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(IPC UNION)

IPC REVISION WORKING GROUP

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CONVERSION OF INDEXING SCHEMES TO CLASSIFICATION SCHEMES

Document prepared by the Secretariat

1. In order to obtain experience in carrying out the task of treatment of hybrid systems for the reformed IPC, the IPC Revision Working Group agreed, at its sixth session, to conduct pilot projects on converting separate indexing schemes into classification schemes and accommodating double-purpose schemes for use for additional classification.
2. The following members of the Working Group volunteered to conduct pilot projects for the schemes indicated:

Separate indexing schemes

Sweden: A 61 K 101:00, 103:00; A 61 K 121:00, 123:00;
United Kingdom: C 02 F 101:00; C 02 F 103:00.

Double-purpose schemes

EPO: C 04 B 7/00 – 28/00;
Germany: C 03 C 25/24 – 25/44; C 07 D 203/00 – 347/00; C 07 D 451/00 – 517/00.

3. Annexes I to V to this document contain the results of the pilot projects on subclasses A 61 K, C 02 F, C 03 C, C 04 B and C 07 D respectively, submitted by the volunteering offices indicated in paragraph 2 above.
4. Annexes VI and VII contain comments submitted by the European Patent Office on the Annexes II and III, respectively.
5. Annex VIII contains a consolidated proposal submitted by Germany on subclass C 03 C.

[Annexes follow]

ANNEX I

Swedish Patent and Registration Office

Project: Conversion of hybrid systems, subclass A61K

March 7th, 2002

Proposal

Introduction

This is our view of the possible conversion and/or abolishing of the IPC7 indexing codes A61K 101:00, 103:00, 121:00 and 123:00.

IPC7 indexing codes A61K 101:00-103:00

These indexing codes were included in IPC6. They are associated with group 51/00 and relate to the nature of the radioactive substance.

Our expert has relatively small experience of these indexing codes, because there have been few applications in the field. However, it is our opinion that these indexing codes are helpful in the search of inventions in this field. We suggest that the indexing codes should be converted to subgroups of A61K 51/00.

To make A61K 51/00 work, it is necessary to abolish the last place rule between the one-dot levels in this group. Otherwise one set of groups would be incomplete for the matter it covers.

IPC7 indexing codes A61K 121:00-123:00

These indexing codes relate to preparations for use in therapy and preparations for testing in vivo.

These are not suitable to convert to subgroups in A61K 51/00, because most preparations are both for use in therapy and for testing. If the preparations are used in therapy, they should be classified in A61P anyway.

It is our opinion that the information considering if a preparation is used for testing in vivo or not, is not of such importance that it should be a classification group.

We suggest that the indexing codes A61K 121:00-123:00 should be deleted.

Detailed proposal

A61K

(51/00 **Preparations containing radioactive substances for use in therapy or testing in vivo <existing>?**

C	After 51/00	Note The general last place rule of A61K is not applied between the different one-dot groups of this group. If an invention is characterised by more than one of the features covered by groups 51/02, 51/12 or 51/14 it is classified in all the relevant groups.
(	51/02	. characterised by the carrier <existing>)
(	51/04 - 51/10	<existing>)
(	51/12	. characterised by a special physical form, e.g. emulsion, microcapsules, liposomes <existing>)
N	51/14	. characterised by the nature of the radioactive substance
N	51/16	.. Radioactive non-metals
N	51/18	... Halogens
N	51/20	.. Radioactive metals
N	51/22	... Technetium; Rhenium
N	51/24	... Indium
N	51/26	... Rare earths
N	51/28	 Yttrium
N	51/30	 Gadolinium
N	51/32	 Ytterbium
N	51/32	... Actinides
D	Before 101:00	Guide heading and note
D	101:00 - 123:00	

We think group 51/16 is helpful, because it clarifies the structure of the scheme. 51/14 will take combinations of matter covered by its one-dot groups, so in principle it would not be exhausted. However, if exhaustion is of concern, group 51/16 could be removed from the scheme and 51/18 made a two-dot group.

Carolina Gomez Lagerlöf

[Annex II follows]

ANNEX II

CONVERSION OF INDEXING SCHEMES C 02 F 101:00, 103:00 TO CLASSIFICATION SCHEMES

prepared by the United Kingdom

Comments

Where necessary Notes have been amended/deleted and the indexing scheme has been re-formatted as a classification scheme. Consideration was made as to whether it was necessary to alter the wording of the groups, especially the main groups 101/00, 103/00 as a classification scheme may be read somewhat differently to an indexing scheme. In the event it appeared that the wording in conjunction with the notes present was accurate in its pre-existing form. It was also believed that no further notes explaining any hierarchical rules of classification were needed.

Proposal

Change Notes following subclass title

C (2) In this subclass, it is desirable to further classify in group 101:00 where a disclosure specifying the nature of the contaminant is made.

C (3) In this subclass, it is desirable to further classify in group 103:00 where a disclosure relating to the nature of the water, waste water, sewage or sludge to be treated is made.

Change Guide heading following group 11/20:

C Classification scheme associated with groups 1/00 to 11/00, relating to the nature of the contaminant in the water, waste water, sewage or sludge.

D Delete Note after Guide heading (replace with alternative direction to relevant section of Guide if appropriate)

N Note The classification symbols of groups 101/00 to 101/38 are not listed first when assigned to patent documents.

C 101/00 Nature of the contaminant

C 101/10 . Inorganic compounds

C 101/12 . . Halogens or halogen-containing compounds

C 101/14 . . . Fluorine or fluorine-containing compounds

C 101/16 . . Nitrogen compounds, e.g. ammonia

C 101/18 . . . Cyanides

C 101/20 . . Heavy metals or heavy metal compounds

- C 101/22 . . . Chromium or chromium compounds, e.g. chromates
- C 101/30 . Organic compounds
- C 101/32 . . Hydrocarbons, e.g. oil
- C 101/34 . . containing oxygen
- C 101/36 . . containing halogen
- C 101/38 . . containing nitrogen

Change Guide heading:

C Classification scheme associated with groups 1/00 to 11/00, relating to the nature of the water, waste water, sewage or sludge to be treated.

D Delete Note after Guide heading (replace with alternative direction to relevant section of Guide if appropriate)

N Note The classification symbols of groups 103/00 to 103/44 are not listed first when assigned to patent documents.

- C 103/00 Nature of the water, waste water, sewage or sludge to be treated
- C 103/02 . Non-contaminated water, e.g. for industrial water supply
- C 103/04 . . for obtaining pure or ultra-pure water
- C 103/06 . Contaminated groundwater or leachate
- C 103/08 . Seawater, e.g. for desalination
- C 103/10 . from quarries or from mining activities
- C 103/12 . from the silicate or ceramic industries, e.g. waste waters from cement or glass factories
- C 103/14 . Paint wastes
- C 103/16 . . from metallurgical processes, i.e. from the production, refining or treatment of metals, e.g. galvanic wastes
- C 103/18 . from the wet purification of gaseous effluents
- C 103/20 . from animal husbandry
- C 103/22 . from the processing of animals, e.g. poultry, fish or parts thereof
- C 103/24 . . from tanneries
- C 103/26 . from the processing of plants or parts thereof
- C 103/28 . . from the paper or cellulose industry
- C 103/30 . from the textile industry
- C 103/32 . from the food or foodstuff industry, e.g. brewery waste waters
- C 103/34 . from the chemical industry not provided for in groups 103/12 to 103/32
- C 103/36 . . from the manufacture of organic compounds

- C 103/38 . . . Polymers
- C 103/40 . . from the manufacture or use of photosensitive materials
- C 103/42 . from bathing facilities, e.g. swimming pools
- C 103/44 . from vehicle washing facilities

Graham Lynch
UKPO

[Annex III follows]

ANNEX III

DEUTSCHES PATENT- UND MARKENAMT German Patent and Trade Mark Office	Class/Subcl.: C03C 25/24-44
	Date : 01.03.2002
DE - Proposal	

**Re: Conversion of indexing codes
Double-purpose schemes**

Subclass: **C 03 C**

D <Delete notes (2) and (3) after subclass title>

D <Delete vertical lines (25/24 – 25/44)>

N <New note (2) after subclass title>

(2) If one or more of the individual compounds or substances of organic coating compositions are of interest, for each of these compounds or substances additional classification is made in one or more groups 25/24 to 25/40, in accordance with the following classification rules:

- In group 25/24 to 25/40, coating compositions containing specific organic macro-molecular substances are classified according to the macromolecular substance, non-macromolecular substances not being taken into account.
Example: a coating composition containing polyolefins and amine-propyltrimethoxysilane is classified in group 25/30.
- Coating compositions comprising two or more macromolecular constituents are classified according to the macromolecular constituent present in the highest proportion, i.e. the constituent on which the composition is based.
- If the composition is based on two or more macromolecular constituents, present in equal proportions, the composition is classified according to each of these constituents.
- Organic coating compositions characterised by natural macromolecular compounds, by polysaccharides or derivatives thereof, by bituminous materials or by fats and waxes, are classified in group 25/26.

- Organic coating compositions characterised by other features, e.g. inorganic or non-macromolecular substances as compounding ingredients, additives, fillers, dyes, pigments, are classified in group 25/24.
- Aspects relating to the physical nature of the organic coating composition or to the effects produced, are also classified in group 25/24 or 25/26.

[Annex IV follows]

ANNEX IV

Project: Conversion of indexing schemes

Subclass: C04B

Re.: IPC/WG/6/5, par. 19-25

1. Introduction

The present document contains the EP reflections on the possible conversion and/or abolishing of the IPC7 indexing codes in subclass C04B.

Officially EP volunteered to study the double-purpose use of groups C04B7/00-28/00 only, but as the undersigned has been involved in classification and search in this technical field for many years, also the separate indexing schemes of this subclass will be commented in this document.

2. Double-purpose entries (C04B7/00 - C04B28/00)

It should be noted that the range of groups involved here is C04B7/00 to C04B30/00 (see existing note 4 after the subclass title). Furthermore these entries relate to the "cement/concrete" part of C04B only and thus not to the ceramics part.

The possibility of using the classification entries also as indexing codes was introduced in IPC4. In the past 17 years it has become clear that this possibility has only been used sparingly, and when it was used, very often it was done in an (formally) incorrect way, e.g. not as linked codes or incorrectly linked. In other words, the indexing system was not a real success and thus was not able to fulfill its primary task properly. Indeed, when searching in C04B, the indexing codes are hardly of any use because of their inconsistent and incomplete application.

The basis or first step for an alternative is already present in IPC7: Note 3 after the subclass title. This note alone however is not considered to be sufficient to fulfill the needs in this part of C04B. Therefore, EP propose to add an new note relating to the classification of useful invention and additional information. See the attached proposal.

As EP also volunteered for writing a draft definition for C04B, the possible need for further explanation in this respect will be considered there.

3. Separate indexing schemes (C04B101:00 - 111:94)

Subclass C04B was clearly created as a "composition subclass": all classification entries relate directly or indirectly to the chemical nature of individual components or of mixtures of such components (called compositions). So it seems that a wise decision was taken in the past when indexing codes for the subject matter covered by groups C04B101:00 - 111:94 were created.

Reconsidering the situation in the context of the reform of the IPC, the following reflections can be made:

* Because the information represented by these symbols is "complementary" to the information identified by the classification codes, their use can be very helpful during search, even if they have not been applied in a real systematic way.

* Concerning the **103:00 series**: for the function or property of active ingredients for mortars or concrete no other entries exist in IPC. Converting this series into classification codes could be considered therefore. However, active ingredients that have their proper home in C04B are in the first place characterised by their chemical nature. So the information represented by these indexing codes is helpful but not essential for search. Secondly non-compositional classification entries would go against the logic of the C04B scheme, because uses or functions are aspects not specified in the titles of this subclass.

* Concerning the **111:00 series**: here the situation is somewhat different in the sense that for (at least) some of the uses of the obtained materials entries exist elsewhere in IPC, e.g. E04F15/00 for floors. Apart from the fact that by turning these indexing codes into classification codes, the logic of subclass C04B would be disrupted, overlap problems might arise with the other entries of IPC, e.g., E04F15/00 for floors. For example: an application might deal with a very specific composition (perfectly classifiable in C04B) and mention only without any details its use for flooring. Indexing code C04B111:60 fits perfectly, because compositions are referred out in E04F (see E04F15/12). These references might be made somewhat more explicit perhaps or something could be done on the Definitions level.

* Concerning **indexing code 101:00**: as this code refers to a property/use of ceramic materials, similar remarks can be made as for the codes of the 111:00 series.

* Furthermore, as it would not be possible to convert these indexing codes to classification entries as subgroups of existing main groups in a smooth and elegant way, new classification main groups should be created, risking the scheme being used partly for the core level and partly for the advanced level, something that does not seem to make a lot of sense.

4. Conclusion:

EP advise the WG to consider the following:

- to abolish the double purpose use of codes C04B7/00 - 28/00 and to introduce a set of invention/additional information classification rules according to the note suggested in the annexed proposal.
- to keep the indexing codes C04B101:00 - 111:94, as in the present IPC (to be used at the advanced level).

General remark: as the "Guidelines for the conversion of existing IPC indexing schemes ..." (IPC/WG/6/3, annex) are written for those involved in this possible conversion, the word "classifier" in the second sentence of par.8 does not seem to be correct.

Paul Daeleman

Project: Conversion of indexing codes

Subclass: C04B

D < Delete Notes (3) - (5) after subclass title >

D < Delete vertical lines (7/00 - 28/36)>

N < New note (3) after subclass title: >

(2) For groups C04B7/00 to C04B30/00 the following classification rules apply:

- invention information relating to single ingredients is classified in one or more of the groups for single ingredients C04B7/00 to C04B24/00 only. If however the use of these ingredients is limited to a composition based on one particular binder only, e.g. phosphate binder, classification is also made in the corresponding composition group, e.g. C04B28/34.

- invention information relating to compositions - none of the ingredients of these compositions representing invention information as such - is classified in one or more of the composition groups C04B28/00 to C04B30/00 only. If however the use or characteristics of the obtained materials is primarily defined by one of the ingredients, e.g. glass fibres, classification is also made for that ingredient, e.g. in C04B14/42.

- besides invention information classification in one or more of the composition groups C04B26/00 to C04B30/00, additional information classification is made in one or more of groups C04B7/00 to C04B24/00 for single ingredients if of interest.

[Annex V follows]

ANNEX V

DEUTSCHES PATENT- UND MARKENAMT German Patent and Trade Mark Office	Class/Subcl.: C07D 203/00-347/00 C07D 451/00-517/00
	Date : 15.02.2002
DE - Proposal	

Re: Double-purpose schemes

We propose to convert the indexing scheme for C07D into classification scheme and use it for multiple classification, because there is no evidence for potential use of this index scheme and in the case of electronic search the use of headwords is much more efficient than the use of this index scheme. In addition we think that the creation of a new subclass, new main groups or new subgroups is not necessary.

The notes relating to subclass C 07D should be adapted as follows:

C07D**Heterocyclic Compounds [2]****Notes:**

(1) to (6) unchanged

- (7) In this subclass, it is desirable to additionally classify the individual components of compounds containing hetero rings, according to the guidelines mentioned under (a) to (d) below. The following guidelines should be followed:
- (a) For compounds classified in groups C07D 203/00 to C07D 347/00 one or more appropriate places which precede the classification place may be given as additional information, e.g. in order to show essential substituents. The appropriate codes are chosen from groups C07D 203/00 to C07D 347/00 **[2]**.

- (b) In compounds containing two or more hetero rings covered by different main groups, neither condensed among themselves nor with a common carbocyclic ring system, each hetero ring is shown as additional information. The appropriate codes are chosen from groups C07D 203/00 to C07D 347/00 **(comment: the rules concerning scission of all other hetero rings have been deleted, because these rules were not used in practice) [2].**
- (c) For compounds containing one condensed ring system having two or more relevant hetero rings, and for which no specific group is provided, all relevant rings having hetero atoms as ring members are shown as additional information. These rings are indicated by the main group symbols of groups C07D 203/00 to C07D 347/00 with the exception of groups 207/00, 211/00 to 219/00, 233/00, 295/00, 301/00 and 309/00 **[2].**
- (d) For compounds containing two or more condensed ring systems each having two or more hetero rings, each condensed system is shown as additional information. The appropriate codes are chosen from groups C07D 451/00 to C07D 517/00 and determined by considering separately each condensed system in turn. **[2]**
- (8) **Deleted**
- (9) **Deleted**

[Annex VI follows]

ANNEX VI

Project: Conversion of indexing schemes**Subclass: C02F**

Re.: GB-proposal of March (?) 2002

* We have no objections to the general principal of converting the C02F indexing codes into classification codes.

* Nevertheless, we would like to remark that, looking at the whole of the classification part, this subclass is a "process subclass". The present indexing codes give the opportunity to look at the inventions from an other viewpoint and thus these codes seems well acceptable as indexing codes too.

* Furthermore, we would like to make some formal remarks concerning the possible conversion as presented in the GB proposal:

1) We presume there will remain in some areas of IPC8, indexing schemes of the 101 and 103 series. If so, and we decide to the conversion of the C02F indexing codes, it might be better to consider a renumbering of the groups concerned.

2) A standard wording for notes/guide headings for situations as this one, should be agreed on. In the absence (?) of such a standard formulation, we would like to suggest the following.

*Notes after
subclass title:*

D delete existing notes (2) and (3)

N New note (2)

(2) When classifying in groups 1/00 to 11/20, classification is also made in groups 101/00 to 101/38 if the nature of the contaminant is of interest or in groups 103/00 to 103/44 if the nature of the water, waste water, sewage or sludge is of interest

C Guide heading after 11/20:

Nature of the contaminant in the water, waste water, sewage or sludge.

D delete existing note before 101:00

N New note before 101/00:

< as in GB proposal >

C Guide heading after 101:38:

Nature of the water, waste water, sewage or sludge to be treated.

D delete existing note before 103:00

N New note before 103/00:

< as in GB proposal >

A more user-friendly alternative might be to combine the two guide-headings and to add only one common note between this guide-heading and 101/00.

Paul Daeleman

[Annex VII follows]

ANNEX VII

Project: Conversion of indexing schemes**Subclass: C03C**

Re.: IPC/WG/6/5, par.19-25
DE-proposal of 01-03-2002

* In general we agree with the DE proposal for replacing the actual double purpose use of groups C03C25/24 to C03C25/44 by a system of multiple classification as defined by the proposed notes.

Some details of this system however, we would like to see defined somewhat different, as shown in the following

* Modified proposal:

Subclass: **C 03 C**

Notes after
C03C25/22:

Notes

C (1) In groups 25/24 to 25/54, in the absence of an indication to the contrary, classification for a *compound* is made in the last appropriate place

D <Delete existing notes (2) and (3)>

N (2) Compositions *solely or mainly* consisting of organic compounds are classified in groups 25/24 to 25/40 only, according to the following rules:

(2-1) compositions containing a macromolecular and one or more inorganic or non-macromolecular compounds are classified according to the macromolecular compound only. If however the inorganic or non-macromolecular compounds (also) represent the invention information, classification is (also) made for these compounds, e.g. for organo-metallic compounds in 25/38, for fillers, dyes or pigments in 25/24.

(2-2) compositions containing mixtures of macromolecular compounds are classified according to the macromolecular compound present in the highest proportion only. If however the other macromolecular compounds represent invention information, classification is also made for these compounds.

(2-3) compositions containing macromolecular compounds present in comparable proportions, classification is made for each of these compounds.

(2-4) organic coating compositions based on bituminous materials or on fats and waxes are classified in group 25/24, organic coating compositions based on natural macromolecular compounds, e.g. polysaccharides or derivatives thereof are classified in group 25/26.

(2-5) aspects relating to the physical nature of the organic coating compositions or to the effects produced, are classified in group 25/24 or 25/26.

N (3) Besides invention information classification according to the notes above, additional information classification is made in accordance to note (1) for other single compounds if of interest

D <Delete vertical lines (25/24 – 25/44)>

* We feel that notes (2-1) and (2-5) might need some further detailed explanation in the Definition layer:

For (2-1), e.g. the difference might be explained between non- macromolecular substances making part of the coating material as such and non-macromolecular substances (organic or inorganic) used as fillers, pigments, etc.

Concerning (2-5): the correct interpretation of "physical nature" and the reference to 25/24 and 25/26 might need some more guidance. Certain physical characteristics of specific polymer coatings will be the direct consequence of the nature of this polymer and thus the most logical place would be the subgroup for that polymer. It would be helpful if DE could cite some sample documents.

Paul Daeleman

[Annex VIII follows]

ANNEX VIII

DEUTSCHES PATENT- UND MARKENAMT German Patent and Trade Mark Office	Class/Subcl.: C03C 25/24-44
	Date : 28.05.2002
DE - Comments and Consolidated Proposal	

**Re: Conversion of indexing codes; Double-purpose schemes
EP-comments and modified proposal of 04-04-2002**

The DPMA was invited by the EPO to submit example patent documents supporting the DE-proposal dated 01-03-02 respectively the modified EP-proposal dated 04-04-02 with respect of multiple classification.

Most of the patent documents in C03C 25/24 to 25/40 deal with sizing compositions for fibers. The sizes used are compositions prepared from water (as the main component of the composition), a polymeric binder, a coupling agent and further (conventional) inorganic or organic size constituents (see e.g. US 58 11 480, US 56 65 470, WO 02/14236 A1, WO 00/73235 A1, EP 1 076 047 A2, EP 1 010 678 A1, EP 0751 100 B1). Only few sizes are non-aqueous and consist solely of organic compounds(see e.g. US 58 49 085, US 46 04 325, US 34 25 862, DE 100 12 814 C2).

Therefore we hesitate to accept the proposed wording for note (2) "Compositions solely or mainly consisting of organic compounds are classified in groups 25/24 to 25/40 only, according to the following rules" in the EP proposal.

Inspired by the EP proposal, which is a good base, we represent a **consolidated proposal for note (2)**; the wording would then become:

- (2) In C03C 25/24 to 25/40, organic coating compositions cover mixtures of different organic and inorganic compounds or constituents. A coating composition which cannot be completely classified in a single one of groups 25/24 to 25/40 should be classified in each relevant group, in accordance with the following rules:
- (2-1) Compositions containing a macromolecular constituent and one or more conventional inorganic or non-macromolecular compounds are classified according to the macromolecular constituent only.

Example: a coating composition containing polyolefins as the film-forming macromolecular constituent and amino-propyltrimethoxysilane as a conventional coupling non-macromolecular compound is classified in group 25/30 only.

- (2-2) Compositions containing two or more macromolecular constituents and further conventional inorganic or non-macromolecular compounds are classified according to the macromolecular constituent present in the highest proportion. If however the other macromolecular constituents represent invention information, classification is also made for these constituents.**
- (2-3) Compositions containing macromolecular constituents present in comparable proportions, classification is made for each of these constituents.**
- (2-4) Compositions based on natural macromolecular compounds, e.g. poly-saccharides or derivatives thereof, are classified in group 25/26.**
- (2-5) Compositions based on bituminous materials or on fats and waxes are classified in group 25/24.**
- (2-6) If inorganic or non-macromolecular compounds in the composition (also) represent the invention information, classification is (also) made for these compounds, e.g. for organo-metallic compounds in 25/38, for specific solvents, fillers, dyes or pigments, surfactants, biocides, etc. in 25/24.**

Example: a non-aqueous composition containing polyvinylidene chloride as film-former and tetrahydrofuran or dioxane etc. as a specific solvent is also classified in 25/24. (see US 3 425 862)

Example: a composition containing polymeric film-formers and talcum or calcium phenylphosphinate etc. as nucleating agent is also classified in 25/24. (see US 2002/0031665 A1 = EP 1 010 678 A1)

Example: a composition containing polymeric film-formers and aromatic di- or polycarboxylic acids is also classified in 25/24. (see US 5 811 480)

Example: a pigment concentrate for combination with an outermost coating layer of a fiber for producing a black appearing coloured fiber is also classified in 25/24. (see EP 0 879 804 A1)

Example: a composition containing polymeric film-formers and specific surfactants is also classified in 25/24. (see EP 1 076 047 A2)

- (2-7) Aspects relating to the physical nature of the organic coating composition or to the effects produced, if clearly and explicitly stated, are (also) classified in group 25/24 or 25/26.**

Example: an optical fiber with a coating of a thermotropic liquid crystalline polymer (see EP 0 129 372 A2)

Example: an optical fiber with a rigid protective coating layer wherein a constricting force F is generated by the protective layer (see EP 0 405 549 A1)

Example: a polymer-coated optical fiber having enhanced pullout strength (see EP 0 636 590 A1)

Example: a fiber-coating with the capacity to absorb water (see EP 0 666 243 A1)

In view of the new wording of note (2), we think that the proposed new note (3) in the proposal of EP becomes redundant.

Angelika Eva Zettler

[End of Annex VIII and of document]