CHAPTER II

PCT

FEE CALCULATION SHEET

Annex to the Demand for international preliminary examination

International application No.	PCT/US95/66666
Applicant's or agent's file reference	366-PCT-1
Applicant	WALSH AND COMPANY, et al.

For International Preliminary Examining Authority use only

Date stamp of IPEA

Calculation of prescribed fees

1. Preliminary examination fee	207	P	
2. Handling fee (*Applicants from certain States are entitled to a reduction of 75% of the handling fee. Where the applicant is (or all applicants are) so entitled, the amount to be entered at H is 25% of the handling fee.*)	470	H	
3. Total of prescribed fees Add the amounts entered at P and H and enter total in the TOTAL box	677 TOTAL		

Mode of Payment

☒ authorization to charge deposit account with the IPEA (see below)	☐ cash
☐ checque	☐ revenue stamps
☐ postal money order	☐ coupons
☐ bank draft	☐ other (*specify*):

Deposit Account Authorization *(This mode of payment may not be available to all IPEAs)*

The IPEA/ US ☒ is hereby authorized to charge the total fees indicated above to my deposit account.

☒ (*this check-box may be marked only if the conditions for deposit accounts of the IPEA so permit*) is hereby authorized to charge any deficiency or credit any overpayment in the total fees indicated above to my deposit account.

12-3456	13 February 1996 (13.02.96)	John J. Smith
Deposit Account Number	Date (*day/month/year*)	Signature John J. Smith

PCT

REQUEST

The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty.

For receiving Office use only

International Application No

International Filing Date

Name of receiving Office and "PCT International Application"

Applicant's or agent's file reference *(if desired) (12 characters maximum)*

Box No. I TITLE OF INVENTION

Box No. II APPLICANT

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.)*

☐ This person is also inventor.

Telephone No.

Facsimile No

Teleprinter No

State *(i.e. country)* of nationality:

State *(i.e. country)* of residence:

This person is applicant for the purposes of: ☐ all designated States ☐ all designated States except the United States of America ☐ the United States of America only ☐ the States indicated in the Supplemental Box

Box No. III FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(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.)*

This person is:

☐ applicant only

☐ applicant and inventor

☐ inventor only *(If this check-box is marked, do not fill in below.)*

State *(i.e. country)* of nationality:

State *(i.e. country)* of residence:

This person is applicant for the purposes of ☐ all designated States ☐ all designated States except the United States of America ☐ the United States of America only ☐ the States indicated in the Supplemental Box

☐ Further applicants and or (further) inventors are indicated on a continuation sheet

Box No. IV AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE

The person identified below is hereby has been appointed to act on behalf of the applicant(s) before the competent International Authorities as: ☐ agent ☐ common representative

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.)*

Telephone No.

Facsimile No

Teleprinter No

☐ Mark this check-box where no agent or common representative is/has been appointed and the space above is used instead to

Continuation of Box No. III FURTHER APPLICANTS AND/OR (FURTHER) INVENTORS

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

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.)*

This person is:
- ☐ applicant only
- ☐ applicant and inventor
- ☐ inventor only *(If this check-box is marked, do not fill in below.)*

State *(i.e. country)* of nationality:

State *(i.e. country)* of residence:

This person is applicant for the purposes of:
- ☐ all designated States
- ☐ all designated States except the United States of America
- ☐ the United States of America only
- ☐ the States indicated in the Supplemental Box

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.)*

This person is:
- ☐ applicant only
- ☐ applicant and inventor
- ☐ inventor only *(If this check-box is marked, do not fill in below.)*

State *(i.e. country)* of nationality:

State *(i.e. country)* of residence:

This person is applicant for the purposes of:
- ☐ all designated States
- ☐ all designated States except the United States of America
- ☐ the United States of America only
- ☐ the States indicated in the Supplemental Box

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.)*

This person is:
- ☐ applicant only
- ☐ applicant and inventor
- ☐ inventor only *(If this check-box is marked, do not fill in below.)*

State *(i.e. country)* of nationality:

State *(i.e. country)* of residence:

This person is applicant for the purposes of:
- ☐ all designated States
- ☐ all designated States except the United States of America
- ☐ the United States of America only
- ☐ the States indicated in the Supplemental Box

Box No.V DESIGNATION OF STATES

The following designations are hereby made under Rule 4.9(a) *(mark the applicable check-boxes, at least one must be marked)*:

Regional Patent

☐ **AP** **ARIPO Patent:** **KE** Kenya, **LS** Lesotho, **MW** Malawi, **SD** Sudan, **SZ** Swaziland, **UG** Uganda, and any other State which is a Contracting State of the Harare Protocol and of the PCT

☐ **EA** **Eurasian Patent:** **AZ** Azerbaijan, **BY** Belarus, **KZ** Kazakstan, **RU** Russian Federation, **TJ** Tajikistan, **TM** Turkmenistan, and any other State which is a Contracting State of the Eurasian Patent Convention and of the PCT

☐ **EP** **European Patent:** **AT** Austria, **BE** Belgium, **CH and LI** Switzerland and Liechtenstein, **DE** Germany, **DK** Denmark, **ES** Spain, **FR** France, **GB** United Kingdom, **GR** Greece, **IE** Ireland, **IT** Italy, **LU** Luxembourg, **MC** Monaco, **NL** Netherlands, **PT** Portugal, **SE** Sweden, and any other State which is a Contracting State of the European Patent Convention and of the PCT

☐ **OA** **OAPI Patent:** **BF** Burkina Faso, **BJ** Benin, **CF** Central African Republic, **CG** Congo, **CI** Côte d'Ivoire, **CM** Cameroon, **GA** Gabon, **GN** Guinea, **ML** Mali, **MR** Mauritania, **NE** Niger, **SN** Senegal, **TD** Chad, **TG** Togo, and any other State which is a member State of OAPI and a Contracting State of the PCT *(if other kind of protection or treatment desired, specify on dotted line)* .....

National Patent *(if other kind of protection or treatment desired, specify on dotted line)*

☐ **AL** Albania
☐ **AM** Armenia
☐ **AT** Austria
☐ **AU** Australia
☐ **AZ** Azerbaijan
☐ **BB** Barbados
☐ **BG** Bulgaria
☐ **BR** Brazil
☐ **BY** Belarus
☐ **CA** Canada
☐ **CH and LI** Switzerland and Liechtenstein
☐ **CN** China
☐ **CZ** Czech Republic
☐ **DE** Germany
☐ **DK** Denmark
☐ **EE** Estonia
☐ **ES** Spain
☐ **FI** Finland
☐ **GB** United Kingdom
☐ **GE** Georgia
☐ **HU** Hungary
☐ **IS** Iceland
☐ **JP** Japan
☐ **KE** Kenya
☐ **KG** Kyrgyzstan
☐ **KP** Democratic People's Republic of Korea
☐ **KR** Republic of Korea
☐ **KZ** Kazakstan
☐ **LK** Sri Lanka
☐ **LR** Liberia
☐ **LS** Lesotho
☐ **LT** Lithuania
☐ **LU** Luxembourg
☐ **LV** Latvia
☐ **MD** Republic of Moldova
☐ **MG** Madagascar
☐ **MK** The former Yugoslav Republic of Macedonia
☐ **MN** Mongolia
☐ **MW** Malawi
☐ **MX** Mexico
☐ **NO** Norway
☐ **NZ** New Zealand
☐ **PL** Poland
☐ **PT** Portugal
☐ **RO** Romania
☐ **RU** Russian Federation
☐ **SD** Sudan
☐ **SE** Sweden
☐ **SG** Singapore
☐ **SI** Slovenia
☐ **SK** Slovakia
☐ **TJ** Tajikistan
☐ **TM** Turkmenistan
☐ **TR** Turkey
☐ **TT** Trinidad and Tobago
☐ **UA** Ukraine
☐ **UG** Uganda
☐ **US** United States of America
☐ **UZ** Uzbekistan
☐ **VN** Viet Nam

Check-boxes reserved for designating States (for the purposes of a national patent) which have become party to the PCT after issuance of this sheet

☐ .....
☐ .....
☐ .....
☐ .....

In addition to the designations made above, the applicant also makes under Rule 4.9(b) all designations which would be permitted under the PCT except the designation(s) of _____.

The applicant declares that those additional designations are subject to confirmation and that any designation which is not confirmed before the expiration of 15 months from the priority date is to be regarded as withdrawn by the applicant at the expiration of that time [illegible] *of a designation consists of the filing of a notice specifying that designation and the payment of the designation and confirmation*

Supplemental Box ***If the Supplemental Box is not used, this sheet need not be included in the request.***

Use this box in the following cases:

1. If, in any of the Boxes, the space is insufficient to furnish all the information:

in such case, write "Continuation of Box No. ..." [indicate the number of the Box] and furnish the information in the same manner as required according to the captions of the Box in which the space was insufficient;

in particular

(i) if more than two persons are involved as applicants and/or inventors and no "continuation sheet" is available

in such case, write "Continuation of Box No III" and indicate for each additional person the same type of information as required in Box No III.

(ii) if, in Box No II or in any of the sub-boxes of Box No. III, the indication "the States indicated in the Supplemental Box" is checked

in such case, write "Continuation of Box No. II" or "Continuation of Box No III" or "Continuation of Boxes No II and No III" (as the case may be), indicate the name of the applicant(s) involved and, next to (each) such name, the State(s) (and or, where applicable, ARIPO, Eurasian, European or OAPI patent) for the purposes of which the named person is applicant.

(iii) if, in Box No II or in any of the sub-boxes of Box No III, the inventor or the inventor applicant is not inventor for the purposes of all designated States or for the purposes of the United States of America

in such case, write "Continuation of Box No II" or "Continuation of Box No III" or "Continuation of Boxes No II and No III" (as the case may be), indicate the name of the inventor(s) and, next to (each) such name, the State(s) (and/or, where applicable, ARIPO, Eurasian, European or OAPI patent) for the purposes of which the named person is inventor;

(iv) if, in addition to the agent(s) indicated in Box No IV, there are further agents

in such case, write "Continuation of Box No IV" and indicate for each further agent the same type of information as required in Box No. IV;

(v) if, in Box No V, the name of any State (or OAPI) is accompanied by the indication "patent of addition," or "certificate of addition," or if, in Box No. V, the name of the United States of America is accompanied by an indication "Continuation" or "Continuation-in-part";

in such case, write "Continuation of Box No. V" and the name of each State involved (or OAPI), and after the name of each such State (or OAPI), the number of the parent title or parent application and the date of grant of the parent title or filing of the parent application;

(vi) if there are more than three earlier applications whose priority is claimed;

in such case, write "Continuation of Box No. VI" and indicate for each additional earlier application the same type of information as required in Box No VI

2. If the applicant claims, in respect of any designated Office, the benefits of provisions of the national law concerning non-prejudicial disclosures or exceptions to lack of novelty:

in such case, write "Statement Concerning Non-Prejudicial Disclosures or Exceptions to Lack of Novelty" and furnish that statement below.

Box No. VI PRIORITY CLAIM Further priority claims are indicated in the Supplemental Box ☐

The priority of the following earlier application(s) is hereby claimed:

Country *(in which, or for which, the application was filed)*	Filing Date *(day, month, year)*	Application No	Office of filing *(only for regional or international application)*
item (1)			
item (2)			
item (3)			

Mark the following check-box if the certified copy of the earlier application is to be issued by the Office which for the purposes of the present international application is the receiving Office (a fee may be required)

☐ The receiving Office is hereby requested to prepare and transmit to the International Bureau a certified copy of the earlier application(s) identified above as item(s) _____

Box No. VII INTERNATIONAL SEARCHING AUTHORITY

Choice of International Searching Authority (ISA) *(If two or more International Searching Authorities are competent to carry out the international search, indicate the Authority chosen; the two-letter code may be used)* ISA /_____

Earlier search *Fill in where a search (international, international-type or other) by the International Searching Authority has already been carried out or requested and the Authority is now requested to base the international search, to the extent possible, on the results of that earlier search. Identify such search or request either by reference to the relevant application (or the translation thereof) or by reference to the search request:*

Country (or regional Office): Date *(day/month/year)*: Number:

Box No. VIII CHECK LIST

This international application contains the following number of sheets:

1. request	:	sheets
2. description	:	sheets
3. claims	:	sheets
4. abstract	:	sheets
5. drawings	:	sheets
Total	:	sheets

This international application is accompanied by the item(s) marked below:

1. ☐ separate signed power of attorney
2. ☐ copy of general power of attorney
3. ☐ statement explaining lack of signature
4. ☐ priority document(s) *identified in Box No. VI as item(s)*:
5. ☐ fee calculation sheet
6. ☐ separate indications concerning deposited microorganisms
7. ☐ nucleotide and/or amino acid sequence listing (diskette)
8. ☐ other *(specify)*:

Figure No. _____ of the drawings (if any) should accompany the abstract when it is published.

Box No. IX SIGNATURE OF APPLICANT OR AGENT

Next to each signature, indicate the name of the person signing and the capacity in which the person signs (if such capacity is not obvious from reading the request)

For receiving Office use only

1. Date of actual receipt of the purported international application.
2. Drawings: ☐ received: ☐ not received:
3. Corrected date of actual receipt due to later but timely received papers or drawings completing the purported international application:
4. Date of timely receipt of the required corrections under PCT Article 11(2):
5. International Searching Authority specified by the applicant: ISA /
6. ☐ Transmittal of search copy delayed until search fee is paid

For International Bureau use only

NOTES TO THE REQUEST FORM (PCT/RO/101)

These Notes are intended to facilitate the filling in of the request form. For more detailed information, see the **PCT Applicant's Guide**, a publication of WIPO. The Notes are based on the requirements of the Patent Cooperation Treaty (PCT), the Regulations and the Administrative Instructions under the PCT. In case of any discrepancy between these Notes and those requirements, the latter are applicable.

In the request form and these Notes, "Article", "Rule" and "Section" refer to the provisions of the PCT, the PCT Regulations and the PCT Administrative Instructions, respectively.

Please use a typewriter; check-boxes may be marked by hand with black ink (Rule 11.9(a) and (b)).

WHERE TO FILE THE INTERNATIONAL APPLICATION

The international application (request, description, claims, abstract and drawings, if any) must be filed with a competent receiving Office (Article 11(1)(i))—that is, subject to any applicable prescriptions concerning national security, at the choice of the applicant, either:

(i) the receiving Office of, or acting for, a PCT Contracting State of which the applicant or, if there are two or more applicants, at least one of them, is a resident or national (Rule 19.1(a)(i) or (ii)), or

(ii) the International Bureau of WIPO in Geneva, Switzerland, if the applicant or, if there are two or more applicants, at least one of the applicants is a resident or national of any PCT Contracting State (Rule 19.1(a)(iii)).

APPLICANT'S OR AGENT'S FILE REFERENCE

A file reference may be indicated, if desired. It should not exceed 12 characters. Characters in excess of 12 may be disregarded. (Rule 11.6(f) and Section 109).

BOX No. I

Title of Invention (Rules 4.3 and 5.1(a)): The title must be short (preferably two to seven words when in English or translated into English) and precise. It must be identical with the title heading the description.

BOXES Nos. II AND III

General: At least one of the applicants named must be a resident or national of a PCT Contracting State for which the receiving Office acts (Articles 9 and 11(1)(i) and Rules 18 and 19). If the international application is filed with the International Bureau under Rule 19.1(a)(iii), at least one of the applicants must be a resident or national of any PCT Contracting State.

If the United States of America is designated, all of the inventors must be named as applicants (as well as inventors) for the purposes of that designation (see "Different Applicants for Different Designated States", below).

Indication whether a Person is Applicant and/or Inventor (Rules 4.5(a) and 4.6(a) and (b)):

Check-box "This person is also inventor" (Box No. II): Mark this check-box if the applicant named is also the inventor or one of the inventors; do not mark this check-box if the applicant is a legal entity.

Check-box "applicant and inventor" (Box No. III): Mark this check-box if the person named is both applicant and inventor; do not mark this check-box if the person is a legal

Check-box "applicant only" (Box No. III): Mark this check-box if the person named is a legal entity or if the person named is not also inventor.

Check-box "inventor only" (Box No. III): Mark this check-box if the person named is inventor but not also applicant; do not mark this check-box if the person is a legal entity.

In Box No. III, one of the three check-boxes must always be marked for each person named.

A person must not be named more than once in Boxes Nos. II and III, even where that person is both applicant and inventor.

Names and Addresses (Rule 4.4): 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", see the notes to Box No. IV.

Telephone, Facsimile and/or Teleprinter Numbers 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.

Nationality (Rules 4.5(a) and (b) and 18.1): For each applicant, the nationality must be indicated by the name of the State (i.e., country) of which the person is a national. 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 (Rules 4.5(a) and (c) and 18.1): Each applicant's State (i.e., country) of residence must be indicated. 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.

Names of States (Section 115): For the indication of names of States, the two-letter country codes appearing in WIPO Standard ST.3 and in the PCT Applicant's Guide, Annex K, may be used.

Different Applicants for Different Designated States (Rules 4.5(d), 18.3 and 19.2): It is possible to indicate different applicants for the purposes of different designated States. At least one of all the applicants named must be a national or resident of a PCT Contracting State for which the receiving Office acts, irrespective of the designated State(s) for the

States of America is one of the designated States, all of the inventors must be named as applicants for the United States of America and the check-box "This person is also inventor" (in Box No. II) or "applicant and inventor" (in Box No. III) must be marked

For the indication of the designated States for which a person is applicant, mark the applicable check-box (only one for each person). The check-box "the States indicated in the Supplemental Box" must be marked where none of the other three check-boxes fits the circumstances; in such a case, the name of the person must be repeated in the Supplemental Box with an indication of the States for which that person is applicant (see item I(ii) in that Box).

Naming of Inventor (Rule 4.1(a)(v) and (c)(i)): The inventor's name and address must be indicated where the national law of at least one of the designated States requires that the name of the inventor be furnished at the time of filing; for details see the PCT Applicant's Guide, Volume I, Annexes B1 and B2. It is strongly recommended to always name the inventor.

Different Inventors for Different Designated States (Rule 4.6(c)): Different persons may be indicated as inventors for different designated States (e.g., where, in this respect, the requirements of the national laws of the designated States are not the same); in such a case, the Supplemental Box must be used (see item I(iii) in that Box). In the absence of any indication, it will be assumed that the inventor(s) named is (are) inventor(s) for all designated States.

BOX No. IV

Who Can Act as Agent (Article 49 and Rule 83.1*bis*): For each of the receiving Offices, information as to who can act as agent is given in the PCT Applicant's Guide, Volume I, Annex C.

Agent or Common Representative (Rules 4.7, 4.8, 90.1 and 90.2 and Section 108): Mark the applicable check-box in order to indicate whether the person named is (or has been) appointed as "agent" or "common representative" (the "common representative" must be one of the applicants). For the manner in which name(s) and address(es) (including names of States) must be indicated, see the notes to Boxes Nos. II and III. Where several agents are listed, the agent to whom correspondence should be addressed is to be listed first. If there are two or more applicants but no common agent is appointed to represent all of them, one of the applicants who is a national or resident of a PCT Contracting State may be appointed by the other applicants as their common representative. If this is not done, the applicant first named in the request who is entitled to file an international application with the receiving Office concerned will automatically be considered to be the common representative.

Manner of Appointment of Agent or Common Representative (Rules 90.4 and 90.5 and Section 106): Any such appointment may be made by designating the agent(s) or the common representative in the request or in one or more separate powers of attorney. Each applicant must sign either the request or a separate power of attorney. Where the international application is filed with reference to a general power of attorney, a copy thereof must be attached to the request. Any applicant who did not sign the general power of attorney must sign either the request or a separate power of attorney.

Address for Correspondence (Rule 4.4(d) and Section 108): Where an agent is appointed, any correspondence intended for the applicant will be sent to the address indicated for that agent (or for the first-mentioned agent, if more than one is appointed). Where one of two or more applicants is appointed as common representative, the address indicated for that applicant in Box No. IV will be used.

Where no agent or common representative is appointed, any correspondence will be sent to the address indicated in Box No. II or III, of the applicant (if only one person is named as applicant) or of the applicant who is considered to be common representative (if there are two or more persons named as applicants). However, if the applicant wishes correspondence to be sent to a different address in such a case, that address may be indicated in Box No. IV instead of the designation of an agent or common representative. In this case, and only in this case, the last check-box of Box No. IV must be marked (that is, the last check-box must not be marked if either of the check-boxes "agent" or "common representative" in Box No. IV has been marked).

BOX No. V

Designation of States (Rules 4.1(a)(iv) and 4.9(a)): The Contracting States in which protection is desired must be designated under Rule 4.9(a) in the request by marking the applicable check-boxes. At least one check-box effecting a specific designation must be marked. *While the general rule is that designations cannot be added after the filing of the international application, it is possible and usual to make a precautionary designation under Rule 4.9(b) covering all other designations which would, as at the international filing date, be permitted under the PCT—see below: Precautionary Designation of States Subject to Confirmation*

Where regional (ARIPO, Eurasian, European and/or OAPI) patents are desired, only one PCT designation fee must be paid for each regional designation made, independently of how many States are covered by each such designation.

ARIPO Patent (AP): Note that **Swaziland** can only be designated for the purposes of an ARIPO patent and not for the purposes of a national patent. All other PCT Contracting States which are also party to the Harare Protocol can be designated either for a national or an ARIPO patent, or both a national and an ARIPO patent.

Eurasian Patent (EA): All PCT Contracting States which are also party to the Eurasian Patent Convention can be designated either for a national or a Eurasian patent, or both a national and a Eurasian patent. Note, however, that it is not possible to designate only some of these States for a Eurasian patent and that any designation of one or more States for a Eurasian patent will be treated as a designation of all the States which are party to both the Convention and the PCT for a Eurasian patent.

European Patent (EP): Note that **Belgium, France, Greece, Ireland, Italy, Monaco and the Netherlands** can only be designated for the purposes of a European patent and not for the purposes of a national patent. All other PCT Contracting States which are also party to the European Patent Convention can be designated either for a national or a European patent, or both a national and a European patent.

If an ARIPO or a European patent is desired for only some of the Contracting States of the Harare Protocol or the European Patent Convention, respectively, the names of those States for which a regional patent is not desired may be deleted by striking them out. However, it is recommended that the applicant always designate for the purposes of a regional patent all PCT Contracting States which are party to the Protocol or the Convention, respectively. A decision to proceed with only some of those designations need not be made until entry into the regional phase, at which stage the corresponding regional designation fees must be paid.

Where any of the States party to the Harare Protocol, the Eurasian Patent Convention or the European Patent Convention and the PCT is designated twice, namely *both* for the purposes of an ARIPO, a Eurasian or a European patent *and* for the purposes of national protection, the applicant must pay one

designation fee in respect of the regional patent and as many designation fees as there are national patents or other titles of protection sought (Rule 15.1(ii) and Section 210).

Extension of European Patent (EP) to Certain States: If it is intended, at the time of entry into the European regional phase, to request the extension of the subsequently granted European patent to Albania, Latvia, Lithuania and or Slovenia (and/or to any other PCT Contracting State for which, on the date of filing of the international application, an extension agreement with the European Patent Organisation is in force), Box No. V must contain ***both*** a designation of the State concerned for the purposes of a national patent and ***also*** a designation, for the purposes of obtaining a European patent, of at least one PCT Contracting State party to the European Patent Convention.

OAPI Patent (OA): The designation of States members of OAPI and party to the PCT can only be made for the purposes of an OAPI patent (no national protection is available); furthermore, it is not possible to designate only some of them.

Choice of Certain Kinds of Protection or Treatment (Rules 4.12 to 4.14 and Section 202): Where, in any country where it is possible, a national title other than a patent is desired, write after the name of that country on the dotted line the name of the title; that is, "petty patent" (available in Australia), "provisional patent" (available in Kazakstan, Kyrgyzstan, Turkmenistan, Uzbekistan), "utility model" (available in Albania, Armenia, Austria, Brazil, Bulgaria, China, the Czech Republic, Denmark, Estonia, Finland, Georgia, Germany, Hungary, Japan, Kazakstan, Kenya, Kyrgyzstan, Lesotho, Mexico, Poland, Portugal, the Republic of Korea, the Republic of Moldova, the Russian Federation, Slovakia, Spain, Tajikistan, Turkey, Ukraine, Uzbekistan, Viet Nam, OAPI), "utility certificate" (available in Trinidad and Tobago and Uganda) or "inventor's certificate" (available in the Democratic People's Republic of Korea). Where, in Austria, the Czech Republic, Denmark, Estonia, Finland, Germany or Slovakia (the only countries in which this possibility exists), in addition to a patent, a utility model is also desired, write after the name of that country "and utility model".

Where, in respect of any country where it is possible, it is desired that the international application be treated as an application for a certain title "of addition" or as an application for a "continuation" or a "continuation-in-part", write after the name of that country the appropriate words; that is, "patent of addition" (available in Australia, Austria, Georgia, Germany, Malawi, New Zealand, Slovenia, Spain, The former Yugoslav Republic of Macedonia), "certificate of addition" (available in Luxembourg, Madagascar, OAPI), "continuation" or "continuation-in-part" (both available in the United States of America). If any of these indications is used, also indicate in the "Supplemental Box" the State for which such treatment is desired, the number of the parent title or parent application, and the date of grant of the parent title or the date of filing of the parent application, as the case may be (see item 1(v) in that Box).

If, in Box No. V, the check-boxes for making designations are marked with consecutive Arabic numerals, those indications will be taken to express the applicant's *choice of the order of the designations*; if another form of marking is used, the order will be taken as that in which the marked check-boxes appear on the form. This order will only have any significance if the amount received for the designation fees is insufficient to cover all the designations and remains insufficient after the applicant has been invited to pay the balance due; in that case, the amount received will be applied in payment of the fees for the designations following the said order (Rule 16*bis*.1(c) and Section 321).

For the designation, for the purposes of a national patent, of a State which has become party to the PCT after the date appearing on the bottom of the second sheet of the request form, [illegible] of the State, preferably preceded by the two-letter country code, must be given together with an indication, where applicable, whether a special kind of protection or treatment is desired.

Precautionary Designation of States Subject to Confirmation (Rules 4.9(b) and (c) and 15.5): For the applicant's safeguard, the lower part of Box No. V contains a statement indicating the applicant's wish to make, in addition to the specific designations made by marking the check-boxes in the upper part of Box No. V (at least one such designation must be made), a precautionary designation of all other PCT Contracting States which are not specifically designated.

If the applicant does not wish to avail himself of this safeguard and does not want to make any such precautionary designations, the statement must be crossed out.

If the applicant wishes to expressly exclude a certain State from such precautionary designation so that the international application does not have any effect in that State, the name or two-letter country code of that State should be indicated in the space provided. In no other case is it necessary to make use of this possibility.

If, after filing the international application, the applicant notices that there are any omissions and/or mistakes among the specific designations made, it will be possible to rectify the situation by confirming the precautionary designations concerned. The confirmation of any precautionary designation is possible before the expiration of 15 months from the (earliest) priority date indicated in Box No. VI or, where no priority is claimed, the international filing date. To effect such confirmation, the applicant must file with the receiving Office a written notice specifying the name of each State the designation of which is confirmed (with, where applicable, an indication of the kind of treatment or protection desired) and pay to the receiving Office, for each such designation, a designation fee (even where eleven designation fees have already been paid) together with a confirmation fee corresponding to 50% of the designation fee.

The receiving Office will not send to the applicant any reminder or invitation to confirm precautionary designations.

If no precautionary designation is to be confirmed, no action is required by the applicant, and the precautionary designations will then be automatically regarded as withdrawn by the applicant at the expiration of 15 months from the priority date.

BOX No. VI

Priority Claim (Rule 4.10): If the priority of an earlier application is claimed, the declaration containing the priority claim must be made in the request.

The request must indicate the *country* in which the earlier application from which priority is claimed was filed (or, where the earlier application is a regional or an international application, at least one country for which it was filed), the *date* on which it was filed and the *number* it was assigned. If the country and the date are not indicated, the priority claim will, for the purposes of the procedure under the Treaty, be considered not to have been made.

If the earlier application is a regional or an international application, the Office with which that application was filed must also be indicated.

If the application number of the earlier application is not indicated in the request but is furnished by the applicant to the receiving Office or to the International Bureau prior to the expiration of the 16th month from the priority date, it is considered by all designated States to have been furnished in time.

Certified Copy of Earlier Application (Priority Document) (Rule 17.1): The priority document must be submitted to the receiving Office or to the International Bureau before the expiration of 16 months from the priority date or, where an early start of the national phase is requested, not later than at the time such request is made.

Where the priority document is issued by the receiving Office, the applicant may, instead of submitting the priority document, request the receiving Office to prepare and transmit the priority document to the International Bureau. Such request may be made by marking the applicable check-box and by identifying the document. *Attention*: where such a request is made, the applicant must pay to the receiving Office the applicable *fee for priority document*, otherwise, the request will be considered not to have been made.

Dates (Section 110): Dates must be indicated by the Arabic number of the day, the name of the month and the Arabic number of the year—in that order; after, below or above such indication, the date should be repeated in parentheses, using two-digit Arabic numerals for each of the number of the day, the number of the month and the last two numbers of the year, in that order and separated by periods, slants or hyphens, e.g., "05 March 1992 (05.03.92)", "05 March 1992 (05/03/92)" or "05 March 1992 (05-03-92)".

BOX No. VII

Choice of International Searching Authority (Rules 4.1(b)(vi) and 4.14*bis*): If there is more than one competent International Searching Authority (ISA) for carrying out the international search in relation to the international application—depending on the language in which that application is filed and the receiving Office with which it is filed—the name of the competent Authority chosen by the applicant must be indicated in the space provided, either by its full name or two-letter code.

Earlier Search (Rules 4.11 and 41.1): The earlier search, if any, must be identified in such a manner that the ISA can retrieve the results easily. Where those results can be used, the ISA may refund the international search fee or a portion thereof.

BOX No. VIII

The number of sheets of the various parts of the international application must be given in the check list in Arabic numerals and the applicable check-boxes must be marked.

Check-box No. 6: Separate Indications Concerning Deposited Microorganisms (Rule 13*bis* and Section 209): Mark this check-box where a filled-in Form PCT/RO/134 or any separate sheet containing indications concerning deposited microorganisms is filed with the international application. This is not the case if Japan is designated: in that case, Form PCT/RO/134 or any other sheet containing the said indications must be included as one of the sheets of the description.

Check-box No. 7: Nucleotide and/or Amino Acid Sequence Listing (Rule 5.2): Where the description of the international application contains disclosure of a nucleotide and/or amino acid sequence, and a copy of the sequence listing is required in machine readable form by the ISA, the applicant may furnish the listing in machine readable form to the receiving Office with the international application. If this is the case, check-box No. 7 must be marked.

BOX No. IX

Signature (Rules 4.1(d), 4.15 and 90): The signature must be that of the applicant (if there are several applicants, all must sign); however, the signature may be that of the agent where a separate power of attorney appointing the agent, or a copy of a general power of attorney already in the possession of the receiving Office is furnished. If the power is not attached to the request, the receiving Office will invite the applicant to furnish it subsequently.

If the United States of America is designated and an inventor/applicant for that State refused to sign the request or could not be found or reached after diligent effort, a statement explaining the lack of signature may be furnished. It should be noted that this applies only where there are two or more applicants and the international application has been signed by the other applicant(s). The statement must satisfy the receiving Office. If such a statement is filed with the international application, check-box No. 3 in Box No. VIII should be marked.

SUPPLEMENTAL BOX

The cases in which the Supplemental Box may be used and the manner of making indications in it are explained at the top of that Box.

Statement Concerning Non-Prejudicial Disclosures or Exceptions to Lack of Novelty: Such a statement, unless contained in the description, may be given in this Box. It should comply with the national law applicable by the designated Office to which the statement is addressed.

GENERAL REMARKS

Language of Correspondence (Rule 92.2 and Section 104): Any letter from the applicant to the receiving Office must be in the same language as the international application to which it relates; however, the receiving Office may authorize the use of another language.

Any letter from the applicant to the International Bureau must be in the same language as the international application if that language is English or French; otherwise, it must be in English or French, at the choice of the applicant.

Any letter from the applicant to the ISA or the International Preliminary Examining Authority (IPEA) must be in the same language as the international application to which it relates if this language is Chinese, English, French, German, Japanese, Russian or Spanish; otherwise, it must be in English. However, the ISA or the IPEA may authorize the use of another language.

Arrangement of Elements and Numbering of Sheets of the International Application (Rule 11.7 and Section 207): The elements of the international application must be placed in the following order: the request, the description, the claim(s), the abstract, the drawings (if any). All sheets constituting the international application must be numbered in consecutive Arabic numerals with three separate series of numbers: the first applying to the request, the second applying to the part consisting of the description, the claim(s) and the abstract, and the third applying to the drawings. The numbers must be placed at the top or bottom of the sheet, in the middle, but not in the margin which must remain blank. The number of each sheet of the drawings must consist of two Arabic numerals separated by an oblique stroke, the first being the sheet number and the second being the total number of sheets of drawings (for example, 1/3, 2/3, 3/3).

Indication of the Applicant's or Agent's File Reference on the Sheets of the Description, Claim(s), Abstract and Drawings (if any) (Rule 11.6(f)): The file reference indicated on the request may also be indicated in the left-hand corner of the top margin, within 1.5 cm from the top of any sheet of the international application.

This sheet is not part of and does not count as a sheet of the international application.

PCT

FEE CALCULATION SHEET

Annex to the Request

For receiving Office use only

International application No

Date stamp of the receiving Office

Applicant's or agent's file reference

Applicant

CALCULATION OF PRESCRIBED FEES

1. TRANSMITTAL FEE . . . . . T

2. SEARCH FEE . . . . . S

International search to be carried out by _____

(If two or more International Searching Authorities are competent in relation to the international application, indicate the name of the Authority which is chosen to carry out the international search.)

3. INTERNATIONAL FEE

Basic Fee

The international application contains _____ sheets.

first 30 sheets . . . . . b_1

_____ x _____ = b_2

remaining sheets — additional amount

Add amounts entered at b_1 and b_2 and enter total at B . . . . B

Designation Fees

The international application contains _____ designations.

_____ x _____ = D

number of designation fees payable *(maximum 11)* — amount of designation fee

Add amounts entered at B and D and enter total at I I

(Applicants from certain States are entitled to a reduction of 75% of the international fee. Where the applicant is (or all applicants are) so entitled, the total to be entered at I is 25% of the sum of the amounts entered at B and D.)

4. FEE FOR PRIORITY DOCUMENT . . . . . P

5. TOTAL FEES PAYABLE

Add amounts entered at T, S, I and P, and enter total in the TOTAL box . . TOTAL

☐ The designation fees are not paid at this time

MODE OF PAYMENT

☐ authorization to charge deposit account (see below)
☐ bank draft
☐ coupons
☐ cheque
☐ cash
☐ other *(specify)*
☐ postal money order
☐ revenue stamps

DEPOSIT ACCOUNT AUTHORIZATION *(this mode of payment may not be available at all receiving Offices)*

The RO/ _____ ☐ is hereby authorized to charge the total fees indicated above to my deposit account.

☐ is hereby authorized to charge any deficiency or credit any overpayment in the total fees indicated above to my deposit account.

☐ is hereby authorized to charge the fee for preparation and transmittal of the priority document to the International Bureau of WIPO to my deposit account.

NOTES TO THE FEE CALCULATION SHEET
(ANNEX TO FORM PCT/RO/101)

The purpose of the fee calculation sheet is to help the applicant to identify the prescribed fees and to calculate the amounts to be paid. It is strongly recommended that the applicant complete the sheet by entering the appropriate amounts in the boxes provided and submit the fee calculation sheet at the time of filing of the international application. This will help the receiving Office to verify the calculations and to identify any error in them.

Information about the applicable fees payable can be obtained from the receiving Office. The amounts of the international and search fees may change due to currency fluctuations. Applicants are advised to check what are the latest applicable amounts. All fees, except in some cases the designation fee, must be paid within one month from the date of receipt of the international application. See below for further details concerning the possibility of later payment of the designation fee.

CALCULATION OF PRESCRIBED FEES

Box T: Transmittal Fee for the benefit of the receiving Office (Rule 14.1): The amount and the due date of the transmittal fee, if any, are fixed by the receiving Office. Information about this fee is contained in Annex C of Volume I of the PCT Applicant's Guide.

Box S: Search Fee for the benefit of the International Searching Authority (ISA) (Rule 16.1): The amount of the search fee is fixed by the ISA. It must be paid within one month from the date of receipt of the international application by the receiving Office. Information about this fee is contained in Annex D of Volume I of the PCT Applicant's Guide.

Where two or more ISAs are competent, the applicant must indicate his choice in the space provided for this purpose and pay the amount of the international search fee fixed by the ISA chosen. Information on the competent ISA and whether the applicant has a choice between two or more ISAs is contained in Annex C of Volume I of the PCT Applicant's Guide.

Box I: International Fee for the benefit of the International Bureau (Rule 15): The international fee consists of a basic fee and as many designation fees as there are specific designations under Rule 4.9(a) in Box No. V (DESIGNATION OF STATES) of the request. The amounts of the basic fee and of the designation fee are as set out in Swiss Francs in the Schedule of Fees and the applicable amounts of those fees in other currencies are as published in the PCT Gazette (Rule 15.2). Information about those fees is also contained in Annex C of Volume I of the PCT Applicant's Guide.

Reduction of the International Fee for Applicants from Certain States: An applicant who is a natural person and who is a national of and resides in a State whose per capita national income is below 3,000 US dollars (according to the average per capita national income figures used by the United Nations for determining its scale of assessments for the contributions payable for the years 1995, 1996 and 1997) is entitled, in accordance with the Schedule of Fees, to a reduction of 75% of certain PCT fees including the international fee. If there are several applicants, each must satisfy the above-mentioned criteria. The reduction of the international fee (basic fee and designation fees) will be automatically available to any applicant (or applicants) who is (or are) so entitled on the basis of the indications of name, nationality and residence given in Boxes II and III of the request.

The fee reduction will be available even if one or more of the applicants are not from PCT Contracting States, provided that each of them is a national and resident of a State that meets the above-mentioned requirements and that at least one of the applicants is a national or resident of a PCT Contracting State and thus is entitled to file an international application.

Natural persons who are nationals of and reside in the following PCT Contracting States are eligible: Albania, Armenia, Azerbaijan, Belarus, Benin, Brazil, Bulgaria, Burkina Faso, Cameroon, Central African Republic, Chad, China, Congo, Côte d'Ivoire, Czech Republic, Democratic People's Republic of Korea, Estonia, Gabon, Georgia, Guinea, Hungary, Kazakstan, Kenya, Kyrgyzstan, Latvia, Lesotho, Liberia, Lithuania, Madagascar, Malawi, Mali, Mauritania, Mexico, Mongolia, Niger, Poland, Republic of Moldova, Romania, Russian Federation, Senegal, Slovakia, Sri Lanka, Sudan, Swaziland, Tajikistan, The former Yugoslav Republic of Macedonia, Togo, Turkey, Turkmenistan, Uganda, Ukraine, Uzbekistan and Viet Nam. As far as other States are concerned, inquiries should be addressed to the International Bureau.

Calculation of the International Fee (Basic Fee and Designation Fees) in Case of Fee Reduction: Where the applicant is (or all applicants are) entitled to a reduction of the international fee, the total to be entered at box I is 25% of the sum of the amounts entered at boxes B and D (see below).

Box B: Basic Fee. The amount of the basic fee depends on the total number of sheets of the international application, which appears under "Total" in Box No. VIII (CHECK LIST) of the request. The basic fee must be paid within one month from the date of receipt of the international application by the receiving Office.

Box D: Designation Fees. The number of designation fees due corresponds to the number of check-boxes marked in Box No. V of the request.

The number of designation fees which are due is the same as the number of national patents and regional patents in respect of which specific designations under Rule 4.9(a) are made. Only one designation fee is due for the designation "AP", the designation "EA", the designation "EP" or the designation "OA", irrespective of the number of States for which an ARIPO patent, a Eurasian patent, a European patent or an OAPI patent, respectively, is sought.

Where any States are designated twice (once for the purposes of an ARIPO patent, a Eurasian patent or a European patent and once for the purposes of national protection), the applicant must pay one designation fee in respect of the ARIPO patent, the Eurasian patent or the European patent and a further designation fee in respect of each national patent or other title of protection sought (Rule 15.1(ii) and Section 210).

Any designation, in excess of eleven designations for which the fee is due, is free of charge. Therefore, the maximum amount to be indicated in box D is eleven times the amount of the designation fee. If, for example, 15 national patents and four regional patents (an ARIPO patent, a Eurasian patent, a European

patent and an OAPI patent) are sought (totalling 19 designations), the figure to be indicated in box D is eleven times the amount of the designation fee.

The designation fees must be paid within one month from the date of receipt of the international application by the receiving Office or 12 months from the priority date, whichever time limit expires later.

Box P: Fee for Priority Document (Rule 17.1(b)): Where the applicant has requested, by marking the applicable check-box in Box No. VI of the request, that the receiving Office prepare and transmit to the International Bureau a certified copy of the earlier application the priority of which is claimed, the amount of the fee prescribed by the receiving Office for such service may be entered (for information, see Annex C of Volume I of the PCT Applicant's Guide).

If that fee is not paid at the latest before the expiration of 16 months from the priority date, the receiving Office may consider the request under Rule 17.1(b) as not having been made.

Total Box: The total of the amounts entered in boxes T, S, I and P should be entered in this box. If the applicant so wishes, the currency in which the fees are paid may be indicated next to or in the total box.

Later Payment of Designations Fees: Where the time limit of 12 months from the priority date expires later than one month from the date of receipt of the international application by the receiving Office, and the applicant wishes to delay the payment of the designation fees, it is recommended that the corresponding check-box be marked.

MODE OF PAYMENT

In order to help the receiving Office identify the mode of payment of the prescribed fees, it is recommended that the applicable check-box(es) be marked.

AUTHORIZATION TO CHARGE DEPOSIT ACCOUNT

The receiving Office will not charge fees to deposit accounts unless the deposit account authorization is signed and indicates the deposit account number.

MBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY
(Includes Reference to PCT International Applications)

ATTORNEY'S DOCKET NUMBER

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

_____

_____

the specification of which (check only one item below):

☐ is attached hereto.

☐ was filed as United States application

Serial No. _____

on _____,

and was amended

on _____ (if applicable).

☐ was filed as PCT international application

Number _____

on _____,

and was amended under PCT Article 19

on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowlege the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY (if PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
			☐ YES ☐ NO
			☐ YES ☐ NO
			☐ YES ☐ NO

ombined Declaration For Patent Application and Power of Attorney (Continued)
ncludes Reference to PCT International Applications)

ATTORNEY'S DOCKET NUMBER

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowlege the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:

U.S. APPLICATIONS		STATUS *(Check one)*		
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED

PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED *(if any)*			

POWER OF ATTORNEY: **As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.** ***(List name and registration number)***

Send Correspondence to:

Direct Telephone Calls to:
(name and telephone number)

201	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY
202	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY
203	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY

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 issuing thereon.

SIGNATURE OF INVENTOR 201	SIGNATURE OF INVENTOR 202	SIGNATURE OF INVENTOR 203

FORM PTO-1390 (REV 10-95) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER	
U.S. APPLICATION NO. (If known, see 37 CFR 1.5)	

INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED

TITLE OF INVENTION

APPLICANT(S) FOR DO/EO/US

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
   a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
   b. ☐ has been transmitted by the International Bureau.
   c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
   a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
   b. ☐ have been transmitted by the International Bureau.
   c. ☐ have not been made; however, the time limit for making such amendemnts has NOT expired.
   d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
    ☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Other items or information:

U.S. APPLICATION NO (if known, see 37 CFR 1.5)	INTERNATIONAL APPLICATION NO.	ATTORNEY'S DOCKET NUMBER

17. ☐ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

		CALCULATIONS PTO USE ONLY
Search Report has been prepared by the EPO or JPO	**$880.00**	
International preliminary examination fee paid to USPTO (37 CFR 1.482)	**$680.00**	
No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))	**$750.00**	
Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO	**$1010.00**	
International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)	**$94.00**	

ENTER APPROPRIATE BASIC FEE AMOUNT =				$	
Surcharge of **$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	- 20 =		X **$22.00**	$	
Independent claims	- 3 =		X **$78.00**	$	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ **$250.00**	$	
	TOTAL OF ABOVE CALCULATIONS =			$	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also by filed (Note 37 CFR 1.9, 1.27, 1.28).				$	
SUBTOTAL =				$	
Processing fee of $130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +				$	
TOTAL NATIONAL FEE =				$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **$40.00** per property +				$	
TOTAL FEES ENCLOSED =				$	
				Amount to be: refunded	$
				charged	$

a. ☐ A check in the amount of $_____ to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of $_____ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☐ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. _____. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

SIGNATURE:

NAME

REGISTRATION NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES RECEIVING OFFICE

Date	
International Application No.	
Attorney Docket No.	

I. Certification under 37 CFR 1.10 (if applicable)

Express Mail mailing number	Date of Deposit

I hereby certify that the application/correspondence attached hereto is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of person mailing correspondence	Typed or printed name of person mailing correspondence

II. ☐ New International Application

TITLE		Earliest priority date (Day/Month/Year)

SCREENING DISCLOSURE INFORMATION: In order to assist in screening the accompanying international application for purposes of determining whether a license for foreign transmittal should and could be granted and for other puposes, the following information is supplied. (Note: check as many boxes as apply):

A. ☐ The invention dislcose was **not** made in the United States.

B. ☐ There is no prior U.S. application relating to this invention.

C. ☐ The following prior U.S. application(s) contain subject matter which is related to the invention disclosed in the attached international application. (*NOTE: priority to these applications may or may not be claimed on form PCT/RO/101 (Request) and this listing does not constitute a claim for priority.)*

application no.		filed on	
application no.		filed on	

D. ☐ The present international application ☐ is identical to ☐ contains less subject matter than that found in the prior U.S. application(s) identified in paragraph C. above.

E. ☐ The present international application ☐ contains additional subject matter not found in the prior U.S. application(s) identified in paragraph C. above. The additional subject matter is found on pages ____ and ☐ **DOES NOT ALTER** ☐ **MIGHT BE CONSIDERED TO ALTER** the general nature of the invention in a manner which would require the U.S. application to have been made available for inspection by the appropriate defense agencies under 35 U.S.C. 181 and 37 CFR 5.1. See 37 CFR 5.15

III. ☐ A Response to an Invitation from the RO/US. The following document(s) is(are) enclosed:

A. ☐ A Request for An Extension of Time to File a Response

B. ☐ A Power of Attorney (General or Regular)

C. ☐ Replacement pages:

pages		of the request (PCT/RO/101)	pages		of the figures
pages		of the description	pages		of the abstract
pages		of the claims			

D. ☐ Submission of Priority Documents

Priority document		Priority document	

E. ☐ Fees as specified on attached Fee Calculation sheet form PCT/RO/101 annex

IV. ☐ A Request for Rectification under PCT 91 ☐ A Petition ☐ A Sequence Listing Diskette

V. ☐ Other (please specify):

The person signing this form is the:

☐ Applicant	
☐ Attorney/Agent (Reg. No.)	Typed name of signer

PATENT COOPERATION TREATY

PCT

NOTICE OF CONFIRMATION OF PRECAUTIONARY DESIGNATIONS

(to be filed with the receiving Office)

(PCT Rules 4.9(c) and 15.5)

Applicant's or agent's file reference	International filing date *(day/month/year)*
International application No.	(Earliest) Priority date *(day/month/year)*
Applicant	

1. The applicant hereby **confirms** the following designations made under Rule 4.9(b):

Name of State *(specify if a regional patent and/or another kind of protection or treatment is/are desired)*	**Name of Applicant(s) for that State**

2. **Prescribed fees** *(Applicants from certain States are entitled to a reduction of 75% of the designation fee and the confirmation fee. Where the applicant is (or all applicants are) so entitled, the total to be entered in the TOTAL box is 25% of the sum of the amounts entered at D and C. See Notes to the Fee Calculation Sheet as annexed to the Request Form, PCT/RO/101, for details.)*

for receiving Office use only

_____ (Number of designations confirmed) x _____ (Amount of designation fee) = _____ D (Total designation fee) _____

Confirmation fee = 50% of the above total + _____ C _____

Total fees payable = _____ TOTAL _____

Mode of payment *(payment must accompany this notice)*:

- ☐ authorization to charge deposit account (see below)
- ☐ bank draft
- ☐ coupons
- ☐ cheque
- ☐ cash
- ☐ other *(specify)*:
- ☐ postal money order
- ☐ revenue stamps

3. **Signature of applicant or agent**

Deposit account authorization

The RO/ _____

☐ is hereby authorized to charge the total fees indicated above to my deposit account.

☐ is hereby authorized to charge any deficiency or credit any overpayment in the total fees indicated above to my deposit account.

_____ _____ _____

PATENT COOPERATION TREATY (PCT) PUBLICATIONS
U.S. DOLLAR PRICES FOR THE YEAR 1996

FOR RESIDENTS OF THE UNITED STATES OF AMERICA

The following PCT publications, in English and French except where otherwise indicated, may be ordered from the International Bureau of the World Intellectual Property Organization (address overleaf).

	Surface mail	Airmail
International applications* published under the PCT (pamphlet) together with international search report	10.00	13.00
PCT Gazette: subscription for the year 1996**	600.00	1480.00
single issues (except special issues)	20.00	48.00
PCT Gazette Special Issues:		
General Information: Contracting States, National & Regional Offices, International Authorities	15.00	26.00
Agreements between WIPO and International Searching and/or Preliminary Examining Authorities	15.00	26.00
Administrative Instructions under the PCT (without Forms)	15.00	26.00
PCT Receiving Office Guidelines	15.00	26.00
PCT Search Guidelines	15.00	26.00
PCT Preliminary Examination Guidelines	15.00	26.00
Minimum Documentation: List of Periodicals	15.00	26.00
PCT Forms:		
Request and Demand Forms	free	free
Receiving Office (RO) Forms	15.00	26.00
International Searching Authority (ISA) Forms	15.00	26.00
International Bureau (IB) Forms	15.00	26.00
International Preliminary Examination Authority (IPEA) Forms	15.00	26.00
PCT Newsletter: subscriptions for 1996** (English only)	50.00	65.00
single issues	7.00	8.00
Binder for PCT Newsletter (holds 24 issues)	8.00	15.00
PCT Applicant's Guide (price includes Updating Service for 1996)**	140.00	240.00
Updating Service for 1996** (only for those who owned the Guide in 1995)	84.00	168.00
PCT text and Regulations***	15.00	26.00
The First Twenty-Five Years of the PCT 1970-1995	67.00	140.00
Records of the Washington Diplomatic Conference, 1970 (hard bound)	126.00	180.00
Basic Facts about the PCT	free	free

* Published in Chinese, English, French, German, Japanese, Russian or Spanish, if the application was filed in one of these languages; published in English, if filed in a language other than the preceding seven; English-language abstract is always included. May be supplied in single copies by number of publication, or supplied automatically upon publication in two modes: either all of them, or selected pamphlets according to International Patent Classification (IPC) symbols.

** The subscriptions to the PCT Gazette, PCT Newsletter and to the Updating Service of the PCT Applicant's Guide are automatically renewed at the end of each calendar year unless notification to the contrary is received.

Espace-World CD-ROMs containing the backlog PCT International Applications

- The complete set from 1978 to 1989	8780.00
- 1989 (27 Disks)	2020.00
- 1988 (21 Disks)	1550.00
- 1987 (15 Disks)	1110.00
- 1986 (14 Disks)	1030.00
- 1985 (11 Disks)	820.00
- 1984 (10 Disks)	750.00
- 1983 (9 Disks)	680.00
- 1982 (9 Disks)	680.00
- 1981 (7 Disks)	525.00
- 1980 (6 Disks)	440.00
- 1978 and 1979 (2 Disks)	150.00

The Espace-World CD-ROMs from the year 1990 onwards should be ordered from the European Patent Office, Schottenfeldgasse 29, Postfach 82, 1072 Vienna, Austria.

Mode of ordering and paying

Orders should be addressed to:

WIPO - World Intellectual Property Organization
Publications Sales and Distribution Unit
Post Office Box 18
1211 Geneva 20
Switzerland

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Telephone: (41 22) 730 9618, (41 22) 730 9734, (41 22) 730 9590, (41 22) 730 9111

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- by payment to WIPO account N° 487080-81 at the Swiss Credit Bank, P.O. Box 2153, 1211 Geneva 2, Switzerland;
- by payment to WIPO post check account N° 12-5000-8, Geneva, Switzerland;
- by debiting deposit account, if any, at WIPO;
- by check in Swiss francs or in a currency freely convertible into Swiss francs, payable at a bank in Switzerland.
- by American Express, Mastercard, Eurocard or Visa. Please indicate the cardholder's name and address, the card number and expiration date.

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A

Contracting States of the Patent Cooperation Treaty (PCT)

A

Name of State followed by country code	Date of entry into force of the PCT in respect of the State
Albania AL	4 October 1995
Armenia[3] AM	25 December 1991
Australia AU	31 March 1980
Austria AT	23 April 1979
Azerbaijan AZ	25 December 1995
Barbados BB	12 March 1985
Belarus[3] BY	25 December 1991
Belgium BE	14 December 1981
Benin BJ	26 February 1987
Brazil BR	9 April 1978
Bulgaria BG	21 May 1984
Burkina Faso BF	21 March 1989
Cameroon CM	24 January 1978
Canada CA	2 January 1990
Central African Republic CF	24 January 1978
Chad TD	24 January 1978
China CN	1 January 1994
Congo CG	24 January 1978
Côte d'Ivoire CI	30 April 1991
Czech Republic CZ	1 January 1993
Democratic People's Republic of Korea KP	8 July 1980
Denmark DK	1 December 1978
Estonia EE	24 August 1994
Finland[2] FI	1 October 1980
France[3, 4] FR	25 February 1978
Gabon GA	24 January 1978
Georgia[3] GE	25 December 1991
Germany DE	24 January 1978
Greece[1] GR	9 October 1990
Guinea GN	27 May 1991
Hungary[3] HU	27 June 1980
Iceland IS	23 March 1995
Ireland IE	1 August 1992
Italy IT	28 March 1985
Japan JP	1 October 1978
Kazakstan[3] KZ	25 December 1991
Kenya KE	8 June 1994
Kyrgyzstan[3] KG	25 December 1991
Latvia LV	7 September 1993
Lesotho LS	21 October 1995
Liberia LR	27 August 1994
Liechtenstein LI	19 March 1980
Lithuania LT	5 July 1994
Luxembourg LU	30 April 1978
Madagascar MG	24 January 1978
Malawi MW	24 January 1978
Mali ML	19 October 1984
Mauritania MR	13 April 1983
Mexico MX	1 January 1995
Monaco MC	22 June 1979
Mongolia MN	27 May 1991
Netherlands[3, 5] NL	10 July 1979
New Zealand NZ	1 December 1992
Niger NE	21 March 1993
Norway[2] NO	1 January 1980
Poland PL	25 December 1990
Portugal PT	24 November 1992
Republic of Korea KR	10 August 1984
Republic of Moldova[3] MD	25 December 1991
Romania[3] RO	23 July 1979
Russian Federation[3] RU	29 March 1978
Senegal SN	24 January 1978
Singapore SG	23 February 1995
Slovakia SK	1 January 1993
Slovenia SI	1 March 1994
Spain[1] ES	16 November 1989
Sri Lanka LK	26 February 1982
Sudan SD	16 April 1984
Swaziland SZ	20 September 1994
Sweden[2] SE	17 May 1978
Switzerland CH	24 January 1978
Tajikistan[3] TJ	25 December 1991
The former Yugoslav Republic of Macedonia MK	10 August 1995
Togo TG	24 January 1978
Trinidad and Tobago TT	10 March 1994
Turkey TR	1 January 1996
Turkmenistan[3] TM	25 December 1991
Uganda UG	9 February 1995
Ukraine[3] UA	25 December 1991
United Kingdom[6] GB	24 January 1978
United States of America[7, 8] US	24 January 1978
Uzbekistan[3] UZ	25 December 1991
Viet Nam VN	10 March 1993

1 Not bound by Chapter II of the PCT (declaration under Article 64(1)(a)).
2 With the declaration provided for in Article 64(2)(a)(ii).
3 With the declaration provided for in Article 64(5).
4 Including all Overseas Departments and Territories.
5 Ratification for the Kingdom in Europe, Aruba and the Netherlands Antilles.
6 Extends to the territory of Hong Kong and to the Isle of Man.
7 With the declarations provided for in Articles 64(3)(a) and 64(4)(a).
8 Extends to all areas for which the United States of America has ...

INTERNATIONAL APPLICATION (PCT Chapter I) FEES

TRANSMITTAL FEE	220.00
SEARCH FEE	
U.S. Patent and Trademark Office (USPTO) as International Searching Authority (ISA)	
No corresponding prior US national application filed	660.00
Corresponding prior US national application filed	430.00
Supplemental search fee, per additional invention (payable only upon invitation)	190.00
European Patent Office (EPO) as ISA	1700.00
INTERNATIONAL FEES	
Basic fee	677.00
Basic supplemental fee (for each page over 30)	13.00
Designation fee per country or region for the first 11 national or regional offices	164.00
Designation fee for each additional designation greater than 11	NO CHARGE
Fee for each precautionary designation which is confirmed (PCT Rule 15.5)	
Designation fee portion	164.00
Confirmation fee portion	82.00
FEE FOR EACH CERTIFIED COPY OF A U.S. PRIORITY DOCUMENT	15.00

INTERNATIONAL APPLICATION (PCT CHAPTER II) FEES

(fees associated with filing a demand for Preliminary Examination):

HANDLING FEE	207.00
PRELIMINARY EXAMINATION FEE	
USPTO as International Preliminary Examination Authority (IPEA)	
USPTO was ISA in PCT Chapter I	470.00
--Additional examination fee, per additional invention (payable only upon invitation)	140.00
USPTO was not ISA in PCT Chapter I	710.00
--Additional examination fee, per additional invention (payable only upon invitation)	250.00

U.S. NATIONAL STAGE FEES

	SMALL ENTITY	REGULAR
BASIC NATIONAL STAGE FEES		
USPTO was IPEA		
-All claims presented satisfied provisions of PCT Articles 33(2) to (4)	47.00	94.00
-All claims presented did not satisfy the provisions of PCT Article 33(2) to (4)	340.00	680.00
USPTO was ISA but not IPEA	375.00	750.00
USPTO was neither ISA nor IPEA		
-Search report has not been prepared by the EPO or the Japanese Patent Office (JPO)	505.00	1010.00
-Search report has been prepared by the EPO or the JPO	440.00	880.00
OTHER NATIONAL STAGE FEES		
-For each independent claim in excess of 3	39.00	78.00
-For each claim in excess of 20	11.00	22.00
-For each application containing a multiple dependent claim	125.00	250.00
-Surcharge for filing oath or declaration after the time limit applicable under PCT Article 22 or 39(1) (20 or 30 months form the priority date)	65.00	130.00
-Processing fee for filing English translation after the time limit applicable under PCT Article 22 or 39(1) (20 or 30 months form the priority date)	130.00	130.00

PCT International Application Items Acceptable As Facsimile Transmissions In the United States Patent & Trademark Office

Item	Acceptable	Not Acceptable
Filing of International Application		X
Drawings		X
Substitute Sheets (other than Drawings)	X	
Extensions of Time Requests	X	
Powers of Attorney	X	
General Powers of Attorney	X	
Fee Authorizations (other than the basic national fee)	X	
Confirmation of Precautionary Designations	X	
Demands	X	
Responses to Written Opinions	X	
Petitions	X	
Certified Copy of Priority Document		X
Basic National Fee for Entry Into National Stage		X
Copy of International Application for Entry Into National Stage		X
Translations	X	
Oath or Declaration	X	
Authorizations for Other National Fees and Surcharges	X	

PCT Legal Office On the World Wide Web

Web Addresses:

http://www.uspto.gov/

http://www.uspto.gov/web/pct/

The mission of the **PCT Legal Office** is to provide the world-wide intellectual property community with the most innovative and up-to-date customer service involving the Patent Cooperation Treaty.

In order to promptly and accurately fulfill the numerous customer requests for PCT forms and information, the **PCT Legal Office** has initiated this World Wide Web publication which will provide the most current versions of all PCT forms and fees needed for filing and prosecuting international applications in the United States Patent and Trademark Office.

In our continuing efforts to meet the rapidly growing needs of our customers on a world-wide basis and provide a user-friendly product, the **PCT Legal Office** proudly offers downloadable forms and information needed for the filing of international applications in the United States Receiving Office and the prosecution of international applications before: the United States International Searching Authority; the United States International Preliminary Examining Authority; the United States Designated Office; and, the United States Elected Office.

What's Available:

PCT Chapter I (blank forms and information)

PCT Chapter II (blank forms and information)

National Stage in the United States Designated/Elected Office (blank forms and information)

What Items may be Facsimile Transmitted in an International Application in the United States Patent and Trademark Office

Current Alphabetical Listing of PCT Contracting States with Country Code Designations

Announcements

The demand must be filed directly with the competent International Preliminary Examining Authority or, if two or more Authorities are competent, with the one chosen by the applicant. The full name or two-letter code of that Authority may be indicated by the applicant on the line below.

IPEA/ _____

PCT

CHAPTER II

DEMAND

under Article 31 of the Patent Cooperation Treaty:
The undersigned requests that the international application specified below be the subject of international preliminary examination according to the Patent Cooperation Treaty.

For International Preliminary Examining Authority use only

Identification of IPEA	Date of receipt of DEMAND

Box No. I IDENTIFICATION OF THE INTERNATIONAL APPLICATION		Applicant's or agent's file reference
International application No	International filing date *(day/month/year)*	(Earliest) Priority date *(day/month/year)*
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.)*	Telephone No
	Facsimile No
	Teleprinter No.

State *(i.e. country)* of nationality:	State *(i.e. country)* of residence:

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.)*

State *(i.e. country)* of nationality	State *(i.e. country)* of residence

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.)*

State *(i.e. country)* of nationality:	State *(i.e. country)* of residence:

☐ Further applicants are indicated on a continuation sheet.

Sheet No. . .

International application No.

Continuation of Box No. II APPLICANT(S)

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

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.)*

State *(i.e. country)* of nationality:

State *(i.e. country)* of residence:

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.)*

State *(i.e. country)* of nationality:

State *(i.e. country)* of residence:

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.)*

State *(i.e. country)* of nationality:

State *(i.e. country)* of residence:

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.)*

State *(i.e. country)* of nationality:

State *(i.e. country)* of residence:

☐ Further applicants are indicated on another continuation sheet.

Sheet No.

International application No.

Box No. III AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE

The following person is ☐ agent ☐ common representative

and ☐ has been appointed earlier and represents the applicant(s) also for international preliminary examination.

☐ is hereby appointed and any earlier appointment of (an) agent(s)/common representative is hereby revoked.

☐ is hereby appointed, specifically for the procedure before the International Preliminary Examining Authority, in addition to the agent(s)/common representative appointed earlier.

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.)*

Telephone No.

Facsimile No.

Teleprinter No.

☐ Mark this check-box where no agent or common representative is/has been appointed and the space above is used instead to indicate a special address to which correspondence should be sent.

Box No. IV STATEMENT CONCERNING AMENDMENTS

The applicant wishes the International Preliminary Examining Authority*

(i) ☐ to start the international preliminary examination on the basis of the international application as originally filed.

(ii) ☐ to take into account the amendments under Article 34 of

☐ the description (amendments attached).

☐ the claims (amendments attached).

☐ the drawings (amendments attached).

(iii) ☐ to take into account any amendments of the claims under Article 19 filed with the International Bureau (a copy is attached).

(iv) ☐ to disregard any amendments of the claims made under Article 19 and to consider them as reversed.

(v) ☐ to postpone the start of the international preliminary examination until the expiration of 20 months from the priority date unless that Authority receives a copy of any amendments made under Article 19 or a notice from the applicant that he does not wish to make such amendments (Rule 69.1(d)). *(This check-box may be marked only where the time limit under Article 19 has not yet expired.)*

* Where no check-box is marked, international preliminary examination will start on the basis of the international application as originally filed or, where a copy of amendments to the claims under Article 19 and/or amendments of the international application under Article 34 are received by the International Preliminary Examining Authority before it has begun to draw up a written opinion or the international preliminary examination report, as so amended.

Box No. V ELECTION OF STATES

☒ The applicant hereby elects all eligible States *(that is, all States which have been designated and which are bound by Chapter II of the PCT)* except .....

(If the applicant does not wish to elect certain eligible States, the name(s) or country code(s) of those States must be indicated above.)

Sheet No

International application No.

Box No. VI CHECK LIST

The demand is accompanied by the following documents for the purposes of international preliminary examination:

For International Preliminary Examining Authority use only

		received	not received
1. amendments under Article 34			
description	sheets	☐	☐
claims	sheets	☐	☐
drawings	sheets	☐	☐
2. letter accompanying amendments under Article 34	sheets	☐	☐
3. copy of amendments under Article 19	sheets	☐	☐
4. copy of statement under Article 19	sheets	☐	☐
5. other *(specify)*:	sheets	☐	☐

The demand is also accompanied by the item(s) marked below:

1. ☐ separate signed power of attorney
2. ☐ copy of general power of attorney
3. ☐ statement explaining lack of signature
4. ☐ fee calculation sheet
5. ☐ other *(specify)*:

Box No. VII SIGNATURE OF APPLICANT, AGENT OR COMMON REPRESENTATIVE

Next to each signature, indicate the name of the person signing and the capacity in which the person signs (if such capacity is not obvious from reading the demand).

For International Preliminary Examining Authority use only

1. Date of actual receipt of DEMAND

2. Adjusted date of receipt of demand due to CORRECTIONS under Rule 60.1(b):

3. ☐ The date of receipt of the demand is AFTER the expiration of 19 months from the priority date and item 4 or 5, below, does not apply. ☐ The applicant has been informed accordingly.

4. ☐ The date of receipt of the demand is WITHIN the period of 19 months from the priority date as extended by virtue of Rule 80.5

5. ☐ Although the date of receipt of the demand is after the expiration of 19 months from the priority date, the delay in arrival is EXCUSED pursuant to Rule 82.

For International Bureau use only

Demand received from IPEA on:

NOTES TO THE DEMAND FORM (PCT/IPEA/401)

These Notes are intended to facilitate the filling in of the demand form and to give some information concerning international preliminary examination under Chapter II of the Patent Cooperation Treaty (PCT). For more detailed information, see the **PCT Applicant's Guide**, a publication of WIPO. The Notes are based on the requirements of the PCT, the Regulations and the Administrative Instructions under the PCT. In case of any discrepancy between these Notes and those requirements, the latter are applicable.

In the demand form and these Notes, "Article," "Rule" and "Section" refer to the provisions of the PCT, the PCT Regulations and the Administrative Instructions, respectively.

Please use a typewriter; check-boxes may be marked by hand with dark ink (Rules 11.9(a) and (b) and 11.14).

IMPORTANT GENERAL INFORMATION

Who May File a Demand? (Article 31(2)(a) and Rule 54): A demand (for international preliminary examination) may only be filed by an applicant who is a national or resident of a PCT Contracting State which is bound by Chapter II of the PCT, furthermore, the international application must have been filed with a receiving Office of, or acting for, a State bound by Chapter II. Where there are two or more applicants (for the same or different elected States) at least one of them must qualify.

Where Must the Demand Be Filed? (Article 31(6)(a)): The demand must be filed with a competent International Preliminary Examining Authority (IPEA). The receiving Office with which the international application was filed will, upon request, give information about the competent IPEA (or see Annex C of Volume I of the PCT Applicant's Guide). If several IPEAs are competent, the applicant has the choice and the demand must be filed with (and the fees must be paid to) the IPEA chosen by the applicant. The IPEA chosen by the applicant may be identified, preferably by an indication of the name or two-letter code of the IPEA, at the top of the first sheet of the demand in the space provided for that purpose.

When Must the Demand Be Filed? (Article 39(1)): The demand must be filed before the expiration of *19 months from the priority date* in order to extend the time limit for entering the national phase of the PCT procedure from 20 to 30 months from the priority date. *Warning*: if the demand is filed later, the national phase will not be delayed in respect of the elected States and the applicant must enter the national phase before the expiration of the time limit applicable under Article 22 (which is usually 20 months from the priority date).

In Which Language Must the Demand Be Filed? (Rule 55.1): The demand must be filed in the language of the international application if that language is Chinese, English, French, German, Japanese or Russian; otherwise, the demand must be filed in English.

In Which Language Must Amendments Be Filed? (Rule 66.9): Amendments and letters relating thereto must be in the language of publication.

What is the Language of Correspondence? (Rule 92.2 and Section 104): Any letter from the applicant to the IPEA must be in the same language as the international application to which it relates. However, the IPEA may authorize the use of another language for letters which do not contain or relate to amendments of the international application. Any letter from the applicant to the International Bureau must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

Which Fees Must Be Paid and When? (Rules 57 and 58): At the time the demand is submitted, the applicant must pay the preliminary examination fee and the handling fee. The Fee Calculation Sheet should be used for that purpose. For details concerning the payment of the fees, see the Notes to that Sheet.

BOX No. I

Applicant's or Agent's File Reference: A file reference may be indicated, if desired. It should not exceed 12 characters. Characters in excess of 12 may be disregarded (Section 109).

Identification of the International Application (Rule 53.6): The international application number must be indicated in Box No. I. Where the demand is filed at a time when the international application number has not yet been notified by the receiving Office, the name of that Office must be indicated instead of the international application number.

International Filing Date and (Earliest) Priority Date (Section 110): Dates must be indicated by the Arabic number of the day, the name of the month and the Arabic number of the year—in that order; after, below or above such indication, the date should be repeated in parentheses, using two-digit Arabic numerals for each of the number of the day, the number of the month and the last two numbers of the year, in that order, and separated by periods, slants or hyphens, e.g., "05 March 1992 (05.03.92)", "05 March 1992 (05/03/92)" or "05 March 1992 (05-03-92)". Where the international application claims the priority of several earlier applications, the filing date of the earliest application whose priority is claimed must be indicated as the priority date.

Title of the Invention: If a new title has been established by the International Searching Authority, that title must be indicated in Box No. I.

BOX No. II

Applicant(s) (Rule 53.4): All the applicants for the elected States must be indicated in the demand; an applicant named in the request (Form PCT/RO/101) for a State which is not elected need not be named in the demand. It should be noted that the persons named as "inventor only" in the request need not be named in the demand.

Make in Box No. II of the demand the required indications as appearing in Boxes Nos. II and III of the request. The Notes to the request apply *mutatis mutandis*. If there are two or more applicants for the States elected in the demand, give the required indications for each of them; if there are more than three applicants, make the required indications on the "Continuation Sheet".

If different applicants are indicated in the request for different designated States, indicate in Box No. II of the demand only the applicants for the States elected in Box No. V (no indication of the States for which a person is applicant need be made, because those indications have been made in the request).

BOX No. III

Agent or Common Representative (Rules 53.5, 90.1 and 90.2): Mark the applicable check-boxes to indicate *first* whether the person named in this Box is agent or common representative, *then* whether that person *has been appointed earlier* (i.e., during the procedure under Chapter I), or *is appointed in the demand* and any earlier appointment of another person is revoked, or *is appointed specifically for the procedure before the IPEA* (without revocation of any earlier appointment), in addition to the person(s) appointed earlier.

Where an additional person is appointed specifically for the procedure before the IPEA, all notifications issued by the IPEA will be addressed only to that additional person. A separate power of attorney must be filed with the IPEA, the International Bureau or the receiving Office, if the person appointed at the time the demand is filed (i.e., was not appointed earlier) signs the demand on behalf of the applicant (Rule 90.4).

Address for Correspondence (Rule 4.4(d) and Section 108): Where an agent is appointed, any correspondence intended for the applicant will be sent to the address indicated for that agent (or for the first-mentioned agent, if more than one is appointed). Where one of two or more applicants is appointed as common representative, the address indicated for that applicant in Box No. III will be used.

Where no agent or common representative is appointed, any correspondence will be sent to the address, indicated in Box No. II, of the applicant (if only one person is named as applicant) or of the applicant who is considered to be common representative (if there are two or more persons named as applicants). However, if the applicant wishes correspondence to be sent to a different address in such a case, that address may be indicated in Box No. III instead of the designation of an agent or common representative. In this case, and only in this case, the last check-box of Box No. III must be marked (that is, the last check-box must not be marked if either of the check-boxes "agent" or "common representative" in Box No. III has been marked).

BOX No. IV

Statement Concerning Amendments (Rules 53.2(a)(v), 53.9, 62, 66.1 and 69.1): The international preliminary examination will start on the basis of the international application as filed or, if amendments have been filed, as amended. Mark the appropriate check-box(es) to enable the IPEA to determine when and on what basis it can start international preliminary examination.

Mark check-box (i) where the international preliminary examination should start on the basis of the international application as filed.

Mark check-boxes (ii) and/or (iii) where amendments are to be taken into account and submit *with the demand* a copy of amendments to the claims under Article 19 (Rule 53.9(a)(i)) and/or the amendments of the international application under Article 34 (Rule 53.9(c)), as the case may be. If a check-box is marked but the demand is not accompanied by the documents referred to, the start of international preliminary examination will be delayed until the IPEA receives them.

Mark check-box (iv) if amendments of the claims under Article 19 have been filed with the International Bureau during the Chapter I procedure, but the applicant does not want that these amendments be taken into account for the purpose of international preliminary examination when the latter starts (Rule 53.9(a)(ii)).

Mark check-box (v) where the time limit for filing amendments of the claims under Article 19 has not expired at the time the demand is filed and the applicant wants to keep the option for the filing of such amendments open; the IPEA is thus requested to postpone the start of international preliminary examination (Rules 53.9(b) and 69.1(d)). It should be noted that the examination will start in any event after the expiration of 20 months from the priority date even where the time limit for filing amendments has not yet expired or no amendments have been received by the IPEA.

If no check-box is marked, refer to the footnote at the bottom of Box No. IV.

BOX No. V

Election of States (Rule 53.7): Only States which are bound by Chapter II of the PCT *and* which have been designated in the international application (i.e., States whose designations have been made under Rule 4.9(a), confirmed under Rule 4.9(c) or considered as having been made under Rule 32.2(a)(i)) can be elected. They are the "eligible States."

For the convenience and protection of applicants, the check-box in Box No. V has been pre-marked so that all eligible States are automatically elected. It is only where the applicant does not wish to elect certain eligible States that the name(s) or country code(s) of those States must be indicated on the dotted line, after the word "except."

The indication in the demand of the kind of protection or treatment desired for any elected State is not required since it follows the indication made when designating that State in the international application. *Greece and Spain* are not eligible because they are not bound by Chapter II and cannot be elected; however, if they have been designated in the international application for a European patent together with at least one other Contracting State of the European Patent Convention bound by Chapter II, the time limit under Article 39(1) applies also with respect to those States if the other State has been elected before the expiration of 19 months from the priority date.

BOX No. VI

Check List: It is recommended that this Box be filled in carefully in order for the IPEA to determine as soon as possible whether it is in possession of the documents on the basis of which the applicant wishes international preliminary examination to start.

BOX No. VII

Signature (Rules 53.8, 90.3(a) and 90.4(a)): The demand must be signed by the applicant or by his agent; if there are two or more applicants, the common representative may sign the demand. If the demand is not signed by (all) the persons who are applicants for the elected States (a person who is applicant only for a State which is not elected need not sign the demand), a power of attorney signed by that (all those) applicant(s) must be filed with the IPEA, with the International Bureau or with the receiving Office unless the agent has previously been appointed.

CHAPTER II

PCT

FEE CALCULATION SHEET

Annex to the Demand for international preliminary examination

International application No.	For International Preliminary Examining Authority use only
Applicant's or agent's file reference	Date stamp of the IPEA
Applicant	

Calculation of prescribed fees

1. Preliminary examination fee ..... P

2. Handling fee *(Applicants from certain States are entitled to a reduction of 75% of the handling fee. Where the applicant is (or all applicants are) so entitled, the amount to be entered at H is 25% of the handling fee.)* ..... H

3. **Total of prescribed fees**
Add the amounts entered at P and H and enter total in the TOTAL box ..... TOTAL

Mode of Payment

- ☐ authorization to charge deposit account with the IPEA (see below)
- ☐ cheque
- ☐ postal money order
- ☐ bank draft
- ☐ cash
- ☐ revenue stamps
- ☐ coupons
- ☐ other *(specify)*

Deposit Account Authorization *(this mode of payment may not be available at all IPEAs)*

The IPEA/ _____ ☐ is hereby authorized to charge the total fees indicated above to my deposit account.

☐ *(this check-box may be marked only if the conditions for deposit accounts of the IPEA so permit)* is hereby authorized to charge any deficiency or credit any overpayment in the total fees indicated above to my deposit account.

Deposit Account Number _____ Date *(day/month/year)* _____ Signature _____

See Notes to the fee calculation sheet

NOTES TO THE FEE CALCULATION SHEET (ANNEX TO FORM PCT/IPEA/401)

The purpose of the fee calculation sheet is to help the applicant to identify the prescribed fees and to calculate the amounts to be paid. It is strongly recommended that the applicant complete, by entering the appropriate amounts in the boxes provided, and submit the fee calculation sheet at the time of filing of the demand. This will help the International Preliminary Examining Authority (IPEA) to verify the calculations and to identify any error in them.

CALCULATION OF PRESCRIBED FEES

Two fees must be paid for international preliminary examination:

(i) the preliminary examination fee for the benefit of the IPEA (Rule 58.1),

(ii) the handling fee for the benefit of the International Bureau (Rule 57).

Both fees must be paid to the IPEA upon filing the demand in a currency acceptable to that Authority.

Information about the amount of those fees or about equivalent amounts in other currencies can be obtained from the IPEA or the receiving Office. This information is also published in Annex E of Volume I of the PCT Applicant's Guide and from time to time in Section IV of the PCT Gazette.

Box P: The amount of the preliminary examination fee must be entered in Box P.

Box H: The amount of the handling fee must be entered in Box H.

Reduction of the Handling Fee for Applicants from Certain States: An applicant who is a natural person and who is a national of and resides in a State whose per capita national income is below 3,000 US dollars (according to the average per capita national income figures used by the United Nations for determining its scale of assessments for the contributions payable for the years 1995, 1996 and 1997) is entitled, in accordance with the Schedule of Fees, to a reduction of 75% of certain PCT fees including the handling fee. If there are several applicants, each must satisfy the above-mentioned criteria. The reduction of the handling fee will be automatically available to any applicant (or applicants) who is (or are) so entitled on the basis of the indications of name, nationality and residence given in Box II of the demand.

The fee reduction will be available even if one or more of the applicants are not from PCT Contracting States, provided that each of them is a national and resident of a State that meets the above-mentioned requirements and that at least one of the applicants is a national or resident of a PCT Contracting State and thus is entitled to file an international application.

Natural persons who are nationals of and reside in the following PCT Contracting States are eligible: Albania, Armenia, Azerbaijan, Belarus, Benin, Brazil, Bulgaria, Burkina Faso, Cameroon, Central African Republic, Chad, China, Congo, Côte d'Ivoire, Czech Republic, Democratic People's Republic of Korea, Estonia, Gabon, Georgia, Guinea, Hungary, Kazakstan, Kenya, Kyrgyzstan, Latvia, Lesotho, Liberia, Lithuania, Madagascar, Malawi, Mali, Mauritania, Mexico, Mongolia, Niger, Poland, Republic of Moldova, Romania, Russian Federation, Senegal, Slovakia, Sri Lanka, Sudan, Swaziland, Tajikistan, The former Yugoslav Republic of Macedonia, Togo, Turkey, Turkmenistan, Uganda, Ukraine, Uzbekistan and Viet Nam. As far as other States are concerned, inquiries should be addressed to the International Bureau.

Calculation of the Handling Fee in Case of Fee Reduction: Where the applicant is (or all applicants are) entitled to a reduction of the handling fee, the total to be entered at Box H is 25% of the handling fee.

Total Box: The total of the amounts inserted in Boxes P and H is the amount which must be paid to the IPEA.

MODE OF PAYMENT

In order to help the IPEA identify the mode of payment of the prescribed fees, it is recommended to mark the applicable check-box(es).

AUTHORIZATION TO CHARGE DEPOSIT ACCOUNT

The applicant should check whether the IPEA allows the use of deposit accounts for payment of PCT fees. In addition, it is recommended that the applicant check what are the specific conditions applicable to the use of deposit accounts with the IPEA since not all IPEAs provide for the same services.

Finally, if the IPEA is not the same national Office or intergovernmental organization as that with which the international application was filed, the deposit account with the receiving Office cannot be charged for the purpose of paying the preliminary examination and handling fees due to the IPEA.

The IPEA will not charge fees to deposit accounts unless the deposit account authorization is signed and indicates the deposit account number.