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PLT/A/7/1

ORIGINAL: English

DATE: June 19, 2009

WORLD INTELLECTUAL PROPERTY ORGANIZATION

GENEVA

**PATENT LAW TREATY
(PLT)****ASSEMBLY****Seventh (3rd Ordinary) Session
Geneva, September 22 to October 1, 2009**

APPLICABILITY OF CERTAIN AMENDMENTS AND MODIFICATIONS OF THE
PATENT COOPERATION TREATY (PCT) TO THE PATENT LAW TREATY (PLT)

Document prepared by the Secretariat

I. INTRODUCTION

1. A number of provisions under the Patent Law Treaty (PLT) and the Regulations under the PLT incorporate by reference certain requirements provided for under the Patent Cooperation Treaty (PCT). Those PLT provisions are as follows:

- (i) Article 3(1)(a)(i) [Applications];
- (ii) Article 6(1) [Form or Contents of Application];
- (iii) Article 6(2) [Request Form] and Rule 3(2) [Request Form Under Article 6(2)(b)];
- (iv) Article 6(4) [Fees] and Rule 6(3) [Time Limits Under Article 6(7) and (8) Relating to Payment of Application Fee in Accordance with the Patent Cooperation Treaty];
- (v) Rule 8(1)(c) [Communications Filed on Paper];

- (vi) Rule 8(2)(a) [Communications Filed in Electronic Form or by Electronic Means of Transmittal];
- (vii) Rule 8(3)(a) [Copies, Filed in Electronic Form or by Electronic Means of Transmittal, of Communications Filed on Paper];
- (viii) Rule 9(5)(b) [Signature of Communications Filed in Electronic Form Not Resulting in Graphic Representation of Signature];
- (ix) Rule 14(3) [Time Limit Under Article 13(1)(ii)].

2. Pursuant to PLT Article 16 and the PLT Agreed Statements, the PLT Assembly has to decide whether amendments and modifications to the PCT, the PCT Regulations and the Administrative Instructions Under the PCT (hereinafter referred to as “the Administrative Instructions”), which have been made since the adoption of the PLT on June 1, 2000, shall apply for the purposes of the PLT and provide any transitional provisions, if necessary. At its previous sessions, the PLT Assembly decided that certain amendments and modifications of the PCT, the Regulations under the PCT and the Administrative Instructions, which were made prior to July 1, 2008, applied for the purposes of the PLT and its Regulations (documents PLT/A/1/2 and 4, PLT/A/2/1 and 3, PLT/A/3/1 and 3 and PLT/A/5/1 and 2).

3. The present document provides information regarding the amendments and modifications made under the PCT, between July 2, 2008 and May 15, 2009, and highlights those amendments and modifications which, in view of the International Bureau, relate to the above PLT provisions.

II. MODIFICATIONS TO THE ADMINISTRATIVE INSTRUCTIONS UNDER THE PCT

4. Between July 2, 2008 and May 15, 2009, modifications to the Administrative Instructions including modified Forms, were promulgated by PCT Circulars C.PCT 1156, dated November 26, 2008 and C.PCT 1173, dated April 21, 2009. The consolidated text of the Administrative Instructions as well as the modified Forms, as in force from July 1, 2009, are available on the WIPO website.¹

5. Among those modifications, the following sections of the Administrative Instructions are relevant to the PLT provisions referring to certain PCT requirements:

- modification of Section 204 (Headings of the Parts of the Description);
- inclusion of the new Section 204*bis* (Numbering of Claims);
- modification of Section 707 (Calculation of International Filing Fee and Fee Reduction);

¹ The Administrative Instructions under the PCT and PCT Forms are available at:
http://www.wipo.int/pct/en/texts/ai/ai_index.html

Deleted: ¹

- modification of Part 8 and of Annex C-*bis* (Mixed Mode Sequence Listing Applications);
- modification of Annex F, Appendix I.

(a) Modification of the Administrative Instructions relating to the use of headings for certain parts of the description (Section 204)

6. The modified Administrative Instructions include headings such as “Summary of Invention”, “Description of Embodiments” and “Title of Invention” in the list of recommended headings of the parts of the description under Section 204. Those headings are not mandatory requirements, as Section 204 provides that the headings of parts of the description “shall preferably” include the listed items in the provision.

7. In accordance with PLT Article 6(1), the requirements relating to the form and contents of international applications under the PCT apply to national and regional applications. The provision prohibits a PLT Contracting Party from imposing requirements in respect of the form or contents of a national or a regional application that are different from or additional to those applicable to international applications under the PCT, except where otherwise provided for by the PLT. Therefore, the above recommended headings prescribed in Section 204 of the Administrative Instructions, namely, “Summary of Invention”, “Description of Embodiments” and “Title of Invention” apply in relation to the national and regional applications filed with or for the office of a PLT Contracting Party.

(b) Modification of the Administrative Instructions relating to the use of the expression “Claim” (Section 204*bis*)

8. The modified Administrative Instructions include a new provision, Section 204*bis*, which provides that the number of each claim shall preferably be preceded by the expression “Claim” (for example, “Claim 1”, “Claim 2”, “Claim 3”). The provision is intended to facilitate the conversion into electronic form (by way of scanning and optical character recognition (OCR)) of applications filed on paper. The modification is a recommendation and does not constitute a mandatory requirement.

9. Consequently, in accordance with PLT Article 6(1), the numbering of each claim shall preferably be preceded by the expression “Claim” (for example, “Claim 1”, “Claim 2”, “Claim 3”) in relation to the national and regional applications along the lines of Section 204*bis* of the Administrative Instructions.

(c) Modification of the Administrative Instructions relating to the calculation of the international filing fee and fee reduction; tables related to sequence listing (Section 707)

10. Section 707(a-*bis*) of the Administrative Instructions has been modified to include pages containing tables related to sequence listings in the page count to determine any page fees due and to charge the full page fees for such pages, irrespective of whether or not they were submitted in electronic form. In addition, in order to give applicants a greater incentive to file the sequence listing in the ST.25 text format rather than filing it in the ST.25 image format and simultaneously or subsequently furnishing a file in ST.25 text format for the purposes of international search only, Section 707(a-*bis*) has been modified to provide that, instead of maximum of 400 page fees payable, no page fees would be payable for a sequence

listing in ST.25 text format, but full page fees would be payable for all pages of a sequence listing filed in an ST.25 image format.

11. In accordance with PLT Article 6(4), a PLT Contracting Party is permitted, but not obliged, to charge fees in respect of national and regional applications. In addition, a Contracting Party is permitted to apply the provisions of the PCT relating to payment of application fees, including the method of such payment. Consequently, a PLT Contracting Party may apply the above modification to the Administrative Instructions relating to the calculation of the international filing fee, and tables related to sequence listing, in relation to national and regional applications. In particular, the Contracting Party may require that pages containing tables related to sequence listing are to be counted to determine the amount of the filing fee, irrespective of whether or not they were submitted in electronic form. In addition, the Contracting Party may also exempt the payment of fee in respect of sequence listing filed in the ST.25 text format.

(d) Deletion of Part 8 and of Annex C-bis (Mixed mode sequence listing applications)

12. Part 8 and Annex C-bis of the Administrative Instructions related to the filing of international applications containing sequence listings and/or tables. The provision allowed the filing of sequence listings and/or any table related to sequence listings only in electronic form on a physical medium or both on paper and in electronic form on a physical medium, so-called "mixed mode" sequence listing applications. Due to the deletion of Part 8 and of Annex C-bis, the choice for an applicant to file international applications containing sequence listings in a mixed mode is no longer given.

13. As a consequence to the above modifications to the Administrative Instructions described in paragraphs 10 and 12 of the present document, the Request Form PCT/RO/101 has been modified. In particular, the modification concerns the structure and content of check list in Box No. IX of the Request Form, as well as Annex to the Request Form (fee calculation sheet). In addition, the modified Request Form contains an alternative sheet which can only be used when filing via the United States Patent and Trademark Office's e-filing system, EFS-Web.

14. In accordance with PLT Article 6(2)(a), a PLT Contracting Party may require the use of a request Form prescribed by that Contracting Party. However, in accordance with PLT Article 6(2)(b) and Rule 3(2)(i), a PLT Contracting Party shall accept the presentation of the contents on the Model International Request Form provided in the Regulations. The Model International Request Form should contain the maximum possible contents that the Contracting Parties may require on a Request Form prescribed by each Contracting Party. Consequently, it is suggested that the Model International Request Form be modified along the modifications made on Request Form PCT/RO/101. In particular, the proposed modification would affect Box No. X (Check List) of the Model International Request Form. The proposed modified Model International Request Form as well as modified Notes to the Model International Request Form are contained in the Annex (added texts are underlined).

(e) Modification of Annex F, Appendix I

15. With respect to the standard for the electronic filing and processing of international applications, updates to Document Type Definitions (DTDs) were made in Appendix I of Annex F of the Administrative Instructions (Common Application Format and section 3.6

(sequence list)) in view of entry into force on July 1, 2009, of a number of amendments to the PCT Administrative Instructions.

16. In accordance with PLT Rules 8(2)(a) and 9(5)(b), where there are any requirements under the PCT in relation to communications (including applications) filed in electronic form or by electronic means of transmittal which are applicable to a PLT Contracting Party with respect to international applications in a particular language, that PLT Contracting Party shall permit the filing of national/regional applications and communications under the applicable law, in the said language, which comply with those requirements. Therefore, the consequence of the above modifications to Annex F, Appendix I of the Administrative Instructions thereof is that, where such modified format is applicable to a PLT Contracting Party in the PCT framework, it shall accept the filing of national/regional applications under the applicable law which comply with that format under Annex F, Appendix I, provided that the other requirements under the applicable law are also met.

III. APPLICABLE DATE OF AMENDMENTS AND MODIFICATIONS OF THE PCT TO THE PLT

17. Since the modifications of Sections 204 and 204*bis* of the Administrative Instructions entered into force on January 1, 2009, and the modification of Section 707, the Request Form (PCT/RO/101), Part 8 and Annex C-*bis* enters into force on July 1, 2009, it is suggested that those modifications apply to the PLT with immediate effect and that the modified Model International Request Form take effect immediately.

18. *The Assembly of the PLT is invited:*

(i) to adopt the modified Model International Request Form as set out in the Annex, and to decide that it shall enter into force with immediate effect; and

(ii) to decide that the modifications of the Administrative Instructions Under the PCT indicated in the present document as applicable, apply for the purposes of the PLT and its Regulations, with immediate effect.

[Annex follows]

ANNEX

**MODEL INTERNATIONAL FORM
UNDER THE PATENT LAW TREATY (PLT)**

.....*

For Office use only
Application No.
Filing Date

**REQUEST FOR THE GRANT OF
A PATENT**

Applicant's or representative's file reference (if desired)
--

* Indicate name of national or regional patent Office that is requested to grant a patent.

Box No. I TITLE OF INVENTION

--

Box No. II APPLICANT(S)

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)	Telephone No.
	Facsimile No.
	Registration No. or other indication registered with the Office

<input type="checkbox"/>	E-mail authorization: marking this check-box authorizes the Office to use the e-mail address to send, if the Office so wishes, advance copies of notifications in respect of this application.	E-mail address
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State (that is, country) of nationality:	State (that is, country) of residence:
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Further applicants are indicated on the following sheet: Continuation of Box No. II

Box No. III INVENTOR(S)

The applicant(s) indicated in Box No. II is(are) the sole inventor(s) (if this check-box is marked, do not fill in the rest of Box No. III)

Name and address: (Family name followed by given name. The address must include postal code and name of country.)

--

Further inventors are indicated on the following sheet: Continuation of Box No. III

Continuation of Box No. II FURTHER APPLICANT(S)	
<i>If none of the following sub-boxes is used, this sheet should not be included in the request.</i>	
Name and address: <i>(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)</i>	Telephone No.
	Facsimile No.
	E-mail address
	Registration No. or other indication registered with the Office
State <i>(that is, country)</i> of nationality:	State <i>(that is, country)</i> of residence:
Name and address: <i>(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)</i>	Telephone No.
	Facsimile No.
	E-mail address
	Registration No. or other indication registered with the Office
State <i>(that is, country)</i> of nationality:	State <i>(that is, country)</i> of residence:
Name and address: <i>(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)</i>	Telephone No.
	Facsimile No.
	E-mail address
	Registration No. or other indication registered with the Office
State <i>(that is, country)</i> of nationality:	State <i>(that is, country)</i> of residence:
Name and address: <i>(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)</i>	Telephone No.
	Facsimile No.
	E-mail address
	Registration No. or other indication registered with the Office
State <i>(that is, country)</i> of nationality:	State <i>(that is, country)</i> of residence:

Sheet No.

Continuation of Box No. III FURTHER INVENTOR(S)

If none of the following sub-boxes is used, this sheet should not be included in the request.

Name and address: *(Family name followed by given name. The address must include postal code and name of country.)*

Name and address: *(Family name followed by given name. The address must include postal code and name of country.)*

Name and address: *(Family name followed by given name. The address must include postal code and name of country.)*

Name and address: *(Family name followed by given name. The address must include postal code and name of country.)*

Name and address: *(Family name followed by given name. The address must include postal code and name of country.)*

Box No. IV REPRESENTATIVE: The person identified below is hereby/has been appointed to act on behalf of the applicant(s) before the Office as a representative	
Name and address:	Telephone No.
	Facsimile No.
	Registration No. or other indication registered with the Office
<input type="checkbox"/> E-mail authorization: marking this check-box authorizes the Office to use the e-mail address to send, if the Office so wishes, advance copies of notifications in respect of this application.	E-mail address Formatted: No underline
<input type="checkbox"/> The person above represents all applicants. <input type="checkbox"/> If not, specify the applicant(s) who is(are) represented by the person above:	
<input type="checkbox"/> The power of attorney is attached <input type="checkbox"/> The appointment is made in this request Form <input type="checkbox"/> The power of attorney (No.) is already in the possession of the Office.	
<input type="checkbox"/> Further representatives are indicated on the following sheet: Continuation of Box No. IV	
Box No. V ADDRESS FOR CORRESPONDENCE OR LEGAL SERVICE	
Name and address: <i>(Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)</i>	Telephone No.
	Facsimile No.
<input type="checkbox"/> E-mail authorization: marking this check-box authorizes the Office to use the e-mail address to send, if the Office so wishes, advance copies of notifications in respect of this application.	E-mail address Formatted: No underline
Box No. VI REGIONAL PATENT APPLICATION	
If the application is filed under a treaty providing for the grant of regional patents, designate, if applicable, the State or States in which protection for the invention is sought: <input type="checkbox"/> All member states of the international organization are designated. <input type="checkbox"/> If not, specify the designated States:	<input type="checkbox"/> Different applicants are designated for different States as follows:

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Annex, page 5

Sheet No.

Continuation of Box No. IV FURTHER REPRESENTATIVE(S): The person identified below is hereby/has been appointed to act on behalf of the applicant(s) before the Office as a representative.

If none of the following sub-boxes is used, this sheet should not be included in the request.

Name and address:	Telephone No.
	Facsimile No.
	E-mail address
	Registration No. or other indication registered with the Office

- The person above represents all applicants.
 If not, specify the applicant(s) who is(are) represented by the person above:

- The power of attorney is attached
 The appointment is made in this request Form
 The power of attorney (No.) is already in the possession of the Office.

Name and address:	Telephone No.
	Facsimile No.
	E-mail address
	Registration No. or other indication registered with the Office

- The person above represents all applicants.
 If not, specify the applicant(s) who is(are) represented by the person above:

- The power of attorney is attached
 The appointment is made in this request Form
 The power of attorney (No.) is already in the possession of the Office.

Name and address:	Telephone No.
	Facsimile No.
	E-mail address
	Registration No. or other indication registered with the Office

- The person above represents all applicants.
 If not, specify the applicant(s) who is(are) represented by the person above:

- The power of attorney is attached
 The appointment is made in this request Form
 The power of attorney (No.) is already in the possession of the Office.

Box No. VII DIVISIONAL APPLICATION; APPLICATION FOR A PATENT OF ADDITION OR APPLICATION OTHERWISE ASSOCIATED WITH ONE OR MORE OTHER APPLICATIONS				
The present application is: <input type="checkbox"/> a divisional application <input type="checkbox"/> an application for continuation <input type="checkbox"/> an application for continuation-in-part <input type="checkbox"/> an application for a patent of addition <input type="checkbox"/> an application by new applicant(s) determined by the competent authority to be entitled to an invention contained in an earlier application		Filing date of the other application, or of the application for the other patent, associated with the present application: Application or patent number of the other application or patent:		
<input type="checkbox"/> Further applications or patents that are associated with the present application are indicated on the following sheet: Continuation of Boxes Nos. VII and VIII				
Box No. VIII PRIORITY CLAIM: The priority of the following earlier application(s) is hereby claimed				
Filing date of earlier application <i>(day/month/year)</i>	Number of earlier application	Where earlier application is:		
		National application: country party to the Paris Convention or Member of WTO	Regional application:* regional Office	International application: receiving Office
item (1)				
item (2)				
item (3)				
A certified copy of the following earlier application(s) is attached. <input type="checkbox"/> item (1) <input type="checkbox"/> item (2) <input type="checkbox"/> item (3)				
*Where the earlier application is an ARIPO application, indicate at least one country party to the Paris Convention for the Protection of Industrial Property or one Member of the World Trade Organization for which that earlier application was filed: 				
<input type="checkbox"/> Further priority claims are indicated on the following sheet: Continuation of Boxes Nos. VII and VIII				
<input type="checkbox"/> Request for restoration of the right of priority: mark this check-box if the applicant(s) request(s) the restoration of the right of priority based on the earlier application(s) identified above or in the Continuation Sheet of Box No. VIII as item(s) _____. The reasons for the failure to comply with the priority period are indicated on additional sheet No. _____.				
<input type="checkbox"/> Incorporation by reference of earlier application(s): the contents of the earlier application(s) identified above or in the Continuation Sheet of Box No. VIII as item(s) _____ are incorporated by reference in the present application.				
Box No. IX DECLARATIONS				
The following declarations are contained in Boxes Nos. IX (i) to (v) (mark the applicable check-boxes below and indicate in the right column the number of each type of declaration).				Number of declarations
<input type="checkbox"/> Box No. IX (i)	Declaration as to the identity of the inventor			
<input type="checkbox"/> Box No. IX (ii)	Declaration as to the applicant's entitlement, as at the filing date, to apply for and be granted a patent			
<input type="checkbox"/> Box No. IX (iii)	Declaration as to the applicant's entitlement, as at the filing date, to claim the priority of the earlier application			
<input type="checkbox"/> Box No. IX (iv)	Declaration of inventorship			
<input type="checkbox"/> Box No. IX (v)	Declaration as to non-prejudicial disclosures or exceptions to lack of novelty			

Continuation of Boxes Nos. VII and VIII

If none of the following sub-boxes is used, this sheet should not be included in the request.

Continuation of Box No. VII DIVISIONAL APPLICATION; APPLICATION FOR A PATENT OF ADDITION OR APPLICATION OTHERWISE ASSOCIATED WITH ONE OR MORE OTHER APPLICATIONS

Filing date of the other application, or of the application for the other patent, associated with the present application:	Application or patent number of the other application or patent:
Filing date of the other application, or of the application for the other patent, associated with the present application:	Application or patent number of the other application or patent:
Filing date of the other application, or of the application for the other patent, associated with the present application:	Application or patent number of the other application or patent:
Filing date of the other application, or of the application for the other patent, associated with the present application:	Application or patent number of the other application or patent:

Continuation of Box No. VIII PRIORITY CLAIM: The priority of the following earlier application(s) is hereby claimed

Filing date of earlier application (day/month/year)	Number of earlier application	Where earlier application is:		
		National application: country party to the Paris Convention or Member of WTO	Regional application: * regional Office	International application: receiving Office
item (4)				
item (5)				
item (6)				
item (7)				
item (8)				
item (9)				

A certified copy of the following earlier application(s) is attached.

- item (4) Item (5) item (6)
 item (7) Item (8) item (9)

**Where the earlier application is an ARIPO application, indicate at least one country party to the Paris Convention for the Protection of Industrial Property or one Member of the World Trade Organization for which that earlier application was filed:*

.....
.....

Sheet No.

Box No. IX (i) DECLARATION: IDENTITY OF THE INVENTOR

Empty rectangular box for the declaration content.

This declaration is contained on the following sheet, "Continuation of Box No. IX (i)"

Sheet No.

Box No. IX (ii) DECLARATION: ENTITLEMENT TO APPLY FOR AND BE GRANTED A PATENT

Empty box for declaration content.

This declaration is contained on the following sheet, "Continuation of Box No. IX (ii)"

Sheet No.

Box No. IX (iii) DECLARATION: ENTITLEMENT TO CLAIM PRIORITY

Empty box for declaration content.

This declaration is continued on the following sheet, "Continuation of Box No. IX (iii)"

Sheet No.

Box No. IX (iv) DECLARATION: INVENTORSHIP

Empty rectangular box for the declaration content.

This declaration is continued on the following sheet, "Continuation of Box No. IX (iv)"

Sheet No.

Box No. IX (v) DECLARATION: NON-PREJUDICIAL DISCLOSURES OR EXCEPTIONS TO LACK OF NOVELTY

Empty box for declaration.

This declaration is contained on the following sheet, "Continuation of Box No. IX (v)"

Sheet No.

Continuation of Box No. IX (i) to (v) DECLARATION

*If the space is insufficient in any of Boxes Nos. IX (i) to (v) to furnish all the information, including in the case where **more than two inventors are to be named** in Box No. IX (iv), in such case, write "Continuation of Box No. IX ..." (indicate the item number of the Box) and furnish the information in the same manner as required for the purposes of the Box in which the space was insufficient. If additional space is needed in respect of two or more declarations, a separate continuation box must be used for each such declaration. If this Box is not used, this sheet should not be included in the request.*

Box No. X CHECK LIST		
<p>This application contains: on paper, the following number of sheets:</p> <p>(a) request (including declaration sheets) :</p> <p>(b) description (excluding sequence listing part of the description, see (f) below) :</p> <p>(c) claims :</p> <p>(d) abstract :</p> <p>(e) drawings :</p> <p>(f) sequence listing part of the description (if any) :</p> <p>Total number of sheets :</p>	<p>This application is accompanied by the following item(s) (mark the applicable check-boxes below and indicate in right column the number of each item):</p> <p>1. <input type="checkbox"/> original power of attorney :</p> <p>2. <input type="checkbox"/> copy of general power of attorney or single power of attorney that covers this application; reference number, if any:</p> <p>3. <input type="checkbox"/> priority document(s) identified in Box No. VIII as item(s):</p> <p>4. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material :</p> <p>5. <input type="checkbox"/> other (specify):</p> <p><input type="checkbox"/></p>	<p>Number of items</p> <p>Deleted: (a) .</p> <p>Deleted: and/or tables related thereto</p> <p>Deleted: _____</p> <p>Deleted: 5. evidence concerning non-prejudicial disclosures or exceptions to lack of novelty¶ 6</p> <p>Deleted: Sub-total number of sheets</p> <p>Formatted: Font: Not Bold</p> <p>Formatted: (Asian) Japanese</p> <p>Deleted: sequence listing - :¶ - tables related thereto . : (for both, actual number of sheets if filed on paper, whether or not also filed in electronic form; see (c) below)¶ - reference to a previously filed application replacing the description and drawings for the purpose of the filing date . :</p> <p>Deleted: (b) only in electronic form ¶ - (i) sequence listing¶ - (ii) tables related thereto¶ (c) also in electronic form ¶ - (i) sequence listing¶ - (ii) tables related thereto¶ Type and number of carriers (diskette, CD-ROM, CD-R or other) on which are contained the¶ - sequence listing: . ¶ - tables related thereto: .</p> <p>Formatted: No underline</p> <p>Deleted: ¶</p> <p>Deleted: ¶</p> <p>Deleted: ¶</p>
<p>Figure of the drawings which should accompany the abstract:</p>	<p>Language of filing of the application:</p>	
<p>Box No. XI SIGNATURE OR SEAL OF APPLICANT OR REPRESENTATIVE; DATE</p> <p>Next to each signature or seal, indicate the name of the person signing or whose seal is used and the capacity in which the person signs or whose seal is used (if such capacity is not obvious from reading the request) and the date of signature or of seal.</p>		
<p>Form PLT/request (last sheet) (../2009)</p> <p style="text-align: right;">See Notes to the request form</p>		

NOTES TO THE MODEL INTERNATIONAL REQUEST FORM UNDER THE PLT

These Notes have been prepared by the International Bureau of the World Intellectual Property Organization (WIPO) for explanatory purposes only. They are intended to facilitate the filling in of the Model International Request form. Where a conflict exists between the Notes and the provisions of the Patent Law Treaty and its Regulations, the latter prevail. No Note has been provided where no explanation appears to be required. The request form and these Notes may be downloaded from WIPO's website at: <http://www.wipo.int/treaties/en/ip/plt/forms.html>.

TITLE OF THE FORM

The name of the national or regional patent Office which is requested to grant a patent should be indicated over the dots. The box "applicant's or representative's file reference", which provides a space for any reference indications relating to the application, is intended for the convenience of the applicant and/or representative. Such indication is not mandatory.

BOX No. I

Title of Invention: The title must be short and precise. It must be identical with the title heading the description.

BOX No. II

Names and Addresses: The family name (preferably in capital letters) must be indicated before the given name(s). Titles and academic degrees must be omitted. Names of legal entities must be indicated by their full official designations.

The address must be indicated in such a way that it allows prompt postal delivery; it must consist of all the relevant administrative units (up to and including the indication of the house number, if any), the postal code (if any), and the name of the country.

Only one address may be indicated per person. For the indication of a special "address for correspondence or legal service", see the notes to Box No. V.

Telephone/Facsimile Number and/or E-mail address should be indicated for the person named in Box No. II in order to allow rapid communication with the applicant. Any such number should include the applicable country and area codes.

Unless the associated check-box is selected, any e-mail address supplied will be used only for the types of communication which might be made by telephone. If the associated check-box is checked, the Office may, if it so wishes send advance copies of notifications in respect of this application to the applicant via e-mail. Any such e-mail notification will be followed by the official notification on paper.

With respect to the addressee of the e-mail communication where the e-mail addresses of the applicant (Box No. II) and the representative (Box No. IV) and/or the e-mail address for correspondence (Box No. V), are provided, see the Notes to Box No. V.

Registration Number or other indication

registered with the Office: Where the applicant is registered with the national or regional Office, the number or other indication under which the applicant is so registered should be indicated, where required under the applicable law, in this box.

Nationality: For each applicant, the nationality must be indicated by the name of the State (that is, country) of which the person is a national. The two-letter codes appearing in WIPO Standard ST.3 may be used for the indication of names of States. A legal entity constituted according to the national law of a State is considered a national of that State. The indication of the nationality is not required where a person is inventor only.

Residence: For each applicant, the residence must be indicated by the name or two-letter code of the State (that is, country) of which the person is a resident. If the State of residence is not indicated, it will be assumed to be the same as the State indicated in the address. Possession of a real and effective industrial or commercial establishment in a State is considered residence in that State. The indication of the residence is not required where a person is inventor only.

BOX No. III

Inventor: For the manner in which name(s) and address(es) must be indicated, see the notes to Box No. II. Where the applicant(s) indicated in Box No. II is(are) the sole inventor(s), the relevant check-box must be marked, and there is no need to fill in the name(s) and address(es) of the inventor(s) again in Box No. III.

BOX No. IV

Representative: For the manner in which name(s) and address(es) (including names of States) must be indicated, see the notes to Box No. II. Where several representatives are listed, the representative to whom correspondence should be addressed should be listed first.

Manner of Appointment of Representative: The appointment of a representative may be effected by designating the representative in Box No. IV in the Request Form duly signed by the applicant, or, at the applicant's option, by a separate power of attorney (see PLT Rule 7(2)(a)). Where there are two or more applicants, the appointment of a common representative must be effected by each applicant signing, at his option, the request or a separate power of attorney. A single power of attorney shall be sufficient even where it relates to more than one application. It shall also be sufficient

even where it relates, subject to any exception indicated by the appointing person, to all existing and future applications or patents of that person (a general power of attorney)(see PLT Rule 7(2)(b)). Where such single power of attorney is filed, the Office may require that a separate copy thereof be filed for each application and patent to which it relates (see PLT Rule 7(2)(b)).

No power of attorney is needed in cases where no formal appointment of the representative is required either in respect of any representative or in respect of certain categories of representative (for example, in some countries, the category of “mandataire agréé”, that is, a registered agent admitted to practice before the Office without a power of attorney having to be submitted).

Registration Number or other indication registered with the Office: Where the representative is registered with the national or regional Office, the number or other indication under which the representative is so registered should be indicated, where required under the applicable law, in this box.

BOX No. V

Address for Correspondence or Legal Service: Where a representative is appointed, any correspondence intended for the applicant will be sent to the address indicated for that representative, unless that applicant expressly indicates another address for correspondence or legal service in Box No. V (see PLT Rule 10(4)). Where no representative is appointed and an applicant has provided his address on a territory prescribed by the Contracting Party in Box No. II, any correspondence will be sent to such applicant’s address, unless the applicant expressly indicates another address for correspondence or legal service in Box No. V (see PLT Rule 10(3)). The same applies to e-mail correspondences sending advance copies of notifications.

BOX No. VI

Regional Patent Application: Where the application is filed under a treaty providing for the grant of regional patents, the Member States of the regional organization in which protection for the invention is sought must, where required, be indicated in Box No. VI.

Where it is requested that the patent shall be granted to different applicants in different Contracting States of the regional organization, the check-box in the right column shall be marked, and it shall be specified which applicants request the grant of the patent in which countries.

BOX No. VII

Divisional Application; application for a patent of addition or application otherwise associated with one or more other applications: In the right column of Box No. VII, the filing date of the other application, or of the application for the other patent, associated with the present application as well as the application/patent number of such other application or patent must be indicated. The other application with which the present application associated may be, for example, the application from which a divisional application is divided

or the earlier application on which an application for continuation or continuation-in-part is based.

Where the application number of the other application has not been issued or is not known to the applicant, that application should be identified by furnishing, at the applicant’s option, (i) the provisional application number (if any) given by the Office, (ii) a copy of the request part of the application along with the date on which the application was sent to the Office, or (iii) a reference number given to the application by the applicant or his representative along with the name and address of the applicant, the title of the invention and the date on which the application was sent to the Office. As regards the identification of the patents, reference is made to WIPO Standard ST.1.

BOX No. VIII

Priority Claim(s): If the priority of an earlier application is claimed, the declaration containing the priority claim should be made in the request, subject to the condition that the applicant retains the opportunity to add or correct the priority claim as set out in PLT Article 13(1). The request must indicate the *date* on which the earlier application from which priority is claimed was filed and the *number* it was assigned. Concerning the presentation of the numbers of the applications on which the priority is based, reference is made to paragraph 12(a) of WIPO Standard ST.10/C. For the manner of identifying the earlier application, where the application number of the earlier application has not been issued or is not known to the applicant, see the notes to Box No. VII.

Where the earlier application is a national application, the *country* party to the Paris Convention for the Protection of Industrial Property, or the *Member* of the World Trade Organization that is not a party to that Convention, in which that earlier application was filed must be indicated. Where the earlier application is a regional application, the *regional Office* concerned must be indicated. Where the earlier application is an international application under the PCT, the *receiving Office* with which that earlier application was filed must be indicated. Where the earlier application is a regional application (other than an application filed with the African Regional Intellectual Property Office (ARIPO)), or an international application, the priority claim may also, if the applicant so wishes, indicate one or more countries party to the Paris Convention for which that earlier application was filed; such an indication is, however, not mandatory. Where the earlier application is an ARIPO application, at least one country party to the Paris Convention or one Member of the World Trade Organization for which that earlier application was filed must be indicated.

Certified Copy of Earlier Application: The Office may require that a certified copy of each earlier application the priority of which is claimed (priority document) be submitted by the applicant, irrespective of whether that earlier application is a national, regional or international application, unless the earlier application was filed with the same Office, or is available to that Office from a digital library which is accepted by the Office for that purpose (PLT Rule 4).

Request for Restoration of the Right of Priority:

Where the application is filed on a date which is later than the date on which the priority period expired but within the time limit prescribed in the applicable law (minimum two months), the applicant may request the Office to restore the right of priority. Such a request may be made in the Request Form by marking the relevant check-box or it may be filed within the time limit prescribed in the applicable law (minimum two months from the date on which the priority period expired, or the time that any technical preparations for publication of the subsequent application have been completed, whichever expires earlier).

If the request for restoration of the right of priority is made in the Request Form, the reasons for the failure to comply with the priority period shall be indicated on an additional sheet. A Contracting Party may require that the request be signed by the applicant (see PLT Rule 14(5)(i)).

Incorporation by Reference of Earlier

Application(s): Under certain conditions, where a part of the description or a drawing is missing from the application on the filing date, an applicant may later include such missing part of the description or the missing drawing in the application without loss of the filing date (see PLT Article 5(6)(b) and Rule 2(3) and (4)). As one of those conditions to be complied with, a Contracting Party may require that the application contain an indication that the contents of the earlier application were incorporated by reference in the application at the date on which one or more elements referred to in PLT Article 5(1)(a) were first received by the Office (see PLT Rule 2(4)(v)). The check-box in the Model International Request Form allows an applicant to comply with such requirement.

BOX No. IX

Declarations: The request may contain one or more of the following declarations:

- (i) declaration as to the identity of the inventor;
- (ii) *declaration as to the applicant's entitlement, as at the filing date, to apply for and be granted a patent;*
- (iii) declaration as to the applicant's entitlement, as at the filing date, to claim the priority of the earlier application;
- (iv) declaration of inventorship;
- (v) declaration as to non-prejudicial disclosures or exceptions to lack of novelty.

Where any such declarations are included, the appropriate check-boxes in Box No. IX should be marked and the number of each type of declaration should be indicated in the right-hand column. The declarations may be worded in a way that corresponds to the standardized wording provided for in Boxes Nos. IX(i) to (v), as detailed below. Those standardized texts are meant to be guidelines for the drafting of the declarations. If the circumstances of a particular case are such that the standardized wordings are not applicable, the declarations may need to be adapted in the specific case, but

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nevertheless need to correspond to the contents of the applicable elements in the standardized declarations.

**BOXES Nos. IX(i) to (v)
(IN GENERAL)**

Different Declaration Boxes: There are six different declaration boxes in the request form—one box for each of the five different types of declarations (Box No. IX(i) to Box No. IX(v)) and a continuation sheet (Continuation of Box No. IX(i) to (v)) to be used in case any single declaration does not fit in the corresponding box.

Titles, Items, Item Numbers, Dotted Lines, Words in Parentheses and Words in Brackets: The prescribed standardized wording of the declarations includes titles, various items, item numbers, dotted lines, words in parentheses and words in brackets. Except for Box No. IX(iv), only those items which are applicable may be included in a declaration where necessary to support the statements in that declaration (that is, omit those items which do not apply) and item numbers need not be included. Dotted lines indicate where information is required to be inserted. Words in parentheses are instructions to applicants as to the information which may be included in the declaration depending upon the factual circumstances. Words in brackets are optional and should appear in the declaration without the brackets if they apply; if they do not apply, they should be omitted together with the corresponding brackets.

Naming of Several Persons: More than one person may be named in a single declaration. In the alternative, with one exception, a separate declaration may be made for each person. With respect to the declaration of inventorship set forth in Box No. IX(iv), all inventors must be indicated in a single declaration (see Notes to Box No. IX(iv), below). The wording of declarations to be set forth in Boxes Nos. IX(i), (ii), (iii) and (v) may be adapted from the singular to the plural as necessary.

BOX No. IX(i)

Declaration as to the Identity of the Inventor: The declaration may be worded in a way that corresponds to the following:

“Declaration as to the identity of the inventor:

in relation to [this] application [No. ...], (*name*) ... of (*address*) ... is the inventor of the subject matter for which protection is sought by way of [the] [this] application.”

A declaration in Box No. IX(i) is not necessary in respect of any inventor who is indicated as such (either as inventor only or as applicant and inventor) in Box No. II and/or No. III. However, where the inventor is not indicated in Box No. III, but is indicated as applicant in Box No. II, a declaration as to the applicant's entitlement to apply for and be granted a patent in Box No. IX(ii) may be appropriate (where the applicable national law requires that an application be filed by the inventor, however, declaration of inventorship in Box No. IX(iv) shall be made). Where indications regarding the inventor are not included in Box No. II and/or No. III, this declaration may be combined with the prescribed

wording of the declaration as to the applicant's entitlement to apply for and be granted a patent (Box No. IX(ii)). For details on such a combined declaration, see Notes to Box No. IX(ii), below. For details as to the declaration of inventorship where the applicable national law requires that an application be filed by the inventor, see Notes to Box No. IX(iv), below.

BOX No. IX(ii)

Declaration as to the Applicant's Entitlement to Apply for and Be Granted a Patent: The declaration may be worded in a way that corresponds to the following:

"Declaration as to the applicant's entitlement, as at the filing date, to apply for and be granted a patent:

in relation to [this] application [No. ...], (*Name*) ... is entitled to apply for and be granted a patent by virtue of the following:

- (i) (*name*) ... of (*address*) ... is the inventor of the subject matter for which protection is sought by way of [the] [this] application
- (ii) (*name*) ... [is][was] entitled as employer of the inventor, (*inventor's name*) ...
- (iii) an agreement between (*name*) ... and (*name*) ... dated ...
- (iv) an assignment from (*name*) ... to (*name*) ... dated ...
- (v) consent from (*name*) ... in favor of (*name*) ... dated ...
- (vi) a court order issued by (*name of court*) ... effecting a transfer from (*name*) ... to (*name*) ... dated ...
- (vii) transfer of entitlement from (*name*) ... to (*name*) ... by way of (*specify kind of transfer*) ... dated ...
- (viii) the applicant's name ... changed from (*name*) ... to (*name*) ... on (*date*) ..."

This declaration is only applicable to those events which have occurred prior to the filing date. The possible kinds of transfer of entitlement in item (vii) include merger, acquisition, inheritance, donation, etc. Where there has been a succession of transfers from the inventor, the order in which transfers are listed should follow the actual succession of transfers, and items may be included more than once, as necessary to explain the applicant's entitlement. Where the inventor is not indicated in Box No. II and/or No. III, this declaration may be presented as a combined declaration explaining the applicant's entitlement to apply for and be granted a patent and identifying the inventor. In such a case, the introductory phrase of the declaration must be replaced by the following words: "Combined declaration as to the applicant's entitlement, as at the filing date, to apply for and be granted a patent and as to the identity of the inventor, in a case where the declaration of inventorship (Box. No. IX(iv) is not appropriate:". The remainder of the combined declaration must be worded as indicated in Box. No. IX(ii).

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BOX. No. IX(iii)

Declaration as to the Applicant's Entitlement to Claim Priority of the Earlier Application: The declaration may be worded in a way that corresponds to the following:

"Declaration as to the applicant's entitlement, as at the filing date, to claim the priority of the earlier application specified below, where the applicant is not the applicant who filed the earlier application or where the applicant's name has changed since the filing of the earlier application:

in relation to [this] application [No. ...] (*Name*) ... is entitled to claim priority of earlier application No. ... by virtue of the following:

- (i) the applicant is the inventor of the subject matter for which protection was sought by way of the earlier application;
- (ii) (*name*) ... [is][was] entitled as employer of the inventor, (*inventor's name*) ...
- (iii) an agreement between (*name*) ... and (*name*) ... dated ...
- (iv) an assignment from (*name*) ... to (*name*) ... dated ...
- (v) consent from (*name*) ... in favor of (*name*) ... dated ...
- (vi) a court order issued by (*name of court*) ... effecting a transfer from (*name*) ... to (*name*) ... dated ...
- (vii) transfer of entitlement from (*name*) ... to (*name*) ... by way of (*specify kind of transfer*) ... dated ...
- (viii) the applicant's name changed from (*name*) ... to (*name*) ... on (*date*) ..."

This declaration is only applicable to those events which have occurred prior to the filing date. In addition, this declaration is only applicable where the person or name of the applicant is different from that of the applicant who filed the earlier application from which priority is claimed. For example, this declaration may be applicable where only one applicant out of several is different from the applicants indicated in respect of an earlier application. The possible kinds of transfer of entitlement in item (vii) include merger, acquisition, inheritance, donation, etc. Where there has been a succession of transfers from the applicant in respect of the earlier application, the order in which transfers are listed should follow the actual succession of transfers, and items may be included more than once, as necessary to explain the applicant's entitlement.

BOX. No. IX(iv)

Declaration of Inventorship: This declaration is applicable only in the United States of America. The declaration may be worded as:

"Declaration of Inventorship:

I hereby declare that I believe I am the original, first and sole (if only one inventor is listed below) or joint (if more than one inventor is listed below) inventor of the subject matter which is claimed and for which a patent is sought.

BOX No. IX(v)

This declaration is directed to the application of which it forms a part.

I hereby declare that my residence, mailing address, and citizenship are as stated next to my name.

I hereby state that I have reviewed and understand the contents of the above-identified application, including the claims of said application. I have identified in the request of said application, any claim to foreign priority, and I have identified below, under the heading "Prior Applications," by application number, country or Member of the World Trade Organization, day, month and year of filing, any application for a patent or inventor's certificate filed in a country other than the United States of America, including any PCT international application designating at least one country other than the United States of America, having a filing date before that of the application on which foreign priority is claimed.

Prior Applications:

I hereby acknowledge the duty to disclose information that is known by me to be material to patentability as defined by 37C:F.R. §1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the filing date of the continuation-in-part application.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name: ...
Residence: ... (city and either US state; if applicable, or country)
Mailing Address: ...
Citizenship: ...
Inventor's Signature: ... Date: ...
(The signature must be that of the inventor, not that of the representative)"

The name, residence, address and citizenship must be included for each inventor. All inventors must sign and date the declaration even if they do not all sign the same copy of the declaration. If the Box does not have enough space to indicate all inventors, other inventors must be indicated on the "Continuation of Box No. IX(i) to (v)" sheet. The continuation sheet should be entitled "Continuation of Box No. IX(iv)," and must indicate the name, residence, address and citizenship for those other inventors. In such a case, the "complete declaration" includes Box No. IX(iv) and the continuation sheet. All inventors must sign and date a complete declaration even if they do not all sign the same copy of the complete declaration, and a copy of each separately signed complete declaration must be submitted.

Notes to the request form (.../2009)

Declaration as to Non-prejudicial Disclosures or Exceptions to Lack of Novelty: The declaration may be worded in a way that corresponds to the following:

"Declaration as to non-prejudicial disclosures or exceptions to lack of novelty:

in relation to [this] application [No. ...] (*Name*) declares that the subject matter claimed in [the] [this] application was disclosed as follows:

- (i) kind of disclosure (*include as applicable*):
 - (a) international exhibition: ...
 - (b) publication: ...
 - (c) abuse: ...
 - (d) other (*specify*): ...
- (ii) date of disclosure: ...
- (iii) title of disclosure (*if applicable*): ...
- (iv) place of disclosure (*if applicable*): ..."

Either (a), (b), (c) or (d) of item (i) should always be included in the declaration. Item (ii) should also always be included in the declaration. Items (iii) and (iv) may be incorporated depending upon the circumstances.

BOX No. X

Items Constituting the Application: The number of sheets of the various parts of the application must be given in the check list. Sheets containing any of Boxes Nos. IX(i) to (v) must be counted as part of the request. Where the application discloses one or more nucleotide and/or amino acid sequences, the number of pages of the sequence listing must be indicated under item (f) in Box No. X and included in the total number of sheets. Item (f) in Box No. X shall indicate the number of pages of the sequence listing irrespective whether such sequence listing submitted on paper or in electronic form only or both in electronic form and on paper.

According to PLT Article 6(1), the sequence listing must be presented as a separate part of the description ("sequence listing part of description") in accordance with the standard contained in Annex C of the Administrative Instructions under the PCT.

Items Accompanying the Application: Where the application is accompanied by certain items, the applicable check-boxes must be marked, any applicable indication must be made on the dotted line after the applicable item, and the number of such items should be indicated at the end of the relevant line; detailed explanations are provided below only in respect of those items which so require.

Check-box No. 2: Mark this check-box where the general power of attorney or a single power of attorney that covers this application has been deposited with the Office and a copy of such a power is filed with the application; if a reference number has been accorded, that number may be indicated.

Check-box No. 4: Mark this check-box where a separate sheet containing indications concerning deposited microorganisms and/or other biological material is filed with the application. If the applicable national/regional law requires that any sheet containing

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Deleted: Where the application contains disclosure of one or more nucleotide and/or amino acid sequences, the applicable national/regional law may require that such sequences shall be submitted on paper. In that case, the applicant shall file the sequence listing and/or tables related thereto *on paper only*, in which case the number of sheets of the listing and/or tables, respectively, must be indicated under item (a) in the left column of Box No. X (and therefore included in the total number of sheets). In certain Contracting Parties, the applicable national/regional law may require, or accept, the sequence listing and/or tables related thereto *in electronic form only*, in which case check-boxes (b)(i) and/or (b)(ii) must be marked but the spaces for the number of sheets of the sequence listing and/or tables, respectively, under item (a) must be left blank; the type and number of carriers must also be indicated on the dotted lines at the bottom of the left column. Further, the applicable national/regional law may require, or accept, the sequence listing and/or tables related thereto *both in electronic form and on paper*, in which case the number of sheets (on paper) of the sequence listing and/or tables, respectively, must be indicated under item (a) in the left column of Box No. X and check-boxes (c)(i) and/or (c)(ii), respectively, must be marked; the type and number of carriers must also be indicated on the dotted lines at the bottom of the left column.¶

Deleted: Also, tables related to a sequence listing must be presented in accordance with the standard contained in Annex C-bis of the Administrative Instructions under the PCT.¶

the said indications be included as one of the sheets of the description, do not mark this check-box.

Check-box No. 5: Where the application is accompanied by an item other than those referred to in items 1 to 4 in accordance with the applicable national/regional law, check-box No. 5 must be marked and subject matter of such an item must be specified.
This may include evidence concerning non-prejudicial disclosures or exceptions to lack of novelty.

BOX No. XI

Signature: The signature or seal must be that of the applicant, and if there are several applicants, all must sign or use their seals in accordance with the applicable national/regional law. Where the signature on the request is not that of the applicant but that of the representative, separate power of attorney appointing the representative, or a copy of a general power of attorney, or a single

power of attorney that covers this application, which is already in the possession of the Office, must be furnished unless submission of a power of attorney is not required under the applicable law.

Date: Where the indication of the date of the signature or seal is required by the applicable law, but is not supplied, the date on which the signing is deemed to have been effected shall be the date on which the application was received by the Office or, if the applicable law so permits, a date earlier than the latter date (see PLT Rule 9(2)).

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