



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

<b>SUBJECT:</b> Changes to Annex F (relating to the filing and processing of sequence listings, C.PCT 1149/C.SCIT 2652 – 07.2)		<b>PROPOSED BY:</b> IB	
<b>SUJET :</b> Modifications de l’annexe F (relating to the filing and processing of sequence listings, C.PCT 1149/C.SCIT 2652 – 07.2)		<b>PROPOSÉE PAR :</b>	
<b>HANDLING:</b> Expedited cycle		<b>PROPOSED DATE OF ENTRY INTO FORCE:</b> 01.01.2009	
<b>TRAITEMENT :</b> Cycle accéléré		<b>DATE PROPOSÉE D’ENTRÉE EN VIGUEUR :</b>	
<b>ANNEX/ ANNEXE</b>	<b>CONTENT/CONTENU</b>	<b>ORIGIN/ ORIGINE</b>	<b>DATE</b>
1	Updates to Annex F relating to the filing and processing of sequence listings (extracted from C.PCT 1149/C.SCIT 2652 – 07.2)	IB	11.6.2008
2	Comment by the International Bureau	IB	24.4.2009
3			
4			
5			
6			

[Annex follows/  
L'annexe suit]

<b>NEXT ACTION:</b> Superseded	<b>BY:</b>
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UPDATES TO ANNEX F RELATING PROPOSED MODIFICATIONS OF THE  
ADMINISTRATIVE INSTRUCTIONS RELATING TO THE FILING AND PROCESSING  
OF SEQUENCE LISTINGS (C.PCT 1149/C.SCIT 2652 – 07.2)

**ANNEX F [Main body]**  
**STANDARD FOR THE FILING AND PROCESSING**  
**IN ELECTRONIC FORM OF INTERNATIONAL APPLICATIONS**

1 and 2 [No change]

3. E-PCT SUBMISSION STRUCTURE AND FORMAT

[No change to the introductory text]

*3.1 Allowable electronic document formats*

*3.1 Allowable electronic document formats*

[No change to the first four paragraphs of the introductory text]

Applicants may present a nucleotide and amino acid sequence listing in any of the electronic document formats listed in sections 3.1.1 to 3.1.3 which are allowed under section 3.4 in the Applicant-Office communication sector. However, where the sequence listing is not presented in the electronic document format specified in paragraph 40 of the Standard for the Presentation of Nucleotide and Amino Acid Sequence Listings in International Applications under the PCT (see Annex C of the Administrative Instructions and WIPO Standard ST.25, and section 3.1.1.2, below; hereinafter referred to as “Annex C/ST.25 text file”), the competent International Searching Authority and the International Preliminary Examining Authority may, for the purposes of the international search and of the international preliminary examination, respectively, invite the applicant to furnish to it a sequence listing in that electronic document format (see Rule 13ter).

[No change to the fifth paragraph of the introductory text]

*3.1.1 Character coded formats*

*3.1.1.1 XML*

*3.1.1.1.1* [No change]

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3.1.1.2 Annex C/ST.25 text file

Any sequence listing presented as an Annex C/ST.25 text file (see paragraph 40 of the Standard for the Presentation of Nucleotide and Amino Acid Sequence Listings in International Patent Applications (Annex C of the Administrative Instructions and WIPO Standard ST.25)) must be included as a referenced document.

For the Applicant-Office (international phase) communication sector, receiving Offices must accept this electronic document format per the basic common standard. For the Office-Office communication sector, Offices must be able to transmit and receive this format.

3.1.1.3 [No change]

3.1.2 *PDF*

Any file in this format, if present, must be included as a referenced document. All documents in PDF format must meet the following requirements:

(a) to (e) [No change]

For the Applicant-Office (international phase) communication sector, receiving Offices shall notify the International Bureau whether they will accept documents in this format, including, where applicable, details as to the version(s) that are acceptable. In order to accommodate Offices that do not accept documents in PDF format, any Office that chooses to accept documents in this format must also convert the documents (that is, text and drawings) to TIFF images and transmit the documents in both formats to the International Bureau.

For the Office-Office communication sector, Offices shall notify the International Bureau whether they will transmit or accept documents in this format, including details as to the version(s) in use. For documents originally submitted in PDF format, Offices may request transmission of the original documents in PDF format in addition to the converted documents in TIFF format.

3.1.3 and 3.1.4 [No change]

3.2 and 3.3 [No change]

3.4 *Allowable document formats, by PCT communication sector*

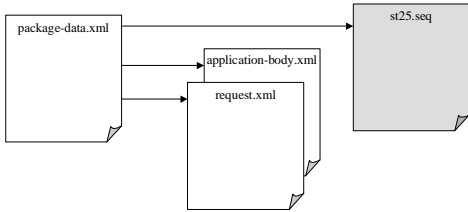
[No change to the two introductory paragraphs]

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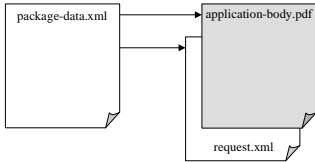
[Annex F, section 3.4, continued]

*Applicant-Office (international phase) sector*

[...]

<p>Annex C/ ST.25 text file</p> <p>See section 3.1.1.2</p>	<p>A receiving Office must accept this format per the basic common standard.</p>	 <pre> graph LR     package-data.xml --&gt; application-body.xml     package-data.xml --&gt; request.xml     application-body.xml --&gt; st25.seq     request.xml --&gt; st25.seq             </pre>
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[...]

<p>PDF</p> <p>See section 3.1.2</p>	<p>A receiving Office shall notify the IB whether it will accept documents in this format. In order to accommodate Offices that do not accept PDF documents, any Office that chooses to accept documents in this format must also convert the document text and drawings to TIFF images and transmit those documents in both formats to the IB.</p>	 <pre> graph LR     package-data.xml --&gt; application-body.pdf     package-data.xml --&gt; request.xml     application-body.pdf --&gt; request.xml             </pre>
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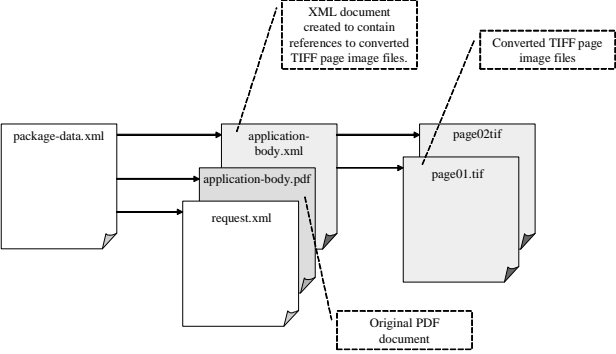
[...]

<p><b>NEXT ACTION:</b></p> <p><b>PROCHAINE ACTION :</b></p>	<p>Superseded</p> <p>Remplacé</p>	<p><b>BY:</b></p> <p><b>POUR LE :</b></p>
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[Annex F, section 3.4, continued]

*Office-Office sector*

[...]

<p>PDF</p> <p>See section 3.1.2</p>	<p>Offices shall notify the IB whether they will transmit or accept documents in this format. For documents originally submitted in PDF format, Offices may request transmission of the original PDF documents in addition to the document converted in XML and TIFF format.</p>	
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#### 4. IA DOCUMENTS PACKAGING

4.1 and 4.2 [No change]

#### 4.3 File naming convention

[No change to the introductory text]

##### 4.3.1 Tables

Tables 1 to 5 [No change]

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[Annex F, section 4.3.1, continued]

Table 6

<i>Document and package types currently accepted for initial ePCT filing</i>	
<i>Document type</i>	<i>Code</i>
record copy (package)	reco
home copy (package)	hoco
package header	pkgh
package data	pkda
request	requ
receiving office information	rrri
declarations	decl
application body	appb
fee sheet	fees
original separate power of attorney	poat
original general power of attorney	gpoa
copy of general power of attorney	cgpa
statement explaining the lack of signature	lacs
priority documents	pdoc
translation of application	tapp
document in pre-conversion format	dpcf
biological deposit	biod
sequence listing	seql
sequence listing not forming part of the application	seqn
sequence listing table	seqt
table external	tabx
transmission receipt	xmre
application receipt list	aprl
dispatch list	dspl
amendment request	amnd
change of bibliographic material	bibc
ex-officio correction	exoc
correspondence	crsp
notification	noti
demand	dmnd
IPEA demand receiving information	idri
fee-sheet-chapter2	fee2
international search report (ISR)	isre
international preliminary examination report (IPER)	Iper
international search opinion (ISO)	Isop
translation of international search report	Isrt
translation of international preliminary examination report	Ipet
translation of international search opinion	Isot
published application	Papp
office specific document types	[2-position country code]AA
table exceeding fifty printed pages	Mtbl

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*[Annex F, section 4.3.1, continued]*

Tables 7 and 8 [No change]

4.3.2 and 4.3.3 [No change]

5 to 9 No change]

**APPENDICES I and II** [No change]

### **APPENDIX III: BASIC COMMON STANDARD FOR ELECTRONIC FILING**

1. [No change]

2. Basic common standard requirements

An international application complies with the basic common standard

– *as to electronic document format, if it meets the following requirements:*

(a) [No change]

(b) any sequence listing is presented in the electronic document format specified in paragraph 40 of the Standard for the Presentation of Nucleotide and Amino Acid Sequence Listings in International Applications under the PCT (“Annex C/ST.25 text file”; see paragraph 40 of Annex C of the Administrative Instructions and WIPO Standard ST.25; see also Annex F, section 3.1.1.2, above);

[No change to the remainder of paragraph 2]

### **APPENDIX IV: USE OF PHYSICAL MEDIA FOR THE E-PCT STANDARD**

1. INTRODUCTION

(a) [No change]

(a-bis) This Appendix also defines the requirements for applicants for the submission of sequence listings in electronic form using physical media where the International Searching Authority or the International Preliminary Examining Authority (“Authority”) has notified the International Bureau under AIs Section 513(f) and 610(e), respectively, that it is requiring the furnishing of such listings, for the purposes of international search and preliminary examination, respectively, in electronic form on physical media.

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*[Annex F, Appendix IV, paragraph 1, continued]*

(b) A receiving Office which has notified the International Bureau under AIs Section 710(a) that it is prepared to accept the filing of documents in electronic form on physical media and an Authority which has notified the International Bureau under AIs Section 513(f) or 610(e) that it is requiring the furnishing of sequence listings in electronic form on physical media shall, in addition to the indications required under those Sections, indicate the physical media types and the number of copies of the physical media that are required.

(c) The acceptable physical media types and formats shall be limited to those described in section 4 of this Appendix, below, provided that any receiving Office referred to in paragraph (a) shall, where the International Searching Authority or, if applicable, at least one of the International Searching Authorities competent for the international searching of international applications filed with that receiving Office has notified the International Bureau under Section 513(f) that it requires the furnishing of sequence listings in electronic form on physical media for the purposes of the international search, accept at least one physical media type that is accepted by that Authority, or, if applicable, by at least one of those Authorities.

(d) Electronic document formats are limited to those described in the main body of this Annex.

## 2. REQUIREMENTS FOR ELECTRONIC FILING USING PHYSICAL MEDIA

(a) [No change]

(b) The contents of each physical medium shall:

(i) subject to paragraph (b-bis), be packaged in accordance with section 4.1 or 4.2 of the main body of this Annex; and

(ii) subject to paragraph (c), be contained in a single file and be located in the root directory of the physical medium.

(b-bis) Where the physical medium contains a sequence listing furnished under Rule 13ter, the contents of the physical medium need not be packaged, unless the file containing such listing is compressed in accordance with paragraph (c-bis).

(c) A receiving Office or an Authority may limit the size of the files written on the physical medium. If, to comply with this requirement, a single document needs to be split into multiple files written on a single physical medium, or if a single document needs to be split into multiple files to be written on multiple physical media, such splitting shall be done such that the files can be rejoined to form one single contiguous file without any repeated or missing contents in accordance with either the ZIP file splitting standard or the Unix/Linux “split” command. In either case, the file names shall be in accordance with the defaults in

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*[Annex F, Appendix IV, paragraph 2(c), continued]*

those standards for splitting and recreating a file with a particular original name, for example, for “sequence-list.txt” in the case of ZIP split files: “sequence-list.z01”, “sequence-list.z02”, “sequence-list.zip”; or, in the case of Unix split files: “sequence-listaa.txt”, “sequence-listab.txt”, etc.

(c-bis) File compression is acceptable if done, in accordance with section 4.1.1 of the main body of this Annex, according to the ZIP standard (that standard allows the compression software to select from among a number of compression algorithms; the compression method must be “deflation” with the normal compression option).

(d) Each physical medium shall be enclosed in a hard case within an unsealed padded and protective mailing envelope and accompanied by a transmittal letter on paper. The transmittal letter shall state the contents of the physical medium (for example: “international application filed under Section 703” or “[*name of other kind of document*] filed under Section 703”. The transmittal letter shall also list for each physical medium the machine format (e.g., IBM-PC), the operating system compatibility (e.g., MS-DOS, MS-Windows, Unix), a list of the files contained on the physical medium including their names, sizes in bytes, and dates of creation, plus any other special information that is necessary to identify, maintain, and interpret the information on the physical medium. Physical media submitted to the Office will not be returned to the applicant.

(e) Where the receiving Office requires under Rule 11.1(b) that an international application filed in electronic form on a physical medium be submitted in two or three copies, or where an Authority so requires in respect of the furnishing of a sequence listing for the purposes of the international search and international preliminary examination, the transmittal letter that accompanies the physical media must include a statement that the copies of the physical media are identical. In the event that the copies of the physical media are not identical, the Office or Authority will use the physical medium labeled “COPY 1” (see paragraph (f)(vi), below) for further processing.

(f) A physical medium must also be physically labeled with the following information:

(i) to (v) [No change]

(vi) where more than one copy of the physical medium is required by the receiving Office or by the Authority, the numbering of each copy submitted, as follows (example: three copies of the physical media are submitted): “COPY 1”, “COPY 2”, “COPY 3” (see also paragraph (e), above); and

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*[Annex F, Appendix IV, paragraph 2(f), continued]*

(vii) an indication of the content of the physical medium (for example: “INTERNATIONAL APPLICATION—SECTION 703”; “ARTICLE 19 AMENDMENTS”; “ARTICLE 34 AMENDMENTS”; “SEQUENCE LISTING—RULE 13ter”; “SEQUENCE LISTING—CORRECTION—Rule 13ter”; “SEQUENCE LISTING—RECTIFICATION—Rule 13ter”; “SEQUENCE LISTING—AMENDEMENT—Rule 13ter”).

3. and 4. [No change]

[Annex II follows/  
L’annexe II suit]

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ANNEX II/ANNEXE II

**Comment by the International Bureau**

The processing of this PFC has been completed through the consultations initiated in Circular C.PCT 1149/C.SCIT 2652, and the conclusions of which, are referred to in Circular C.PCT 1173.

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

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