

## PCT LEGAL TEXT INDEX

(including references to the Articles, Rules, Administrative Instructions,  
Forms and various PCT Guidelines)

(applicable to legal texts in force as of July 1, 2015)

Acronym/Term	Meaning
AI Sec. ....	Section of the Administrative Instructions under the PCT
AI Annex ....	Annex to the Administrative Instructions under the PCT
AI Part 8 ....	Part 8 of the Administrative Instructions
AIs ....	Administrative Instructions under the PCT
Annex ....	Annex to the International Phase of the <i>PCT Applicant's Guide</i>
Art. ....	Article of the Patent Cooperation Treaty
Chapter ....	Chapter of the Patent Cooperation Treaty
CRep ....	Common representative
Dem. ....	Demand (Form IPEA/401)
DG ....	Director General
DO ....	Designated Office
E-filing ....	Electronic filing
EO ....	Elected Office
Fees ....	Schedule of Fees
Gaz. ....	Official Notices ( <i>PCT Gazette</i> )
Guide ....	<i>PCT Applicant's Guide</i>
IA ....	International application
IB ....	International Bureau
IFD ....	International filing date
IGO ....	Intergovernmental organization
International Phase ....	International Phase of the <i>PCT Applicant's Guide</i>
IPE ....	International preliminary examination
IPEA ....	International Preliminary Examining Authority
IPRP (Ch.I) ....	International Preliminary Report on Patentability prepared by the ISA
IPRP (Ch.II) ....	International Preliminary Report on Patentability prepared by the IPEA
IS ....	International search
ISA ....	International Searching Authority
ISPEG ....	PCT International Search and Preliminary Examination Guidelines
ISR ....	International search report
NGO ....	Non-governmental organization
Paris ....	Paris Convention for the Protection of Industrial Property
PCT ....	Patent Cooperation Treaty
PCT-SAFE ....	PCT electronic filing software
Preamble ....	Preamble of the PCT
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RC ....	Record copy
Reg. ....	Regulations under the PCT
Req. ....	Request (Form RO/101)
RO ....	Receiving Office
ROG ....	PCT Receiving Office Guidelines
SC ....	Search copy
SISA ....	International Searching Authority specified for supplementary search
SISR ....	Supplementary international search report
SL ....	Sequence listing
Stand. ....	WIPO Standard
Treaty ....	Patent Cooperation Treaty
WO-ISA ....	Written Opinion of the ISA

LIST OF SUBJECTS IN PCT LEGAL TEXT INDEX

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- F-
- FACSIMILE

<p>FEE(S)  FILE  FILE REFERENCE  FILING DATE  FINAL PROVISIONS  FINANCES (OF UNION OF PCT STATES)  FINANCIAL  FLOW SHEETS  FORM(S)  FORMAT  FORMULA(E)  FRONT PAGE OF INTERNATIONAL PUBLICATION</p> <p><b>-G-</b></p> <p>GAMES  GAZETTE, PCT  GENERAL POWER OF ATTORNEY  GRADUAL APPLICATION  GUIDELINES</p> <p><b>-H-</b></p> <p>HANDLING FEE  HEADING(S)  HOME COPY (OF IA)</p> <p><b>-I-</b></p> <p>IDENTIFICATION  ILLUSTRATION(S)  INDICATIONS  INDUSTRIAL APPLICABILITY  INDUSTRIAL ESTABLISHMENT  INFORMATION  INFORMATION SERVICES  INSTRUCTIONS, ADMINISTRATIVE  INSTRUMENTS OF ACCESSION OR RATIFICATION  INTELLECTUAL PROPERTY  INTERGOVERNMENTAL ORGANIZATION(S)  INTERNATIONAL AUTHORITY  INTERNATIONAL APPLICATION (IA)  INTERNATIONAL BUREAU (IB)  INTERNATIONAL COURT OF JUSTICE  INTERNATIONAL FILING DATE  INTERNATIONAL FILING FEE  INTERNATIONAL PATENT CLASSIFICATION (IPC)  INTERNATIONAL PATENT COOPERATION UNION  INTERNATIONAL PRELIMINARY EXAMINATION (IPE)  INTERNATIONAL PRELIMINARY EXAMINING  AUTHORITY (IPEA)  INTERNATIONAL PRELIMINARY REPORT ON  PATENTABILITY (IPRP) CHAPTER I (Ch.I)  INTERNATIONAL PRELIMINARY REPORT ON  PATENTABILITY (IPRP) CHAPTER II (Ch.II)  INTERNATIONAL PUBLICATION  INTERNATIONAL SEARCH  INTERNATIONAL SEARCH FEE  INTERNATIONAL SEARCH REPORT (ISR)  INTERNATIONAL SEARCHING AUTHORITY (ISA)  INTERNATIONAL SEARCHING AUTHORITY SPECIFIED FOR  SUPPLEMENTARY SEARCH (SISA)  INTERNATIONAL-TYPE SEARCH  INTERPRETATION  INTERRUPTION OF MAIL SERVICE  INVENTION, TITLE  INVENTION, UNITY OF  INVENTIVE STEP  INVENTOR(S)  INVENTOR'S CERTIFICATE (OF ADDITION)  INVITATION  IRREGULARITIES</p> <p><b>-K-</b></p> <p>KEEPING OF RECORDS AND FILES  KIND(S) OF PROTECTION</p> <p><b>-L-</b></p> <p>LACK OF UNITY OF INVENTION</p>	<p>LANGUAGE(S)  LATER ELECTION(S)  LATER INDICATION  LATER SUBMITTED SHEETS, RO PROCEDURE  LEGAL ENTITY  LETTER(S)  LISTINGS, SEQUENCE  LOSS</p> <p><b>-M-</b></p> <p>MAIL  MAINTAINING OF EFFECT  MAIN INVENTION  MAJORITY  MARGIN(S)  MARKING, SHEETS OF IA  MATHEMATICAL  MEASURES  MENTAL ACTS  MICROBIOLOGICAL INVENTIONS  MICROORGANISMS  MINIMUM DOCUMENTATION  MISSING  MISTAKES  MODELS  MODIFICATION  MONTH(S)  MORALITY  MULTIPLE DEPENDENT CLAIM</p> <p><b>-N-</b></p> <p>NAME  NATIONAL APPLICATION  NATIONAL EXAMINATION  NATIONAL FEE  NATIONAL LAW  NATIONAL OFFICE  NATIONAL PATENT  NATIONAL PHASE  NATIONAL PROCESSING  NATIONAL REQUIREMENTS  NATIONAL SECURITY  NATIONALITY  NATIONAL(S)  NEW MATTER  NOMENCLATURE  NON-OBVIOUS(NESS)  NON-WRITTEN DISCLOSURE  NON-PREJUDICIAL DISCLOSURE  NOTE(S)  NOTICE(S)  NOTIFICATION(S)  NOVELTY  NUCLEOTIDE AND/OR AMINO ACID SEQUENCE LISTINGS  NUMBER  NUMBERING</p> <p><b>-O-</b></p> <p>OBSERVATIONS  OBSERVERS  OBVIOUS MISTAKES IN DOCUMENTS  OBVIOUSNESS/NON-OBVIOUSNESS  OFFICE  OFFICIAL  OPINION  OPPORTUNITY  ORAL COMMUNICATION  ORGANIZATION</p> <p><b>-P-</b></p> <p>PARENT  PARIS CONVENTION  PATENT  PATENT COOPERATION TREATY (PCT)  PATENT INFORMATION SERVICES  PATENT OF ADDITION</p>
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PATENTABILITY  
PCT-SAFE  
PERIODS OF TIME  
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PRACTICE BEFORE INTERNATIONAL AUTHORITIES  
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PRELIMINARY EXAMINING AUTHORITY  
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PURPORTED

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QUALITY FRAMEWORK  
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RECORD COPY  
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REPLACEMENT  
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REPUBLICATION  
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RESIDENT(S)  
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SCHEDULE OF FEES  
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SECRETARIAT  
SECURITY  
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TYPING

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UNITY OF INVENTION  
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UTILITY MODEL

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VOTE

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WAIVER  
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**PRACTICE BEFORE INTERNATIONAL AUTHORITIES**

See RIGHT TO PRACTICE

**PRELIMINARY EXAMINATION (INTERNATIONAL)**

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**PRELIMINARY EXAMINING AUTHORITY**

See INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

**PRESCRIBED**

language of IA ..... Art. 3(4)(ii), R. 12, ROG 55-71

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**Subject****Paragraph**

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FEES

**PRIOR ART**

prior art for IPE purposes ..... Art. 33 (2), (3), R. 64, 70.9, 70.10, ISPEG 11.01-11.26  
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INTERNATIONAL SEARCH  
INTERNATIONAL SEARCH REPORT (ISR)  
MINIMUM DOCUMENTATION  
NOVELTY

**PRIORITY APPLICATION**

DO/EO may require proof of applicants entitlement to claim priority where applicant is not applicant of priority application or where applicant's name has changed since filing of priority application ..... R. 51bis.1(a)(iii)  
filing date of priority application as relevant date for prior art for IPE ..... Art. 33(2), (3), R. 64.1(b)(ii), 64.1(b)(iii), 64.3  
indications as to priority application in  
notification of IA number and IFD ..... R. 20.2(c), AI Sec. 324, Form RO/105  
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**PRIORITY CLAIM**

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IB ..... R. 4.10, 26bis.1, 26bis.2(a), Form IB/316  
RO ..... R. 4.10, 26bis.1, 26bis.2(a), Form RO/110, ROG 167  
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made after the expiration of the time limit under Rule 26bis.1 ..... ROG 176-177, RO/111  
declaration(s) in Req.  
as to applicant's entitlement, as at IFD, to claim priority of earlier application ..... Art. 27, R. 4.1(c)(iii), 4.17(iii), 51bis.1(a)(iii), AI Sec. 213  
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evidence concerning entitlement to claim priority of earlier application may be required in national phase ..... Art. 27(6), R. 51bis.1(a)(iii)  
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IB ..... R. 26bis.1, 26bis.2, AI Sec. 409, Form IB/318  
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publication of information concerning priority claim ..... R. 26bis.2(d), (e)  
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publication of priority claim in

<b>Subject</b>	<b>Paragraph</b>
Gaz. ....	R. 86.1(i), AI Annex D (item 3)
international publication .....	R. 48.2(a)
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by DO.....	R. 49ter.2
criterion (“due care” or “unintentionality”) applied .....	R. 49ter.2(a)
by RO.....	R. 4.1(c)(v), 26bis.3, Forms RO/110, RO/118, RO/158, RO/159, ROG 166A-166I
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translation and time limit to furnish.....	Art. 39, R. 76.4
IB	
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generally.....	R. 66.7, ISPEG 6.17
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RO	
notification of date of receipt of priority document or of priority application number .....	AI Sec. 323(a), (b), (c), Form RO/135
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<b>Subject</b>	<b>Paragraph</b>
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“telescoped” procedure(s) (overlapping IS and IPE) .....	R. 69.1(b), ISPEG 19.07

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Executive Committee ensures due execution of program of the union .....	Art. 54(6)(a)(v)
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See KIND(S) OF PROTECTION	
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## **PROTEST (AGAINST PAYMENT OF ADDITIONAL FEES AFTER FINDING LACK OF UNITY OF INVENTION)**

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transmittal by IB to DO/EO, upon request of applicant, texts of protest (against payment of additional fees after finding lack of unity of invention) and decision thereon .....	R. 40.2 (c), AI Sec. 403, Forms ISA/212, IPEA/420
protest (against payment of additional fees after finding lack of unity of invention) before IPEA .....	R. 68.3(c), (e), AI Sec. 603, Form IPEA/420
invitation to pay protest (against payment of additional fees after finding lack of unity of invention) fee.....	R. 68.3(e), Form IPEA/437
notification of decision on protest (against payment of additional fees after finding lack of unity of invention) .....	R. 68.3(c), (e), AI Sec. 603, Form IPEA/420
transmittal by IPEA to applicant of decision on protest (against payment of additional fees after finding lack of unity of invention) .....	R. 68.3(c), AI Sec. 603
IB, copy of protest (against payment of additional fees after finding lack of unity of invention) and decision thereon .....	R. 68.3(c), AI Sec. 603
EOs, upon request of applicant, of texts of protest (against payment of additional fees after finding lack of unity of invention) and decision thereon .....	R. 68.3(c), AI Sec. 603
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## **PUBLIC ORDER**

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**Subject** **Paragraph**

**PUBLICATION**

communication of PCT publications free of charge to  
ISAs, IPEAs and national Offices ..... R. 87, AI Sec. 435  
See GAZETTE  
INTERNATIONAL PUBLICATION

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purported amendment under Art. 19 received by IPEA after  
time limit (treated as amendment under Art. 34)..... AI Sec. 602(c)  
purported IA  
before RO  
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failure to correct and notification that purported  
IA is not and will not be treated as IA..... R. 20.4(i), Form RO/104  
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missing drawings relating to ..... AI Sec. 308*bis*, 309, 310, ROG 193-203  
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RO keeps papers constituting ..... R. 20.4(iii), 93.1  
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file to purported DO(s) for review under Art. 25 ..... Art. 25(1), R. 51.2  
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**-Q-**

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**-R-**

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instrument of ratify/ratification  
DG to notify Governments of all Paris States  
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electronic receipt (of IA by RO) ..... AI Sec. 704(a)  
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IA ..... AI Sec. 324, Form RO/105, ROG 44  
purported IA ..... AI Sec. 301, Forms RO/125, RO 199 (RO/IB), ROG 36  
RC ..... R. 24.2(a), Form IB/301  
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See FACSIMILE

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**Subject** **Paragraph**

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IFD accorded by receiving office (RO) ..... Art. 11(1)  
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receiving office (RO) ..... R. 82ter  
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ISA ..... R. 43.6bis, 91.1(b)(ii), (b)(iv), AI Sec. 511, Forms ISA/216, ISA/217, ISPEG 8.07-8.08  
RO ..... R. 91.1(b)(i), (b)(iv), AI Sec. 325, Forms RO/108, RO/109, ROG Chapter XV  
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rectification ..... R. 91.3, Forms RO/109, IB/315, ISA/217, IPEA/412  
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by IPEA for handling fee and IPE fee ..... AI Sec. 613

<b>Subject</b>	<b>Paragraph</b>
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Dem. considered under R. 54.4 not to have been submitted.....	R. 57.4(ii)
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IA not treated as such due to prescriptions concerning national security.....	R. 15.4(iii), Form RO/119, ROG 268
no IFD accorded.....	R. 15.4(i), Form RO/119, ROG 268
by non-competent RO (R. 19.4).....	ROG 276
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RO where	
IA (considered) withdrawn before transmittal of SC to ISA.....	R. 16.2(ii), AI Sec. 326(c), Form RO/119, ROG 269
IA not treated as such due to prescriptions concerning national security.....	R. 16.2(iii), AI Sec. 322, Form RO/119, ROG 269
no IFD accorded.....	R. 16.2(i), Form RO/119, ROG 269

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Regulations under the PCT provide for establishment of A.I by DG.....	Art. 58(4)

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See REFUND

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Subject	Paragraph
Art. 39 .....	R. 76.5, Guide National Phase, National Chapters

## REJECTION

DO must give applicant opportunity to correct before rejection of IA .....	Art. 26
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## RENUMBERING, SHEETS OF IA

See ADDITION OF SHEETS TO IA	
CORRECTION(S)	
DELETION	
PHYSICAL REQUIREMENTS	
SHEETS	

## RENUNCIATION (OF APPOINTMENT)

generally (of appointment by agent or CRep) .....	R. 90.6(d)
manner of renunciation .....	R. 90.4 (b), (c), 90.6(e)
notification concerning renunciation and request to record change sent by	
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ISA to IB .....	AI Sec. 512
IPEA to IB .....	AI Sec. 608
RO to IB and ISA .....	R. 90, AI Sec. 328, Form RO/123

## REPLACEMENT

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IB	
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of defects under Art. 3(4)(i) .....	Art. 3(4)(i), R. 26.3ter
of expressions, etc. not to be used .....	R. 9.2, AI Sec. 413(b)
or addition of declaration(s) relating to national requirements as replacement sheets .	Art. 27, R. 4.17, 26ter.1, AI Sec. 216
rectification of obvious mistake as replacement sheets .....	R. 91.1, AI Sec. 413(b), 413bis
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IPEA	
amendments in form of replacement sheets .....	R. 66.8
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ISA	
SL sheets .....	R. 13ter.1(f), AI Sec. 513(a)
RO	
correction	
of defects under Art. 14(1) .....	Art. 14(1), R. 26.4, AI Sec. 325, ROG 157, 208, 209, 214-216, 225, 231
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of expressions, etc. not to be used .....	R. 9.2, AI Sec. 325(c), ROG 211, 214-216
or addition of declaration(s) relating to national requirements as replacement sheets (erroneously to RO) .....	Art. 27, R. 4.17, 26ter.1, AI Sec. 216, 317
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**Subject****Paragraph**

replacement sheets submitted together with request  
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See ADDITION OF SHEETS TO IA

CORRECTION(S)  
DEFECTS  
DELETION  
NUMBERING  
SHEETS

**REPORT**

See INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY (Ch.I)  
INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY (Ch.II)  
INTERNATIONAL SEARCH REPORT (ISR)

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ATTORNEY  
COMMON REPRESENTATIVE  
RENUNCIATION (OF APPOINTMENT)  
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commencing on separate sheet ..... Art. 3(2), R. 11.4, AI Sec. 207, Form RO/101  
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*ex officio* correction of request by  
IB ..... AI Sec. 416  
RO..... AI Sec. 327, Form RO/146  
deletion of additional matter in request ..... R. 4.19, AI Sec. 303  
language..... R. 12.1(c), ROG 59  
invitation to correct..... Art. 3(4)(i), 14(1), R. 26.1, 28.1, Forms IB/313, RO/106, ROG 59-65  
presented as computer print-out in format other  
than determined in AI Sec. 102(h) ..... R. 3.4, AI Sec. 102(i)  
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ISA ..... Art. 49, R. 83.2, Form ISA/214  
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request for production of proof of right to practice  
(from IB) ..... Art. 49, R. 83.1, Form IB/323  
request for recording of a change by  
applicant..... R. 92*bis*.1(a), AI Sec. 422*bis*, ROG 309-313  
RO..... R. 92*bis*.1(a), AI Sec. 422*bis*, Form RO/113, ROG 312, 313  
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listing ..... R. 13*ter*.2  
statement of incorporation by reference ..... R. 4.1(c)(iv), 4.18  
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DESIGNATION(S) (OF STATES)

**REQUIREMENT(S)**

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IPEA..... Art. 32(3), R. 63.1  
ISA ..... Art. 16(3)(c), R. 36.1

**Subject****Paragraph**

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 RO requirement(s) for e-filing to be notified to IB ..... AI Sec. 703, 710  
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**RESERVATIONS (TO TREATY)**

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**RESIDENCE**

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 IB ..... Art. 31(3), R. 60.1(e), Form IB/336  
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**Subject** **Paragraph**

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calendar year(s)

Assembly to meet every second year(s).....	Art. 53(11)(a)
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<b>Subject</b>	<b>Paragraph</b>
computation of periods expressed in year(s).....	R. 80.1
financial year(s)	
paying of contributions in case of financial year(s)	
closing with deficit.....	Art. 57(5)(a)