

**NOTES TO THE MODEL INTERNATIONAL REQUEST FORMS UNDER THE PLT
REQUEST FOR RECORDATION OF CHANGE IN APPLICANT OR OWNER**

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 "Request for Recordation of Change in Applicant or Owner" 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 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

This form is used to request recordation of a change in the person of an applicant or owner, in particular, changes resulting from a change of ownership. Where there is a change in the name or address of the applicant or owner, but no change in the person, the form "Request for Recordation of Change in Name or Address" must be used.

The name of the national or regional patent Office with which the recordation of a change is requested should be indicated over the dots. The box "reference indication of person making the request", which provides space for any reference indications relating to the request, is intended for the convenience of the person making the request. Such indication is not mandatory.

BOX No. I

Application(s) and Patent(s) Concerned: Where the request relates to more than one application or patent, the applicable national/regional law may require that a separate copy of the request be submitted for each application or patent. In that case, the check-box in Box No. XIII must be marked, and such copies should be attached to the present request. As regards the identification of the patents, reference is made to WIPO Standard ST.1.

BOX No. II

Extent or Scope of Transfer of Ownership: The extent or scope of transfer of ownership referred to in this Box applies to all application(s) and/or patent(s) indicated in Box No. I. In the case of partial transfer of ownership, the extent of the partial transfer of rights, for example, may be provided on an additional sheet, if required by the applicable law.

BOX No. III

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

Registration Number or Other Indication Registered with the Office: Where the applicant/owner is registered with the national or regional Office, the number or other indication under which the applicant/owner is so registered should be indicated, where required under the applicable law.

BOX No. IV

Representative: For the manner in which name(s) and address(es) must be indicated, see the Notes to Box No. III. 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 have already been effected by designating the representative in the request form when the application was filed or by submitting a general power of attorney. If such appointment has not been made, a separate power of attorney should be submitted together with the present request for recordation of change in applicant or owner, and the relevant check-box in Box No. XIII must be marked.

No power of attorney is needed in the cases where no formal appointment of the representative is required either in respect of any representative or in respect of certain categories of representatives (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.

BOX No. V

Address for Correspondence or Legal Service: Where a representative is appointed, any correspondence intended for the applicant/owner will be sent to the address indicated for that representative, unless that applicant/owner expressly indicates another address for correspondence or legal service in Box No. V (see PLT Rule 10(4)). Where no representative is appointed and the applicant/owner has provided his address on a territory prescribed by the Contracting Party in Box No. III, any correspondence will be sent to such applicant/owner's address, unless the applicant/owner expressly indicates another address for correspondence or legal service in Box No. V (see PLT Rule 10(3)).

BOX No. VI

Reference is made to the Notes to Box No. III.

Nationality: For each new applicant/owner, 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.

Residence: For each new applicant/owner, 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.

BOX No. VII

Reference is made to the Notes to Box No. IV.

BOX No. VIII

Reference is made to the Notes to Box No. V.

BOX No. IX

Documentation of the Basis for the Change in Applicant(s) and/or Owner(s): The applicable law may require that the request for recordation be accompanied by any one, but only one, of the documents listed in Box No. IX. Where the change in applicant or owner results from a contract (item (a)) or where the change in applicant or owner results from a merger or from the reorganization or division of a legal entity (item (b)), the choice of such a document lies in the hand of the requesting party. Where the change in applicant or owner results from a ground other than the above (item (c)), for example, an operation of law or a court decision, the applicable law may require that the request be accompanied by a copy of any document evidencing the change. Although the original of such a document cannot be required, the applicable law may require that the copy of that document be certified.

Where the applicable law requires that a copy of the document be certified, it is the option of the requesting party as to who (a notary public, a competent public authority or, where permitted, a representative) certifies the relevant document.

Where the requesting party chooses to file a certificate of transfer, Contracting Parties to the PLT shall accept the PLT Model International Form for a certificate of transfer, which may be downloaded from WIPO's website at: www.wipo.int/treaties/en/ip/plt/forms.html.

BOX No. X

The date of the change in the person of the applicant or owner must be indicated in this Box.

BOX No. XI

Where the applicable law requires that the request for recordation contain information relating to any government interest by that country, such information must be indicated in this Box.

BOX No. XII

Where the applicable law requires that the request for recordation contain a statement that the information contained in the request is true and correct, such statement must be indicated in this Box.

BOX No. XIII

Enclosure(s): Where an additional sheet is used in order to indicate further application and/or patent numbers in Box No. I, the check-box "others" should be marked, and the additional sheet no. should be indicated.

BOX No. XIV

Signature: The request for recordation must be signed by the applicant or owner, or by the new applicant or new owner. If there are several of them, 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/owner, but that of the representative, a separate power of attorney appointing the representative, or a copy of the general power of attorney or of a single power of attorney which is already in the possession of the Office, must be furnished, unless submission of a power of attorney or of a copy of it 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 request for recordation was received by the Office or, if the applicable law so permits, a date earlier than the latter date (see PLT Rule 9(2)).