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# NEWSLETTER

September 2002

No. 09/2002

## NEW PCT CONTRACTING STATE

### Seychelles (country code: SC)

On 7 August 2002, Seychelles deposited its instrument of accession to the PCT, and on 7 November 2002, will become bound by the PCT. Consequently, in any international application filed on or after 7 November 2002, Seychelles may be designated and, because it will be bound by Chapter II of the PCT, may also be elected. Furthermore, nationals and residents of Seychelles will be entitled from 7 November 2002 to file international applications under the PCT.

See page 4 for information about the accession of Seychelles to the Paris Convention.

## ELECTRONIC FILING OF PCT APPLICATIONS: PCT-SAFE PROJECT

WIPO is currently developing an electronic filing software called PCT-SAFE (Secure Applications Filed Electronically) (formerly the PCT Electronic Filing project) that will give PCT applicants the option of preparing a complete international application in electronic form and filing it in electronic form either using physical media (e.g., diskettes, CD-Rs) or on-line over the Internet. PCT-EASY users will find it familiar as it is based on an enhanced version of the PCT-EASY software, currently being used in the filing of some 40% of all PCT applications. The system is being built to the specifications of the legal framework and technical standard established by Part 7 and Annex F, respectively, of the *Administrative Instructions under the PCT*, as promulgated in December 2001.

The PCT-SAFE software is about to undergo a thorough round of testing during a pilot phase when a select group of PCT applicants will test the software with the receiving Office of the International Bureau (RO/IB) from October 2002 to March 2003. Upon successful completion of the pilot

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*Tear-out sheets*: provisional sheets for the *PCT Applicant's Guide*, Annex A; modifications of the *Administrative Instructions* (as in force from 6 September 2002)

[continued from cover page]

phase, it is envisaged that the RO/IB will then be in a position to start accepting international applications filed in electronic form, and the software will subsequently be made available to all PCT applicants.

For further information on PCT-SAFE, visit the new PCT-SAFE website at:

<http://www.wipo.int/pct-safe>

Specific questions can also be addressed to the PCT-SAFE Help Desk via e-mail at:

[pctsafe.help@wipo.int](mailto:pctsafe.help@wipo.int)

**Selection of  
PCT MATERIALS ON INTERNET  
(<http://www.wipo.int/pct/en/>)**

Welcome page, with links to what's new on the site  
PCT Information Service

PCT filing

- *Basic Facts about the PCT*
- Forms
- Fees
- Direct filing of PCT applications with the International Bureau as PCT receiving Office
- *PCT Applicant's Guide*

PCT-EASY

PCT-SAFE

PCT legal texts and guidelines

- About the Treaty
- Texts of the Patent Cooperation Treaty, Regulations and Administrative Instructions and search facility for Articles under PCT
- PCT Receiving Office Guidelines
- PCT International Search Guidelines
- PCT International Preliminary Examination Guidelines
- PCT Contracting States
- Reservations and incompatibilities
- Notifications concerning non-applicability of modified time limit under PCT Article 22(1)
- PCT legal text index

*PCT Gazette*

PCT news

- *PCT Newsletter* (Nos. 01/1997-09/2002); Practical Advice published in the *PCT Newsletter* between March 1994 and December 1996 and search facility for all Practical Advice
- PCT Press Releases/Updates
- The PCT in 2001

Seminar calendar and seminar materials:

- seminar documents: February 2002 (English); April 2002 (French and German); May 2001 (Spanish);

PCT meetings (documents):

- Committee (21-25 May 2001; 1-5 July 2002) and Working Group on Reform of the PCT (12-15 November 2001; 29 April-3 May 2002)
- PCT Assembly: 1978-2002
- PCT Committee for Technical Cooperation (23 September-1 October 2002)

\* \* \*

**PCT INFORMATION SERVICE**

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Fax: (41-22) 338 83 39  
E-mail: [pct.infoline@wipo.int](mailto:pct.infoline@wipo.int)

**WARNING: REQUESTS FOR PAYMENT OF FEES FROM "CENTRAL DATA-REGISTER OF INTERNATIONAL PATENTS"**

It has come to the attention of the International Bureau that PCT applicants and agents are receiving invitations to pay fees with the title:

"Central Data-Register of International Patents International Patent Applications/Offer"

which typically refer to a payment which is to be made in the amount of 1,235.40 Euros or US dollars within a period of 10 days, by cheque to the following address:

ZDR-DatenRegister GmbH  
P.O. Box 102422  
60024 Frankfurt/Main  
Germany

or by bank transfer to the indicated bank account number.

The invitation identifies a particular PCT application by its international publication number (e.g.: WO 02/xxxxx), publication date, title of the invention, international filing date, international application number, priority information and IPC symbols; an example of one such invitation can be viewed via a link from the same warning on the PCT website at:

[http://www.wipo.int/pct/en/warning/pct\\_warning.htm](http://www.wipo.int/pct/en/warning/pct_warning.htm)

***PCT applicants and agents should note that such invitations do not come from the International Bureau of WIPO and are unrelated to the processing of international applications under the PCT. Whatever registration services might be offered in the above-mentioned invitations, they bear no connection to WIPO or to any of its official publications.***

It is the International Bureau of WIPO alone which publishes all PCT applications promptly after the expiration of 18 months from the priority date (see PCT Article 21(2)(a)); there is no separate fee for such international publication, and the legal effects of international publication are set out in PCT Article 29.

In case of doubt in relation to such an invitation, please contact the International Bureau by telephone at:

(41-22) 338 8338

**MODIFICATION OF PART 8 OF THE ADMINISTRATIVE INSTRUCTIONS: TABLES RELATING TO SEQUENCE LISTINGS**

It is recalled that under Part 8 (Sections 801 to 806) of the *Administrative Instructions under*

### PCT QUIZ

**Which of the following circumstances would always result in the non-issuance of an International Preliminary Examination Report (IPER)? (More than one answer may be possible)**

- (a) No demand for international preliminary examination was filed.
- (b) A demand for international preliminary examination was filed, but not within 19 months from the priority date.
- (c) The demand for international preliminary examination was not filed direct with a competent International Preliminary Examining Authority (IPEA).

the *PCT*, which entered into force on 11 January 2001, it became possible for PCT applicants to file, under Section 801, international applications the nucleotide and/or amino acid sequence listing part of which is either only on an electronic medium in computer readable form or both on an electronic medium and on paper in written form (see *PCT Newsletter* No. 01/2001).

Since some of these applications sometimes contain very lengthy tables related to such sequence listings, the *Administrative Instructions* have been modified, with effect from 6 September 2002, to extend the scope of Part 8 to such tables. Therefore, as from 6 September 2002, it will be possible for applicants to also file tables relating to sequence listings in computer readable form.

Sections 801 to 806 have all been modified so as to introduce, where appropriate, a reference to such tables. Section 803 has been modified to clarify that the current fee incentive will apply also to international applications containing tables, regardless of the length of such tables and regardless of the fact that the tables may be filed in addition to sequence listings, noting that all such sequence listings and tables would have had to be filed under modified Section 801(a). Section 806 has been further modified to clarify that any designated Office is entitled, for the purposes of the national phase, to require from the applicant in certain cases a translation of any text matter contained in tables.

Furthermore, because Annex C of the *Administrative Instructions* ("Standard for the Presentation of Nucleotide and/or Amino Acid

Sequence Listings in International Patent Applications under the PCT") deals only with the presentation of sequence listings themselves and does not cover sequence listing-related tables, a new Annex C-bis has been introduced, which contains the technical requirements with which such tables must comply.

The texts of the modified Sections 801 to 806 and the new Annex C-bis are set out in the tear-out sheets in this issue.

### PCT APPLICANT'S GUIDE UPDATE SHEETS

The next half-yearly set of update sheets for the *PCT Applicant's Guide* (the July 2002 update) will be available shortly. Pink provisional sheets which have been included in earlier issues of the *PCT Newsletter* this year, and which have been inserted in the *PCT Applicant's Guide* by its users, should be removed from the *Guide* and replaced with the July 2002 update sheets when they are received.

Note that, due to the increasing amount of information published in the *Guide*, it has been necessary to add a further binder, Vol. II/D, to the existing Vols. II/A, II/B, and II/C. Subscribers to the *Guide* will receive the new binder with their update sheets. As a consequence of the addition of the extra binder, a complete new set of yellow plastic separation sheets has been produced, and it will be necessary to replace the old separation sheets with the new separation sheets and to move some of the National Chapters to a different binder. Detailed instructions for doing this, as well as the standard filing instructions, will be included with the update sheets, which should be read very carefully before updating the *Guide*. It is important to note that due to the quantity of sheets included in the update, and in order to greatly simplify the removal and insertion operations, the binders of Vol. II should be filled from bottom to top; that is, in the following order: Vol. II/D, II/C, II/B then II/A.

The July 2002 update sheets for the *Guide* will also be incorporated shortly in the *PCT Applicant's Guide* on WIPO's Internet site.

### PCT PUBLICATIONS

#### *PCT Gazette Index 2001*

A bilingual (English/French) 2001 Index of the *PCT Gazette* was published on 29 August 2002. The Index is nearly 2,400 pages long and consists of 4 volumes. It contains, for international applications published in 2001, a consolidated version of the indexes published

in Section III and an index to Section IV and to the Special Issues of the *PCT Gazette*.

The indexes relating to Section III are of:

- (1) international application numbers and their corresponding international publication numbers;
- (2) names of all applicants together with the corresponding international publication numbers of their international applications; and
- (3) international publication numbers grouped according to International Patent Classification symbols.

The part relating to Section IV contains indexes of the notices and information of a general character which were published during 2001 in Section IV of the *PCT Gazette*.

The Index has been mailed to subscribers to the *PCT Gazette*. For those who do not subscribe to the *PCT Gazette*, a limited stock of the Index is available for purchase at a price of 24 Swiss francs or 15 US dollars by regular mail, and 28 Swiss francs or 17 US dollars by priority mail. Orders should be addressed to the Marketing and Distribution Section at WIPO:

fax: (41-22) 740 18 12  
 e-mail: publications.mail@wipo.int  
 mailing  
 address: see address on cover page

## PCT INFORMATION UPDATE

### AU Australia (fees)

The Australian Patent Office has notified the deletion of the additional fee for each sheet in excess of 30 as well as a change in the amount of the following national fee, payable to it as designated (or elected) Office. The new amount, applicable as from 1 September 2002, is as follows:

filing fee: AUD 320

(Updating of *PCT Applicant's Guide*, Vol. II/A, National Chapter, Summary (AU))

### IL Israel (e-mail address)

One of the e-mail addresses of the Israel Patent Office has changed; the consolidated list is as follows:

e-mail: igjppelt@trendline.co.il  
 michaelb@justice.gov.il

(Updating of *PCT Applicant's Guide*, Vol. I/A, Annex B1 (IL))

### Search fee (Australian Patent Office, European Patent Office, Spanish Patent and Trademark Office and Swedish Patent Office)

The equivalent amounts of the fee payable as from 1 September 2002 for an international

search carried out by the Australian Patent Office have been established, as indicated in Table I(b).

There will be changes in the equivalent amounts payable in ZAR, as from 1 October 2002, and in SGD and USD, as from 15 October 2002, for an international search carried out by the European Patent Office. As from 15 October 2002, there will be a change in the equivalent amount payable in USD for international searches carried out by the Spanish Patent and Trademark Office and the Swedish Patent Office. These changes are indicated in Table I(b).

(Updating of *PCT Applicant's Guide*, Vol. I/B, Annex D (AU, EP, ES and SE))

### List of Contracting States

The pink tear-out provisional sheet for the *PCT Applicant's Guide*, Vol. I/A, Annex A (PCT Contracting States) includes Seychelles and the date of entry into force of the PCT in respect of that State (see cover page for details).

## PCT CONTRACTING STATES AND TWO-LETTER CODES

Updated French, German and Spanish versions of the list of PCT Contracting States and two-letter codes, including the notes thereto (printed on the last page of the *PCT Newsletter*) are included in this issue, on pages 13 to 15, respectively.

## OFFICIAL GAZETTE OF THE USPTO: PAPER VERSION TO BE DISCONTINUED

The United States Patent and Trademark Office (USPTO) has announced that it will discontinue the publication of the paper version of the *Official Gazette of the United States Patent and Trademark Office*. The *Gazette* will, however be available electronically, via CD-ROM and via the Internet. The last publication of the paper version will be on 24 September 2002; the CD-ROM version will be published as from 1 October 2002. For details, contact the USPTO at the address given in the *PCT Applicant's Guide*, Vol. I/A, Annex B1 (US).

## PARIS CONVENTION

### Accession by Seychelles

On 7 August 2002, Seychelles (country code: SC) deposited its instrument of accession to the Paris Convention for the Protection of Industrial Property. Seychelles will become bound by that Convention on 7 November 2002. This updates the table of States party to the PCT and the Paris Convention and

Members of the WTO that was published in *PCT Newsletter* No. 08/2002.

## BUDAPEST TREATY

### List of States party to the Budapest Treaty; list of intergovernmental industrial property organizations having filed a declaration of acceptance under Article 9(1)(a) of that Treaty

It is recalled that the Budapest Treaty on the International Recognition of the Deposit of Microorganisms for the Purposes of Patent Procedure, which was concluded in 1977, permits the disclosure of an invention involving a microorganism or the use of a microorganism by effecting a deposit of a sample of the microorganism with a specialized institution. It thus eliminates, before the national patent Offices of the Contracting States of the Budapest Treaty and the regional Offices that have filed a declaration of acceptance under Article 9(1)(a) of the Treaty, the need to

deposit such a sample in each country in which protection is sought.

Five States have become party to the Budapest Treaty since the publication, in *PCT Newsletter* No. 09/2001, of a table setting out the States party to that Treaty and the intergovernmental industrial property organizations which have filed a declaration of acceptance under Article 9(1)(a) of the Treaty. An update of the table appears below.

## NEW PCT MATERIALS ON THE INTERNET

Documents relating to the forthcoming PCT Assembly and the PCT Committee for Technical Cooperation, both to be held between 23 September and 1 October 2002, are available on the PCT website at: <http://www.wipo.int/pct/en/meetings/meetings.htm>

For information on the new PCT-SAFE website, see page 2.

### States party to the Budapest Treaty (situation on 1 September 2002)

AT Austria	IE Ireland	PL Poland
AU Australia	IL Israel	PT Portugal
BE Belgium	IN India <sup>1</sup>	RO Romania
BG Bulgaria	IS Iceland	RU Russian Federation
BY Belarus	IT Italy	SE Sweden
CA Canada	JP Japan	SG Singapore
CH Switzerland	KP Democratic People's Republic of Korea <sup>1</sup>	SI Slovenia
CN China	KR Republic of Korea	SK Slovakia
CU Cuba	KZ Kazakhstan <sup>1</sup>	TJ Tajikistan
CZ Czech Republic	LI Liechtenstein	TR Turkey
DE Germany	LT Lithuania	TT Trinidad and Tobago
DK Denmark	LV Latvia	UA Ukraine
EE Estonia	MC Monaco	US United States of America
ES Spain	MD Republic of Moldova	UZ Uzbekistan <sup>1</sup>
FI Finland	MK The former Yugoslav Republic of Macedonia <sup>1</sup>	YU Yugoslavia
FR France	MX Mexico	ZA South Africa
GB United Kingdom	NL Netherlands	
GR Greece	NO Norway	
HR Croatia	PH Philippines	
HU Hungary		(Total: 55 States)

### Intergovernmental industrial property organizations having filed a declaration of acceptance under Article 9(1)(a) of the Budapest Treaty

AP African Regional Industrial Property Organization (ARIPO)
EA Eurasian Patent Organization (EAPO)
EP European Patent Organisation (EPO)

1. New since last publication of this list in *PCT Newsletter* No. 09/2001

## PRACTICAL ADVICE

### **Access by third parties to information on the international preliminary examination of an international application**

*Q: I am the agent for a company that is going to file a number of international applications in a particular field of technology. I am interested in following the progress of our major competitor in that field and would like to know what information we, as a third party, can access about the Chapter II procedure in respect of a particular published international application. For example, can I find out whether a demand for international preliminary examination has been filed, and can I have access to the international preliminary examination report and any written opinion? Also, in general, where at the International Bureau should I submit any requests for access to the file?*

*A:* By consulting Section II of the *PCT Gazette*, it is possible to find out whether a demand has been filed prior to the expiration of 19 months from the priority date in respect of a particular international application which has already been published, and it is also possible to find out which designated States have been elected under Chapter II in respect of that application (the names of any designated States which have **not** been elected are actually given; the published pamphlet should then be referred to in order to find out which States were designated) (see PCT Rule 61.4). Note that any international applications in respect of which the demand was filed after the expiration of 19 months from the priority date are not included in that list. This is because, at the time when PCT Rule 61.4 was introduced, its main purpose was to inform third parties that the 30-month time limit for entry into the national phase applied to a specific international application, and not the 20-month time limit under PCT Article 22, as in force prior to 1 April 2002. Now, the time limit of 30 months applies anyway, regardless of whether the demand was filed prior to 19 months from the priority date, in respect of a large number of countries. Section II of the *PCT Gazette* is available in PDF format on the date of publication at: [www.wipo.int/pct/en/gazette/weekissu.htm](http://www.wipo.int/pct/en/gazette/weekissu.htm).

As far as any other information connected with the international preliminary examination procedure is concerned, PCT Article 38 expressly provides that the International Bureau (IB) and the International Preliminary Examining Authority (IPEA) **may not allow unauthorized access to the file of the international preliminary examination**. Access by third parties to papers relating to the international preliminary examination held in the files of the IB and the IPEA

will thus be permitted only if it is requested or authorized by the applicant (see PCT Rule 94). Moreover, neither the IB nor the IPEA may, unless requested by or authorized to do so by the applicant, give information on the issuance or non-issuance of an international preliminary examination report (IPER) or on the withdrawal or non-withdrawal of the demand or of any elections.

Note, however, that once the IPER has been established, the IB transmits a copy to each elected Office. Then, subject to what is said below, third parties may be able to gain access to the IPER as part of the application file of the elected Office. They may also be able to gain access to documents contained in the file of the IPEA since, after the IPER has been established, elected Offices may themselves request from the IPEA a copy of the file of the IPEA, which would generally include any written opinions and responses thereto filed by the applicant (see PCT Article 38(1) and Rules 94.2 and 94.3). Access to the file of the IPEA (as opposed to access to the IPER) is only permitted in respect of international applications filed on or after 1 July 1998. Such access, however, will only be allowed to the same extent as is provided by the national law for access to the file of a national application. You should therefore check with the elected Offices concerned whether such access is possible.

Subject to the exceptions listed below, any requests by third parties for documents contained in the file of the International Bureau, with the exclusion of any document relating to the Chapter II procedure (see above), should be addressed to the **PCT Legal Division** at WIPO at the address on the cover page (fax: (41-22) 910 00 30). There are two exceptions in respect of which requests should be addressed to other areas of WIPO:

- priority documents, requests for which should be sent to the **PCT Examination Section** (fax: (41-22) 740 14 35);
- copies of published international applications (PCT pamphlets), requests for which should be sent to the **Marketing and Distribution Section** (fax: (41-22) 740 18 12)).

All such requests will be subject to reimbursement of the cost of the service (see *PCT Applicants Guide*, Annex B2 (IB) for details).

For further information on access to the file and on the confidentiality of the international preliminary examination procedure, see PCT Articles 30 and 38, PCT Rule 94, *PCT Applicant's Guide*, Vol. I/A, paras. 221, 318, 324, 406-7 and 476, and the practical advice sections of *PCT Newsletter* Nos. 12/1995 and 07/1998.

<b>PCT SEMINAR CALENDAR</b>			
<b>Dates and Location</b>	<b>Language of seminar</b>	<b>Nature of seminar; WIPO speakers (and others where known)</b>	<b>Organizer and contact numbers</b>
<b>11–12 September 2002 Asmara (Eritrea)</b>	English	WIPO National Seminar on Industrial Property and the PCT WIPO speakers: Mr. Herce-Vigil, Mrs. Simon-Vianes and Mr. Farag	Ministry of Trade and Industry (Eritrea) (Mr. Tewolde Woldemichael Deress) Tel: (291–1) 11 51 88/11 78 44
<b>11 September 2002 León City (MX)</b>	Spanish	WIPO Roving Seminar on the PCT WIPO speakers: Mr. Carrasco Pradas and Mr. Hernández Vigaud Other speaker: Mr. Martínez Eleno (IMPI)	Mexican Institute of Industrial Property (IMPI) and the Regional Office of IMPI in León (Mr. Juan Antonio Reus Anda) Tel: (52–477) 779 60 72 or 779 07 73 E-mail: jreus@impi.gob.mx
<b>12–13 September 2002 Geneva (CH)</b>	English	Basic PCT seminar on the PCT system WIPO speakers: Ms. Boutillon, Mr. Bryan, Mr. Baron, Mr. Reischle and Mr. Roy	PCT Legal Division, WIPO (Mrs. Paola Conti Lander) Tel: (41–22) 338 81 93 Fax: (41–22) 910 00 30 Internet (for further information and registration form): <a href="http://www.wipo.int/pct/en/seminar/registration.pdf">www.wipo.int/pct/en/seminar/registration.pdf</a>
<b>12–13 September 2002 Ulaan Baatar (MN)</b>	English	WIPO National Seminar on the PCT WIPO speakers: Mr. Wang, Mr. Sinha and Mr. Jargalsaikhan	Intellectual Property Office of Mongolia (Mr. Namjil Chinbat) Tel: (976–11) 32 72 67 Fax: (976–11) 32 76 38
<b>13 September 2002 Mérida City (MX)</b>	Spanish	WIPO Roving Seminar on the PCT WIPO speakers: Mr. Carrasco Pradas and Mr. Hernández Vigaud Other speaker: Mr. Martínez Eleno (IMPI)	Regional Office of IMPI in Mérida and University of Mayab, Mérida (Mr. Javier Augusto Téllez Navarro) Tel: (52–9999) 44 71 97 or 48 20 57 E-mail: ocastro@impi.gob.mx
<b>16–17 September 2002 Copenhagen (DK)</b>	English	PCT seminar WIPO speakers: Mr. Bryan and Ms. Trpkovska	Centre d'études internationales de la propriété industrielle (CEPI) and the Danish Patent and Trademark Office (Ms. Inge-Lise Høybye) Tel: (45–43) 50 80 00 Fax: (45–43) 50 80 01 E-mail: pvs@dkpto.dk
<b>8 October 2002 Iselin, New Jersey (US)</b>	English	PCT presentation at the PIUG 2002 Northeast Workshop WIPO speaker: Mr. Maassel	Patent Information Users Group (PIUG) (Ms. Elyse Turner) Tel: (1–732) 594 64 18 Fax: (1–732) 594 58 32 E-mail: <a href="mailto:elyse_turner@merck.com">elyse_turner@merck.com</a> Internet: <a href="http://www.piug.org/ne02meet.html">www.piug.org/ne02meet.html</a>
<b>8–9 October 2002 Munich (DE)</b>	German	Advanced PCT seminar WIPO speaker: Mr. Reischle Other speaker: Mr. Wolff (European Patent Office)	Forum Institut für Management GmbH Tel: (49–6221) 500 500 Fax: (49–6221) 500 505 E-mail: <a href="mailto:Management@Forum-Institut.de">Management@Forum-Institut.de</a>
<b>10 October 2002 Munich (DE)</b>	German	PCT-EASY course WIPO speaker: to be announced	Forum Institut für Management GmbH Tel: (49–6221) 500 500 Fax: (49–6221) 500 505 E-mail: <a href="mailto:Management@Forum-Institut.de">Management@Forum-Institut.de</a>
<b>10 October 2002 Stockholm (SE)</b>	English	PCT presentation at the “Patent Updating Day” seminar WIPO speaker: Mr. Thomas	Swedish Patent Office (Mr. Christer Eklöf) Tel: (46–8) 782 28 32 Fax: (46–8) 783 01 63 E-mail: <a href="mailto:christer.eklof@prv.se">christer.eklof@prv.se</a>

*[continued on next page]*



<b>PCT SEMINAR CALENDAR [continued]</b>			
<b>Dates and Location</b>	<b>Language of seminar</b>	<b>Nature of seminar; WIPO speakers (and others where known)</b>	<b>Organizer and contact numbers</b>
<b>22 October 2002 Tokyo (JP)</b>	Japanese	Seminar on the PCT WIPO speaker: Mr. Oku	Japan Patent Office (Ms. Atsuko Sato) Tel: (81-3) 35 80 16 65 Fax: (81-3) 35 01 06 59 E-mail: PA1A10@jpo.go.jp
<b>24 October 2002 Nagoya (JP)</b>	Japanese	Seminar on the PCT WIPO speaker: Mr. Oku	(see above)
<b>25 October 2002 Osaka (JP)</b>	Japanese	Seminar on the PCT WIPO speaker: Mr. Oku	(see above)
<b>31 October– 1 November 2002 San Francisco (US)</b>	English	Advanced PCT seminar WIPO speakers: Mr. Reischle and Mr. Maassel	Intellectual Property International (Ms. Virginia H. Meyer) Tel: (1-415) 289 74 71 Fax: (1-415) 331 60 68 E-mail: IPI@IPISeminars.com Internet: www.ipiseminars.com
<b>4–5 November 2002 Bridgetown (BB)</b>	English	WIPO National Seminar on the PCT WIPO speakers: Mr. Regis and Ms. Featherby Other speakers: Mr. Watkins (University of Akron, US), Ms. Tammy Griffiths (Attorney-at- Law, BB)	Corporate Affairs and Intellectual Property Office (Barbados) (Mrs. Maureen Crane Scott) Tel: (1-246) 436 48 18 Fax: (1-246) 437 30 72 E-mail: caipo@caribsurf.com
<b>4–5 November 2002 Chicago (US)</b>	English	Advanced PCT training session WIPO speakers: Mr. Reischle and Mr. Maassel	The John Marshall Law School Department of Event Management Tel: (1-312) 987 14 20 Fax: (1-312) 427 71 28 E-mail: Events@jmls.edu
<b>12 November 2002 Wellington (NZ)</b>	English	PCT seminar WIPO speaker: Mr. Maassel	Intellectual Property Office of New Zealand (Ms. Patricia Jennings) Tel: (64-4) 560 16 41 Fax: (64-4) 560 16 91 E-mail: pct-seminars@iponz.govt.nz
<b>14 November 2002 Auckland (NZ)</b>	English	PCT seminar WIPO speaker: Mr. Maassel	(as above)
<b>19 November 2002 London (GB)</b>	English	PCT seminar: "PCT Update" for senior patent administrators WIPO speaker: Mr. Reischle	Management Forum Ltd Tel: (44-1483) 57 00 99 Fax: (44-1483) 53 64 24 E-mail: josephine.leak@management-forum.co.uk
<b>26–27 November 2002 Paris (FR)</b>	French	Basic PCT seminar on PCT procedures WIPO speaker: Mr. Baron	Institut national de la propriété industrielle (INPI) (Mrs. Christiane Sadrin) Tel: (33-1) 53 04 55 76 Fax: (33-1) 42 93 63 52
<b>11–12 December 2002 London (GB)</b>	English	PCT seminar: "Advanced PCT Formalities" WIPO speakers: Mr. Reischle and Ms. Trpkovska	Management Forum Ltd Tel: (44-1483) 57 00 99 Fax: (44-1483) 53 64 24 E-mail: josephine.leak@management-forum.co.uk
<b>13 December 2002 London (GB)</b>	English	PCT-EASY workshop WIPO speaker: Ms. Featherby	(as above)
<b>6–8 January 2003 Zurich (CH)</b>	English	PCT presentation in the framework of a Postgraduate Program in Intellectual Property WIPO speaker: Mr. Reischle	Swiss Federal Institute of Technology Zurich (ETH) NDS Intellectual Property (Ms. Lili Tsiamis) Tel: (41-1) 632 68 08 Fax: (41-1) 632 13 67 E-mail: tsiamis@recht.gess.ethz.ch Internet: www.ndsip.ethz.ch
<b>27–28 February 2003 San Francisco (US)</b>	English	Basic PCT seminar WIPO speakers: Mr. Reischle and Mr. Maassel	Intellectual Property International (Ms. Virginia H. Meyer) Tel: (1-415) 289 74 71 Fax: (1-415) 331 60 68 E-mail: IPI@IPISeminars.com Internet: www.ipiseminars.com



## PCT FEE TABLES

The following Tables show the amounts and currencies of the main PCT fees which are payable to the receiving Offices (ROs) and the International Preliminary Examining Authorities (IPEAs) during the international phase under Chapter I (Tables I(a) and I(b)) and under Chapter II (Table II). Fees which are payable only in particular circumstances are not shown; nor are details of certain reductions and refunds which may be available; such information can be found in the *PCT Applicant's Guide*, Vol. I/B, Annexes C, D and E. Note that all amounts are subject to change due to variations in the fees themselves or fluctuations in exchange rates. The total amount of the basic fee and designation fee may be reduced by CHF 200 under certain circumstances where the request is prepared using the PCT-EASY software; see footnote 2 for details. A 75% reduction in the basic fee, the fee per sheet over 30, the designation fee and the handling fee, as well as an exemption from the transmittal fee payable to the International Bureau as receiving Office, is also available to applicants from certain States; see footnote 12 for details. (Note that if both the CHF 200 reduction and the 75% reduction are applicable, the 75% reduction is calculated *after* the CHF 200 reduction.) The footnotes to the Fee Tables follow Table II.

## Key to abbreviations used in fee tables:

eq	equivalent of -	BGL	Bulgarian lev	GEL	Georgian lari	LTL	Lithuanian litas	SGD	Singapore dollar
IPEA	International Preliminary Examining Authority	BRR	Brazilian real	GHC	Ghanaian cedi	LVL	Latvian lat	SIT	Slovenian tolar
ISA	International Searching Authority	BYR	Belarussian rouble	HRK	Croatian kuna	MAD	Moroccan dirham	SKK	Slovak koruna
n a	not applicable	BZD	Belize dollar	HUF	Hungarian forint	MDL	Moldovan leu	TJS	Tajik somoni
RO	receiving Office	CAD	Canadian dollar	IDR	Indonesian rupiah	MKD	Macedonian denar	TND	Tunisian dinar
		CHF	Swiss franc	ILS	New Israel shekel	MWK	Malawian kwacha	TTD	Trinidad and Tobago dollar
		CNY	Yuan renminbi	INR	Indian rupee	MXP	Mexican peso	UAH	Ukrainian hryvnia
		CUP	Cuban convertible peso	ISK	Icelandic krona	NOK	Norwegian krone	USD	US dollar
		CYP	Cyprus pound	JPY	Japanese yen	NZD	New Zealand dollar	VND	Vietnamese dong
		AED	United Arab Emirates dirham	KES	Kenyan shilling	PHP	Philippine peso	YUD	Yugoslavian dinar
		CZK	Czech koruna	KGS	Kyrgyz som	PLZ	Polish zloty	ZAR	South African rand
		DKK	Danish krone	KPW	KP won	ROL	Romanian leu	ZWD	Zimbabwe dollar
		DZD	Algerian dinar	KRW	KR won	RUR	Russian rouble		
ALL	Albanian lek	EER	Estonian kroon	KZT	Kazakh tenge	SDP	Sudanese pound		
AMD	Armenian dram	EUR	Euro	LSM	Lesotho loti	SEK	Swedish krona		
AUD	Australian dollar	GBP	Pound sterling						
AZM	Azerbaijani manat								

Table I(a) – TRANSMITTAL, BASIC AND DESIGNATION FEES

(as at 1 September 2002, unless otherwise indicated)

RO	Transmittal fee <sup>1</sup>	Basic fee <sup>1,2,3</sup> (CHF 650)	Fee per sheet over 30 <sup>1,2,3,4</sup> (CHF 15)	Designation fee <sup>1,2,3,5,6</sup> (CHF 140)	PCT-EASY reduction <sup>2</sup> (CHF 200)	Competent ISA(s) <sup>7</sup>
AE	AED <sup>8</sup> –	AED eq CHF 650	15	140	n a	AT AU
AL	ALL 9,000	CHF 650	15	140	n a	EP
AM	AMD 32,000	USD 407	9	88	125	EP RU
AP	USD 50 (or eq in local currency)	USD 407	9	88	125	AT EP SE
AT	EUR 50	EUR 444	10	96	137	EP
AU	AUD 100	AUD 746	17	161	230	AU
AZ	AZM eq USD 15 plus mailing costs	USD 407	9	88	n a	EP RU
BA	EUR 25.56	EUR 444	10	96	137	EP
BE	EUR 40	EUR 444	10	96	137	EP
BG	BGL 60	BGL eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	EP RU
BR	BRR 236	BRR eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	AT EP SE US
BY	BYR eq USD 70	USD 407	9	88	n a	EP RU
BZ	BZD 220	USD 407	9	88	125	EP
CA	CAD 200	CAD 639	15	138	197	EP
CH	CHF 100	CHF 650	15	140	200	EP
CN	CNY 500	CNY eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	CN
CR	USD 175	USD 407	9	88	125	EP ES
CU	USD (or eq CUP) 200	USD (or eq CUP) 407	9	88	125	AT EP ES RU
CY	CYP 75	CYP 258	6	56	n a	EP
CZ	CZK 1,500	CZK eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	EP

[continued on next page]

**Table I(a) – TRANSMITTAL, BASIC AND DESIGNATION FEES [continued]**  
(as at 1 September 2002, unless otherwise indicated)

RO	Transmittal fee <sup>1</sup>	Basic fee <sup>1,2,3</sup> (CHF 650)	Fee per sheet over 30 <sup>1,2,3,4</sup> (CHF 15)	Designation fee <sup>1,2,3,5,6</sup> (CHF 140)	PCT-EASY reduction <sup>2</sup> (CHF 200)	Competent ISA(s) <sup>7</sup>
DE	EUR 90	EUR 444	10	96	137	EP
DK	DKK 1,500	DKK 3,300	80	710	1,020	EP SE
DZ	DZD <sup>8</sup> –	CHF 650	15	140	200	AT EP
EA	RUR eq USD 50	USD 407	9	88	125	EP RU
EC	USD <sup>8</sup> –	USD 407	9	88	125	EP ES
EE	EEK 1,800	EEK eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	EP
EP	EUR 100	EUR 444	10	96	137	EP
ES	EUR 61.51	EUR 444	10	96	137	EP ES
FI	EUR 135	EUR 444	10	96	137	EP SE
FR	EUR 60	EUR 444	10	96	137	EP
GB	GBP 55	GBP 278	6	60	86	EP
GE	GEL <sup>9</sup> 10	USD 407	9	88	125	EP RU
GH	GHC <sup>10</sup> 2,500 or 5,000	USD 407	9	88	n a	AT AU CN EP SE
GR	EUR 115	EUR 444	10	96	137	EP
HR	HRK 200	HRK eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	EP
HU	HUF <sup>11</sup> 10,000	HUF eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	EP RU
IB	CHF <sup>12</sup> 100 or USD <sup>12</sup> 60	CHF 650 or USD 407	15 9	140 88	200 125	See footnote 13
ID	IDR 500,000	IDR eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	AU EP RU
IE	EUR 76.00	EUR 444	10	96	137	EP
IL	ILS 459	USD 407	9	88	125	EP US
IN	INR 5,000 (filing by indiv: 1,500)	USD 407	9	88	125	AT AU CN EP SE US
IS	ISK 5,500	ISK 41,300	1,000	8,900	11,600	EP SE
IT	EUR 30.99	EUR 444	10	96	n a	EP
JP	JPY 18,000	JPY 47,800	1,100	10,300	14,700	EP JP
KE	USD (or KES equiv) 250 plus cost of mailing	USD 407	9	88	125	AT AU CN EP SE
KG	KGS eq USD 100	USD 407	9	88	125	EP RU
KP	KPW eq CHF 50	KPW eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	AT RU
KR	KRW 45,000	KRW 530,000	12,000	114,000	163,000	AT AU JP <sup>14</sup> KR
KZ	KZT <sup>8</sup> –	USD 407	9	88	125	EP RU
LR	USD 45	USD 407	9	88	n a	AT AU CN EP SE
LS	LSM <sup>8</sup> –	LSM eq CHF 650	eq CHF 15	eq CHF 140	n a	AT EP
LT	LTL 320	USD 407	9	88	n a	EP RU
LU	EUR 19	EUR 444	10	96	n.a.	EP
LV	LVL 47.20	USD 407	9	88	125	EP RU
MA	None	CHF 650	15	140	n a	AT EP RU SE
MC	EUR 49	EUR 444	10	96	n a	EP
MD	MDL 180	USD 407	9	88	125	EP RU
MK	MKD 2,750	MKD eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	EP
MN	None	CHF 650	15	140	200	EP RU
MW	MWK 2,000	MWK 25,000	600	5,400	7,700	EP

[continued on next page]

**Table I(a) – TRANSMITTAL, BASIC AND DESIGNATION FEES** [continued]  
(as at 1 September 2002, unless otherwise indicated)

RO	Transmittal fee <sup>1</sup>	Basic fee <sup>1,2,3</sup> (CHF 650)	Fee per sheet over 30 <sup>1,2,3,4</sup> (CHF 15)	Designation fee <sup>1,2,3,5,6</sup> (CHF 140)	PCT-EASY reduction <sup>2</sup> (CHF 200)	Competent ISA(s) <sup>7</sup>
<b>MX</b>	<b>MXP</b> <sup>3</sup> eq USD 200	<b>MXP</b> eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	EP ES SE US
<b>NL</b>	<b>EUR</b> 50	<b>EUR</b> 444	10	96	137	EP
<b>NO</b>	<b>NOK</b> 500	<b>NOK</b> 3,560	80	770	1,090	EP SE
<b>NZ</b>	<b>NZD</b> 180	<b>NZD</b> 890	20	192	274	AU EP US
<b>OM</b>	Information not yet available					
<b>PH</b>	<b>PHP</b> 3,500	<b>USD</b> 407	9	88	125	AU EP JP KR US
<b>PL</b>	<b>PLZ</b> 300	<b>PLZ</b> eq CHF 650	eq CHF 15	eq CHF 140	n a	EP
<b>PT</b>	<b>EUR</b> 23.19	<b>EUR</b> 444	10	96	137	EP
<b>RO</b>	<b>ROL</b> 300,000	<b>CHF</b> 650	15	140	200	AT EP RU
<b>RU</b>	<b>RUR</b> 294	<b>USD</b> 407	9	88	125	EP RU
<b>SD</b>	<b>SDP</b> 50	<b>SDP</b> eq CHF 650	eq CHF 15	eq CHF 140	n a	EP
<b>SE</b>	<b>SEK</b> 1,200	<b>SEK</b> 4,390	100	950	1,350	EP SE
<b>SG</b>	<b>SGD</b> 150	<b>SGD</b> 720	17	156	222	AT AU EP
<b>SI</b>	<b>SIT</b> 22,000	<b>SIT</b> eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	EP
<b>SK</b>	<b>SKK</b> 1,600	<b>SKK</b> eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	EP
<b>TJ</b>	<b>TJS</b> <sup>8</sup> –	<b>USD</b> 407	9	88	n a	EP RU
<b>TM</b>	<b>USD</b> <sup>8</sup> –	<b>USD</b> 407	9	88	125	EP RU
<b>TN</b>	<b>TND</b> <sup>8</sup> –	<b>CHF</b> 650	15	140	n a	EP
<b>TR</b>	<b>CHF</b> 100	<b>CHF</b> 650	15	140	200	EP
<b>TT</b>	<b>TTD</b> 750	<b>USD</b> 407	9	88	125	AT EP SE US
<b>UA</b>	<b>UAH</b> 255	<b>USD</b> 407	9	88	n a	EP RU
<b>US</b>	<b>USD</b> 240	<b>USD</b> 407	9	88	125	EP US
<b>UZ</b>	<b>USD</b> <sup>8</sup> –	<b>USD</b> 407	9	88	125	EP RU
<b>VN</b>	<b>VND</b> eq USD 150	<b>VND</b> eq CHF 650	eq CHF 15	eq CHF 140	n a	AT AU EP RU SE
<b>YU</b>	<b>YUD</b> 3,000	<b>YUD</b> eq CHF 650	eq CHF 15	eq CHF 140	eq CHF 200	EP
<b>ZA</b>	<b>ZAR</b> 500	<b>ZAR</b> 4,240	98	910	1,300	AT AU EP US
<b>ZM</b>	Information not yet available					
<b>ZW</b>	<b>ZWD</b> 1,000	<b>ZWD</b> eq USD 407	eq USD 9	eq USD 88	eq USD 125	AT AU CN EP RU

**Table I(b) – SEARCH FEES**  
(as at 1 September 2002, unless otherwise indicated)

ISA	Search fee <sup>1</sup>									
<b>AT</b>	<b>EUR</b> 159	<b>CHF</b> 230	<b>KRW</b> 191,000	<b>SGD</b> 259	<b>USD</b> 150	<b>ZAR</b> 1,280				
<b>AU</b>	<b>AUD</b> 1,000	<b>CHF</b> 871	<b>KRW</b> 710,000	<b>NZD</b> 1,222	<b>SGD</b> 1,030	<b>USD</b> 491				
<b>CN</b>	<b>CNY</b> 1,500	<b>CHF</b> 290	<b>USD</b> 180							
<b>EP</b> <sup>15</sup>	<b>EUR</b> 945	<b>CAD</b> 1,360	<b>CHF</b> 1,383	<b>CYP</b> 550	<b>DKK</b> 7,030	<b>GBP</b> 592	<b>ISK</b> 83,000	<b>NOK</b> 7,070	<b>NZD</b> 1,889	<b>SEK</b> 8,720
	<b>ISK</b> 83,000	<b>JPY</b> 110,000	<b>MWK</b> 53,000	<b>NOK</b> 7,070	<b>NZD</b> 1,889	<b>SEK</b> 8,720				
	<b>SGD</b> * 1,533	<b>USD</b> * 866	<b>ZAR</b> ** 8,730							
	* (from 15.10.02: <b>SGD</b> 1,660)		<b>USD</b> 936)							
	** (from 1.10.02: <b>ZAR</b> 9,500)									
<b>ES</b> <sup>15</sup>	<b>EUR</b> 945	<b>CHF</b> 1,383	<b>USD</b> * 866							
	* (from 15.10.02: <b>USD</b> 936)									
<b>JP</b>	<b>JPY</b> 72,000	<b>CHF</b> 980	<b>KRW</b> 798,000	<b>USD</b> 535						
<b>KR</b>	<b>KRW</b> 150,000	<b>CHF</b> 180	<b>USD</b> 120							
<b>RU</b> <sup>16</sup>	<b>USD</b> 300	<b>CHF</b> 480								
<b>SE</b>	<b>SEK</b> 8,720	<b>CHF</b> 1,383	<b>DKK</b> 7,030	<b>EUR</b> 945	<b>ISK</b> 83,000	<b>NOK</b> 7,070				
	<b>USD</b> * 866	* (from 15.10.02: <b>USD</b> 936)								
<b>US</b>	<b>USD</b> 700	<b>CHF</b> 1,118	<b>719</b> <sup>17</sup>	<b>NZD</b> * 1,590	<b>1,020</b> <sup>17</sup>	<b>ZAR</b> 7,000	<b>4,500</b> <sup>17</sup>			
	* (from 15.9.02: <b>NZD</b> 1,440		<b>920</b> <sup>17</sup> )							

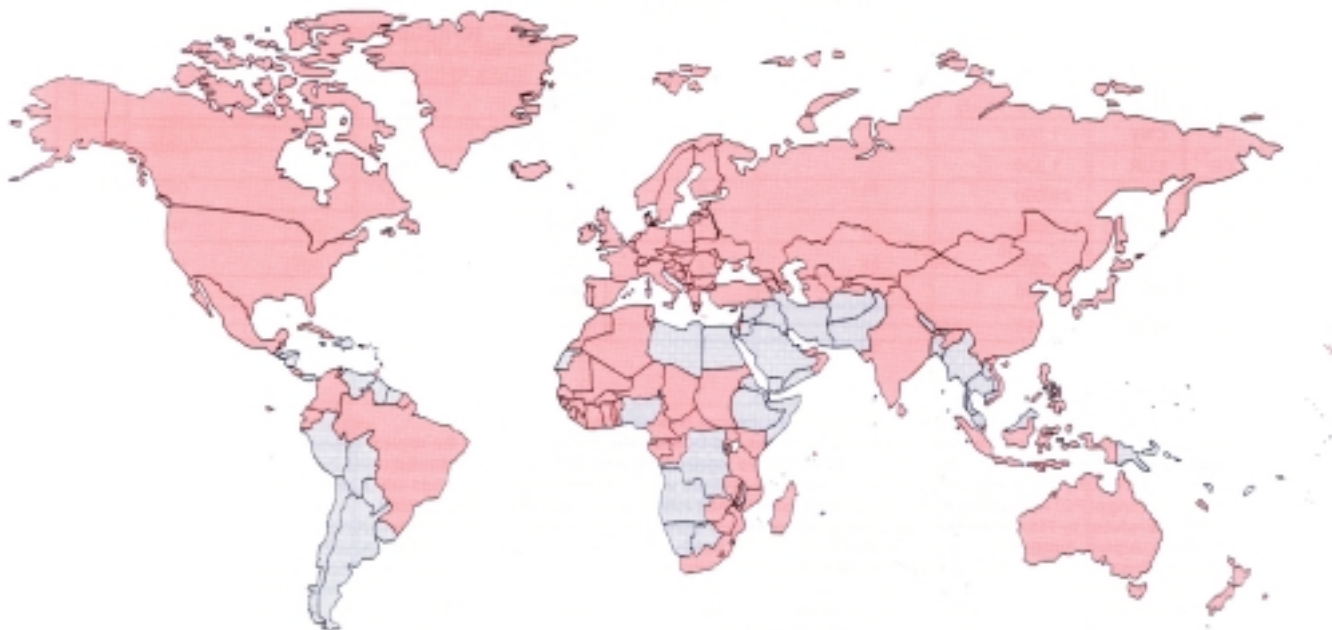
**Table II – PRELIMINARY EXAMINATION FEES**  
(as at 1 September 2002, unless otherwise indicated)

IPEA	Preliminary examination fee <sup>18</sup>		Handling fee <sup>3,18</sup> (CHF 233)
AT	EUR	159	EUR 159
AU	AUD	550 1,000 <sup>19</sup>	AUD 267
CN	CNY	1,500	CNY eq CHF 233
EP <sup>15</sup>	EUR	1,530	EUR 159
JP	JPY	28,000	JPY 17,100
KR	KRW	150,000	KRW 190,000
RU <sup>16</sup>	USD	200 <sup>20</sup> 300 <sup>21</sup>	USD 146
SE	SEK	5,000	SEK 1,570
US	USD	490 750 <sup>22</sup>	USD 146

*Footnotes to fee tables:*

- 1 Payable to the receiving Office in the currency or one of the currencies prescribed by it.
- 2 The total amount of the basic fee and designation fee is reduced by 200 Swiss francs where: (a) the request is presented as a computer print-out prepared using the PCT-EASY software; (b) the request is filed together with a computer diskette, prepared using that software, containing a copy in electronic form of the data contained in the request and of the abstract; and (c) the PCT application is filed with a receiving Office which is prepared to accept the filing of PCT applications containing requests in PCT-EASY format together with PCT-EASY diskettes.
- 3 This fee is reduced by 75% where the applicant or, if there are two or more applicants, each applicant is a natural person and is a national of and resides in Albania, Algeria, Armenia, Azerbaijan, Belarus, Belize, Benin, Bosnia and Herzegovina, Brazil, Bulgaria, Burkina Faso, Cameroon, Central African Republic, Chad, China, Colombia, Congo, Costa Rica, Côte d'Ivoire, Croatia, Cuba, Czech Republic, Democratic People's Republic of Korea, Dominica, Ecuador, Equatorial Guinea, Estonia, Gabon, Gambia, Georgia, Ghana, Grenada, Guinea, Guinea-Bissau, Hungary, India, Indonesia, Kazakhstan, Kenya, Kyrgyzstan, Latvia, Lesotho, Liberia, Lithuania, Madagascar, Malawi, Mali, Mauritania, Mexico, Mongolia, Morocco, Mozambique, Niger, Philippines, Poland, Republic of Moldova, Romania, Russian Federation, Saint Lucia, Senegal, Sierra Leone, Slovakia, South Africa, Sri Lanka, Sudan, Swaziland, Tajikistan, The former Yugoslav Republic of Macedonia, Togo, Tunisia, Turkey, Turkmenistan, Uganda, Ukraine, United Republic of Tanzania, Uzbekistan, Viet Nam, Yugoslavia, Zambia or Zimbabwe. For further details, see *PCT Newsletter* No. 10/1995, cover page, No. 11/1995, page 6, and No. 05/1996, cover page.
- 4 Where the PCT application as filed contains a sequence listing part in computer readable form only, or both in that form and on paper, under Section 801 of the PCT *Administrative Instructions*, and where that application is filed with a receiving Office which is prepared to accept such filings, a fixed component of 400 times the fee per sheet over 30 is payable for the sequence listing part, irrespective of the actual length of that part (see Section 803(ii) of the *Administrative Instructions*).
- 5 The maximum number of designation fees payable is five.
- 6 The confirmation fee payable under PCT Rules 4.9(c) and 15.5 is 50% of the designation fee due (taking into account any applicable 75% reduction; see footnote 3).
- 7 For the search fee payable to the receiving Office, consult the entry in Table I(b) for the competent International Searching Authority.
- 8 The amounts are not yet known or, where known, are subject to periodical revision. The Office or the agent should be consulted for the latest applicable schedule of fees.
- 9 This fee is reduced by 80% where the applicant is a natural person.
- 10 The first amount of the transmittal fee is applicable to individuals or entities employing less than 25 persons. The second amount is applicable to entities employing 25 persons or more.
- 11 A supplement of HUF 500 is also payable for each claim in excess of 10.
- 12 This fee is not payable in respect of international applications filed by applicants fulfilling the conditions indicated in footnote 3.
- 13 The competent International Searching Authority(ies) for an international application filed with the International Bureau as receiving Office is (are) the Authority(ies) which would have been competent if the international application had been filed with the receiving Office of, or acting for, the Contracting State of which the applicant (or any of the applicants) is a resident or national. See also *PCT Applicant's Guide*, Vol. I/B, Annex C (IB).
- 14 The Japan Patent Office is competent only for international applications in Japanese.
- 15 The search fee payable to the EPO and the Spanish Patent and Trademark Office, as well as the preliminary examination fee payable to the EPO, are reduced by 75% where the applicant or, if there are two or more applicants, each applicant is a natural person and is a national of and resides in a State not party to the European Patent Convention, which fulfils the requirements for the corresponding reduction of certain PCT fees as specified in the Schedule of Fees annexed to the PCT Regulations, and in accordance with the decision of the EPO's Administrative Council of 11 October 2000, the text of which was included in *PCT Newsletter* No. 11/2000. The States concerned are those indicated in footnote 3, with the exception of Bulgaria, the Czech Republic, Estonia, Slovakia and Turkey.
- 16 The applicant may, instead of paying the USD amount, pay the equivalent amount in RUR at the exchange rate applicable, on the date of payment, at the Central Bank of the Russian Federation, provided that, in the case of the search fee, the receiving Office accepts payment in RUR.
- 17 Payable when a corresponding prior US national application has been filed under 35 USC 111(a) and the basic filing fee for that US application has been paid.
- 18 Payable to the International Preliminary Examining Authority in the currency or one of the currencies prescribed by it.
- 19 Payable when the international search report was not issued by the Australian Patent Office.
- 20 Payable when the international search report was established by the Russian Patent Office.
- 21 In all cases where footnote 20 does not apply.
- 22 Payable when the international search was not carried out by the United States Patent and Trademark Office (USPTO) (provided that the USPTO is a competent International Preliminary Examining Authority in the particular case—see *PCT Applicant's Guide*, Vol. I/B, Annex C (US)).

## ÉTATS CONTRACTANTS DU PCT ET CODES À DEUX LETTRES (117 au 1<sup>er</sup> septembre 2002)



AE Émirats arabes unis	CY Chypre (EP) <sup>2</sup>	IL Israël	MK Ex-République yougoslave de Macédoine <sup>1</sup>	SK Slovaquie (EP)
AG Antigua-et-Barbuda	CZ République tchèque (EP)	IN Inde	ML Mali (OA) <sup>2</sup>	SL Sierra Leone (AP)
AL Albanie <sup>1</sup>	DE Allemagne (EP)	IS Islande	MN Mongolie	SN Sénégal (OA) <sup>2</sup>
AM Arménie (EA)	DK Danemark (EP)	IT Italie (EP) <sup>2</sup>	MR Mauritanie (OA) <sup>2</sup>	SZ Swaziland (AP) <sup>2</sup>
AT Autriche (EP)	DM Dominique	JP Japon	MW Malawi (AP)	TD Tchad (OA) <sup>2</sup>
AU Australie	DZ Algérie	KE Kenya (AP)	MX Mexique	TG Togo (OA) <sup>2</sup>
AZ Azerbaïdjan (EA)	EC Équateur	KG Kirghizistan (EA)	MZ Mozambique (AP)	TJ Tadjikistan (EA)
BA Bosnie-Herzégovine	EE Estonie (EP)	KP République populaire démocratique de Corée	NE Niger (OA) <sup>2</sup>	TM Turkménistan (EA)
BB Barbade	ES Espagne (EP)	KR République de Corée	NL Pays-Bas (EP) <sup>2</sup>	TN Tunisie
BE Belgique (EP) <sup>2</sup>	FI Finlande (EP)	KZ Kazakhstan (EA)	NO Norvège	TR Turquie (EP)
BF Burkina Faso (OA) <sup>2</sup>	FR France (EP) <sup>2</sup>	LC Sainte-Lucie	NZ Nouvelle-Zélande	TT Trinité-et-Tobago
BG Bulgarie (EP)	GA Gabon (OA) <sup>2</sup>	LI Liechtenstein (EP)	OM Oman	TZ République-Unie de Tanzanie (AP)
BJ Bénin (OA) <sup>2</sup>	GB Royaume-Uni (EP)	LK Sri Lanka	PH Philippines	UA Ukraine
BR Brésil	GD Grenade	LR Libéria	PL Pologne	UG Ouganda (AP)
BY Bélarus (EA)	GE Géorgie	LS Lesotho (AP)	PT Portugal (EP)	US États-Unis d'Amérique
BZ Belize	GH Ghana (AP)	LT Lituanie <sup>1</sup>	RO Roumanie <sup>1</sup>	UZ Ouzbékistan
CA Canada	GM Gambie (AP)	LU Luxembourg (EP)	RU Fédération de Russie (EA)	<b>VC Saint-Vincent-et-les-Grenadines</b>
CF République centrafricaine (OA) <sup>2</sup>	GN Guinée (OA) <sup>2</sup>	LV Lettonie <sup>1</sup>	<b>SC Seychelles (à partir du 7 novembre 2002)</b>	VN Viet Nam
CG Congo (OA) <sup>2</sup>	GQ Guinée équatoriale (OA) <sup>2</sup>	MA Maroc	SD Soudan (AP)	YU Yougoslavie
CH Suisse (EP)	GR Grèce (EP) <sup>2</sup>	MC Monaco (EP) <sup>2</sup>	SE Suède (EP)	ZA Afrique du Sud
CI Côte d'Ivoire (OA) <sup>2</sup>	GW Guinée-Bissau (OA) <sup>2</sup>	MD République de Moldova (EA)	SG Singapour	ZM Zambie (AP)
CM Cameroun (OA) <sup>2</sup>	HR Croatie	MG Madagascar	SI Slovénie <sup>1</sup>	ZW Zimbabwe (AP)
CN Chine	HU Hongrie			
CO Colombie	ID Indonésie			
CR Costa Rica	IE Irlande (EP) <sup>2</sup>			
CU Cuba				

<sup>1</sup> Possibilité d'extension d'un brevet européen.

<sup>2</sup> Ne peut être désigné qu'aux fins d'un brevet régional (suite à la fermeture de la "voie nationale" via le PCT).

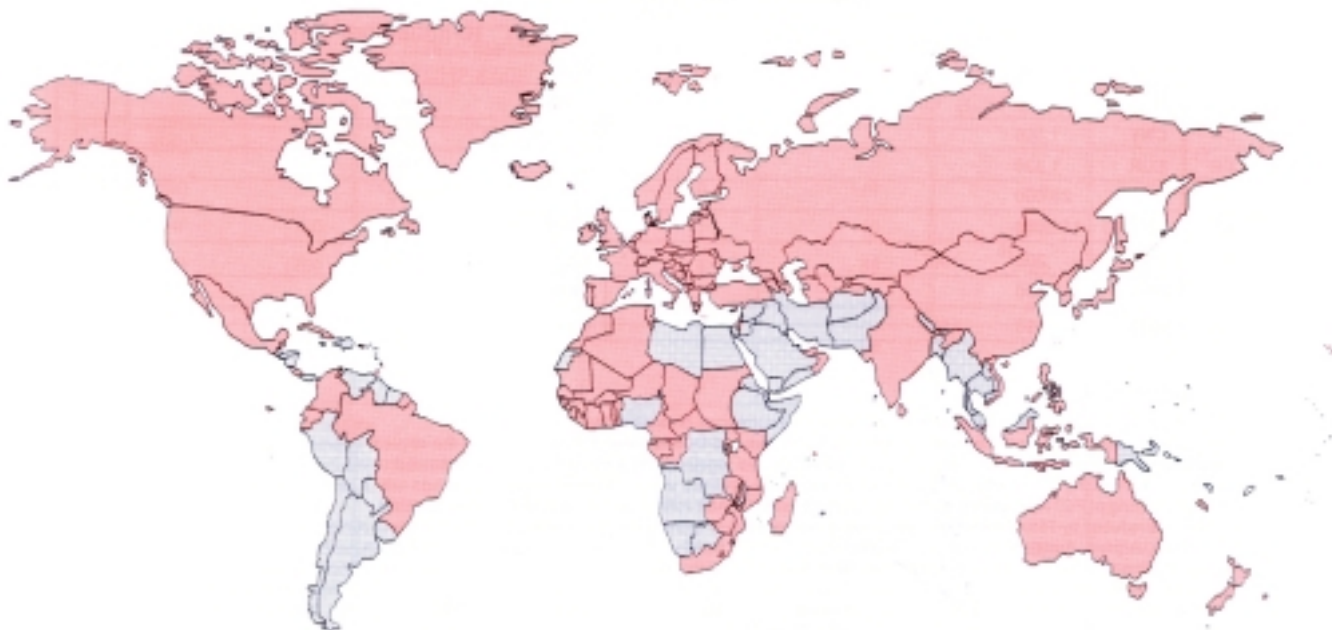
Lorsqu'un État peut être désigné aux fins d'un brevet régional, le code à deux lettres correspondant au brevet régional concerné est indiqué entre parenthèses (AP = brevet ARIPO, EA = brevet eurasién, EP = brevet européen, OA = brevet OAPI).

### Important:

Cette liste comporte tous les États qui ont adhéré au PCT à la date qui figure ci-dessus. Un État dont le nom est indiqué en **italique gras** a adhéré au PCT mais n'était pas encore lié par le PCT à la date de publication de la dernière version du formulaire de requête. Lorsqu'un État a adhéré au PCT mais n'est pas encore lié par le PCT, la date à laquelle il deviendra lié figure entre parenthèses; il ne peut être désigné dans des demandes internationales déposées avant cette date. Si le déposant souhaite désigner, aux fins d'un brevet national, un État qui est lié par le PCT à la date à laquelle il dépose la demande internationale mais qui ne figure pas dans le formulaire de requête, il doit l'ajouter dans le cadre n° V dudit formulaire en cochant la case appropriée.

Il est recommandé aux déposants de toujours utiliser les dernières versions du formulaire de requête (PCT/RO/101) et du formulaire de demande d'examen préliminaire international (PCT/IPEA/401), dont il est publié des versions mises à jour, en règle générale, deux fois par an. Les dernières versions sont datées de juillet 2002. Ces formulaires sont reproduits aux annexes X et Y, respectivement, du volume I/B du *Guide du déposant du PCT* (mise à jour de juillet 2002) et peuvent être imprimés à partir du site Internet de l'OMPI (formulaires prêts à être remplis en format PDF) à l'adresse suivante: <http://www.OMPI.int/pct/fr/forms/index.htm>, ou être obtenus auprès des offices récepteurs ou du Bureau international, ou, dans le cas du formulaire de demande d'examen préliminaire international, également auprès des administrations chargées de l'examen préliminaire international.

## PCT-VERTRAGSSTAATEN UND ZWEIBUCHSTABEN-CODES (117 am 1. September 2002)



AE Vereinigte Arabische Emirate	CR Costa Rica	ID Indonesien	jugoslawische Republik	SN Senegal (OA) <sup>2</sup>
AG Antigua und Barbuda	CU Kuba	IE Irland (EP) <sup>2</sup>	Mazedonien <sup>1</sup>	SZ Swasiland (AP) <sup>2</sup>
AL Albanien <sup>1</sup>	CY Zypern <sup>2</sup>	IL Israel	ML Mali (OA) <sup>2</sup>	TD Tschad (OA) <sup>2</sup>
AM Armenien (EA)	CZ Tschechische Republik (EP)	IN Indien	MN Mongolei	TG Togo (OA) <sup>2</sup>
AT Österreich (EP)	DE Deutschland (EP)	IS Island	MR Mauretanien (OA) <sup>2</sup>	TJ Tadschikistan (EA)
AU Australien	DK Dänemark (EP)	IT Italien (EP) <sup>2</sup>	MW Malawi (AP)	TM Turkmenistan (EA)
AZ Aserbaidschan (EA)	DM Dominica	JP Japan	MX Mexiko	TN Tunesien
BA Bosnien-Herzegowina	DZ Algerien	KE Kenia (AP)	MZ Mosambik (AP)	TR Türkei (EP)
BB Barbados	EC Ecuador	KG Kirgisistan (EA)	NE Niger (OA) <sup>2</sup>	TT Trinidad und Tobago
BE Belgien (EP) <sup>2</sup>	EE Estland (EP)	KP Demokratische Volksrepublik Korea	NL Niederlande (EP) <sup>2</sup>	TZ Vereinigte Republik Tansania (AP)
BF Burkina Faso (OA) <sup>2</sup>	ES Spanien (EP)	KR Republik Korea	NO Norwegen	UA Ukraine
BG Bulgarien (EP)	FI Finnland (EP)	KZ Kasachstan (EA)	NZ Neuseeland	UG Uganda (AP)
BJ Benin (OA) <sup>2</sup>	FR Frankreich (EP) <sup>2</sup>	LC St. Lucia	OM Oman	US Vereinigte Staaten von Amerika
BR Brasilien	GA Gabun (OA) <sup>2</sup>	LI Liechtenstein (EP)	PH Philippinen	UZ Usbekistan
BY Belarus (EA)	GB Vereinigtes Königreich (EP)	LK Sri Lanka	PL Polen	<b>VC St. Vincent und die Grenadinen</b>
BZ Belize	GD Grenada	LR Liberia	PT Portugal (EP)	VN Vietnam
CA Kanada	GE Georgien	LS Lesotho (AP)	RO Rumänien <sup>1</sup>	YU Jugoslawien
CF Zentralafrikanische Republik (OA) <sup>2</sup>	GH Ghana (AP)	LT Litauen <sup>1</sup>	RU Russische Föderation (EA)	ZA Südafrika
CG Kongo (OA) <sup>2</sup>	GM Gambia (AP)	LU Luxemburg (EP)	<b>SC Seychellen</b> (ab 7. November 2002)	ZM Sambia (AP)
CH Schweiz (EP)	GN Guinea (OA) <sup>2</sup>	LV Lettland <sup>1</sup>	SD Sudan (AP)	ZW Simbabwe (AP)
CI Côte d'Ivoire (OA) <sup>2</sup>	GQ Äquatorialguinea (OA) <sup>2</sup>	MA Marokko	SE Schweden (EP)	
CM Kamerun (OA) <sup>2</sup>	GR Griechenland (EP) <sup>2</sup>	MC Monaco (EP) <sup>2</sup>	SG Singapur	
CN China	GW Guinea-Bissau (OA) <sup>2</sup>	MD Republik Moldau (EA)	SI Slowenien <sup>1</sup>	
CO Kolumbien	HR Kroatien	MG Madagaskar	SK Slowakei (EP)	
	HU Ungarn	MK Die ehemalige jugoslawische Republik Mazedonien <sup>1</sup>	SL Sierra Leone (AP)	

<sup>1</sup> Erstreckung eines europäischen Patents möglich.

<sup>2</sup> Kann nur für ein regionales Patent bestimmt werden (die nationale Route über den PCT-Weg ist geschlossen worden).

Kann ein Staat für ein regionales Patent bestimmt werden, so ist der Zweibuchstaben-Code für das entsprechende regionale Patent in Klammern angegeben (AP = ARIPO-Patent, EA = eurasisches Patent, EP = europäisches Patent, OA = OAPI-Patent).

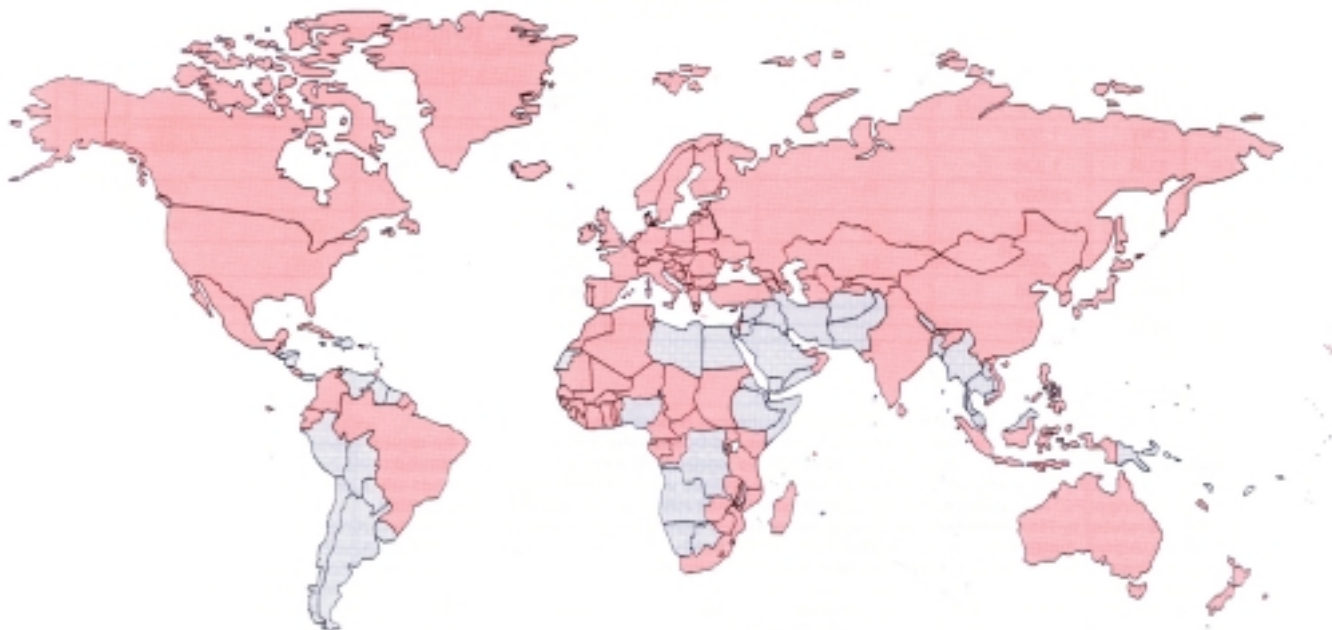
### **Wichtig:**

Diese Liste umfaßt alle Staaten, die dem PCT bis zu dem in der Überschrift genannten Datum beigetreten sind. Diejenigen Staaten, deren Namen **fett und kursiv** gedruckt sind, sind dem PCT beigetreten, waren jedoch am Tag der Herausgabe der letzten Fassung des Antragsformulars noch nicht durch den PCT gebunden. Ist ein Staat dem PCT beigetreten, aber noch nicht durch den PCT gebunden, so ist das Datum, ab dem dieser Staat durch den PCT gebunden sein wird, in Klammern angegeben; dieser Staat kann in internationalen Anmeldungen, die vor diesem Datum eingereicht werden, nicht bestimmt werden. Will der Anmelder einen Staat für ein nationales Patent bestimmen, der an dem Tag, an dem die internationale Anmeldung eingereicht wird, durch den PCT gebunden, aber nicht auf dem Antragsformular aufgeführt ist, so muß er diesen Staat in Feld Nr. V hinzufügen und das entsprechende Kästchen ankreuzen.

Anmelder sollten stets die letzte Fassung des Antragsformulars (PCT/RO/101) sowie des Formulars für den Antrag auf internationale vorläufige Prüfung (PCT/IPEA/401) benutzen. Neufassungen beider Formulare erscheinen üblicherweise zweimal im Jahr; die letzten Neufassungen tragen das Datum Juli 2002. Beide Formulare können von der Internetseite der WIPO unter <http://www.wipo.int/pct/de/forms/index.htm> (in editierbarem PDF Format) ausgedruckt oder von den Anmeldeämtern, dem Internationalen Büro oder, hinsichtlich des Antrags auf internationale vorläufige Prüfung, auch von der mit der internationalen vorläufigen Prüfung beauftragten Behörde bezogen werden.



## ESTADOS CONTRATANTES DEL PCT Y CÓDIGOS DE DOS LETRAS (117 el 1 de septiembre de 2002)



AE Emiratos Árabes Unidos	CR Costa Rica	ID Indonesia	MG Madagascar	SG Singapur
AG Antigua y Barbuda	CU Cuba	IE Irlanda (EP) <sup>2</sup>	MK Ex República Yugoslava de Macedonia <sup>1</sup>	SI Eslovenia <sup>1</sup>
AL Albania <sup>1</sup>	CY Chipre (EP) <sup>2</sup>	IL Israel	ML Malí (OA) <sup>2</sup>	SK Eslovaquia (EP)
AM Armenia (EA)	CZ República Checa (EP)	IN India	MN Mongolia	SL Sierra Leona (AP)
AT Austria (EP)	DE Alemania (EP)	IS Islandia	MR Mauritania (OA) <sup>2</sup>	SN Senegal (OA) <sup>2</sup>
AU Australia	DK Dinamarca (EP)	JP Japón	MW Malawi (AP)	SZ Swazilandia (AP) <sup>2</sup>
AZ Azerbaiyán (EA)	DM Dominica	KE Kenia (AP)	MX México	TD Chad (OA) <sup>2</sup>
BA Bosnia y Herzegovina	DZ Argelia	KG Kirguistán (EA)	MZ Mozambique (AP)	TG Togo (OA) <sup>2</sup>
BB Barbados	EC Ecuador	KP República Popular Democrática de Corea	NE Níger (OA) <sup>2</sup>	TJ Tayikistán (EA)
BE Bélgica (EP) <sup>2</sup>	EE Estonia (EP)	KR República de Corea	NL Países Bajos (EP) <sup>2</sup>	TM Turkmenistán (EA)
BF Burkina Faso (OA) <sup>2</sup>	ES España (EP)	KZ Kazajistán (EA)	NO Noruega	TN Túnez
BG Bulgaria (EP)	FI Finlandia (EP)	LC Santa Lucía	NZ Nueva Zelandia	TR Turquía (EP)
BJ Benin (OA) <sup>2</sup>	FR Francia (EP) <sup>2</sup>	LI Liechtenstein (EP)	OM Omán	TT Trinidad y Tabago
BR Brasil	GA Gabón (OA) <sup>2</sup>	LK Sri Lanka	PH Filipinas	TZ República Unida de Tanzania (AP)
BY Belarús (EA)	GB Reino Unido (EP)	LR Liberia	PL Polonia	UA Ucrania
BZ Belice	GD Granada	LS Lesotho (AP)	PT Portugal (EP)	UG Uganda (AP)
CA Canadá	GE Georgia	LT Lituania <sup>1</sup>	RO Rumania <sup>1</sup>	US Estados Unidos de América
CF República Centroafricana (OA) <sup>2</sup>	GH Ghana (AP)	LU Luxemburgo (EP)	RU Federación de Rusia (EA)	UZ Uzbekistán
CG Congo (OA) <sup>2</sup>	GM Gambia (AP)	LV Letonia <sup>1</sup>	<b>SC Seychelles</b> (a partir del 7 de noviembre de 2002)	<b>VC San Vicente y las Granadinas</b>
CH Suiza (EP)	GN Guinea (OA) <sup>2</sup>	MA Marruecos	SD Sudán (AP)	VN Viet Nam
CI Côte d'Ivoire (OA) <sup>2</sup>	GQ Guinea Ecuatorial (OA) <sup>2</sup>	MC Mónaco (EP) <sup>2</sup>	SE Suecia (EP)	YU Yugoslavia
CM Camerún (OA) <sup>2</sup>	GR Grecia (EP) <sup>2</sup>	MD República de Moldova (EA)		ZA Sudáfrica
CN China	GW Guinea-Bissau (OA) <sup>2</sup>			ZM Zambia (AP)
CO Colombia	HR Croacia			ZW Zimbabwe (AP)
	HU Hungría			

<sup>1</sup> Posible extensión de patente europea.

<sup>2</sup> Puede ser designado solamente para una patente regional (ha sido cerrada la "vía nacional" por medio del PCT).

Cuando se puede designar un Estado para una patente regional, se indica entre paréntesis el código de dos letras respecto de la patente regional en cuestión (AP = patente ARIPO, EA = patente euroasiática, EP = patente europea, OA = patente OAPI).

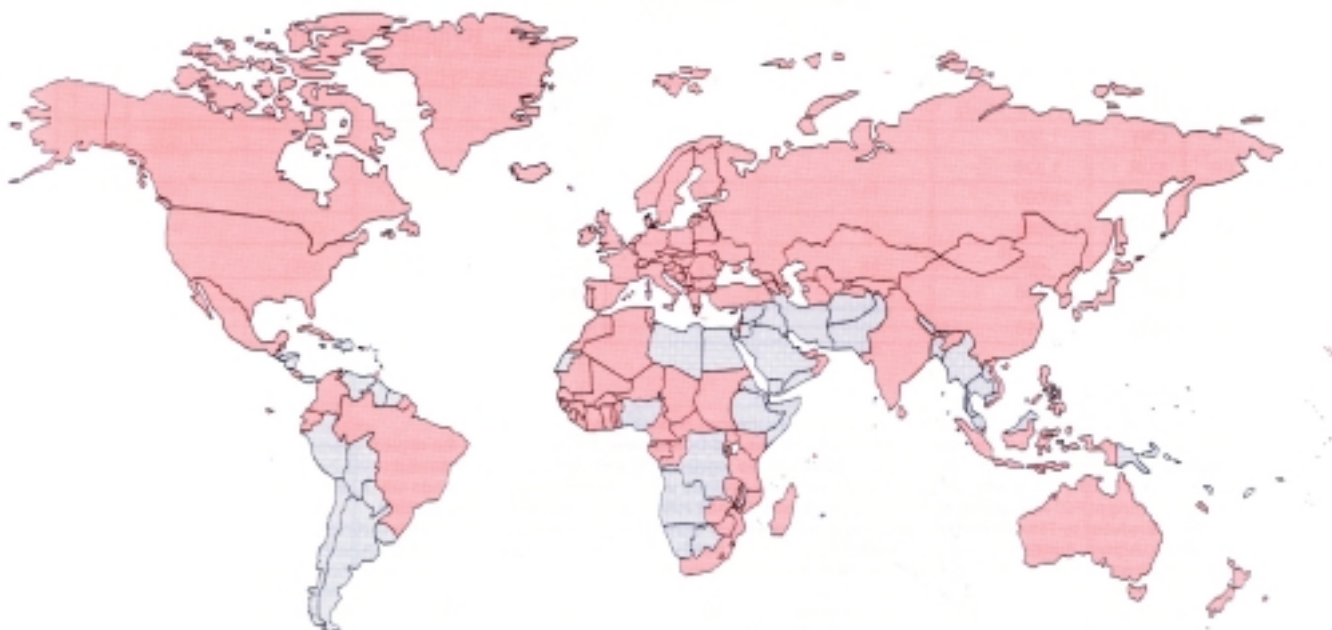
### Importante:

Esta lista incluye todos los Estados adheridos al PCT en la fecha indicada en el título. Los Estados indicados en **itálicas negritas** se han adherido al PCT pero aún no estaban obligados por el PCT en la fecha de publicación de la última versión del formulario del petitorio. Cuando un Estado se haya adherido al PCT pero aún no esté obligado por el mismo, se indica entre paréntesis la fecha en la que quedará obligado; no podrá ser designado en solicitudes internacionales presentadas antes de esa fecha. Si el solicitante desea designar, para una patente nacional, a cualquier Estado que esté obligado por el PCT en la fecha de presentación de la solicitud internacional, pero que aún no esté relacionado en el formulario del petitorio, deberá añadirlo en el recuadro N° V del formulario del petitorio y marcar las casillas correspondientes.

Se recomienda a los solicitantes utilizar siempre las versiones más recientes del formulario del petitorio (PCT/RO/101) y del formulario de la solicitud de examen preliminar internacional (PCT/IPEA/401), de los que se publican nuevas versiones normalmente dos veces al año. Las versiones más recientes son de julio de 2002; se puede imprimir los formularios desde la página de acceso de la OMPI en Internet, disponibles para cumplimentar en formato PDF, en: <http://www.wipo.int/pct/es/forms/index.htm>. Se puede obtener los formularios en las Oficinas receptoras o en la Oficina Internacional o, en cuanto al formulario de la solicitud de examen preliminar internacional, también en las Administraciones encargadas del examen preliminar internacional.



## PCT CONTRACTING STATES AND TWO-LETTER CODES (117 on 1 September 2002)



AE United Arab Emirates	CO Colombia	ID Indonesia	MK The former Yugoslav Republic of Macedonia <sup>1</sup>	SL Sierra Leone (AP)
AG Antigua and Barbuda	CR Costa Rica	IE Ireland (EP) <sup>2</sup>	ML Mali (OA) <sup>2</sup>	SN Senegal (OA) <sup>2</sup>
AL Albania <sup>1</sup>	CU Cuba	IL Israel	MN Mongolia	SZ Swaziland (AP) <sup>2</sup>
AM Armenia (EA)	CY Cyprus (EP) <sup>2</sup>	IN India	MR Mauritania (OA) <sup>2</sup>	TD Chad (OA) <sup>2</sup>
AT Austria (EP)	CZ Czech Republic (EP)	IS Iceland	MW Malawi (AP)	TG Togo (OA) <sup>2</sup>
AU Australia	DE Germany (EP)	IT Italy (EP) <sup>2</sup>	MX Mexico	TJ Tajikistan (EA)
AZ Azerbaijan (EA)	DK Denmark (EP)	JP Japan	MZ Mozambique (AP)	TM Turkmenistan (EA)
BA Bosnia and Herzegovina	DM Dominica	KE Kenya (AP)	NE Niger (OA) <sup>2</sup>	TN Tunisia
BB Barbados	DZ Algeria	KG Kyrgyzstan (EA)	NL Netherlands (EP) <sup>2</sup>	TR Turkey (EP)
BE Belgium (EP) <sup>2</sup>	EC Ecuador	KP Democratic People's Republic of Korea	NO Norway	TT Trinidad and Tobago
BF Burkina Faso (OA) <sup>2</sup>	EE Estonia (EP)	KR Republic of Korea	NZ New Zealand	TZ United Republic of Tanzania (AP)
BG Bulgaria (EP)	ES Spain (EP)	KZ Kazakhstan (EA)	OM Oman	UA Ukraine
BJ Benin (OA) <sup>2</sup>	FI Finland (EP)	LC Saint Lucia	PH Philippines	UG Uganda (AP)
BR Brazil	FR France (EP) <sup>2</sup>	LI Liechtenstein (EP)	PL Poland	US United States of America
BY Belarus (EA)	GA Gabon (OA) <sup>2</sup>	LK Sri Lanka	PT Portugal (EP)	UZ Uzbekistan
BZ Belize	GB United Kingdom (EP)	LR Liberia	RO Romania <sup>1</sup>	<b>VC Saint Vincent and the Grenadines</b>
CA Canada	GD Grenada	LS Lesotho (AP)	RU Russian Federation (EA)	VN Viet Nam
CF Central African Republic (OA) <sup>2</sup>	GE Georgia	LT Lithuania <sup>1</sup>	<b>SC Seychelles (from 7 November 2002)</b>	YU Yugoslavia
CG Congo (OA) <sup>2</sup>	GH Ghana (AP)	LU Luxembourg (EP)	SD Sudan (AP)	ZA South Africa
CH Switzerland (EP)	GM Gambia (AP)	LV Latvia <sup>1</sup>	SE Sweden (EP)	ZM Zambia (AP)
CI Côte d'Ivoire (OA) <sup>2</sup>	GN Guinea (OA) <sup>2</sup>	MA Morocco	SG Singapore	ZW Zimbabwe (AP)
CM Cameroon (OA) <sup>2</sup>	GQ Equatorial Guinea (OA) <sup>2</sup>	MC Monaco (EP) <sup>2</sup>	SI Slovenia <sup>1</sup>	
CN China	GR Greece (EP) <sup>2</sup>	MD Republic of Moldova (EA)	SK Slovakia (EP)	
	GW Guinea-Bissau (OA) <sup>2</sup>	MG Madagascar		
	HR Croatia			
	HU Hungary			

<sup>1</sup> Extension of European patent possible.

<sup>2</sup> May only be designated for a regional patent (the "national route" via the PCT has been closed).

Where a State can be designated for a regional patent, the two-letter code for the regional patent concerned is indicated in parentheses (AP = ARIPO patent, EA = Eurasian patent, EP = European patent, OA = OAPI patent).

### Important:

This list includes all States that have adhered to the PCT by the date shown in the heading. Any State indicated in **bold italics** has adhered to the PCT but was not yet bound by the PCT on the date of issue of the latest version of the request form. Where any State has adhered to but is not yet bound by the PCT, the date on which it will become bound is shown in parentheses; it cannot be designated in international applications filed before that date. If the applicant wishes to designate, for the purposes of a national patent, any State which is bound by the PCT on the date on which the international application is filed but which is not listed in the request form, he must add it in Box No. V of the request form and mark the corresponding check-box.

Applicants should always use the latest versions of the request form (PCT/RO/101) and demand form (PCT/IPEA/401), updated versions of which are normally issued twice yearly. The latest versions are dated July 2002. The forms are reproduced in Annexes X and Y, respectively, in Vol. I/B of the *PCT Applicant's Guide* (July 2002 update), and can be printed from the WIPO Internet site, in editable PDF format, at: <http://www.wipo.int/pct/en/forms/index.htm>, or obtained from receiving Offices or the International Bureau, or, in the case of the demand form, also from International Preliminary Examining Authorities.

## A

## PCT Contracting States\*

## A

Name of State followed by the two-letter code	Date on which State became bound by the PCT*	Name of State followed by the two-letter code	Date on which State became bound by the PCT*
Albania AL	4 October 1995	Hungary HU <sup>1</sup>	27 June 1980
Algeria DZ <sup>1</sup>	8 March 2000	Iceland IS	23 March 1995
Antigua and Barbuda AG	17 March 2000	India IN <sup>1</sup>	7 December 1998
Armenia AM <sup>1</sup>	25 December 1991	Indonesia ID <sup>1</sup>	5 September 1997
Australia AU	31 March 1980	Ireland IE	1 August 1992
Austria AT	23 April 1979	Israel IL	1 June 1996
Azerbaijan AZ	25 December 1995	Italy IT	28 March 1985
Barbados BB	12 March 1985	Japan JP	1 October 1978
Belarus BY <sup>1</sup>	25 December 1991	Kazakhstan KZ <sup>1</sup>	25 December 1991
Belgium BE	14 December 1981	Kenya KE	8 June 1994
Belize BZ	17 June 2000	Kyrgyzstan KG <sup>1</sup>	25 December 1991
Benin BJ	26 February 1987	Latvia LV	7 September 1993
Bosnia and Herzegovina BA	7 September 1996	Lesotho LS	21 October 1995
Brazil BR	9 April 1978	Liberia LR	27 August 1994
Bulgaria BG	21 May 1984	Liechtenstein LI	19 March 1980
Burkina Faso BF	21 March 1989	Lithuania LT	5 July 1994
Cameroon CM	24 January 1978	Luxembourg LU	30 April 1978
Canada CA	2 January 1990	Madagascar MG	24 January 1978
Central African Republic CF	24 January 1978	Malawi MW	24 January 1978
Chad TD	24 January 1978	Mali ML	19 October 1984
China CN	1 January 1994	Mauritania MR	13 April 1983
Colombia CO	28 February 2001	Mexico MX	1 January 1995
Congo CG	24 January 1978	Monaco MC	22 June 1979
Costa Rica CR	3 August 1999	Mongolia MN	27 May 1991
Côte d'Ivoire CI	30 April 1991	Morocco MA	8 October 1999
Croatia HR	1 July 1998	Mozambique MZ <sup>1</sup>	18 May 2000
Cuba CU <sup>1</sup>	16 July 1996	Netherlands NL <sup>4</sup>	10 July 1979
Cyprus CY	1 April 1998	New Zealand NZ	1 December 1992
Czech Republic CZ	1 January 1993	Niger NE	21 March 1993
Democratic People's Republic of Korea KP	8 July 1980	Norway NO <sup>2</sup>	1 January 1980
Denmark DK	1 December 1978	Oman OM <sup>1</sup>	26 October 2001
Dominica DM	7 August 1999	Philippines PH	17 August 2001
Ecuador EC	7 May 2001	Poland PL <sup>2</sup>	25 December 1990
Equatorial Guinea GQ	17 July 2001	Portugal PT	24 November 1992
Estonia EE	24 August 1994	Republic of Korea KR	10 August 1984
Finland FI <sup>2</sup>	1 October 1980	Republic of Moldova MD <sup>1</sup>	25 December 1991
France FR <sup>1,3</sup>	25 February 1978	Romania RO <sup>1</sup>	23 July 1979
Gabon GA	24 January 1978	Russian Federation RU <sup>1</sup>	29 March 1978
Gambia GM	9 December 1997	Saint Lucia LC <sup>1</sup>	30 August 1996
Georgia GE <sup>1</sup>	25 December 1991	Saint Vincent and the Grenadines VC <sup>1</sup>	6 August 2002
Germany DE	24 January 1978	Senegal SN	24 January 1978
Ghana GH	26 February 1997	Seychelles SC	(will become bound on 7 November 2002)
Greece GR	9 October 1990	Sierra Leone SL	17 June 1997
Grenada GD	22 September 1998	Singapore SG	23 February 1995
Guinea GN	27 May 1991	Slovakia SK	1 January 1993
Guinea-Bissau GW	12 December 1997		

[Continued on next page]

**A****PCT Contracting States\*****A**

[Continued]

Name of State followed by the two-letter code	Date on which State became bound by the PCT*	Name of State followed by the two-letter code	Date on which State became bound by the PCT*
Slovenia SI	1 March 1994	Turkey TR	1 January 1996
South Africa ZA <sup>1</sup>	16 March 1999	Turkmenistan TM <sup>1</sup>	25 December 1991
Spain ES	16 November 1989	Uganda UG	9 February 1995
Sri Lanka LK	26 February 1982	Ukraine UA <sup>1</sup>	25 December 1991
Sudan SD	16 April 1984	United Arab Emirates AE	10 March 1999
Swaziland SZ	20 September 1994	United Kingdom GB <sup>5</sup>	24 January 1978
Sweden SE <sup>2</sup>	17 May 1978	United Republic of	
Switzerland CH	24 January 1978	Tanzania TZ	14 September 1999
Tajikistan TJ <sup>1</sup>	25 December 1991	United States of America US <sup>6,7</sup>	24 January 1978
The former Yugoslav Republic		Uzbekistan UZ <sup>1</sup>	25 December 1991
of Macedonia MK	10 August 1995	Viet Nam VN	10 March 1993
Togo TG	24 January 1978	Yugoslavia YU	1 February 1997
Trinidad and Tobago TT	10 March 1994	Zambia ZM	15 November 2001
Tunisia TN <sup>1</sup>	10 December 2001	Zimbabwe ZW	11 June 1997

\* All PCT Contracting States are bound by Chapter II of the PCT relating to the international preliminary examination.

<sup>1</sup> With the declaration provided for in Article 64(5).

<sup>2</sup> With the declaration provided for in Article 64(2)(a)(ii).

<sup>3</sup> Including all Overseas Departments and Territories.

<sup>4</sup> Ratification for the Kingdom in Europe, the Netherlands Antilles and Aruba.

<sup>5</sup> Extends to the Isle of Man.

<sup>6</sup> With the declarations provided for in Articles 64(3)(a) and 64(4)(a).

<sup>7</sup> Extends to all areas for which the United States of America has international responsibility.

## MODIFICATIONS OF THE ADMINISTRATIVE INSTRUCTIONS

### PART 8 INSTRUCTIONS RELATING TO INTERNATIONAL APPLICATIONS CONTAINING LARGE NUCLEOTIDE AND/OR AMINO ACID SEQUENCE LISTINGS AND/OR TABLES RELATING THERETO

#### **Section 801** **Filing of International Applications** **Containing Sequence Listings and/or Tables**

(a) Pursuant to Rules 89 *bis* and 89 *ter*, where an international application contains disclosure of one or more nucleotide and/or amino acid sequence listings ("sequence listings"), the receiving Office may, if it is prepared to do so, accept that these sequence listings part of the description, as referred to in Rule 5.2(a) and/or any table related to these sequence listings ("sequence listings and/or tables"), be filed, at the option of the applicant:

- (i) only on an electronic medium in the computer readable form referred to in Section 802; or
- (ii) both on an electronic medium in that computer readable form and on paper in the written form referred to in Section 802;

provided that the other elements of the international application are filed as otherwise provided for under the Regulations and these Instructions.

(b) Any receiving Office which is prepared to accept the filing in computer readable form of these sequence listings and/or tables under paragraph (a) shall notify the International Bureau accordingly. The notification shall specify the electronic media on which the receiving Office will accept such filings. The International Bureau shall promptly publish any such information in the Gazette.

(c) A receiving Office which has not made a notification under paragraph (b) may nevertheless decide in a particular case to accept an international application the sequence listings and/or tables of which are filed with it under paragraph (a).

(d) Where the sequence listings and/or tables are filed in computer readable form under paragraph (a) but not on an electronic medium specified by the receiving Office under paragraph (b), that Office shall, under Article 14(1)(a)(v), invite the applicant to furnish to it replacement sequence listings and/or tables on an electronic medium specified under paragraph (b).

(e) Where an international application containing sequence listings and/or tables in computer readable form is filed under paragraph (a) with a receiving Office which is not prepared, under paragraph (b) or (c), to accept such filings, Section 333(b) and (c) shall apply.

**Section 802**  
**Format and Identification Requirements Relating to**  
**International Applications Containing Sequence Listings and/or Tables**

(a) Paragraphs 40 to 45 of Annex C shall apply *mutatis mutandis* to the sequence listing part of an international application filed in computer readable form.

(b) Tables filed in computer readable form under Section 801(a) shall comply with Annex C *-bis*.

(b-*bis*) Any International Searching Authority which requires that sequence listings be furnished in computer readable form shall select from the technical requirements contained in Annex C *-bis* those which it will apply and it shall notify the International Bureau accordingly. The International Bureau shall promptly publish any such information in the Gazette.

(b-*ter*) Where sequence listings and tables are both filed in computer readable form under Section 801(a), such listings and tables shall, respectively, be contained on separate electronic carriers which shall contain no other programs or files.

(b-*quater*) Rule 13 *ter*.1 shall apply *mutatis mutandis* to any tables not complying with Annex C *-bis* and paragraph (b-*ter*).

(c) The label provided for in paragraph 44 of Annex C shall, in respect of these sequence listings and/or tables, also include, as the case may be, the following indications:

(i) that these sequence listings and/or tables are filed under Section 801(a);

(ii) where these sequence listings and/or tables in computer readable form are contained on more than one electronic carrier, the numbering of each such carrier (for example, "DISK 1/3," "DISK 2/3," "DISK 3/3");

(iii) where more than one copy of these sequence listings and/or tables in computer readable form has been filed, the numbering of each copy (for example, "COPY 1," "COPY 2," "COPY 3").

(d) Where any correction under Rule 26.3, any rectification of an obvious error under Rule 91, or any amendment under Article 34 is submitted in respect of the sequence listings and/or tables filed, under Section 801(a)(i) or (ii), in computer readable form, replacement sequence listings and/or tables in computer readable form containing the entirety of the sequence listings and/or tables with the relevant correction, rectification or amendment shall be furnished and the label referred to in paragraph (c) shall be marked accordingly (for example, "SUBMITTED FOR CORRECTION," "SUBMITTED FOR RECTIFICATION," "SUBMITTED FOR AMENDMENT"). Where the sequence listings and/or tables were filed both in computer readable form and in written form under Section 801(a)(ii), replacement sheets containing the correction, rectification or amendment in question shall also be submitted in written form.

**Section 803**  
**Calculation of Basic Fee for**  
**International Applications Containing Sequence Listings and/or Tables**

Where sequence listings and/or tables are filed in electronic form under Section 801(a), the basic fee payable in respect of that application shall comprise the following two components:

(i) a basic component calculated as provided in the Schedule of Fees in respect of all pages filed on paper (that is, all pages of the request, description (excluding sequence listings and/or tables if also filed on paper), claims, abstract and drawings), and

(ii) an additional component, in respect of sequence listings and/or tables, equal to 400 times the fee per sheet as referred to in item 1(b) of the Schedule of Fees, regardless of the actual length of the sequence listings and/or tables filed in computer readable form and regardless of the fact that sequence listings and/or tables may have been filed both in written form and in computer readable form. ings

**Section 804**  
**Preparation, Identification and Transmittal of Copies**  
**of International Applications Containing Sequence Listings and/or Tables**

(a) Where sequence listings and/or tables are filed only in computer readable form under Section 801(a)(i), the record copy for the purposes of Article 12 shall consist of those elements of the international application filed on paper together with these sequence listings and/or tables filed in computer readable form.

(b) Where sequence listings and/or tables are filed both in computer readable form and in written form under Section 801(a)(ii), the record copy for the purposes of Article 12 shall consist of all the elements of the international application filed on paper, including these sequence listings and/or tables in written form.

(c) Where sequence listings and/or tables are filed in computer readable form under Section 801(a)(i) or (ii) in less than the number of copies required for the purposes of this Section, the receiving Office shall either:

- (i) promptly prepare any additional copies required, in which case it shall have the right to fix a fee for performing that task and to collect such fee from the applicant; or
- (ii) invite the applicant to promptly furnish the additional number of copies required, accompanied by a statement that the sequence listings and/or tables in computer readable form contained in those copies are identical to these sequence listings and/or tables in computer readable form as filed;

provided that, where those sequence listings and/or tables were also filed in written form under Section 801(a)(ii), the receiving Office shall not, notwithstanding Rule 11.1(b), require the applicant to file additional copies of the sequence listings and/or tables in written form.

[Section 804, continued]

(d) Where these sequence listings and/or tables are filed under Section 801(a)(i), the receiving Office shall, in addition to proceeding under Section 305 with respect to the parts of the international application filed on paper:

(i) mark the words “RECORD COPY —SEQUENCE LISTINGS AND/OR TABLES” on the original electronic medium containing the sequence listings and/or tables in computer readable form and transmit that part of the record copy to the International Bureau together with the paper part of the record copy;

(ii) mark the words “SEARCH COPY —SEQUENCE LISTINGS AND/OR TABLES” on one additional copy of the electronic medium containing the sequence listings and/or tables in computer readable form and transmit that part of the search copy to the International Searching Authority, for the purposes of Rule 13ter.1, together with the paper part of the search copy;

(iii) mark the words “HOME COPY —SEQUENCE LISTINGS AND/OR TABLES” on the other such copy of the electronic medium containing the sequence listings and/or tables in computer readable form and keep that part of the home copy in its file together with the paper part of the home copy.

(e) Where these sequence listings and/or tables are filed under Section 801(a)(ii), the receiving Office shall, in addition to proceeding under Section 305 with respect to the parts of the international application filed on paper:

(i) mark the words “RECORD COPY —SEQUENCE LISTINGS AND/OR TABLES” in the upper left-hand corner of the first page of the first sequence listing and of the first page of the first table in written form and transmit that part of the record copy to the International Bureau together with the paper part of the record copy; it shall also mark the words “COPY FOR INTERNATIONAL BUREAU —SEQUENCE LISTINGS AND/OR TABLES” on one copy of the electronic medium containing the sequence listings and/or tables in computer readable form and transmit that copy with the record copy;

(ii) mark the words “SEARCH COPY —SEQUENCE LISTINGS AND/OR TABLES” on one additional copy of the electronic medium containing the sequence listings and/or tables in computer readable form and transmit that part of the search copy to the International Searching Authority, for the purposes of Rule 13ter.1, together with the paper part of the search copy;

(iii) mark the words “HOME COPY —SEQUENCE LISTINGS AND/OR TABLES” on the other such copy of the electronic medium containing the sequence listings and/or tables in computer readable form and keep that part of the home copy in its file together with the paper part of the home copy.

(f) The receiving Office may, when marking the copies referred to in paragraphs (d) and (e), use, instead of the words referred to in those paragraphs, the equivalent of those words in the language of publication of the international application.



**Section 805**  
**Publication and Communication of International**  
**Applications Containing Sequence Listings and/or Tables; Copies; Priority Documents**

(a) Notwithstanding Section 406, an international application containing sequence listings and/or tables may be published under Article 21, in whole or in part, in electronic form as determined by the Director General.

(b) Paragraph (a) shall apply *mutatis mutandis* in relation to:

(i) the communication of an international application under Article 20;

(ii) the furnishing of copies of an international application under Rules 87 and 94.1;

(iii) the furnishing under Rule 17.1, as a priority document, of a copy of an international application containing sequence listings and/or tables filed under Section 801(a);

(iv) the furnishing under Rules 17.2 and 66.7 of copies of a priority document.

**Section 806**  
**Sequence Listings and/or Tables for Designated Office**

(a) Where sequence listings and/or tables were filed only in computer readable form under Section 801(a)(i), any designated Office which does not accept the filing of sequence listings and/or tables in computer readable form may require that the applicant furnish to it, for the purposes of the national phase, a copy on paper of such sequence listings in written form complying with Annex C and a copy on paper of such tables in written form, accompanied by a statement that the sequence listings and/or tables in written form are identical to the sequence listings and/or tables in computer readable form.

(b) Rule 13 *ter.2* shall apply *mutatis mutandis* to any tables filed under Section 801(a).

(c) For the purposes of Rule 49.5, any designated Office may require that the applicant furnish to it a translation of any text matter contained in any tables filed under Section 801(a), if that text matter is not in the language-neutral vocabulary referred to in Annex C and if it does not appear in the main part of the description in the language thereof.

ANNEX C -bis  
TECHNICAL REQUIREMENTS  
FOR THE PRESENTATION OF TABLES RELATED TO  
NUCLEOTIDE AND AMINO ACID SEQUENCE LISTINGS  
IN INTERNATIONAL PATENT APPLICATIONS UNDER THE PCT

### Introduction

1. These technical requirements have been elaborated so as to provide standardization of the presentation of tables related to nucleotide and amino acid sequence listings in international patent applications. These technical requirements are intended to allow the applicant to draw up such tables in a manner which is acceptable to all receiving Offices, International Searching Authorities, International Preliminary Examining Authorities and to the International Bureau for the purposes of the international phase and to all designated and elected Offices for the purposes of the national phase.

### Definition

2. For the purposes of these technical requirements, “competent Authority” is the International Searching Authority that is to carry out the international search on the international application, or the International Preliminary Examining Authority that is to carry out the international preliminary examination on the international application, or the designated/elected Office before which the processing of the international application has started.

### Tables related to sequence listings

3. Tables filed in computer readable form under Section 801(a) shall comply with one of the following character formats:

- (i) UTF-8-encoded Unicode 3.0; or
- (ii) XML format conforming to the “Application -Body” Document Type Definition referred to in Appendix I of Annex F;

at the option of the competent Authority.

4. The spatial relationships (e.g., columns and rows) of the table elements shall be maintained.

5. At the option of the competent Authority, file compression is acceptable, so long as the compressed file is in a self-extracting format that will decompress on a Personal Computer Operating system that is acceptable to the competent Authority and to the International Bureau.

6. Each table shall be contained within a separate electronic file on any electronic medium that is acceptable to the competent Authority. The file recorded on the electronic medium that is acceptable to the competent Authority shall be encoded using IBM Code Page 437, IBM Code Page 932 or a compatible code page. A compatible code page, as would be required for, for example, Japanese, Chinese, Cyrillic, Arabic, Greek or Hebrew characters, is one that assigns the Roman alphabet and numeral to the same hexadecimal positions as do the specified code pages.

7. Tables filed in computer readable form may be created by any means, as long as the table on an electronic medium that is acceptable to the competent Authority is readable under a Personal Computer Operating system that is acceptable to the competent Authority and to the International Bureau.

8. If the electronic medium that is acceptable to the competent Authority is submitted after the date of filing of an application, the labels shall also include the filing date of the application and the application number.

[End]