

C. PCT 1623

June 2, 2021

Madam,  
Sir,

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

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

The present Circular consults on proposed modifications of the Administrative Instructions and certain Forms relating to the following three objectives: 1) encouraging wider use of electronic means of communication between Offices and applicants; 2) clarifying certain provisions providing for a future decommissioning of PCT-SAFE; and 3) providing a legal basis for the conversion of international applications into XML format and for subsequent processing of such applications on that basis.

The first objective was necessitated by the special circumstances encountered by many Offices at the beginning of the COVID-19 pandemic, where those Offices were left with only electronic means for communicating with applicants when postal services experienced outages. As the pandemic continues, this may continue to be a concern at many Offices. In addition, it is believed that, even after the pandemic, in order to reduce costs and increase efficiencies, applicants should be encouraged to accept electronic means of communication from Offices as far as this is practically possible.

The second objective relates to the intention of the International Bureau (IB) to decommission PCT-SAFE, the function of which can largely be replaced by ePCT which has many advantages over the former. Although only a small number of ROs continue to accept PCT-SAFE as a filing tool, certain provisions within the Administrative Instructions need to be updated in order to remove references to PCT-SAFE.

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The third objective is to respond to the desire of a number of Offices, including the IB, to enable direct processing of international applications in XML format, even for international applications not originally filed in this format. The benefits of filing and processing international applications in XML format, especially the improvements in efficiency and reliability by enabling direct text transcription and content-based processing, have been widely recognized. In recent years, at certain ROs international applications have been increasingly filed and processed in XML format. Even for those international applications not filed in this format, a number of ROs would like to convert them into XML format and then process them on the basis of the XML files. Moreover, currently at those Offices, any replacement sheets filed by the applicant after the international filing date cannot be filed and processed directly in XML format, requiring these international applications to be corrected, etc., again in PDF format. Furthermore, the IB would also like to generate the international publication in PDF format based on the content of those international applications received in XML format from the ROs, whether such XML files were directly filed by the applicant or prepared by the ROs by conversion from documents filed by the applicant. It would thus be desirable to provide a legal basis allowing Offices, if they wish to do so, to convert international applications and subsequently filed documents into XML format and then process them on that basis as a formal copy recognized by the PCT.

Modifications of the Administrative Instructions and certain Forms are therefore proposed for the above purposes. Detailed explanations of the proposed modifications are provided below, noting that there may also be some other proposed modifications not covered by the above objectives.

It should also be noted that another round of consultation for modification of the Administrative Instructions and Forms will be undertaken in the near future for the purpose of implementing WIPO Standard ST.26 in the PCT, which may concern some of the same parts of the Administrative Instructions or same Forms addressed in the present Circular. In order to reduce the complexity that may be caused by mixing these issues together, the IB has decided to consult on those proposed modifications separately.

#### *I. Proposed modifications of the Administrative Instructions*

Section 102(h) is proposed to be modified to provide Offices with more flexibility to design their online filing interfaces in respect of the specification of communication means with the applicant. As proposed in item (ix) of this paragraph, for the purpose of specifying the means of communication between the Office and the applicant, ROs and IPEAs would be able to design the respective electronic request and demand forms used in their online systems with additional details or even different details in comparison with the paper forms. For example, an Office may add an option for online retrieval if it provides for such a service (see below explanations concerning Section 709), require or provide more technical details in this respect, or even remove the postal mail option based on the applicant's express or implicit consent. The same would also apply to the supplementary search request form, but it is not explicitly regulated here as this form is not considered an obligatory form.

Under Section 705*bis*, ROs, the IB and ISAs have been free to convert international applications filed on paper into electronic form for some time. A new Section 705*ter* is now proposed to be added to provide a legal basis for permitting international applications to be converted from one electronic format (for example, PDF format) to another electronic format (particularly XML format) and processed on that basis. This would authorize ROs, the IB and ISAs to convert international applications into XML format and use the resulting XML version of the application as the home copy, record copy, or search copy, with the downstream processing of the international application being based on the converted format as an official

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copy. The original electronic file should be kept in the file for reference for a minimum period of time according to Rule 93. Any inconsistency caused by the conversion should be correctable, in the same way as in Section 705*bis*(d) and (e).

Following the proposed modifications in Section 705*ter*, it is further proposed to modify Section 705*bis* with respect to the used terminologies to clarify that the latter applies to the case of “scanning” (which is the real meaning of this Section although the current text is rather broad) and the former applies to the case of “conversion”. Some corresponding changes are also proposed to be made with respect to the wording of this Section.

In Section 709, it is proposed to provide a legal basis (in paragraph (b-*bis*)) for Offices to accomplish transmittal of notifications or other documents to the applicant by making them available for retrieval by the applicant through a dedicated electronic system. In such a case, the document would be considered to have been transmitted to the applicant when it was made available for the applicant’s retrieval. The term “transmit” or “transmission” in the context of this Section will cover all the means by which a document is communicated by an Office to the applicant, including postal mail, e-mail, and making available for online retrieval. In the case of online retrieval, it is suggested that the respective Office should send a reminder (by e-mail or a SMS message etc.) to the applicant unless the applicant chooses not to receive it. Moreover, it is proposed to provide a legal basis (in paragraph (d)) to enable an Office, if agreed by the IB, to request the latter to transmit documents to the applicant by electronic means on its behalf, and details in this respect would be left to the Office concerned and the IB to discuss if such a request would arise. Some corresponding changes in the wording and terminologies used in this Section are also proposed.

Section 713(b) is proposed to be modified to remove the exclusion of Section 705*bis*(b) to (e) from its applicability. Generally, the principle and procedures provided in Section 705*bis*(c) to (e) shall be applicable to those other communications and correspondence as well. It is the same case in respect of Section 705*ter*(c) to (e). When it comes to any specific circumstance under which the relevant provisions cannot apply to those other documents, the condition in the provision “if they are capable of applying” would be sufficient to avoid any confusion in this regard. It is therefore suggested to not exclude the applicability of Sections 705*bis*(c) to (e) and 705*ter*(c) to (e) from this provision.

Following the proposed modifications in Section 709(b-*bis*) explained above, a new section 5.1*ter* is proposed to be added in Annex F to set out the technical requirements to be met as to how an Office may transmit documents to the applicant by making them available for online retrieval. The terms used are purposely kept general so that the requirements may also apply to Office to Office communication.

In order to prepare for the future decommissioning of PCT-SAFE, it is proposed to modify Annex F, section 6, to remove the specific reference to PCT-SAFE and only refer to the software provided by the IB generally. The IB intends to insert an Editor’s Note here, which would read: “The current software provided by the International Bureau for this purpose is ePCT. However, for as long as the PCT-SAFE software is still available, any receiving Office may continue to accept PCT-SAFE or both ePCT and PCT-SAFE for this purpose during a transitional period.” Similar changes will be made to the current Editor’s Note in Section 703(b)(iv) accordingly and to any other Editor’s Notes if necessary.

It is noted that at the moment certain ROs are not in a position to accept ePCT for the filing of international applications due to constraints of their national laws and practice. If this continues to be the case when PCT-SAFE will be decommissioned in the future (expected to be around July 1, 2022), the IB will consider to modify Section 703(f) to enable such ROs to

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make a notification of incompatibility regarding Section 709(b)(iv) before the scheduled time of decommissioning. Meanwhile, the IB would be pleased to assist any such Office to find a way to overcome any obstacles preventing it from accepting ePCT.

In respect of changes to Annex F, consultations under PCT Rule 89.2 are also being conducted in accordance with the procedure set out in section 2.5 of Annex F. The IB has accordingly prepared Proposal For Change (PFC) files for both changes to Annex F mentioned above, and has made the PFC files available in the WIPO Wiki (available at: <https://www3.wipo.int/confluence/display/PCTAFCG>) to enable the prompt sharing of comments in an online forum where existing members of the consultative group may post comments directly on to the WIPO Wiki page.

- ./ The proposed modifications of the Administrative Instructions are set out in Annex I to this Circular. Certain paragraphs that are not proposed to be modified have been included for ease of reference.

## II. *Proposed modifications of certain Forms annexed to the Administrative Instructions*

Form PCT/RO/101 (Request) is proposed to be modified in order to encourage wider use of electronic means of communication between Offices and applicants. Specifically, in Boxes No. II and IV, e-mail is made the default option for applicants to receive notifications from Offices which provide such a service. Noting that Rule 89*bis*.1(a) obliges all ROs to continue to permit the filing of international applications on paper and the request form in its present format is to be primarily used for paper filings, and further noting that certain applicants may have legitimate concerns with receiving notifications by e-mail, it is suggested to continue to provide a postal mail option as an exception to the default. Receipt of notifications by postal mail and also by e-mail will no longer be an option. As a result, receiving postal mail only would be the least advantageous option for applicants and hopefully chosen the least. Furthermore, the sub-box for indicating an e-mail address is moved higher on the form for better visibility. Meanwhile, for international applications filed electronically, the RO may make appropriate adjustments in this regard in the electronic request form to be used in its online filing system (see above explanations concerning Section 102(h)). Corresponding changes and explanations are proposed in the Notes to the Request Form.

Forms PCT/IB/375 (Supplementary Search Request) and PCT/IPEA/401 (Demand) are proposed to be modified similarly for the same reasons mentioned above.

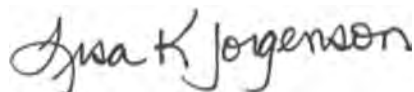
- ./ The PCT Forms which are proposed to be modified are set out in Annex II to this Circular. The proposed modifications to the Forms are shown in a marked-up way which indicates deleted and new text on separate pages. Thus, on the first marked-up page, the deleted text appears in red with the text struck out. This is followed by the second marked-up page of the same page where new text is underlined in blue. Each page indicates clearly whether the modifications concern deleted or new text.

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*III. Comments on the proposed modifications of the Administrative Instructions and certain Forms*

Your Office is invited to provide comments, if any, by June 29, 2021, by e-mail to: [pct.legal@wipo.int](mailto:pct.legal@wipo.int).

Yours sincerely,

A handwritten signature in black ink that reads "Lisa K. Jorgenson". The signature is written in a cursive, flowing style.

Lisa Jorgenson  
Deputy Director General

Enclosures: Annex I — Proposed modifications of the Administrative Instructions

Annex II — Proposed modified PCT Forms PCT/RO/101 (Request), PCT/IB/375 (Supplementary search request), and PCT/IPEA/401 (Demand) (modified pages only)

MODIFICATIONS OF THE ADMINISTRATIVE INSTRUCTIONS

**Section 102**  
**Use of the Forms**

- (a) [No change]
- (b) Slight variations in layout necessary in view of the printing of the Forms referred to in paragraph (a) in various languages are permitted.
- (c) Slight variations in layout in the Forms referred to in paragraph (a)(ii) to (v) are permitted to the extent necessary to meet the particular office requirements of the International Authorities, in particular in view of the production of the Forms by computer or of the use of window envelopes.
- (d) Where the receiving Office, the International Searching Authority and/or the International Preliminary Examining Authority are each part of the same Office, the obligation to use the Forms referred to in paragraph (a) does not extend to communications within that same Office.
- (e) The annexes to Forms PCT/RO/106, PCT/RO/118, PCT/ISA/201, PCT/ISA/205, PCT/ISA/206, PCT/ISA/210, PCT/ISA/219, PCT/IB/313, PCT/IB/336, PCT/IPEA/404, PCT/IPEA/405 and PCT/IPEA/415 may be omitted in cases where they are not used.
- (f) The notes attached to Forms PCT/RO/101 (request Form), PCT/IB/375 (supplementary search request Form) and PCT/IPEA/401 (demand Form) shall be distributed by the International Authorities concerned together with the printed versions of those Forms. The notes attached to Form PCT/ISA/220 shall accompany the Form when sent to the applicant.
- (g) The use of Forms other than those referred to in paragraph (a) is optional.
- (h) Where the request or the demand is presented as a computer print-out, such print-out shall be prepared as follows:
- (i) subject to subparagraph (ix), the layout and contents of the request and the demand when presented as computer print-outs shall correspond to the format of Forms PCT/RO/101 (request Form) and PCT/IPEA/401 (demand Form) (“the printed Forms”), with the same information being presented on the corresponding pages;
  - (ii) all boxes shall be drawn by solid lines; double lines may be presented as single lines;
  - (iii) the box numbers and box titles shall be included even where no information is supplied therein;
  - (iv) the boxes for use by the International Authorities shall be at least as large as those on the printed Forms;
  - (v) all other boxes shall be within one cm in size of those on the printed Forms;
  - (vi) all text shall be 9 points or larger in size;
  - (vii) titles and other information shall be clearly distinguished;
  - (viii) explanatory notes presented in italics on the printed Forms may be omitted;
- (ix) the request and the demand when presented as computer print-outs may contain additional or alternative details concerning the means of communication with the applicant.
- (i) Other formats permitted for the presentation of the request and the demand as computer print-outs may be determined by the Director General. Any such format shall be published in the Gazette.

(j) The page-based layout of a Form generated from a character-coded format shall be permitted if it is generated using a stylesheet provided by the International Bureau.

(k) A Form may be transmitted by one Office, International Authority or the International Bureau to another in character-coded format only, without its page based layout, if the recipient Office, Authority or Bureau has agreed to receive the information in such format and has agreed to generate any page based layout which may be required for the recipient Office's file records.

### Section 705bis

#### Processing in Electronic Form of International Applications Filed on Paper; ~~Home Copy, Record Copy and Search Copy~~

(a) Where an international application is filed on paper, it may, subject to this Part, be ~~processed and kept as a complete and accurate copy in electronic form prepared by the receiving Office, the International Searching Authority, the International Preliminary Examining Authority or the International Bureau~~ scanned into electronic form as a complete and accurate copy ("scanned copy") and processed on the basis of the scanned copy.

(b) Pursuant to paragraph (a) and for the purposes of Article 12, ~~where an international application is filed on paper:~~

~~— (i) —~~ the receiving Office, the International Bureau and the International Searching Authority may ~~keep a copy in electronic form referred to in that paragraph~~ prepare a scanned copy of the international application and keep it as the home copy, the record copy or the search copy, as the case may be;

~~— (ii) —~~ ~~the International Bureau may keep a copy in electronic form referred to in that paragraph as the record copy;~~

~~— (iii) —~~ ~~the International Searching Authority may keep a copy in electronic form referred to in that paragraph as the search copy.~~

(c) Where a scanned copy of the international application ~~in electronic form~~ is kept as the record copy under paragraph (b)(~~ii~~), the original of the international application as filed on paper shall be kept, for a period of at least 5 years from the international filing date, by the International Bureau or, where so agreed by the receiving Office and the International Bureau, by the receiving Office on behalf of the International Bureau. The original shall be marked with the words "INTERNATIONAL APPLICATION – ORIGINAL AS FILED ON PAPER (SECTION 705bis)" or their equivalent in the language of publication of the international application on the bottom of the first page of the request and of the first page of the description.

(d) Where, before the expiration of the period referred to in paragraph (c), the International Bureau finds, upon request for correction made by the applicant or otherwise, that a scanned copy of the international application ~~in electronic form~~ kept as the record copy under paragraph (b)(~~ii~~) is not in fact a complete and accurate copy of the original kept under paragraph (c), it shall correct the record copy so as to bring it into conformity with the original. If the receiving Office, the International Searching Authority, the International Preliminary Examining Authority or a designated or elected Office considers that the International Bureau should make a finding under the first sentence of this paragraph, it shall call the relevant facts to the attention of the International Bureau.

(e) Where the International Bureau has corrected the record copy in accordance with paragraph (d), it shall promptly notify the applicant, publish the corrected international application together with a revised front page, and publish a notice of this fact in the Gazette. Section 422(a)(i) to (v) shall apply *mutatis mutandis* with regard to the notification of the receiving Office, the International Searching Authority, the International Preliminary Examining Authority and the designated and elected Offices.

**Section 705ter**  
**Processing of International Applications Filed in or Scanned into Electronic Form  
in a Converted Electronic Format**

(a) Where an international application is filed in electronic form, or filed on paper and scanned into electronic form under Section 705bis(a), it may, subject to this Part, be converted from the initial or scanned electronic format into another electronic format permitted for this purpose as a complete and accurate copy (“converted copy”) and processed on the basis of the converted copy.

(b) The electronic format into which an international application may be converted for the purpose of paragraph (a) shall be XML format as referred to in section 3.1.1.1 of Annex F. Additional electronic formats may be determined by the Director General after consultation with the Offices concerned. Any such format shall be published in the Gazette.

(c) Pursuant to paragraph (a) and subject to the agreement between the relevant Offices, for the purposes of Article 12, the receiving Office, the International Bureau and the International Searching Authority may prepare a converted copy of the international application and keep it as the home copy, the record copy or the search copy, as the case may be.

(d) Notwithstanding Section 705bis(c), where a converted copy of the international application is kept under paragraph (c) as the home copy, the record copy or the search copy, the copy in the initial or scanned electronic format shall be kept in the file of the international application in accordance with Rule 93.

(e) Section 705bis(d) and (e) shall apply *mutatis mutandis* with respect to corrections of any inconsistencies in the converted copy with the copy in the initial or scanned electronic format kept under paragraph (d).

**Section 709**

**Means of Communication with ~~the Receiving Office~~ the Applicant**

(a) ~~Where an international application is filed in electronic form and by electronic means of transmittal, t~~The receiving Office shall, if ~~practicable~~ it provides for such a service, send any notifications, invitations and other correspondence ~~(“documents”)~~ to the applicant by electronic means ~~of transmittal~~ in accordance with Annex F, unless the applicant requests to receive them ~~or by such other means indicated by the applicant from among those~~ offered by the Office.

(b) Where it appears to the receiving Office that a ~~notification, invitation or other correspondence document~~ sent to the applicant by electronic means ~~of transmittal~~ was not successfully transmitted, the Office shall, ~~if practicable,~~ promptly ~~retransmit~~ resend the ~~notification, invitation or other correspondence document~~ by the same or another means.

(b-bis) Where the receiving Office provides for such a service and the applicant so requests, the receiving Office may, instead of directly transmitting a document to the applicant, make it available for retrieval by the applicant in an electronic system in accordance with the standard set forth in section 5.1ter of Annex F. In this case, the document shall be considered to have been transmitted to the applicant on the day when it was made available for retrieval by the applicant in that electronic system. The receiving Office shall promptly alert the applicant by electronic means whenever a new correspondence has been made available, unless the applicant requests otherwise.

(c) ~~At times w~~When the electronic systems of the receiving Office are not available for the filing or retrieval of documents in electronic form or by electronic means ~~of transmittal~~, the



Office shall, if possible, promptly publish information to that effect by ~~means~~ reasonably available means to it under the circumstances, for example, by including a notice on the Office's Internet site, if any.

(d) Where agreed between the receiving Office and the International Bureau, the Office may furnish an electronic copy of a document to the International Bureau for transmission by electronic means to the applicant on its behalf.

### Section 713

#### **Application of Provisions to International Authorities and the International Bureau, and to Notifications, Communications, Correspondence and Other Documents**

(a) The provisions of this Part, other than Sections 703(c), 704(c) to (g), 707, 708(b)(iii) to (v), 710(a)(iv) and 714(b), shall, if they are capable of applying but do not expressly apply to the International Searching Authorities, the International Preliminary Examining Authorities and the International Bureau, apply *mutatis mutandis* to those Authorities and that Bureau.

(b) The provisions of this Part, other than Sections 703(c), 704(c) to (f), 705, ~~705bis(b) to (e)~~, 707, 708(b)(iii) to (v) and 710(a)(iv), shall, if they are capable of applying but do not expressly apply to notifications, communications, correspondence or other documents relating to international applications that are filed, processed or communicated in electronic form, apply *mutatis mutandis* to such notifications, communications, correspondence or other documents relating to international applications.

ANNEX F  
STANDARD FOR THE ELECTRONIC FILING AND PROCESSING  
OF INTERNATIONAL APPLICATIONS

1. to 4. [No change]

5. TRANSMISSION

The IA package can be transmitted over secure or non-secure channels depending on the package type. This section includes the protocol to be followed as well as the package/transmission combinations that are permitted in the Applicant-Office (international phase), Office-Office, and designated Office communication sectors. While additional sectors are referred to in this standard (see section 2.3), permissible transmission/package combinations can be categorized in the three sectors listed above.

5.1 and 5.1bis [No change]

5.1ter Alternative means of secure online transmission by recipient retrieval

Offices offering electronic transmission of documents through online retrieval by a recipient (either the applicant or Office processing the application) should use a secure protocol. Unless the applicant has explicitly requested an alternative arrangement (such as transmission of documents directly by email), transmission should use a connection protected by TLS and a means appropriate to the sensitivity of the documents concerned to ensure that the documents can be retrieved only by authorized persons.

A preferred implementation involves:

(a) the international application being associated with one or more accounts with the Office, secured by two factor authentication;

(b) notifications being sent to the recipient when a document becomes available, either using email to the recipient or, where so agreed with the recipient, by the recipient regularly accessing a secure list of newly available documents provided through an associated account, either manually through a secure browser connection or automatically through a RESTful secure web service.

(c) the recipient downloading such documents from an associated account, either manually through a secure browser connection or automatically through a RESTful secure web service.

The association between the international application and any applicant account should preferably be set up using information provided by the applicant at the time of filing using compatible online filing software. Offices should also provide secure means for adding, removing or modifying such associations after filing.

5.2 [No change]

6. ELECTRONIC FILING SOFTWARE

The International Bureau provides ~~PCT-SAFE~~ software that supports all of the requirements of the basic common standard and certain alternatives available under Annex F. Use of ~~the PCT-SAFE~~ this software is not mandatory but any applicant may choose to use it, in which case the receiving Office must accept the international application concerned (except where

it has notified a transitional reservation under Als Section 703(f) in that respect). Any receiving Office may also specify other filing software acceptable to it.

7. to 9. [No change]

## PCT

## REQUEST

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

For receiving Office use only

International Application No.

International Filing Date

Name of receiving Office and "PCT International Application"

Applicant's or agent's file reference (if desired) (25 characters maximum)

Box No. I	TITLE OF INVENTION	
<b>Box No. II</b>	<b>APPLICANT</b>	<input type="checkbox"/> This person is also inventor
Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)		Telephone No.
		Facsimile No.
		Applicant's registration No. with the Office
<p><b>E-mail authorization:</b> <del>Marking one of the check boxes below</del> authorizes the receiving Office, the International Searching Authority, the International Bureau <del>and the International Preliminary Examining Authority to use the e-mail address indicated in this Box</del> to send notifications issued in respect of this international application to that e-mail address if those offices are willing to do so.</p> <p><input type="checkbox"/> <del>as advance copies followed by paper notifications; or</del> <input type="checkbox"/> <del>exclusively in electronic form (no paper notifications will be sent).</del></p> <p>E-mail address:</p>		
State (that is, country) of nationality:		State (that is, country) of residence:
This person is applicant for the purposes of: <input type="checkbox"/> all designated States <input type="checkbox"/> the States indicated in the Supplemental Box		
<b>Box No. III</b>	<b>FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S)</b>	
<input type="checkbox"/> Further applicants and/or (further) inventors are indicated on a continuation sheet.		
<b>Box No. IV</b>	<b>AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE</b>	
The person identified below is hereby/has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:		<input type="checkbox"/> agent <input type="checkbox"/> common representative
Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)		Telephone No.
		Facsimile No.
		Agent's registration No. with the Office
<p><b>E-mail authorization:</b> <del>Marking one of the check boxes below</del> authorizes the receiving Office, the International Searching Authority, the International Bureau <del>and the International Preliminary Examining Authority to use the e-mail address indicated in this Box</del> to send notifications issued in respect of this international application to that e-mail address if those offices are willing to do so.</p> <p><input type="checkbox"/> <del>as advance copies followed by paper notifications; or</del> <input type="checkbox"/> <del>exclusively in electronic form (no paper notifications will be sent).</del></p> <p>E-mail address:</p>		
<input type="checkbox"/> <b>Address for correspondence:</b> Mark this check-box where no agent or common representative is/has been appointed and the space above is used instead to indicate a special address to which correspondence should be sent.		

# PCT

## REQUEST

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

For receiving Office use only

International Application No.

International Filing Date

Name of receiving Office and "PCT International Application"

Applicant's or agent's file reference (if desired) (25 characters maximum)

<b>Box No. I</b>	<b>TITLE OF INVENTION</b>	
<b>Box No. II</b>	<b>APPLICANT</b>	<input type="checkbox"/> This person is also inventor
Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)		<u>E-mail address*</u>
		Telephone No.
		Facsimile No.
		Applicant's registration No. with the Office
* <b>E-mail authorization:</b> <u>Indicating an e-mail address above</u> authorizes the receiving Office, the International Searching Authority <u>and</u> the International Bureau to send notifications <u>exclusively by e-mail</u> to that address, <u>unless the following box is marked:</u>		
<input type="checkbox"/> <u>notifications are requested to be sent exclusively by postal mail.</u>		
State (that is, country) of nationality:		State (that is, country) of residence:
This person is applicant for the purposes of: <input type="checkbox"/> all designated States <input type="checkbox"/> the States indicated in the Supplemental Box		
<b>Box No. III</b>	<b>FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S)</b>	
<input type="checkbox"/> Further applicants and/or (further) inventors are indicated on a continuation sheet.		
<b>Box No. IV</b>	<b>AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE</b>	
The person identified below is hereby/has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:		<input type="checkbox"/> agent <input type="checkbox"/> common representative
Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)		<u>E-mail address*</u>
		Telephone No.
		Facsimile No.
		Agent's registration No. with the Office
* <b>E-mail authorization:</b> <u>Indicating an e-mail address above</u> authorizes the receiving Office, the International Searching Authority <u>and</u> the International Bureau to send notifications <u>exclusively by e-mail</u> to that address, <u>unless the following box is marked:</u>		
<input type="checkbox"/> <u>notifications are requested to be sent exclusively by postal mail.</u>		
<input type="checkbox"/> <b>Address for correspondence:</b> Mark this check-box where no agent or common representative is/has been appointed and the space above is used instead to indicate a special address to which correspondence should be sent.		

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

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

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

The request form should be typed or printed; check-boxes may be marked by hand with black ink (Rule 11.9(a) and (b)).

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

#### WHERE TO FILE THE INTERNATIONAL APPLICATION

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

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

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

#### CONFIRMATION COPY OF THE REQUEST FORM

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

#### APPLICANT'S OR AGENT'S FILE REFERENCE

A **File Reference** may be indicated, if desired. It should not exceed 25 characters. Characters in excess of 25 may be disregarded by the receiving Office or any International Authority (Rule 11.6(f) and Section 109).

#### BOX No. I

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

#### BOXES Nos. II AND III

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

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

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

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

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

*Check-box "inventor only"* (Box No. III): Mark this check-box if the person named is inventor but not also applicant. This would be the case, for example, where the inventor is deceased or has assigned the invention and the assignee is the applicant for all designated States. Do not mark this check-box if the person is a legal entity.

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

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

**Different Applicants for Different Designated States** (Rules 4.5(d), 18.3 and 19.2): It is possible to indicate different applicants for the purposes of different designated States. At least one of all the applicants named must be a national or resident of a PCT Contracting State for which the receiving Office acts, irrespective of the designated State(s) for the purposes of which that applicant is named.

For the indication of the designated States for which a person is applicant, mark the applicable check-box (only one for each person). If the person is not an applicant for all designated States, the check-box "the States indicated in the Supplemental Box" must be marked, and the name of the person must be repeated in the Supplemental Box with an indication of the States for which that person is applicant (see item I(ii) in that Box).

**Naming of Inventor** (Rule 4.1(a)(iv) and (c)(i)): It is strongly recommended to always name the inventor since such information is generally required in the national phase. For details, see the *PCT Applicant's Guide*, Annex B.

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

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

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

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

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

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

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

The request form should be typed or printed; check-boxes may be marked by hand with black ink (Rule 11.9(a) and (b)).

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

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

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

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

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

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

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

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

*Check-box "inventor only"* (Box No. III): Mark this check-box if the person named is inventor but not also applicant. This would be the case, for example, where the inventor is deceased or has assigned the invention and the assignee is the applicant for all designated States. Do not mark this check-box if the person is a legal entity.

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

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

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For the indication of the designated States for which a person is applicant, mark the applicable check-box (only one for each person). If the person is not an applicant for all designated States, the check-box "the States indicated in the Supplemental Box" must be marked, and the name of the person must be repeated in the Supplemental Box with an indication of the States for which that person is applicant (see item I(ii) in that Box).

**Naming of Inventor** (Rule 4.1(a)(iv) and (c)(i)): It is strongly recommended to always name the inventor since such information is generally required in the national phase. For details, see the *PCT Applicant's Guide*, Annex B.

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

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

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

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

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

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

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

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

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

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

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

#### BOX No. IV

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

**Agent or Common Representative** (Rules 4.7, 4.8, 90.1 and 90.2 and Section 108): Mark the applicable check-box in order to indicate whether the person named is (or has been) appointed as "agent" or "common representative" (the "common representative" must be one of the applicants). For the manner in which name(s), address(es) (including names of States), telephone, facsimile numbers and/or e-mail addresses must be indicated, see the notes to Boxes Nos. II and III. Where several agents are listed, the agent to whom correspondence should be addressed is to be listed first. If there are two or

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

more applicants but no common agent is appointed to represent all of them, one of the applicants who is a national or resident of a PCT Contracting State may be appointed by the other applicants as their common representative. If this is not done, the applicant first named in the request who is entitled to file an international application with the receiving Office concerned will be considered to be the common representative.

**Manner of Appointment of Agent or Common Representative** (Rules 90.4 and 90.5 and Section 106): The appointment of an agent or a common representative may be effected by designating the agent or common representative in Box No. IV and by the applicant signing the request or a separate power of attorney. Where there are two or more applicants, the appointment of a common agent or common representative must be effected by each applicant signing, at his choice, the request or a separate power of attorney. If the separate power of attorney is not signed, or if the required separate power of attorney is missing, or if the indication of the name or address of the appointed person does not comply with Rule 4.4, the power of attorney will be considered non-existent unless the defect is corrected. However, the receiving Office may waive the requirement that a separate power of attorney be submitted to it (for details about each receiving Office, see the *PCT Applicant's Guide*, Annex C).

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

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

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

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

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

#### BOX No. V

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



**Telephone, Facsimile Numbers and/or E-mail Addresses** should be indicated for the persons named in Boxes Nos. II and IV in order to allow rapid communication with them (see Rule 4.4(c)). Any telephone or facsimile number should include the applicable country and area codes. A single e-mail address only should be indicated. In order to allow rapid and safe receipt of notifications from Offices, it is strongly recommended that an e-mail address is provided to receive notifications.

If an e-mail address is indicated, the receiving Office and the International Searching Authority, if they are willing to do so, and the International Bureau will send notifications to that address by e-mail. In this case, no paper notifications will be sent by postal mail, unless the relevant Office is willing to additionally send such paper notifications. Note that not all Offices will send such notifications by e-mail, (for details about each Office's procedure see the *PCT Applicant's Guide*, Annex B). If no valid e-mail address is provided, or if the applicant chooses to receive notifications exclusively by postal mail, or in the cases where the receiving Office or the International Searching Authority does not provide for sending notifications by e-mail, notifications will be sent to the given address exclusively by postal mail.

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

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

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

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

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international application with the receiving Office concerned will be considered to be the common representative.

**Manner of Appointment of Agent or Common Representative** (Rules 90.4 and 90.5 and Section 106): The appointment of an agent or a common representative may be effected by designating the agent or common representative in Box No. IV and by the applicant signing the request or a separate power of attorney. Where there are two or more applicants, the appointment of a common agent or common representative must be effected by each applicant signing, at his choice, the request or a separate power of attorney. If the separate power of attorney is not signed, or if the required separate power of attorney is missing, or if the indication of the name or address of the appointed person does not comply with Rule 4.4, the power of attorney will be considered non-existent unless the defect is corrected. However, the receiving Office may waive the requirement that a separate power of attorney be submitted to it (for details about each receiving Office, see the *PCT Applicant's Guide*, Annex C).

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

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

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

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However, for the reasons explained below, it is possible to indicate, by marking the applicable check-box(es), that DE Germany, JP Japan and/or KR Republic of Korea are not

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

AUTHORITY/\_\_\_\_\_

**PCT**

**SUPPLEMENTARY SEARCH REQUEST**

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

For International Bureau use only	
Identification of Authority	Date of receipt of Request
<b>Box No. I IDENTIFICATION OF THE INTERNATIONAL APPLICATION</b>	
Applicant's or agent's file reference	International application No.
International filing date ( <i>day/month/year</i> )	(Earliest) Priority date ( <i>day/month/year</i> )
Title of invention	
<b>Box No. II APPLICANT</b>	
Name and address: ( <i>Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.</i> )	Telephone No.
	Facsimile No.
	Applicant's registration No. with the Office
<b>E-mail authorization:</b> <del>Marking one of the check-boxes below</del> authorizes the International Bureau and the Authority specified for supplementary search <del>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.</del> <input type="checkbox"/> <del>as advance copies followed by paper notifications; or</del> <input type="checkbox"/> <del>exclusively in electronic form (no paper notifications will be sent).</del> E-mail address: _____	
State ( <i>that is, country</i> ) of nationality:	State ( <i>that is, country</i> ) of residence:
<b>Box No. III AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE</b>	
The following person is <input type="checkbox"/> agent <input type="checkbox"/> common representative and <input type="checkbox"/> has been appointed earlier and represents the applicant(s) also for the supplementary international search. <input type="checkbox"/> is hereby appointed and any earlier appointment of (an) agent(s)/common representative is hereby revoked. <input type="checkbox"/> is hereby appointed, specifically for the procedure before this Authority specified for supplementary search, in addition to the agent(s)/common representative appointed earlier.	
Name and address: ( <i>Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.</i> )	Telephone No.
	Facsimile No.
	Agent's registration No. with the Office
<b>E-mail authorization:</b> <del>Marking one of the check-boxes below</del> authorizes the International Bureau and the Authority specified for supplementary search <del>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.</del> <input type="checkbox"/> <del>as advance copies followed by paper notifications; or</del> <input type="checkbox"/> <del>exclusively in electronic form (no paper notifications will be sent).</del> E-mail address: _____	

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

AUTHORITY/\_\_\_\_\_

**PCT**

**SUPPLEMENTARY SEARCH REQUEST**

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

For International Bureau use only

Identification of Authority		Date of receipt of Request	
<b>Box No. I IDENTIFICATION OF THE INTERNATIONAL APPLICATION</b>			
Applicant's or agent's file reference		International application No.	
International filing date (day/month/year)		(Earliest) Priority date (day/month/year)	
Title of invention			
<b>Box No. II APPLICANT</b>			
Name and address: <i>(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)</i>		E-mail address*	
		Telephone No.	
		Facsimile No.	
		Applicant's registration No. with the Office	
<p>* <b>E-mail authorization:</b> <u>Indicating an e-mail address above</u> authorizes the International Bureau and the Authority specified for supplementary search to send notifications <u>exclusively by e-mail to that address, unless the following box is marked:</u></p> <p><input type="checkbox"/> <u>notifications are requested to be sent exclusively by postal mail.</u></p>			
State (that is, country) of nationality:		State (that is, country) of residence:	
<b>Box No. III AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE</b>			
<p>The following person is <input type="checkbox"/> agent <input type="checkbox"/> common representative and <input type="checkbox"/> has been appointed earlier and represents the applicant(s) also for the supplementary international search.</p> <p><input type="checkbox"/> is hereby appointed and any earlier appointment of (an) agent(s)/common representative is hereby revoked.</p> <p><input type="checkbox"/> is hereby appointed, specifically for the procedure before this Authority specified for supplementary search, in addition to the agent(s)/common representative appointed earlier.</p>			
Name and address: <i>(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)</i>		E-mail address*	
		Telephone No.	
		Facsimile No.	
		Agent's registration No. with the Office	
<p>* <b>E-mail authorization:</b> <u>Indicating an e-mail address above</u> authorizes the International Bureau and the Authority specified for supplementary search to send notifications <u>exclusively by e-mail to that address, unless the following box is marked:</u></p> <p><input type="checkbox"/> <u>notifications are requested to be sent exclusively by postal mail.</u></p>			

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

These notes are intended to facilitate the filing of the supplementary search request form and to give some information concerning the supplementary international search. For more detailed information, see the *PCT Applicant's Guide*, a WIPO publication, which is available, together with other PCT related documents, on WIPO's website: [www.wipo.int/pct/en/](http://www.wipo.int/pct/en/). The Notes are based on the requirements of the PCT, the Regulations and the Administrative Instructions under the PCT. In case of any discrepancy between these Notes and those requirements, the latter are applicable.

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

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

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

**IMPORTANT GENERAL INFORMATION**

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

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

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

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

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

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

**What is the language of correspondence?** (Rule 92.2(d) and Section 104). Any letter from the applicant to the International Bureau must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

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

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

**Box No. I**

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

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

**International filing date and (earliest) priority date** (Section 110): Dates must be indicated by the Arabic number of the day, the name of the month and the Arabic number of the year – in that order; after, below or above such indication, the date should be repeated in parentheses, using two-digit Arabic numerals each for the number of the day and for the number of the month followed by the number of the year in four digits, in that order, and separated by periods, slants or hyphens, for example, "26 October 2018 (26.10.2018)", "26 October 2018 (26/10/2018)" or "26 October 2018 (26-10-2018)". Where the international application claims the priority of several earlier applications, the filing date of the earliest application whose priority is claimed must be indicated as the priority date.

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

**Box No. II**

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

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

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

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

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

These notes are intended to facilitate the filing of the supplementary search request form and to give some information concerning the supplementary international search. For more detailed information, see the *PCT Applicant's Guide*, a WIPO publication, which is available, together with other PCT related documents, on WIPO's website: [www.wipo.int/pct/en/](http://www.wipo.int/pct/en/). The Notes are based on the requirements of the PCT, the Regulations and the Administrative Instructions under the PCT. In case of any discrepancy between these Notes and those requirements, the latter are applicable.

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

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

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

### IMPORTANT GENERAL INFORMATION

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

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

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

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

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

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

**What is the language of correspondence?** (Rule 92.2(d) and Section 104). Any letter from the applicant to the International Bureau must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

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

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

### Box No. I

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

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

**International filing date and (earliest) priority date** (Section 110): Dates must be indicated by the Arabic number of the day, the name of the month and the Arabic number of the year – in that order; after, below or above such indication, the date should be repeated in parentheses, using two-digit Arabic numerals each for the number of the day and for the number of the month followed by the number of the year in four digits, in that order, and separated by periods, slants or hyphens, for example, "26 October 2018 (26.10.2018)", "26 October 2018 (26/10/2018)" or "26 October 2018 (26-10-2018)". Where the international application claims the priority of several earlier applications, the filing date of the earliest application whose priority is claimed must be indicated as the priority date.

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

### Box No. II

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

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

**Telephone, Facsimile Number and/or E-mail address** should be indicated for the person named in Box No. II in order to allow rapid communication with the applicant (see Rule 4.4(c)). Any telephone or facsimile number should include the applicable country and area codes. A single e-mail address only should be indicated. In order to allow rapid and safe receipt of notifications from Offices, it is strongly recommended that an e-mail address is provided to receive notifications.

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

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

#### Box No. III

**Agent or Common Representative** (Rules 45*bis*.1(b)(i), 90.1 and 90.2): Mark the applicable check-boxes to indicate *first* whether the person named in this Box is agent or common representative, *then* whether that person *has been appointed earlier* (i.e., during the procedure under Chapter I), or *is appointed in the supplementary search request* and any earlier appointment of another person is revoked, or *is appointed specifically for the procedure before the Authority specified for supplementary search* (without revocation of any earlier appointment), in addition to the person(s) appointed earlier.

Where an additional person is appointed specifically for the procedure before the Authority specified for supplementary search, all notifications issued by that Authority will be addressed only to that additional person. A separate power of attorney must be filed with the Authority specified for supplementary search, the International Bureau or the receiving Office, if the person appointed at the time the supplementary search request is filed (i.e., was not appointed earlier) signs the supplementary search request on behalf of the applicant (Rule 90.4).

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

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

**Address for correspondence** Where an agent is appointed, any correspondence intended for the applicant will be sent to the address indicated for that agent (or for the first-mentioned agent, if more than one is appointed). Where one of two or more applicants is appointed as common representative, the address indicated for that applicant in Box No. III will be used. Where no agent or common representative is appointed, any correspondence will be sent to the address, indicated in Box No. II, of the applicant. However, if the applicant wishes correspondence to be sent to a different address in such a case, that address may be indicated in Box No. III instead of the designation of an agent or common representative. In this case, and only in this case, the last check-box of Box No. III must be marked (that is, the last check-box must not be marked if either of the check-boxes "agent" or "common representative" in Box No. III has been marked).

*Notes to the supplementary search request (PCT/IB/375) (page 2) (revised January 2019)*

#### Box No. IV

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

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

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

#### Box No. V

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

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

#### Box No. VI

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

**Important: Should a notice of withdrawal of the supplementary search request be filed, that notice will have to be signed by the applicant or, if there are two or more applicants by all of them (Rule 90*bis*.5), or by an agent or a common representative whose appointment has been effected by each applicant signing, at his choice, the request, the request for supplementary search, the demand, a separate power of attorney (Rule 90.4(a)) or a general power of attorney (Rule 90.5(a)).**

If an e-mail address is indicated, the International Bureau, and the Authority specified for supplementary search, if it is willing to do so, will send notifications to that address by e-mail. In this case, no paper notifications will be sent by postal mail, unless the Authority specified for supplementary search is willing to additionally send such paper notifications. Note that not all Offices will send such notifications by e-mail (for details about each Office's procedure, see *PCT Applicant's Guide*, Annex B). If no valid e-mail address is provided, or the applicant chooses to receive notifications exclusively by postal mail, or in the cases where the Authority specified for supplementary search does not provide for sending notifications by e-mail, notifications will be sent to the given address exclusively by postal mail.

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

### Box No. III

**Agent or Common Representative** (Rules 45*bis*.1(b)(i), 90.1 and 90.2): Mark the applicable check-boxes to indicate *first* whether the person named in this Box is agent or common representative, *then* whether that person *has been appointed earlier* (i.e., during the procedure under Chapter I), *or is appointed in the supplementary search request* and any earlier appointment of another person is revoked, *or is appointed specifically for the procedure before the Authority specified for supplementary search* (without revocation of any earlier appointment), in addition to the person(s) appointed earlier.

Where an additional person is appointed specifically for the procedure before the Authority specified for supplementary search, all notifications issued by that Authority will be addressed only to that additional person. A separate power of attorney must be filed with the Authority specified for supplementary search, the International Bureau or the receiving Office, if the person appointed at the time the supplementary search request is filed (i.e., was not appointed earlier) signs the supplementary search request on behalf of the applicant (Rule 90.4).

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

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

**Address for correspondence** Where an agent is appointed, any correspondence intended for the applicant will be sent to the address indicated for that agent (or for the first-mentioned agent, if more than one is appointed). Where one of two or more applicants is appointed as common representative, the address indicated for that applicant in Box No. III will be used. Where no agent or common representative is appointed, any correspondence will be sent to the address, indicated in Box No. II, of the applicant. However, if the applicant wishes correspondence to be sent to a different address in such a case, that address may be indicated in Box No. III instead of the designation of an agent or common representative. In this case, and only in this case, the last check-box of Box No. III must be marked (that is, the last check-box must not be marked if either of the check-boxes "agent" or "common representative" in Box No. III has been marked).

### Box No. IV

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

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

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

### Box No. V

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

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

### Box No. VI

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

**Important:** Should a notice of withdrawal of the supplementary search request be filed, that notice will have to be signed by the applicant or, if there are two or more applicants by all of them (Rule 90*bis*.5), or by an agent or a common representative whose appointment has been effected by each applicant signing, at his choice, the request, the request for supplementary search, the demand, a separate power of attorney (Rule 90.4(a)) or a general power of attorney (Rule 90.5(a)).

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

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

**PCT**  
**DEMAND**

**CHAPTER II**

under Article 31 of the Patent Cooperation Treaty:  
The undersigned requests that the international application specified below be the subject of international preliminary examination according to the Patent Cooperation Treaty.

For International Preliminary Examining Authority use only

Identification of IPEA		Date of receipt of DEMAND	
<b>Box No. I IDENTIFICATION OF THE INTERNATIONAL APPLICATION</b>			
Applicant's or agent's file reference		International application No.	
International filing date ( <i>day/month/year</i> )		(Earliest) Priority date ( <i>day/month/year</i> )	
Title of invention			
<b>Box No. II APPLICANT(S)</b>			
Name and address: ( <i>Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.</i> )		Telephone No.	
		Facsimile No.	
		Applicant's registration No. with the Office	
<p><b>E-mail authorization:</b> <del>Marking one of the check boxes below</del> authorizes the International Bureau and the International Preliminary Examining Authority <del>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.</del></p> <p><input type="checkbox"/> as advance copies followed by paper notifications; or <input type="checkbox"/> exclusively in electronic form (no paper notifications will be sent).</p> <p>E-mail address: _____</p>			
State ( <i>that is, country</i> ) of nationality:		State ( <i>that is, country</i> ) of residence:	
Name and address: ( <i>Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.</i> )			
State ( <i>that is, country</i> ) of nationality:		State ( <i>that is, country</i> ) of residence:	
<input type="checkbox"/> Further applicants are indicated on a continuation sheet.			



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

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

**PCT**  
**DEMAND**

**CHAPTER II**

under Article 31 of the Patent Cooperation Treaty:  
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For International Preliminary Examining Authority use only

Identification of IPEA		Date of receipt of DEMAND	
<b>Box No. I IDENTIFICATION OF THE INTERNATIONAL APPLICATION</b>			
Applicant's or agent's file reference		International application No.	
International filing date ( <i>day/month/year</i> )		(Earliest) Priority date ( <i>day/month/year</i> )	
Title of invention			
<b>Box No. II APPLICANT(S)</b>			
Name and address: ( <i>Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.</i> )		E-mail address*	
		Telephone No.	
		Facsimile No.	
		Applicant's registration No. with the Office	
<p>* <b>E-mail authorization:</b> <u>Indicating an e-mail address above</u> authorizes the International Bureau and the International Preliminary Examining Authority to send notifications <u>exclusively by e-mail to that address, unless the following box is marked:</u></p> <p><input type="checkbox"/> <u>notifications are requested to be sent exclusively by postal mail.</u></p>			
State ( <i>that is, country</i> ) of nationality:		State ( <i>that is, country</i> ) of residence:	
Name and address: ( <i>Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.</i> )			
State ( <i>that is, country</i> ) of nationality:		State ( <i>that is, country</i> ) of residence:	
<input type="checkbox"/> Further applicants are indicated on a continuation sheet.			

Sheet No. . . .

International application No.

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

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

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

Telephone No.

Facsimile No.

Agent's registration No. with the Office

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

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

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

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

**Statement concerning amendments:\***

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

- the description  as originally filed, or  
 as amended under Article 34
- the sequence listing (if any)  as originally filed, or  
 as amended under Article 34:  
 in the form of an Annex C/ST.25 text file  
 on paper or in the form of an image file
- the claims  as originally filed, or  
 as amended under Article 19, and/or  
 as amended under Article 34
- the drawings (if any)  as originally filed, or  
 as amended under Article 34

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

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

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

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

**Box No. V ELECTION OF STATES**

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

Sheet No. . . .

International application No.

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

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

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

E-mail address\*

Telephone No.

Facsimile No.

Agent's registration No. with the Office

\* **E-mail authorization:** Indicating an email address above authorizes the International Bureau and the International Preliminary Examining Authority to send notifications exclusively by e-mail to that address, unless the following box is marked:

notifications are requested to be sent exclusively by postal mail.

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

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

**Statement concerning amendments:\***

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

- the description  as originally filed, or  
 as amended under Article 34
- the sequence listing (if any)  as originally filed, or  
 as amended under Article 34:  
 in the form of an Annex C/ST.25 text file  
 on paper or in the form of an image file
- the claims  as originally filed, or  
 as amended under Article 19, and/or  
 as amended under Article 34
- the drawings (if any)  as originally filed, or  
 as amended under Article 34

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

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

4.  The applicant expressly requests **to postpone** the start of the international preliminary examination until the expiration of the applicable time limit under Rule 54bis.1(a).

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

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

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

**Box No. V ELECTION OF STATES**

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

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

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

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

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

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

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### IMPORTANT GENERAL INFORMATION

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

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

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

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

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

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

**What is the Language of Correspondence?** (Rules 55.3 and 92.2 and Section 104): Any letter from the applicant to the IPEA must be in the same language as the international application to which it relates. However, where the international preliminary examination will be carried out on the basis of a translation (see Notes to Box No. IV), any letter from the applicant to the IPEA must be in the language of the translation. The IPEA may authorize the use of other languages for letters which do not contain or relate to amendments of the international application. Any letter from the applicant to the International Bureau must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

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### BOX No. I

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

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

**International Filing Date and (Earliest) Priority Date** (Section 110): Dates must be indicated by the Arabic number of the day, the name of the month and the Arabic number of the year – in that order; after, below or above such indication, the date should be repeated in parentheses, using two-digit Arabic numerals each for the number of the day and for the number of the month followed by the number of the year in four digits, in that order, and separated by periods, slants or hyphens, for example, "26 October 2018 (26.10.2018)", "26 October 2018 (26/10/2018)" or "26 October 2018 (26-10-2018)". Where the international application claims the priority of several earlier applications, the filing date of the earliest application whose priority is claimed must be indicated as the priority date.

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

### BOX No. II

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

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

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

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

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### BOX No. I

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

**International Filing Date and (Earliest) Priority Date** (Section 110): Dates must be indicated by the Arabic number of the day, the name of the month and the Arabic number of the year – in that order; after, below or above such indication, the date should be repeated in parentheses, using two-digit Arabic numerals each for the number of the day and for the number of the month followed by the number of the year in four digits, in that order, and separated by periods, slants or hyphens, for example, "26 October 2018 (26.10.2018)", "26 October 2018 (26/10/2018)" or "26 October 2018 (26-10-2018)". Where the international application claims the priority of several earlier applications, the filing date of the earliest application whose priority is claimed must be indicated as the priority date.

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

### BOX No. II

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

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

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

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

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

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

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

### BOX No. III

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

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

A separate power of attorney must be filed with the IPEA, the International Bureau or the receiving Office, if the person appointed at the time the demand is filed (i.e., was not appointed earlier) signs the demand on behalf of the applicant (Rule 90.4). However, the receiving Office, the International Bureau or the IPEA may waive the requirement that a separate power of attorney be filed. For details, see the *PCT Applicant’s Guide*, Annex B(1B), Annex C and Annex E.

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

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

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

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

### BOX No. IV

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

**Mark the corresponding check-box(es) under No. 1** where the international preliminary examination should start on the basis of the international application as originally filed or where amendments are to be taken into account, as the case may be. Where amendments under Article 19 are to be taken into account, the applicant should preferably submit a copy of the amendments made under Article 19, the letter accompanying the amendments (Rules 62.1(ii) and 46.5(b)) and any statement (Rule 62.1(ii)). Where amendments under Article 34 are to be taken into account, the applicant must submit *with the Demand* the amendments of the international application under Article 34, together with a letter which must draw attention to the differences caused by the amendments and indicate the basis for the amendments in the application as filed and shall also explain the reasons for the amendments (Rule 66.8). If a

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

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**An E-mail address** should be indicated for the person named in Box No. II in order to allow rapid communication with the applicant (see Rule 4.4(c)). Any telephone or facsimile number should include the applicable country and area codes. A single e-mail address only should be indicated. In order to allow rapid and safe receipt of notifications from Offices, it is strongly recommended that an e-mail address is provided to receive notifications.

If an e-mail address is indicated, the International Bureau, and the International Preliminary Examining Authority, if it is willing to do so, will send notifications to that address by e-mail. In this case, no paper notifications will be sent by postal mail, unless the International Preliminary Examining Authority is willing to additionally send such paper notifications. Note that not all Offices will send such notifications by e-mail (for details about each Office’s procedure see the *PCT Applicant’s Guide*, Annex B). If no valid e-mail address is provided, or the applicant chooses to receive notifications exclusively by postal mail, or in the cases where the International Preliminary Examining Authority does not provide for sending notifications by e-mail, notifications will be sent to the given address exclusively by postal mail.

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

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