

# WIPO



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DATE: August 23, 1974

## WORLD INTELLECTUAL PROPERTY ORGANIZATION GENEVA

### PATENT COOPERATION TREATY

#### INTERIM ADVISORY COMMITTEE FOR ADMINISTRATIVE QUESTIONS

#### WORKING GROUP ON FORMS

First Session: Geneva, September 9 to 13, 1974

#### CITATION OF SECTIONS OF ADMINISTRATIVE INSTRUCTIONS (CORRIGENDUM)

prepared by the International Bureau

1. The forms set forth in working documents PCT/AAQ/WGF/2 to 5 which have been submitted to the Working Group on Forms (hereinafter referred to as "the Working Group") contain numerous citations of Sections of the Administrative Instructions.

2. Since the time when the working documents were submitted, a revised draft of the Administrative Instructions has been prepared for the fifth session of the PCT Interim Advisory Committee for Administrative Questions to be held from November 13 to 19, 1974. Consequently, many of the Sections of the Administrative Instructions which are cited in the forms have been changed.

3. In order to permit the Working Group to give full consideration to the forms, a copy of the revised draft of the Administrative Instructions (document PCT/AAQ/V/2) is annexed hereto. A list of the old Section numbers as they appear in the forms and the corresponding new Section numbers as they appear in the revised draft of the Administrative Instructions is given below.

4. The new Section numbers are those contained in brackets. The small dash next to the numbers of the four new Sections of the revised draft of the Administrative Instructions signifies that no corresponding Sections existed in the old draft.

OLD	(NEW)	OLD	(NEW)	OLD	(NEW)	OLD	(NEW)	OLD	(NEW)	OLD	(NEW)
001	(101)	101	(105)	201	(301)	301	(501)	401	(401)	501	(601)
002	(102)	102	(201)	202	(302)	302	(502)	402	(402)	502	(602)
003	(103)	103	(202)	203	(303)	303	(503)	403	(403)	503	(603)
004	(104)	104	(203)	204	(304)	304	(504)	404	(404)	504	(604)
			(204)	205	(305)	305	(505)	405	(406)		
			(205)	206	(306)	306	(506)	406	(407)		
			(206)	207	(307)	307	(507)	407	(408)		
			(108)	208	(308)	-	(508)	408	(409)		
			(109)	209	(309)	-	(509)				
		110	(106)	210	(310)						
		-	(207)	211	(311)						
		-	(208)	212	(107)						
				213	(312)						
				214	(313)						
				215	(314)						

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WORLD INTELLECTUAL PROPERTY ORGANIZATION  
GENEVA

**PATENT COOPERATION TREATY**

**INTERIM ADVISORY COMMITTEE FOR ADMINISTRATIVE QUESTIONS**

**Fifth Session: Geneva, November 12 to 19, 1974**

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

prepared by the International Bureau

SUMMARY

This document contains the second revised draft of the PCT Administrative Instructions. The provisions relate primarily to the procedures under Chapters I and II; however, some matters under other Chapters of the PCT are also covered.

INTRODUCTION

Relevant Provisions of the PCT Relating to the Administrative Instructions

1. Article 58(4) of the Patent Cooperation Treaty (PCT) stipulates that: "The Regulations provide for the establishment, under the control of the Assembly, of Administrative Instructions by the Director General."

2. Rule 89 of the Regulations under the PCT, which is entitled "Administrative Instructions," reads as follows:

"89.1 Scope

(a) The Administrative Instructions shall contain provisions:

(i) concerning matters in respect of which these Regulations expressly refer to such Instructions,

(ii) concerning any details in respect of the application of these Regulations.

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

"89.2 Source

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

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

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

"89.3 Publication and Entry Into Force

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

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

Background to this Document

3. A first draft of the Administrative Instructions under the PCT was submitted as document PCT/AAQ/III/2 to the PCT Interim Advisory Committee for Administrative Questions (hereinafter referred to as "the Interim Committee") at its third session, held at Geneva in October 1972.

4. The comments made by the members of the Interim Committee at that session were taken into consideration by the International Bureau in preparing a revised draft, which was submitted as document PCT/AAQ/IV/2 to the fourth session of the Interim Committee, held at Tokyo in October 1973.

5. The members of the Interim Committee discussed the revised draft in detail at the Tokyo session and agreed that the International Bureau should continue its efforts in the elaboration of the Administrative Instructions in light of the comments made.

Contents of this Document

6. This document contains the second revised draft of the Administrative Instructions. It incorporates the changes agreed upon at the fourth session of the Interim Committee as well as the results of further study and examination by the International Bureau.

Forms to be Annexed to the Administrative Instructions

7. In order to facilitate the practical implementation of the PCT, the Administrative Instructions will be supplemented by Forms for use by applicants and by the various PCT Authorities in effecting the required communications. The drafts of such Forms have been submitted for review to the September 1974 session of the Working Group on Forms established by the Interim Committee. Subject to the results of that session of the Working Group on Forms, it is to be expected that the Forms will be submitted for the consideration of the Interim Committee in its 1975 session. It might be preferable to defer discussion on Sections 102 and 103 of the present draft Administrative Instructions until the said session.

8. In drafting both the Administrative Instructions and the Forms, consideration was given to the question whether the particulars in respect of the contents of the Forms should be set forth in provisions (called Sections) of the Administrative Instructions in addition to being set forth in the Forms themselves, and whether the Forms would be annexed to the Administrative Instructions. The system followed in the draft Administrative Instructions is based on two principles, namely: (i) that as much as possible of the said particulars should go into the draft Forms themselves, (ii) that the Forms would be annexed to the Administrative Instructions and the particulars contained in the

Forms would not be repeated in the provisions of the Administrative Instructions. The reason for the first principle is that a Form is more easy to understand than the text of a provision since a Form not only contains, but to a great extent also illustrates, the practical application of any provision. The reason for the second principle is that duplication should be avoided as much as possible. It would be impossible to avoid considerable duplication if the texts of the provisions were to set forth the particulars of what each Form must contain.

9. The Interim Committee is invited to comment on the draft Administrative Instructions, including the Annexes, contained in this document.

ADMINISTRATIVE INSTRUCTIONS  
(SECOND REVISED DRAFT)

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PART 1

INTRODUCTORY PROVISIONS

SECTION 101

ABBREVIATED EXPRESSIONS

In these Administrative Instructions:

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

SECTION 102\*

USE OF THE FORMS

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

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

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

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

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\* See paragraph 7 of the Introduction to the present document.

\*\* Once the Forms are available, two questions will be examined: (i) whether this paragraph should refer also to other Forms, (ii) whether in the case of some Forms only the contents but not also their layout should be compulsory.



SECTION 103\*

LANGUAGES OF THE FORMS\*\*

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

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

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

SECTION 104

LANGUAGE OF CORRESPONDENCE FROM THE APPLICANT

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

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

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\* See paragraph 7 of the Introduction to the present document.

\*\* The question whether and to what extent Forms established in a language other than English should contain printed text matter also in English will be considered once the Forms are available.

SECTION 105

SEVERAL APPLICANTS

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

SECTION 106

COMMON AGENT FOR SEVERAL APPLICANTS

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

SECTION 107

IDENTIFICATION OF INTERNATIONAL AUTHORITIES

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

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

SECTION 108

ADDRESSEE OF CORRESPONDENCE INTENDED FOR THE APPLICANT

(a) Any correspondence from any International Authority intended for the applicant shall be addressed:

- (i) where one agent has been designated or appointed, to that agent,
- (ii) where several agents have been designated in the request, to the agent first mentioned therein,
- (iii) where several agents have been appointed in one or more separate powers of attorney, to the agent first mentioned in the first filed separate power of attorney.

(b) Where paragraph (a) does not apply, any correspondence from any International Authority intended for the applicant shall be addressed:

- (i) where several applicants are represented by a common representative or a common agent, to that representative or agent,
- (ii) where several common agents have been designated in the request, to the common agent first mentioned therein,
- (iii) where several common agents have been appointed in one or more separate powers of attorney, to the common agent first mentioned in the first filed separate power of attorney.

SECTION 109

NOTIFICATION OF AUTHORIZATION OR REFUSAL OF RECTIFICATION

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

PART 2INSTRUCTIONS RELATING TO THE  
INTERNATIONAL APPLICATION

## SECTION 201

## DATES\*

Alternative A [ICIREPAT Standard]

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

Alternative B [ISO Standard]

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

## SECTION 202

## NAMES OF STATES

Any State designated in the request shall be indicated either by its full name or by a generally accepted short title which, if the indications are in English or French, shall be as appearing in Annex A. The receiving Office, or

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

the International Bureau where the receiving Office fails to do so, shall insert, in parenthesis, after the indication of the name of any State, the two-letter country code as appearing in Annex B (for example, "Argentine Republic (AR)" or "Argentina (AR)").

## SECTION 203

## KIND OF PROTECTION

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

(b) Where the applicant is seeking two kinds of protection under Article 44, he shall make the indication in the request referred to in Rule 4.12(b) by inserting, immediately after the indication of the designated State concerned and in the language of the international application, either

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

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

## SECTION 204

## REGIONAL PATENTS

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

(i) where Article 4(1)(ii), third sentence, applies, and not all the States party to the regional treaty have been designated, the International Bureau shall treat the international application as if all those States had been designated and as if the designations of all such States contained the said words, whether the said designations contained an indication of the wish

to obtain a regional patent or, according to Article 4(1)(ii), fourth sentence, are to be treated as containing such indication;

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

## SECTION 205

### HEADINGS OF THE PARTS OF THE DESCRIPTION

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

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

## SECTION 206

### NUMBERING OF AMENDED CLAIMS

- (a) A claim amended in part shall maintain its original number.
- (b) A deleted claim shall be indicated by the original number followed by the word "(cancelled)" or its equivalent in the language of the international application, provided that language is French, German, Japanese or Russian.
- (c) Any claim which did not appear in the international application as filed shall bear the next number after the highest previously numbered claim, followed by the word "(new)" or its equivalent in the language of the international application, provided that language is French, German, Japanese or Russian.

SECTION 207

COMMON REPRESENTATIVE DESIGNATED IN THE REQUEST

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

SECTION 208

NUMBERING OF SHEETS OF THE INTERNATIONAL APPLICATION

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

PART 3INSTRUCTIONS RELATING TO THE RECEIVING OFFICE

## SECTION 301

## NOTIFICATION OF RECEIPT OF PURPORTED INTERNATIONAL APPLICATION

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

## SECTION 302

## NOTIFICATION OF PRIORITY CLAIM CONSIDERED NOT TO HAVE BEEN MADE

Where, owing to failure to meet the requirements of Rule 4.10(b), the priority claim is, for the purposes of procedure under the Treaty, considered not to have been made, the receiving Office shall indicate that fact in the international application and shall notify the applicant accordingly. If copies of the international application have already been sent to the International Bureau and the International Searching Authority, the receiving Office shall also notify that Bureau and that Authority.

## SECTION 303

## DELETION OF ADDITIONAL MATTER IN THE REQUEST

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

## SECTION 304

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

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



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

## SECTION 305

## IDENTIFYING THE COPIES OF THE INTERNATIONAL APPLICATION

(a) Where, under Rule 11.1(a), the international application has been filed in one copy, the receiving Office shall stamp the words "record copy" in the upper left-hand corner of its first page. After preparing under Rule 21.1(a) the additional copies required under Article 12(1), the receiving Office shall stamp, in the upper left-hand corner of the first page of one such copy, the words "search copy" and, in the same space on the other such copy, the words "home copy," or their equivalent in the language of the international application.

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

## SECTION 306

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

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

## SECTION 307

## SYSTEM FOR NUMBERING INTERNATIONAL APPLICATIONS

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

"SU76/0001")

(b) The international application number shall be the provisional file number referred to in paragraph (a), preceded by the letters "PCT" followed by a slant (e.g., "PCT/SU76/OOOO1").

## SECTION 308

## MARKING OF THE SHEETS OF THE INTERNATIONAL APPLICATION

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

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

## SECTION 309

## PROCEDURE IN THE CASE OF LATER SUBMITTED SHEETS

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

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

- (i) effect the required correction of the international filing date, or, where no international filing date has yet been accorded, of the date of receipt of the purported international application;
- (ii) notify the applicant of the correction effected under item (i), above;
- (iii) where transmittals under Article 12(1) have already been made, notify the International Bureau and the International Searching Authority of any correction effected under item (i), above, and forward copies of the later submitted sheets to the said Bureau and the said Authority;
- (iv) where transmittals under Article 12(1) have not yet been made, attach a copy of the later submitted sheets to the record copy and the search copy.

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

- (i) notify the applicant of that fact and of the date of receipt of the later submitted sheets;
- (ii) where transmittals under Article 12(1) have already been made, forward a copy of the later submitted sheets to the International Bureau with the indication that such sheets are not to be taken into consideration for the purposes of international processing;
- (iii) where transmittals under Article 12(1) have not yet been made, attach a copy of the later submitted sheets to the record copy with the indication that such sheets are not to be taken into consideration for the purposes of international processing.

SECTION 310

PROCEDURE IN THE CASE OF MISSING DRAWINGS

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

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

- (i) effect the required correction of the international filing date, or, where no international filing date has yet been accorded, of the date of receipt of the purported international application;
- (ii) notify the applicant of the correction effected under item (i), above;
- (iii) where transmittals under Article 12(1) have already been made, notify the International Bureau and the International Searching Authority of any correction effected under item (i), above, and forward copies of the later submitted drawings to the said Bureau and the said Authority;
- (iv) where transmittals under Article 12(1) have not yet been made, attach a copy of the later submitted drawings to the record copy and the search copy.

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

- (i) notify the applicant of that fact and of the date of receipt;
- (ii) where transmittals under Article 12(1) have already been made, forward a copy of the later submitted drawings to the International Bureau with the indication that such drawings are not to be taken into consideration for the purposes of international processing;
- (iii) where transmittals under Article 12(1) have not yet been made, attach a copy of the later submitted drawings to the record copy with the indication that such drawings are not to be taken into consideration for the purposes of international processing.

#### SECTION 311

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

The receiving Office shall sequentially renumber the sheets of the international application when necessitated by the addition of any new sheet, the deletion of entire sheets or the change in the order of the sheets.

#### SECTION 312

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

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

#### SECTION 313

##### MANNER OF MAKING THE NECESSARY ANNOTATIONS IN THE CHECK LIST

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

SECTION 314

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

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

(b) Where, under Rule 4.10(d), the receiving Office cancels the declaration made under Article 8(1), that Office shall stamp over the said declaration the words "Cancelled on the request of the applicant" or "Cancelled ex officio by the receiving Office," or their equivalent in the language of the international application, as the case may be.

PART 4

INSTRUCTIONS RELATING TO THE  
INTERNATIONAL BUREAU

SECTION 401

MARKING OF SHEETS OF THE RECORD COPY

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

SECTION 402

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

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

SECTION 403

TRANSMITTAL OF PROTEST AGAINST PAYMENT OF  
ADDITIONAL FEE AND DECISION THEREON

Where the International Bureau receives a request under Sections 502 and 603, it shall proceed according to such request.

SECTION 404

INTERNATIONAL PUBLICATION NUMBER

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

SECTION 405

SPECIAL PUBLICATION FEE

The special publication fee provided for in Rule 48.4 shall be ... Swiss francs.

SECTION 406

PAMPHLETS\*

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

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

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

SECTION 407

THE GAZETTE

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

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

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

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

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

## SECTION 408

## PRIORITY APPLICATION NUMBER

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

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

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

## SECTION 409

NOTIFICATIONS OF PRIORITY CLAIM CONSIDERED  
NOT TO HAVE BEEN MADE

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



PART 5

INSTRUCTIONS RELATING TO THE  
INTERNATIONAL SEARCHING AUTHORITY

SECTION 501

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

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

SECTION 502

PROTEST AGAINST PAYMENT OF ADDITIONAL FEE  
AND DECISION THEREON

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

SECTION 503

METHOD OF IDENTIFYING DOCUMENTS CITED IN THE  
INTERNATIONAL SEARCH REPORT

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

(a) In the case of any patent document (patent documents being patents within the meaning of Article 2(ii) as well as published applications relating thereto)

- (i) the Office that issued the document, by the two-letter code as in Annex B;
- (ii) the kind of document, by the appropriate symbols as in Annex C;
- (iii) the number of the document as given to it by the Office that issued it;

- (iv) the date of publication of the document;
- (v) where applicable, the pages, columns or lines where the relevant passages appear, or the relevant figures of the drawings; and
- (vi) any other pertinent data necessary for the identification of the document.

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

- (i) the name of the author;
- (ii) the title (including, where applicable, the number of the edition and/or volume);
- (iii) the year of publication (the day and month may also be indicated);
- (iv) the name of the publisher;
- (v) the place of publication; and
- (vi) where applicable, the pages, columns or lines where the relevant passages appear, or the relevant figures of the drawings.

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

- (i) the title of the periodical or other serial publication;
- (ii) the number of the volume and the date of the issue in which the article appears;
- (iii) the place of publication;
- (iv) the author and the title of the article and the number of the page on which the article starts; and
- (v) where applicable, the pages, columns or lines where the relevant passages appear, or the relevant figures of the drawings.

(d) In the case of abstracts

- (i) the identification of the document containing the abstract in the manner set forth in paragraphs (a), (b) or (c), respectively, depending upon whether the abstract is contained in a patent document, in a book or other separately issued publication, or in an article published in a periodical or other serial publication;
- (ii) in cases where the abstract is not published together with the full text document which served as its basis, the identification, where available, of that full text document in the manner set forth in paragraphs (a), (b) or (c), respectively, depending upon the nature of the said document.

SECTION 504

CLASSIFICATION OF THE SUBJECT MATTER  
OF THE INTERNATIONAL APPLICATION

(a) Where the international application requires, according to the principles to be followed in the application of the International Patent Classification to any given patent document, that it be provided with different classification symbols, the international search report shall indicate all such symbols.

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

SECTION 505

INDICATION OF CITATIONS OF PARTICULAR RELEVANCE IN  
THE INTERNATIONAL SEARCH REPORT

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

SECTION 506

COMMENTS ON DRAFT TRANSLATION OF THE  
INTERNATIONAL APPLICATION

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

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

## SECTION 507

## INDICATION OF FIGURES TO BE PUBLISHED WITH THE ABSTRACT

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

## SECTION 508

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

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

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

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

## SECTION 509

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

(a) Where any document cited in the international search report is relevant to all the claims, that fact shall be indicated by placing in the appropriate column provided in the international search report:

- (i) if there are two claims only, their numbers, separated by a comma ("1,2");
- (ii) if there are more than two claims, their lowest and highest numbers, connected by a hyphen ("1-12") next to the citation of the document.

(b) Where any document cited in the international search report is relevant to one claim or to more claims but not all the claims, the number of the relevant claims shall be indicated in the appropriate column provided in the international search report next to the citation of the document.

PART 6

INSTRUCTIONS RELATING TO THE  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

SECTION 601

DETERMINATION WHETHER APPLICANT IS ENTITLED TO MAKE A DEMAND

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

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

SECTION 602

MARKING OF REPLACEMENT SHEETS

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

SECTION 603

PROTEST AGAINST PAYMENT OF ADDITIONAL FEE  
AND DECISION THEREON

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

SECTION 604

GUIDELINES FOR EXPLANATIONS CONTAINED IN THE  
INTERNATIONAL PRELIMINARY EXAMINATION REPORT

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

Annexes A to G follow

## NAMES OF STATES

(Members of the Paris Union)

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



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

CODE FOR IDENTIFYING STATES  
AND ORGANIZATIONS

(for the most part based on ICIREPAT recommendations)

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

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

AM AFRICAN AND MALAGASY /OFFICE AFRICAIN ET MALGACHE DE LA  
INDUSTRIAL PROPERTY OFFICE PROPRIETE INDUSTRIELLE  
EP EUROPEAN PATENT OFFICE /OFFICE EUROPEEN DE BREVETS  
WO INTERNATIONAL BUREAU OF WIPO/BUREAU INTERNATIONAL DE L'OMPI

[Annex C follows]

## ANNEX C

STANDARD CODE FOR IDENTIFICATION OF DIFFERENT KINDS OF PATENT DOCUMENTS \*Introduction

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

Definitions

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

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

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

Recommendation

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

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\* Recommendation adopted by Plenary Committee of ICIREPAT (document IC/PLC/V/11).

(c) be used in entries in official gazettes or, if all entries in a section of the Gazette relate to the same kind of a document at the beginning of such a section.

#### 9. Code

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

Group 1 Use for primary or major series of patent documents

- A First publication level
- B Second publication level
- C Third publication level

Group 2 Use for secondary series of patent documents

- E First publication level
- F Second publication level
- G Third publication level

Group 3 Use for further series of patent documents, as the special requirements of each Office may be

- H
- I

Group 4 Use for medicament patent documents

- M

Group 5 Use for utility model documents having a numbering series other than the documents of Group 1

- U First publication level
- Y Second publication level
- Z Third publication level

Group 6 Other (see paragraph 3)

- N Non-patent literature documents
- X Documents restricted to the internal use of Offices

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

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

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

/Appendices I & II follow/

Original: STAC III No. 43d, expanded to STAC III No. 93a  
 Adopted by first session of TCC  
 Revised and adopted by fifth session of TCST (document IC/TCST/17(73), Annex III)  
 Revised version amended and adopted by tenth session of TCC (document IC/TCC/X/19, Annex IV)  
 Amended and adopted by fifth PLC ordinary session (document IC/PLC/V/11, paragraphs 65 to 68)

Appendix I

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

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

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

Code: A (continued)

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

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

Examples: Australia	Patent specification
Austria	Patentschrift
Cuba	Patente de invención
Czechoslovakia	Popis vynálezu k patentu
Czechoslovakia	Popis vynálezu k autorskému osvědčení
Denmark	Fremlaeggelseskraft
Finland	Kuulutusjulkaisu - Utläggningsskrift
France	Brevet d'invention, deuxième publication de l'invention
France	Certificat d'addition à un brevet d'invention, deuxième publication de l'invention
France	Certificat d'utilité, deuxième publication de l'invention
France	Certificat d'addition à un certificat d'utilité, deuxième publication de l'invention
Germany, Federal Republic of	Auslegeschrift
Hungary	Szabadalmi leírás
Japan	Tokkyo koho
Netherlands	Openbaar gemaakte octrooiaanvraag
Norway	Utleggningsskrift
Sweden	Utläggningsskrift
Switzerland	Patentschrift/Exposé d'invention/Esposito d'invenzione (Patent published in the sense of paragraph 6(iii) and pertaining to the technical fields for which search and examination as to novelty are made)

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

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

Code: C (continued)

Examples: Norway Patent  
Sweden Patentskrift

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

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

Code: H or I Patent Documents Numbered in Further Series

Example: United States Defensive publication

Code: M Medicament Patent Documents

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

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

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

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

Examples: Japan Jitsuyo shinan koho  
Spain Modelo de utilidad

/Appendix II follows/



Appendix IIDefinition of the Optional Numerical Code Adopted by Each Country Applying it, in conjunction with the One-letter Code

Country	Patent Documents	One-Letter Code	Numerical Code
France	Demande de brevet d'invention, première publication	A	1
	Demande de certificat d'addition à un brevet d'invention, première publication	A	2
	Demande de certificat d'utilité, première publication	A	3
	Demande de certificat d'addition à un certificat d'utilité, première publication	A	4
	Brevet d'invention, première et unique publication	A	5
	Certificat d'addition à un brevet d'invention, première et unique publication	A	6
	Certificat d'utilité, première et unique publication	A	7
	Certificat d'addition à un certificat d'utilité, première et unique publication	A	8
	Brevet d'invention, deuxième publication de l'invention	B	1
	Certificat d'addition à un brevet d'invention, deuxième publication de l'invention	B	2
	Certificat d'utilité, deuxième publication de l'invention	B	3
	Certificat d'addition à un certificat d'utilité, deuxième publication de l'invention	B	4
Switzerland	Auslegeschrift/Mémoire Exposé/ Esposto Memoriale (Patent Application published in the sense of paragraph 6(i) and 6(iii) and pertaining to the technical fields for which search and examination as to novelty are made)	A	4
	Patentschrift/Exposé d'invention/ Esposto d'invenzione (Patent published in the sense of paragraph 6(iii) and pertaining to the technical fields for which neither search nor examination as to novelty are made)	A	5
	Patentschrift/Exposé d'invention/ Esposto d'invenzione (Patent published in the sense of paragraph 6(iii) and pertaining to technical fields for which search and examination as to novelty are made)	B	5

[Annex B follows]

## EXAMPLE OF THE FRONT PAGE OF PAMPHLET CONTAINING INTERNATIONAL APPLICATION

(54) "CUTTING SECTION FOR CHAIN SAWS"  
(51) IPC: B27b 33/02

INTERNATIONAL PUBLICATION  
(11) Number: WO 75/12345  
(43) Date of: 12 July 1975

(21) INTERNATIONAL APPLICATION NUMBER: PCT/GB75/6123  
(22) INTERNATIONAL FILING DATE: 10 January 1975  
(31) PRIORITY APPLICATION NUMBER: 53762/74  
(32) PRIORITY DATE: 14 January 1974  
(33) COUNTRY IN WHICH PRIORITY APPLICATION FILED: GB

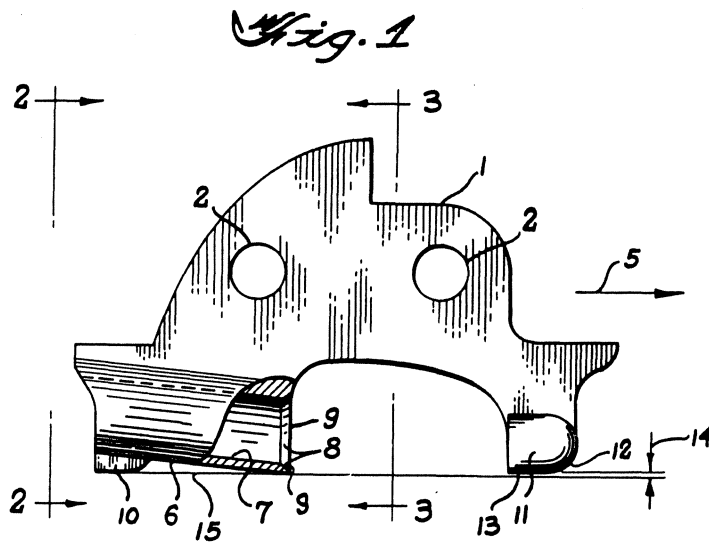
(71) APPLICANT: Thames Ltd., 34 South Bank Street, Chiswick, London S.W.2, England - Tel: 01-64-28-29, Cable: FINDLE

(72) INVENTOR: Harry Moore, 27 Victoria Street, Chiswick, London S.W.2, England - Tel: 01-72-69-43

(74) AGENT OR COMMON REPRESENTATIVE: Peter Jones, 179 Richmond Hill, Richmond, London, S.W.4, England - Tel: 01-29-64-32, Cable: JOPAT

(\*) COUNTRIES DESIGNATED: AG, BR, CA, CH(EPC), CS (Inventor's Certificate), DT(EPC), ET, FR(EPC), GB(EPC), HU, IT(EPC), JA (Utility Model), NL(EPC), OE(EPC), SU (Inventor's Certificate), SW(EPC), US.

PUBLISHED WITH INTERNATIONAL SEARCH REPORT, AMENDED CLAIMS AND STATEMENT



## (57) ABSTRACT

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

(\*) While all bibliographic data reproduced on this page are identified by numbers of the ICIREPAT/INID Code, such a number does not yet exist in the ICIREPAT system for the datum "Countries Designated"

[Annex E follows]

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

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

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

INFORMATION TO BE PUBLISHED IN THE GAZETTE  
UNDER RULE 86.1(v)

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

Annex G follows

PCT/AAQ/V/2

ANNEX G

FORMS

/To be proposed later. See paragraphs 7 to 9 of the Introduction  
of the present document/

/End of document/