



WORLD INTELLECTUAL PROPERTY ORGANIZATION
ORGANISATION MONDIALE DE LA PROPRIÉTÉ INTELLECTUELLE
GENEVA/GENÈVE

ADMINISTRATIVE INSTRUCTIONS UNDER THE
PATENT COOPERATION TREATY (PCT)
STANDARD FOR THE ELECTRONIC FILING AND PROCESSING
OF INTERNATIONAL APPLICATIONS

INSTRUCTIONS ADMINISTRATIVES DU
TRAITÉ DE COOPÉRATION EN MATIÈRE DE BREVETS (PCT)
NORME CONCERNANT LE DÉPÔT ET LE TRAITEMENT ÉLECTRONIQUES
DES DEMANDES INTERNATIONALES

PROPOSAL FOR CHANGE FILE DOSSIER RELATIF À LA PROPOSITION DE MODIFICATION			
SUBJECT: Package Header (Annex F, Appendix I, section 4.1) SUJET : L'en-tête du paquet (Annexe F, Appendice I, section 4.1)		PROPOSED BY: JP PROPOSÉE PAR :	
HANDLING: Annual cycle TRAITEMENT : Cycle annuel		PROPOSED DATE OF ENTRY INTO FORCE: 03.03 DATE PROPOSÉE D'ENTRÉE EN VIGUEUR :	
ANNEX/ ANNEXE	CONTENT/CONTENU	ORIGIN/ ORIGINE	DATE
1	Proposal/Proposition	JP	28.02.02
2	Circular C. PCT 830/Circulaire C. PCT 830	IB	04.04.02
3	Comments/Commentaires	AU	09.05.02
4	Comments/Commentaires	US	15.05.02
5	Comments/Commentaires	KR	17.05.02
6	Revised proposal/Proposition révisée	JP	31.05.02
7	Comments/Commentaires	EP, JP, US	01.07.02

[Annex 1 follows/
L'annexe 1 suit]

NEXT ACTION: Promulgation		BY: March 2003	
PROCHAINE ACTION : Promulgation		POUR LE : Mars 2003	

ANNEX 1/ANNEXE 1

PROPOSAL BY THE JAPAN PATENT OFFICE

DTD of pkgheader

```

<?xml version='1.0' encoding='UTF-8' ?>
<!--
*****
*   pkgheader      2002 march                               *
*****

Root element, pkgheader

Attributes:
  lang          = language of application - use ISO639 language code
  dtd-version    = dtd version number
  file          = filename of the whole application
  status        = status of the application;
                  values: n = new application
-->
<!ELEMENT pkgheader (wad-message-digest , transmittal-info , ip-type
                    , application-software? , transmission-type? , payment?)>

<!ATTLIST pkgheader  lang          CDATA  #REQUIRED
                     dtd-version  CDATA  #IMPLIED
                     file         CDATA  #IMPLIED
                     status       CDATA  #IMPLIED>

<!--
  credit card used as payment method
-->
<!ELEMENT credit-card EMPTY>

<!ATTLIST credit-card  number      CDATA  #REQUIRED
                       expires     CDATA  #REQUIRED
                       name        CDATA  #IMPLIED
                       postal-code CDATA  #IMPLIED >

<!--
  deposit account information
-->
<!ELEMENT account EMPTY>

<!ATTLIST account  number      CDATA  #REQUIRED
                   account-type CDATA  #REQUIRED
                   name        CDATA  #IMPLIED >

<!--
  total amount of fees due
-->
<!ELEMENT fee-total EMPTY>

<!ATTLIST fee-total  amount CDATA  #REQUIRED >
<!--
  amount due
-->
<!ELEMENT fee EMPTY>

<!ATTLIST fee  fee-code CDATA  #REQUIRED
              amount  CDATA  #REQUIRED
              quantity CDATA  #IMPLIED
              currency CDATA  #REQUIRED >

<!--
  application reference information: application number, country
-->
<!ELEMENT application-reference (document-id)>

<!ATTLIST application-reference  appl-type CDATA  #REQUIRED >
<!--

```

```
Document identification refers to patents (and patent
applications) only. See WIPO ST.14
-->
<!ELEMENT document-id (country , doc-number , kind? , name? , date?)>

<!ATTLIST document-id lang CDATA #IMPLIED >
<!--
reference to an appealed application
-->
<!ELEMENT appeal-reference (doc-number , date?)>

<!ATTLIST appeal-reference appeal-type CDATA #REQUIRED >
<!--
name: if no distinction or detail can be given.
Also to be used for: personal (natural person) and corporate
(legal entity) names
-->
<!ELEMENT name (#PCDATA)>

<!ATTLIST name name-type (legal | natural ) #IMPLIED >
<!--
Title of the Invention: preferably two to seven words when
in English or translated into English and precise. (Rule 4.3)

Recommended id = 'invt'
-->
<!ELEMENT invention-title (#PCDATA | b | i | u | sup | sub)*>

<!ATTLIST invention-title id ID #IMPLIED
lang CDATA #IMPLIED >
<!--
underscore: style - single is default
-->
<!ELEMENT u (#PCDATA | b | i | smallcaps)*>

<!ATTLIST u style (single | double | dash | dots ) 'single'>
<!--
Wrapped Application Documents message digest
-->
<!ELEMENT wad-message-digest (#PCDATA)>

<!--
payment method
-->
<!ELEMENT payment (fee+ , fee-total , (account | credit-card | other-method))>

<!--
other payment method. Specify
-->
<!ELEMENT other-method (#PCDATA)>

<!--
transmission type; e.g., submission or dispatch, etc.
-->
<!ELEMENT transmission-type (#PCDATA)>

<!--
the software used to generate the XML document instance
-->
<!ELEMENT application-software (software-name , software-version
, software-message?)>

<!--
any message (e.g., parser response text) returned by
the software used to create the document
-->
<!ELEMENT software-message (#PCDATA)>
```

[illegible]

```
    patent reference information: patent number, date, etc
-->
<!ELEMENT patent-reference (document-id)>

<!--
    document kind code; e.g. A1
-->
<!ELEMENT kind (#PCDATA)>

<!--
    date: components of a date.  Format: YYYYMMDD
-->
<!ELEMENT date (#PCDATA)>

<!--
    the number of the referenced patent (or application) document
-->
<!ELEMENT doc-number (#PCDATA)>

<!--
    confirmation number from office
-->
<!ELEMENT confirmation-number (#PCDATA)>

<!--
    new application information from applicant to office
-->
<!ELEMENT new-application (invention-title? , first-named-applicant?
                           , file-reference-id? , document-code* , to)>

<!--
    the office that receives the document
-->
<!ELEMENT to (country)>

<!--
    Country: use ST.3 country code, e.g. DE, FR, GB, NL, etc.
    Also includes EP, WO
-->
<!ELEMENT country (#PCDATA)>

<!--
    for reference to non-PCT document from national office;
    code defined by national office
-->
<!ELEMENT document-code (#PCDATA)>

<!--
    applicant's or agent's file reference, if desired,
    12 characters maximum
-->
<!ELEMENT file-reference-id (#PCDATA)>

<!--
    first applicant name in applicant group
-->
<!ELEMENT first-named-applicant ((name | (prefix? , last-name , first-name
                                         , middle-name? , suffix? , iid? , role?
                                         , orgname? , department? , synonym*))
                                , registered-number?)>

<!--
    registered number
-->
<!ELEMENT registered-number (#PCDATA)>

<!--
    synonym
```

```
-->
<!ELEMENT synonym (#PCDATA)>

<!--
    department, division, section, etc. name
-->
<!ELEMENT department (#PCDATA)>

<!--
    organisation name or company name
-->
<!ELEMENT orgname (#PCDATA)>

<!--
    role, e.g. President, Chairman, etc.
-->
<!ELEMENT role (#PCDATA)>

<!--
    individual id
-->
<!ELEMENT iid (#PCDATA)>

<!--
    name suffix (e.g., II, Jr., Dip., Ing., BA, etc.)
-->
<!ELEMENT suffix (#PCDATA)>

<!--
    middle name(s) or initial(s)
-->
<!ELEMENT middle-name (#PCDATA)>

<!--
    First or given name(s), initial(s)
-->
<!ELEMENT first-name (#PCDATA)>

<!--
    last, family, surname
-->
<!ELEMENT last-name (#PCDATA)>

<!--
    title: e.g., Mr., Mrs., Dr. etc
-->
<!ELEMENT prefix (#PCDATA)>

<!--
    subscripted text
-->
<!ELEMENT sub (#PCDATA | b | u | i)*>

<!--
    superscripted text
-->
<!ELEMENT sup (#PCDATA | b | u | i)*>

<!--
    br - break, line break within a paragraph
-->
<!ELEMENT br EMPTY>

<!--
    bold formatting for text
-->
<!ELEMENT b (#PCDATA | i | u | smallcaps | br)*>
```

```
<!--
  italic formatting for text
-->
<!ELEMENT i (#PCDATA | b | u | smallcaps | br)*>

<!--
  small capitals
-->
<!ELEMENT smallcaps (#PCDATA | b | u | i | br)*>

<!--JPO proposal
JPO proposes addingother-filing.
other-fifing: "other-filing" is used when submitting documents other than
application.
-->
<!ELEMENT other-filing (applicant-info?, receipt-number*) >

<!--JPO proposal
JPO proposes adding notice-info.
-->
<!ELEMENT notice-info (responce-term?,applicant-agent-info,
                      reason-for-rejection-info?,drafting-document-info?) >

<!--JPO proposal
JPO proposes adding responce-term.
Reason:Now, JPO provides the applicant with the response term of invitation.
-->
<!ELEMENT responce-term EMPTY >

<!--JPO proposal
DIVISION:Discernment of month or day
-->
<!ATTLIST responce-term
          division CDATA #REQUIRED
          term CDATA #REQUIRED >

<!--JPO proposal
JPO proposes adding applicant-agent-info.
Reason:The Japanese applicant is demanding the notice of the name and
registerd-number of all applicants and agents.
-->
<!ELEMENT applicant-agent-info (applicant-info+,agent-info*) >
<!ELEMENT applicant-info ((name | (prefix? , last-name , first-name
, middle-name? , suffix? , iid? , role?
, orgname? , department? , synonym*))
, registered-number?)>
<!ELEMENT agent-info ((name | (prefix? , last-name , first-name
, middle-name? , suffix? , iid? , role?
, orgname? , department? , synonym*))
, registered-number?)>

<!--JPO proposal
JPO proposes adding reason-for-rejection-info.
Reason:The Japanese applicant is demanding the notice of the code of reason
for rejection.
-->
<!ELEMENT reason-for-rejection-info (code,details) >
<!ELEMENT code (#PCDATA) >
<!ELEMENT details (#PCDATA) >

<!--JPO proposal
JPO proposes adding drafting-document-info.
Reason:Now, JPO has notified the applicant of the document number and
document code of the object to draft
-->
<!ELEMENT drafting-document-info (document-code?,( receipt-number |
```

```
dispatch-number)) >
<!ELEMENT receipt-number      (#PCDATA)          >
<!ELEMENT dispatch-number     (#PCDATA)          >

<!--JPO proposal
JPO proposes adding request-for-dispatch-info.
Reason:Now, Now, JPO has notified the applicant of the number of cases
for notice, before dispatch.
-->
<!ELEMENT request-for-dispatch-info (url?,total-number-of-notifications?,number-
of-notifications?,
size-of-notifications?)          >
<!ELEMENT url                    (#PCDATA)          >
<!-- The total number of cases which is ready for the notice -->
<!ELEMENT total-number-of-notifications (#PCDATA)          >
<!-- The number of cases actually notified -->
<!ELEMENT number-of-notifications (#PCDATA)          >
<!-- Size of the documents actually notified -->
<!ELEMENT size-of-notifications (#PCDATA)          >
```

[Annex 2 follows/
L'annexe 2 suit]

April 4, 2002

Madam,
Sir,

*Standard for the electronic filing and processing of
international applications: Proposals for change*

Proposed modifications of the Administrative Instructions under the PCT

1. This circular concerns proposals for change to the standard for the electronic filing and processing of international applications under the Patent Cooperation Treaty (PCT) which will, if adopted, result in modifications of Part 7 and Annex F of the Administrative Instructions under the PCT. It is being sent, for the purposes of consultation pursuant to Rule 89.2(b) of the Regulations under the PCT, to the national and regional patent Offices of, or acting for, all PCT Contracting States, including all receiving Offices, International Searching Authorities, International Preliminary Examining Authorities, and designated and elected Offices, and to interested intergovernmental organizations, as well as to certain non-governmental organizations representing users of the PCT system.

2. The International Bureau has received a number of proposals for change to the standard for the electronic filing and processing of international applications which, if adopted, would result in modifications of Annex F of the Administrative Instructions under the PCT, together with related proposals for amendment to certain provisions of Part 7 of the Administrative Instructions.

3. The proposals are available on WIPO's Web site (see http://www.wipo.int/pct/efiling_standard/en) as annexes to the following "Proposal for Change" (PFC) files:

- PCT/EF/PFC 02/001 relating to Part 7, Section 709 "Means of Communication" (proposal by the Japan Patent Office);
- PCT/EF/PFC 02/002 relating to Annex F, section 4 "IA Documents Packaging" (proposal by the Japan Patent Office);
- PCT/EF/PFC 02/003 relating to Annex F, section 5 "Transmission" (proposal by the Japan Patent Office);
- PCT/EF/PFC 02/004 relating to Annex F, Appendix I, section 4.1 "Package header" (proposal by the Japan Patent Office);

- PCT/EF/PFC 02/005 relating to Annex F, Appendix I, section 3 “DTDs for new PCT applications (E-PCT)” (proposal by the United States Patent and Trademark Office);
- PCT/EF/PFC 02/006 relating to Annex F would add a recommendation on a file naming convention (proposal by the United States Patent and Trademark Office);
- PCT/EF/PFC 02/007 relating to Annex F, Appendix I, section 4.1 “Package header” (proposal by the United States Patent and Trademark Office);
- PCT/EF/PFC 02/008 relating to Part 7, Section 703 “Filing Requirements; Basic Common Standard” (proposal by the United States Patent and Trademark Office).

4. The International Bureau would appreciate receiving any comments on the proposed modifications by May 15, 2002. Comments should preferably be made by e-mail via the “Submit comments” facility on the Web site, but may alternatively be made in writing by letter or by fax to +41 (22) 338 8040. Comments will be included as Annexes to the relevant PFCs. Copies of the proposals on paper are available from the International Bureau on request. Inquiries concerning the proposals should be directed to Mr. Thiam Ming Song (e-mail: song@wipo.int; phone: 41 (22) 338 9640; fax: 41 (22) 338 8040).

5. In Circular C. PCT 827, which is also dated April 4, 2002, the International Bureau proposes other modifications of the Administrative Instructions which would add to Annex F a new section 2.5 “Change procedure” dealing with special procedures for the proposal, consideration and implementation of future modifications of the standard for electronic filing and processing of international applications. It is intended that consideration of the proposals referred to in the present Circular will proceed independently of those other proposals.

6. The International Bureau intends to promulgate by June 30, 2002, the modifications proposed in the present Circular, revised if necessary in the light of comments received. It is envisaged that the modifications would enter into force on January 1, 2003.

Sincerely yours,

Francis Gurry
Assistant Director General

OMPI CIRCULAIRE C. PCT 830

Le 4 avril, 2002

Madame,
Monsieur,

*Norme concernant le dépôt et le traitement électroniques
des demandes internationales : propositions de modification*

Propositions de modification des instructions administratives selon le PCT

1. La présente circulaire concerne des propositions de modification de la norme concernant le dépôt et le traitement des demandes internationales selon le Traité de coopération en matière de brevets (PCT) qui, si elles étaient adoptées, aboutiraient à la modification de la septième partie et de l'annexe F des instructions administratives du PCT. Elle est adressée, aux fins de la consultation prévue à la règle 89.2.b) du règlement d'exécution du PCT, aux offices de brevets nationaux et régionaux de tous les États contractants du PCT ou agissant pour eux, notamment l'ensemble des offices récepteurs, des administrations chargées de la recherche internationale, des administrations chargées de l'examen préliminaire international et des offices désignés et élus, ainsi qu'aux organisations intergouvernementales intéressées et à certaines organisations non gouvernementales représentant les utilisateurs du système du PCT.

2. Le Bureau international a reçu un certain nombre de propositions de modification de la norme concernant le dépôt et le traitement électroniques des demandes internationales qui, si elles étaient adoptées, entraîneraient des modifications de l'annexe F des instructions administratives du PCT, ainsi qu'un certain nombre de propositions concernant les changements correspondants à apporter à certaines dispositions de la septième partie des instructions administratives.

3. Ces propositions peuvent être consultées sur le site Web de l'OMPI (voir http://www.wipo.int/pct/efiling_standard/fr) en tant qu'annexes des dossiers de propositions de modification suivants :

- PCT/EF/PFC 02/001 concernant l'instruction 709 de la septième partie, intitulée "Moyens de communication" (proposition de l'Office des brevets du Japon);
- PCT/EF/PFC 02/002 concernant la section 4 de l'annexe F, intitulée "Empaquetage des documents constitutifs de demandes internationales" (proposition de l'Office des brevets du Japon);
- PCT/EF/PFC 02/003 concernant la section 5 de l'annexe F, intitulée "Transmission" (proposition de l'Office des brevets du Japon);
- PCT/EF/PFC 02/004 concernant la section 4.1 de l'appendice I de l'annexe F, intitulée "En-tête du paquet" (proposition de l'Office des brevets du Japon);
- PCT/EF/PFC 02/005 concernant la section 3 de l'appendice I de l'annexe F, intitulée "DTD pour de nouvelles demandes PCT présentées sous forme

électronique” (proposition de l’Office des brevets et des marques des États-Unis d’Amérique);

- PCT/EF/PFC 02/006 concernant l’annexe F, visant à ajouter une recommandation relative à une convention de dénomination des fichiers (proposition de l’Office des brevets et des marques des États-Unis d’Amérique);
- PCT/EF/PFC 02/007 concernant la section 4.1 de l’appendice I de l’annexe F, intitulée “En-tête du paquet” (proposition de l’Office des brevets et des marques des États-Unis d’Amérique);
- PCT/EF/PFC 02/008 concernant l’instruction 703 de la septième partie, intitulée “Exigences de dépôt, norme commune de base” (proposition de l’Office des brevets et des marques des États-Unis d’Amérique).

4. Le Bureau international souhaiterait recevoir tout commentaire sur ces propositions de modification pour le 15 mai 2002 au plus tard. Les commentaires doivent de préférence être envoyés par courrier électronique grâce à la fonction “envoyer un commentaire” prévue sur le site Web, mais peuvent aussi être envoyés par courrier postal ou par télécopie (41-22-338 8040). Les commentaires éventuels seront inclus dans les annexes des différentes propositions de modification. Des copies de ces propositions sous forme imprimée sont disponibles auprès du Bureau international sur demande. Les demandes de renseignements concernant ces propositions sont à adresser à M. Thiam Ming Song (courrier électronique : song@wipo.int; téléphone : 41-22-338 9640; télécopie : 41-22-338 8040).

5. Dans la circulaire C. PCT 827, qui est aussi datée du 4 avril 2002, le Bureau international suggère d’autres modifications des instructions administratives visant à ajouter à l’annexe F une section 2.5 intitulée “Procédure de modification”, qui prévoit des procédures spéciales pour la proposition, l’examen et la mise en œuvre des futures modifications de la norme concernant le dépôt et le traitement électroniques des demandes internationales. L’examen des propositions faisant l’objet de la présente circulaire doit s’effectuer indépendamment de celui de ces autres propositions.

6. Le Bureau international a l’intention de promulguer les modifications proposées dans la présente circulaire le 30 juin 2002, après les avoir révisées si nécessaire en fonction des commentaires reçus. Ces modifications devraient entrer en vigueur le 1^{er} janvier 2003.

Veuillez agréer, Madame, Monsieur, l’assurance de ma considération distinguée.

Francis Gurry
Sous-directeur général

[Annex 3 follows/
L’annexe 3 suit]

COMMENTS BY IP AUSTRALIA

PCT/EF/PFC 02/004

The proposal to add 'other-filing' states that the purpose is to use it when submitting documents other than applications. It is IP Australia's understanding that the 'transmission-type' element already specified is to be used to identify the type of documents being submitted.

We seek further clarification on the use and benefits of the inclusion of 'response-term', 'drafting-document-info', 'notice-info' and 'request-for-dispatch-info'.

The proposal to add 'applicant-agent-info' to the package header seeks to elevate the inclusion of all applicants and agents information. IP Australia does not currently include this information for all documents or transmission types electronically transmitted to its Office so it is appropriate to include it in the package data when applicable (as is currently required under Annex F). Further information on the benefits of the proposed change may assist IP Australia to support this change.

IP Australia currently provides both a 'response-code' and a 'response-message' in the transmission receipt. Subject to further clarification, it would be expected that these existing elements could be used to provide information similar to the 'reason-for-rejection-info' element proposed.

[Annex 4 follows/
L'annexe 4 suit]

COMMENTS BY THE UNITED STATES PATENT AND TRADEMARK OFFICE

A. Circular PCT/EF/PFC 02/004 (Changes to the Package Header)

1. other-filing – On Annex 1, page 6 at the bottom, it is unclear from the comment what type of document or communication is received in this category because other-filing is not associated with any particular application number. An example would be useful in understanding this element. As currently written, applicant-info can occur once or not at all, and receipt-number can occur one or more times or not at all. Therefore, other-filing could end up without any identifying information leading to confusion as to what the Office should send.
2. On Annex 1, page 7 at the bottom, it is not clear whether each notification would require a separate package header or whether multiple notifications can be represented by a single package header. It is noted that the total-number-of-notifications and number-of-notifications seem to indicate that more than one notification can be sent with the package header. However, if more than one notification can be sent with each package header, it is not clear as to how one determines the relevant information with respect to each notification. For example, to which of a number of notifications would the “response-term” in the package header be relevant?
3. response-term – On Annex 1, page 6 at the bottom, this element appears to have two different spellings; one single spelling should be chosen for consistency.
4. reason-for-rejection-info - On Annex 1, page 7 at the middle, it is unclear why or for what purpose this is included in the package header. We think that this information should be contained in the data package that follows the package header. Also, since one package header may be used for a number of notices, it would not be clear as to which of these notices the reason for rejection would apply.
5. “-request-for-dispatch-info-” - On Annex 1, page 7 at the bottom, it is not clear why or for what purpose a “url” is contained in this element. The difference between “total-number-of-notifications?” and “number-of-notifications?” is not clear.

B. General Comments

1. We note that there are no DTDs supplied that support the dispatch (check-notice.dtd), dispatch list (dispatch-list.dtd) and receipt-list (receipt-list.dtd). Each one of these transactions to the server requires a response from that server. These responses should be in xml format and the JPO has not given us that document type.

[Annex 5 follows/
L’annexe 5 suit]

COMMENTS BY THE KOREAN INTELLECTUAL PROPERTY OFFICE

**Comments on PCT/EF/PFC 02/004 relating to Annex F, Appendix I, Section 4.1
"Package Header" (proposal by the JPO)**

It is understood that the JPO's proposal reflects the JPO's current status. We can accept it as optional. However, there needs to be a detailed explanation about the meaning of each element in the proposal.

[Annex 6 follows/
L'annexe 6 suit]

REVISED PROPOSAL BY THE JAPAN PATENT OFFICE

Proposal for revision to PFC 02/004

We would like to modify the “package header(pkgheader.dtd)” in Appendix I. And we propose adding the following new DTDs to the Appendix I.

- Dispatch list(Dispatch-list.dtd)
- Application receipt list(Application-receipt-list.dtd)

Package header

```
<!--*****  
* pkgheader 2002 march *  
*****  
Root element, pkgheader  
Attributes:  
lang = language of application - use ISO639 language code  
dtd-version = dtd version number  
file = filename of the whole application  
status = status of the application;  
values: n = new application  
-->  
<!ELEMENT pkgheader (wad-message-digest,transmittal-info,ip-type,filelist?,  
application-software?,transmission-type?,payment?) >  
  
<!ATTLIST pkgheader  
    lang CDATA #REQUIRED  
    dtd-version CDATA #IMPLIED  
    file CDATA #IMPLIED  
    status CDATA #IMPLIED >  
  
<!--Wrapped Application Documents message digest  
-->  
<!ELEMENT wad-message-digest (#PCDATA) >  
  
<!--transmittal information  
  
JPO proposal  
JPO proposes adding other-filing.  
other-filing: ŸEŸother-filingŸEŸ is used when submitting documents other than  
application.  
-->  
<!ELEMENT transmittal-info (new-application | subsequent-filing | office-to-office  
|  
office-to-applicant) >  
  
<!--Intellectual Property type  
-->  
<!ELEMENT ip-type (#PCDATA) >  
  
<!--list of files received  
-->  
<!ELEMENT filelist (file-content+) >  
  
<!--the  
software used to generate the XML document instance  
-->  
<!ELEMENT application-software (software-name,software-version,software-message?)  
>  
  
<!--transmission type; e.g., submission or dispatch, etc.  
-->  
<!ELEMENT transmission-type (#PCDATA) >  
  
<!--payment method  
-->  
<!ELEMENT payment (fee+,fee-total,(account | credit-card | other-method)) >  
  
<!--new application information from applicant to office  
-->  
<!ELEMENT new-application (invention-title?,first-named-applicant?,  
file-reference-id?,document-code*,to) >  
  
<!--subsequent filing information, before Issue Date  
-->  
<!ELEMENT subsequent-filing (invention-title?,first-named-applicant,  
confirmation-number?,file-reference-id?,appeal-reference?,(
```

```
        application-reference+ | (patent-reference,application-reference+)),
        document-code*,to) >

<!--Document transfer information between offices.
-->
<!ELEMENT office-to-office (invention-title?,first-named-applicant?,
        confirmation-number?,application-reference,publication-reference?,
        file-reference-id?,from?,to?) >

<!--Document transfer information from office to applicant

JPO proposal
JPO proposes adding the following tag.
notice-info;Management information on notice
request-for-dispatch-info:Response information over a dispatch demand
-->
<!ELEMENT office-to-applicant (from,invention-title?,confirmation-number?,
        receipt-list-info?,file-reference-id?,(application-reference+ | (
        patent-reference,application-reference+)),notice-info*,
        total-number-of-notifications?) >

<!--contents of the file received. See Section 704(a):
'and may, at the option of the Office, also indicate or contain
such information as
(v) the names and sizes of the electronic files received;
(vi) the dates of creation of the electronic files received;..."

Attributes:
doc-name - name of the document
file-name - name of the electronic file
size - size of the file
date-produced - date of creation of the file
-->
<!ELEMENT file-content EMPTY >

<!ATTLIST file-content
        doc-name CDATA #REQUIRED
        file-name CDATA #REQUIRED
        size CDATA #IMPLIED
        date-produced CDATA #IMPLIED
number-of-notification CDATA #IMPLIED >

<!--the name of the software used to create the document
-->
<!ELEMENT software-name (#PCDATA) >

<!--the version of the software used to create the document
-->
<!ELEMENT software-version (#PCDATA) >

<!--any message (e.g., parser response text) returned by
the software used to create the document
-->
<!ELEMENT software-message (#PCDATA) >

<!--amount due
-->
<!ELEMENT fee EMPTY >

<!ATTLIST fee
        fee-code CDATA #REQUIRED
        amount CDATA #REQUIRED
        quantity CDATA #IMPLIED
        currency CDATA #REQUIRED >

<!--total amount of fees due
-->
<!ELEMENT fee-total EMPTY >
```

```
<!--ATTLIST fee-total
      amount CDATA #REQUIRED -->

<!--deposit account information
-->
<!--ELEMENT account EMPTY -->

<!--ATTLIST account
      number CDATA #REQUIRED
      account-type CDATA #REQUIRED
      name CDATA #IMPLIED -->

<!--credit card used as payment method
-->
<!--ELEMENT credit-card EMPTY -->

<!--ATTLIST credit-card
      number CDATA #REQUIRED
      expires CDATA #REQUIRED
      name CDATA #IMPLIED
      postal-code CDATA #IMPLIED -->

<!--other payment method. Specify
-->
<!--ELEMENT other-method (#PCDATA) -->

<!--Title of the Invention: preferably two to seven words when
in English or translated into English and precise. (Rule 4.3)
Recommended id = 'invnt'
-->
<!--ELEMENT invention-title (#PCDATA | b | i | u | sup | sub)* -->

<!--ATTLIST invention-title
      id ID #IMPLIED
      lang CDATA #IMPLIED -->

<!--first applicant name in applicant group
-->
<!--ELEMENT first-named-applicant ((name | (prefix?,last-name,first-name,middle-
name?,
      suffix?,iid?,role?,orgname?,department?,synonym*)),registered-
number?) -->

<!--applicant's or agent's file reference, if desired,
12 characters maximum
-->
<!--ELEMENT file-reference-id (#PCDATA) -->

<!--for reference to non-PCT document from national office;
code defined by national office
-->
<!--ELEMENT document-code (#PCDATA) -->

<!--the office that receives the document
the office to which the document is sent
-->
<!--ELEMENT to (country) -->

<!--confirmation number from office
-->
<!--ELEMENT confirmation-number (#PCDATA) -->

<!--reference to an appealed application
-->
<!--ELEMENT appeal-reference (doc-number,date?) -->

<!--ATTLIST appeal-reference
```

```
        appeal-type CDATA #REQUIRED >
<!--application reference information: application number, country
-->
<!ELEMENT application-reference (document-id) >

<!ATTLIST application-reference
        appl-type CDATA #REQUIRED >

<!--patent reference information: patent number, date, etc
-->
<!ELEMENT patent-reference (document-id) >

<!--publication reference information: publication number, date, etc
-->
<!ELEMENT publication-reference (document-id) >

<!--the office that sends the document
the office from which the document is received
-->
<!ELEMENT from (country) >

<!--Response to query "What did I send to you?" is a list of the receipts produced
by the office.-->
<!ELEMENT receipt-list-info (applicant-name?,receipt-number*) >

<!--
-->
<!ELEMENT notice-info (response-term?,applicant-name*,agent-info?,
        reason-for-rejection-info?,drafting-document-info?) >

<!--Points to ID attribute of notice in package-data.-->
<!ATTLIST notice-info
        notice-id-ref CDATA #REQUIRED >

<!--The total number of notices available at the office for dispatch.-->
<!ELEMENT total-number-of-notifications (#PCDATA) >

<!--bold formatting for text
-->
<!ELEMENT b (#PCDATA | i | u | smallcaps | br)* >

<!--italic formatting for text
-->
<!ELEMENT i (#PCDATA | b | u | smallcaps | br)* >

<!--underscore: style - single is default
-->
<!ELEMENT u (#PCDATA | b | i | smallcaps)* >

<!ATTLIST u
        style (single | double | dash | dots) "single" >

<!--superscripted text
-->
<!ELEMENT sup (#PCDATA | b | u | i)* >

<!--subscripted text
-->
<!ELEMENT sub (#PCDATA | b | u | i)* >

<!--name: if no distinction or detail can be given.
Also to be used for: personal (natural person) and corporate
(legal entity) names
-->
<!ELEMENT name (#PCDATA) >

<!ATTLIST name
```

```

        name-type (legal | natural)    #IMPLIED >
<!--title: e.g., Mr., Mrs., Dr. etc
-->
<!ELEMENT prefix    (#PCDATA) >

<!--last, family, surname
-->
<!ELEMENT last-name    (#PCDATA) >

<!--First or given name(s), initial(s)
-->
<!ELEMENT first-name    (#PCDATA) >

<!--middle name(s) or initial(s)
-->
<!ELEMENT middle-name    (#PCDATA) >

<!--name suffix (e.g., II, Jr., Dip., Ing., BA, etc.)
-->
<!ELEMENT suffix    (#PCDATA) >

<!--individual id
-->
<!ELEMENT iid    (#PCDATA) >

<!--role, e.g. President, Chairman, etc.
-->
<!ELEMENT role    (#PCDATA) >

<!--organisation name or company name
-->
<!ELEMENT orgname    (#PCDATA) >

<!--department, division, section, etc. name
-->
<!ELEMENT department    (#PCDATA) >

<!--synonym
-->
<!ELEMENT synonym    (#PCDATA) >

<!--registered number
-->
<!ELEMENT registered-number    (#PCDATA) >

<!--Country: use ST.3 country code, e.g. DE, FR, GB, NL, etc.
Also includes EP, WO
-->
<!ELEMENT country    (#PCDATA) >

<!--the number of the referenced patent (or application) document
-->
<!ELEMENT doc-number    (#PCDATA) >

<!--date: components of a date. Format: YYYYMMDD
-->
<!ELEMENT date    (#PCDATA) >

<!--Document identification refers to patents (and patent
applications) only. See WIPO ST.14
-->
<!ELEMENT document-id    (country,doc-number,kind?,name?,date?) >

<!ATTLIST document-id
        lang    CDATA    #IMPLIED >

<!ELEMENT applicant-name    ((name | (prefix?,last-name,first-name,middle-name?,

```

```
suffix?,iid?,role?,orgname?,department?,synonym*)),registered-
number?) >

<!ELEMENT receipt-number (#PCDATA) >

<!--JPO proposal
JPO proposes adding response-term.
Reason:Now, JPO provides the applicant with the response term of invitation.
-->
<!ELEMENT response-term EMPTY >

<!--JPO proposal
DIVISION:Discernment of month or day, or some other unit of time.
-->
<!ATTLIST response-term
    unit-of-time CDATA #REQUIRED
    value CDATA #REQUIRED >

<!ELEMENT agent-info (agent-name+ | customer-number) >

<!--JPO proposal
JPO proposes adding reason-for-rejection-info.
Reason:The Japanese applicant is demanding the notice of the code of reason
for rejection.
-->
<!ELEMENT reason-for-rejection-info (reason-code,text) >

<!--JPO proposal
JPO proposes adding drafting-document-info.
Reason:Now, JPO has notified the applicant of the document number and
document code of the object to draft
-->
<!ELEMENT drafting-document-info (document-code?,(receipt-number | dispatch-id)) >

<!--small capitals
-->
<!ELEMENT smallcaps (#PCDATA | b | u | i | br)* >

<!--br - break, line break within a paragraph
-->
<!ELEMENT br EMPTY >

<!--document kind code; e.g. A1
-->
<!ELEMENT kind (#PCDATA) >

<!ELEMENT agent-name ((name | (prefix?,last-name,first-name,middle-name?,suffix?,
iid?,role?,orgname?,department?,synonym*)),registered-number?) >

<!--customer number for agents by office
-->
<!ELEMENT customer-number (#PCDATA) >

<!ELEMENT reason-code (#PCDATA) >

<!ELEMENT text (#PCDATA) >

<!ELEMENT dispatch-id (#PCDATA) >
```

Dispatch list

```
<!--import character entity set. Download from:
http://pcteasy.wipo.int/efiling_standards/schemaDocs/wipo.ent

Note that nsgmls-based parsers (SP, Near & Far Designer, etc.)
may not be able to process this file for reasons described below
in MathML comments.
-->
<!ENTITY % wipo PUBLIC "-//WIPO//ENTITIES WIPO 1.0//EN" "wipo.ent" >

%wipo;

<!--Root element dispatch list-->
<!ELEMENT dispatch-list (receiver,dispatch-document-list,number-of-the-rest) >

<!ATTLIST dispatch-list
    lang CDATA #REQUIRED
    dtd-version CDATA #REQUIRED
    date-produced CDATA #REQUIRED
    time-produced CDATA #REQUIRED >

<!--receiver:Those who receive notice-list
-->
<!ELEMENT receiver ((name | (prefix?,last-name,first-name,middle-
name?,suffix?,iid?,
    role?,orgname?,department?,synonym*)),registered-number?) >

<!ELEMENT name (#PCDATA) >

<!ATTLIST name
    name-type (legal | natural) #IMPLIED >

<!--*Title e.g., Mr., Mrs., Dr. etc*-->
<!ELEMENT prefix (#PCDATA) >

<!--Last, family, surname-->
<!ELEMENT last-name (#PCDATA) >

<!--First, given, middle name(s), initials
eg. John, John F., J.F, John Frederick-->
<!ELEMENT first-name (#PCDATA) >

<!ELEMENT middle-name (#PCDATA) >

<!--* Suffix (e.g., II, Jr.Dip. Ing., BA, et al, etc. *-->
<!ELEMENT suffix (#PCDATA) >

<!--* Individual id *-->
<!ELEMENT iid (#PCDATA) >

<!--* Role, eg President added 02.11.2000 PB ISO 12083 *-->
<!ELEMENT role (#PCDATA) >

<!--* Organisation name *-->
<!ELEMENT orgname (#PCDATA) >

<!--* Department,division,section, etc. name *-->
<!ELEMENT department (#PCDATA) >

<!--* Synonym, cross-reference *-->
<!ELEMENT synonym (#PCDATA) >

<!--Applicant's, agent's registration number with the office-->
<!ELEMENT registered-number (#PCDATA) >

<!--dispatch-document-list:A list of the notice documents
-->
```

```
<!ELEMENT dispatch-document-list (dispatch-info+,number-of-undisplayed?) >

<!--dispatch-info:Details
-->
<!ELEMENT dispatch-info (document-code,file-reference-id?,dispatch-id,
                        appeal-reference?,(application-reference+ | (patent-reference,
                        application-reference+)),arrival-time,text?,wad-message-digest) >

<!--date:dispatch date
-->
<!ATTLIST dispatch-info
            date CDATA      #REQUIRED >

<!--document-code:The code which discriminates documents
-->
<!ELEMENT document-code (#PCDATA) >

<!ELEMENT file-reference-id (#PCDATA) >

<!ELEMENT dispatch-id (#PCDATA) >

<!--appeal-reference:appeal number and date of demand for appeal
-->
<!ELEMENT appeal-reference (doc-number,date?) >

<!ATTLIST appeal-reference
            appeal-type CDATA      #REQUIRED >

<!ELEMENT doc-number (#PCDATA) >

<!ELEMENT date (#PCDATA) >

<!--application-reference:
international application number and date
application number and date
registration number
-->
<!ELEMENT application-reference (document-id) >

<!ATTLIST application-reference
            appl-type CDATA      #REQUIRED >

<!ELEMENT document-id (country,doc-number,kind?,name?,date?) >

<!ATTLIST document-id
            lang CDATA      #IMPLIED >

<!ELEMENT country (#PCDATA) >

<!ELEMENT kind (#PCDATA) >

<!ELEMENT patent-reference (document-id) >

<!--arrival-time:Time when notice reached the applicant
-->
<!ELEMENT arrival-time (time) >

<!ELEMENT time (#PCDATA) >

<!ELEMENT text (#PCDATA) >

<!ELEMENT wad-message-digest (#PCDATA) >

<!--number-of-undisplayed:The number of cases which is not displayed(when
details are large, a detailed display is closed on the way.
-->
<!ELEMENT number-of-undisplayed EMPTY >
```

```
<!--ATTLIST number-of-undisplayed
      amount CDATA      #REQUIRED  >

<!--number-of-the-rest:The number of cases which remains, without being dispatched
-->
<!--ELEMENT number-of-the-rest  (number-of-cases+,total-number-of-cases) >

<!--number-of-cases:The number of cases by patent, utility model,
design, and trademark
-->
<!--ELEMENT number-of-cases  EMPTY  >

<!--ATTLIST number-of-cases
      law CDATA      #REQUIRED
      amount CDATA      #REQUIRED  >

<!--total-number-of-cases:
The sum total number of cases of "patent, utility model,design,and trademark"
-->
<!--ELEMENT total-number-of-cases  EMPTY  >

<!--ATTLIST total-number-of-cases
      amount CDATA      #REQUIRED  >
```

Application receipt list

```
<!--import character entity set. Download from:
http://pcteasy.wipo.int/efiling_standards/schemaDocs/wipo.ent

Note that nsgmls-based parsers (SP, Near & Far Designer, etc.)
may not be able to process this file for reasons described below
in MathML comments.
-->
<!ENTITY % wipo PUBLIC "-//WIPO//ENTITIES WIPO 1.0//EN" "wipo.ent" >

%wipo;

<!ELEMENT application-receipt-list (receiver,receipt-list) >

<!ATTLIST application-receipt-list
    lang CDATA #REQUIRED
    dtd-version CDATA #IMPLIED
    date-produced CDATA #IMPLIED
    file CDATA #IMPLIED
    status CDATA #IMPLIED >

<!ELEMENT receiver ((name | (prefix?,last-name,first-name,middle-
name?,suffix?,iid?,
    role?,orgname?,department?,synonym*)),registered-number?) >

<!ELEMENT receipt-list (receipt-info+) >

<!ELEMENT name (#PCDATA) >

<!ATTLIST name
    name-type (legal | natural) #IMPLIED >

<!--title: e.g., Mr., Mrs., Dr. etc
-->
<!ELEMENT prefix (#PCDATA) >

<!--last, family, surname
-->
<!ELEMENT last-name (#PCDATA) >

<!--First or given name(s), initial(s)
-->
<!ELEMENT first-name (#PCDATA) >

<!--middle name(s) or initial(s)
-->
<!ELEMENT middle-name (#PCDATA) >

<!--name suffix (e.g., II, Jr., Dip., Ing., BA, etc.)
-->
<!ELEMENT suffix (#PCDATA) >

<!--individual id
-->
<!ELEMENT iid (#PCDATA) >

<!--role, e.g. President, Chairman, etc.
-->
<!ELEMENT role (#PCDATA) >

<!--organisation name or company name
-->
<!ELEMENT orgname (#PCDATA) >

<!--department, division, section, etc. name
```

```
-->
<!ELEMENT department (#PCDATA) >

<!--synonym
-->
<!ELEMENT synonym (#PCDATA) >

<!ELEMENT registered-number (#PCDATA) >

<!ELEMENT receipt-info (document-code,file-reference-id?,receipt-number,
                        appeal-reference?,application-reference*,number-of-annexation,
                        result-code,wad-message-digest) >

<!ATTLIST receipt-info
            date CDATA #REQUIRED
            kind-of-law CDATA #IMPLIED >

<!ELEMENT document-code (#PCDATA) >

<!ELEMENT file-reference-id (#PCDATA) >

<!ELEMENT receipt-number (#PCDATA) >

<!ELEMENT appeal-reference (doc-number,date?) >

<!ATTLIST appeal-reference
            appeal-type CDATA #REQUIRED >

<!ELEMENT application-reference (document-id) >

<!ATTLIST application-reference
            appl-type CDATA #REQUIRED >

<!ELEMENT number-of-annexation (#PCDATA) >

<!ELEMENT result-code (#PCDATA) >

<!ATTLIST result-code
            amount CDATA #REQUIRED >

<!ELEMENT wad-message-digest (#PCDATA) >

<!ELEMENT doc-number (#PCDATA) >

<!ELEMENT date (#PCDATA) >

<!ELEMENT document-id (country,doc-number,kind?,name?,date?) >

<!ATTLIST document-id
            lang CDATA #IMPLIED >

<!ELEMENT country (#PCDATA) >

<!ELEMENT kind (#PCDATA) >
```

[Annex 7 follows/
L'annexe 7 suit]

PCT/EF/PFC 02/004

ANNEX 7/ANNEXE 7

COMMENTS BY THE EUROPEAN PATENT OFFICE, THE JAPAN PATENT OFFICE,
AND THE UNITED STATES PATENT AND TRADEMARK OFFICE
(THE TRILATERAL OFFICES)

The Trilateral Offices accept the Japan Patent Office's revised version of PFC02/004.

[End of Annex and of file/
Fin de l'annexe et du dossier]