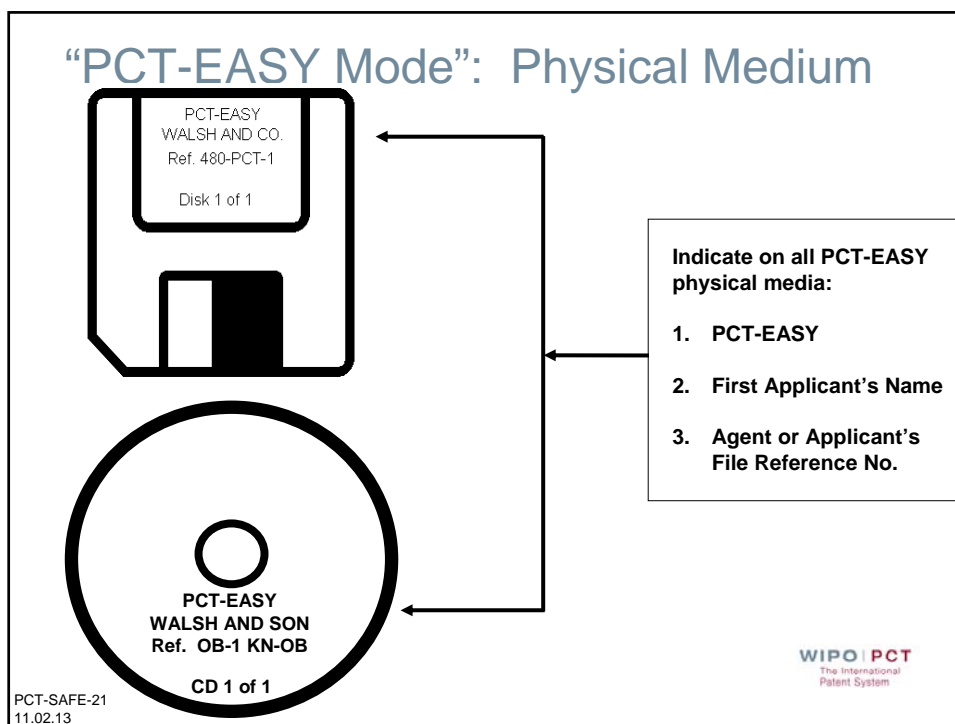
PCT-SAFE-19
11.02.13

“PCT-EASY Mode”: How to use

- If PCT-EASY mode used, the international application should have the following:
 - paper print-out of completed PCT-EASY request form
 - physical medium containing completed request form, fee calculation sheet and abstract
 - paper copy of remainder of international application (description, claims, abstract and drawings)
- The international application must be filed with a receiving Office prepared to accept requests in PCT-EASY format together with PCT-EASY physical media (see *PCT Applicant's Guide*, Annex C)



PCT-SAFE-20
11.02.13



Correction of “PCT-EASY Mode” Request form printout

- Correction stated in a letter
 - ❑ without a replacement print-out of the request form printout:
only if the correction can be transferred from the letter to the record copy without affecting clarity and direct reproducibility
 - ❑ with replacement of request form printout:
if transfer of the correction is not possible;
the letter draws attention to differences between the replaced printout and the replacement printout
- No replacement physical medium should be submitted when correcting the request form printout; any replacement physical medium will not be processed by the receiving Office

“Notebook” Structure

(same in fully electronic & “PCT-EASY mode”)

PCT-SAFE-23
11.02.13

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“Notebook” Page Contents








- **Request:** receiving Office, International Searching Authority, language used, title of invention and earlier search
- **States:** optionally exclude DE, JP or KR from automatic designation
- **Names:** details concerning applicants, inventors, agents, common representative, etc., create power of attorney
- **Priority:** priority claim details
- **Biology:** details on biological material/sequence listings
- **Declarations:** make declarations referred to in Rule 4.17
- **Contents:** number of pages and identify attached documents
- **Fees:** calculate prescribed fees
- **Payment:** choose mode of payment
- **Annotate:** indicate/view supplemental information (e.g. validation log, remarks and signatories)

PCT-SAFE-24
11.02.13

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Validation function (automatic formality check)

“Traffic lights” assist in completing request form data:

-  Missing indications mandatory for according an international filing date
-  Incomplete or erroneous indications also mandatory for the according of international filing date or other obvious error
-  Missing indications, the omission of which could prompt further communication from the RO (for example, invitation to correct defects)
-  Incomplete or erroneous indications which could prompt further communication from the RO
-  No indication required, but applicant should evaluate the need to make such indications
-  A reminder questioning the need for indications or verification
-  The indications appear to be in order

How to obtain software

- PCT-SAFE Client
 - ☐ download from the PCT-SAFE web site
 - ☐ CD installation from Help Desk
- WIPO CA digital certificate
 - ☐ obtain through the PCT-SAFE web site
- Cost
 - ☐ free of charge
- Supporting documentation
 - ☐ user guides and e-tutorials available on web site and installation CD

Further information

PCT e-Services Help Desk
World Intellectual Property Organization
Chemin des Colombettes 34
CH-1211 Geneva 20, Switzerland

Tel: (+41-22) 338 95 23
Fax: (+41-22) 338 80 40
E-mail: epct@wipo.int
Internet: <http://www.wipo.int/pct-safe>

Telephone opening hours are Monday to Friday from 9.00 a.m.
to 6.00 p.m.





Agents (Rule 90)

■ Who can act as agent?

- ☐ any person (attorney, patent agent, etc.) who has the right to practice before the RO can act as agent and automatically has the right to practice before the IB, the ISA and the IPEA (Article 49);
- ☐ an agent who has the right to practice before the ISA and/or IPEA can be appointed specifically for the purposes of the procedure before that ISA or IPEA (Rule 90.1(b) and (c));
- ☐ sub-agents may be appointed by agents (Rule 90.1(d)).

■ What is a common agent?

- ☐ an agent appointed by all the applicants

Common representatives (Rule 90)

■ Who can act as common representative?

- one of the applicants, who is entitled to file an international application (i.e., who is a resident or national of a PCT Contracting State), may be appointed by all the other applicants, or
- where neither a common agent nor a common representative has been appointed, the first named applicant in the request who is entitled to file an international application with the RO with which the international application was filed is automatically “deemed” to be common representative.

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Agents-3
19.04.11

Agents and common representatives (Rule 90)

- ### ■ Any act by or in relation to a common agent or a common representative has the effect of an act by or in relation to all the applicants, except for:
- a withdrawal made by a “deemed” common representative (Rules 90.3(c) and 90*bis*.5(a)); and,
 - where an RO does not require that powers of attorney have to be submitted (Rules 90.4 and 90.5), a withdrawal made by an agent or common representative who has not submitted powers signed by all applicants (Rule 90*bis*.5(a))

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Agents-4
19.04.11

Appointment of agents and common representatives (Rules 90.4 to 90.6)

- Agents and common representatives may be appointed in any of the following ways:
 - in the request or, under Chapter II, in the demand;
 - in a separate power of attorney relating to a given international application;
 - in a general power of attorney relating to all international applications filed in the name of the applicant.
- General powers of attorney are to be filed with the RO or, where applicable, with the ISA or IPEA.
- For provisions on revocation of appointment of agents and renunciation by an agent of his appointment, see Rule 90.6.

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Agents-5
19.04.11

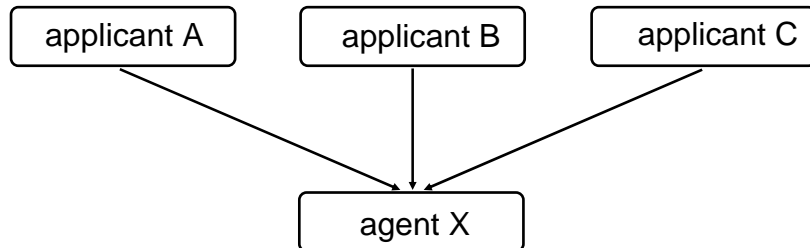
Waiver of requirement that a power of attorney be furnished (Rules 90.4(d) and 90.5(c))

- RO, ISA, IPEA and IB may waive the requirement that:
 - a separate power of attorney; and/or
- RO, ISA and IPEA may waive the requirement that
 - a copy of a general power of attorney has to be furnished
- Any Office or Authority that has waived the requirement in general may nevertheless require that a power of attorney be furnished in particular instances
- For the table of Offices that made such a waiver, see www.wipo.int/pct/en/texts/pdf/p_a_waivers.pdf

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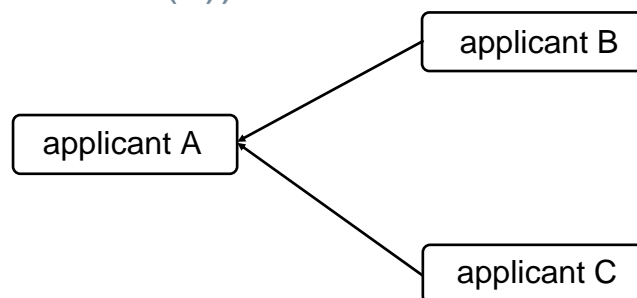
Agents-6
19.04.11

Common agent



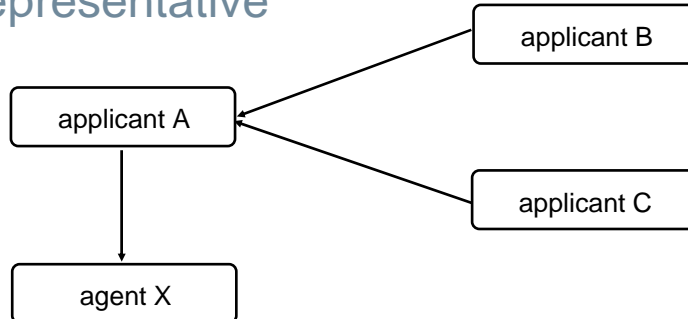
Agent X is a common agent if he has been appointed by all applicants

Appointed common representative (Rule 90.2(a))



- Applicants B and C appoint applicant A as their common representative.
- A may be so appointed only if national or resident of a PCT Contracting State.

Agent of the appointed common representative

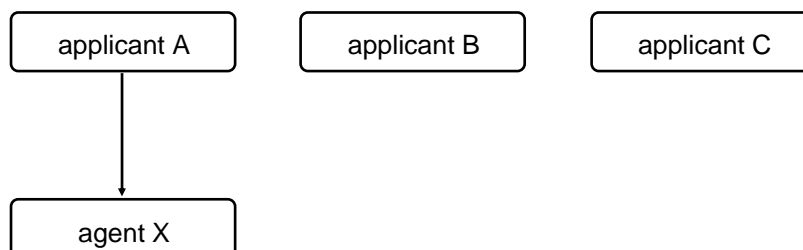


- Applicant A (e.g. corporate applicant), who has been appointed by the other applicants (e.g. applicants/inventors) as their common representative, appoints agent X.
- Agent X can, on behalf of the appointed common representative, sign all documents for all applicants including any withdrawal (Rule 90.3(c)), provided that where a PCT Authority has waived the requirement that powers of attorney have to be submitted, such powers are on file.

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Agents-9
19.04.11

“Deemed” common representative (Rule 90.2(b))



- There is no common agent and the applicants have not appointed a common representative. Consequently applicant A is the "deemed" common representative (i.e., the first applicant named in the Request, who has the right to file an international application with the receiving Office with which the international application was filed).
- Agent X, appointed only by applicant A, can sign all documents for all applicants except any withdrawal (Rules 90.3(c) and 90bis.5(a)).

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The International
Patent System

Agents-10
19.04.11



Priority Claims

- PCT requirements
- Priority documents
- Correction/Addition of priority claims
- Restoration of the right of priority

The right of priority (1) (Article 4 of the Paris Convention)

- Any filing of an application for a patent by an applicant in one member country, entitles that applicant (or his successor in title) to have certain rights when applying for patent protection in all other member countries within 12 months
- For prior art purposes, the later applications will be regarded as having been filed on the same date as the first application
- The right of priority can be based only on the first filed application on the subject matter (see Paris Convention Art.4C(4) for exception)



The right of priority (2) (Article 4 of the Paris Convention)

- Multiple and partial priorities may be claimed
- The later application must concern the same subject as the first application the priority of which is claimed
- Withdrawal, abandonment or rejection of the first application does not destroy its capacity to serve as a basis for priority

Priority date (PCT Article 2(xi))

- The priority date for the purposes of computing time limits means:
 - where the international application contains a priority claim, the filing date of the application whose priority is claimed
 - where the international application contains several priority claims, the filing date of the earliest application whose priority is claimed
 - where the international application does not contain any priority claim, the international filing date

Claiming priority (PCT Article 8, Rule 4.10)

- The international application may contain a declaration claiming the priority of one or more earlier applications
 - filed in or, by way of a regional or international application, for any country party to the Paris Convention and/or
 - filed in any Member of the World Trade Organization (WTO) that is not party to the Paris Convention

Contents of priority claims (Rule 4.10) (1)

- Earlier national application:
 - filing date
 - application number
 - country party to the Paris Convention or Member of WTO in which earlier application was filed
- Earlier regional application:
 - filing date
 - application number
 - authority entrusted with the granting of regional patents (in practice, the regional Office concerned)
 - where at least one country party to the regional patent treaty is neither party to the Paris Convention nor Member of WTO, at least one country party to that Convention or one Member of that Organization for which that earlier application was filed

Contents of priority claims (Rule 4.10) (2)

■ Earlier international application:

- ☐ international filing date
- ☐ international application number
- ☐ receiving Office with which the earlier international application was filed

Furnishing of priority documents (Rule 17.1)

- Where the priority of an earlier national, regional or international application is claimed, the applicant must provide a priority document for each corresponding earlier application (that is, a certified copy of the earlier application)
 - ☐ by furnishing such document directly to the receiving Office or the International Bureau (Rule 17.1(a)), or
 - ☐ by requesting the receiving Office to prepare such document and transmit it to the IB (Rule 17.1(b)), if the earlier application was filed with that Office, or
 - ☐ by requesting the IB to obtain the priority document from a digital library (Rule 17.1(b-bis)) (only for Offices participating in the Digital Access Service (DAS))

Digital Access Service for Priority Documents (DAS)

■ Legal Basis:

- PCT Rule 17.1(b-bis)
- Administrative Instructions 715 and 716

■ Applicants may request the IB to retrieve priority documents from digital libraries (may also be possible at some DOs)

■ Participating Offices: AU, CN, DK, ES, FI, GB, IB, JP, KR, SE, US

■ For detailed information on DAS, see: www.wipo.int/das/en



Priority-9
11.02.13

Retrieval of priority documents via DAS

■ Possibility to request the IB to retrieve a copy of the priority document of an earlier application, in electronic form, via DAS

■ The service is available for earlier national applications filed with AU, CN, DK, ES, FI, GB, JP, KR, SE and US and for earlier international applications filed with DK, FI, SE and RO/IB

■ The Office with which the earlier national application was filed is known as the Office of First Filing (OFF) or the Depositing Office

■ The Office that retrieves the document is known as the Office of Second Filing (OSF) or Accessing Office



Priority-10
11.02.13

Main steps for the use of DAS

- Request the OFF to make the earlier application available via DAS
- The OFF (or, in some cases, the IB on behalf of the OFF) provides the applicant with an access code
- File the PCT international application and request the IB to retrieve the priority document via DAS by checking the appropriate box on the request form and include the access code
- The IB retrieves the priority document via DAS and sends a confirmation of retrieval to the applicant by means of the form PCT/IB/304

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Priority-11
11.02.13

Requesting DAS p-doc retrieval

- Select the checkbox on the Priority details page for the corresponding priority claim and indicate the access code.

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Priority-12
11.02.13

Time limit for the furnishing of priority documents (Rule 17.1)

- Direct submission by the applicant to the RO:
 - ☐ within 16 months from the priority date
- Direct submission by the applicant to the IB:
 - ☐ before international publication
- Request to the RO to prepare and transmit the priority document to the IB:
 - ☐ within 16 months from the priority date
- Submission via DAS to IB:
 - ☐ The priority document must be made available to the IB via DAS and the request to the IB to retrieve the priority document must be made before international publication

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Priority-13
11.02.13

Correction/addition of priority claims

- What can be the problem?
 - ☐ missing priority claim
 - ☐ missing priority date
 - ☐ missing indications of the date, number or country of filing
 - ☐ filing date of earlier application more than 12 months before the international filing date
 - ☐ earlier filing not in a country party to the Paris Convention or a Member of WTO
- Applicable provisions:
 - ☐ Article 8
 - ☐ Rules 4.10, 26*bis*, 48.2(a)(vii) and 91

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The International
Patent System

Priority-14
11.02.13

Correction/addition of priority claims affecting the priority date (Rule 26*bis*) (1)

■ Cases concerned:

- ☐ adding a priority claim with an earlier filing date than any priority claim present in the application
- ☐ correction of the filing date of the earliest priority claim

Correction/addition of priority claims affecting the priority date (Rule 26*bis*) (2)

■ Applicable time limit:

- ☐ within 4 months from the international filing date; or
- ☐ possibly later, if the earlier of the following two time limits expires later than the 4-month time limit:
 - 16 months from the priority date before the correction or addition
 - 16 months from the priority date after the correction or addition
- ☐ any correction received before the RO or IB has declared the priority claim to be void and not later than one month after the expiration of the above time limit, will be considered as timely received (Rule 26*bis*.2(b))

NOTE: This does not apply to late additions of priority claims

Correction/addition of priority claims not affecting the priority date (Rule 26*bis*) (1)

■ Cases concerned:

- ☐ corrections which do not affect the filing date of the priority claim
- ☐ adding a priority claim with a later filing date than the earliest priority claim present in the application (e.g. second priority claim)
- ☐ corrections of the filing date of a priority claim which is not the earliest one

Correction/addition of priority claims not affecting the priority date (Rule 26*bis*) (2)

■ Applicable time limit:

☐ Rule 26*bis*.1(a):

- within 4 months from the international filing date; or
- within 16 months from the priority date, whichever time limit expires later
- any correction received before the RO or IB has declared the priority claim to be void and not later than one month after the expiration of the above time limit, will be considered as timely received (Rule 26*bis*.2(b))

NOTE: This does not apply to late additions of priority claims

- ☐ Rule 91: within 26 months from the priority date

Invitation to correct by RO or IB (1)

■ Forms:

- ☐ receiving Office: Form PCT/RO/110
- ☐ International Bureau: Form PCT/IB/316

■ Invitation (Rule 26*bis*.2(a)), is issued if:

- ☐ priority claim does not comply with requirements of Rule 4.10
- ☐ any indication in the priority claim is inconsistent with the corresponding indication appearing in the priority document
- ☐ International application has an international filing date outside the priority period

Invitation to correct by RO or IB (2)

- The RO will also draw the attention of the applicant to the possibility to request restoration of the priority right (Rule 26*bis*.3) if the international filing date is outside of the priority period but within a period of two months from the date of expiration of the priority period
- If the applicant does not correct the priority claim in response to the invitation, the priority claim concerned will be considered void, for the purposes of the procedure under the PCT (Rule 26*bis*.2(b))

Invitation to correct by RO or IB (3)

- However, a priority claim will not be considered void only because (Rule 26*bis*.2(c)) :
 - the indication of the number of the earlier application is missing; or
 - an indication in the priority claim is not the same as the corresponding indication appearing on the priority document; or
 - the international filing date is outside of the priority period but within a period of two months from the date of expiration of the priority period

Invitation to correct by RO or IB (4)

- The finding that the priority claim is considered void for the purposes of the procedure under the PCT, would not prevent any designated Office from recognizing such a priority claim for the purposes of the national phase if so permitted or required by national law
- Warning to third parties: different priority dates may apply in different designated States (Rules 26*bis*.2(d) and 48.2(a)(ix))

Publication related to priority claims (1)

- Information concerning a priority claim considered void or only not considered void because:

- ☐ the number was missing
- ☐ inconsistency with the indications on priority document
- ☐ the international filing date is outside of the priority period but with a period of two months from the date of expiration of the priority period

will be published by the International Bureau free of charge together with, where applicable, information furnished by the applicant concerning such priority claims

(Rule 26*bis*.2(d))

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Priority-23
11.02.13

Publication related to priority claims (2)

- Correction and addition of priority claims under Rule 26*bis*.1(a):

After the expiration of the applicable time limit to correct or add a priority claim, applicant may request the International Bureau (Rule 26*bis*.2(e)) to publish information concerning the priority claim concerned:

- ☐ within 30 months from priority date; and
- ☐ subject to the payment of a fee

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Priority-24
11.02.13

Restoration of the right of priority - Competent Authorities

- RO during the international phase
(Rule 26*bis*.3)
- DO during the national phase
(Rule 49*ter*.2)

Restoration of the right of priority Applicable criteria

- Applicable Rules: 26*bis*.3(a) and 49*ter*.2(a)
- Two possible criteria for restoration:
 - ☐ failure to file the application within the priority period occurred in spite of due care required by the circumstances having been taken
 - ☐ failure to file the application within the priority period was unintentional
- All Offices must apply at least one of these criteria and may apply both; designated Offices may also apply a more favorable criterion in accordance with their national law

Restoration by RO (Rule 26*bis*.3)

■ Conditions:

- ☐ request to restore must be filed with the RO
- ☐ time limit: within a period of 2 months from the date of the expiration of the priority period
- ☐ filing of statement of reasons for failure to comply with the time limit
- ☐ statement should preferably be accompanied by a declaration or other evidence to support such statement
- ☐ where applicable, payment of the required fee

Effects of refusal to restore by RO (Rule 26*bis*.3)

- Any priority claim to an earlier application filed less than 14 months before the international filing date
 - will not be declared void even if priority is not restored by the RO (Rule 26*bis*.2(c)(iii))
 - will serve as a basis to calculate time limits during the international phase
- The validity of such a priority claim in the national phase is not assured

Effects of restoration in the national phase (Rule 49ter.1)

- Effect of restoration by RO in the national phase:
 - ❑ RO restoration based on the “due care” criterion is effective in all DOs
 - ❑ RO restoration based on the “unintentional” criterion is effective in those DOs which apply that criterion (or a more lenient one)
 - ❑ RO restoration is not conclusively binding on DOs: limited review by DOs is possible
 - ❑ RO refusal to restore is not binding on DOs
- For declarations of incompatibility with the national law (reservations), see the WIPO website at: www.wipo.int/pct/en/texts/reservations/res_incomp.html

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Priority-29
11.02.13

Reservations made by Offices

The following Offices have notified the International Bureau of the incompatibility of Rule 26bis.3(a) to (i), Rule 49ter.1(a) to (d) and/or Rule 49ter.2(a) to (g) with their national/regional law:

- ❑ Incompatibility as RO (Rule 26bis.3(j)):

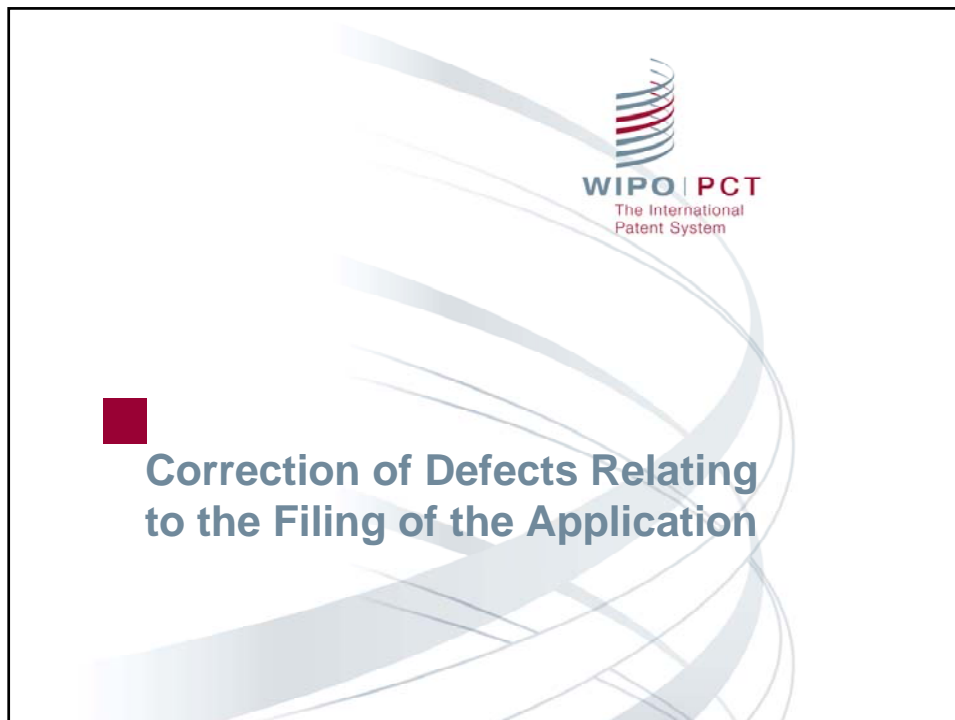
BE, BR, CO, CU, CZ, DE, DZ, ES, GR, ID, IN, IT, JP, KR, NO, PH
- ❑ Incompatibility of the effect of decision of RO on DO (Rule 49ter.1(g)):

BR, CA, CN, CO, CU, CZ, DE, DZ, ES, ID, IN, JP, KR, MX, NO, PH, TR, US
- ❑ Incompatibility as DO (Rule 49ter.2(h)):

BR, CA, CN, CO, CU, CZ, DE, DZ, ES, ID, IN, JP, KR, MX, NO, PH, TR, US

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The International
Patent System

Priority-30
11.02.13



Defects which can be corrected without affecting the international filing date (1)

- Office not competent because of the applicant's nationality and residence (Rule 19.4(a)(i))
- International application filed in a language not accepted by the receiving Office (Rule 19.4(a)(ii))
- Errors in the indication of the applicant's nationality and/or residence (Section 329 of the Administrative Instructions)
- Non-admitted language for the request, abstract, text matter in drawings (Rule 26.3ter)
- Incomplete, erroneous or missing priority claim (Rule 26bis)

Defects which can be corrected without affecting the international filing date (2)

- Unpaid or not fully paid fees (Rule 16*bis*)
- Missing signature in the request (Rule 4.15)
- Incomplete, erroneous or missing declarations under Rule 4.17 (Rule 26*ter*)
- Formal defects (Rules 11 and 26)
- Missing title of the invention
- Missing abstract
- Obvious mistakes (Rule 91)

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Defects-3
02.10.12

Defects which may result in a later international filing date (Rule 20.5)

- missing sheets of
 - description
 - claims
 - drawings

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Defects-4
02.10.12

Missing elements and parts of the international application (Rule 20) (1)

- Objective: Enable inclusion of accidentally omitted elements or parts that are contained in a priority application without affecting the international filing date

- element = all of the description or all of the claims
- part = part of the description, part of claims or part or all of pages of drawings

Missing elements and parts of the international application (Rule 20) (2)

- Conditions:

- priority must have been claimed on the original filing date (Rule 4.18)
- priority application contains the element or part (Rule 20.6(b))
- request contains statement of (conditional) incorporation by reference (Rule 4.18)
- timely confirmation of incorporation by reference (Rules 20.6 and 20.7)

- Competent Authority: RO

Confirmation of incorporation by reference (Rules 20.6 and 20.7) (1)

- Time limit: two months from filing or from invitation to correct (Rule 20.7)
- Documents to be filed (Rule 20.6):
 - ☐ notice of confirmation
 - ☐ missing sheets
 - ☐ copy of the earlier application as filed unless the priority document already submitted
 - ☐ translation if not in the language of the international application
 - ☐ indication as to where in the priority document (and translation) the missing parts are contained

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Defects-7
02.10.12

Confirmation of incorporation by reference (Rules 20.6 and 20.7) (2)

- If not all requirements for incorporation by reference are fulfilled
(for example, if a missing element or part is not entirely contained in the earlier application):
 - ☐ the international application is assigned a later filing date (date of receipt of missing element or part),
 - ☐ applicant may request that missing part be disregarded (Rule 20.5(e))

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Defects-8
02.10.12

Invitation by RO to correct defect under Article 11(1) (Rule 20.3)

Where the entire description or all claims are missing, RO invites the applicant to either:

- ☐ furnish a correction under Article 11(2) and the international application is accorded a later filing date or,
- ☐ confirm under Rule 20.6(a) that the element is incorporated by reference under Rule 4.18 and the international filing date is maintained

Effect of incorporation by reference in the national phase (Rule 82^{ter}.1(b))

- DOs may, to a limited extent, review the decision allowing the incorporation by reference
- Declarations of incompatibility with the national law (reservations) were made by a number of ROs and DOs
See WIPO website at:
www.wipo.int/pct/en/texts/reservations/res_incomp.html

Declarations of incompatibility with the national law

The following Offices have notified the International Bureau of the incompatibility of Rules 20.3(a)(ii) and (b)(ii), 20.5(a)(ii) and (d), and 20.6 with its national/regional law:

☐ Incompatibility as RO (Rule 20.8(a)):

BE, CU, CZ, DE, ID, IT, KR, MX, PH

☐ Incompatibility as DO (Rule 20.8(b)):

CN, CU, CZ, DE, ID, KR, LT, MX, PH, TR

Rectification of obvious mistakes (Rule 91) (1)

☒ No rectification shall be made except with the express authorization:

- ☐ of the receiving Office if the mistake is in the request,
- ☐ of the International Searching Authority if the mistake is in any part of the international application other than the request or in any paper submitted to that Authority,
- ☐ of the International Preliminary Examining Authority if the mistake is in any part of the international application other than the request or in any paper submitted to that Authority,
- ☐ of the International Bureau if the mistake is any paper, other than the international application or amendments or corrections to that application, submitted to the International Bureau.

Rectification of obvious mistakes (Rule 91) (2)

- Time limit: 26 months from the priority date (Rule 91.2)
- Clarification as to mistakes which are not rectifiable under Rule 91:
 - ☐ missing pages and parts
 - ☐ mistake in the abstract
 - ☐ mistake in Article 19 amendments
 - ☐ mistake in the priority claims causing a change in the priority date

Rectification of obvious mistakes (3)

- DO may disregard a rectification “if it finds that it would not have authorized the rectification if it had been the competent authority”, but must give the applicant an opportunity to make observations (Rule 91.3(f))
- Authorized request for rectification:
 - ☐ if this is received after technical preparations for publication have been completed, the IB will publish a statement reflecting the rectifications, any replacement sheets and the request for rectification together with the republished front page (Rule 48.2(i))

Rectification of obvious mistakes (4) (Publication, Rule 48.2)

■ Refused request for rectification:

- ☐ this will be published, upon request by the applicant within two months from the refusal and against payment of a fee, together with the reasons for refusal and any brief comments by applicant (Rule 91.3(d)); if this is received after technical preparations for publication have been completed, it will be promptly published with the republished front page (Rule 48.2(k))

Correction procedure (Rule 26.4)

■ Correction in the request:

- ☐ may be stated in a letter

■ Correction of any element of the international application other than the request:

- ☐ replacement sheet and letter drawing attention to the differences between the replaced and the replacement sheet must be submitted

What is a replacement (substitute) sheet? (Rules 26.4, 46.5(a) and 66.8(a))

- A sheet filed during the international phase which differs from the sheet as originally (or previously) filed because it contains:
 - ❑ correction(s) of formal defects (Rule 26)
 - ❑ rectification(s) of obvious mistakes (Rule 91)
 - ❑ amendment(s) of claims (Article 19)
 - ❑ amendment(s) of description, claims, drawings (Article 34)
 - ❑ change(s) in the indication(s) in the Request concerning applicants, inventors, agents (Rule 92*bis*)

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Defects-17
02.10.12

When and how to file a replacement sheet?

- A replacement sheet must be submitted
 - ❑ where the correction/rectification/amendment is in any part of the international application other than the request, in all cases
 - ❑ where the correction/rectification/amendment is in the request, in cases where it is of such a nature that it cannot be communicated in a letter and transferred to the request without adversely affecting the clarity and direct reproducibility of that sheet of the request
- It must be accompanied by a letter explaining the differences between the replaced sheet and the replacement sheet

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Defects-18
02.10.12

Additional correction procedures

Review by and opportunity to correct before the designated/elected Offices:

(Articles 24(2), 25, 26, 39(3) and 48, Rules 82*bis* and 82*ter*)



Rule 92bis: cases covered

- Change of name
- Change of address
- Change of nationality
- Adding/deleting an inventor
- Change of applicant (assignment, addition, deletion)
- Change of agent

Request for recording of a change under Rule 92bis

- must be made in writing
- may be filed with the International Bureau or the receiving Office
- generally no evidence of the change is required during the international phase (the designated Offices may, however, require that evidence (for example, assignment) be submitted once the national phase has been entered)
- the International Bureau will notify the applicant (using Form PCT/IB/306) that the requested change has been recorded

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Changes-92bis-3
08.10.12

Recording of a change in the person of the applicant under Rule 92bis

- Where such request is made by a person not yet named in the request (“the new applicant”) without the written consent of the (“old”) applicant, a copy of an assignment or other documentary evidence supporting the change in person must be filed with the request for the change
- Where such request is made by an agent of the new applicant, a power of attorney signed by the new applicant must be furnished at the same time

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Changes-92bis-4
08.10.12

Time limit under Rule 92bis (1)

- The request must reach the International Bureau before the expiration of 30 months from the priority date
 - Therefore, it is recommended to file it directly with the International Bureau even though it is possible to file it also with the receiving Office
- If it reaches the International Bureau after the expiration of the applicable time limit, the change will not be recorded and the applicant will have to proceed with such request before each designated or elected Office concerned

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Changes-92bis-5
08.10.12

Time limit under Rule 92bis (2)

- If the applicant wishes that a particular change be taken into account for the international publication of the international application, the request for recording of that change must reach the International Bureau before the completion of technical preparations for international publication (normally, 15 days before the actual date of publication).
- If the request for recording of a change reaches the International Bureau too late to be reflected in the international publication, the International Bureau will notify all designated or elected Offices concerned.

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Changes-92bis-6
08.10.12



Functions of the receiving Office

The receiving Office (1)

- Specifies the International Searching Authority or Authorities competent for searching international applications filed with it (Article 16(2))
- Specifies the International Preliminary Examining Authority or Authorities competent for examining international applications filed with it (Article 32(2))
- Prescribes the language(s) in which international applications must be filed with it (Rule 12.1(a) and (c))
- Fixes the amount of the transmittal fee (Rule 14.1(b))



The receiving Office (2)

- Checks whether it is competent to act as receiving Office with regard to nationality/residence of the applicant (Rules 19.1 and 19.2), language of filing (Rule 12.1(a)) and, where applicable, transmits international application to RO/IB (Rule 19.4)
- Accords or refuses international filing date (Article 11(1) and Rule 20)
- Decides on requests for incorporation by reference of missing elements or parts (Rules 20.5 to 20.7)
- Checks if any drawings referred to are included (Article 14(2))

The receiving Office (3)

- Checks whether translation of international application is required (Rules 12.3 and 12.4)
- Checks for formal defects (Article 14(1))
- Collects fees for RO, IB and ISA (Rules 14, 15 and 16)
- Checks if the required fees are timely paid (Rule 16*bis*)
- Checks priority claim(s) (Rules 4.10 and 26*bis*)
- Decides on requests for restoration of the priority right (Rule 26*bis*.3)

The receiving Office (4)

- Obtains national security clearance, if required by national law (where RO is regional Office or RO/IB, clearance is applicant's responsibility)
- Forwards the record copy to IB and the search copy to ISA, including any required translation (Article 12 and Rules 22.1 and 23.1)
- Forwards and receives correspondence from applicants and the international authorities
- Establishes certified copies of PCT applications filed with it (Rule 21.2)



International Bureau as receiving Office (RO/IB) (1)

- The International Bureau is available as receiving Office for nationals and residents of all PCT Contracting States (Rule 19.1(a)(iii))
- Compliance with national security provisions is applicant's responsibility
- RO/IB accepts international applications filed in ANY language
- The competence of ISAs and IPEAs will be determined as if the international application had been filed with a competent national or regional Office (Rules 35.3(a) and 59.1(b)).
Choice of ISA must be indicated in the request (Rules 4.1(b)(iv) and 4.14bis)

International Bureau as receiving Office (RO/IB) (2)

- An agent has the right to practice before RO/IB if qualified to act before a competent national or regional Office (Rule 83.1 *bis*)
- RO/IB has waived the requirement that a separate power of attorney or a copy of a general power of attorney has to be submitted in respect of any agent or common representative indicated in Box IV of the request, subject to certain conditions (see www.wipo.int/pct/en/texts/pdf/p_a_waivers.pdf)
- No transmittal fee for applicants from certain Contracting States

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IB-RO-3
25.07.12

Transmittal of international applications to RO/IB (Rule 19.4) (1)

- Cases where the international application will be transmitted to RO/IB:
 - if it is filed by an applicant from a PCT Contracting State with an Office which is not competent as receiving Office because of the nationality or residence of the applicant
 - if it is in a language which is not accepted by the Office with which it is filed
 - if for any other reason, the receiving Office and RO/IB agree to the transmittal and the applicant authorizes it

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IB-RO-4
25.07.12

Transmittal of international applications to RO/IB (Rule 19.4) (2)

■ Conditions for the transmittal:

- ☐ any applicable national security requirements are met
- ☐ a fee, equal to the transmittal fee, is paid (not all Offices will require such a fee)

■ Effect of the transmittal on the international filing date: the international filing date will be the date of receipt by the “non competent” Office provided that

- ☐ the minimum requirements for according an international filing date are met

Transmittal of international applications to RO/IB (Rule 19.4) (3)

■ Consequences of the transmittal:

- ☐ all PCT filing fees will be payable to the International Bureau in Swiss Francs, Euro or US Dollars
 - the one-month time limit for payment being calculated from the actual date of receipt of the application by RO/IB
- ☐ any fees paid to the non-competent Office, other than a fee equal to the transmittal fee (if required), will be refunded
- ☐ the question whether the person previously appointed as agent is entitled to represent the applicant before RO/IB must be checked (Rule 83.1 *bis*)
- ☐ the question whether the International Searching Authority chosen by the applicant is correct will be checked (Rule 35)

Filing PCT applications by fax at RO/IB (1)

- RO/IB accepts filing of all documents, including international applications, by fax; some are subject to confirmation within 14 days, others only upon invitation (14 days or more)*
- Note time difference: if the document transmitted is due within a certain time limit, it is the expiration of that time limit in Geneva which will determine whether the document was filed on time (Rule 80.4(b))
- Mechanical failure or other problem associated with the fax transmission remains at the applicant's risk (Rule 92.4(c))

* See *PCT Applicant's Guide*, General Information, Annex B2(IB)

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IB-RO-7
25.07.12

Filing PCT applications by fax at RO/IB (2)

- Acknowledgement of receipt of PCT application – Form PCT/RO/199: by fax, if a fax number is given by the applicant/agent/sender; (also) by special courier service (outside Europe)
- RO/IB decides on petitions if applicant does not agree with decision taken as to whether pages were received

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IB-RO-8
25.07.12

Furnishing of priority document(s) in respect of PCT/IB applications (1)

- Where priority of an earlier national, regional or international (RO other than RO/IB) application is claimed in a PCT application filed with, or transmitted under Rule 19.4 to, RO/IB:
 - ☐ RO/IB cannot be requested to establish a certified copy of such application ("priority document") since RO/IB is not the Office with which that earlier application was filed
 - ☐ if the relevant check-box in Box No. VI of the request is marked, RO/IB will delete the check-mark *ex officio*

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IB-RO-9
25.07.12

Furnishing of priority document(s) in respect of PCT/IB applications (2)

- ☐ the priority document must be obtained by the applicant from the national or regional Office or receiving Office concerned and furnished within the 16-month time limit – Note that, even if the Office concerned sends the priority document to IB on behalf of the applicant, the 16-month time limit applies (in other words, Rule 17.1(b) does not apply); and that, in order to meet the time limit, the document may be sent by fax to IB, subject to confirmation
- ☐ RO/IB may be requested to obtain the priority document via DAS to the extent that the Office with which the earlier application was filed participates in DAS (Rule 17.1(b-bis))

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IB-RO-10
25.07.12

Furnishing of priority document(s) in respect of PCT/IB applications (3)

- Where priority of an earlier PCT/IB application is claimed in a subsequent PCT/IB application, the relevant check-box in Box No. VI of the request may be marked and RO/IB will prepare and transmit to the IB the corresponding priority document (see Rules 17.1(b) and 21.2)

Translation for the purposes of international search (Rules 12.3, 20.1(c) and (d))

- Where the international application is filed with RO/IB in a language which is not accepted by the ISA that is to carry out the international search, the applicant is required:
 - ☐ to furnish to RO/IB
 - ☐ within one month from the date of receipt of the international application by RO/IB
 - ☐ a translation of the international application into a language which is a language accepted by the ISA that is to carry out the international search and a language of publication

Invitation to furnish required translation (Rule 12.3(c) and (e))

- Where, by the time RO/IB sends to the applicant the notification of the PCT number and of the international filing date, the applicant has not furnished the required translation, RO/IB will invite the applicant:
 - to furnish the required translation within one month from the date of receipt of the international application
 - in the event that the required translation is not furnished within that one month time limit, to furnish it (and to pay, where applicable, a late furnishing fee equal to 25% of the international filing fee) within
 - one month from the date of the invitation or
 - two months from the date of receipt of the international application by RO/IB,
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- whichever time limit expires later

IB-RO-13
25.07.12

Failure to furnish translation and/or pay late furnishing fee (Rule 12.3(d))

- Where the applicant has not, within the applicable time limit, furnished the required translation and/or paid, where applicable, the late furnishing fee, the international application will be considered withdrawn and RO/IB will so declare
 - Any translation and any payment received by RO/IB
 - before RO/IB makes the declaration that the international application is considered withdrawn and
 - before the expiration of 15 months from the priority date
- is considered to have been received before the expiration of the applicable time limit (that is, one month from the date of the invitation or two months from the date of receipt of the international application, whichever expires later)
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IB-RO-14
25.07.12



The International Searching Authority (1)

- Checks unity of invention (Rules 13 and 40)
- Checks title (Rule 37); checks abstract (Rule 38)
- Searches claimed invention (Article 15(3), Rule 33.3)
- Authorizes rectification of obvious mistakes if the mistake is:
 - in any part of the international application other than the request, (Rule 91.1(b)(ii)) or
 - in any paper submitted to that Authority (Rule 91.1(b)(iv))

The International Searching Authority (2)

- Establishes international search report (ISR) (Rules 42 and 43) and/or declaration that no international search report will be established (Article 17(2))
- Establishes written opinion of the ISA (Rule 43*bis*): non-binding first opinion on novelty, inventive step (non-obviousness) and industrial applicability of claimed invention

Prior art for international search (Article 15(2) and Rule 33)

- Prior art:
 - ☐ everything which has been made available to the public,
 - ☐ anywhere in the world,
 - ☐ by means of written disclosure,
 - ☐ which is capable of being of assistance in determining that the claimed invention is or is not new and that it does or does not involve an inventive step,
 - ☐ provided the making available to the public occurred prior to the international filing date.

- PCT Minimum Documentation (Rule 34)

International Search Report (ISR) (Rules 42 and 43)

■ Contains:

- ☐ IPC (International Patent Classification) symbols
- ☐ indications of the technical areas searched
- ☐ indications relating to any finding of lack of unity
- ☐ a list of the relevant prior art documents
- ☐ indications relating to any finding that a meaningful search could not be carried out in respect of certain (but not all) claims

■ Time limit to establish ISR and written opinion of the ISA:

- ☐ 3 months from the date of receipt of the search copy by the ISA (usually within approximately 16 months from the priority date if priority is claimed); or
- ☐ 9 months from the priority date, whichever time limit expires later

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Search-5
21.04.11

Cases where no international search report will be established (1)

- The application relates to a subject matter which the ISA is not required to search, and in the particular case decides not to search (Article 17(2)(a)(i) and Rule 39.1))
- The description, claims or drawings do not comply with the prescribed requirements to such an extent that a meaningful search cannot be carried out in respect of any of the claims (Article 17(2)(a)(ii))
- The application contains the disclosure of a nucleotide and/or amino acid sequence, but:
 - ☐ no listing of that sequence is furnished,
 - ☐ the listing furnished does not comply with the Standard set out in Annex C of the Administrative Instructions or is not in electronic form (Rule 13~~ter~~.1(d)), or
 - ☐ the fee for late furnishing of the sequence listing has not been paid within the applicable time limit (Rule 13~~ter~~.1(d))

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Search-6
21.04.11

Cases where no international search report will be established (2)

■ Consequences:

- ☐ the ISA will declare that no international search report has been established and that declaration will be published as part of the published international application (Rule 48.2(a)(v))
- ☐ the application remains valid but the IPEA will not be obliged to carry out the international preliminary examination for lack of an international search report (Rule 66.1(e))

Written opinion of the ISA (Rule 43bis) (1)

- Initial preliminary non-binding opinion on:
 - ☐ novelty (not anticipated)
 - ☐ inventive step (not obvious)
 - ☐ industrial applicability
- A written opinion will be established for all international applications at the same time as the ISR
- The written opinion is sent to applicant and the International Bureau together with the ISR

Written opinion of the ISA (Rule 43bis) (2)

- The written opinion is NOT published together with the application
- No formal procedure for applicants to respond to written opinion of the ISA
- Possibility to submit informal comments to the International Bureau which will communicate such comments to DOs together with the IPRP (Chapter I) if and when it is sent

Prior art for written opinion of the ISA (Rules 43bis.1(b) and 64.1)

- Prior art:
 - same as for international search purposes; BUT:
 - relevant date: everything made available to the public prior to the priority date
- The ISA may request a copy of a priority document from the International Bureau (Rule 66.7(a)); however, even if, at the time of establishment of the written opinion of the ISA, a copy cannot be made available to the ISA, the written opinion will nevertheless be established on the assumption that the priority date is the relevant prior art date, except if the applicant had failed to comply with his obligations under Rule 17.1

International preliminary report on patentability (IPRP) (Chapter I of the PCT) (Rule 44*bis*)

- If applicant does not file a demand for international preliminary examination:
 - IB establishes IPRP (Chapter I) on basis of the written opinion of ISA
 - IPRP (Chapter I) and any informal comments by the applicant
 - are sent to designated Offices
 - are made publicly available (but not “published” like the international application and ISR)
 - but not before the expiration of 30 months from the priority date

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Search-11
21.04.11

Use of the written opinion of the ISA for the purposes of the Chapter II procedure (Rule 66.1*bis*)

- If applicant files a demand for international preliminary examination:
 - written opinion of the ISA becomes written opinion of the IPEA (exception: IPEA decides not to accept written opinions by certain ISAs)
 - informal comments by applicant on written opinion of ISA will not be sent to IPEA (Article 34 amendments/arguments only)
 - if an international preliminary examination report is established, any informal comments submitted to the IB will not be sent to DOs or EOs

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Search-12
21.04.11



■ Supplementary International Search (SIS) (PCT Rule 45*bis*)

Objectives

- To address PCT applicants' concerns about new prior art being found once they have already incurred significant costs and entered national phase
- To reduce this risk by introducing optional supplementary searches in the PCT international phase
- To expand the scope of search in the international phase taking into account the growing linguistic diversity in prior art



Main Features

- An optional service for applicants,
 - it is currently offered by : AT, EP, FI, RU, SE and XN
 - more Authorities are expected to offer SIS in the future
- An applicant can request supplementary search by any Authority offering this service, except the one responsible for main international search
- Each Authority determines the scope and fees for its supplementary search
- Supplementary international search (SIS) covers only one invention – there is no option for paying additional fees

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SIS-3
25.07.12

Deciding When to Use the Service (1)

- The main international search report is intended to be of a high quality, sufficient for normal purposes
- Consequently, this service need not be used for every international application, but to give extra information in some cases where the applicant believes that this additional expense in the international phase will be worthwhile
- Before requesting supplementary search, applicants should consider:
 - the main international search report
 - the commercial value of particular application
 - the number of disclosures relevant to the particular technical field which are known to be made in languages that are not a speciality of the main ISA

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Patent System

SIS-4
25.07.12

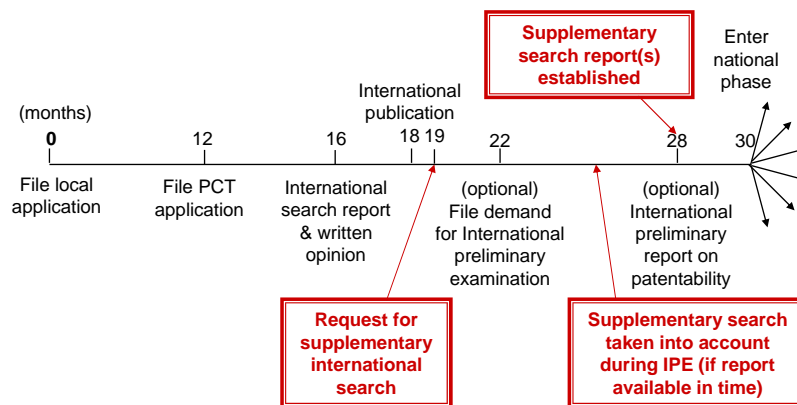
Deciding when to Use the Service (2)

- Interest in a search being carried out by a particular International Authority (free choice of SISA)
- Interest in a search being carried out in prior art documents in a particular language
- Interest in a particular subject matter not searched by the main ISA in accordance with Article 17(2) (e.g. methods of treatment, Rule 39.1(iv))

Timing and Fees

- The supplementary search request must be filed with the **International Bureau** within 19 months from the priority date
- Fees must be paid **in Swiss francs within 1 month** of filing the request:
 - ☐ supplementary search fee*
 - ☐ supplementary search handling fee*
- The Authority begins SIS on receipt of the request and international search report (ISR), or 22 months from the priority date, at latest, if the main ISR is late
- The SIS Report is established by 28 months from the priority date

SIS in the PCT System



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The International Patent System

SIS-7
25.07.12

Supplementary Search Request (1)

- The request must be filed using the supplementary search request Form PCT/IB/375, specifying
 - ☐ which Authority is to carry out the supplementary search
 - ☐ (in certain circumstances - see Unity of Invention) which claims are to be searched
- The request may need to be accompanied by:
 - ☐ a translation of the international application into a language accepted by the Authority*
 - ☐ any sequence listing in electronic format*

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SIS-8
25.07.12

* (see *PCT Applicant's Guide*, Annex SISA)

Supplementary Search Request (2)

- There is no requirement that an agent be appointed to represent the applicant before the Authority specified for supplementary international search; applicants may, however, appoint an agent if they so wish
- A late payment fee may also apply if fees are not paid within one month and the IB issues an invitation to pay fees (Form PCT/IB/377)
- The request is considered withdrawn if the fees for supplementary search are not paid

Unity of Invention

- Only one invention is searched – there is no option of paying additional fees for additional inventions
- Usually the first claimed invention is searched, but if the main ISA has found lack of unity of invention, the applicant may request supplementary search to focus on an invention other than the first
 - note that the Authority is not obliged to search inventions which have not been searched by the main ISA (Rule 45bis.5(d))
- The Authority is not obliged to follow the views of the main ISA on unity of invention
- A review procedure is available which is similar to the “protest” procedure for the main search

Scope of Search (1)

- Supplementary search is carried out on the claims as filed, usually on the first claimed invention (Article 19 and 34 amendments are not taken into account)
- The Authority is not required to search:
 - subject matter which it would not normally search in accordance with Article 17(2)
 - claims which have not been searched by the main ISA
 - any international application which is subject to a limitation set out in the Agreement between WIPO and the Authority defining the scope of their service (see www.wipo.int/pct/en/access/isa_ipea_agreements.html)
 - limitation of number of supplementary searches carried out
 - limitation of number of claims searched

Scope of Search (2)

- The range of prior art to be searched is determined by the Authority
 - the search may be either a new search which takes into account all PCT minimum documentation as well as documents held in other languages by that Authority or
 - the search may be a complement to the main search, typically including a subset of language-related documentation held by that Authority

Services currently available (1)

- SISA/AT: three search options
 - search of only the German-language documentation
 - search of only the European and North American documentation
 - search of only the PCT minimum documentation
- SISA/EP: supplementary search includes the PCT minimum documentation as well as documents held in its search collection
- SISA/FI and SISA/SE: supplementary search includes the PCT minimum documentation as well as documents in Danish, Finnish, Norwegian and Swedish held by the Authority

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SIS-13
25.07.12

Services currently available (2)

- SISA/RU: two supplementary search options
 - The first includes Russian-language documentation and certain other patent documentation of the former Soviet Union and CIS States
 - The second is only available for applications where the main ISA has made an Article 17(2)(a) declaration because of subject matter referred to in Rule 39.1(iv) (methods of treatment): Includes the PCT minimum documentation, plus the above
- SISA/XN: supplementary search includes the PCT minimum documentation, as well as documents in Danish, Icelandic, Norwegian and Swedish held by the Authority

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SIS-14
25.07.12

Supplementary International Search Report

- The supplementary international search report (Form PCT/SISA/501) is very similar to the ISR, but:
 - it does not contain the classification of the international application or comments on the title and abstract
 - it need not contain citations of documents contained in the ISR unless cited in conjunction with a new reference not cited in the ISR
 - it may contain explanations regarding:
 - citations that are considered relevant (these are more detailed than references in the ISR)
 - the scope of the SIS (particularly where the ISR is late and assumptions have been made on the likely scope of main search)
- No written opinion is issued with the supplementary international search report

SIS-15
25.07.12

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Further Processing of Report

- The supplementary international search report is transmitted to the applicant and to the IB
- The IB makes the report publicly available (if the international application has been published)
- If the report is not in English, it will be translated into English by the IB
- The IB sends the report and translations, where appropriate, to the IPEA and designated Offices

SIS-16
25.07.12

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Refunds When No Search Is Carried Out

■ If the Authority **commences** work, but **no** search is carried out:

- for reasons equivalent to those available for the main international search (subject matter, lack of clarity or lack of sequence listing in electronic format) or
- because the main ISA has made an Article 17(2)(a) declaration

the supplementary search fee **will not** be refunded

- because of limitations specific to the scope of the service offered by the Authority, the supplementary search request is considered not to have been submitted and

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SIS-17
25.07.12

the supplementary search fee **will** be refunded



Filing of Demand for International Preliminary Examination

Basics of international preliminary examination (1)

- Optional procedure for applicants from a PCT Contracting State bound by Chapter II (at present all Contracting States are bound by Chapter II)
- Requested by filing, directly with the International Preliminary Examining Authority, a “demand” which contains the automatic “election” of all the States bound by Chapter II and which had been designated
- Results in a preliminary, non-binding opinion by IPEA on novelty, inventive step and industrial applicability
 - Does not give an opinion on patentability according to the national laws of the various elected States



Basics of international preliminary examination (2)

- Gives applicant the opportunity to amend the entire international application before entering the national phase in the elected Offices
- In respect of designated Offices for which the 20-month time limit under Article 22(1) continues to apply, it defers entry into national phase from 20 to 30 months from the priority date if examination is requested within 19 months from that date

Who is entitled to make a demand? (Article 31(2)(a) and Rule 54.2)

The applicant, or if there are two or more applicants, at least one of them,

- ☐ who is a resident or national of a PCT Contracting State bound by Chapter II, and
- ☐ whose international application has been filed with a receiving Office of or acting for a Contracting State bound by Chapter II (currently all States)

Where to file the demand? (Rule 59) (1)

- Directly with the competent IPEA
- The competent IPEA(s):
 - ☐ is (are) specified by the RO
 - ☐ if more than one is specified by the RO, applicant has the choice
- In making his choice, the applicant must take into account:
 - ☐ the language(s) accepted by the IPEA
 - ☐ that some IPEA(s) accept only international applications which have been searched by certain ISAs (that is the case, for example, of IPEA/EP)

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Demand-5
25.07.12

Where to file the demand? (Rule 59) (2)

- If the international application was filed with IB as RO, the competent IPEAs will be those which would have been competent if the international application had been filed with (any of) the national Office(s) which, on the basis of applicant's nationality or residence, could be a competent RO
- Choice of IPEA should be indicated on the first sheet of the demand

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Demand-6
25.07.12

Transmittal of demand to competent IPEA (Rule 59.3)

- Where a demand is submitted to a non-competent IPEA or to a RO, an ISA or the IB, that Authority or Office must:
 - ❑ mark the date of receipt on the demand and,
 - ❑ either forward it to the IB, which will in turn transmit it to the competent IPEA (or, if more than one, to the competent IPEA chosen by the applicant)
 - ❑ or transmit it directly to the competent IPEA (or, if more than one, to the competent IPEA chosen by the applicant)
- Any demand so transmitted to the competent IPEA will be considered to have been received on behalf of that Authority on the date on which it was received by the RO, ISA or IB or the non-competent IPEA concerned

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Demand-7
25.07.12

At what time should a demand be filed? (Rule 54bis.1(a)) (1)

- At any time prior to the expiration of whichever of the following periods expires later:
 - ❑ 3 months from the date of transmittal of the ISR and WO of the ISA
 - ❑ 22 months from the priority date
- In respect of designated Offices for which the 20-month time limit under Article 22(1) continues to apply, prior to the expiration of 19 months from the priority date, in order to delay national phase from 20 to 30 months from the priority date
- International preliminary examination will not start before the expiration of the time limit under Rule 54bis.1(a) unless applicants expressly request earlier start

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Demand-8
25.07.12

At what time should a demand be filed? (Rule 54*bis*.1(a)) (2)

■ Recommendation:

Upon receipt of the international search report and the written opinion of the ISA, evaluate the cited prior art documents and decide whether to proceed further, and if so, file the demand as soon as possible thereafter together with any amendments/arguments in light of the written opinion, thus allowing maximum time prior to issuance of international preliminary examination report (i.e, usually 28 months from the priority date)

Signature of demand (Rule 53.8)

- Only the persons indicated as applicants for the States elected in the demand need to sign the demand
- If these applicants have appointed an agent or a common representative, that agent or common representative may sign
- If there is no appointed agent or common representative, it is sufficient that the demand is signed by at least one of the applicants (see Rule 60.1(a-*ter*))
- Note that some Authorities do not require that a separate power of attorney or a copy of a general power of attorney is furnished (Rules 90.4 and 90.5)

The demand form

- Printed demand form (PCT/IPEA/401)
 - ☐ periodically updated
 - ☐ may be obtained free of charge from the IPEA or the RO
 - ☐ available on Internet
(www.wipo.int/pct/en/forms/index.htm)
- Computer-generated demand (Rule 53.1(a) and Section 102(h) and (i))
 - ☐ same requirements regarding layout and contents as for request form

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Demand-11
25.07.12

The demand for international preliminary examination: contents (Rule 53)

- The demand must contain the following indications:
 - ☐ a petition
 - ☐ particulars enabling the international application to be identified (for example, the international application number)
 - ☐ the name of the applicant(s) under Chapter II
 - ☐ where appropriate, the name of the agent
 - ☐ the basis on which international preliminary examination should be carried out (a statement concerning amendments)
 - ☐ the language for the purposes of international preliminary examination
 - ☐ the signature of (at least one of) the applicant(s) or of the agent

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Demand-12
25.07.12

Defects under Chapter II (1)

- Defects whose correction results in a later filing date of the demand
 - no eligible applicant for filing the demand (Rule 54.2(i))
 - international application not identifiable (Rule 60.1(b))
- A demand filed after the expiration of 19 months from the priority date but within the applicable time limit under Rule 54*bis*.1(a), is valid but entry into the national phase will not be postponed until 30 months (Article 39(1)(a)) for LU, TZ and UG

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Demand-13
25.07.12

Defects under Chapter II (2)

- Defects which can be corrected without any adverse consequences:
 - demand not filed with a competent IPEA (Rule 59.3)
 - form of the demand (Rule 53.1)
 - indications relating to applicants and agents (Rules 53.4 and 53.5)
 - language of the demand (Rule 55.1)
 - lack of at least one signature (Rules 53.8 and 60.1(a-ter))
 - amendments under Article 34 referred to but not furnished (Rule 53.9(a)(i))

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Demand-14
25.07.12

Chapter II correction procedure

- Invitation by the IPEA to correct defects (Rule 60.1)
- Invitation by the IPEA to pay missing fees (Rule 58*bis*)
- Further possibilities:
 - request rectification of obvious mistakes before IPEA (Rule 91)
 - request review by and use opportunity to correct before the designated or elected Offices (Articles 25, 26 and 39(3))



International Preliminary Examination

Start of international preliminary examination (Rule 69.1)

- When the IPEA is in possession of:
 - the demand
 - the international search report (or the declaration under Article 17(2)(a)) and the written opinion of the ISA
 - the preliminary examination and handling fees

provided that the IPEA shall not start the international preliminary examination before the expiration of the applicable time limit under Rule 54bis.1(a) unless the applicant expressly requests an earlier start
- If the demand contains a statement about amendments, when copies of these amendments are available (see Rule 69.1(c), (d) and (e))
- If international preliminary examination is to be carried out on the basis of a translation of the international application, when that translation is available (see Rule 55.2(c))



International preliminary examination (1)

- The purpose of the international preliminary examination is to provide a preliminary non-binding opinion on
 - novelty (not anticipated) (Article 33(2) and Rule 64)
 - inventive step (not obvious) (Article 33(3) and Rule 65)
 - industrial applicability (Article 33(4))
- Relevant prior art (Rule 64, see also Rule 33)
- Only claims relating to the invention(s) searched by the ISA will be examined by the IPEA (Rules 66.1(e) and 66.2(a)(vi))

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IPE-3
16.10.12

International preliminary examination (2)

- Finding of lack of unity of invention (Rule 68)
 - same criteria as for international search (Rule 13 and paragraphs 10.20 to 10.59 of the International Search and Preliminary Examination Guidelines)
 - invitation by the IPEA to restrict the claims or to pay additional fees (which can be paid under protest)
 - applicant can select invention as “main invention” and those inventions for which additional fees are paid

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IPE-4
16.10.12

Prior art for IPE (Rule 64.1)

■ What is considered prior art?

Everything made available to the public anywhere in the world by means of written disclosure (including drawings and other illustrations) provided that such making available occurred prior to the relevant date

■ What is the relevant date?

- ☐ the date of the earlier application of which priority is claimed unless the IPEA considers that the priority claim is not valid for reasons other than the fact that the international filing date is later than the date on which the priority period expired, but is within two months from that date; or
- ☐ the international filing date of the international application in all other cases

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IPE-5
16.10.12

Written opinion of IPEA (Rule 66.2)

- The written opinion of the ISA is considered to be the written opinion of the IPEA (exception: IPEA decides not to accept written opinions by certain other ISAs)
- Where the written opinion of the ISA is taken as the written opinion of the IPEA, no second written opinion has to be issued
- If a second written opinion is issued, the applicant may respond within the time limit fixed in that second written opinion

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IPE-6
16.10.12

The international preliminary report on patentability (Chapter II) (1)

- Must be established by the IPEA within:
 - 28 months from the priority date
 - 6 months from the time provided under Rule 69.1 for the start of the international preliminary examination
 - 6 months from date of receipt by IPEA of translation under Rule 55.2,
 whichever expires last (Rule 69.2)

The international preliminary report on patentability (Chapter II) (2)

- May contain “annexes” (Rule 70.16):
 - replacement sheets containing amendments under Art. 19 or Art. 34 and any letter indicating the basis for the amendments
 - replacement sheets containing rectifications of obvious mistakes authorized under Rule 91 by the IPEA and accompanying letter
 - when referred to in the report, any sheet and letter concerning the rectification of an obvious mistake which has not been taken into account because it was not available in time (Rule 66.4bis)

The international preliminary report on patentability (Chapter II) (3)

- May contain “annexes” (Rule 70.16):
 - earlier amendments when later amendments are not used as a basis for the report because they are
 - considered to go beyond the disclosure in the international application or
 - not accompanied by a letter indicating the basis for the amendments
- Not annexed to the report: any other correspondence or copies of amendments superseded by later amendments

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IPE-9
16.10.12

The international preliminary report on patentability (Chapter II) (4)

- No provisions for appeal or further proceedings during the international phase before the International Authorities
- Sent to the applicant and the IB (Rule 71.1)
- IB forwards copies of the report, and any required translation of the report into English (prepared by the IB), to the elected Offices (Article 36(3)(a) and Rule 72.1)
- The annexes are not translated by the IB (Article 36(3)(b))

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Patent System

IPE-10
16.10.12

The international preliminary report on patentability (Chapter II) (5)

■ Calls attention to:

- ☐ non-written disclosures (see Rules 64.2 and 70.9)
- ☐ certain published documents (see Rules 64.3 and 70.10)

■ Shall cite (Rule 70.7):

- ☐ all documents considered to be relevant for supporting statements made concerning claims
- ☐ documents whether or not they are cited in the ISR
- ☐ documents cited in the ISR when the IPEA considers them relevant

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IPE-11
16.10.12

Reasons for delays in international preliminary examination (1)

■ On the part of the applicant:

- ☐ late payment of fee(s)
- ☐ late correction of defects in the demand
- ☐ incomplete statement, in the demand, concerning amendments
- ☐ failure to attach amendments referred to in the statement
- ☐ late furnishing of any required translation of the international application or of amendments
- ☐ late response to invitation to pay additional examination fees in case of finding of lack of unity
- ☐ late response to written opinion
- ☐ failure to file replacement sheets containing amendments

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IPE-12
16.10.12

Reasons for delays in international preliminary examination (2)

■ On the part of the ISA:

- ☐ late issuance of international search report

■ On the part of the IPEA:

- ☐ finding of lack of unity
- ☐ late issuance of written opinion



Requirement of unity of invention (Rule 13)

- An international application must relate to
 - one invention only or,
 - if there is more than one invention, those inventions must be so linked as to form a single general inventive concept (Rule 13.1).
- Inventions are considered linked so as to form a single general inventive concept only when there is a technical relationship involving one or more of the same or corresponding “special technical features”.
- The expression “special technical features” means those technical features that define a contribution which each of the inventions, considered as a whole, makes over the prior art (Rule 13.2).

(For further details and examples, see paragraphs 10.20 to 10.59 of the International Search and Preliminary Examination Guidelines)

Lack of unity of invention before ISA (1) (Article 17(3) and Rule 40)

- Where there are several inventions, the first claimed invention (“main invention”) is always searched; further inventions are searched only if additional search fees are paid.
- The ISA will:
 - specify the reasons for the finding of lack of unity of invention (ISA/EP will send together with this notification the results of a partial search on the main invention); and
 - invite the applicant to pay, within one month from the date of the invitation, additional search fees and, if the applicant wishes to pay the additional fees under protest, a protest fee to those ISAs which require it (AT, CN, EP*, KR, RU, XN)

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Unity-3
22.09.11

* For further details, see OJ EPO, special edition No. 3/2007, pages 140 and 142

Lack of unity of invention before ISA (2) (Article 17(3) and Rule 40)

- Failure to pay additional fees does not affect the application; however, the additional inventions will not be searched and the written opinion will not contain a preliminary opinion on the unsearched claims; subsequently, the claims relating to unsearched inventions need not be examined by the IPEA.
- No provisions for filing divisional applications during the international phase. This may only be done in the national phase before certain DOs (refer to applicable national law).

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Unity-4
22.09.11

Protest procedure before the ISA (1) (Rule 40.2)

- If the applicant pays any or all additional fees under protest, the ISA carries out the search on the additional inventions and, in parallel, reviews the invitation to pay additional fees.
- Depending on the ISA, the review may be subject to the payment of a protest fee (AT, CN, EP*, KR, RU, XN).
- If, upon review, the ISA concludes that the protest was justified, the additional search fees paid will be refunded either totally or partially;
the protest fee will only be refunded if the ISA finds that the protest was entirely justified.

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The International
Patent System

Unity-5
22.09.11

* For further details, see OJ EPO, special edition No. 3/2007, pages 140 and 142

Protest procedure before the ISA (2) (Rule 40.2)

- If, upon review, the ISA concludes that the invitation was justified, the protest is denied. The applicant will be given detailed reasons for the denial.
- The applicant may request that the text of the protest and the decision thereon be notified to the designated Offices. (Attention: the designated Offices may require that the applicant furnish a translation thereof)

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Unity-6
22.09.11

Lack of unity of invention before IPEA (Article 34(3)(a) and Rule 68)

- Unity of invention based on same criteria as for international search (Rules 13 and 68)
- If IPEA considers there is lack of unity of invention, it invites the applicant to restrict the claims or pay additional examination fees
- Applicant can select part of the application to be examined as “main invention” and for which additional fees are paid
- Payment of additional fees may be made under protest, subject to the payment of a protest fee (AT, CN, EP*, KR, RU, XN)
- Decision on protest made in same manner as for international search

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Unity-7
22.09.11

* For further details, see OJ EPO, special edition No. 3/2007, pages 140 and 142

Protest procedure before the IPEA (1) (Rule 68.3)

- If the applicant pays any or all additional fees under protest, the IPEA carries out the international preliminary examination on the additional inventions and, in parallel, reviews the invitation to pay additional fees.
- Depending on the IPEA, the review may be subject to the payment of a protest fee (AT, CN, EP*, KR, RU, XN).
- If, upon review, the IPEA concludes that the protest was justified, the additional examination fees concerned will be refunded either totally or partially; the protest fee will only be refunded if the IPEA finds that the protest was entirely justified.

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Unity-8
22.09.11

* For further details, see OJ EPO, special edition No. 3/2007, pages 140 and 142

Protest procedure before the IPEA (2) (Rule 68.3)

- If, upon review, the IPEA concludes that the invitation was justified, the protest is denied. The applicant will be given detailed reasons for the denial.
- The applicant may request that the text of the protest and the decision thereon be notified to the elected Offices as an annex to the international preliminary examination report. (Attention: the elected Offices may require that the applicant furnish a translation thereof.)



General responsibilities under the PCT (1)

- International coordination of the PCT system
- Assistance to Contracting States (which have already joined the PCT or which have shown interest in doing so) and their national/regional Offices
 - advice on how to implement the PCT into national law
 - advice on how to set up internal procedures for dealing with PCT applications, including receiving Office training

General responsibilities under the PCT (2)

- Dissemination of information about the PCT system
 - *PCT Applicant's Guide*
 - *PCT Newsletter*
 - Official Notices
 - List server messages, etc.
 - PCT's website
- PCT Seminars and training courses
- Receiving Office for applicants from all Contracting States

Responsibilities related to international applications (1)

- Performs a second formalities review of record copies of international applications
- Publishes international applications
- Receives and publishes Article 19 amendments
- Communicates copies of international applications, international search reports and related documents to designated Offices

Responsibilities related to international applications (2)

- Records changes under Rule 92*bis* in the indications related to applicants, inventors and agents
- Receives and reviews requests and collects fees for supplementary international search (SIS)
- Transmits SIS requests to the SISA concerned
- Performs second formalities review of demands

Responsibilities related to international applications (3)

- Communicates international preliminary reports on patentability (Ch.I or Ch.II) to DOs/EOs
- Translates titles and abstracts (into English and French), international search reports (into English, if necessary) and international preliminary reports on patentability (Ch.I or Ch.II) (into English, if necessary)



International publication (1) (Article 21 and Rule 48)

■ When?

Promptly after 18 months from priority date on the Internet
(www.wipo.int/pctdb/)

■ Publication languages:

- ☐ Arabic, Chinese, English, French, German, Japanese, Korean, Portuguese, Russian or Spanish
- ☐ title, abstract and search report always (also) in English

■ Contents of published international application

- ☐ always:
 - front page with bibliographic data and abstract
 - description, claims, and drawings, if any
 - international search report

International publication (2) (Article 21 and Rule 48)

☐ where applicable:

- amended claims (and any statement) under Article 19
- any declaration referred to in Rule 4.17 (Rule 48.2(a)(x))
- any relevant data concerning deposited biological material furnished under Rule 13*bis* (Rule 48.2(a)(viii))
- information regarding requests for restoration of right of priority (Rule 48.2(a)(xi))
- statement concerning authorized requests for rectification of obvious mistakes received after publication (Rule 48.2(i))
- information about a priority claim considered not to have been made (Rule 26*bis*.2(d))

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Publn-3
23.01.13

International publication (3) (Article 21 and Rule 48)

☐ upon applicant's request*:

- information about the applicant's wish to correct or add a priority claim after the expiration of the time limit under Rule 26*bis*.1(a) (Rule 26*bis*.2(e))
- refused request for rectification of an obvious mistake (Rule 91.3(d))

* See Annex B2/IB of the *PCT Applicant's Guide* for applicable fee

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Publn-4
23.01.13

Communication of published international applications (Article 20 and Rule 47)

- Paper copies of published international applications are only sent to the applicant upon specific request
- Communicated to DOs by IB
- Notice of communication of the international application sent by IB to DOs serves as conclusive evidence of receipt of the application by DOs (Rule 47.1(c-bis), Form PCT/IB/308 (First Notice) for DOs which do not yet apply modified Article 22(1) and Form PCT/IB/308 (Second and Supplementary Notice) for all other DOs)

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Publn-5
23.01.13

Early publication (Article 21(2)(b) and Rule 48.4(a))

- upon express request by applicant
- if international search report available, no fee required
- if international search report not yet available: see the *PCT Applicant's Guide* International Phase, General Information (Annex B2/IB) for applicable fee

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Publn-6
23.01.13

Form of publication

- Published international applications are available at www.wipo.int/patentscope/search/en/structuredSearch.jsf
- Official notices (PCT Gazette) are available at www.wipo.int/pct/en/official_notices/index.htm

Frequency of international publication

- International publication of international applications and publication of the Official Notices takes place every Thursday,
 - except where that Thursday is a day on which the International Bureau is not open for official business, for example, Ascension Day or the Thursday that follows the first Sunday of September and certain Thursdays in the Christmas/New Year period.
- In such cases, inquire at the International Bureau as to what will be the publication date (possibly, but not always, the preceding Wednesday).

Technical preparations for international publication

- The technical preparations for international publication are normally completed 15 calendar days before the actual publication date.

For example: if the publication date is: Thursday, 24 January 2013, technical preparations are completed on Wednesday, 9 January 2013.

Consequently, any document that reaches the International Bureau on Tuesday, 8 January 2013, is still taken into account for international publication (for example, change of name or address, amendment of the claims under Article 19, withdrawal of the international application or of a designation or of a priority claim).

- Technical preparations may be completed more than 15 days before the publication date where that publication date is not the “usual” Thursday because the International Bureau is not open for business or where there are a number of official holidays falling within that 15-day period. If in doubt, inquire at the International Bureau as to what will be the date of completion of technical preparations.

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Publn-9
23.01.13

Effects of international publication

- The PCT published application becomes part of the prior art as of its international publication date (Rule 34.1(b)(ii))
- International publication entitles PCT applicants to provisional protection in the designated States, if such protection is granted for published national applications (Article 29)
 - Such protection may be made conditional
 - on the furnishing of a translation (which may be of the claims only)
 - on receipt by the designated Office of a copy of the international application as published under the PCT, and/or
 - in the case of early publication under Article 21(2)(b), on the expiration of 18 months from the priority date
 - For further information on the specific requirements of a given Office, see the *PCT Applicant's Guide*, International Phase, General Information (Annexes B1 and B2)

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Publn-10
23.01.13

Preventing publication of the international application (Rule 90*bis*.1(c)) (1)

- How: by withdrawing the international application
- When: before completion of the technical preparations for international publication
- The notice of withdrawal must:
 - ☐ be made in writing (use of Form PCT/IB/372 recommended)
 - ☐ be signed by all the applicants or on their behalf (by the appointed common agent or the appointed common representative), and
 - ☐ reach the International Bureau before completion of the technical preparations for publication

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Publn-11
23.01.13

Preventing publication of the international application (Rule 90*bis*.1(c)) (2)

- Safeguard: the withdrawal should be made conditional on its being received by the International Bureau on time to prevent publication
- Consequence: the international application will not be published and will cease to have effect

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Publn-12
23.01.13

Postponing publication of the international application (Rule 90*bis*.3(d) and (e)) (1)

- How: by withdrawing the (earliest) priority claim
- When: before completion of the technical preparations for international publication
- The notice of withdrawal must:
 - ☐ be made in writing (use of Form PCT/IB/372 recommended)
 - ☐ be signed by all the applicants or on their behalf (by the appointed common agent or the appointed common representative), and
 - ☐ reach the International Bureau before completion of the technical preparations for publication

Publn-13
23.01.13

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Postponing publication of the international application (Rule 90*bis*.3(d) and (e)) (2)

- Safeguard: the withdrawal should be made conditional on its being received by the International Bureau on time to postpone publication
- Consequences: all time limits computed on the basis of the priority date which have not yet expired are recalculated on the basis of any remaining priority date or the international filing date, in particular for:
 - ☐ international publication
 - ☐ filing of demand
 - ☐ entry into the national phase

Publn-14
23.01.13

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Access to File After Publication

- General principles
- Information accessible to third parties
- Access to files held by the IB
- Extending the period of confidentiality

General principles

- International applications are confidential in relation to third parties until international publication
- Applicant or anyone authorized by the applicant always has access to the international application file
- DOs have full access to all communications from IB and to documents in IB file insofar as they relate to Chapter I procedure (Article 30(1)(b))
- EOs, in addition, have full access to IPEA file once IPRP (Ch.II) is established (Article 38(1) and Rule 94.2) and to all communications from IB relating to the Chapter II procedure



Information accessible to third parties

- Published international applications
- Priority documents
- Other documents in file of IB/DOs/EOs

Access to priority documents (Rule 17.2(c))

- Electronically: www.wipo.int/pctdb/en/
- On paper from the IB:
 - ☐ upon request
 - ☐ subject to reimbursement of the cost
 - ☐ after international publication
- UNLESS, before international publication:
 - ☐ the international application was withdrawn
 - ☐ the priority claim was withdrawn
 - ☐ the priority claim was considered not to have been made

Access to files held by the International Bureau

- International applications filed before 1 July 1998: No access
- International applications filed on or after 1 July 1998
 - Generally, after international publication, copies of any document in the file are made available to third parties;

HOWEVER:

only made available after the expiration of 30 months from the priority date:

- copies of the written opinion of the ISA, informal comments on the written opinion of the ISA, the IPRP (Ch. I) or any translation thereof (Rule 44*ter*)
- copies of the IPRP (Ch.II) or only translation thereof



Access-5
08.10.12

How to obtain access to files held by the International Bureau (1)

- Via the database of published international applications:

www.wipo.int/patentscope/en/structuredSearch.jsf

 - access to published international applications, the latest bibliographic data, certain documents and forms
 - for international applications filed on or after 1 January 2009: access to full file content after publication
 - details on availability of documents can be found by clicking on “data coverage” under the “help” tab



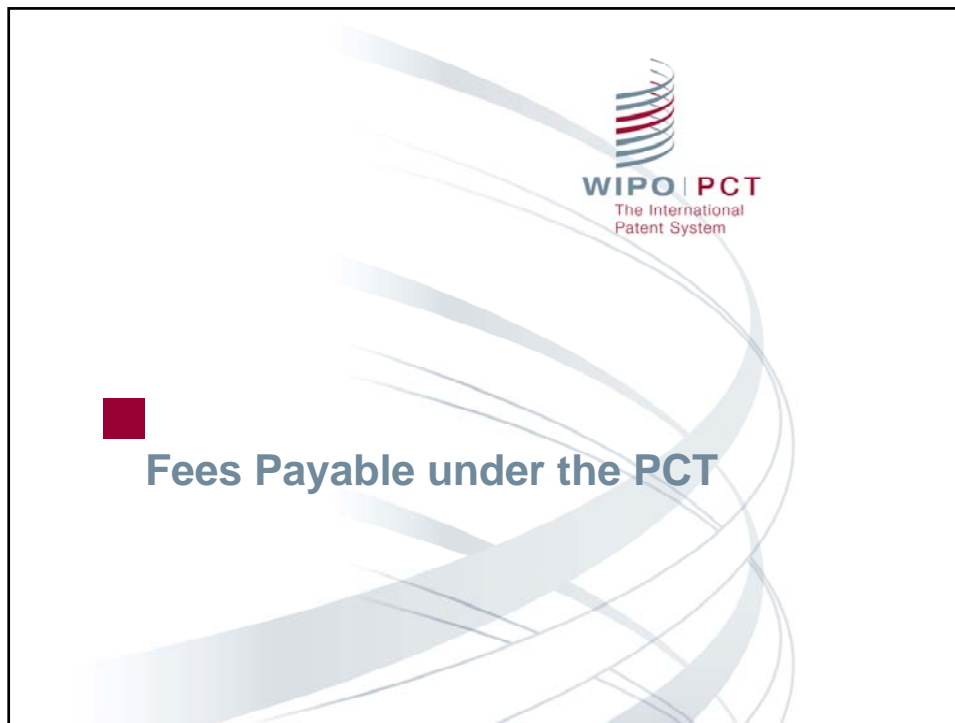
Access-6
08.10.12

How to obtain access to files held by the International Bureau (2)

- By sending a fax to the PCT Legal Division at (41 22) 910 00 30 or by email to pct.infoline@wipo.int
 - paper copies of documents are sent, subject to reimbursement of the cost
 - information on the cost of the service is available at: www.wipo.int/pct/guide/en/gdvol1/annexes/annexb2/ax_b_ib.pdf
 - invoice sent separately once the documents are mailed

Extending the period of confidentiality

- Delay access to the file by:
 - withdrawing the (earliest) priority claim prior to completion of technical preparation for international publication so as to delay international publication
- Prevent access to the file by:
 - withdrawing the international application prior to completion of technical preparation for international publication so as to prevent international publication



Fees payable to the receiving Office (RO)

- **transmittal fee**
- **international filing fee** (for IB)
- **search fee** (for ISA)
- **supplement per sheet in excess of 30** (for IB)
- *fee for priority document*
- *late payment fee*
- *late furnishing fee (translation of international application)*
- *fee for requesting restoration of the right of priority*
- *fee for copies of documents*

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Fees-2 (Fees indicated in italics are payable only in certain circumstances)
19.04.11

Fees payable to the International Searching Authority (ISA)

- *additional search fee*
- *protest fee (where applicable)*
- *fee for copies of documents*
- *late furnishing fee (furnishing of a sequence listing)*

(Fees indicated in italics are payable only in certain circumstances)

Fees payable to the International Bureau (IB)

- *fee for early publication (before issuance of ISR)*
- *fee for publication of refused request for rectification of obvious mistake*
- *fee for publication of late request for correction/addition of priority claim*
- *fee for copies of documents*
- *supplementary search fee (for the SISA)*
- *supplementary search handling fee*

(Fees indicated in italics are payable only in certain circumstances)

PCT fees payable to the International Preliminary Examining Authority (IPEA)

- **preliminary examination fee**
- **handling fee** (for IB)
- *late payment fee*
- *additional examination fee*
- *protest fee (where applicable)*
- *fee for copies of documents*
- *late furnishing fee (furnishing of a sequence listing)*

(Fees indicated in italics are payable only in certain circumstances)



Fees-5
19.04.11

Fees not payable during international phase

Under the PCT, there is:

- no fee for requesting extension of time to correct certain formal defects
- no claims fee (at the time of filing of the international application or during the international phase, if claims are added)
- no fee for late response to certain communication (for example, invitation to correct or written opinion)
- no fee for filing a request for rectification of an obvious mistake under Rule 91
- no fee for requesting a change in the indications concerning the applicant, inventor, etc. under Rule 92*bis*



Fees-6
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Time limits for payment of fees (1)

■ Chapter I:

- ❑ transmittal fee, international filing fee, search fee:
one month from the date of receipt of the international application by the RO
(Rules 14.1(c), 15.4 and 16.1(f))
- ❑ special provisions for cases where the international application is transmitted to RO/IB under Rule 19.4
(Rule 19.4(c))

Time limits for payment of fees (2)

■ Chapter II:

- ❑ preliminary examination fee and handling fee: one month from the date of receipt of the demand by the IPEA or 22 months from the priority date, whichever expires later (Rules 57.3 and 58.1(b))
- ❑ special provisions for cases where the demand is transmitted to the competent IPEA under Rule 59.3
(Rules 57.3 and 58.1(b))

Safeguards in respect of payment of fees

- In respect of the transmittal, international filing and search fees payable to the receiving Office (Rule 16*bis*.1(d))
- In respect of the handling and preliminary examination fees payable to the IPEA (Rule 58*bis*.1(d))
- If fees concerned are paid after the expiration of the applicable time limit(s) but before any further action is taken by the Office or Authority concerned, the fees are considered to have been paid within the applicable time limit(s)

Invitation to pay missing fees (Chapter I) (Rule 16*bis*)

- If the fees due (i.e., transmittal fee, search fee, international filing fee) are not paid within the applicable time limit(s):
 - the RO invites the applicant to pay to it the missing fees within one month from the date of the invitation; and
 - the RO may require a late payment fee of 50% of the missing amount (minimum: transmittal fee; maximum: 50% of the international filing fee)
- The RO will not transmit the search copy to the ISA until the search fee is paid (Rule 23.1(a))
- Consequence in case of non-payment:
 - the international application will be considered withdrawn by the RO

Invitation to pay missing fees (Chapter II) (Rule 58*bis*)

- If the fees due (i.e., preliminary examination fee and handling fee) are not paid within the applicable time limit:
 - the IPEA invites the applicant to pay to it the missing fees within one month from the date of the invitation; and
 - the IPEA may require a late payment fee of 50% of the missing amount (minimum: handling fee; maximum: double the amount of the handling fee)
- Examination will not start until the fees are paid (Rule 69.1(ii))
- Consequence in case of non-payment:

If the amount paid is not sufficient to cover the examination fee, the handling fee and, where applicable, the late payment fee, the demand will be considered by the IPEA as if it had not been submitted and the IPEA will so declare

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Fees-11
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Refund of fees by the receiving Office (Rules 15.6 and 16.2)

- If no international filing date is accorded, or, due to prescriptions concerning national security, the international application is not treated as such: international filing and search fee
- If the international application is withdrawn or considered withdrawn:
 - before transmittal of the record copy to the IB: international filing fee
 - before transmittal of the search copy to the ISA: search fee
- For the other fees (e.g. transmittal fee) or when outside of the time limits indicated, certain fees may be refunded under certain circumstances. Check with the competent Office or Authority

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Fees-12
19.04.11

Refund of fees by the IPEA

- Handling fee: full refund (Rule 57.6)
 - if demand withdrawn before having been sent by the IPEA to the IB
 - if demand considered, under Rule 54.4, not to have been submitted
- Preliminary examination fee: refund of up to 100%, depending on circumstances and IPEA
 - where demand considered as if it had not been submitted (Rule 58.3)
 - where demand withdrawn before start of international preliminary examination (Agreement between IPEA and IB of WIPO); see the *PCT Applicant's Guide*, International Phase, International Preliminary Examining Authorities (Annex E) for details

Fees-13
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Warning – fraudulent requests for payment of registration fees

- PCT applicants and agents are receiving invitations to pay fees that do not come from the IB and are unrelated to the processing of international applications under the PCT
- Whatever registration services might be offered in such invitations, they bear no connection to WIPO or to any of its official publications
- The services offered do not give applicants any added value, since they are provided by the IB for no additional charge (www.wipo.int/pctdb)
- Examples of such misleading invitations can be viewed on our website at the following link:
http://www.wipo.int/pct/en/warning/pct_warning.htm

Fees-14
19.04.11

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Amendments under the PCT

- Amendments under Article 19
- Amendments under Article 34
- Amendments upon National Phase Entry
- How to make amendments

Amendments under Article 19 (Rule 46) (1)

- One opportunity to amend the claims only after receipt of the international search report and written opinion of the ISA
- Amended claims must not go beyond disclosure of the international application as filed (Article 19(2)) (compliance with that requirement is, however, not checked at this point)
- Amended claims may be accompanied by a statement (Article 19(1), Rule 46.4)
- Normally must be filed within two months from the date of transmittal of the international search report and written opinion of the ISA (Rule 46.1)



Amendments under Article 19 (Rule 46) (2)

- Filed directly with the IB (Rule 46.2)
- Generally used to better define provisional protection, where available
- Published as part of the international application at 18 months, together with the claims as originally filed (Rule 48.2(f))

Amendments under Article 34 (Rules 53.9 and 66.3 to 66.9) (1)

- Description, claims and drawings may be amended in connection with the international preliminary examination under Chapter II
- They should be filed
 - together with the demand for international preliminary examination so that examination will be based on the application as amended (Rule 53.9); or
 - at least before the expiration of the time limit to file a demand (Rule 54*bis*.1(a))
- Attention: amendments need not be taken into account by the examiner if they are received after he has begun to draw up another written opinion or the report (Rule 66.4*bis*)

Amendments under Article 34 (Rules 53.9 and 66.3 to 66.9) (2)

- Amendments shall not go beyond the disclosure of the international application as filed (Article 34(2)(b))
- If an amendment goes beyond the disclosure in the international application as filed, the international preliminary examination report shall be established as if that amendment had not been made, and the report shall so indicate. The report shall also indicate the reasons why the amendment is considered to go beyond the disclosure in the international application as filed (Rule 70.2(c))

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Amend-5
08.10.12

Comparison between types of amendments during international phase

Chapter I (Article 19)

- have effect in all DOs
- claims only
- filed upon receipt of the ISR and written opinion of ISA
- filed directly with IB (not ISA)
- formality examination by IB
- published as part of the international application by IB
- serve as basis for examination by IPEA unless reversed

Chapter II (Article 34)

- have effect in all EOs
- description, claims, drawings
- filed best together with the demand, or during examination by IPEA
- filed directly with IPEA
- formality and substantive examination by IPEA
- are confidential between IPEA and the applicant, are not published during the international phase
- serve as basis for examination by IPEA unless superseded

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Amend-6
08.10.12

How to make amendments (Rules 46.5 and 66.8)

- Where claims are amended under Article 19 or 34, they have to be presented in the form of replacement sheets containing a complete set of claims
- Applicants must indicate the basis for the amendments in the application as filed, otherwise the IPRP (Ch.II) may be established as if the amendments had not been made
- In case of cancelation of certain claims, no renumbering of the remaining claims is required
- An accompanying letter explaining what has been amended is required
- Further details: Administrative Instructions Section 205

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Amend-7
08.10.12

Replacement sheets containing amendments under Article 19 or 34

- May not be filed with the receiving Office
- If filed under Article 19 (claims only), must be filed directly with IB in Geneva
 - If, however, they also contain rectifications of obvious mistakes (Rule 91), they must also be submitted to the ISA for authorization of rectification
- If filed under Article 34 (description, claims, drawings), must be filed directly with competent IPEA
 - If they also contain rectifications of obvious mistakes (Rule 91), that IPEA will also be competent to authorize rectification

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Amend-8
08.10.12

Amendments upon entry into the national phase (Articles 28 and 41 and Rules 52 and 78)

- Description, claims and drawings may be amended
- Time limit = normally at least one month from the date of fulfillment of the requirements for entry into the national phase (i.e. not from the time limit under Article 22 or 39(1))
- Any later time limits under the national law apply
- Different amendments possible for different DOs and EOs
- Generally, any claims fee due for the national phase will be calculated on the basis of the number of claims valid at the time of entry into the national phase



Decisions to be taken by the applicant

■ Whether

- ☐ to proceed with or drop the international application ?

■ When

- ☐ at the end of 30 months (in some cases 31 months or more)
 - under Chapter I ?*
 - under Chapter II ?
- ☐ early entry ?

■ Where (choice limited to designated/elected Offices)

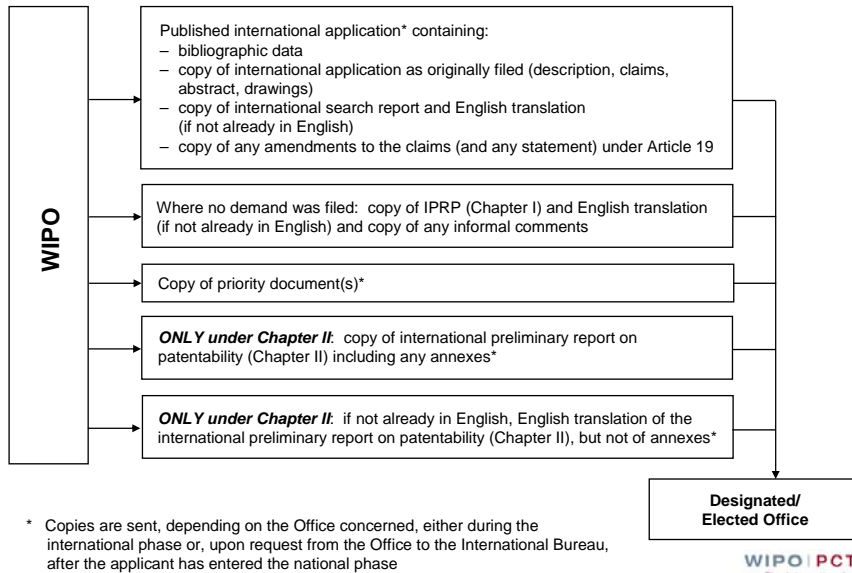
- ☐ which national Offices
- ☐ which regional Offices

Time limit for entry in the national phase

The time limit applies irrespective of possible delays in the international phase due to:

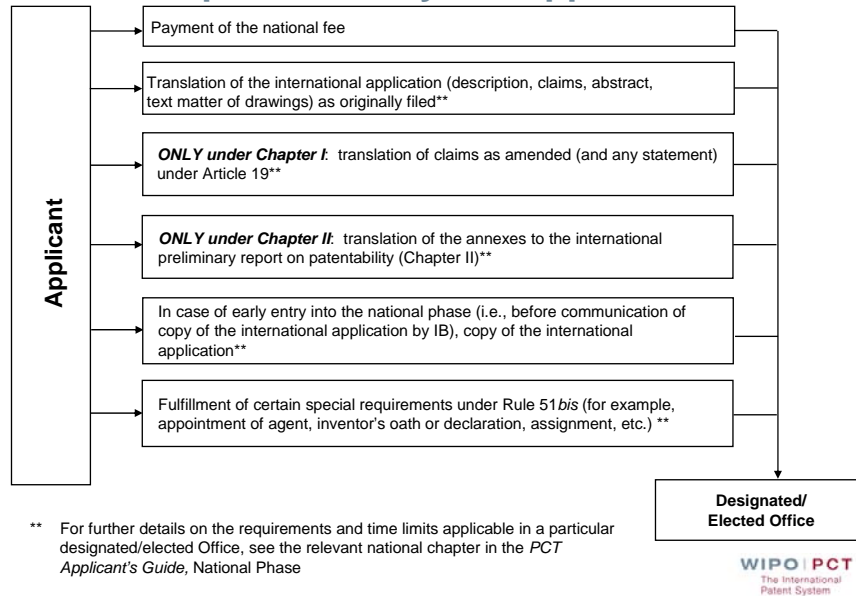
- late international search report and written opinion of the ISA
- international preliminary examination delayed
- late international preliminary report on patentability (Chapter II)
- late translation of international preliminary report on patentability (Chapter II)

Acts to be performed by the International Bureau



NP chart-1
20.04.11

Acts to be performed by the Applicant



NP chart-2
20.04.11

General national requirements

Art. 22(1) and 39(1)(a)

- Requirements:
 - ☐ Translation, if applicable
 - ☐ Payment of national fee
 - ☐ Copy of international application in particular circumstances only
- Time limit under Art. 22(1): 30 months from the priority date
 - ☐ For additional time, see PCT Applicant's Guide, national phase summaries
 - ☐ For exceptions, see www.wipo.int/pct/en/texts/reservations/res_incomp.html
- Time limit under Art. 39(1)(a): 30 months from the priority date
 - ☐ For additional time, see PCT Applicant's Guide, national phase summaries

Natphase-4
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Special national requirements

(Art. 27 and Rule 51 *bis*.1)

- Time limit under Rule 51 *bis*.3:
 - ☐ If requirements are not fulfilled within the time limit for entry into national phase under Art. 22 or 39:
 - Invitation by DO
 - At least 2 months from the invitation

Natphase-5
15.02.12

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Examples of special requirements under Rule 51 *bis*.1 (1)

■ Oath or declaration by the inventor (US only):

Where the corresponding declaration has been furnished during the international phase or directly to the DO/EO, no documents or evidence as to that matter may be required by DO/EO/US unless that Office may reasonably doubt the veracity of the declaration

■ Assignment documents (of the priority rights or of the application):

Where the corresponding declaration has been furnished during the international phase or directly to the DO/EO, no documents or evidence as to that matter may be required by the DO/EO unless that Office may reasonably doubt the veracity of the declaration

Examples of special requirements under Rule 51 *bis*.1 (2)

■ Translation of the priority document may only be required (Rule 51 *bis*.1(e)):

- ☐ where the validity of the priority is relevant to the determination whether the invention is patentable
- ☐ in cases of incorporation by reference

This rule does not apply to DO/EO/ES*

- Appointment of local agent and submission of power of attorney
- Translation or other documents relating to the international application in more than one copy
- Certified translation of the international application (only where the Office may reasonably doubt the accuracy of the translation)

* See PCT Reservations on
www.wipo.int/pct/en/texts/reservations/res_incomp.html

National requirements simplified for PCT applications (1)

■ Priority document

- ☐ The applicant does not need to furnish the priority document since the IB transmits copies to the DO/EOs
- ☐ If the DO/EO did not receive a copy of the priority document from the IB, it must request a copy from the IB (not from the applicant)

■ Drawings

- ☐ If the drawings do not contain any text matter to be translated, a simple copy of the drawings as filed is required by a few DOs
- ☐ If the drawings contain text matter to be translated, a set of drawings containing the translated text matter needs to be furnished

National requirements simplified for PCT applications (2)

■ No legalized or certified translation of the international application

- ☐ Otherwise, a simple translation is required
- ☐ A few Offices (such as, AU, GB, IN, NZ, SG, ZA) require a "verified" translation

■ No special form required (but strongly recommended) for entry into national phase

Communication with DOs/EOs (Rule 93bis)

- Any communication, notification, correspondence or other document relating to an international application will be communicated by the International Bureau to DOs/EOs only upon their request and at the time specified by the Offices
- Most DOs/EOs will receive the majority of documents concerned only after an applicant has entered the national phase before its Office
- Almost all PCT Contracting States now receive the DVD collections containing the full texts of the published international applications

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Natphase-10
15.02.12

Furnishing by International Bureau of copies of priority documents (Rule 17.2(a))

- The International Bureau provides copies of priority documents to designated Offices:
 - upon request
 - after international publication, unless the applicant made a specific request for early processing under Article 23(2)
- Almost all Offices request a copy of the priority document only after the application entered the national phase
- Only the European Patent Office systematically receives copies of all priority documents

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Natphase-11
15.02.12

Recommendations for preparing entry into the national phase (1)

- Leave sufficient time, where necessary, to prepare the translation of the international application
- Send your local agent, copies of the (relevant) documents on file: the published international application, the international search report and written opinion by the ISA, the international preliminary examination report, priority documents; note that none of these documents are required to be filed by the local agent at the local patent office

Recommendations for preparing entry into the national phase (2)

- Where you would prefer avoiding paying additional claims fee or other fees that are applicable under any particular national law, prepare the application, and any amendments thereof, according to the national practice
- Even though several designated/elected Offices provide for longer time limits, it is preferable to docket the 30-month time limits for all Offices (See www.wipo.int/pct/en/texts/reservations/res_incomp.html for exceptions under Article 22 (1))

A few further tips to remember

- Remember to monitor time limits for entering national phase
 - they apply irrespective of delays in the international phase
- Make necessary indications that application is entering the national phase, i.e., that it is not a direct national filing
- Translation of the international application must be correct and complete (no subject matter may be added and/or deleted)
- Pay the required fees (amount may be different from that applicable to direct national filing)

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Reinstatement of rights by DO/EOs (Rule 49.6) (1)

- Available in certain DO/EOs, where the applicant has missed the time limit under Article 22 or 39(1) to enter the national phase:
 - unintentionally
 - or - at the option of the Office -*
 - in spite of due care required by the circumstances

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15.02.12

Reinstatement of rights by DO/EOs (Rule 49.6) (2)

- Applicants may submit a request for reinstatement and enter the national phase within:

- ☐ 2 months from the date of removal of the cause of the failure to meet the time limit to enter national phase; or
- ☐ 12 months from the date of expiration of the time limit to enter national phase;

whichever period expires first

Reinstatement of rights by DO/EOs (Rule 49.6) (3)

- Longer time limits and/or further requirements may apply depending on the applicable national law
- For further details, see for each DO/EO, the relevant National Chapter in the *PCT Applicant's Guide*, National Phase

DO/EOs to which Rule 49.6 does not apply

- Notifications of incompatibility with respective national law were filed in accordance with Rule 49.6(f):

CA	Canada	LV	Latvia
CN	China	MX	Mexico
DE	Germany	NZ	New Zealand
IN	India	PH	Philippines
JP	Japan *	PL	Poland
KR	Republic of Korea		

- The national law applicable by some of these Offices may nevertheless provide for other forms of protection against loss of rights - for further details, see for each DO/EO, the relevant National Chapter in the *PCT Applicant's Guide*, National Phase

* Notification withdrawn effective 1 April 2012 (JP)
See the Table of "PCT Reservations, Declarations, Notifications and Incompatibilities"
www.wipo.int/pct/en/texts/reservations/res_incomp.html

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Natphase-18
15.02.12

Additional cases of protection against loss of rights

- Other than the (minimum) protection under Rule 49.6:
excuse of delays in meeting time limits by
designated/elected Offices (Article 48 and Rule 82*bis*)
- Rectification by designated/elected Offices of errors made
by RO or IB (Rule 82*ter*)
- Review by and opportunity to correct before the
designated/elected Offices (Articles 24(2), 25, 26, 39(3)
and 48, Rules 82*bis* and 82*ter*)

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Natphase-19
15.02.12



Withdrawals under Chapter I (1) (Article 24(1)(i) and Rule 90*bis*)

■ What?

- ☐ international application, designations (also for certain kinds of protection), priority claim

■ When?

- ☐ before the expiration of 30 months from the priority date

■ How?

- ☐ by a notice of withdrawal (use of Form PCT/IB/372 recommended) signed by all applicants, their agent or the appointed common representative, and filed with the RO or the IB

Withdrawals under Chapter I (2) (Article 24(1)(i) and Rule 90*bis*)

■ Effect:

- ☐ withdrawal effective upon receipt by the RO or the IB
- ☐ withdrawal has no effect in DOs where national processing or examination has already started
- ☐ withdrawal of international application or designations:
 - effect ceases in each designated State concerned, with same consequences as withdrawal of a national application in that State
 - if notice of withdrawal received by the IB before completion of technical preparations for international publication, there will be no international publication (withdrawal can be made conditional on receipt in time to prevent publication)
- ☐ withdrawal of priority claim: time limits which have not expired are re-computed on the basis of the revised priority date resulting from the withdrawal

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Withdrawals-3
21.04.11

Withdrawals under Chapter II (1) (Article 37 and Rule 90*bis*)

■ What?

- ☐ international application, designations, demand, elections, priority claim

■ When?

- ☐ before the expiration of 30 months from the priority date

■ How?

- ☐ by a notice of withdrawal (use of Form PCT/IB/372 recommended) signed by all applicants, their agent or the appointed common representative, and filed with:
 - the RO, the IB or the IPEA, if withdrawing international application or priority claim
 - the IB, if withdrawing demand or elections

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Withdrawals-4
21.04.11

Withdrawals under Chapter II (2) (Article 37 and Rule 90*bis*)

■ Effect:

- ☐ withdrawal effective upon receipt by appropriate Authority (see above)
- ☐ withdrawal has no effect in DOs/EOs where national processing or examination has already started
- ☐ withdrawal of demand or elections: withdrawal after expiration of Chapter I time limit for entry into national phase is considered to be withdrawal of the international application in relation to the State(s) concerned
- ☐ withdrawal of priority claim: time limits which have not expired are re-computed on the basis of the revised priority date resulting from the withdrawal



Requirements concerning references to biological material and sequence listings

Microbiological inventions

- Deposit of a sample in order to meet the requirement of full disclosure:
 - Many national laws require that, where a patent application refers to biological material which has not been made available to the public, a sample thereof be deposited with a recognized culture collection
- The Budapest Treaty on the International Recognition of the Deposit of Microorganisms for the Purposes of Patent Procedure (Budapest Treaty)
 - provides for the recognition by its Contracting States of deposits made with any International Depositary Authority (IDA) under the Budapest Treaty
- The IDAs are recognized by all PCT Contracting States, whether they are Contracting States of the Budapest Treaty or not



When must the deposit be made?

- Many Offices require the deposit to be made before the filing date of the PCT application
- A late deposit, however, is no excuse for filing a PCT application claiming priority after the expiration of 12 months from the priority date (restoration of the right of priority may not work)
- Some Offices require that the deposit be made before the filing date of the application of which priority is claimed in the PCT application and that the priority application also makes reference to the deposited biological material, e.g. BY, CN, US

Biomat-
Seqlist-3
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Reference to deposited biological material in a PCT application (Rule 13bis)

- Required in a PCT application only where the national law of a designated State provides for it. Usually needed for full disclosure of the invention.
- The *PCT Applicant's Guide*, Deposits of Biological Material (Annex L), contains information on the requirements of the designated States whose national law includes provisions on the deposit of biological material and indicates when and how reference to such deposited biological material should be made.

Biomat-
Seqlist-4
19.04.11

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Time limit for furnishing references to deposited biological material (Rule 13*bis*.4)

- At the time of filing, as part of the international application (in the description): references in accordance with Rule 13*bis*.3(a)(i) to (iv)
- Within 16 months from the priority date, or before completion of technical preparations for international publication: any further references related to the deposited biological material not part of the international application
- In case of a request for early publication: before completion of technical preparations for international publication

Biomat-
Seqlist-5
19.04.11

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Reference to deposited biological material to be made in the description

- In accordance with Rule 13*bis*.3, the reference must include:
 - ☐ the name and address of the depositary institution
 - ☐ the date of deposit of the biological material with that institution
 - ☐ the accession number given to the deposit by that institution
 - ☐ any relevant information on the characteristics of the biological material
- Usually included in a paragraph at the beginning of the description
- Alternatively, Form PCT/RO/134 may be used for that purpose and be numbered as a sheet of the description

Biomat-
Seqlist-6
19.04.11

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Reference to deposited biological material separate from the description

- Statement concerning the “expert solution”
- In the case where the applicant is not the depositor, a statement by the depositor concerning the right of the applicant to make reference to the biological material and to make it available to the public
- Form BP/4: acknowledgement of receipt by the IDA
- Form BP/9: viability statement
- All the above documents will be published by the IB with the international application

Biomat-
Seqlist-7
19.04.11

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The “expert solution” (Rule 13bis.6)

- In respect of certain designated Offices, the applicant is entitled to request that a sample be issued only to an expert nominated by the requester
- A space is provided in form PCT/RO/134 to make such indication
- The request must reach the IB before the completion of technical preparations for the international publication of the application
- Some Offices also require the applicant to notify them directly before international publication takes place, e.g. DO/AU, DO/DE, DO/DK

Biomat-
Seqlist-8
19.04.11

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Applicant and depositor of the sample are not the same person

- In this case, DO/GB and DO/EP require
 - within the time limit of 16 months from the priority date or before technical preparations for international publication have been completed
 - the name and address of the depositor to be included in the reference and
 - a statement specifying that the depositor has authorized the applicant to refer to the deposited biological material in the application and has given his unreserved and irrevocable consent to the deposited material being made available to the public
- Failure to do so may result in the application being refused in the national phase for insufficient disclosure

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Biomat-
Seqlist-9
19.04.11

Which type of reference is covered by Rule 13*bis*?

- Only references to deposits under the Budapest Treaty will be treated as references to biological material under Rule 13*bis*
- Certificates on the Grant of Community Plant Variety Rights issued by the Community Plant Variety Office, a European Union Agency, are not covered by the Budapest Treaty and Rule 13*bis*
- References other than to biological material under Rule 13*bis* will not be published as part of the international application, but will be made available on PATENTSCOPE under “related documents on file at the International Bureau”

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Biomat-
Seqlist-10
19.04.11

Recent changes regarding the filing of sequence listings

What has changed as of 1 July 2009?

- ☐ Deletion of Part 8 of the Administrative Instructions
- ☐ Modified Administrative Instruction 707(a-bis):
Calculation of international filing fee and fee reduction
- ☐ IB makes sequence listings, filed only for the purposes of international search, publicly available

Biomat-
Seqlist-11
19.04.11

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The International
Patent System

Filing of sequence listings forming part of the international application

- For international applications filed on or after 1 July 2009:
 - ☐ No page fees are payable for sequence listings filed in ST. 25 **text** format as part of an international application filed in electronic form
 - ☐ Full page fees are payable for all pages of a sequence listing filed in **image** format as part of an international application in electronic form
 - ☐ Full page fees are payable for sequence listings filed on paper
 - ☐ ATTENTION: mixed mode filings (former Part 8 of the Administrative Instructions) no longer permissible

Biomat-
Seqlist-12
19.04.11

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The International
Patent System

Tables related to sequence listings

- Pages of tables relating to sequence listings count as regular pages of the description
- Full page fees are payable for pages containing tables related to sequence listings, irrespective of whether or not they are submitted in electronic form

Biomat-
Seqlist-13
19.04.11

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The International
Patent System

Filing of sequence listings not forming part of the international application

- Where a copy of a ST.25-compliant text format sequence listing has been furnished to the ISA under Rule 13~~ter~~.1 (for the purposes of international search only), the ISA will forward a copy of such a sequence listing to the International Bureau
- The International Bureau will make a copy of all sequence listings in text format received publicly available on PATENTSCOPE

Biomat-
Seqlist-14
19.04.11

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The International
Patent System

Presentation of nucleotide and/or amino acid sequence listings (1)

■ Relevant provisions:

- ☐ Rules 5.2 and 49.5(a-bis)
- ☐ Section 208 and Annex C of the Administrative Instructions

- Where the international application contains disclosure of one or more nucleotide and/or amino acid sequences, the description must contain a sequence listing complying with the standard provided for in Annex C of the Administrative Instructions ("PCT Sequence Listing Standard") (that standard has replaced the previously applicable various requirements of the ISAs, IPEAs and designated/elected Offices)

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The International
Patent System

Biomat-
Seqlist-15
19.04.11

Presentation of nucleotide and/or amino acid sequence listings (2)

- If so required by the competent ISA, a copy of the sequence listing must also be submitted in electronic form complying with the Standard, in addition to the sequence listing as contained in the application; that copy:

- ☐ must be identical to the written sequence listing
- ☐ must be accompanied by a statement to that effect

- A sequence listing which complies with the Standard must be accepted:

- ☐ by all ROs, ISAs and IPEAs for the purposes of the international phase and
- ☐ by all designated/elected Offices for the purposes of the national phase

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The International
Patent System

Biomat-
Seqlist-16
19.04.11

PCT Sequence Listing Standard (1)

- Basis: Section 208 and Annex C of the Administrative Instructions
- Where the sequence listing is filed together with the international application, it:
 - must be presented as a separate “Sequence Listing Part” of the description
 - must be placed at the end of the application
 - must begin on a new page
 - should preferably have independent page numbering

Biomat-
Seqlist-17
19.04.11

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The International
Patent System

PCT Sequence Listing Standard (2)

- The Standard provides further details as to:
 - the symbols and the format which must be used for the presentation of nucleotide and/or amino acid sequences
 - with regard to other available information to be included in the sequence listing, the mandatory items which must, and the optional item which may, be included, and the order in which those items must appear
 - the presentation of features of sequences
 - the presentation of “free text”

Biomat-
Seqlist-18
19.04.11

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Patent System

PCT Sequence Listing Standard: presentation of free text (1)

- The Standard defines “free text” as a wording describing characteristics of the sequence which does not use “language neutral vocabulary”, that is, controlled vocabulary used in the sequence listing that represents scientific terms as prescribed by sequence database providers (including scientific names, qualifiers and their controlled vocabulary values, the symbols and the feature keys appearing in the Appendices to the Standard).
- Where the sequence listing part of the international application contains free text, that free text:
 - may, and preferably should, be in English (irrespective of the language of the main part of the description) (Rule 12.1(d))
 - must be repeated in the main part of the description (“Sequence Listing Free Text”) in the language thereof (ISA invites to furnish correction if not contained in main part of description as filed) (Rules 5.2(b) and 13ter.1(f))

Biomat-
Seqlist-19
19.04.11

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The International
Patent System

PCT Sequence Listing Standard: presentation of free text (2)

- For the purposes of the national phase (Rule 49.5(a-bis)), no designated Office is entitled to require the applicant to furnish to it a translation of any text matter contained in the sequence listing part of the description if such text matter:
 - is presented in accordance with the Standard
 - is repeated in the main part of the description (and hence in any translation thereof)

Biomat-
Seqlist-20
19.04.11

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The International
Patent System

Procedure where the sequence listing does not comply with the Standard (1)

- If the international application as filed does not contain:
 - a written sequence listing complying with the Standard; and/or
 - a sequence listing in electronic form complying with the Standard,
 the ISA invites the applicant to furnish to it a listing (in such format) complying with the Standard, unless such a listing is already available to it, and to pay to it, where applicable, a late furnishing fee (Rule 13*ter*.1(a) and (b))

Biomat-
Seqlist-21
19.04.11

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Patent System

Procedure where the sequence listing does not comply with the Standard (2)

- Any sequence listing which is not contained in the international application as filed but which is furnished subsequently must not go beyond the disclosure in the application as filed and must be accompanied by a statement to that effect (Rule 13*ter*.1(e))
- If the applicant does not comply with the invitation within the time limit fixed in the invitation, the ISA is not required to search the application to the extent that a meaningful search cannot be carried out without the listing (Rule 13*ter*.1(d))

Biomat-
Seqlist-22
19.04.11

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The International
Patent System

Sequence listing for International Preliminary Examining Authority (Rule 13*ter*.2)

The requirements applicable in respect of the procedure before the ISA apply *mutatis mutandis* in respect of the procedure before the IPEA

Biomat-
Seqlist-23
19.04.11

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Patent System

Sequence listing for designated/elected Offices (Rule 13*ter*.3)

- Once the processing of the international application has started before a designated/elected Office, the requirements applicable in respect of the procedure before the ISA (and IPEA) apply *mutatis mutandis* in respect of the procedure before that Office
- No designated/elected Office is entitled to require the applicant to furnish to it a sequence listing other than a sequence listing complying with the PCT Sequence Listing Standard

Biomat-
Seqlist-24
19.04.11

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PatentIn Software

- Windows-based version (available free of charge from the JPO, the USPTO and the EPO) designed to expedite the process of preparing sequence listings in a standardized electronic format complying with the WIPO Sequence Listing Standard
- Helps in creating a database of patent-disclosed sequences
- Supports the exchange of published sequence data between the European Patent Office, the Japan Patent Office and the United States Patent and Trademark Office in a Trilateral Sequence Exchange Project

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Procedural safeguards (1)

- Transmittal of international application by a non-competent receiving Office to the International Bureau as receiving Office (Rule 19.4)
- Invitation to correct defects (formal defects, priority claims)
- Extension of time limits by the receiving Office (except for payment of fees, correction and/or addition of priority claims)
- Invitation to pay missing or not fully paid fees (Rules 16*bis* and 58*bis*)
- Incorporation by reference (Rule 20)

Procedural safeguards (2)

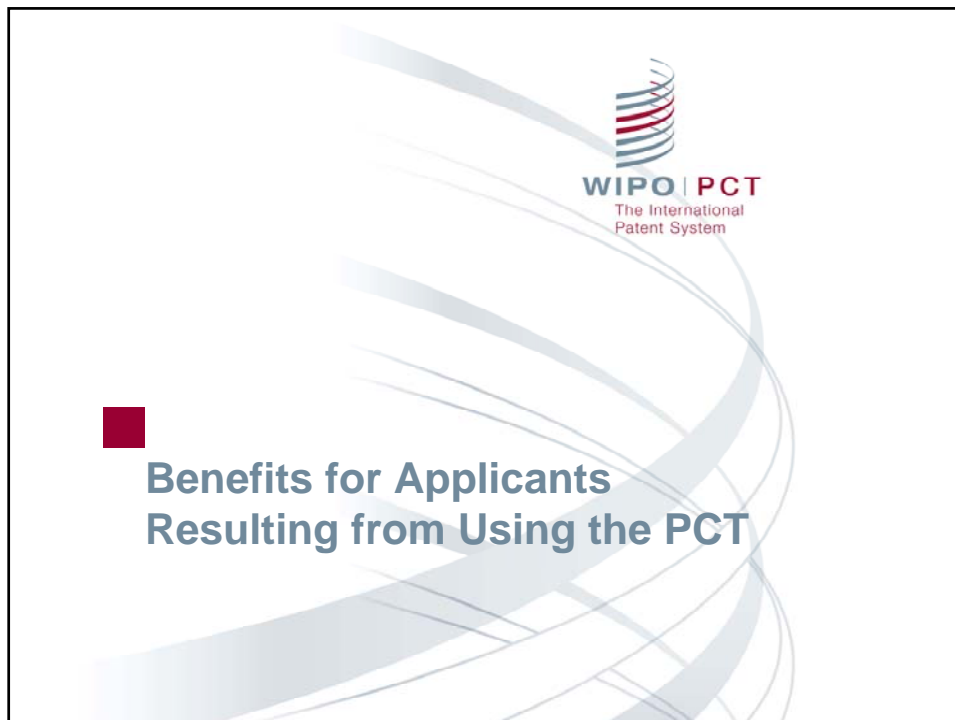
- Restoration of the right of priority (Rules 26*bis*.3 and 49*ter*)
- Rectification of obvious mistakes (Rule 91)
- Withdrawal of application in order to prevent its publication
- Withdrawal of priority claim in order to delay publication of application and/or postpone entry into national phase
- Filing by facsimile in order to meet time limits (Rule 92.4)
- Delay in mail sent to applicant: 7-day rule (Rule 80.6)

Procedural safeguards (3)

- Delay or loss in mail sent by applicant: 5-day rule, registered airmail and delivery services (Rule 82.1)
- Reinstatement of rights after failure to enter national phase within applicable time limits (Rule 49.6)
- Excuse of delays in meeting time limits by designated/elected Offices (Article 48 and Rule 82*bis*)
- Rectification by designated/elected Offices of errors made by RO or IB (Rule 82*ter*)
- Review by designated/elected Offices (Articles 24, 25 and 26)

Procedural safeguards (4)

- Excuse of delay in meeting time limits due to *force majeure* (Rule 82*quater*)
 - RO, ISA, SISA, IPEA or IB will excuse a delay in meeting any time limit provided for in the Regulations, if it is proven to the Office's satisfaction that
 - the time limit could not be met due to war, revolution, civil disorder, strike, natural calamity, or other similar reason, and
 - evidence is offered not later than six months after the expiration of the relevant time limit
 - The Rule does not apply to
 - the 12 month priority period under the Paris Convention
 - the time limit for entry into the national phase
 - The excuse of delay need not be considered by the DOs before which the national phase has already started



Benefits from using the PCT: a unique procedure

- One application, in one language, filed with one Office, replaces multiple foreign filings until entry into the national phase
- Permits last minute foreign filing (before expiration of priority year)
- International filing date has the effect of national filing date in all designated Offices
- Uniform formal requirements accepted by all designated Offices
- Greater home control of the prosecution
- Decision on foreign filings can be postponed up to 30 months from the priority date at minimal cost
- Enables assessment of economic value of the invention and the chances of obtaining a patent before entering national phase

Benefits from using the PCT: greater flexibility

- Keep options open by making all possible designations for all types of protection
- Various possibilities for withdrawal
- International publication can be prevented or postponed until as late as 15 days before the actual publication date – conditional withdrawal possible
- Further expenses can be avoided simply by no longer prosecuting the application or not entering the national phase
- Amendments made during the international phase have effect in all designated/elected States
- More time for better quality translation for the national phase
- Better planning of the expenditures for the national phase

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Benefits-3
19.04.11

Benefits from using the PCT: further features

- Postponing national filings costs earns interest on capital
- Fee reductions in national phase in certain national Offices
- More straightforward and rapid national patent granting
- Less restrictive unity of invention requirements permit a reduced number of applications in the US
- Provisional protection after publication at 18 months from the priority date (in countries which afford such protection)
- 90% reduction in PCT fees for applicants from certain Contracting States

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Patent System

Benefits-4
19.04.11



Strategies (1)

- Early or late filing in the priority year
- Automatic designation of all States bound by the PCT at the international filing date
- Withdrawal of certain designations to avoid automatic withdrawal of priority application (DE, JP, KR)
- Final decision by management or client needs to be made only prior to entry into the national phase

Strategies (2)

- Filing of a demand for international preliminary examination
 - to ensure a 30-month time limit for all designated States
 - only if needed to overcome any objections in international search report and written opinion of ISA through amendments/arguments
- 8 or 18 months more time during which improved translations can be prepared for entry into the national phase

Strategies (3)

- Gain time to
 - better identify possible markets
 - find partners (licenses)
 - better evaluate the technical value of the invention
- Increased chance for obtaining stronger foreign patents
- The final version of the claims is drafted when the commercial value of the invention is better known
- Early entry into the national phase - early issuance of patent

Strategies (4)

- Better information about possible conflicting applications by competitors prior to national entry, enabling adjustment of filing strategy and negotiating position
- International publication does not inform third parties before which designated Offices patent protection will be further pursued

Main strategies for applicants

- Need to gain time to
 - better identify possible markets
 - find partners (licenses)
 - better evaluate the technical value of the invention
- File a PCT application or file multiple regular national / regional applications
- File at the national/regional Office or the International Bureau
- File the PCT application at the end of the priority year or earlier
- File the PCT application first or file a national application first



Amendments to the PCT Regulations as from 1 January 2013

PCT Rule Changes Relating to the America Invents Act (AIA)

- US national law changes, which removed the requirement that the inventor has to be the applicant, had a direct impact on the PCT system
- PCT applications can now be filed in the name of an entity (e.g. corporate applicant, university, NGO) for all States
- Consequently, a statement explaining the lack of signature is no longer required (Rules 4.15(b), 53.8(b) and 90*bis*.5(b) were deleted)
- Rules 51*bis*.1 and 2 were modified accordingly in order to remove references to the national requirement that the inventor be the applicant
- Effective as from 1 January 2013 for applications filed on or after that date





Recent Developments

- PCT Brief
- Licensing availability
- Third Party Observations
- PATENTSCOPE enhancements
- PCT and PPH

PCT Brief

- High-level summary of recent and future developments in the PCT, with hyperlinks to more detailed information, databases, videos, etc.
- Targeted, in particular, at managers and attorneys
- Possibility to subscribe to PCT Brief mailing list to be notified about updates
- <http://www.wipo.int/pct/en/brief/index.html>

Licensing availability (1)

- Applicants interested in concluding license agreements in relation to their international application may request the International Bureau to make this information available in PATENTSCOPE:
 - How? Applicants should submit a “licensing request” (see Form PCT/IB/382) directly to the IB (preferably by means of ePCT)
 - When? At the time of filing or within 30 months from the priority date
 - Free of charge
 - Applicants can file multiple licensing requests or update previously submitted ones (within 30 months from the priority date)

Licensing availability (2)

- ❑ Licensing indications will be made publicly available after international publication of the application
- ❑ The licensing indications will be visible on PATENTSCOPE under the “*Bibliographic data*” tab with a link to the submitted licensing request itself
- ❑ International applications containing licensing information can be searched for in PATENTSCOPE
- ❑ The licensing indication displayed under the “*Bibliographic data*” tab may be revoked by the applicant at any time, that is, also after 30 months from the priority date

Third Party Observations - Main Features

- Allows third parties to submit prior art observations relevant to novelty and inventive step
- Web-based system using web-forms in PATENTSCOPE
- Free-of-charge
- Submissions possible until the expiration of 28 months from the priority date
- Applicants may submit comments in response until the expiration of 30 months from the priority date
- Anonymous submission of third party observations possible
- Third-party supplied documents will not be available via PATENTSCOPE, but will be made available to International Authorities and national Offices

Third Party Observations – Role of the IB

- Check for spam
- Notifies the applicant of submission of observations
- Makes observations available in PATENTSCOPE
- Sends to International Authorities and designated Offices observations, cited documents, and applicant responses
- Available since July 2012

PATENTSCOPE enhancements

- Information on national phase entry for more than 40 countries
- Access to 29 searchable national and regional patent collections
- Cross-Lingual Information Retrieval (CLIR)
 - Allows the search of terms or phrases and its radiants in Chinese, Dutch, English, French, German, Italian, Japanese, Korean, Portuguese, Russian, Spanish, Swedish while entering the query in only one language
- Search of PATENTSCOPE on a smartphone possible
- Corpus of English/French titles and abstracts (20 years of data) available for purchase, or free for research purposes

Patent Prosecution Highway (PPH) and PCT

- Accelerated examination in the national phase based on a positive work product of an International Authority (written opinion of the ISA or the IPEA, IPRP (Ch I or II))
- Conditions: at least one claim should have been determined to be patentable and ALL the claims must sufficiently correspond to the claims deemed patentable by the ISA or the IPEA, that is, they are of the same or similar scope or they are narrower in scope than the claims in the PCT application



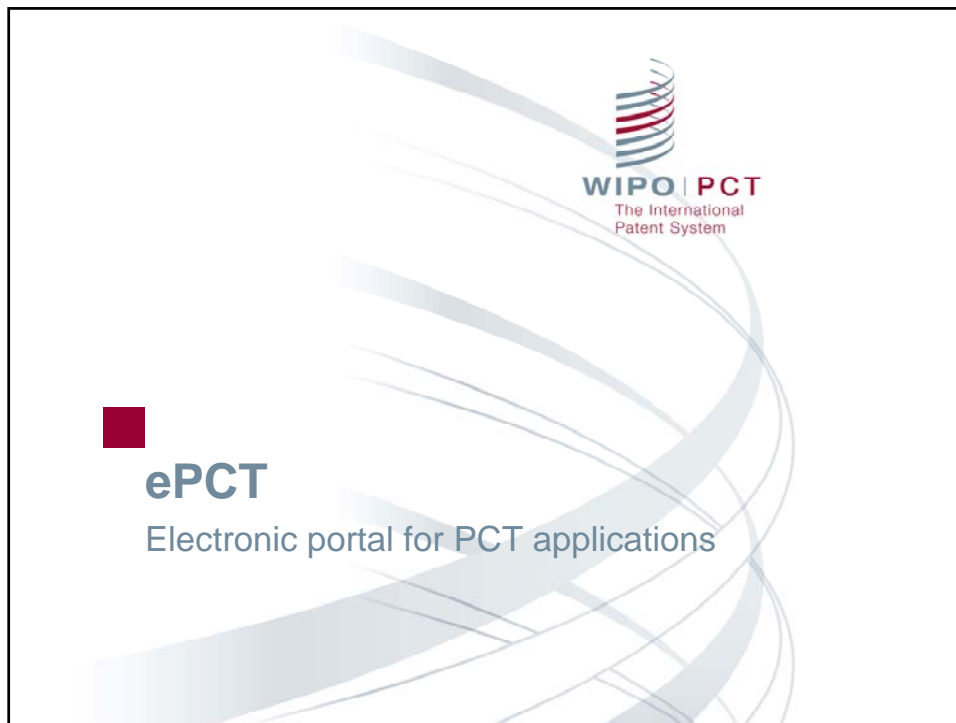
Recentdev-9
20.02.13

Patent Prosecution Highway (PPH) and PCT

- Further bilateral agreements on accelerated prosecution of PCT applications have been concluded
- Information on the PCT Website:
www.wipo.int/en/filing/pct_pph.html
- Information on the PPH Portal:
www.jpo.go.jp/cgi/linke.cgi?url=/torikumi_e/t_torikumi_e/patent_highway_e.htm
- Information on procedures and forms can be found on the websites of the participating Offices: AT, AU, CN, DK, EP, ES, FI, JP, KR, MX, RU, SE, US, XN
- The IB requests feedback on experience with PCT-PPH at pct.legal@wipo.int



Recentdev-10
20.02.13



Webinar Overview

- What is ePCT?
 - <http://pct.wipo.int/ePCT>
- Getting started
- Managing your PCT applications

Screen views from today's webinar are from the ePCT demo portal

ePCT

- Online portal that provides PCT services for both applicants and offices
- Available since May 2011
- Provides secure and direct interaction with PCT applications maintained by the International Bureau
- Applicants may now conduct most PCT transactions electronically
- Web-based electronic filing is coming soon

ePCT for Applicants and Third Parties

The ePCT system offers two distinct types of online services:

- ePCT *public* services, requiring the creation of a standard WIPO user account (no access to confidential documents or data);
- ePCT *private* services, requiring additional authentication by uploading a digital certificate to a WIPO user account.

Note that this does not yet include the filing of new international applications.

ePCT private services

Access ePCT private services
(with a digital certificate)

Smartcard holders using Internet Explorer should log in by clicking [here](#).

ePCT private online services enable access to international applications filed as of 1 January 2009, that are owned or managed by you. [Create an account](#)

Additional authentication is required by uploading a digital certificate to your user account. [Obtain/Upload a certificate](#)

ePCT public services

Access ePCT public services

ePCT *public* online services are available via the standard WIPO user account (no access to confidential documents or data). [Create an account](#)

SHORTCUTS

- Getting started
- ePCT for document upload
- Observations by Applicants and Third Parties
- User guide
- FAQ
- What's new in ePCT?
- ePCT For Offices

ePCT modes

- “Private” Services
 - Authentication using both a WIPO User Account (username and password) and a digital certificate
 - Access to full range of services and functions
 - Access to applications filed as of January 1, 2009, including before publication
- “Public” Services
 - Limited functionality (document upload and third party observations)
 - Only a WIPO User Account (username and password) is required


Getting Started

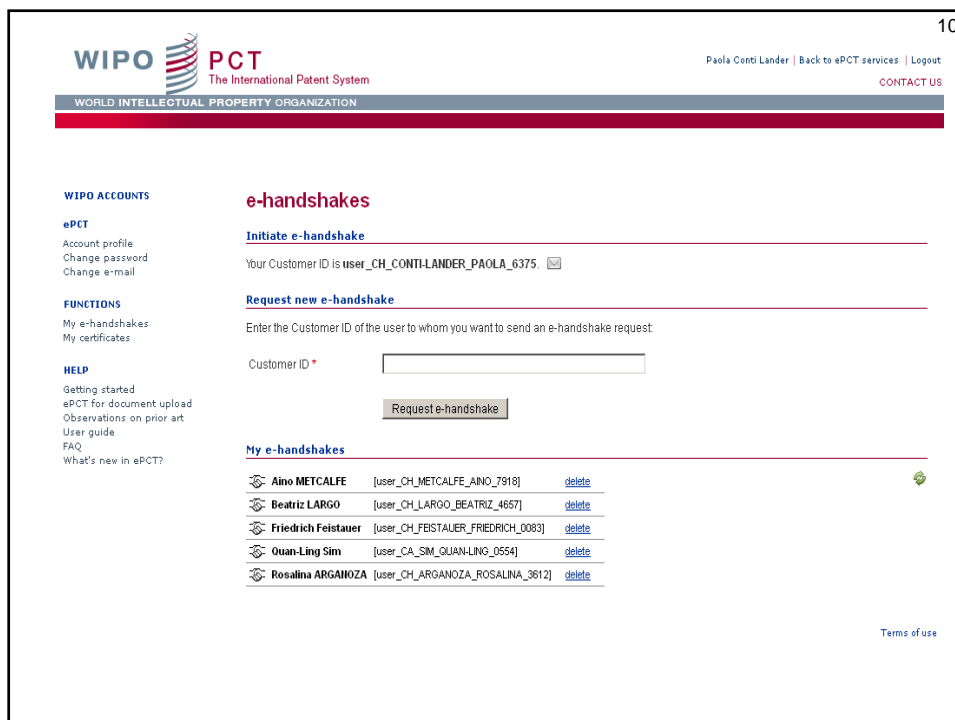
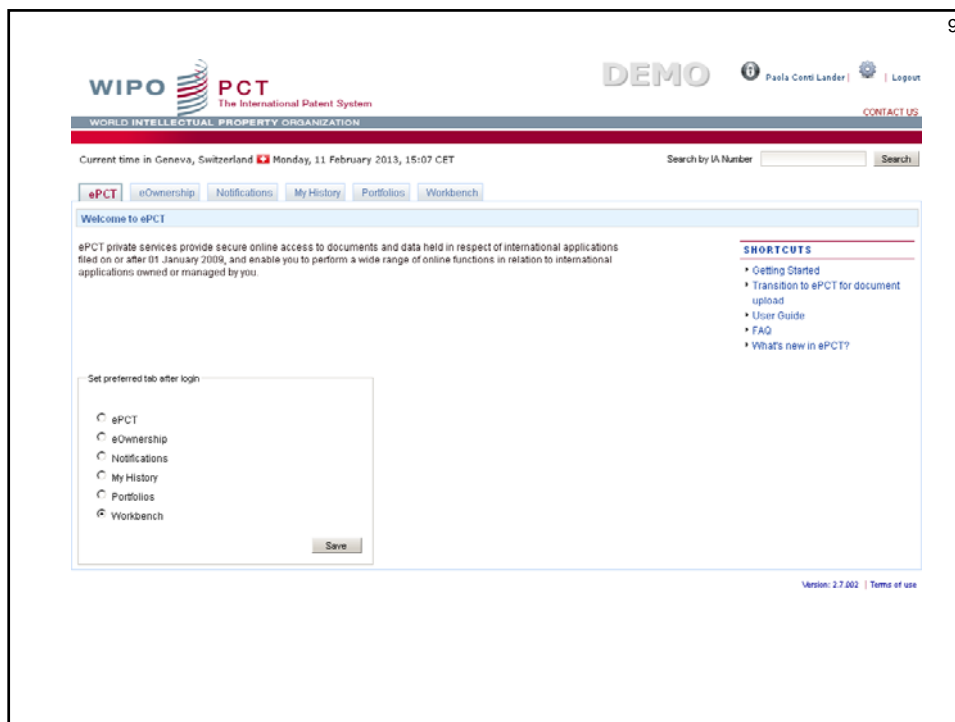
- <http://pct.wipo.int/epct>
- Creating a WIPO User Account using the WIPO Accounts service
- Obtaining/Uploading a certificate (the following certificates are currently supported)
 - WIPO digital certificate
 - EPO digital certificate (smart card)
 - KIPO digital certificate
 - JP SECOM digital certificate
- USPTO digital certificates are not supported

WIPO Digital Certificate

- A small electronic file with data that identifies the user (must be installed in your browser in order to authenticate access to ePCT private services)
- Available free-of-charge from WIPO, valid 2 years, renewable
- One-time opportunity over a two week period to download the digital certificate
- Backup the digital certificate
 - Export and password protect the digital certificate ([ePCT User Guide](#), page 31)
 - E-mail the digital certificate to yourself and/or save it on a USB stick

e-Handshake

- First step in providing access to PCT applications
- Consists in the association and trusted recognition between different WIPO User Accounts
- e-Handshakes do not directly result in shared access rights which have to be specifically assigned
- e-Handshake screen is hosted in WIPO Accounts (your name at the top of the screen functions as a shortcut link, **or select “My Account” from the cogwheel**)
-  ■ Possibility to create default list of e-Handshake users



Taking eOwnership

- At the time of electronic filing
- Subsequent to electronic filing using a supported digital certificate
- Paper-filed applications or electronically-filed applications with non-supported digital certificate
- All other cases
- Multiple applications

Taking “eOwnership” At the time of electronic filing

WIPO | PCT
The International Patent System

DEMO | Paola Conti Lander | Logout

CONTACT US

WORLD INTELLECTUAL PROPERTY ORGANIZATION

Current time in Geneva, Switzerland 🇨🇭 Tuesday, 26 February 2013, 14:45 CET

Search by IA Number

[ePCT](#) [eOwnership](#) [Notifications](#) [My History](#) [Portfolios](#) [Workbench](#)

Default access rights for my eHandshake user(s)

Manage my default access rights

Confirm eOwnership ⓘ

All fields marked with * are mandatory

Confirm eOwnership ☒ Single IA ☐ Multiple IAs

International Application Number * :

International Filing Date * :

Confirmation Code * :

Only for unpublished IAs

Request eOwnership Code for use in PCT e-filing software

Request eOwnership Code

Patent System

Taking “eOwnership” PCT-SAFE electronic filing

eOwnership Code

Copy/Paste your Customer ID and eOwnership Code to the fields on the e-filing software signature screen.
The eOwnership Code can only be used for one application.

Customer ID	user_CH_CONTI-LANDER_PAOLA_6375
eOwnership Code	RZJWVEWY4QW60

Close

Signature

Legal Signature

☒ Alphanumeric

☐ Facsimile

☐ Advanced Digital (No more signatures can be applied - this signature should be finalizing the signing process.)

Assign eOwnership in ePCT (optional)

ePCT Customer ID:

ePCT eOwnership code:

Apply Signature Cancel

Taking “eOwnership” eOLF electronic filing

Sign Application

Select an entry from the list, choose the type of signature and enter the corresponding details.

Applicants: **METCALFE, AINO**
<other>
Representatives: <other>

Sign for applicant METCALFE, AINO:

Applicant Name:

ePCT Customer ID:

ePCT eOwnership code:

Type of signature:

☒ Smart Card
☐ Soft Certificate
☐ Alphabetical
☐ Facsimile

Smart card details:

Enter PIN Code:

Place of Signing:

Sign

☐ Save settings as default (Can be changed in preferences)

Close

Taking “eOwnership” At the time of electronic filing

- Indications provided at the time of filing will be verified by the International Bureau against the record in ePCT
- eOwnership automatically assigned

Taking “eOwnership” E-filed applications (unpublished)

- Unpublished e-filed applications using a supported digital certificate
 - Both the e-filing and ePCT digital certificates must match
 - Enter the confirmation code in the bottom right-hand corner of Form PCT/IB/301
 - eOwnership automatically assigned

<p>The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland</p> <p>Facsimile No. +41 22 338 82 70 Form PCT/IB/301 (July 2010)</p>	<p>Authorized officer Bardini Ann e-mail pt04.pct@wipo.int Telephone No. +41 22 338 74 04</p> <p>I/EYK64AFLSN7PW0</p>
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Taking “eOwnership”

Paper or non-supported digital certificate

- Applications filed on paper or with non-supported digital certificate (unpublished applications only)
- Enter PCT/IB/301 confirmation code
- Will trigger an on-line form for the International Bureau to approve or reject the request

ePCT | **eOwnership** | Notifications | My History | Portfolios | Workbench | Filing

eOwnership ⓘ

All fields marked with * are mandatory

Confirm eOwnership ☒ Single IA ☐ Multiple IAs

International Application Number * : FI1230012

International Filing Date * : 1/1/2012

Confirmation Code * : MGRPLAAG68XNVCO

Only for unpublished IAs

ePCT cannot detect and validate any digital certificate used to file this international application.

Do you want to request eOwnership from the IB? [Yes](#)

WIPO | PCT
The International Patent System

ePCT | **eOwnership** | Notifications | My History | Portfolios | Workbench | Filing

eOwnership request

Please complete the form below to request eOwnership from the International Bureau.

International Application Number : PCT/FI2012/000012

International Filing Date : 01 Jan 2012

First Name : Quan-Ling

Last Name : Shen

Customer ID : user_CA_SBM_00000000_0054

Email : shen@wipo.int

Telephone Number :

Address *
If not available from WIPO Accounts :

Company Name : WIPO

Company Address :

Position in company :

Role in IA * ☒ Agent ☐ Applicant ☐ Common representative ☐ Address for correspondence

Number of claims in IA * :

Message :

Version: 2.0.004 | [Terms of use](#)

WIPO | PCT
The International Patent System

Taking “eOwnership” Other Cases

- For all other cases, by online request to the International Bureau, e.g., published applications, Rule 92*bis* changes

The screenshot shows the 'ePCT' interface with the 'eOwnership' tab selected. The 'Confirm eOwnership' section has 'Single IA' selected. The 'International Application Number' is 'US1049438' and the 'International Filing Date' is '2009/2010'. The 'Confirmation Code' field is empty. A red error message states: 'The confirmation code is no longer valid for the following reason: -92bis change since filing. Do you want to request a new confirmation code from the IB? [Yes](#)'. There are 'Confirm' and 'Clear' buttons.

Taking “eOwnership” Multiple Applications


The screenshot shows the 'ePCT' interface with the 'eOwnership' tab selected. The 'Confirm eOwnership' section has 'Multiple IAs' selected. It lists conditions for confirmation: filed electronically with a certificate supported by ePCT, not yet published, and no 92bis request has been submitted since filing. It instructs to use the 'single IA' option to request confirmation code / request eOwnership. A text area contains three IA numbers: IB11/500052,SBTKATRLGX2KF0; IB11/500053,CS9MST1VRFPJ40; IB11/500054,GSY7OLKCAHLDFO. Below, 'Accepted formats' are listed: PCT/IB2011/000123, [Confirmation code from Form 301]; IB2011/000123, [Confirmation code from Form 301]; IB11/000123, [Confirmation code from Form 301]. A note states: 'Each IA number and code pair should be on a new line ("Enter" after code)'. There are 'Confirm' and 'Clear' buttons. The 'eOwnership confirmation results' section shows a success message: 'You have successfully confirmed eOwnership of the following international applications:'. A table lists the confirmed IAs:

IA Number
PCT/IB2011/500052
PCT/IB2011/500053
PCT/IB2011/500054


eOwnership approval by the International Bureau

- Only requests from persons on the file of an IA can be approved
 - Applicant, agent, person appointed as address for correspondence, person name on the transmittal receipt for e-filed applications
- If the International Bureau cannot match the request with a person on the file, form PCT/IB/345 containing the confirmation code will be sent to the address for service
- The notification also contains the contact details of the requestor, so that the person at the address for service can pass on the confirmation code if appropriate

Workbench

- List of all PCT applications to which you have access (eOwner, eEditor, eViewer)
- The Workbench contains a number of columns
 - IA Number
 - IA Status
 - File Ref
 - [...]
-  ■ Various filter options: outstanding fees with RO/IB, receipt of search copy not yet confirmed by ISA, comments and warnings containing keywords
- Clicking on a PCT application will open up a detailed file view

23



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International Filing Date : 02 Aug 2012

Priority Date : No Priority Claim

International Publication Date :

International Publication Number :

IA Status : Not yet Published

International Application Status Report :

Processing Team at IB : R&PT Tel. +41 22 338 95 29 e-mail: spct@wipo.int

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File Reference : Demo-101

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Inventor Name : Sim, Quan-Ling

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PCT/IB2012/030488	Not yet Published	spct30	11 May 2012				EPCT COMPANY	e-Owner		
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International Application Status Report : 

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
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
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
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








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Title	: (EN) MY INVENTION	File Reference	: Demo-101
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 Priority Date : No Priority Claim
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 IA Status : **Not yet Published**
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 Address for Service :

File Reference : Demo-101
 Applicant Name : Sim, Quan-Ling
 Inventor Name : Sim, Quan-Ling
 Filing Type : E-Filing PDF
 Portfolio : TOP_INVENTIONS
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 International Filing Date : 11 May 2012
 Priority Date : 29 Apr 2011
 International Publication Date :
 International Publication Number :
 IA Status : **Not yet Published**
 International Application Status Report :
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<p>Title : (EN) MY INVENTION</p> <p>International Filing Date : 02 Aug 2012</p> <p>Priority Date : No Priority Claim</p> <p>International Publication Date : </p> <p>International Publication Number :</p> <p>IA Status : Not yet Published</p> <p>International Application Status Report :   </p> <p>Processing Team at IB : R&PT Tel.: +41 22 338 35 23 e-mail: spct@wipo.int</p> <p>Address for Service : </p>	<p>File Reference : Demo-101</p> <p>Applicant Name : Sim, Quan-Ling</p> <p>Inventor Name : Sim, Quan-Ling</p> <p>Filing Type : E-Filing PDF</p> <p>Portfolio :  TOP_INVENTIONS</p> <p>My Comments : </p> <p>Warning :  Priority period expi ...</p>
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Title : (EN) MY INVENTION
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 Priority Date : No Priority Claim
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 IA Status : **Not yet Published**
 International Application Status Report :
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Summary of key dates

International Filing Date	02 Aug 2012
Current target date for international publication	06 Feb 2014
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International Search Report/Written Opinion of the ISA expected	02 Dec 2013

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General Information	
International application number:	PCT/IB2012/030581
International Filing Date:	02 Aug 2012 (02.08.2012)
Received at the International Bureau on:	02 Aug 2012 (02.08.2012)
Applicant/agent's file reference:	Demo-101
Language of filing:	English
Filing type:	E-Filing PDF
Processing Team at the IB:	R&PT
Request for indication of availability for licensing purposes received:	No
International Publication	
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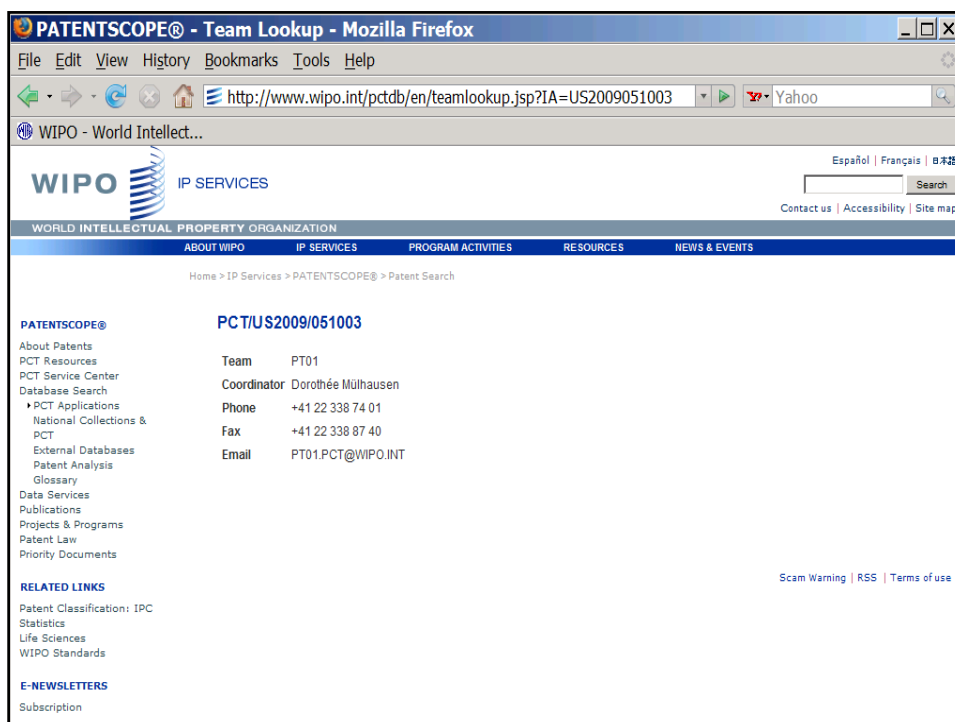
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TO BE INCLUDED
ONLY IF NECESSARY

Box No. V DESIGNATIONS

The filing of this request **constitutes under Rule 4.9(a) the designation** of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents.

However,

- ☐ DE Germany **is not designated** for any kind of national protection
- ☐ JP Japan **is not designated** for any kind of national protection
- ☐ KR Republic of Korea **is not designated** for any kind of national protection

(The check-boxes above may only be used to exclude (irrevocably) the designations concerned if, at the time of filing or subsequently under Rule 26bis.1, the international application contains in Box No. VI a priority claim to an earlier national application filed in the particular State concerned, in order to avoid the ceasing of the effect, under the national law, of this earlier national application.)

Box No. VI PRIORITY CLAIM AND DOCUMENT

The priority of the following earlier application(s) is hereby claimed:

Filing date of earlier application (day/month/year)	Number of earlier application	Where earlier application is:		
		national application: country or Member of WTO	regional application: regional Office	international application: receiving Office
item (1) 26 October 2011 (26.10.2011)	61/274,654	US		
item (2) 13 December 2011 (13.12.2011)	11187654.4		EP	
item (3)				

☐ Further priority claims are indicated in the Supplemental Box.

Furnishing the priority document(s):

☒ The **receiving Office** is requested to prepare and transmit to the International Bureau a certified copy of the earlier application(s) *(only if the earlier application(s) was filed with the receiving Office which, for the purposes of this international application, is the receiving Office)* identified above as:

☐ all items ☒ item (1) ☐ item (2) ☐ item (3) ☐ other, see Supplemental Box

☐ The **International Bureau** is requested to obtain from a digital library a certified copy of the earlier application(s) identified above, using, where applicable, the access code(s) indicated below *(if the earlier application(s) is available to it from a digital library)*:

☐ item (1) ☐ item (2) ☐ item (3) ☐ other, see Supplemental Box
access code _____ access code _____ access code _____

Restore the right of priority: the receiving Office is requested to restore the right of priority for the earlier application(s) identified above or in the Supplemental Box as item(s) (_____). *(See also the Notes to Box No. VI; further information **must** be provided to support a request to restore the right of priority.)*

Incorporation by reference: where an element of the international application referred to in Article 11(1)(iii)(d) or (e) or a part of the description, claims or drawings referred to in Rule 20.5(a) is not otherwise contained in this international application but is completely contained in an earlier application whose priority is claimed on the date on which one or more elements referred to in Article 11(1)(iii) were first received by the receiving Office, that element or part is, subject to confirmation under Rule 20.6, incorporated by reference in this international application for the purposes of Rule 20.6.

Box No. VII INTERNATIONAL SEARCHING AUTHORITY

Choice of International Searching Authority (ISA) *(if more than one International Searching Authority is competent to carry out the international search, indicate the Authority chosen; the two-letter code may be used):*

ISA/ EP

Continuation of Box No. VII USE OF RESULTS OF EARLIER SEARCH, REFERENCE TO THAT SEARCH		
<input checked="" type="checkbox"/> The ISA indicated in Box No. VII is requested to take into account the results of the earlier search(es) indicated below (<i>see also Notes to Box VII; use of results of more than one earlier search</i>).		
Filing date (<i>day/month/year</i>)	Application Number	Country (<i>or regional Office</i>)
13 December 2011 (13.12.2011)	11187654.4	EP
<input type="checkbox"/> Statement (Rule 4.12(ii)): this international application is the same, or substantially the same, as the application in respect of which the earlier search was carried out except, where applicable, that it is filed in a different language.		
<input checked="" type="checkbox"/> Availability of documents: the following documents are available to the ISA in a form and manner acceptable to it and therefore do not need to be submitted by the applicant to the ISA (Rule 12bis.1(f)): <ul style="list-style-type: none"> <input checked="" type="checkbox"/> a copy of the results of the earlier search,* <input checked="" type="checkbox"/> a copy of the earlier application, <input type="checkbox"/> a translation of the earlier application into a language which is accepted by the ISA, <input type="checkbox"/> a translation of the results of the earlier search into a language which is accepted by the ISA, <input checked="" type="checkbox"/> a copy of any document cited in the results of the earlier search. (<i>If known, please indicate below the document(s) available to the ISA</i>): 		
<input type="checkbox"/> Transmit copy of results of earlier search and other documents (<i>where the earlier search was not carried out by the ISA indicated above but by the same Office as that which is acting as the receiving Office</i>): the receiving Office is requested to prepare and transmit to the ISA (Rule 12bis.1(c)): <ul style="list-style-type: none"> <input type="checkbox"/> a copy of the results of the earlier search,* <input type="checkbox"/> a copy of the earlier application, <input type="checkbox"/> a copy of any document cited in the results of the earlier search. 		
<p>* Where the results of the earlier search are neither available from a digital library nor transmitted by the receiving Office, the applicant is required to submit them to the receiving Office (Rule 12bis.1(a)) (<i>See item 11. in the check-list and also Notes to Box No. VII</i>).</p>		
Filing date (<i>day/month/year</i>)	Application Number	Country (<i>or regional Office</i>)
<input type="checkbox"/> Statement (Rule 4.12(ii)): this international application is the same, or substantially the same, as the application in respect of which the earlier search was carried out except, where applicable, that it is filed in a different language.		
<input type="checkbox"/> Availability of documents: the following documents are available to the ISA in a form and manner acceptable to it and therefore do not need to be submitted by the applicant to the ISA (Rule 12bis.1(f)): <ul style="list-style-type: none"> <input type="checkbox"/> a copy of the results of the earlier search,* <input type="checkbox"/> a copy of the earlier application, <input type="checkbox"/> a translation of the earlier application into a language which is accepted by the ISA, <input type="checkbox"/> a translation of the results of the earlier search into a language which is accepted by the ISA, <input type="checkbox"/> a copy of any document cited in the results of the earlier search. (<i>If known, please indicate below the document(s) available to the ISA</i>): 		
<input type="checkbox"/> Transmit copy of results of earlier search and other documents (<i>where the earlier search was not carried out by the ISA indicated above but by the same Office as that which is acting as the receiving Office</i>): the receiving Office is requested to prepare and transmit to the ISA (Rule 12bis.1(c)): <ul style="list-style-type: none"> <input type="checkbox"/> a copy of the results of the earlier search,* <input type="checkbox"/> a copy of the earlier application, <input type="checkbox"/> a copy of any document cited in the results of the earlier search. 		
<p>* Where the results of the earlier search are neither available from a digital library nor transmitted by the receiving Office, the applicant is required to submit them to the receiving Office (Rule 12bis.1(a)) (<i>See item 11. in the check-list and also Notes to Box No. VII</i>).</p>		
<input type="checkbox"/> Further earlier searches are indicated on a continuation sheet.		
Box No. VIII DECLARATIONS		
The following declarations are contained in Boxes Nos. VIII (i) to (v) (<i>mark the applicable check-boxes below and indicate in the right column the number of each type of declaration</i>):		Number of declarations
<input type="checkbox"/> Box No. VIII (i)	Declaration as to the identity of the inventor	:
<input checked="" type="checkbox"/> Box No. VIII (ii)	Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent	: 1
<input type="checkbox"/> Box No. VIII (iii)	Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application	:
<input checked="" type="checkbox"/> Box No. VIII (iv)	Declaration of inventorship (only for the purposes of the designation of the United States of America)	: 1
<input type="checkbox"/> Box No. VIII (v)	Declaration as to non-prejudicial disclosures or exceptions to lack of novelty	:

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

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

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

NOT INCLUDED
(not needed since the inventor is named in Box No. III)

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

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

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

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

in relation to this international application,

CANDY WRAP UNLIMITED, INC., is entitled to apply for and be granted a patent by virtue of the following:

an assignment from JONES, Mary, to CANDY WRAP UNLIMITED, INC.,
dated 10 April 2012 (10.04.2012).

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

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

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

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

TO BE INCLUDED
ONLY IF NECESSARY

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

Box No. VIII (iv) DECLARATION: INVENTORSHIP (only for the purposes of the designation of the United States of America)

The declaration must conform to the following standardized wording provided for in Section 214; see Notes to Boxes Nos. VIII, VIII (i) to (v) (in general) and the specific Notes to Box No. VIII (iv). If this Box is not used, this sheet should not be included in the request.

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

I hereby declare that I believe I am the original inventor or an original joint inventor of a claimed invention in the application.

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

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

I hereby declare that the above-identified international application was made or authorized to be made by me.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

Name: JONES, Mary

Residence: Arlington, Virginia
(city and either US state, if applicable, or country)

Mailing Address: 1600 South Eads Street
Arlington, Virginia 22202-2913
United States of America

Inventor's Signature: Mary Jones **Date:** 18 September 2012 (18.09.2012)
(The signature must be that of the inventor, not that of the agent)

Name:

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

Mailing Address:

Inventor's Signature: **Date:**
(The signature must be that of the inventor, not that of the agent)

Name:

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

Mailing Address:

Inventor's Signature: **Date:**
(The signature must be that of the inventor, not that of the agent)

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

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

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

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

TO BE INCLUDED
ONLY IF NECESSARY

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

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

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

TO BE INCLUDED
ONLY IF NECESSARY

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) :	7	1. <input checked="" type="checkbox"/> fee calculation sheet :	1
(b) description (excluding any sequence listing part of the description, see (f), below) :	24	2. <input checked="" type="checkbox"/> original separate power of attorney :	1
(c) claims :	3	3. <input type="checkbox"/> original general power of attorney :	
(d) abstract :	1	4. <input type="checkbox"/> copy of general power of attorney; reference number: :	
(e) drawings (if any) :	4	5. <input checked="" type="checkbox"/> priority document(s) identified in Box No. VI as item(s) .2 :	1
(f) sequence listing part of the description (if any) :		6. <input type="checkbox"/> Translation of international application into (language): :	
Total number of sheets :	39	7. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material :	
		8. <input type="checkbox"/> 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 13 ^{ter} (type and number of physical data carriers) :	
		9. <input type="checkbox"/> a statement confirming that “the information recorded in electronic form submitted under Rule 13 ^{ter} 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 12 ^{bis} .1(a)) :	
		11. <input type="checkbox"/> other (<i>specify</i>): :	
Figure of the drawings which should accompany the abstract:	3	Language of filing of the international application:	English

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).

Catherine Davis

Catherine Davis

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): ISA /	
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>_____</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>	Number of sheets	<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 (<i>language</i>): :</p> <p>7. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material :</p> <p>8. <input type="checkbox"/> (<i>only where item (f) is marked in the left column</i>) 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"/> (<i>only where item (f) is marked in the left column</i>) 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 (<i>specify</i>): :</p>	Number of items
<p>Figure of the drawings which should accompany the abstract:</p>	<p>Language of filing of the international application:</p>		
<p>Box No. X SIGNATURE OF APPLICANT, AGENT OR COMMON REPRESENTATIVE</p> <p><i>Next to each signature, indicate the name of the person signing and the capacity in which the person signs (if such capacity is not obvious from reading the request).</i></p>			

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

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

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

CHOCO 95549

Applicant

CANDY WRAP UNLIMITED, INC., et al.

CALCULATION OF PRESCRIBED FEES

1. TRANSMITTAL FEE USD 240 T

2. SEARCH FEE USD 2,426 S

International search to be carried out by EP

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

3. INTERNATIONAL FILING FEE

Enter total number of sheets indicated in Box No IX: 39

i1 first 30 sheets 1,453 i1

i2 9 x 16 = 144 i2
number of sheets in excess of 30 fee per sheet

Add amounts entered at i1 and i2 and enter total at I 1,597 I

(Applicants from certain States are entitled to a reduction of 90% of the international filing fee. 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 USD 4,263

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)

- ☒ authorization to charge deposit or current account (see below) ☐ postal money order ☐ credit card (details should be furnished separately and not included on this sheet) ☐ cash
- ☐ check ☐ bank transfer ☐ 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/ US

Deposit or Current Account No.: 12-3456

Date: 20 September 2012 (20.09.2012)

Name: Catherine Davis

Signature: Catherine Davis

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/ EP

PCT

CHAPTER II

DEMAND

under Article 31 of the Patent Cooperation Treaty:

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

For International Preliminary Examining Authority use only

Identification of IPEA		Date of receipt of DEMAND
Box No. I IDENTIFICATION OF THE INTERNATIONAL APPLICATION		Applicant's or agent's file reference CHOCO 95549
International application No. PCT/US2012/654321	International filing date (<i>day/month/year</i>) 20 September 2012 (20.09.2012)	(Earliest) Priority date (<i>day/month/year</i>) 26 October 2011 (26.10.2011)
Title of invention PROCESS FOR FOLDING WRAPPING PAPER FOR CHOCOLATES		
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>) CANDY WRAP UNLIMITED, INC. 300 Colorado Street Baltimore, Maryland 21201-4307 United States of America		Telephone No. (+1) 301 876-5432
		Facsimile No. (+1) 301 876-5555
		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. <input type="checkbox"/> as advance copies followed by paper notifications; or <input checked="" type="checkbox"/> exclusively in electronic form (no paper notifications will be sent). E-mail address: <u>candy@anumma.com</u>		
State (<i>that is, country</i>) of nationality: US		State (<i>that is, country</i>) of residence: US
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.		

Continuation of Box No. II APPLICANT(S)

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

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

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

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

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

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

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

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

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

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

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

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

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

☐

Further applicants are indicated on another continuation sheet.

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.)*

DAVIS, Catherine
 2500 Virginia Avenue, N.W.
 Washington, D.C. 20037-1902
 United States of America

Telephone No.

(+1) 301 557-3054

Facsimile No.

(+1) 301 557-3060

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: davispatents@anumma.com

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

Box No. IV BASIS FOR INTERNATIONAL PRELIMINARY EXAMINATION**Statement concerning amendments:***

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

- ☐ the international application as originally filed
- the description ☐ as originally filed
☒ as amended under Article 34
- the claims ☐ as originally filed
☐ as amended under Article 19
☒ as amended under Article 34
- the drawings ☒ as originally filed
☐ as amended under Article 34

2. ☐ The applicant wishes any amendment to the claims under Article 19 to be considered as reversed.

3. ☐ Where the IPEA wishes to start the international preliminary examination at the same time as the international search in accordance with Rule 69.1(b), the applicant requests the IPEA **to postpone** the start of the international preliminary examination until the expiration of the applicable time limit under Rule 69.1(d).

4. ☐ The applicant expressly wishes the international preliminary examination **to start earlier** than at the expiration of the applicable time limit under Rule 54bis.1(a).

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

Language for the purposes of international preliminary examination: English

- ☒ 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.

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 | : | 3 | sheets |
| 3. letter accompanying the amendments under Article 34 (Rule 66.8) | : | 2 | 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"/>
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<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 checked="" type="checkbox"/> fee calculation sheet | 5. <input type="checkbox"/> sequence listing in electronic form |
| 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).

Catherine Davis
Catherine Davis

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 Rule 82.

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 Rule 82.

For International Bureau use only

Demand received from IPEA on:

PCT

FEE CALCULATION SHEET

Annex to the Demand

International application No. PCT/US2012/654321	For International Preliminary Examining Authority use only			
Applicant's or agent's file reference CHOCO 95549	Date stamp of the IPEA			
Applicant CANDY WRAP UNLIMITED, INC.				
CALCULATION OF PRESCRIBED FEES				
1. Preliminary examination fee	<div style="border: 1px solid black; padding: 2px;">EUR 1,850</div> <div style="border: 1px solid black; padding: 2px; width: 20px; text-align: center;">P</div>			
2. Handling fee (<i>Applicants from certain States are entitled to a reduction of 90% of the handling fee. Where the applicant is (or all applicants are) so entitled, the amount to be entered at H is 10% of the handling fee.</i>)	<div style="border: 1px solid black; padding: 2px;">EUR 165</div> <div style="border: 1px solid black; padding: 2px; width: 20px; text-align: center;">H</div>			
3. Total of prescribed fees Add the amounts entered at P and H and enter total in the TOTAL box	<div style="border: 1px solid black; padding: 2px;">EUR 2,015</div> <div style="border: 1px solid black; padding: 2px; text-align: center;">TOTAL</div>			
MODE OF PAYMENT <i>(Not all modes of payment may be available at all IPEAs)</i>				
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <input checked="" type="checkbox"/> authorization to charge deposit or current account with the IPEA (see below) <input type="checkbox"/> cheque <input type="checkbox"/> postal money order <input type="checkbox"/> bank transfer </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> credit card (<i>details should be furnished separately and not included on this sheet</i>) <input type="checkbox"/> revenue stamps <input type="checkbox"/> cash <input type="checkbox"/> other (<i>specify</i>): _____ </td> </tr> </table>			<input checked="" type="checkbox"/> authorization to charge deposit or current account with the IPEA (see below) <input type="checkbox"/> cheque <input type="checkbox"/> postal money order <input type="checkbox"/> bank transfer	<input type="checkbox"/> credit card (<i>details should be furnished separately and not included on this sheet</i>) <input type="checkbox"/> revenue stamps <input type="checkbox"/> cash <input type="checkbox"/> other (<i>specify</i>): _____
<input checked="" type="checkbox"/> authorization to charge deposit or current account with the IPEA (see below) <input type="checkbox"/> cheque <input type="checkbox"/> postal money order <input type="checkbox"/> bank transfer	<input type="checkbox"/> credit card (<i>details should be furnished separately and not included on this sheet</i>) <input type="checkbox"/> revenue stamps <input type="checkbox"/> cash <input type="checkbox"/> other (<i>specify</i>): _____			
AUTHORIZATION TO CHARGE (OR CREDIT) DEPOSIT OR CURRENT ACCOUNT <i>(This mode of payment may not be available at all IPEAs)</i>				
<input checked="" type="checkbox"/> Authorization to charge the total fees indicated above. <input type="checkbox"/> (<i>This check-box may be marked only if the conditions for deposit or current accounts of the IPEA so permit</i>) Authorization to charge any deficiency or credit any overpayment in the total fees indicated above.		IPEA/ <u>EP</u> Deposit or Current Account No.: <u>123456</u> Date: <u>6 May 2013 (06.05.2013)</u> Name: <u>Catherine Davis</u> Signature: <u>Catherine Davis</u>		

B1

Information on Contracting States

B1

BN

BRUNEI DARUSSALAM

BN

General information

Name of Office:	Patent Registry Office (Brunei Darussalam)
Location and mailing address:	Knowledge Hub (KHub), Block B26, Simpang 32-37, Anggerek Desa, Bandar Seri Begawan BB3713, Negara Brunei Darussalam
Telephone:	(673) 238 09 65, 238 09 66
Facsimile machine:	(974) 238 05 45
E-mail:	enquiries@brunei-patents.com.bn
Internet:	www.brunei-patents.com.bn
Does the Office accept the filing of documents by means of telecommunication (PCT Rule 92.4)?	Yes, by facsimile
Which kinds of documents may be so transmitted?	Only documents that do not require payment of any official fees
Must the original of the document be furnished in all cases?	Yes, within 14 days from the date of transmission
Does the Office send notifications via e-mail in respect of international applications?	Yes
Would the Office accept evidence of mailing a document, in case of loss or delay, where a delivery service other than the postal authorities is used (PCT Rule 82.1)?	Yes
Competent receiving Office for nationals and residents of Brunei Darussalam:	Patent Registry Office (Brunei Darussalam) or International Bureau WIPO, at the choice of the applicant (see Annex C)
Competent designated (or elected) Office if Brunei Darussalam is designated (or elected):	Patent Registry Office (Brunei Darussalam)
May Brunei Darussalam be elected?	Yes (bound by Chapter II of the PCT)
Types of protection available via the PCT:	Patents
Provisions of the law of Brunei Darussalam concerning international-type search:	None

[Continued on next page]

B1**Information on Contracting States****B1****BN****BRUNEI DARUSSALAM****BN***[Continued]*Provisional protection after
international publication:

None

Information of interest if Brunei Darussalam is designated (or elected)Time when the name and address
of the inventor must be given
if Brunei Darussalam is designated (or
elected):May be in the request or may be furnished later. If not already
complied with within the time limit applicable under PCT Article 22
or 39(1), the Office will invite the applicant to comply with the
requirement within a time limit of two months from the date of the
invitation.Are there special provisions concerning
the deposit of microorganisms and other
biological material?

Yes (see Annex L)

DRAFT

C**Receiving Offices****C****BN****PATENT REGISTRY OFFICE
(BRUNEI DARUSSALAM)****BN**

Competent receiving Office for nationals and residents of:	Brunei Darussalam
Language in which international applications may be filed:	English
Language in which the request may be filed:	English
Number of copies on paper required by the receiving Office:	3
Does the receiving Office accept the filing of international applications with requests in PCT-EASY format? ¹	Yes
Types of physical media accepted by the receiving Office:	CD-R, CD-ROM, DVD, DVD-R
Does the receiving Office accept the filing of international applications in electronic form?	No
Does the receiving Office accept requests for restoration of the right of priority (PCT Rule 26bis.3)?	Yes, the Office applies both the “unintentional” and the “due care” criteria to such requests
Competent International Searching Authority:	Australian Patent Office, Austrian Patent Office, European Patent Office or Korean Intellectual Property Office
Competent International Preliminary Examining Authority:	Australian Patent Office, Austrian Patent Office, European Patent Office or Korean Intellectual Property Office

[Continued on next page]

¹ Where the request is filed in PCT-EASY format together with the electronic file on a physical medium and the receiving Office accepts such filings, the total amount of the international filing fee is reduced (see “Fees payable to the receiving Office”).

BN

Receiving Offices
PATENT REGISTRY OFFICE
(BRUNEI DARUSSALAM)

C

BN

[Continued]

Fees payable to the receiving Office:	Currency: Brunei dollars (BND)
Transmittal fee:	BND 150
International filing fee:	Equivalent in BND of Swiss francs 1,330
Fee per sheet in excess of 30:	Equivalent in BND of Swiss francs 15
Reductions (under Schedule of Fees, item 4):	
PCT-EASY: ²	Equivalent in BND of Swiss francs 100
Search fee:	Equivalent in BND of the search fee payable to the International Searching Authority chosen by the applicant (see Annex D(AT), (AU), (EP) or (KR))
Fee for priority document:	BND 50
Fee for requesting restoration of the right of priority (PCT Rule 26bis.3(d)):	BND 500
Is an agent required by the receiving Office?	No, but an address for service in Brunei Darussalam is required
Who can act as agent?	Any natural or legal person resident in Brunei Darussalam
Waiver of power of attorney:	
Has the Office waived the requirement that a separate power of attorney be submitted?	Yes ³
Particular instances in which a separate power of attorney is required:	Where an agent or common representative who is not indicated on the request form at the time of filing performs any action after filing; or where it is unclear that an agent or common representative has power to act on behalf of the applicant
Has the Office waived the requirement that a copy of a general power of attorney be submitted?	Yes ³
Particular instances in which a copy of a general power of attorney is required:	Where an agent or common representative who is not indicated on the request form at the time of filing performs any action after filing; or where it is unclear that an agent or common representative has power to act on behalf of the applicant

² See footnote 1.

³ Waivers of powers of attorney do not apply (PCT Rule 90.4(e) and 90.5(d)) where the agent or common representative submits any notice of withdrawal during the international phase (PCT Rule 90bis.1 to 90bis.4; see also International Phase, paragraph 11.048).

PATENT COOPERATION TREATY

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference P08017	FOR FURTHER ACTION see Form PCT/ISA/220 as well as, where applicable, item 5 below.	
International application No. PCT/EP2009/060890	International filing date (day/month/year) 24/08/2009	(Earliest) Priority Date (day/month/year) 25/08/2008
Applicant RATIOPHARM GMBH		

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

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

- a. the figure of the **drawings** to be published with the abstract is Figure No. _____
☐ as suggested by the applicant.
☐ as selected by this Authority, because the applicant failed to suggest a figure
☐ as selected by this Authority, because this figure better characterizes the invention
 b. ☒ none of the figures is to be published with the abstract

INTERNATIONAL SEARCH REPORT

International application No
PCT/EP2009/060890

A. CLASSIFICATION OF SUBJECT MATTER
INV. A61K31/517

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)

A61K

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 practical, search terms used)

EPO-Internal, WPI Data, BIOSIS, EMBASE

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	WO 2007/143483 A (SMITHKLINE BEECHAM CORP [US]; WHITEHEAD BONNIE F [US]; HO PETER T C [U] 13 December 2007 (2007-12-13) page 8, paragraph 3; table 1	1-9
A	WO 2006/113649 A (SMITHKLINE BEECHAM CORK LTD [IE]; CARTER BARRY HOWARD [US]; CAMPBELL D) 26 October 2006 (2006-10-26) cited in the application the whole document	1-9

☒ Further documents are listed in the continuation of Box C.

☒ See patent family annex.

* Special categories of cited documents:

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

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

Date of the actual completion of the international search

9 October 2009

Date of mailing of the international search report

16/10/2009

Name and mailing address of the ISA/

European Patent Office, P.B. 5818 Patentlaan 2
NL - 2280 HV Rijswijk
Tel. (+31-70) 340-2040,
Fax: (+31-70) 340-3016

Authorized officer

Zimmer, Barbara

INTERNATIONAL SEARCH REPORT

International application No

PCT/EP2009/060890

C(Continuation). DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	<p>GLAXO GROUP: "Tyverb 250mg" GEBRAUCHSINFORMATION, [Online] June 2008 (2008-06), XP002504935 Retrieved from the Internet: URL: http://www.gsk-arzneimittel.de/e9/search.xml?action=search&search=tyverb&x=0&y=0 [retrieved on 2008-11-21] the whole document</p>	1-9
A	<p>WO 2008/067144 A (SMITHKLINE BEECHAM CORK LTD [IE]; BULLER RICHARD [US]; BERGER MARK [US] 5 June 2008 (2008-06-05) page 15 - page 17</p>	1-9

INTERNATIONAL SEARCH REPORT

Information on patent family members

International application No

PCT/EP2009/060890

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
WO 2007143483	A	13-12-2007	NONE	
WO 2006113649	A	26-10-2006	AR 054252 A1	13-06-2007
			AU 2006236423 A1	26-10-2006
			CA 2606207 A1	26-10-2006
			CN 101203211 A	18-06-2008
			EA 200702253 A1	28-04-2008
			EP 1871347 A1	02-01-2008
			JP 2008536931 T	11-09-2008
			KR 20080005557 A	14-01-2008
			US 2008206330 A1	28-08-2008
WO 2008067144	A	05-06-2008	EP 2088862 A2	19-08-2009

PATENT COOPERATION TREATY

From the
INTERNATIONAL SEARCHING AUTHORITY

To:

see form PCT/ISA/220

PCT

WRITTEN OPINION OF THE
INTERNATIONAL SEARCHING AUTHORITY
(PCT Rule 43bis.1)

Date of mailing
(day/month/year) see form PCT/ISA/210 (second sheet)

Applicant's or agent's file reference
see form PCT/ISA/220

FOR FURTHER ACTION
See paragraph 2 below

International application No.
PCT/EP2009/060890

International filing date (day/month/year)
24.08.2009

Priority date (day/month/year)
25.08.2008

International Patent Classification (IPC) or both national classification and IPC
INV. A61K31/517

Applicant
RATIOPHARM GMBH

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 43bis.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- ☐ Box No. VI Certain documents cited
- ☒ Box No. VII Certain defects in the international application
- ☐ Box No. VIII Certain observations on the international application

2. FURTHER ACTION

If a demand for international preliminary examination is made, this opinion will usually 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 66.1bis(b) that written opinions of this International Searching Authority will not be so considered.

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

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

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

Name and mailing address of the ISA:



European Patent Office
D-80298 Munich
Tel. +49 89 2399 - 0
Fax: +49 89 2399 - 4465

Date of completion of
this opinion

see form
PCT/ISA/210

Authorized Officer

Zimmer, Barbara

Telephone No. +49 89 2399-8600



**WRITTEN OPINION OF THE
INTERNATIONAL SEARCHING AUTHORITY**

 International application No.
PCT/EP2009/060890

Box No. I Basis of the opinion

1. With regard to the **language**, this opinion has been established on the basis of:
 - ☒ the international application in the language in which it was filed
 - ☐ 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 43bis:1(a))
3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application and necessary to the claimed invention, this opinion has been established on the basis of:
 - a. type of material:
 - ☐ a sequence listing
 - ☐ table(s) related to the sequence listing
 - b. format of material:
 - ☐ on paper
 - ☐ in electronic form
 - c. time of filing/furnishing:
 - ☐ contained in the international application as filed.
 - ☐ filed together with the international application in electronic form.
 - ☐ furnished subsequently to this Authority for the purposes of search.
4. ☐ In addition, in the case that more than one version or copy of a sequence listing and/or table relating thereto has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that in the application as filed or does not go beyond the application as filed, as appropriate, were furnished.
5. Additional comments:

**WRITTEN OPINION OF THE
INTERNATIONAL SEARCHING AUTHORITY**International application No.
PCT/EP2009/060890

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

1. Statement

Novelty (N)	Yes: Claims	<u>1-9</u>
	No: Claims	
Inventive step (IS)	Yes: Claims	<u>1-9</u>
	No: Claims	
Industrial applicability (IA)	Yes: Claims	<u>1-9</u>
	No: Claims	

2. Citations and explanationssee separate sheet

Box No. VII Certain defects in the international application

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

see separate sheet

**WRITTEN OPINION OF THE
INTERNATIONAL SEARCHING
AUTHORITY (SEPARATE SHEET)**

International application No.

PCT/EP2009/060890

Re Item V

Reasoned statement with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Reference is made to the following documents:

D1: WO-A-2007/ 143483

D2: WO-A-2006/ 113649

D3: XP002504935

2. Novelty

Prior art document D1 discloses unit dosage forms comprising 0.5mg to 1000mg of lapatinib, which is below the amount claimed in the present application (p. 8, para. 3). Furthermore, a daily dose of 1250mg or 1500mg lapatinib is disclosed in D1 without, however, further specifying the amounts of active agent per unit dose (Table 1). Tablets comprising 250mg lapatinib are further known from D2 (ex. 1) and D3 is the package leaflet of Tyverb® 250mg, of which 5 tablets have to be administered per day.

Thus, in view of the cited prior art, the subject-matter of claims 1-9 seems to be novel (Art. 33(2) PCT).

3. Inventive Step

D3, which is regarded as closest prior art, differs from the subject-matter of the present application in the amount of active agent per unit dose.

In view of the cited prior art, the technical problem of the present application seems to be the provision of an alternative dosage form of lapatinib, which is convenient to administer and which contains the whole daily lapatinib medication in a unit dose.

The provision of a unit dose comprising between 1200 and 1300mg lapatinib is not obvious in view of the cited prior art. As shown in the examples, the lapatinib

**WRITTEN OPINION OF THE
INTERNATIONAL SEARCHING
AUTHORITY (SEPARATE SHEET)**

International application No.

PCT/EP2009/060890

formulations of the present application are even superior compared to the reference with regard to in-vitro parameters (fig. 1).

As a result, the subject-matter of claims 1-9 of the present application seems to involve an inventive step (Art. 33(3) PCT).

Re Item VII

Certain defects in the international application

As the wording "not constructed as being limiting" is not deleted in the description (p. 8) the requirements of Rules 5 and 9.1 PCT are not met.