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## PATENT COOPERATION TREATY

INTERIM ADVISORY COMMITTEE FOR ADMINISTRATIVE QUESTIONS

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ADMINISTRATIVE INSTRUCTIONS  
UNDER THE PATENT COOPERATION TREATY  
(FOURTH REVISED DRAFT)

prepared by the International Bureau

### SUMMARY

This revision includes amendments agreed upon at the sixth session of the Interim Advisory Committee for Administrative Questions, as well as proposals resulting from further study and examination by the International Bureau of questions it was asked to study by the Interim Committee and some proposals resulting from experience gained in the simulated test program of the PCT procedures.

## Introduction

### Provisions of the PCT Relating to the Administrative Instructions

1. Article 58(4) of the Patent Cooperation Treaty (PCT) stipulates that: "The Regulations provide for the establishment, under the control of the Assembly, of Administrative Instructions by the Director General."
2. Rule 89 of the Regulations under the PCT, which is entitled "Administrative Instructions," reads as follows:

#### "89.1 Scope

(a) The Administrative Instructions shall contain provisions:

- (i) concerning matters in respect of which these Regulations expressly refer to such Instructions;
- (ii) concerning any details in respect of the application of these Regulations.

(b) The Administrative Instructions shall not be in conflict with the provisions of the Treaty, these Regulations, or any agreement concluded by the International Bureau with an International Searching Authority, or an International Preliminary Examining Authority.

#### "89.2 Source

(a) The Administrative Instructions shall be drawn up and promulgated by the Director General after consultation with the receiving Offices and the International Searching and Preliminary Examining Authorities.

(b) They may be modified by the Director General after consultation with the Offices or Authorities which have a direct interest in the proposed modification.

(c) The Assembly may invite the Director General to modify the Administrative Instructions, and the Director General shall proceed accordingly.

#### "89.3 Publication and Entry Into Force

(a) The Administrative Instructions and any modification thereof shall be published in the Gazette.

(b) Each publication shall specify the date on which the published provisions come into effect. The dates may be different for different provisions, provided that no provision may be declared effective prior to its publication in the Gazette."

## Background to This Document

3. The first draft of the Administrative Instructions under the PCT was submitted to the PCT Interim Advisory Committee for Administrative Questions (hereinafter referred to as "the Interim Committee") at its third session in October 1972. Revised drafts were submitted to the subsequent sessions of the Interim Committee held in October 1973, in November 1974 and in November 1975.
4. Each revision incorporated the changes agreed on or requested by the Interim Committee in the previous session.

## Contents of This Document

5. This document contains the fourth revised draft of the Administrative Instructions. It incorporates those amendments upon which agreement was reached at the sixth session of the Interim Committee, as well as some proposals resulting from further study and examination by the International Bureau of questions it was asked to study by the Interim Committee, and some proposals resulting from experience gained in the simulated test program of the PCT procedures (see document PCT/AAQ/VII/10). Most of the proposals resulting from the test program would, however, seem to require further study and discussion before amendments to the Administrative Instructions could be considered.

6. In order to facilitate the practical implementation of the PCT, the Administrative Instructions will be supplemented by Forms for use by the various PCT Authorities in effecting the required communications which arise in the course of procedures under the PCT. The drafts of such Forms, as revised on the basis of the comments received from the September 1974 session of the Working Group on Forms established by the Interim Committee, were submitted to the Interim Committee at its sixth session. The Forms, as further revised in the light of comments made at the said sixth session or as a result of the simulated test program of PCT procedures, are contained in separate working documents (PCT/AAQ/VII/7, 8 and 9).

7. It is recalled that, in drafting both the Administrative Instructions and the Forms, consideration has been given to the questions whether the particulars in respect of the contents of the Forms should be set forth in provisions (called Sections) of the Administrative Instructions in addition to being set forth in the Forms themselves, and whether the Forms should be annexed to the Administrative Instructions. The system which has been followed in the draft Administrative Instructions is based on two principles, namely, that:

- (i) as much as possible of the said particulars should go into the draft Forms themselves; and
- (ii) the Forms should be annexed to the Administrative Instructions and the particulars contained in the Forms should not be repeated in the provisions of the Administrative Instructions.

The reason for the first principle is that a Form is easier to understand than the text of a provision, since a Form not only contains, but also, to a great extent, illustrates, the practical application of any provision. The reason for the second principle is that duplication should be avoided as far as possible. It would be impossible to avoid considerable duplication if the texts of the provisions were to set forth the particulars of what each Form must contain or were to prescribe practices that will obviously be followed in using the Forms.

8. Having regard to the prospect of an earlier entry into force of the PCT than could be foreseen at the last session of the Interim Committee, a final decision by the Director General on the contents of the Administrative Instructions will have to be made soon and possibly without having the advice of any further session of the Interim Committee, since otherwise their promulgation as soon as possible after the entry into force of the PCT could not be guaranteed. This means that the Interim Committee at its present session will probably be asked to give its final advice as far as the draft of the initial text of the Administrative Instructions is concerned. It follows that the only amendments which should be considered in detail at the present session are those that can be readily agreed upon and incorporated during that session. Other amendments which might possibly be useful could, of course, be further studied with a view to including them at a later stage, once initial experience has been gained of the practical operation of the PCT.

9. The Interim Committee is invited to consider the revised draft Administrative Instructions, including the Annexes contained in this document, and to give its advice to the International Bureau.

[Administrative Instructions follow]

ADMINISTRATIVE INSTRUCTIONS  
(FOURTH REVISED DRAFT)

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PART 1

INSTRUCTIONS RELATING TO GENERAL MATTERS

SECTION 101

ABBREVIATED EXPRESSIONS

In these Administrative Instructions:

- (i) "Treaty" means the Patent Cooperation Treaty;
- (ii) "Regulations" means the Regulations under the Treaty;
- (iii) "Article" means an Article of the Treaty;
- (iv) "Rule" means a Rule of the Regulations;
- (v) "International Bureau" means the International Bureau as defined in Article 2(xix) of the Treaty;
- (vi) "International Authorities" means the receiving Offices, the International Searching Authorities, the International Preliminary Examining Authorities, and the International Bureau.

SECTION 102

USE OF THE FORMS \*

(a) The Forms annexed to these Administrative Instructions as Annex G (hereinafter referred to as "the Forms") are part of these Administrative Instructions.

(b) Subject to paragraphs (c) and (d), the International Authorities shall use the Forms.

(c) The use of Form PCT/RO/112 (Notification Concerning Expressions, Etc., Not To Be Used in the International Application Rule 9) and of Forms PCT/ISA/214 and PCT/IPEA/410 (Request for the Production of Proof Rule 83) is merely recommended.

(d) If the receiving Office, the International Searching Authority and/or the International Preliminary Examining Authority are part of the same Office, the use of any Form concerning communications between the said International Authorities shall not be obligatory for the communications within that same Office.

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\* Two questions which have been set aside in the course of previous discussions of the Forms are: (i) whether paragraph (c) of this Section should refer also to other Forms; (ii) whether in the case of some Forms only the contents but not also their layout should be compulsory. At the sixth session, the Interim Committee agreed that a decision on which Forms should be mandatory and which forms should be optional should not be taken until the Forms were final.

SECTION 103

LANGUAGES OF THE FORMS\*

(a) The language of the Forms to be used by any receiving Office shall be the same as the language in which the international application is filed.

(b) The language or languages of the Forms to be used by any International Searching Authority shall be specified in the applicable agreement referred to in Article 16(3)(b).

(c) The language or languages of the Forms to be used by any International Preliminary Examining Authority shall be specified in the applicable agreement referred to in Article 32(3).

(d) The language of any Form used by the International Bureau shall be English where the language of the international application is English, and it shall be French where the language of the international application is French. Where the language of the international application is neither English nor French, the language of any Form used by the International Bureau in its communications to any other International Authority shall be English or French according to the wishes of such Authority, and in its communications to the applicant it shall be English or French according to the wishes of the applicant.

SECTION 104

LANGUAGE OF CORRESPONDENCE FROM THE APPLICANT

(a) The language of any letter from the applicant to the receiving Office shall be the same as the language of the international application to which such letter relates. However, the receiving Office may expressly authorize the use of any other language.

(b) The language of any letter from the applicant to the International Bureau shall be English where the language of the international application is English, and it shall be French where the language of the international application is French. Where the language of the international application is neither English nor French, the language of any letter from the applicant to the International Bureau shall be English or French at the choice of the applicant.

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\* The question whether, and to what extent, Forms established in a language other than English should contain printed text matter also in English should be considered once the Interim Committee feels that the stage reached in the development of the Forms is ripe for such consideration.



SECTION 105

SEVERAL APPLICANTS

Where any international application indicates as applicants several persons, it shall be sufficient, for the purpose of identifying that application, to indicate, in any Form or correspondence relating to such application, the name of the applicant first named in the request.

SECTION 106

COMMON AGENT FOR SEVERAL APPLICANTS

In the case of several applicants, any agent designated under Rule 4.7 in the request signed by all the applicants, or appointed under Rule 90.3 in a separate power of attorney signed by all the applicants, shall be considered a common agent.

SECTION 107

IDENTIFICATION OF INTERNATIONAL AUTHORITIES

(a) Whenever the nature of any communication from or to the applicant or from or to any International Authority so permits, any International Authority may be indicated in the communication by the two-letter code as appearing in Annex B.

(b) Where the International Authority is a receiving Office, an International Searching Authority or an International Preliminary Examining Authority, indication thereof shall be preceded by the letters "RO", "ISA", or "IPEA", respectively, followed by a slant (e.g., "RO/JA", "ISA/US", "IPEA/SU").

SECTION 108

CORRESPONDENCE INTENDED FOR THE APPLICANT

(a) Any correspondence from an International Authority intended for the applicant, or, in the case of several applicants, the applicants, shall be addressed as follows:

(i) Where the applicant has designated or appointed one agent, correspondence shall be addressed to that agent. Where, in the case of several applicants, the applicants are represented by a common representative or a common agent, correspondence shall be addressed to that representative or that agent.

(ii) Where the applicant has designated several agents in the request, correspondence shall be addressed to the agent first mentioned therein. Where, in the case of several applicants, the applicants have designated several common agents in the request, correspondence shall be addressed to the common agent first mentioned therein.

(iii) Where the applicant has appointed several agents in one or more separate powers of attorney, correspondence shall be addressed to the agent first mentioned in the earliest filed and still valid separate power of attorney. Where, in the case of several applicants, the applicants have appointed several common agents in one or more separate powers of attorney, correspondence shall be addressed to the common agent first mentioned in the earliest filed and still valid separate power of attorney.

(b) Any correspondence from an International Authority to the applicant or his agent shall be marked with the file number of the applicant or the agent, if available, provided it does not exceed ten digits.

SECTION 109

NOTIFICATION OF AUTHORIZATION OR REFUSAL OF RECTIFICATION

Any International Authority which authorizes or refuses rectification of obvious errors of transcription under Rule 91 shall promptly inform the applicant of such authorization or refusal and, in the case of refusal, of the reasons therefor.

PART 2  
INSTRUCTIONS RELATING TO THE  
INTERNATIONAL APPLICATION

SECTION 201

DATES\*

Alternative A [ICIREPAT Standard]

Any date in the international application shall be indicated by the Arabic number of the day, by the name of the month, and by the Arabic number of the year. The receiving Office, or the International Bureau where the receiving Office fails to do so, shall, after or below any date indicated by the applicant in the request, repeat the date, in parenthesis, by indicating it by two-digit Arabic numerals each for the number of the day, for the number of the month and for the last two numbers of the year, in that order and with a period after the digit pairs of the day and of the month (for example, "30 March 1972 (30.03.72)").

Alternative B [ISO Standard]

Any date in the international application shall be indicated by the Arabic number of the year, by the name of the month, and by the Arabic number of the day. The receiving Office, or the International Bureau where the receiving Office fails to do so, shall, after or below any date indicated by the applicant in the request, repeat the date, in parenthesis, by indicating it by four-digit Arabic numerals for the number of the year and two-digit Arabic numerals each for the number of the month and for the number of the day, in that order and with a hyphen or a space before the digit pairs of the month and of the day (for example, "1972 March 30 (1972-03-30)" or "1972 March 30 (1972 03 30)").

SECTION 202

NAMES OF STATES: CANCELLATION OF DESIGNATIONS

(a) The name of any State referred to in the request shall be indicated either by the full name of the State or by a generally accepted short title which, if the indications are in English or French, shall be as appearing in Annex A. The receiving

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\* Alternative A is based on ICIREPAT standards whereas Alternative B is based on ISO standards. The sequence of the latter is the reverse of the former. The solution eventually adopted should follow the practice which will prevail in the industrial property field at the time the Administrative Instructions will be promulgated.

Office, or the International Bureau where the receiving Office fails to do so, shall insert, in the appropriate space provided for in the request form, the two-letter country code as appearing in Annex B (for example, "Argentine Republic (AR)" or "Argentina (AR)").

(b) The receiving Office shall cancel ex-officio the designation of States other than Contracting States, and inform the **applicant** promptly of such action.

### SECTION 203

#### KIND OF PROTECTION

(a) Where the applicant wishes his application to be treated in any designated State as an application not for a patent but for the grant of another kind of protection referred to in Article 43, he shall make the indication in the request referred to in Rule 4.12(a) by inserting the words "inventor's certificate," "utility certificate," "utility model," "patent of addition," "certificate of addition," "inventor's certificate of addition" or "utility certificate of addition," or their equivalent in the language of the international application, immediately after the indication of the said State.

(b) Where the applicant is seeking two kinds of protection under Article 44, he shall make the indication in the request referred to in Rule 4.12(b) by inserting, in the appropriate space provided for in the request form and in the language of the international application, either

(i) any two of the following terms connected by the word "and": "patent," "inventor's certificate," "utility certificate," "utility model," "patent of addition," "certificate of addition," "inventor's certificate of addition," "utility certificate of addition;" or

(ii) any two of the terms indicated in (i), above, one of them preceded by the word "primarily" and the other by the word "subsidiarily."

### SECTION 204

#### REGIONAL PATENTS

Where the applicant wishes to obtain a regional patent in respect of any designated State, he shall make the indication in the request referred to in Rule 4.1(b)(iv) by inserting the words "regional patent," or their equivalent in the language of the international application, immediately after the indication of the said State, provided that:

(1) where Article 4(1)(ii), third clause applies, and not all the States party to the regional treaty have been designated, the international application shall be treated as if all those States had been designated and as if the designations of all such States contained the said words, whether the said designations contained an indication of the wish to obtain a regional patent or, according to Article 4(1)(ii), fourth clause, are to be treated as containing such indication;

(ii) where the national law of any designated State contains a provision as referred to in Article 45(2), the International Bureau shall, according to Article 4(1)(ii), fourth clause, treat the designation as if it contained the said words even where the applicant failed to indicate them.

#### SECTION 205

##### HEADINGS OF THE PARTS OF THE DESCRIPTION

The headings referred to in Rule 5.1(c) should be as follows:

- (i) for matter referred to in Rule 5.1(a)(i), "Technical Field";
- (ii) for matter referred to in Rule 5.1(a)(ii), "Background Art";
- (iii) for matter referred to in Rule 5.1(a)(iii), "Disclosure of Invention";
- (iv) for matter referred to in Rule 5.1(a)(iv), "Brief Description of Drawings";
- (v) for matter referred to in Rule 5.1(a)(v), "Best Mode for Carrying Out the Invention";
- (vi) for matter referred to in Rule 5.1(a)(vi), "Industrial Applicability".

#### SECTION 206

##### NUMBERING OF CLAIMS UPON AMENDMENT

(a) Any claim submitted after the filing date of the international application and which is not identical with the claims previously appearing in the international application shall, at the choice of the applicant, be submitted either:

(i) as an amended claim, in which case, it shall bear the same number as the previous claim it amends; that number shall be followed by the word "(amended)" or its equivalent in the language of the international application; or

(ii) as a new claim, in which case, it shall bear the next number after the highest previously numbered claim; that number shall be followed by the word "(new)" or its equivalent in the language of the international application.

(b) The deletion of any claim previously appearing in the international application shall be made by indicating the number of the previous claim followed by the word "(cancelled)" or its equivalent in the language of the international application.

SECTION 207

COMMON REPRESENTATIVE DESIGNATED IN THE REQUEST

If the applicants designate a common representative in accordance with Rule 4.8(a), such common representative shall be indicated on the front page of the request form. The indication of the common representative shall take the form of a statement designating the named applicant to act as the common representative on behalf of all the applicants.

SECTION 208

ARRANGEMENT OF ELEMENTS AND NUMBERING OF  
SHEETS OF THE INTERNATIONAL APPLICATION

(a) In effecting the sequential numbering of the sheets of the international application in accordance with Rule 11.7, the elements of the international application shall be placed in the following order: the request, the description, the claims, the drawings, the abstract.

(b) The sequential numbering shall be effected by using two separate series of numbering, one applying to the request only and commencing with the first sheet of the request, the other commencing with the first sheet of the description and continuing until the last sheet of the other elements of the international application.

PART 3

INSTRUCTIONS RELATING TO THE RECEIVING OFFICE

SECTION 301

NOTIFICATION OF RECEIPT OF PURPORTED INTERNATIONAL APPLICATION

Any receiving Office may notify the applicant of the receipt of the purported international application. The notification should indicate the date of actual receipt, the provisional file number of the purported international application referred to in Section 307(a) and the applicant's file number, if available, as well as, where useful for purposes of identification, the title of the invention.

SECTION 302

NOTIFICATION OF PRIORITY CLAIM CONSIDERED NOT TO HAVE BEEN MADE

Where, owing to failure to meet the requirements of Rule 4.10(b), the priority claim is, for the purposes of procedure under the Treaty, considered not to have been made, the receiving Office shall indicate that fact in the international application by marking over the box in the request form which provides for the information concerning the priority claim, the words "NOT TO BE CONSIDERED FOR PCT PROCEDURE" or its equivalent in the language of the international application. The receiving Office shall notify the applicant accordingly. If copies of the international application have already been sent to the International Bureau and the International Searching Authority, the receiving Office shall also notify that Bureau and that Authority.

SECTION 303

DELETION OF ADDITIONAL MATTER IN THE REQUEST

Where, under Rule 4.17(b), the receiving Office deletes ex-officio any matter contained in the request, it shall do so by placing such matter between square brackets and entering the word "DELETED", or its equivalent in the language of the international application, in the right-hand margin adjacent to the matter so placed between brackets, and shall notify the applicant accordingly. If copies of the international application have already been sent to the International Bureau and the International Searching Authority, the receiving Office shall also notify that Bureau and that Authority.

SECTION 304

CORRECTIONS SUBMITTED TO THE RECEIVING OFFICE CONCERNING  
EXPRESSIONS, ETC., NOT TO BE USED IN THE INTERNATIONAL APPLICATION

Where the applicant submits corrections to the receiving Office aimed at complying with the prescriptions of Rule 9.1, that Office shall, if copies of the international application have not yet been transmitted to the International Bureau and the International Searching Authority, attach copies of such corrections

to the international application. If copies of the international application have already been transmitted, the receiving Office shall transmit copies of such corrections to the said Bureau and the said Authority.

#### SECTION 305

##### IDENTIFYING THE COPIES OF THE INTERNATIONAL APPLICATION

(a) Where, under Rule 11.1(a), the international application has been filed in one copy, the receiving Office shall, after preparing under Rule 21.1(a) the additional copies required under Article 12(1), mark,

(i) the words "RECORD COPY" in the upper left-hand corner of the first page of the original copy,

(ii) in the same space on one additional copy, the words "SEARCH COPY", and

(iii) in the same space on the other such copy, the words "HOME COPY",

or their equivalent in the language of the international application.

(b) Where, under Rule 11.1(b), the international application has been filed in more than one copy, the receiving Office shall choose the copy most suitable for reproduction purposes, and mark the words "RECORD COPY", in the upper left-hand corner of its first page. After verifying the identity of any additional copies and, if applicable, preparing under Rule 21.1(b) the home copy, it shall mark, in the upper left-hand corner of the first page of one such copy, the words "SEARCH COPY" and, in the same space on the other such copy, the words "HOME COPY", or their equivalent in the language of the international application.

#### SECTION 306

##### CHANGE IN THE PERSON, NAME OR ADDRESS OF THE APPLICANT

Any request for the recording of any changes in the person or name of the applicant referred to in Rule 18.5 or Rule 54.4, or of any change in the address of the applicant shall be signed by the applicant or, if the receiving Office requested such change under Rule 18.5 or Rule 54.4, by the receiving Office. The request shall indicate the name or address of the applicant for which the change is requested.

#### SECTION 307

##### SYSTEM OF NUMBERING INTERNATIONAL APPLICATIONS

(a) The provisional file number to be marked on papers purporting to be an international application under Rule 20.1 shall consist of the two-letter code, as in Annex B, indicating the receiving Office, a two-digit indication of the last two numbers of the year in which such papers were first received, a slant, and a five-digit number allotted in sequential order corresponding to the order in which the international applications are received (e.g., "SU76/00001").



(b) The international application number shall be the provisional file number referred to in paragraph (a), preceded by the letters "PCT" followed by a slant (e.g., "PCT/SU76/OO001").

SECTION 308

MARKING OF THE SHEETS OF THE INTERNATIONAL APPLICATION

(a) The receiving Office shall indelibly mark, so as to admit of direct reproduction in any of the manners set forth in Rule 11.2(a), the provisional file number referred to in Section 307(a) in the upper right-hand corner of each sheet of each copy of the purported international application.

(b) The data to be indicated on any replacement sheet under Rule 26.4(b) shall be indelibly marked by the receiving Office, so as to admit of direct reproduction in any of the manners set forth in Rule 11.2(a), in the upper right-hand corner of each replacement sheet.

SECTION 309

PROCEDURE IN THE CASE OF LATER SUBMITTED SHEETS

(a) The receiving Office shall indelibly mark, so as to admit of direct reproduction in any of the manners set forth in Rule 11.2(a), any sheet received on a date later than the date on which sheets were first received with the date on which it received that sheet, inserted immediately below the provisional file number referred to in Section 307(a), or the international application number referred to in Section 307(b), as the case may be.

(b) The receiving Office shall, in the case of later submitted sheets received within the time limits referred to in Rule 20.2(a) (i) and (ii),

(i) effect the required correction of the international filing date, or, where no international filing date has yet been accorded, of the date of receipt of the purported international application;

(ii) notify the applicant of the correction effected under item (i), above;

(iii) where transmittals under Article 12(1) have already been made, notify the International Bureau and the International Searching Authority of any correction effected under item (i), above, by transmitting a copy of the corrected first page of the request, and forward copies of the later submitted sheets to the said Bureau and the said Authority;

(iv) where transmittals under Article 12(1) have not yet been made, attach a copy of the later submitted sheets to the record copy and the search copy.

(c) The receiving Office shall, in the case of later submitted sheets received after the expiration of the time limits referred to in Rule 20.2(a)(i) and (ii):

(i) notify the applicant of that fact and of the date of receipt of the later submitted sheets;

(ii) where transmittals under Article 12(1) have already been made, forward a copy of the later submitted sheets to the International Bureau with the indication that such sheets are not to be taken into consideration for the purposes of international processing;

(iii) where transmittals under Article 12(1) have not yet been made, attach a copy of the later submitted sheets to the record copy with the indication that such sheets are not to be taken into consideration for the purposes of international processing.

#### SECTION 310

##### PROCEDURE IN THE CASE OF MISSING DRAWINGS

(a) Where the international application refers to drawings which in fact are not included in that application, the receiving Office shall make the indication referred to in Rule 26.6(a) by an appropriate marking of the request form.

(b) Section 309(a) shall apply also in the case of drawings received by the receiving Office on a date later than the date on which sheets were first received by that Office.

(c) The receiving Office shall, in the case of missing drawings received within the time limit referred to in Rule 20.2(a)(iii),

(i) effect the required correction of the international filing date, or, where no international filing date has yet been accorded, of the date of receipt of the purported international application, and delete the indication made under paragraph (a) above;

(ii) notify the applicant of the correction effected under item (i), above;

(iii) where transmittals under Article 12(1) have already been made, notify the International Bureau and the International Searching Authority of any correction effected under item (i), above, by transmitting a copy of the corrected first page of the request, and forward copies of the later submitted drawings to the said Bureau and the said Authority;

(iv) where transmittals under Article 12(1) have not yet been made, attach a copy of the later submitted drawings to the record copy and the search copy.

(d) The receiving Office shall, in the case of missing drawings received after the expiration of the time limit referred to in Rule 20.2(a)(iii);

(i) notify the applicant of the fact and of the date of receipt of the later submitted drawings;

(ii) where transmittals under Article 12(1) have already been made, forward a copy of the later submitted drawings to the International Bureau with the indication that such drawings and any reference to such drawings are not to be taken into consideration for the purposes of international processing;

(iii) where transmittals under Article 12(1) have not yet been made, attach a copy of the later submitted drawings to the record copy with the indication that such drawings and any reference to such drawings are not to be taken into consideration for the purposes of international processing.

#### SECTION 311

##### RENUMBERING OF SHEETS OF THE INTERNATIONAL APPLICATION

(a) The receiving Office shall, subject to Section 208, sequentially renumber the sheets of the international application when necessitated by the addition of any new sheet, the deletion of entire sheets, a change in the order of the sheets or any other reason.

(b) The sheets of the international application shall be provisionally renumbered in the following manner:

(i) when a sheet is deleted, the receiving Office shall either include a blank sheet with the same number and with the word "deleted", or its equivalent in the language of the international application, below the number, or insert, in brackets, below the number of the following sheet, the number of the deleted sheet with the word "deleted" or its equivalent in the language of the international application;

(ii) when a sheet is substituted, the receiving Office shall write below the number of the new sheet the word "substitute" or its equivalent in the language of the international application;

(iii) when one or more sheets are added, each sheet shall be identified by the number of the preceding sheet followed by an oblique stroke and then by a natural number series, starting always with number one for the first sheet added after an unchanged sheet (e.g., 10/1; 15/1, 15/2, 15/3, etc.).

(c) In the cases mentioned in (i) and (iii) above, it is recommended that the receiving Office should write, below the number of the last sheet, the total number of the sheets of the international application followed by the words "TOTAL OF SHEETS" or their equivalent in the language of the international application.

SECTION 312

NOTIFICATION OF DECISION NOT TO ISSUE DECLARATION THAT  
THE INTERNATIONAL APPLICATION IS CONSIDERED WITHDRAWN

Where the receiving Office, after having notified the applicant under Rule 29.4 of its intent to issue a declaration under Article 14(4), decides not to issue such a declaration, it shall notify the applicant accordingly.

SECTION 313

MANNER OF MAKING THE NECESSARY ANNOTATIONS IN THE CHECK LIST

Where, under Rule 3.3(b), the receiving Office itself fills in the check list, that Office shall mark, next to such check list, the words "FILLED IN BY RO", or their equivalent in the language of the international application. Where only some of the indications are filled in by the receiving Office, the said words and each indication filled in by that Office shall be identified by an asterisk.

SECTION 314

MANNER OF INDICATING CORRECTION OF THE PRIORITY DATE  
OR CANCELLATION OF THE PRIORITY CLAIM

(a) Where, under Rule 4.10(d), the applicant corrects the erroneously indicated filing date of any earlier application, the receiving Office shall enter the corrected date in the request and draw a line through the previously entered date while still leaving it legible.

(b) Where, under Rule 4.10(d), the receiving Office cancels the declaration made under Article 8(1), that Office shall mark over the said declaration the words "CANCELLED ON REQUEST OF APPLICANT" or "CANCELLED EX OFFICIO BY RO," or their equivalent in the language of the international application, as the case may be.

SECTION 315

NOTIFICATION OF NON-COLLECTION OF RECORD COPY

Where, under Rule 22.2(d), the receiving Office has, in accordance with the applicant's wish, held the record copy at the disposal of the applicant, and the applicant has not collected that copy by the expiration of the time limit for receipt of that copy by the International Bureau, the receiving Office shall notify the applicant accordingly.

SECTION 316

PROCEDURE IN THE CASE WHERE THE INTERNATIONAL  
APPLICATION LACKS THE PRESCRIBED SIGNATURE

Where, under Article 14(1)(a)(i), the receiving Office finds that any international application is defective in that it lacks the prescribed signature, that Office shall send to the applicant, together with the invitation to correct under Article 14(1)(b), a copy of the request part of the international application. The applicant shall, within the prescribed time limit, return said copy after affixing thereto the prescribed signature.

PART 4

INSTRUCTIONS RELATING TO THE  
INTERNATIONAL BUREAU

SECTION 401

MARKING OF SHEETS OF THE RECORD COPY

The International Bureau shall, under Rule 24.1, mark the date of receipt of the record copy in the appropriate space on the request form and place the stamp of the International Bureau in the lower right-hand corner of each sheet of the record copy.

SECTION 402

NOTIFICATION OF CORRECTION OF THE PRIORITY  
DATE OR CANCELLATION OF THE PRIORITY CLAIM

Where, under Rule 4.10(d), the correction of the priority date or the cancellation of the priority claim is effected by the International Bureau, the manner of indicating the correction or cancellation set forth in Section 314 shall apply mutatis mutandis. The receiving Office, in addition to the applicant and the International Searching Authority, shall be notified accordingly by the International Bureau.

SECTION 403

TRANSMITTAL OF PROTEST AGAINST PAYMENT OF  
ADDITIONAL FEE AND DECISION THEREON

Where, under Rules 40.2(c) or 68.3(c), the International Bureau receives a request from the applicant to forward to any designated or elected Office the texts of both the protest against payment of an additional fee and the decision thereon by the International Searching Authority or the International Preliminary Examining Authority, as the case may be, it shall proceed according to such request.

SECTION 404

INTERNATIONAL PUBLICATION NUMBER

The International Bureau shall assign to each published international application an international publication number which shall be different from the international application number. The international publication number shall be used on the pamphlet and in the Gazette entry. It shall consist of the two-letter code "WO" followed by a two-digit designation of the last two numbers of the year of publication, a slant, and a serial number consisting of five digits (e.g., WO75/12375").

SECTION 405

SPECIAL PUBLICATION FEE

- (a) The special publication fee provided for in Rule 48.4 shall be .... Swiss francs.

SECTION 406

PAMPHLETS\*

(a) Pamphlets referred to in Rule 48.1 shall be published on a given day of each week.

(b) All pamphlets shall be of A4 size and shall be printed by offset, recto-verso.

(c) The form and particulars of the front page of each pamphlet shall be according to the example set forth in Annex D.

SECTION 407

THE GAZETTE\*\*

(a) The Gazette referred to in Rule 86 shall be of A4 size and shall be printed by offset, recto-verso.

(b) In addition to the contents specified in Rule 86, the Gazette shall contain, in respect of each published international application, the data indicated in Annex E.

(c) The information referred to in Rule 86.1(v) shall be that which is indicated in Annex F.

(d) The subscription price of the Gazette shall be ... Swiss francs per year. The price of any single issue of the Gazette shall be ... Swiss francs.

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\* The various alternatives found in Rule 48.2(g) and 48.2(h) regarding later publication of the international search report and amendments and statements under Article 19 will be expanded in the Administrative Instructions in accordance with Rule 48.2(i) once, after the discussion of the draft Guidelines for Publication (PCT/AAQ/VII/4), more definitive information is available as to the international publication format and cost factors to be considered in this context.

\*\* This Section will be reviewed, if necessary, in view of the results of the discussion of the draft Guidelines for Publication (PCT/AAQ/VII/4).

SECTION 408

PRIORITY APPLICATION NUMBER

(a) If the application number of the earlier application referred to in Rule 4.10(c) (priority application number) is furnished to the International Bureau within the prescribed time limit, that Bureau shall enter the said number in the space provided therefor in the request form.

(b) If the priority application number is furnished after the expiration of the prescribed time limit, the International Bureau shall indicate, in the international publication, the date on which the said number was furnished, by including on the front page of the pamphlet next to the priority application number the words "FURNISHED LATE ON .... (date)," and their equivalent in the language of the international application, provided that language is French, German, Japanese or Russian.

(c) If the priority application number has not been furnished at the time of the international publication, the International Bureau shall indicate that fact by including on the front page of the pamphlet in the space provided for the priority application number the words "NOT FURNISHED AT TIME OF THIS PUBLICATION," and their equivalent in the language of the international application, provided that language is French, German, Japanese or Russian.

SECTION 409

NOTIFICATION OF PRIORITY CLAIM CONSIDERED  
NOT TO HAVE BEEN MADE

Where the International Bureau notes that the receiving Office has failed to notify the applicant as provided in Section 302, it shall send a notification to the same effect to the applicant, the receiving Office and the International Searching Authority.

SECTION 410

NUMBERING OF SHEETS OF THE INTERNATIONAL APPLICATION  
FOR PURPOSES OF INTERNATIONAL PUBLICATION

In the course of preparing the international application for international publication, the International Bureau shall sequentially renumber the sheets of the international application only when necessitated by the addition of any new sheet, the deletion of entire sheets or a change in the order of the sheets. Otherwise, the numbering provided under Section 208 shall be maintained.



SECTION 411

NOTIFICATION THAT THE CERTIFIED COPY OF THE  
PRIORITY DOCUMENT HAS NOT BEEN SUBMITTED

Where the time limit under Rule 17.1(a) has expired and the International Bureau has not received a certified copy of the priority document, it shall notify the applicant and the designated Offices accordingly.

PART 5

INSTRUCTIONS RELATING TO THE  
INTERNATIONAL SEARCHING AUTHORITY

SECTION 501

CORRECTIONS SUBMITTED TO THE INTERNATIONAL SEARCHING AUTHORITY CONCERNING  
EXPRESSIONS, ETC., NOT TO BE USED IN THE INTERNATIONAL APPLICATION

Where the applicant submits corrections to the International Searching Authority aimed at complying with the prescription of Rule 9.1, that Authority shall transmit copies of such corrections to the receiving Office and the International Bureau.

SECTION 502

PROTEST AGAINST PAYMENT OF ADDITIONAL FEE  
AND DECISION THEREON

The International Searching Authority shall transmit to the applicant, at the latest, together with the international search report, any decision which it has taken under Rule 40.2(c) on the protest of the applicant against the payment of the additional fee. At the same time, it shall transmit to the International Bureau a copy of both the protest and the decision thereon, as well as any request by the applicant to forward the texts of both the protest and the decision thereon to any of the designated Offices.

SECTION 503

METHOD OF IDENTIFYING DOCUMENTS CITED IN THE  
INTERNATIONAL SEARCH REPORT\*

Identification of any document cited in the international search report referred to in Rule 43.5(b) shall be made by indicating the following elements in the order in which they are listed:

- (a) In the case of any patent document (patent documents being patents within the meaning of Article 2(ii) as well as published applications relating thereto)
- (i) the Office that issued the document, by the two-letter code as in Annex B.
  - (ii) the kind of document, by the appropriate symbols as in Annex C.
  - (iii) the number of the document as given to it by the Office that issued it (for Japanese documents the indication of the year of the reign of the Emperor must precede the patent publication number);
  - (iv) the date of publication as indicated on the patent document; and

\* With respect to item (iv) of paragraph (a), the International Bureau has prepared a report, for the November 1976 session of the Interim Committee for Technical Cooperation, on a survey of publication dates of the patent documents pertaining to the PCT minimum documentation under Rule 34.1(c)(i) to (vi) (document PCT/TCO/VI/5). The provisions of item (iv) may need to be supplemented or reviewed depending upon the conclusions reached by the Interim Committee after considering the said report.

(v) where applicable, the pages, columns or lines where the relevant passages appear, or the relevant figures of the drawings.

(The following example illustrates the citation of a patent document according to paragraph (a) above:

JA, B, 5014535, published 1975, April 8, see column 2 lines 10 to 15.)

(b) In the case of any book or other separately issued publication

(i) the name of the author;

(ii) the title (including, where applicable, the number of the edition and/or volume);

(iii) the year of publication (when this coincides with the year of the international application or of the priority claim, the International Searching Authority shall endeavour to determine the month and, if necessary, the day of publication and to indicate these data in the international search report);

(iv) the name of the publisher;

(v) as far as available, the place of publication (where only the location of the publisher appears on the book or other separately issued publication, then that location shall be indicated as the place of publication); and

(vi) where applicable, the pages, columns or lines where the relevant passages appear, or the relevant figures of the drawings.

(The following example illustrates the citation of a book or other separately issued publication according to paragraph (b) above;

H. Walton, 'Microwave Quantum Theory', Volume 2, published 1973, April 4, by Sweet and Maxwell (London), see pages 138 to 192.)

(c) In the case of any article published in a periodical or other serial publication:

(i) the title of the periodical or other serial publication;

(ii) the number of the volume and the date of the issue in which the article appears;

(iii) as far as available, the place of publication (where only the location of the publisher appears in the periodical or other serial publication, then that location shall be indicated as the place of publication);

(iv) the author and the title of the article and the number of the page both on which the article starts and ends; and

(v) where applicable, the pages, columns or lines where the relevant passages appear, or the relevant figures of the drawings.

(The following example illustrates the citation of an article published in a periodical or other serial publication according to paragraph (c) above:  
IBM Technical Disclosure Bulletin, Volume 17, no. 5, issued 1974 October (Armonk, New York), J. G. Drop, 'Integrated Circuit Personalization at the Module Level', see pages 1344 to 1345.)

(d) In the case of abstracts

(i) the identification of the document containing the abstract in the manner set forth in paragraphs (a), (b) and (c), respectively, depending upon whether the abstract is contained in a patent document, in a book or other separately issued publication, or in an article published in a periodical or other serial publication;

(ii) in the case where the abstract is not published together with the full text document which served as its basis, the identification of both abstract and full text document on the basis of whatever bibliographic data may be available in respect thereto.

(The following example illustrates the citation of an abstract according to paragraph (d)(ii) above:  
Chemical Abstracts, Volume 75, no. 20, issued 1971, November 15 (Columbus, Ohio, U.S.A.), D.I. Shetulov, 'Surface Effects During Metal Fatigue', see page 163, column 1, the abstract no. 120718k, Fiz.-Khim. Mekh. Mater. 1971, 7(2), 7-11 (Russ)).

SECTION 504

CLASSIFICATION OF THE SUBJECT MATTER OF THE  
INTERNATIONAL APPLICATION

(a) Where the subject matter of the international application is such that classification thereof requires more than one classification symbol according to the principles to be followed in the application of the International Patent Classification to any given patent document, the international search report shall indicate all such symbols.

(b) Where any national classification system is used, the international search report may indicate all the applicable classification symbols also according to that system.

(c) Where the subject matter of the international application is classified both according to the International Patent Classification and to any national classification system, the international search report shall, wherever possible, indicate the corresponding symbols of both classifications opposite each other.

SECTION 505

INDICATION OF CITATIONS OF PARTICULAR RELEVANCE IN  
THE INTERNATIONAL SEARCH REPORT

Where any document cited in the international search report is of particular relevance, the special indication required by Rule 43.5(c) shall consist of the letter "X" placed next to the citation of the said document.

SECTION 506

COMMENTS ON DRAFT TRANSLATION OF THE INTERNATIONAL APPLICATION

(a) Where the applicant has made comments, within the time limits fixed by the International Searching Authority, on the draft translation referred to in Rule 48.3(b), that Authority shall notify the applicant whether it has changed the draft translation and, if so, of the changes it has made therein.

(b) Where the applicant submits comments on the draft translation after the expiration of the time limit fixed by the International Searching Authority, and that Authority changes the draft translation, it shall notify the applicant accordingly.

SECTION 507

INDICATION OF FIGURES TO BE PUBLISHED WITH THE ABSTRACT

Where it is the International Searching Authority which, under Rule 8.2, indicates the figure or figures of the drawings to be published with the abstract, that Authority shall notify the applicant and the International Bureau accordingly.

SECTION 508

MANNER OF INDICATING CERTAIN SPECIAL CATEGORIES OF  
DOCUMENTS CITED IN THE INTERNATIONAL SEARCH REPORT

(a) Where any document cited in the international search report refers to an oral disclosure, use, exhibition, or other means referred to in Rule 33.1(b), the separate indication required by that Rule shall consist of the letter "O" placed next to the citation of the said document.

(b) Where any document cited in the international search report is a published application or patent as defined in Rule 33.1(c), the special mention required by that Rule shall consist of the letter "E" placed next to the citation of the said document.

(c) Where any document cited in the international search report is a document which defines the general state of the art, it shall be indicated by the letter "A" placed next to the citation of the said document.

(d) Where any document cited in the international search report is a document whose publication date occurred earlier than the international filing date of the international application, but later than the priority date claimed in that application, it shall be indicated by the letter "P" next to the citation of the said document.

(e) Where any document cited in the international search report is a document whose publication date occurred after the filing date or the priority date of the international application and is not in conflict with the said application, but is cited for the principle or theory underlying the invention, which may be useful for a better understanding of the invention, or is cited to show that the reasoning or the facts underlying the invention are incorrect, it shall be indicated by the letter "T" next to the citation of the document.

#### SECTION 509

##### MANNER OF INDICATING THE CLAIMS TO WHICH THE DOCUMENTS CITED IN THE INTERNATIONAL SEARCH REPORT ARE RELEVANT

The claims to which cited documents are relevant shall be indicated by placing in the appropriate column of the international search report:

(i) where the cited document is relevant to one claim, the number of that claim; for example, (2) or (17);

(ii) where the cited document is relevant to two or more claims numbered in consecutive order, the numbers of the first and last claims of the series connected by a hyphen; for example, (1-15) or (2-3);

(iii) where the cited document is relevant to one or more claims that are not numbered in consecutive order, the number of each claim placed in ascending order and separated by a comma or commas; for example, (1,6) or (1,7,10);

(iv) where the cited document is relevant to more than one series of claims under (ii) above, or to claims of both categories (ii) and (iii) above, the series or individual claim numbers and series placed in ascending order using commas to separate the several series, or to separate the numbers of individual claims and each series of claims; for example, (1-6, 9-10, 12-15) or (1, 3-4, 6, 9-11).

PART 6

INSTRUCTIONS RELATING TO THE  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

SECTION 601

DETERMINATION WHETHER APPLICANT IS ENTITLED TO MAKE A DEMAND

(a) Where the International Preliminary Examining Authority finds that the applicant is not entitled under Article 31(2) or, where there are several applicants, that none of the applicants is entitled under Rule 54.2 to make a demand, the International Preliminary Examining Authority shall notify both the applicant or applicants and the International Bureau accordingly.

(b) Where the International Preliminary Examining Authority finds that, in the case of different applicants for different elected States, none of the applicants indicated for the purposes of a given elected State is entitled under Rule 54.3 to make a demand and that therefore the election of that State shall be considered not to have been made, the International Preliminary Examining Authority shall notify accordingly both the applicant or applicants so indicated and the International Bureau.

SECTION 602

MARKING OF REPLACEMENT SHEETS AND RENUMBERING  
OF SHEETS OF THE INTERNATIONAL APPLICATION

(a) The data to be indicated on any replacement sheet according to Rule 66.8(b) shall be indelibly marked by the International Preliminary Examining Authority, so as to admit of direct reproduction in any of the manners set forth in Rule 11.2(a), in the upper right-hand corner of each replacement sheet.

(b) Section 311 applies, mutatis mutandis, to the renumbering of sheets of the international application.

SECTION 603

PROTEST AGAINST PAYMENT OF ADDITIONAL FEE  
AND DECISION THEREON

The International Preliminary Examining Authority shall transmit to the applicant, at the latest together with the international preliminary examination report, any decision which it has taken under Rule 68.3(c) on the protest of the applicant against payment of the additional fee. At the same time, it shall transmit to the International Bureau a copy of both the protest and the decision thereon, as well as any request by the applicant to forward the texts of both the protest and the decision thereon to any of the elected Offices.

SECTION 604

GUIDELINES FOR EXPLANATIONS CONTAINED IN THE  
INTERNATIONAL PRELIMINARY EXAMINATION REPORT

Explanations under Rule 70.8 shall clearly point out to which of the three criteria referred to in Article 35(2), taken separately, any cited document is applicable and shall clearly describe, with reference to the cited documents, the reasons supporting the conclusion that any of the said criteria is or is not satisfied.

[Annexes follow]



## ANNEX A

## NAMES OF STATES

(Members of the Paris Union  
as at July 15, 1976)

<u>Short Title</u>	<u>Full Name</u>
Algeria	Democratic and Popular Republic of Algeria
Argentina	Argentine Republic
Australia	Commonwealth of Australia
Austria	Republic of Austria
Belgium	Kingdom of Belgium
Benin	Benin People's Republic
Brazil	Federative Republic of Brazil
Bulgaria	People's Republic of Bulgaria
Cameroon	United Republic of Cameroon
Canada	Canada
Central African Republic	Central African Republic
Chad	Republic of Chad
Congo	People's Republic of the Congo
Cuba	Republic of Cuba
Cyprus	Republic of Cyprus
Czechoslovakia	Czechoslovak Socialist Republic
Denmark	Kingdom of Denmark
Dominican Republic	Dominican Republic
Egypt	Arab Republic of Egypt
Finland	Republic of Finland
France	French Republic
Gabon	Gabonese Republic
German Democratic Republic	German Democratic Republic
Germany (Federal Republic of)	Federal Republic of Germany
Ghana	The Republic of Ghana
Greece	Hellenic Republic
Haiti	Republic of Haiti
Holy See	Holy See
Hungary	Hungarian People's Republic
Iceland	Republic of Iceland
Indonesia	Republic of Indonesia
Iran	Empire of Iran
Iraq	Republic of Iraq
Ireland	Ireland
Israel	State of Israel
Italy	Italian Republic
Ivory Coast	Republic of the Ivory Coast
Japan	Japan
Jordan	Hashemite Kingdom of Jordan
Kenya	Republic of Kenya
Lebanon	Lebanese Republic
Libya	Libyan Arab Republic
Liechtenstein	Principality of Liechtenstein

## ANNEX A

## NAMES OF STATES

(Members of the Paris Union  
as at July 15, 1976)

<u>Short Title</u>	<u>Full Name</u>
Algeria	Democratic and Popular Republic of Algeria
Argentina	Argentine Republic
Australia	Commonwealth of Australia
Austria	Republic of Austria
Belgium	Kingdom of Belgium
Benin	Benin People's Republic
Brazil	Federative Republic of Brazil
Bulgaria	People's Republic of Bulgaria
Cameroon	United Republic of Cameroon
Canada	Canada
Central African Republic	Central African Republic
Chad	Republic of Chad
Congo	People's Republic of the Congo
Cuba	Republic of Cuba
Cyprus	Republic of Cyprus
Czechoslovakia	Czechoslovak Socialist Republic
Denmark	Kingdom of Denmark
Dominican Republic	Dominican Republic
Egypt	Arab Republic of Egypt
Finland	Republic of Finland
France	French Republic
Gabon	Gabonese Republic
German Democratic Republic	German Democratic Republic
Germany (Federal Republic of)	Federal Republic of Germany
Ghana	The Republic of Ghana
Greece	Hellenic Republic
Haiti	Republic of Haiti
Holy See	Holy See
Hungary	Hungarian People's Republic
Iceland	Republic of Iceland
Indonesia	Republic of Indonesia
Iran	Empire of Iran
Iraq	Republic of Iraq
Ireland	Ireland
Israel	State of Israel
Italy	Italian Republic
Ivory Coast	Republic of the Ivory Coast
Japan	Japan
Jordan	Hashemite Kingdom of Jordan
Kenya	Republic of Kenya
Lebanon	Lebanese Republic
Libya	Libyan Arab Republic
Liechtenstein	Principality of Liechtenstein

Luxembourg	Grand Duchy of Luxembourg
Madagascar	Malagasy Republic
Malawi	Republic of Malawi
Malta	Malta
Mauritania	Islamic Republic of Mauritania
Mauritius	Mauritius
Mexico	United Mexican States
Monaco	Principality of Monaco
Morocco	Kingdom of Morocco
Netherlands	Kingdom of the Netherlands
New Zealand	New Zealand
Niger	Republic of the Niger
Nigeria	Federal Republic of Nigeria
Norway	Kingdom of Norway
Philippines	Republic of the Philippines
Poland	Polish People's Republic
Portugal	Portuguese Republic
Republic of South Viet-Nam	Republic of South Viet-Nam
Romania	Socialist Republic of Romania
San Marino	Republic of San Marino
Senegal	Republic of Senegal
South Africa	Republic of South Africa
Southern Rhodesia	Southern Rhodesia
Soviet Union	Union of Soviet Socialist Republics
Spain	Spanish State
Sri Lanka	Republic of Sri Lanka
Sweden	Kingdom of Sweden
Switzerland	Swiss Confederation
Syrian Arab Republic	Syrian Arab Republic
Togo	Togolese Republic
Trinidad and Tobago	Trinidad and Tobago
Tunisia	Republic of Tunisia
Turkey	Republic of Turkey
Uganda	Republic of Uganda
United Kingdom	United Kingdom of Great Britain and Northern Ireland
United Republic of Tanzania	United Republic of Tanzania
United States of America	United States of America
Upper Volta	Republic of the Upper Volta
Uruguay	Eastern Republic of Uruguay
Yugoslavia	Socialist Federal Republic of Yugoslavia
Zaire	Republic of Zaire
Zambia	Republic of Zambia

[Annex B follows]

CODE FOR IDENTIFYING STATES  
AND ORGANIZATIONS\*/

CODE D'IDENTIFICATION DES ETATS  
ET DES ORGANISATIONS\*

AG	ALGERIA/ALGERIE
AR	ARGENTINA/ARGENTINE
AU	AUSTRALIA/AUSTRALIE
BE	BELGIUM/BELGIQUE
BG	BULGARIA/BULGARIE
BR	BRAZIL/BRESIL
CA	CANADA/CANADA
CB	ZAIRE/ZAIRE
CF	CONGO/CONGO
CH	SWITZERLAND/SUISSE
CI	IVORY COAST/COTE D'IVOIRE
CL	SRI LANKA/SRI LANKA
CS	CZECHOSLOVAKIA/TCHECOSLOVAQUIE
CU	CUBA/CUBA
CV	HOLY SEE/SAINT-SIEGE
CY	CYPRUS/CHYPRE
DA	BENIN/REPUBLIQUE POPULAIRE DU BENIN
DK	DENMARK/DANEMARK
DL	GERMAN DEMOCRATIC REPUBLIC/REPUBLIQUE DEMOCRATIQUE ALLEMANDE
DR	DOMINICAN REPUBLIC/REPUBLIQUE DOMINICAINE
DT	GERMANY, FEDERAL REPUBLIC OF/ALLEMAGNE, REPUBLIQUE FEDERALE D'
EI	IRELAND/IRLANDE
ES	SPAIN/ESPAGNE
ET	EGYPT/EGYPTE
FL	LIECHTENSTEIN/LIECHTENSTEIN
FR	FRANCE/FRANCE
GA	GABON/GABON
GB	UNITED KINGDOM/ROYAUME-UNI
GH	GHANA/GHANA
GR	GREECE/GRECE
HI	HAITI/HAITI
HU	HUNGARY/HONGRIE
ID	INDONESIA/INDONESIE
IL	ISRAEL/ISRAEL
IQ	IRAQ/REPUBLIQUE D'IRAK
IR	IRAN/IRAN
IS	ICELAND/ISLANDE
IT	ITALY/ITALIE
JA	JAPAN/JAPON
JO	JORDAN/JORDANIE
KA	CAMEROON/CAMEROUN
KE	KENYA/KENYA
LB	LEBANON/LIBAN
LU	LUXEMBOURG/LUXEMBOURG
LY	LYBIA/REPUBLIQUE ARABE LIBYENNE
MA	MOROCCO/MAROC
MC	MONACO/MONACO
MD	MADAGASCAR/MADAGASCAR
ML	MALTA/MALTE
MS	MAURITIUS/MAURICE
MT	MAURITANIA/MAURITANIE
MW	MALAWI/MALAWI
MX	MEXICO/MEXIQUE
NI	NIGER/NIGER
NL	NETHERLANDS/PAYS-BAS
NO	NORWAY/NORVEGE
NZ	NEW ZEALAND/NOUVELLE-ZELANDE
OE	AUSTRIA/AUTRICHE
PH	PHILIPPINES/PHILIPPINES
PO	POLAND/POLOGNE
PT	PORTUGAL/PORTUGAL
RH	SOUTHERN RHODESIA/RHODESIE DU SUD
RU	ROMANIA/ROUMANIE
SF	FINLAND/FINLANDE
SM	SAN MARINO/SAINT-MARIN
SN	SENEGAL/SENEGAL
SR	SYRIAN ARAB REPUBLIC/REPUBLIQUE ARABE SYRIENNE

\* The States listed are those which are members of the Paris Union. This code is, for the most part, based upon ICIREPAT recommendations./Les Etats cités sont les Etats membres de l'Union de Paris. Ce code est établi en majeure partie sur la base des recommandations de l'ICIREPAT.

SU	SOVIET UNION/UNION SOVIETIQUE
SW	SWEDEN/SUEDE
TA	UNITED REPUBLIC OF TANZANIA/REPUBLIQUE UNIE DE TANZANIE
TD	TRINIDAD AND TOBAGO/TRINITE ET TOBAGO
TN	TUNISIA/TUNISIE
TO	TOGO/TOGO
TR	TURKEY/TURQUIE
TS	CHAD/TCHAD
UG	UGANDA/UGANDA
US	UNITED STATES OF AMERICA/ETATS-UNIS D'AMERIQUE
UV	UPPER VOLTA/HAUTE-VOLTA
UY	URUGUAY/URUGUAY
VS	REPUBLIC OF SOUTH VIET-NAM/REPUBLIQUE DU SUD VIET-NAM
WN	NIGERIA/NIGERIA
YU	YUGOSLAVIA/YOUGOSLAVIE
ZA	SOUTH AFRICA/AFRIQUE DU SUD
ZB	ZAMBIA/ZAMBIE
ZR	CENTRAL AFRICAN REPUBLIC/REPUBLIQUE CENTRAFRICAINE

AM	AFRICAN INTELLECTUAL/OFFICE AFRICAIN DE LA PROPERTY OFFICE PROPRIETE INTELLECTUELLE
EP	EUROPEAN PATENT OFFICE/OFFICE EUROPEEN DE BREVETS
IB	INTERNATIONAL PATENT INSTITUTE/INSTITUT INTERNATIONAL DES BREVETS
WO	INTERNATIONAL BUREAU OF WIPO/BUREAU INTERNATIONAL DE L'OMPI

NOTE

ICIREPAT is at present considering the enlargement of the ICIREPAT Standard ST.3 to include all geographical entities listed in the ISO Alpha-2 Code (ISO Standard 3166). All the geographical entities in the enlarged ST.3 should be coded according to the ISO Alpha-2 Code, except for Austria, German Democratic Republic, Germany (Federal Republic of), Finland, Ireland, Japan, Poland, Rumania and Sweden, for which the above ICIREPAT two-letter codes should be maintained.

The revised Standard ST.3 if and once adopted by the Plenary Committee of ICIREPAT, will appear in this Annex.

L'ICIREPAT étudie actuellement une extension de la norme ICIREPAT ST.3. La version élargie de cette norme comprendrait toutes les entités géographiques énumérées dans le Code Alpha-2 de l'ISO (Norme ISO No 3166), codées selon le Code Alpha-2 de l'ISO à l'exception de l'Allemagne (République fédérale d'), de l'Autriche, de l'Irlande, du Japon, de la Pologne, de la République démocratique allemande, de la Roumanie et de la Suède, pays dont les codes à deux lettres actuels de l'ICIREPAT, tels qu'ils sont indiqués ci-dessus, devraient être conservés.

La version révisée de la norme ST.3, si elle est adoptée par le Comité plénier de l'ICIREPAT, sera reproduite dans cette annexe après son adoption.

[Annex C follows/L'annexe C suit]

STANDARD CODE FOR IDENTIFICATION OF DIFFERENT KINDS OF PATENT DOCUMENTSIntroduction

1. The recommendation provides for groups of letter codes in order to distinguish patent documents. The letter codes also facilitate the storage and retrieval of such documents.
2. If any Office wants to amplify the information contained in the letter code, this letter code may be optionally associated with a numerical code. The meaning of such numerical code should then be defined by each Patent Office availing itself of this option.
3. The code also provides for a letter for non-patent literature documents (N) and for documents to be restricted to the internal use of Patent Offices (X) (e.g. confidential documents, not to be disclosed outside the Office). See in this respect also SI.1 (ICIREPAT Manual pages 4.3.1.1 to 4.3.1.4).

Definitions

4. For the purposes of this recommendation, the expression "patent documents" includes patents for inventions, inventors' certificates, utility certificates, utility models, patents or certificates of addition, inventors' certificates of addition, utility certificates of addition and published applications therefor.
5. For the purposes of this recommendation, the term "entry in an official gazette" means at least one comprehensive announcement in an official gazette regarding the making available to the public of the complete text, claims (if any) and drawings (if any) of a patent document.
6. For the purposes of this recommendation, the terms "publication" and "published" are used in the sense of making available
  - (i) a patent document to the public for inspection or supplying a copy on request
  - (ii) multiple copies of a patent document produced by printing or like process

Explanation: If, at a particular procedural stage, a copy of the document is first made available to the public for inspection or copying and is then, at the same procedural stage, made available in multiple copies produced by printing or like process, only a single publication is considered to have occurred. If, on the other hand, multiple reproduction results from a new procedural stage, this reproduction is considered to be a further publication of the document, even if the texts at the two stages are identical.

7. According to certain national patent laws or regulations, the same patent application may be published at various procedural stages. For the purposes of this recommendation, a publication level is defined as the level corresponding to a procedural stage at which normally a document is published under a given national patent law.

Recommendation

8. It is recommended that the code:
  - (a) be used for the recording of the "kind of document" in machine-readable data carriers, such as 80-column punched cards, magnetic tapes, aperture cards, etc;
  - (b) be used on the first page of patent documents, preferably near the document number, if these have been published in the sense of paragraph 6;
  - (c) be used in entries in official gazettes or, if all entries in a section of the Gazette relate to the same kind of a document at the beginning of such a section.

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(d) be used for the identification of patent documents cited in "Search Reports" and "Lists of References" in patent documents (INID Number 56).

9. Code

The code is subdivided into mutually exclusive groups of letters. The groups characterize patent documents and documents specified in paragraph 3. Groups 1-5 comprise one or several letters enabling identification of documents pertaining to different publication levels.

- Group 1 Use for primary or major series of patent documents
- A First publication level
  - B Second publication level
  - C Third publication level
- Group 2 Use for secondary series of patent documents
- E First publication level
  - F Second publication level
  - G Third publication level
- Group 3 Use for further series of patent documents, as the special requirements of each Office may be
- H
  - I
- Group 4 Use for medicament patent documents
- M
- Group 5 Use for utility model documents having a numbering series other than the documents of Group 1
- U First publication level
  - Y Second publication level
  - Z Third publication level
- Group 6 Other (see paragraph 3)
- N Non-patent literature documents
  - X Documents restricted to the internal use of Offices

10. It is understood that documents resulting from a patent application and being identified as the major series will fall under Group 1 (e.g. DT Offenlegungsschrift, Auslegeschrift and Patentschrift). However, documents identified as a secondary series will fall under Group 2 (e.g. FR patent of addition under old law, US reissue). In exceptional cases of need for a further series, Group 3 is reserved for such purposes (e.g. US defensive publication). Group 4 applies only, at present, to special documents concerning the medicament patents published in France. In any country would publish similar documents, Group 4 should then be used.

11. As indicated in paragraph 2, the above letter code may optionally be associated with a numerical code to amplify the information represented by the letter code. For this numerical code only digits 1 to 9 should be used. The significance of this code will be defined by any national office applying such code and communicated to the International Bureau, which will publicize this information. The numerical code must always be interpreted in conjunction with the country code and the above letter code.

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12. As an appendix to this recommendation a list of patent documents, past and currently published, and intended to be published in the future, divided in accordance with the code, is given.

[Appendices I & II follow]

Original: STAC III No. 43d, expanded to STAC III No. 93a  
Adopted by the first session of the TCC  
Revised and adopted by the fifth session of the TCST  
(document IC/TCST/17(73), Annex III)  
Revised version amended and adopted by the tenth session of the TCC  
(document IC/TCC/X/19, Annex IV)  
Amended and adopted by the fifth PLC ordinary session (document  
IC/PLC/V/II, paragraphs 65 to 68)  
Amended by the TCC at its thirteenth and fourteenth sessions  
(documents IC/TCC/XIII/10 and IC/TCC/XIV/18)  
  
Adopted by the seventh PLC ordinary session (document IC/PLC/  
VII/16, paragraph 30)



Appendix I

List of Patent Documents, Past and Currently Published, and Intended to be Published in the Future, Divided in Accordance with this Code

Code: A Patent Documents Numbered in Primary or Major Series - First Publication Level

Examples:	Austria	Patent Application published in the sense of paragraph 6(i)
	Belgium	Brevet d'invention/Uitvindingsoctrooi
	Belgium	Brevet de perfectionnement/Verbeteringsoctrooi
	Bulgaria	Opisanie na izobretenie po patent
	Canada	Patent
	Cuba	Patent Application published in the sense of paragraph 6(i)
	Czechoslovakia	Patent Application published in the sense of paragraph 6(i)
	Czechoslovakia	Inventors' Certificate Application published in the sense of paragraph 6(i)
	Denmark	Patent Application published in the sense of paragraph 6(i)
	Egypt	Patent specification
	Europat	Document published after 18 months
	Finland	Patent Application published in the sense of paragraph 6(i)
	France	Brevet d'invention (old law)
	France	Brevet d'invention, première et unique publication
	France	Certificat d'addition à un brevet d'invention, première et unique publication
	France	Certificat d'utilité, première et unique publication
	France	Certificat d'addition à un certificat d'utilité, première et unique publication
	France	Demande de brevet d'invention, première publication
	France	Demande de certificat d'addition à un brevet d'invention première publication
	France	Demande de certificat d'utilité, première publication
	France	Demande de certificat d'addition à un certificat d'utilité, première publication
	German Democratic Republic	Patentschrift (Ausschlusspatent), granted in accordance with paragraph 5.1 of the Patent Amendment Act of the German Democratic Republic
	German Democratic Republic	Patentschrift (Wirtschaftspatent), granted in accordance with paragraph 5.1 of the Patent Amendment Act of the German Democratic Republic
	Germany, Federal Republic of	Offenlegungsschrift
	Hungary	Patent Application published in the sense of paragraph 6(i)
	India	Patent specification
	Ireland	Patent specification
	Italy	Brevetto per invenzione industriale
	Japan	Kokai tokkyo koho

Code: A (continued)

Examples:	Luxembourg	Brevet d'invention
	Luxembourg	Certificat d'addition à un brevet d'invention
	Netherlands	Ter inzage gelegde octrooiaanvraag
	Norway	Patent Application published in the sense of paragraph 6(i)
	Pakistan	Patent specification
	PCT	Pamphlet published after 18 months
	Poland	Opis patentowy
	Romania	Descrierea invenției
	Soviet Union	Opisanie izobreteniya k patentu
	Soviet Union	Opisanie izobreteniya k avtorskomu svidetelstvu
	Spain	Patente de invención
	Sweden	Patent Application published in the sense of paragraph 6(i)
	Switzerland	Auslegeschrift/Mémoire Exposé/Esposito Memoriale (Patent Application published in the sense of paragraphs 6(i) and 6(ii) pertaining to the technical fields for which search and examination as to novelty are made)
	Switzerland	Patentschrift/Exposé d'invention/Esposito d'invenzione (Patent published in the sense of paragraph 6(ii) and pertaining to the technical fields for which neither search nor examination as to novelty are made)
	United Kingdom	Patent specification
	United States	Patent
	Yugoslavia	Patentni spis

Code: B Patent Documents Numbered in Primary or Major Series - Second Publication Level

Examples:	Australia	Patent specification
	Austria	Patentschrift
	Cuba	Patente de invención
	Czechoslovakia	Popis vynálezu k patentu
	Czechoslovakia	Popis vynálezu k autorskému osvědčení
	Denmark	Fremlaeggelseskraft
	Finland	Kuulutusjulkaisu - Utläggningsskrift
	France	Brevet d'invention, deuxième publication de l'invention
	France	Certificat d'addition à un brevet d'invention, deuxième publication de l'invention
	France	Certificat d'utilité, deuxième publication de l'invention
	France	Certificat d'addition à un certificat d'utilité, deuxième publication de l'invention
	German Democratic Republic	Patentschrift (Ausschlusspatent), granted in accordance with paragraph 29 of the Patent Act of the German Democratic Republic
	German Democratic Republic	Patentschrift (Wirtschaftspatent), granted in accordance with paragraph 29 of the Patent Act of the German Democratic Republic
	Germany, Federal Republic of	Auslegeschrift

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Code: B (continued)

Examples:	Hungary	Szabadalmi leiras
	Japan	Tokkyo koho
	Netherlands	Openbaar gemaakte octrooiaanvragen
	Norway	Utlegningskrift
	Sweden	Utläggningsskrift
	Switzerland	Patentschrift/Exposé d'invention/Esposito d'invenzione (Patent published in the sense of paragraph 6(ii) and pertaining to the technical fields for which search and examination as to the novelty are made)
	United Kingdom	Amended Patent Specification

Code: C Patent Documents Numbered in Primary or Major Series - Third Publication Level

Examples:	Denmark	Patent
	Finland	Patentti - Patent
	Germany, Federal Republic of	Patentschrift
	Netherlands	Octrooi
	Norway	Patent
	Sweden	Patentskrift

Code: E Patent Documents Numbered in Secondary Series - First Publication Level

Examples:	France	Certificat d'addition à brevet d'invention (old law)
	United States	Reissue

Code: H Patent Documents numbered in further series

Example:	United States	Defensive publication
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Code: M Medicament Patent Documents

Examples:	France	Brevet spécial de médicament
	France	Addition à un brevet spécial de médicament

Code: U Utility Model Documents Numbered in Series other than the Documents of Group I - First Publication Level

Examples:	Germany, Federal Republic of	Gebrauchsmuster
	Japan	Kokai jitsuyo shinan koho
	Spain	Utility Model Application published in the sense of paragraph 6(i)

Code: Y Utility Model Documents Numbered in Series other than the Documents of Group I - Second Publication Level

Examples:	Japan	Jitsuyo shinan koho
	Spain	Modelo de utilidad

[Appendix II follows]

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Appendix II

List of Patent Documents, Past and Currently Published,  
broken down by issuing country and coded in accordance with the SI.8 Code

Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
Australia	Unexamined complete specification open to public inspection (not marked on document) Patent specification		Unexamined Patent Application published in the sense of paragraph 6(i)	A	
			Patent published in the sense of paragraph 6(ii)	B	
Austria	Aufgebot (not marked on document but indicated as such in the Official Gazette) Patentschrift	Document laid open  Patent specification	Patent Application published in the sense of paragraph 6(i)	A	
			Patent published in the sense of paragraph 6(ii)	B	
Belgium	Brevet d'invention/ Uitvindingsoctrooi	Patent of invention	Patent published in the sense of paragraph 6(ii)	A	
	Brevet de perfectionnement/ Verbeteringsoctrooi	Patent of improvement	Patent of improvement published in the sense of paragraph 6(ii)	A	
	Brevet d'importation/ Invoeringsoctrooi	Patent of importation	Patent of importation published in the sense of paragraph 6(ii)	A	
Bulgaria	ОПИСАНИЕ НА ИЗОБРЕТЕНИЕ ПО ПАТЕНТ (Opisanie na izobretenie po patent)	Description of invention for a patent	Patent published in the sense of paragraph 6(ii)	A	
	ОПИСАНИЕ НА ИЗОБРЕТЕНИЕ ПО АВТОРСКО СВИДЕТЕЛЬСТВО (Opisanie na izobretenie po avtorsko svidetelstvo)	Description of invention for an author's certificate	Inventor's certificate published in the sense of paragraph 6(ii)	A	
Canada	Patent/Brevet		Patent published in the sense of paragraph 6(ii)	A	
	Reissue Patent/Brevet de redélivrance		Patent reissued and republished in the sense of paragraph 6(ii)	B	
Cuba	Publicación de la solicitud (not marked on document)	Publication of the application	Patent application published in the sense of paragraph 6(i)	A	
	Patente de invención	Patent of invention	Patent published in the sense of paragraph 6(ii)	B	

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Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
Czechoslovakia	Přihláška vynálezu (se žádostí o autorské osvědčení)	Application for an invention asking for author's certificate	Application for inventor's certificate published in the sense of paragraph 6(i), in accordance with Law No. 84 of 01.11.1972	A	1
	Přihláška vynálezu (se žádostí o patent)	Application for an invention asking for a patent	Patent application published in the sense of paragraph 6(i), in accordance with Law No. 84 of 01.11.1972	A	2
	Patentová přihláška or Přihláška vynálezu	Patent application or Application for invention	Patent application published in the sense or paragraph 6(i) up to patent No. 149 260 (granted before the entry into force of Law No. 84 01.11.1972)	A	5
	Popis vynálezu k autorskému osvědčení	Description of an invention for an author's certificate	Inventor's certificate published in the sense of paragraph 6(ii), granted in accordance with Law No. 84 of 01.11.1972	B	1
	Popis vynálezu k patentu	Description of an invention for a patent	Patent published in the sense of paragraph 6(ii), granted in accordance with Law No. 84 of 01.11.1972	B	2
	Popis vynálezu k autorskému osvědčení	Description of an invention for an author's certificate	Dependant author's certificate published in the sense of paragraph 6(ii), granted in accordance with Law No. 84 of 01.11.1972	B	3
	Popis vynálezu k patentu	Description of an invention for a patent	Dependent patent published in the sense of paragraph 6(ii), granted in accordance with Law No. 84 of 01.11.1972	B	4
	Patentový spis	Patent specification	Patent published in the sense of paragraph 6(ii), up to No. 149 260, granted before the entry into force of Law No. 84 of 01.11.1972	B	5
Denmark	Almindelig tilgængelig patentansøgning	Patent application accessible to the public	Patent application published in the sense of paragraph 6(i)	A	
	Fremlæggelseskraft	Document laid open	Patent application published after examination as to novelty in the sense of paragraph 6(ii)	B	

Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
Denmark cont'd.	Patent	Patent	Patent published in the sense of paragraph 6(ii)	C	
Egypt	إدارة براءات الاختراع (Idarat bara'at alikhtirah)	Authority for Patent Delivery	Patent published in the sense of paragraph 6(ii)	A	
Finland	Julkiseksi tullut patenttihakemus (not marked on the document)	Patent application made accessible to the public	Patent application published in the sense of paragraph 6(i)	A	
	Kuulutusjulkaisu - Utläggningsskrift	Document laid open	Patent application published after examination as to novelty in the sense of paragraphs 6(i) and 6(ii)	B	
	Patentti-Patent	Patent	Patent published in the sense of paragraph 6(ii)	C	
	Patenttijulkaisu - Patentskrift	Patent specification	Patent published in the sense of paragraph 6(ii)	C	
France	Demande de brevet d'invention	Application for patent of invention	Patent application, first publication, published in the sense of paragraph 6(ii)	A	1
	Demande de certificat d'addition à un brevet d'invention	Application for a certificate of addition to a patent of invention	Application for a certificate of addition, first publication, published in the sense of paragraph 6(ii)	A	2
	Demande de certificat d'utilité	Application for certificate of utility	Utility certificate application, first publication, published in the sense of paragraph 6(ii)	A	3
	Demande de certificat d'addition à un certificat d'utilité	Application for a certificate of addition to a certificate of utility	Application for a certificate of addition to a utility certificate, first publication, published in the sense of paragraph 6(ii)	A	4
	Brevet d'invention	Patent of invention	Patent, first and only publication, published in the sense of paragraph 6(ii)	A	5
	Certificat d'addition à un brevet d'invention	Certificate of addition to a patent of invention	Certificate of addition to a patent, first and only publication, published in the sense of paragraph 6(ii)	A	6

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Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
France cont'd	Certificat d'utilité	Certificate of utility	Utility certificate, first and only publication, published in the sense of paragraph 6(ii)	A	7
	Certificat d'addition à un certificat d'utilité	Certificate of addition to a certificate of utility	Certificate of addition to a utility certificate, first and only publication, published in the sense of paragraph 6(ii)	A	8
	Brevet d'invention	Patent of invention	Patent, second publication, published in the sense of paragraph 6(ii)	B	1
	Certificat d'addition à un brevet d'invention	Certificate of addition to a patent of invention	Certificate of addition to a patent, second publication, published in the sense of paragraph 6(ii)	B	2
	Certificat d'utilité	Certificate of utility	Utility certificate, second publication, published in the sense of paragraph 6(ii)	B	3
	Certificat d'addition à un certificat d'utilité	Certificate of addition to a certificate of utility	Certificate of addition to a utility certificate, second publication, published in the sense of paragraph 6(ii)	B	4
	Brevet d'invention	Patent of invention	Patent (old law) published in the sense of paragraph 6(ii)	A	
	Certificat d'addition à un brevet d'invention	Certificate of addition to a patent of invention	Certificate of addition to a patent (old law) published in the sense of paragraph 6(ii)	E	
	Brevet spécial de médicament	Special patent for medicament	Medicament patent (old law) published in the sense of paragraph 6(ii)	M	
Certificat d'addition à un brevet spécial de médicament	Certificate of addition to a special patent for medicament	Certificate of addition to a medicament patent (old law) published in the sense of paragraph 6(ii)	M		
German Democratic Republic	Patentschrift (Ausschliessungspatent)	Patent specification (Exclusive Patent)	Exclusive Patent, granted in accordance with paragraph 5.1 of the Patent Amendment Act of the German Democratic Republic, published in the sense of paragraph 6(ii)	A	
	Patentschrift (Wirtschaftspatent)	Patent specification (Economic Patent)	Industrial Patent, granted in accordance with paragraph 5.1 of the Patent Amendment Act of the German Democratic Republic, published in the sense of paragraph 6(ii)	A	

Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
German Democratic Republic cont'd	Patentschrift (Aus-schliessungspatent)	Patent specification (Exclusive patent)	Exclusive patent granted in accordance with paragraph 29 of the Patent Act of the German Democratic Republic, (2nd publication after examination as to novelty whenever this examination is effected), published in the sense of paragraph 6(ii)	B	
	Patentschrift (Wirtschaftspatent)	Patent specification (Economic patent)	Industrial patent granted in accordance with paragraph 29 of the Patent Act of the German Democratic Republic (2nd publication after examination as to novelty whenever this examination is effected), published in the sense of paragraph 6(ii)	B	
	Berichtigte Patentschrift (Aus-schliessungspatent)	Corrected patent specification (Exclusive patent)	Corrected patent (Exclusive patent) published in the sense of paragraph 6(ii)	C	
	Berichtigte Patentschrift (Wirtschaftspatent)	Corrected patent specification (Economic patent)	Corrected patent (Industrial patent) published in the sense of paragraph 6(ii)	C	
Germany (Federal Republic of)	Offenlegungsschrift	Document open for inspection	Patent application published, before examination as to novelty, in the sense of paragraph 6(ii)	A	
			- 1st publication	A	1
			- 2nd publication. Modified reprint following A1 Offenlegungsschrift or B1 Auslegeschrift	A	2
	Auslegeschrift	Document laid open	- 3rd publication. Modified reprint following A2 Offenlegungsschrift or B2 Auslegeschrift	A	3
			Patent application published, after examination as to novelty, in the sense of paragraph 6(ii)	B	
			- 1st publication. Offenlegungsschrift not yet published	B	1
		- 2nd publication. Normally following an A1 Offenlegungsschrift or B1 Auslegeschrift	B	2	



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Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
Germany (Federal Republic of) cont'd.	Patentschrift	Patent specification	- 3rd publication. Following an A2 Offenlegungsschrift or B2 Auslegeschrift	B	3
			- 4th publication. Following an A3 Offenlegungsschrift or B3 Auslegeschrift	B	4
			Patent published in the sense of paragraph 6(ii)	C	
			- 1st publication. Offenlegungsschrift and Auslegeschrift not published	C	1
			- 2nd publication. Modified reprint normally following a B1 Auslegeschrift or C1 Patentschrift	C	2
			- 3rd publication. Normally following a B2 Auslegeschrift and an A1 Offenlegungsschrift or following a B2 Auslegeschrift with a preceding B1 Auslegeschrift as well	C	3
	- 4th publication. Following a B3 Auslegeschrift or C3 Patentschrift	C	4		
	- 5th publication. Following a B4 Auslegeschrift or a C4 Patentschrift	C	5		
Gebrauchsmuster	Utility model	Utility model published in the sense of paragraph 6(ii)	U		
Hungary	Közzétett szabadalmi bejelentés	Published patent application	Patent application published in the sense of paragraph 6(i)	A	
	Szabadalmi leírás	Patent specification	Patent published in the sense of paragraph 6(ii)	B	
India	Patent specification		Patent published in the sense of paragraph 6(ii)	A	
Ireland	Patent specification		Patent published in the sense of paragraph 6(ii)	A	
Italy	Brevetto per invenzione industriale	Patent for industrial invention	Patent published in the sense of paragraph 6(ii)	A	

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Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
Japan	公開特許公報 (Kokai tokkyo koho)	Preliminary publication of patent	Patent application published before examination as to novelty in the sense of paragraphs 6(i) and 6(ii)	A	
	特許公報 (Tokkyo koho)	Patent publication	Patent application published after examination as to novelty in the sense of paragraphs 6(i) and 6(ii)	B	
	公開実用新案公報 (Kokai jitsuyo shinan koho)	Preliminary publication of Utility Model	Utility model application published before examination as to novelty in the sense of paragraph 6(i)	U	
	実用新案公報 (Jitsuyo shinan koho)	Utility Model publication	Utility model application published after examination as to novelty in the sense of paragraphs 6(i) and 6(ii)	Y	
Luxembourg	Brevet d'invention	Patent of invention	Patent published in the sense of paragraph 6(ii)	A	
	Certificat d'addition à un brevet d'invention	Certificate of addition to a patent of invention	Certificate of addition to a patent published in the sense of paragraph 6(ii)	A	
Monaco	Brevet d'invention	Patent of invention	Patent published in the sense of paragraph 6(ii)	A	
Netherlands	Terinzagelegging	Patent application laid open	Patent application published in the sense of paragraphs 6(i) and 6(ii)	A	
	Openbaarmaking	Published patent application	Patent application published after examination in the sense of paragraphs 6(i) and 6(ii)	B	
	Octrooi	Patent	Patent published in the sense of paragraph 6(ii)	C	
Norway	Alment tilgjengelige patentsøknader (not marked on the document)	Patent application accessible to the public	Patent application published in the sense of paragraph 6(i)	A	
	Utlegningsskrift	Document laid open	Patent application published after examination as to novelty in the sense of paragraph 6(ii)	B	

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Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
Norway cont'd.	Patent	Patent	Patent published in the sense of paragraph 6(ii)	C	
Pakistan	Patent specification		Patent published in the sense of paragraph 6(ii)	A	
Poland	Opis patentowy Patentu tymczasowego	Description of patent	Patent application published in the sense of paragraph 6(i)	A	
			Patent published in the sense of paragraph 6(ii)	B	
Romania	Descrierea invenției	Description of the invention	Patent published in the sense of paragraph 6(ii)	A	
Soviet Union	О П И С А Н И Е ИЗОБРЕТЕНИЯ к П А Т Е Н Т У (Opisanie izobreteniya k patentu)  О П И С А Н И Е ИЗОБРЕТЕНИЯ к А В Т О Р С К О М У С В И Д Е Т Е Л С Т В У (Opisanie izobreteniya k avtorskomu svidetelstvu)	Description of the invention for a patent  Description of the invention for an author's certificate	Patent published in the sense of paragraph 6(ii)	A	
			Inventor's certificate published in the sense of paragraph 6(ii)	A	
Spain	Patente de invención	Patent of invention	Patent published in the sense of paragraph 6(i)	A	
	Patente de introducción	Patent of introduction	Patent of importation published in the sense of paragraph 6(i)	A	
	Certificado de adición	Certificate of addition	Certificate of addition published in the sense of paragraph 6(i)	A	
	Solicitud de Modelo de Utilidad	Application for a utility model	Utility Model Application published in the sense of paragraph 6(i)	U	
	Modelo de Utilidad	Utility Model	Utility Model published in the sense of paragraph 6(i)	Y	
Sweden	Allmänt tillgänglig patentansökan	Patent application accessible to the public	Patent Application published in the sense of paragraph 6(i)	A	
	Utläggningsskrift	Document laid open	Patent Application published after examination as to novelty in the sense of paragraphs 6(i) and 6(ii)	B	

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Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
Sweden cont'd.	Patentskrift	Patent document	Patent published in the sense of paragraph 6(ii)	C	
Switzerland	Auslegeschrift/Mémoire Exposé/Esposto Memoriale	Document laid open	Patent Application published after examination as to novelty in the sense of paragraphs 6(i) and 6(ii), and pertaining to the technical fields for which examination as to novelty is made, issued since 1959	A	4
	Patentschrift/Exposé d'invention/Esposto d'invenzione	Patent specification	Patent published in the sense of paragraph 6(ii) and pertaining to the technical fields for which no examination as to novelty is made, issued since 1959	A	5
	Patentschrift/Exposé d'invention/Esposto d'invenzione	Patent specification	Patent published in the sense of paragraph 6(ii) and pertaining to technical fields for which examination as to novelty is made, issued since 1959	B	5
	Patentschrift/Exposé d'invention/Esposto d'invenzione (Hauptpatent/Brevet principal/Brevetto principale)	Patent specification (Main patent)	Patent published in the sense of paragraph 6(i), issued from 1888 to 1959	A	
	Patentschrift/Exposé d'invention/Esposto d'invenzione (Zusatzpatent/Brevet additionnel/Brevetto addizionale)	Patent specification (Additional patent)	Patent of addition published in the sense of paragraph 6(ii), issued from 1907 to 1959	A	
	Patentschrift/Exposé d'invention/Esposto d'invenzione (Zusatzpatent/Brevet additionnel/Brevetto addizionale)	Patent specification (Additional patent)	Patent of addition published in the sense of paragraph 6(ii) in secondary series from 1888 to 1907	E	
United Kingdom	Patent Specification		Examined Patent Application published in the sense of paragraph 6(ii). Grant of letters Patent usually occurs 3 months after publication.	A	

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Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
United Kingdom (cont'd)	Amended Patent Specification		Amended Specification of a Granted Patent published in the sense of paragraph 6(ii)	B	
United States	Patent		Patent published in the sense of paragraph 6(i)	A	
	Reissue Patent		Patent reissued and republished in the sense of paragraph 6(ii)	E	
	Defensive Publication		Patent application published without examination or assertion as to novelty, in the sense of paragraph 6(i)	H	
	Defensive Publication		Patent document published in the sense of paragraph 5: Entry of an abstract of the application in the Official Gazette	H	
	Defensive Publication		Patent document published in the sense of paragraph 6(ii): Abstract of an application published in a discreet document form distinctively numbered in a numerical series unique to Defensive Publications	H	
Yugoslavia	Patentni spis	Patent specification	Accepted Patent Application published in the sense of paragraph 6(i)	A	
			Patent published in the sense of paragraph 6(ii)	B	

[Annex D follows]

WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau



INTERNATIONAL PUBLICATION  
under the Patent Cooperation Treaty  
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(51) International Patent Classification :

B27B 33/02

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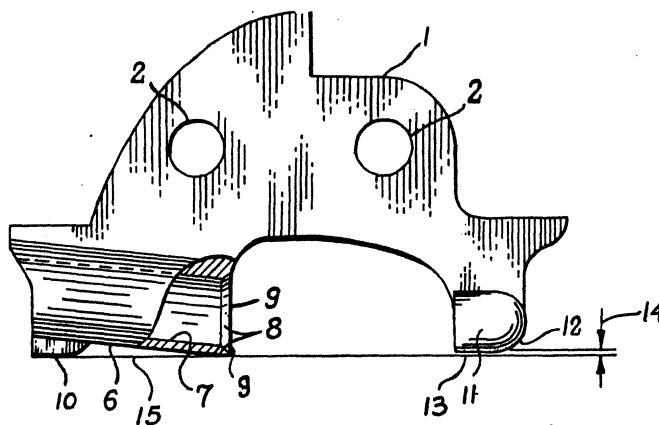
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nal patent), CS (inventor's certifi-  
cate), DT (regional patent), ET, FR  
(regional patent), GB (regional pa-  
tent), HU, IT (regional patent), JA  
(utility model), SU (inventor's cer-  
tificate), SW (regional patent), US.

(54) Title : CUTTING SECTION FOR CHAIN SAWS



(57) Abstract

A chain saw device, comprising a cutting tooth having a planar base plate (1) with an aperture (2) therein for attachment to a power-driven chain. A pilot block (11) depends from the leading edge of the plate and a cylindrical member (6) from the trailing edge of the plate with its longitudinal axis inclined upwardly and rearwardly. The cylindrical member has a sharpened, arcuate, forward edge (9) for cutting a kerf. A bore (7) extends through the cylindrical member for passage of chips therethrough and a heel portion (10) follows the forward cutting edge (9) for engaging and finishing the kerf. The chain saw device, while particularly designed for use in cutting wood, is also adapted for cutting minerals and other materials.

INFORMATION FROM PAMPHLET FRONT PAGE TO BE INCLUDED IN THE GAZETTE  
UNDER RULE 86.1(i)

The following information shall be extracted from the front page of the pamphlet of each published international application and shall, in accordance with rule 86.1(i), appear in the corresponding entry of the Gazette:

1. As to the international publication:
  - 1.1 the international publication number
  - 1.2 the date of the international publication
  - 1.3 an indication whether the following items were published in the pamphlet:
    - 1.31 international search report
    - 1.32 declaration under Article 17(2)
    - 1.33 amended claims
    - 1.34 statement under Article 19(1)
    - 1.35 the essence of the comments by the applicant on the translation of the international application as referred to in Rule 48.3(b).
2. as to the international application:
  - 2.1 the title of the invention
  - 2.2 the symbol(s) of the International Patent Classification (IPC)
  - 2.3 the international application number
  - 2.4 the international filing date
3. as to any priority claim:
  - 3.1 the application number of the earlier application
  - 3.2 the date of the earlier application
  - 3.3 the country in or for which the earlier application was filed
4. as to the applicant, inventor and agent:
  - 4.1 their name(s)
  - 4.2 their mailing address(es)
5. as to the designated and elected States:
  - 5.1 their names
  - 5.2 the indication of any wish for a regional patent
  - 5.3 the indication of kind of protection sought, unless patent is sought.

[Annex F follows]

\* This Annex will be revised in accordance with the final decision taken by the Interim Committee with respect to the Guidelines on Publication under the PCT (see document PCT/AAQ/VII/4).

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UNDER RULE 86.1(v)

1. The time limits applicable under Articles 22 and 39 in respect of each Contracting State.
2. The list of the non-patent literature agreed upon by the International Searching Authorities for inclusion in the minimum documentation.
3. The names of the national Offices which do not wish to receive copies under Article 13(2)(c).
4. The provisions of the national laws of Contracting States concerning international-type search.
5. The text of the agreements entered into between the International Bureau and the International Searching Authorities or the International Preliminary Examining Authorities.
6. The names of the national Offices which entirely or in part waived their rights to any communication under Article 20.
7. The names of the Contracting States which are bound by Chapter II of the PCT.
8. Listing of international publication numbers grouped according to receiving Offices.
9. Listing of international publication numbers grouped according to IPC classification symbols.
10. Listing of international publication numbers grouped according to countries designated.
11. Indication of any subject matter that will not be searched or examined by the various International Searching and Preliminary Examining Authorities under Rules 39 and 67.

[Annex G follows]

\* This Annex will be revised in accordance with the final decision taken by the Interim Committee with respect to the Guidelines on Publication under the PCT (see document PCT/AAQ/VII/4).



FORMS

[To be proposed later. See paragraph 6 of the Introduction  
of the present document]

[End of document]