



Importing Data into EPO Online Filing

XML rules and structures for data exchange with the EPO's Online Filing system

Applicable to OLF version 5.07 and higher

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2 Introduction

2.1 XML as data standard for filing to the EPO

The **EPO's Online Filing** (OLF) system and other **patent management systems** (PMS) used by applicants and attorneys are based on **XML** as the universal standard to store information and transmit data over the Internet. XML - the **eXtensible Markup Language** - allows users to define specific document structures (DTDs) and to use the data for various outputs. The transformation of XML data, e.g. into PDF documents or for display in a software's GUI, is typically handled by XLST and XFO processors.

A patent application prepared in Online Filing can be exported as a package consisting of several XML and PDF files that contain all the data entered by the user and all the attached electronic documents forming part of the application. Conversely, applications prepared by another PMS can be imported into Online Filing in order to be processed, validated and transmitted to the European Patent Office (EPO). Validating application data within OLF has the advantage that the legal rules and regulations are always up to date, because the updates released by the EPO are automatically installed by the OLF software.

To facilitate data exchange between OLF and other PMS in both directions, the XML data and the attached documents must match the same structures and file properties. Users of other PMS therefore need to convert their XML data into the structure required by OLF prior to import and also the other way round, in order to use data exported from OLF in their respective PMS.

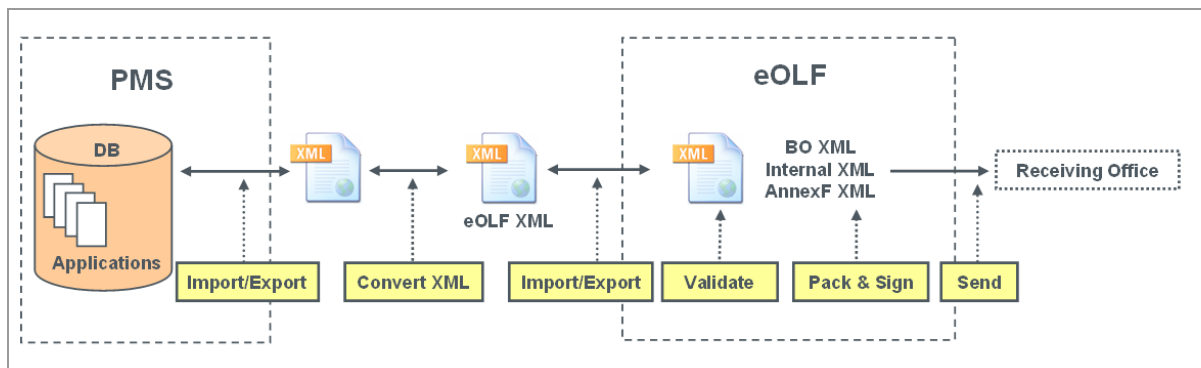


Figure 1: Exchange of XML data between PMS and OLF

The purpose of this document is to provide system developers and software engineers with the necessary resources to develop their own XML conversion tools. Knowing the XML structure and validation rules for the different application procedures in both OLF and target PMS will allow users to program tailor-made routines, so that data can be imported and exported without any loss of accuracy or consistency.

The instructions in the present document are provided by the EPO "as is" and may or may not be complete as to their ability to enable the development of the above described interaction with any particular patent management system.

It is anticipated that system developers and software engineers applying this information will use their knowledge in, amongst others, patent management systems and apply this to verify and enhance, where necessary, these instructions to develop the XML conversion tools for a designated patent management system.

2.2 How to use this document

Section 3 provides a brief overview of the functionalities, software architecture and transformation mechanisms implemented in EPO Online Filing.

Section 4 explains briefly how to convert XML data and import them into Online Filing.

Sections 5 to 9 demonstrate the mapping of data from the GUI with the XML data and PDF output. Sample cases are presented for the five most frequently used OLF procedures:

- **Form EP(1001E2K) - Request for grant of a European patent (EPC 2000)** (p. 13)
- **Form Euro-PCT(1200E2K) - Entry into the European phase (EPC 2000)** (p. 97)
- **Form EP(1038E) - Subsequently filed documents** (p. 154)
- **Form EP(Oppo) - EP opposition procedure** (p. 177)
- **PCT/RO/101 - PCT/RO/101 request** (see "**Form PCT/RO/101 - PCT/RO/101 request**" p. 238)

The Annex in **Section 10** offers further information on EP and international filing, file naming conventions, and element and attribute lists.

Mapping XML data to GUI and PDF

The sequence in this document follows the sequence in the Online Filing GUI, starting with general data (e.g. the **Request** tab) and ending with the annotations. Each example shows a screenshot of the GUI, the XML file and the PDF document. The corresponding elements are numbered in the graphics and listed in an element list.

1	User reference	9	Country
2	Applicants' sequence	10	Address
3	Last Name	11	Postal code
4	First Name	12	City
5	Title	13	Telephone
6	Registration	14	Telefax
7	Company	15	E-mail
8	Department	16	Nationality
		17	Residence

Figure 2: Mapping elements used in GUI, XML code and PDF form

3 Functionalities in Online Filing - Overview

3.1 System architecture and communication

Online Filing is a typical client-server application and can be installed in either stand-alone or network mode.

- In stand-alone mode, the server and the thin client work on the same machine.
- In network mode, the OLF server and the Firebird database are installed on a server machine within the user's network. The thin clients on the user's machines communicate with the server via the intranet (LAN) using CORBA or via the Internet using SOAP.
- The OLF server communicates with the EPO server over a secure Internet connection (https).
- The back-end system of the EPO communicates with the systems of the national patent offices over a VPN tunnel.

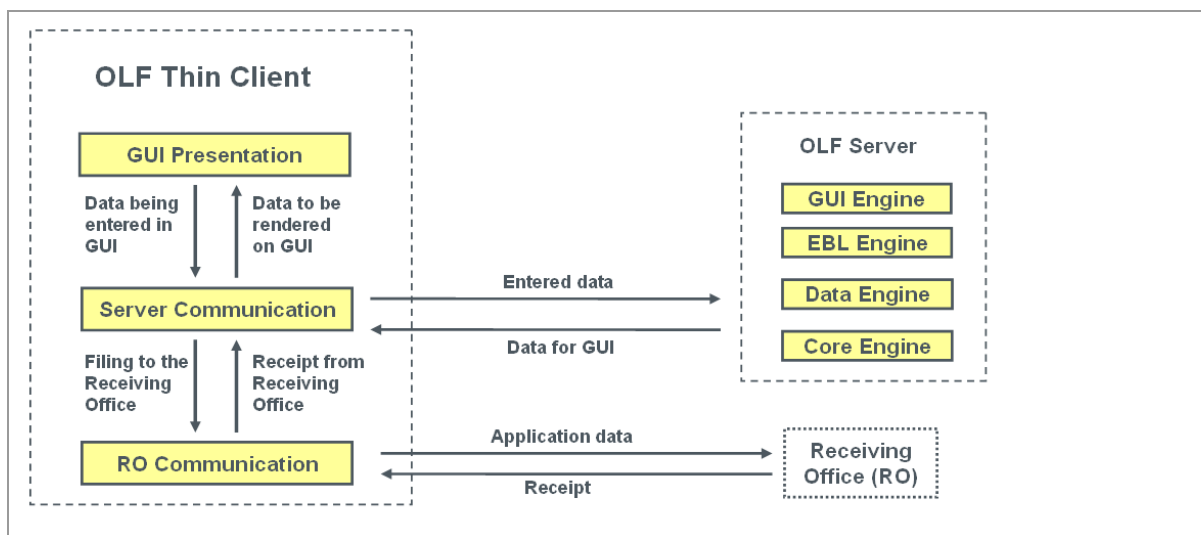


Figure 3: Communication between OLF thin client, OLF server and filing office

See the OLF Installation Guide and OLF User Guide for more information on OLF functionalities, technology and installation. The latest OLF software and documentation are available free of charge from the EPO website under **Applying for a patent > Online services > Online filing** (<http://www.epo.org/online-filing>).

3.2 Workflow in Online Filing

The user

- starts the thin client: the GUI is rendered from data provided by the OLF server.
- enters his application data in the GUI: the data is stored as temporary objects in the thin client machine's memory.
- saves an application as **draft**: the data from the GUI is written to the server's hard disk and also stored in a temporary folder on the client's hard disk.
- attaches all documents that are required for the selected procedure and saves the application as **ready to sign**.
- applies the signature to an application in the GUI: the application is packed as **ready to send** and stored on the server.
- initiates the sending process by the thin client: the server sends the packed data to be transmitted to the thin client.

The thin client

- transmits the package to the filing office and receives the transmission receipt, which is then saved on the server together with the application in **sent** status.

3.3 Data flow and XML transformation

Online Filing passes through the following steps to create electronic documents from data entered in the GUI:

1. The application data is kept in the memory as a business object tree.
2. The application data is mapped to a business object (BO) XML file.
3. The BO XML is converted to Annex F XML and Internal XML by XSLT style sheets and Xalan/Xerces.
4. The Annex F XML is converted to PDF by the XSL-FO style sheet using the formatting objects processor (FOP). This PDF is ready to be sent to the EPO.

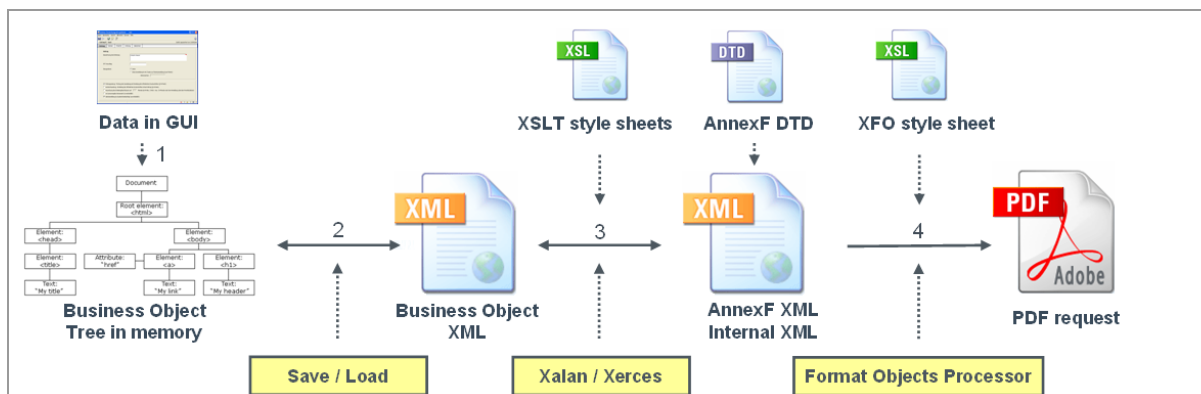


Figure 4: Transformation of data from GUI via XML into PDF

4 XML data exchange with patent management systems

4.1 Converting PMS data into XML for OLF

Start your project with an in-depth analysis of the XML structure produced by your PMS. Then set up detailed rules on which PMS data has to be mapped to which OLF data.

- Use the **XML element list** (p. 304) for OLF contained in the annex to this document.
- Note that important data is also stored in the attributes, so use the **XML attribute lists** (p. 314) too for the specific procedure.
- Insert a new column and enter the corresponding element (or attribute) names from your PMS in the table.
- Refer to the DTDs to define the structure of the XML documents. Note that each procedure uses different DTDs.
- The mandatory and optional XML and PDF files for each procedure are listed at the beginning of each section. These are the files you need to produce using your PMS data (except for those files marked as OLF system files).
- Rename your user-specific PDF attachments to the OLF standard file names. Note that all documents and drawings must be Annex F-compliant.
- Write and set up your own conversion tool to convert your PMS data into XML for OLF.

4.2 Preparing the package for import

Each procedure in Online Filing requires a specific set of XML and PDF files packed in a ZIP archive file. If you import single applications manually in the OLF client, the files may also be prepared in a specific folder. ZIP is the recommended option, however.

For example, Online Filing expects the following XML files for an application in procedure EP(1001E2K):

XML file name	DTD	Description
pkgheader.xml	pkgheader.dtd	Indicates selected procedure and other data for transmission to filing office.
package-data.xml	package-data.dtd	References attached documents, including those already referenced in application-body.xml file.
application-body.xml	application-body-v1-6.dtd	(a) References attached documents as part of patent specification (technical documents or translations of technical documents into EPO language). (b) Contains complete text (or its translation into EPO language) of patent specification with referenced files for drawings.
ep-request.xml	ep-request-v1-11.dtd	Application data as entered in Form EP(1001E2K), references other attached documents.

In a standard EP(1001E2K) application, the technical documents and their translations may be attached as single or multiple PDF files. The pages are referenced in the `application-body.xml` file with a specific element for each section of the technical documents: `<description>`, `<claims>`, `<abstract>` and `<drawings>`. A `<doc-type>` child element contains more information on each section in the following attributes: `id`, `type`, `file`, `page count`. The `id` attribute and `file` attribute must match the EPO document codes and EPO system file names defined by the OLF system.

4.3 Importing XML into Online Filing

You can use one of the following three methods to import XML data into Online Filing:

1. Importing applications in the GUI of the OLF client
2. Using the PMS Gateway interface
3. Calling import/export procedures from the command prompt

OLF client

If you have not already done so, you need to set up a complete installation of the EPO Online Filing system on a dedicated machine.

- Convert the XML data exported by your PMS into XML data for OLF.
- Prepare the package with all XML and PDF files to be imported (either a folder or a ZIP archive).
- Open the OLF **File Manager** and import the application(s) as a new draft.
- Check if there are any validation messages: use the **Validation** button to display a list of messages about missing or wrong data (where applicable).
- Complete your application, sign it with your smart card, send it to the EPO and you are done.

PMS Gateway interface

The functionality and installation of the PMS Gateway interface are described in the document **Introduction to the PMS Gateway Interface**, which is part of the **PMS Gateway development kit package**. You can download this package from the EPO website under **Applying for a patent > Online services > Online filing > Download software for filing with the EPO** (<http://www.epo.org/applying/online-services/online-filing/download.html>).

PMS Gateway uses the OLF Web Services commands which correspond to the basic functionalities of the OLF client:

- validate
- import
- sign
- send
- export
- remove
- information

The applications to be imported must be packed as ZIP archives. The PMS sends the package to the PMS Gateway either in draft, ready to sign or in ready to send status, following successful validation with no severity level 1 message.

5 Form EP(1001E2K) - Request for grant of a European patent (EPC 2000)

5.1 Structure of XML files for EP(1001E2K)

The following four XML files are required for an EP(1001E2K) application to be imported:

File name	DTD	Description
pkgheader.xml	pkgheader.dtd	Indicates selected procedure and other data for transmission to filing office.
package-data.xml	package-data.dtd	References attached documents, except those already referenced in application-body.xml file.
application-body.xml	application-body-v1-6.dtd	(a) References attached documents as part of patent specification (technical documents or translations of technical documents into EPO language). (b) Contains complete text (or its translation into EPO language) of patent specification with referenced files for drawings.
ep-request.xml	ep-request-v1-11.dtd	Application data as entered in Form EP(1001E2K), references other attached documents.

5.1.1 General information on the package - pkgheader.xml

The *pkgheader.xml* specifies the technical details that are necessary for sending an application to the EPO.

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE pkgheader SYSTEM "pkgheader.dtd">
3  <pkgheader lang="en" dtd-version="1.0">
4  <wad-message-digest/>
5  <transmittal-info>
6  <new-application>
7  <to>
8  <country>EP</country>
9  </to>
10 </new-application>
11 </transmittal-info>
12 <ip-type>patent</ip-type>
13 <application-software>
14 <software-name>eOLF</software-name>
15 <software-version>FMMNGR5068, EP20005068, FM_FOP0205</software-version>
16 <software-message>formType=EP1001E2K;formVersion=001</software-message>
17 </application-software>
18 <transmission-type>submission EP1001E2K v.001</transmission-type>
19 </pkgheader>

```

Figure 5: XML elements in *pkgheader.xml* file

- (1) Filing language
- (2) Type of application
- (3) Filing office
- (4) Kind of IP type
- (5) Name of software used to prepare application
- (6) Version of software
- (7) Name of plug-in used by software
- (8) Type of transmission

5.1.2 References from XML files to other files

All PDF files and other attachments must be referenced by the **package-data.xml** file, or by one of the XML files that are referenced in the **package-data.xml** file, i.e. the **application-body.xml** or **ep-request.xml** file.

package-data.xml file

The **package-data.xml** file references the file names for attached documents in multiple `<other-doc>` elements using the `file` and `file-type` attributes. The document code to be received by the EPO server is contained in the `<document-name>` element. In addition, the **ep-request.xml** file is referenced in the `<application-request>` element and the **application-body.xml** file in the `<application-body-doc>` element.

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE package-data SYSTEM "package-data.dtd">
3  <package-data lang="en" dtd-version="1.0" produced-by="applicant">
4  <transmittal-info> 1
5  <new-application> 2
6  <to>
7  <country>EP</country> 3
8  </to>
9  </new-application>
10 </transmittal-info>
11 <signatories> 4
21 <application-request file="ep-request.xml"/> 5
22 <application-body-doc file="application-body.xml"/> 6
23 <other-documents>
24 <other-doc file="ep-request.pdf" file-type="pdf">
25 <document-name>1001P</document-name>
26 <dtext/>
27 </other-doc>
28 <other-doc file="ep-request.xml" file-type="xml">
29 <document-name>REQXML</document-name>
30 <dtext/>
31 </other-doc>
32 <other-doc file="application-body.xml" file-type="xml">
33 <document-name>APPBODYXML</document-name>
34 <dtext/>
35 </other-doc> 7
36 <other-doc file="SPECEPO-1.pdf" file-type="pdf">
37 <document-name>SPECEPO</document-name> 8
38 <dtext></dtext> 9
39 </other-doc> 10
40 <other-doc file="SPECEPO-2.pdf" file-type="pdf">
41 <document-name>SPECEPO</document-name>
42 <dtext></dtext>
43 </other-doc>
44 <other-doc file="SPECEPO-3.pdf" file-type="pdf">
48 <other-doc file="SPECEPO-4.pdf" file-type="pdf">
52 </other-documents>
53 </package-data>

```

Figure 6: XML elements in package-data.xml file

- (1) Filing language
- (2) Type of application
- (3) Filing office
- (4) Signatories (no signatures attached for import)
- (5) Reference to ep-request.xml
- (6) Reference to application-body.xml
- (7) Other document - EPO file name
- (8) File type of other document
- (9) Document code of other document
- (10) Additional text, e.g. figure to be published with abstract, number of claims, number of drawings

application-body.xml

The **application-body.xml** file references the files and page numbers for the technical documents in the <doc-page> element, each one within the <description>, <claims>, <abstract> and <drawings> elements, using the `id` attribute for the document code and the `file` attribute for the file name.

- The `id` attribute of the <doc-page> element contains a unique identifier consisting of the section (e.g. DRAW) plus a counter (e.g. 1), thus DRAW1.
- Only drawings can be contained in more than one document: If there is more than one drawing section, there must be another <doc-page> element with the attribute `id = DRAW2`, and so forth.
- The counter (e.g. 1) in the file name (e.g. SPECEPO-1.pdf) does not relate to a specific document section (e.g. description), but it enumerates the files one by one when being attached via the OLF software.

In this example, four individual files are attached for each section, but there could also be combined files containing more than one section of the technical documents - see the examples in **EP(1001E2K) Documents** (p. 64).

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
3  <application-body lang="en" dtd-version="1.6" country="EP">
4  <description>
5    <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPECEPO-1.pdf" ppf="1" ppl="7" pp="7"/>
6  </description>
7  <claims>
8    <doc-page id="CLMS1" he="1" wi="1" type="pdf" file="SPECEPO-2.pdf" ppf="1" ppl="4" pp="4"/>
9  </claims>
10 <abstract>
11 <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECEPO-3.pdf" ppf="1" ppl="2" pp="2"/>
12 </abstract>
13 <drawings>
14 <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPECEPO-4.pdf" ppf="1" ppl="1" pp="1"/>
15 </drawings>
16 </application-body>

```

Figure 7: XML elements in application-body.xml file

- (1) Filing language
- (2) Filing office
- (3) Description reference
- (4) Document code for description
- (5) Height of document (page format)
- (6) Width of document (page format)
- (7) File type
- (8) EPO file name of first attached document (containing the description, in this case)
- (9) First page of description
- (10) Last page of description
- (11) Number of pages in description

ep-request.xml

The *ep-request.xml* file indicates the document code in the `doc-type` attribute of the `<ep-electronic-files>` element and the file name in the `<epo-file-name>` element. In addition, the original file name as given by the user is contained in the `<applicant-file-name>` element. See the following sections for details and examples.

```

54 <ep-office-specific-data office="EP" lang="en">
55 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
68 <ep-declarations>
71 <ep-electronic-files doc-type="1001">
75 <ep-electronic-files doc-type="SPECEPO"> 1
76 <applicant-file-name>instant water description.pdf</applicant-file-name> 2
77 <epo-file-name>SPECEPO-1.pdf</epo-file-name> 3
78 </ep-electronic-files>
79 <ep-electronic-files doc-type="SPECEPO">
83 <ep-electronic-files doc-type="SPECEPO">
87 <ep-electronic-files doc-type="SPECEPO">
91 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
333 </ep-office-specific-data>
334 </ep-request>

```

Figure 8: XML elements for electronic files in *ep-request.xml* file

- (1) Document code for any technical document
- (2) Original file name
- (3) EPO file name of first attached document (containing the description, in this case)

5.1.3 References to translated documents

In the example below, Italian has been selected as the filing language of the attached application. Therefore, the original in Italian and the translation into English must be supplied. There is one PDF file containing description, claims and abstract and a second PDF file containing the drawings.

application-body.xml

```

1 <?xml version="1.0" encoding="UTF-8"?>
2 <!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
3 <application-body lang="en" dtd-version="1.6" country="EP">
4 <description> 1 2
5 <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="1" ppl="7" pp="7"/>
6 </description>
7 <claims> 3 2
8 <doc-page id="CLMS1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="8" ppl="9" pp="2"/>
9 </claims>
10 <abstract> 4 2
11 <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="10" ppl="10" pp="1"/>
12 </abstract>
13 <drawings> 5 6
14 <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" ppf="1" ppl="1" pp="1"/>
15 </drawings>
16 </application-body>

```

Figure 9: Document codes for translated documents in the *application-body.xml*

- (1) Document code for the description
- (2) EPO file name for translated document containing the description, the claims and the abstract
- (3) Document code for the claims
- (4) Document code for the abstract
- (5) Document code for the drawings

- (6) EPO file name for translated document containing the drawings
- (7) Document code for original file in non-EPO language
- (8) Original file name of document containing the technical documents (Italian, in this example)
- (9) EPO file name for the technical documents in non-EPO language
- (10) Document code for translation of any technical document
- (11) Original file name of document containing description, the claims and the abstract
- (12) Original file name of document containing the drawings

ep-request.xml

```

55 <ep-office-specific-data office="EP" lang="en">
56 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
69 <ep-declarations>
72 <ep-electronic-files doc-type="1001">
76 <ep-electronic-files doc-type="SPECNONEPO"> 7
77 | <applicant-file-name>Filtro motore_IT.pdf</applicant-file-name> 8
78 | <epo-file-name>SPECNONEPO.pdf</epo-file-name> 9
79 | </ep-electronic-files>
80 <ep-electronic-files doc-type="SPECTRANEPO"> 10
81 | <applicant-file-name>Filtro motore_EN.pdf</applicant-file-name> 11
82 | <epo-file-name>SPECTRANEPO-1.pdf</epo-file-name> 2
83 | </ep-electronic-files>
84 <ep-electronic-files doc-type="SPECTRANEPO"> 10
85 | <applicant-file-name>Filtro motore disegno_EN.pdf</applicant-file-name> 12
86 | <epo-file-name>SPECTRANEPO-2.pdf</epo-file-name> 6
87 | </ep-electronic-files>
88 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
330 </ep-office-specific-data>
331 </ep-request>

```

Figure 10: XML elements for electronic files and translation files in ep-request.xml file

5.2 Document codes and file types for EP(1001E2K)

For the successful import of XML data into Online Filing, the values for the <document-name> element, the doc-type attribute and the file attribute must follow the standard values for the **document code** as listed in the table below. Without the correct document code, the receiving server at the EPO cannot accept files.

Document code	EPO file name *)	Description
Request		
APPBODYXML	application-body.xml	Application body, see Structure of XML files for EP(1001E2K) (p. 13)
REQXML	ep-request.xml	Application data, see Structure of XML files for EP(1001E2K) (p. 13)
Technical documents and their translation in official EPO language (selected procedural language)		
SPECEPO	SPECEPO-1.pdf	Single file specification in EPO language
SPECTRANEPO	SPECTRANEPO-1.pdf	Single file translated specification from a non-EPO language
Technical documents in non-official EPO language or other languages		
CLMSNONEPO	CLMSNONEPO.pdf	Claims in admissible non-EPO language
CLMS	CLMSNONEPO.pdf	Claims in admissible non-EPO language (when referenced in package-data.xml and application-body.xml)
DRAWNONEPO	DRAWNONEPO.pdf	Drawings in admissible non-EPO language
SPECNONEPO	SPECNONEPO.pdf	Specification in admissible non-EPO language
SPECTRANONEP	SPECTRANONEP.pdf	Translation of Description, Claims, Abstract and Drawings into Spanish (if ES is selected as Filing Office)
Optional additional files for technical documents		
OLF-ARCHIVE	OLF-ARCHIVE.zip	Pre-conversion archive (contains original technical documents in any language, before conversion to PDF, e.g. in DOC format)
Documents concerning biological material, sequence listings		
SEQL	SEQLPDF.pdf	Sequence listing in PDF format
SEQLTX	SEQLTX.app	Sequence listing in APP format (in accordance with WIPO Standard ST.25)
SEQLTX	SEQLTX.seq	Sequence listing in SEQ format (in accordance with WIPO Standard ST.25)
SEQLTX	SEQLTX.txt	Sequence listing in TXT format (ASCII text, in accordance with WIPO Standard ST.25)
SEQLZIP	SEQLTX.zip	Sequence listing in ZIP format (in accordance with WIPO Standard ST.25)
BIOMAUTH	BIOM-AUTH-1.pdf	Authorisation under Rule 31(1)(d)
BIOMRECEIPT	BIOM-RECEIPT-1.pdf	Receipt(s) of deposit issued by depositary institution
BIOMWAIV	BIOM-WAIV-1.pdf	Waiver of the right to an undertaking from requestor pursuant to Rule 33(2)

Documents concerning applicant, representative and inventor		
1003	SPECAUTH-1.pdf	Specific authorisation
1004	GENAUTH-1.pdf	General authorisation
INVT193	Signed-EPR193.pdf	Inventor waiver - Rule 19(3) EPC
INVT193-NP	SignEPR193NP.pdf	Inventor waiver - Rule 19(3) EPC (non-public)
INVT201	Signed-EPR201.pdf	Inventor waiver - Rule 20(1) EPC
Graphic files		
PATXMLTIF	<filename>.jpg	Drawing in JPG format (referenced by application-body.xml file as a result of attaching specification in XML format)
PATXMLTIF	<filename>.tif	Drawing in TIF format (referenced by application-body.xml file created by PatXML)
Additional documents		
PRIOTRAN	PRIOTRAN-1.pdf	Translation of priority documents
REESGROUNDS	REESGROUNDS.pdf	Grounds for re-establishment of rights
USCERTPRIO	USCERTPRIO-1.pdf	US certified priority document (must be digitally signed)
OTHERPDF	OTHER-1.pdf	Other document in PDF format
PRSR	PRSR-1.pdf	Search results required under Rule 141(1) EPC for priority claim
PRSR-REF	PRSR-REF.pdf	Search results required under Rule 141(1) EPC for previously filed application
Documents generated by Online Filing (not to be imported)		
F1002	F1002-1.pdf	Designation of inventor
INVT193	EPR193-1.pdf	Waiver - Rule 19(3) EPC / Inventor-related document
INVT193-NP	EPR193-NP-1.pdf	Waiver - Rule 19(3) EPC (non-public) / Inventor-related document
INVT201	EPR201-1.pdf	Waiver - Rule 20(1) EPC / Inventor-related document
1001P	ep-request.pdf	Application in PDF format

*) If there is more than one file of this type of document, the character **1** in the file names must be replaced by **2, 3** etc.

5.3 EP(1001E2K) Request

Form EP(1001E2K) starts with the **Request** screen where basic data for the application is entered.

- Filing office
- Waivers, requests and declarations
- Procedural language
- Filing language
- Title of invention

5.3.1 Request - Example 1: request in English

GUI EP(1001E2K), Request tab

The screenshot shows the 'Request' tab in the EPO Online Filing application. The window title is 'EPO Online Filing - EP(1001E2K) - 1001-request-EN'. The interface includes a menu bar (File, Edit, View, Tools, Windows, Help) and a toolbar with icons for save, back, forward, and help. The main content area is titled 'EP(1001E2K) - Draft - 1001-request-EN' and shows the 'Request' tab selected. The 'Request' tab contains several sections:

- Request**: A dropdown menu with 'Request' selected. Other options are 'Divisional' and 'Reference'.
- Grant of European patent and examination of the application under Article 94, are hereby requested.**
- Filing Office:** A dropdown menu with 'EP' selected, showing 'European Patent Office (EPO)'. A red circle '2' is next to it.
- Request for examination in admissible non-official EPO language:** A checkbox and a dropdown menu.
- The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.** A checkbox with a red circle '3' next to it.
- The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2)).** A checked checkbox with a red circle '4' next to it.
- Procedural Language:** A dropdown menu with 'English' selected, with a red circle '5' next to it.
- Filing Language of attached or previous application:** Radio buttons for 'English' (selected, with a red circle '6' next to it), 'Admissible language of an EPC contracting State:', and 'Other Language:'.
- Title of Invention:** Three text input fields:
 - Title of Invention in English:** 'Instant Water' (with a red circle '7' next to it).
 - Translation into French:** 'Eau instantanée' (with a red circle '8' next to it).
 - Translation into German:** 'Instant-Wasser' (with a red circle '9' next to it).

At the bottom of the window, there is a status bar with icons for error, warning, and information, and a count of 3 for each.

Figure 11: Request GUI: general data

Element list

- (1) User reference
- (2) Filing office
- (3) Declaration under Rule 6(4) EPC: not applicable
For an example how to apply this declaration, see **Request - Example 2: request in other languages** (p. 23)
- (4) Waiver pursuant to Rule 70(2) EPC: empty element
- (5) Procedural language
- (6) Filing language of attached or previous application
- (7) Title of invention in English
- (8) Translation (of title of invention) into French
- (9) Translation (of title of invention) into German
- (10) Last saved date: must not be imported, because value will be overwritten by OLF

XML ep-request.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-request SYSTEM "ep-request-v1-11.dtd">
3  <ep-request lang="en" dtd-version="1.0" produced-by="applicant" ro="EP" date-produced="20140420 15:13:45">
4  <!--software_name DLF-->
5  <!--software_version FMMNGR5116, EP20005116, FM_FOP0205-->
6  <!--stylesheet_version 3-->
7  <!--fop_version Version 0.20.5-->
8  <file-reference-id>1001-request-EN</file-reference-id>
9  <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested.
</request-petition>
10 <invention-title lang="en">Instant Water</invention-title>
11 <invention-title lang="fr">Eau instantan&#233;e</invention-title>
12 <invention-title lang="de">Instant-Wasser</invention-title>
13 <parties>
14 <!--parties-->
32 <check-list>
33 <!--check-list-->
35 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
36 <ep-office-specific-data office="EP" lang="en">
37 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
38 <!--ep-designated-states-->
44 <ep-declarations>
45 <waiver-to-indicate-further-processing/>
46 </ep-declarations>
47 <ep-electronic-files doc-type="1001">
48 <!--ep-electronic-files-->
51 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
52 <!--ep-financial-data-->
366 </ep-office-specific-data>
367 </ep-request>

```

Figure 12: Request XML: general data

PDF ep-request.pdf


 <div style="display: inline-block; vertical-align: middle;"> Europäisches Patentamt European Patent Office Office européen des brevets </div>		<h2>Request for grant of a European patent</h2>
<i>For official use only</i>		
1	Application number:	<input type="text" value="MKEY"/>
2	Date of receipt (Rule 35(2) EPC):	<input type="text" value="DREC"/>
3	Date of receipt at EPO (Rule 35(4) EPC):	<input type="text" value="RENA"/>
4	Date of filing:	<input type="text"/>
5	Grant of European patent, and examination of the application under Article 94, are hereby requested.	<input type="checkbox"/>
5.1	The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2))	<input checked="" type="checkbox"/> 4
	Procedural language:	<input type="text" value="en"/> 5
	Description and/or claims filed in:	<input type="text" value="en"/> 6
6	Applicant's or representative's reference	<input type="text" value="1001-request-EN"/> 1
	Applicants(s)	
14.1	The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.	<input type="checkbox"/> 3

Figure 13: Request PDF: general data in form header

[...]

24	Title of invention	
	Title of invention:	<input type="text" value="Instant water"/> 7
	Translation of title into French:	<input type="text" value="Eau instantanée"/> 8
	Translation of title into German:	<input type="text" value="Instant-Wasser"/> 9

Figure 14: Request PDF: title of invention in English, French and German

5.3.2 Request - Example 2: request in other languages

GUI EP(1001E2K), Request tab

This example demonstrates an application where both the request for examination and the patent application documents are submitted in an admissible non-official EPO language. Due to this language selection, the applicant(s) can opt for the Declaration under Rule 6(4). Please refer to the Online Filing User Guide Version 5.07 for more details on the effect of the language settings.

The screenshot shows the EPO Online Filing GUI for EP(1001E2K) - Draft - 1001-req-IT/FR. The interface includes a menu bar (File, Edit, View, Tools, Windows, Help) and a toolbar. The main content area is titled "Request" and contains the following fields and options:

- 1**: Title bar: EP(1001E2K) - Draft - 1001-req-IT/FR
- 2**: Filing Office: FR (National Institute of Industrial Property (France))
- 3**: Request for examination in admissible non-official EPO language:
- 4**: Language: Italian
- 5**: The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.
- 6**: The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2))
- 7**: Procedural Language: French
- 8**: Admissible language of an EPC contracting State: Italian
- 9**: Language dropdown: Italian
- 10**: Title of Invention in French: Eau instantanée
- 11**: Translation into German: Instant-Wasser
- 12**: Translation into English: Instant Water

Please use appropriate upper and lowercase letters

Figure 15: Request GUI: procedural language French, admissible language Italian

Element list

- (1) User reference
- (2) Filing office
- (3) Request for examination in admissible non-EPO language
- (4) Language of request for examination
- (5) Declaration under Rule 6(4) EPC
- (6) Waiver pursuant to Rule 70(2): empty element not inserted
- (7) Procedural language
- (8) Filing language of attached or previous application is an admissible non-EPO language
- (9) Filing language
- (10) Title of invention in French
- (11) Translation (of title of invention) into German
- (12) Translation (of title of invention) into English
- (13) Last saved date

XML ep-request.xml

The `<declaration-of-entity-or-natural-person-under-rule-6-3/>` element requires that

- the `<ep-request-for-exam-art94/>` is present and the value of its `lang` attribute is the two-letter code of one of the admissible non-official EPO languages
- OR-
- "non-epo" is the value of the `lang-code` attribute in the `<ep-language-of-filing>` element and the content of the element is the two-letter code of one of the admissible non-official EPO languages.

The `<declaration-of-entity-or-natural-person-under-rule-6-3/>` element is required where applicant(s) referred to in Article 14(4) EPC wish to apply fee reductions; see **Fee selection – Example 2: Reduced fee amounts (declaration under Rule 6(4))** (see "Fee selection – Example 2: Reduced fee amounts (declaration under Rule 6(4))" p. 90).

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-request SYSTEM "ep-request-v1-11.dtd">
3  <ep-request lang="fr" dtd-version="1.0" produced-by="applicant" ro="FR" date-produced="20140420 19:57:56">
4    <!--software_name OLF-->
5    <!--software_version FMMNGR5116, EP20005116, FM_FOP0205-->
6    <!--stylesheet_version 3-->
7    <!--fop_version Version 0.20.5-->
8    <file-reference-id>1001-req-IT/FR</file-reference-id>
9    <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested.
10   </request-petition>
11   <invention-title lang="fr">Eau instantan&#233;e</invention-title>
12   <invention-title lang="de">Instant-Wasser</invention-title>
13   <invention-title lang="en">Instant Water</invention-title>
14   <parties>
15     <check-list>
16       <ep-language-of-filing lang-code="non-epo">it</ep-language-of-filing>
17       <ep-language-of-filing lang-code="translation">fr</ep-language-of-filing>
18       <ep-office-specific-data office="EP" lang="fr">
19         <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
20           <ep-request-for-exam-art94 lang="it"/>
21         <ep-declarations>
22           <declaration-of-entity-or-natural-person-under-rule-6-3/>
23         </ep-declarations>
24       <ep-electronic-files doc-type="1001">
25         <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
26       </ep-office-specific-data>
27     </check-list>
28   </parties>
29 </ep-request>

```

Figure 16: Request XML: filing office FR, procedural language FR and language of filing IT

PDF ep-request.pdf


 Europäisches Patentamt European Patent Office Office européen des brevets		Requête en délivrance d'un brevet européen	
<i>Cadre réservé à l'administration</i>			
1	Numéro de la demande :	<input type="text" value="MKEY"/>	
2	Date de réception (règle 35(2)) :	<input type="text" value="DREC"/>	
3	Date de réception à l'OEBC (règle 35(4)) :	<input type="text" value="RENA"/>	
4	Date de dépôt :		
5	Il est demandé la délivrance d'un brevet européen et, conformément à l'article 94, l'examen de la demande	<input checked="" type="checkbox"/>	3
	Requête en examen dans une langue non officielle autorisée :	<input type="text" value="Si richiede di esaminare la domanda ai sensi dell'art. 94."/>	4
5.1	Le demandeur renonce à être invité, conformément à la règle 70(2), à déclarer s'il souhaite maintenir sa demande	<input type="checkbox"/>	6
	Langue de la procédure :	<input type="text" value="fr"/>	7
	Description et/ou revendications déposée(s) en :	<input type="text" value="it"/>	9
6	Référence du demandeur ou du mandataire :	<input type="text" value="1001-req-IT/FR"/>	1
	Demandeur(s)		
14.1	Le/Chaque demandeur déclare par la présente être une entité ou une personne physique au sens de la règle 6(4) CBE.	<input checked="" type="checkbox"/>	5

Figure 17: Request PDF in French: general data

[...]

24	Titre de l'invention		
	Titre de l'invention :	<input type="text" value="Eau instantanée"/>	10
	Traduction du titre en allemand :	<input type="text" value="Instant-Wasser"/>	11
	Traduction du titre en anglais :	<input type="text" value="Instant water"/>	12

Figure 18: Request PDF in French: title of invention

5.3.3 Divisional application

GUI EP(1001E2K), Divisional tab

Figure 19: Request GUI: divisional application

Element list

- (1) This is a divisional EP application
- (2) Country / filing office: **EP** is inferred, since divisional applications can only be filed with the EPO
- (3) Application number of earlier application
- (4) Filing date of earlier application
- (5) Generation of this divisional application
- (6) Date of first communication: for filings on or after 01/04/2014, the <date> element must be empty.

XML ep-request.xml

The appropriate extra filing fee for a divisional application (code 552 to 555) is determined by the value of the `generation` attribute; see **EP(1001E2K) Fee Payment** (p. 83). Only one fee for a divisional application can be selected.

If the imported XML file contains data concerning "First communication" or "Earliest application" (e.g. because it was produced prior to 01/04/2014), a severity three validation message is triggered. This data is not used in Online Filing version 5.07 anymore. However, the application number (3) and the filing date (4) of the earlier application are imported correctly if existing.

```

46 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
47 <ep-office-specific-data office="EP" lang="en">
48 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
55 1 <ep-divisional-appl>
56 <parent-doc>
57 <document-id lang="en">
58 2 <country>EP</country>
59 <doc-number>EP11200400.7</doc-number> 3
60 4 <date>20111010</date>
61 </document-id>
62 </parent-doc>
63 <ep-first-communication-raising-lack-of-unity>
64 6 <date/>
65 </ep-first-communication-raising-lack-of-unity>
66 <ep-divisional-generation generation="3"/>
67 </ep-divisional-appl> 5
68 <ep-declarations/>
69 <ep-electronic-files doc-type="1001">
73 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
388 </ep-office-specific-data>
389 </ep-request>
    
```

Figure 20: Request XML: divisional application

PDF ep-request.pdf

27	Divisional application	<input checked="" type="checkbox"/> 1
	Application number of earlier application:	EP11200400.7 3
	Date of Filing (Art. 80/Rule 40 EPC):	10 October 2011 4
27.1	This divisional application is of the following generation:	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input checked="" type="checkbox"/> 3 5 <input type="checkbox"/> 4 <input type="checkbox"/> 5 or subsequent
28	Article 61(1)(b) application	<input type="checkbox"/>

Figure 21: Request PDF: divisional application

5.3.4 Reference - Example 1: reference is made to a previously filed application

GUI EP(1001E2K), Reference tab

Figure 22: Request GUI: reference to an Art. 61(1)(b) application and previously filed application

Element list

- (1) User reference
- (2) Art. 61(1)(b) application of earlier application
- (3) Application number of Art. 61(1)(b) application of earlier application
- (4) Reference is made to previously filed application
- (5) Office where previous application was filed (only EP for Art. 61(1)(b) application)
- (6) Kind of application (only patent application for Art. 61(1)(b) application)
- (7) Filing date
- (8) Application number (inferred from (3))

XML ep-request.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-request SYSTEM "ep-request-v1-10.dtd">
3  <ep-request lang="en" dtd-version="1.0" produced-by="applicant" ro="EP" date-produced="20130820 15:25:33">
4    <!--software_name eOLF-->
5    <!--software_version FMMNGR5110, EP20005110, FM_FOP0205-->
6    <!--stylesheet_version 3-->
7    <!--fop_version Version 0.20.5-->
8    1 <file-reference-id>1001_reference</file-reference-id>
9    <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested.
10   </request-petition>
11   <invention-title lang="en">Instant water</invention-title>
12   <invention-title lang="fr">Eau instantan&#233;e</invention-title>
13   <invention-title lang="de">Instant-Wasser</invention-title>
14   4 <ep-previously-filed-application filing-date="20090430" ep-document-type="patent" replaces-claims="no"
15     number-of-claims="" contains-sequence-listing="no" is-also-priority="no">
16     <document-id lang="en">
17       5 <country>EP</country>
18       <doc-number>09000123.1</doc-number> 8
19     </document-id>
20   </ep-previously-filed-application>
21   <parties>
22   <check-list>
23   <figure-to-publish>
24   <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
25   <ep-office-specific-data office="EP" lang="en">
26     <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
27     2 <ep-art61-appl>09000123.1</ep-art61-appl>
28     <ep-declarations> 3
29     <ep-electronic-files doc-type="1001">
30     <ep-electronic-files doc-type="SPECEPO">
31     <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
32   </ep-office-specific-data>
33 </ep-request>

```

Figure 23: Request XML: Reference to an Art. 61(1)(b) application

PDF ep-request.pdf

26 Reference to a previously filed application

4 26.1 Reference is made to a previously filed application. That reference replaces the description and any drawings (Rule 40(1)c), (2)

5 State	7 Filing date	6 Kind	8 Application number:
EP	30.04.2009	ap	09000123.1

26.2 The reference to the previously filed application also replaces the claims (Rule 57(c))

26.3 A certified copy of the previously filed application (Rule 40(3)) will be supplied later

26.4 A translation of the previously filed application (Rule 40(3)) will be supplied later

27 Divisional application

28 Article 61(1)(b) application 2

Article 61(1)(b) application 09000123.1 3

Figure 24: Request PDF: Reference to an Art. 61(1)(b) application

5.3.5 Reference - Example 2: reference to a previous international application with request of re-establishment of rights

GUI EP(1001E2K), Reference tab

The screenshot shows the 'Reference' tab in the EPO Online Filing GUI. The title bar indicates the application is a draft titled 'EP(1001E2K) - Draft - 1001_reestabl'. The main form area contains the following elements:

- 1**: Title bar text 'EP(1001E2K) - Draft - 1001_reestabl'.
- 2**: Checkbox 'Reference is made to previously filed application Rule 40(2):'.
- 3**: Dropdown menu for 'Office where previous application was filed:' showing 'IT' and 'Italy'.
- 4**: Dropdown menu for 'Kind of application:' showing 'patent application'.
- 5**: Text field for 'Filing date:' showing '27 June 2012'.
- 6**: Text field for 'Application number:' showing 'TO 2012 A 123456'.
- 7**: Checkbox 'It is hereby declared that the reference to the previously filed application replaces also the claims (R. 57(c)).'.
- 8**: Text field for 'Number of claims in previous application:' showing '25'.
- 9**: Text field for 'Number of claims you intend to pay for (including first 15 claims):' showing '15'.
- 10**: Checkbox 'Previously filed application is also a priority application.'.
- 11**: Checkbox 'The description contains a sequence listing in accordance with Rule 30(1) EPC.'.
- 12**: Checkbox 'A certified copy will be filed later.'.
- 13**: Checkbox 'Re-establishment of rights is herewith requested'.

Figure 25: Request GUI: reference to previously filed priority application, re-establishment of rights requested

Element list

- (1) User reference
- (2) Reference is made to a previously filed application
- (3) Office where previous application was filed
- (4) Kind of application
- (5) Filing date
- (6) Application number
- (7) Reference to previously filed application also replaces claims (Rule 57(c))
- (8) Number of claims in previous application
- (9) Number of claims you intend to pay for (including first 15 claims)
This value is used for the fee calculation. Please set the value to 0 (zero) if you do not intend to pay for any claims with this application.
- (10) Previously filed application is also a priority application
- (11) Description contains a sequence listing in accordance with Rule 30(1)
- (12) A certified copy will be filed later
- (13) Re-establishment of rights is hereby requested
- (14) Inferred from (3) <country>

- (15) Inferred from (6) <doc-number>
- (16) Further priority declaration (in **Priority** tab)
- (17) Grounds for reestablishment of rights (attached in **Documents** tab)
- (18) A translation of the previously filed application will be supplied later (checked in **Documents** tab)
- (19) Filing language of previous application (selected in **Request** sub-tab)

XML ep-request.xml

```

13 <ep-previously-filed-application filing-date="20120627" ep-document-type="patent" replaces-claims="yes"
    number-of-claims="25" contains-sequence-listing="yes" is-also-priority="yes" certified-copy="later">
14 <document-id lang="it">
15 <country>IT</country>
16 <doc-number>TO 2012 A 123456</doc-number>
17 </document-id>
18 </ep-previously-filed-application>
19 <parties>
49 <priority-claims>
50 <ep-priority-claim sequence="1" kind="national" ep-document-type="patent">
51 <country>IT</country>
52 <doc-number>TO 2012 A 800789</doc-number>
53 <date>20121125</date>
54 <earlier-searches>
59 </ep-priority-claim>
60 </priority-claims>
61 <check-list>
62 <cl-request/>
63 <cl-claims number-claims-fee-calculation="15"/>
64 <cl-abstract page-count="8" ppf="1" ppl="8"/>
65 <cl-other-document>Grounds for Re-establishment of Rights</cl-other-document>
66 </check-list>
67 <figure-to-publish>
70 <ep-language-of-filing lang-code="non-epo">it</ep-language-of-filing>
71 <ep-language-of-filing lang-code="translation">en</ep-language-of-filing>
72 <ep-office-specific-data office="EP" lang="en">
73 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
79 <ep-declarations>
80 <request-re-establishment>
81 <document-id lang="">
82 <country>IT</country>
83 <doc-number>TO 2012 A 123456</doc-number>
84 </document-id>
85 </request-re-establishment>
86 <declaration-translation-filed-later/>
87 </ep-declarations>
88 <ep-electronic-files doc-type="1001">
92 <ep-electronic-files doc-type="SPECEPO">
96 <ep-electronic-files doc-type="REESGROUNDS">
100 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">

```

Figure 26: Request XML: reference to previously filed priority application, re-establishment of rights requested

PDF ep-request.pdf

25 Declaration of priority (Rule 52)

A declaration of priority is hereby made for the following applications

	State	Filing date	Kind	Application number:	Search results under Rule 141(1) are attached
16 Priority 01	IT	25.11.2012	ap	TO 2012 A 800789	<input type="checkbox"/>
10 Priority 02	IT	27.06.2012	ap	TO 2012 A 123456	<input type="checkbox"/>

25.2 This application is a complete translation of the previous application

25.3 It is not intended to file a (further) declaration of priority

Request for Re-establishment is hereby made for:

13 **14** **15**

2 26 Reference to a previously filed application

26.1 Reference is made to a previously filed application. That reference replaces the description and any drawings (Rule 40(1)c), (2))

	State	Filing date	Kind	Application number:
3	IT	27.06.2012	ap	TO 2012 A 123456

26.2 The reference to the previously filed application also replaces the claims (Rule 57(c)) **7**

26.3 A certified copy of the previously filed application (Rule 40(3)) **12** will be supplied later

26.4 A translation of the previously filed application (Rule 40(3)) **18** will be supplied later

27 Divisional application

28 Article 61(1)(b) application

29 Claims

Number of claims: **8**

29.1 as attached

29.2 **7** as in the previously filed application (see Section 26.2)

29.3 The claims will be filed later

Figure 27: Request PDF: declaration of priority, reference to previously filed application

5.4 EP(1001E2K) Names

The **Names** screen of Form EP(1001E2K) accommodates all data for names, persons and addresses relating to the application. At least one applicant is required.

- Applicant(s)
- Representative(s)
- Inventor(s)
- Authorisations and waivers
- Address for correspondence

Each address is structured identically in the XML code. See **Example 1** ("**Names - Example 1: applicant is natural person and also inventor**" p. 33) for details.

① If there is a named inventor, a separate **F1002.pdf** file is created with the inventor's address. The inventor's address in XML is listed within the **ep-request.xml** file, however.

5.4.1 Names - Example 1: applicant is natural person and also inventor

GUI EP(1001E2K), Names tab

The screenshot shows the 'Names' tab in the EPO Online Filing GUI. The window title is 'EPO Online Filing - EP(1001E2K) - 1001_XML'. The application is in 'Draft' status, last saved on 09.11.2011. The 'Names' tab is active, showing a list of applicants and inventors on the left. The main form contains the following fields and checkboxes:

- 1: Applicant list (Manzoni, Salvatore (al...))
- 2: Last Name: Manzoni
- 3: First Name: Salvatore
- 4: Title: Mr.
- 6: Company: Borghese S.A.
- 7: Department: Invenzioni
- 8: Country: IT (Italy)
- 9: Address: Via Roma 8
- 10: Postal code: 20100
- 11: City: Milano
- 12: Region: (empty)
- 13: Telephone: +39 2 5056 10
- 14: Telefax: +39 2 5056 89
- 15: E-mail: manzoni@borghese.it
- 16: Nationality: IT (Italy)
- 17: Residence: IT (Italy)
- 18: Address for correspondence
- 19: Applicant is also inventor

At the bottom, it shows 'Logged in as Administrator' and a status bar with icons for errors (4), warnings (1), and information (3).

Figure 28: Names GUI: applicant is natural person and also inventor

Element list

The <parties> element contains all the names listed on the left-hand side of the screen and is grouped into <applicants>, <inventors> and <agents>.

Each <applicant>, <ep-inventor> and <ep-agent> element contains one <addressbook> element with the name and address details. In this example, there is only one <ep-applicant> in the <applicants> group.

- (1) Applicant 1
- (2) Last name
- (3) First name
- (4) Title
- (5) Registration number - field does not appear in GUI and PDF, but element still exists in XML.
- (6) Company
- (7) Department
- (8) Country
- (9) Address / street
- (10) Postal code
- (11) City
- (12) Region - only applicable to US (US states), GB (GB counties) and other countries with states or regions (Australia, Canada)
- (13) Telephone
- (14) Fax
- (15) E-mail
- (16) Nationality
- (17) Residence
- (18) Address for correspondence: if checked, no representative can be added, but a separate address for correspondence (if different from applicant's address) can be added
- (19) Applicant is also inventor: if checked, inventor's address in the PDF form is copied from applicant's address

XML ep-request.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-request SYSTEM "ep-request-v1-9.dtd">
3  <ep-request lang="en" dtd-version="1.0" produced-by="applicant" ro="EP" date-produced="20111109 12:55:04">
4    <!--software_name eOLF-->
5    <!--software_version FMMNGR5069, EP20005069, FM_FOP0205-->
6    <!--stylesheet_version 3-->
7    <!--fop_version Version 0.20.5-->
8    <file-reference-id>1001_XML</file-reference-id>
9    <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby
10   requested.</request-petition>
11   <invention-title lang="en">Instant Water</invention-title>
12   <invention-title lang="fr">Eau instantan&#233;e</invention-title>
13   <invention-title lang="de">Instant-Wasser</invention-title>
14   <parties>
15     <applicants>
16       <applicant sequence="1" designation="as-indicated" app-type="applicant-inventor">
17         <addressbook lang="en">
18           <prefix>Mr.</prefix>
19           <last-name>Manzoni</last-name>
20           <first-name>Salvatore</first-name>
21           <orgname>Borghese S.A.</orgname>
22           <department>Invenzioni</department>
23           <registered-number>0.0</registered-number>
24           <address>
25             <street>Via Roma 8</street>
26             <city>Milano</city>
27             <state></state>
28             <postcode>20100</postcode>
29             <country>IT</country>
30           </address>
31           <phone>+39 2 5056 10</phone>
32           <fax>+39 2 5056 89</fax>
33           <email>manzoni@borghese.it</email>
34         </addressbook>
35         <nationality>
36           <country>IT</country>
37         </nationality>
38         <residence>
39           <country>IT</country>
40         </residence>
41       </applicant>
42     </applicants>
43   </parties>

```

Figure 29: Names XML: applicant is also inventor

PDF ep-request.pdf

1 Applicant 1

7-1

8-1

Name: **2** Manzoni, **4** Mr. **3** Salvatore

Company: **6** Borghese S.A.

Department: **7** Invenzioni

Address: **9** Via Roma 8
10 20100 Milano **11**
 Italy **8**

Telephone: **17** +39 2 5056 10

Fax: **16** +39 2 5056 89

e-mail: **13** manzoni@borghese.it

Country of nationality: **14** Italy

State of residence or of principal place of business: **15** Italy

Figure 30: Names PDF: applicant's address

[Page 2]

Inventor 1 **19**

22-1

Name: **2** Manzoni, **4** Mr. **3** Salvatore

Company: **6** Borghese S.A.

Department: **7** Invenzioni

Address: **9** Via Roma 8
10 20100 Milano **11**
 Italy **8**

Figure 31: Names PDF: Inventor 1

5.4.2 Names - Example 2: two applicants, two representatives, one inventor

The structure of the names data is basically the same for all persons and is described above in **Example 1** (see "Names - Example 1: applicant is natural person and also inventor" p. 33) for the applicant. There are further options for representatives and inventors.

GUI EP(1001E2K), Names tab: inventor

The screenshot shows the 'Names' tab in the EPO Online Filing application. The window title is 'EPO Online Filing - EP(1001E2K) - 1001_appl-repr'. The main area is titled 'EP(1001E2K) - Draft - 1001_appl-repr' and shows the 'Names' tab selected. The sidebar on the left contains a tree view with the following items:

- Applicants
 - 1 TechInvent SA
 - 2 Manzoni, Salvatore
- Representatives
 - 7 IP Partners
 - 13 Kilburn, David
- Inventors
 - 3 Stockton, Harold

The main form area contains the following fields and options:

- Last Name: Stockton
- Country: US (United States of A)
- First Name: Harold
- Address: 301, Blackwater Sound Drive
- Title: Mr.
- Postal code: 33037
- Company: Florida Research Inc.
- City: Key Largo
- Department: Water Technology
- US State: FL Florida

Below the form fields, there is a section titled 'The applicant has acquired the right to the European patent as follows:' with the following options:

- As employer
- 6 As successor in title
- Under agreement of dd.mm.yyyy
- 4 Waiver by inventor of notification of information under Rule 19(3)
- 5 Waiver by inventor of his right to be mentioned under Rule 20(1)

The status bar at the bottom indicates 'Logged in as Administrator' and shows 2 errors, 5 warnings, and 2 information messages.

Figure 32: Names GUI: inventor

GUI EP(1001E2K), Names tab: first representative

Figure 33: Names GUI: first representative

GUI EP(1001E2K), Names tab: Authorisation of first representative

Figure 34: Names GUI: authorisation of first representative

GUI EP(1001E2K), Names tab: second representative

The screenshot shows the 'Names tab' for a second representative. The left sidebar lists:

- Applicants: TechInvent SA (1), Manzoni, Salvatore (2)
- Representatives: IP Partners (7), Kilburn, David (13)
- Inventors: Stockton, Harold (3)

 The main form area contains the following fields:

- Last Name: Kilburn
- First Name: David
- Title: Mr.
- Company: IP Partners
- Department: European Patents
- Country: GB (United Kingdom)
- Address: Cambridge Science Park, 100 Red Lion Square
- Telephone: +44 1223 351689
- Telefax: +44 1223 351690
- E-mail: kilburn@ip-partners.co.uk
- Postal code: CB2 1AB
- City: Cambridge
- GB County: Cambridgeshire
- Checkbox (16): Same address as the first representative

Figure 35: Names GUI: second representative, legal practitioner

Element list

- (1) Applicant 1
- (2) Applicant 2 (n applicants possible)
- (3) Inventor 1 (n inventors possible): for each inventor, a form **F1002-*.pdf** is generated.
- (4) Waiver by inventor of notification of information under Rule 19(3): the signed waiver must be attached as an additional document (*Signed-EPR193.pdf*) to take effect. The internal *epr193-1.pdf* which is automatically created by Online Filing may be used for printing and signing; however, you are not required to attach it to the application.
- (5) Waiver by inventor of his right to be mentioned under Rule 20(1): the signed waiver must be attached as an additional document (*Signed-EPR201.pdf*) to take effect. The internal *epr201-1.pdf* which is automatically created by Online Filing may be used for printing and signing; however, you are not required to attach it to the application.
- (6) The applicant has acquired the right to the European patent as follows
- (7) Representative 1
- (8) Representative 1 is a legal person
- (9) Type of authorisation of representative 1
- (10) General authorisation number of representative 1
- (11) Note: `<first-name/>` is empty for legal persons
- (12) Association number of representative 1
- (13) Representative 2 (n representatives possible)
- (14) Representative 2 is a legal practitioner
- (15) Type of authorisation of representative 2
- (16) Address of representative 2 is same as for representative 1: if checked, data in XML is inferred from first representative and in PDF form there is no address for representative 2 (the country must be an EPC contracting state).

The <parties> element contains all the names listed on the left-hand side of the screen and is grouped into <applicants>, <inventors> and <agents>. Each <applicant>, <ep-inventor> and <ep-agent> element contains one <addressbook> element with the name and address details.

The child elements in <addressbook> are listed in **Example 1** (see "Names - Example 1: applicant is natural person and also inventor" p. 33) above.

XML ep-request.xml

```

13  <parties>
14  <applicants>
15  ① <applicant sequence="1" designation="as-indicated" app-type="applicant">
38  ② <applicant sequence="2" designation="as-indicated" app-type="applicant">
64  </applicants>
65  <inventors>
66  ③ <ep-inventor sequence="1" designation="as-indicated" waiver="1" renunciation="1" inv-rights="successor">
82  </inventors>
83  <agents>
84  ⑦ <ep-agent rep-type="common-representative" sequence="1" ep-authorisation="registered"
      general_authorisation_number="2019" ep-association-number="95">
85  <addressbook lang="en"> ⑩
86  <last-name>IP Partners</last-name>
87  ⑪ <first-name/>
88  <department>European Patents</department>
89  <registered-number>102030405</registered-number>
90  <address>
91  <street>Cambridge Science Park
92  100 Red Lion Square</street>
93  <city>Cambridge</city>
94  <state>Cambridgeshire</state>
95  <postcode>CB2 1AB</postcode>
96  <country>GB</country>
97  </address>
98  <phone>+44 1223 3516-0</phone>
99  <fax>+44 1223 351690</fax>
100 <email>office@ip-partners.co.uk</email>
101 </addressbook>
102 </ep-agent>
103 ⑬ <ep-agent rep-type="attorney" sequence="2" ep-authorisation="attached"> ⑮
124 </agents>
125 </parties>
126 <check-list>
127 <cl-request/>
128 <cl-other-document>General authorisation</cl-other-document> ⑮
129 <cl-other-document>Inventor waiver - Rule 19(3) EPC</cl-other-document> ④
130 <cl-other-document>Inventor waiver - Rule 20(1) EPC</cl-other-document> ⑤
131 </check-list>
132 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
133 <ep-office-specific-data office="EP" lang="en">
457 </ep-request>

```

Figure 36: Names XML: attributes for inventor, address for second representative

PDF ep-request.pdf

7 Representative 1	
15-1	Name: IP Partners
	Department: European Patents
	Association No.: 95 12
16-1	Address of place of business: Cambridge Science Park 100 Red Lion Square Cambridge Cambridgeshire CB2 1AB United Kingdom
17-1	Telephone: +44 1223 3516-0
17-1	Fax: +44 1223 351690
17-1	e-mail: office@ip-partners.co.uk
21	9 A general authorisation has been registered under No: 2019 10
13 Representative 2	
15-2	Name: Kilburn, Mr. David
	Same address as Representative 1 16 <input type="checkbox"/>
17-2	Telephone: +44 1223 351689
17-2	e-mail: kilburn@ip-partners.co.uk
20	An individual authorisation is attached. 15 <input type="checkbox"/>

Figure 37: Names PDF: Representative 1 and Representative 2

[Page 3]

3 Inventor(s)	
23	Inventor details filed separately <input type="checkbox"/>

Figure 38: Names PDF: Inventor

[Page 4]

The extra forms concerning the first inventor are referenced.

44-A Forms		Details:	System file name:
A-1	Request		as ep-request.pdf
A-2	1. Designation of inventor	3 1. Inventor	as F1002-1.pdf
A-4	1. Waiver (R.19(3))	1. Inventor	as EPR193-NP-1.pdf
A-5	1. Waiver (R.20(1))	1. Inventor	as EPR201-1.pdf
44-B Technical documents		Original file name:	System file name:
44-C Other documents		Original file name:	System file name:
C-1	1. General authorisation	Authorisation Kilburn.pdf	GENAUTH-1.pdf
C-2	1. Inventor waiver - Rule 19(3) EPC	4 Waiver Rule 19(3).pdf	Signed-EPR193.pdf
C-3	1. Inventor waiver - Rule 20(1) EPC	5 Waiver Rule 20(1).pdf	Signed-EPR201.pdf

Figure 39: Names PDF: Forms concerning inventor

PDF F1002-1.pdf - Designation of inventor

Designation of inventor

User reference: 1001_appl-repr
 Application No:

3 Inventor	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; padding: 2px;">Name:</td> <td>Stockton, Mr. Harold</td> </tr> <tr> <td style="padding: 2px;">Address:</td> <td>Florida Research Inc. Water Technology 301, Blackwater Sound Drive Key Largo FL Florida 33037 United States of America</td> </tr> <tr> <td style="padding: 2px;">The applicant has acquired the right to the European patent:</td> <td>As successor in title 6</td> </tr> </table>	Name:	Stockton, Mr. Harold	Address:	Florida Research Inc. Water Technology 301, Blackwater Sound Drive Key Largo FL Florida 33037 United States of America	The applicant has acquired the right to the European patent:	As successor in title 6
Name:	Stockton, Mr. Harold						
Address:	Florida Research Inc. Water Technology 301, Blackwater Sound Drive Key Largo FL Florida 33037 United States of America						
The applicant has acquired the right to the European patent:	As successor in title 6						

Figure 40: PDF: Designation of inventor

5.4.3 Names - Example 3: applicant (legal) is represented by authorised employee

GUI EP(1001E2K), Names tab

EPO Online Filing - EP(1001E2K) - 1001_employee

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001_employee Last saved on 09.11.2011

Request **Names** States Priority Biological Material Documents **7** Fee Payment Annotations

Applicants

1 TechInvent SA

Inventors

Stockton, Harold

Company: TechInvent SA

Department: Brevets

Country: FR France Telephone: +33 4 2568 10

Address: 34, place de la république Telefax: +33 4 2568 97

E-mail: info@techinvent.fr

Postal code: 69008

City: Lyon

Region: Residence: FR France

Address for correspondence

2 TechInvent SA is represented by the following employee acting pursuant to Art. 133(3) EPC:

Last Name: **3** Mercer General Authorisation: 11-MerJM **6**

First Name: **4** Jeanne-Marie

Title: **5** Ms

Logged in as Administrator

Figure 41: Names GUI: applicant represented by employee (Article 133(3) EPC)

Element list

- (1) Applicant 1
- (2) Applicant 2 is an employee acting pursuant to Art. 133(3) EPC: if checked, no representative can be added
- (3) Last name
- (4) First name
- (5) Title
- (6) General authorisation
- (7) PDF file containing general authorisation is attached under **Additional Documents** in **Documents** tab and referenced in **package-data.xml** file.

XML ep-request.xml

```

13 <parties>
14 <applicants>
15 ① <applicant sequence="1" designation="as-indicated" app-type="applicant">
38 <applicant sequence="1" app-type="employee" designation="as-indicated">
39 <addressbook lang="en"> ②
40 ⑤ <prefix>Ms</prefix>
41 <last-name>Mercer</last-name> ③
42 ④ <first-name>Jeanne-Marie</first-name>
43 <iid>11-MerJM</iid> ⑥
44 <address>
45 <postcode/>
46 <country/>
47 </address>
48 </addressbook>
49 <nationality>
50 <country>EP</country>
51 </nationality>
52 <residence>
53 <country>EP</country>
54 </residence>
55 </applicant>
56 </applicants>
57 <inventors>
75 </parties>

```

Figure 42: Names XML: employee representing applicant

PDF ep-request.pdf

1 Applicant 1	
7-1	Name: TechInvent SA
	Department: Brevets
8-1	Address: 34, place de la république 69008 Lyon France
10-1	State of residence or of principal place of business: France
	Telephone: +33 4 2568 10
	Fax: +33 4 2568 97
	e-mail: info@techinvent.fr
Applicant 1	
Representative(s)	
Authorisation	
20	Authorisation is attached. <input type="checkbox"/>
21-	General authorisation has been registered under No. 11-MerJM 6

Figure 43: Names PDF: Applicant 1 represented by authorised employee

[Page 4]

44-C Other documents	Original file name:	System file name:
C-1	1. General authorisation 7 authorisation_mercer_jeanne.pdf	GENAUTH-1.pdf
2 45	Employee under Article 133(3), having a general authorisation	3 5 4 Mercer, Ms Jeanne-Marie
	General authorisation:	11-MerJM 6

Figure 44: Names PDF: reference to attached general authorisation, name of authorised employee

5.5 EP(1001E2K) States

The **States** screen of Form EP(1001E2K) allows applicants to select designated states, extension states and validation states for their application.

- All the contracting states party to the EPC are automatically selected for designation; there is only one flat fee for all states.
- Different designations can be assigned to different applicants, if there is more than one applicant. The designation fee, however, has always to be paid for all contracting states.
- All extension states or individual extension states can be selected. The extension fee is due for each individual state.
- All validation states or individual validation states can be selected where applicable. The validation fee is due for each individual state.

The applicable designation, extension and validation states are defined by the states applicable on the date of import/export or filing, respectively. In case of a divisional application, the states as of the date of filing of the earlier application are deemed to be designated.

For the latest list of EPC contracting states and extension states see the EPO website at **About us > European Patent Organisation > Member states** (<http://www.epo.org/about-us/organisation/member-states.html>).

5.5.1 Designation - Example 1: all states designated

GUI EP(1001E2K) States tab, Designation sub-tab

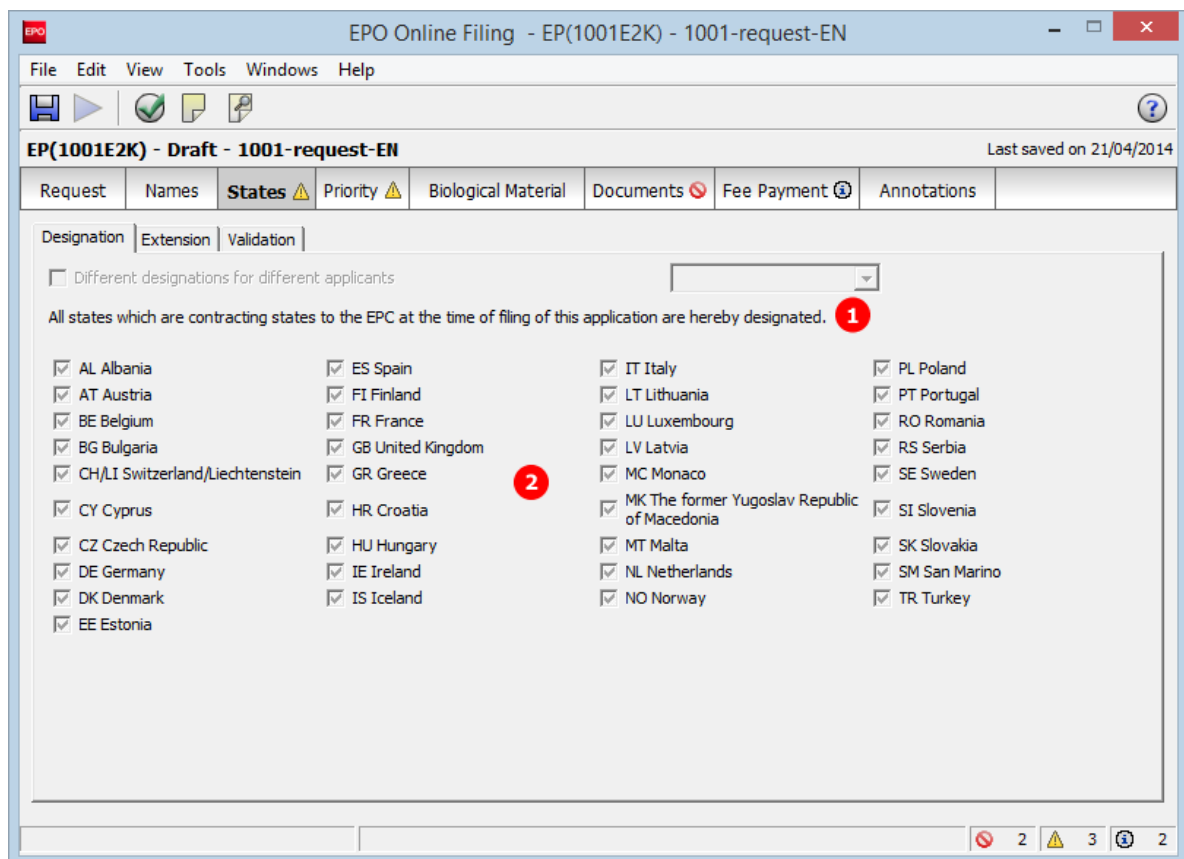


Figure 45: States GUI: designation of all contracting states

Element list

- (1) All states which are contracting to the EPC at the time of filing this application are hereby designated.
- (2) Country = EP, comprising automatically all states

XML ep-request.xml

The `waiver-communication-and-processing-of-non-designated-states` attribute must always be present in the `ep-designated-states` element. The value must be set to **no**.

```

46 | <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
47 | <ep-office-specific-data office="EP" lang="en">
48 | 1 | <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
49 | | <region>
50 | | 2 | <country>EP</country>
51 | | </region>
52 | | <extension-states>
59 | | <validation-states/>
60 | | </ep-designated-states>
61 | </ep-declarations>

```

Figure 46: States XML: designation of all contracting states to the EPC

PDF ep-request.pdf

31	Designation of contracting states
1	All the contracting states party to the EPC at the time of filing of the European patent application are deemed to be designated (see Article 79(1)).
32	Different applicants for different contracting states

Figure 47: States PDF: designation of contracting states

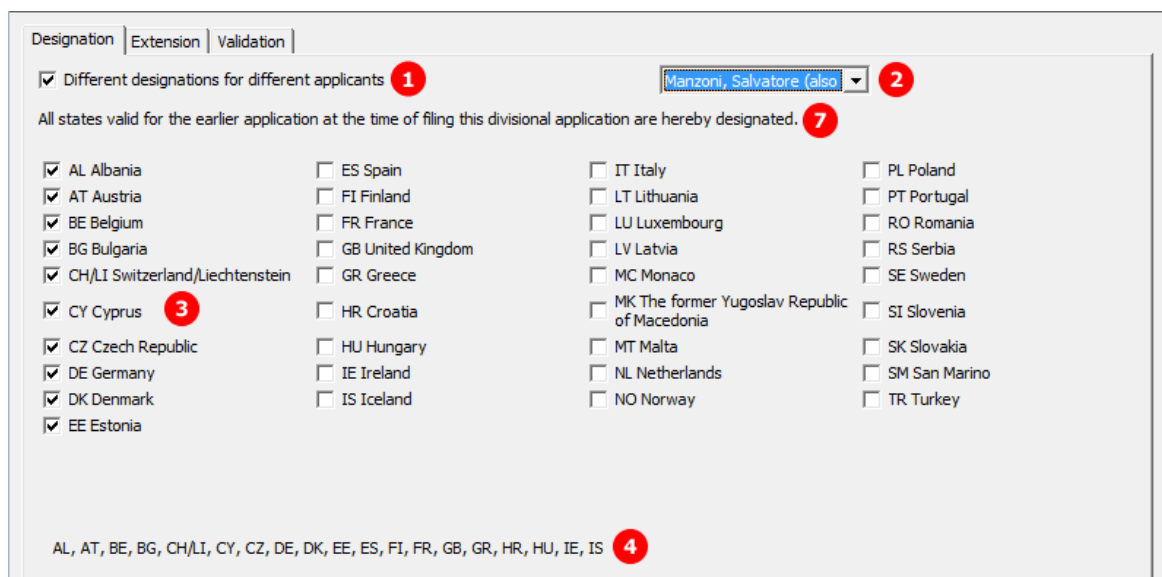
5.5.2 Designation - Example 2: different states for two applicants in divisional application

GUI EP(1001E2K) States tab, Designation sub-tab

By default, all states are designated for a European patent application. If you want to include only specific states for the applicants individually, you can do so by selecting them in the form - or listing them in the XML file for import.

The example below demonstrates the selection of different designation states for two different applicants. Since this is a divisional application, the list of states is determined by the date of filing of the parent application.

Applicant 1 - Individually selected states designated



Designation | Extension | Validation

Different designations for different applicants (1) Manzoni, Salvatore (also) (2)

All states valid for the earlier application at the time of filing this divisional application are hereby designated. (7)

<input checked="" type="checkbox"/> AL Albania	<input type="checkbox"/> ES Spain	<input type="checkbox"/> IT Italy	<input type="checkbox"/> PL Poland
<input checked="" type="checkbox"/> AT Austria	<input type="checkbox"/> FI Finland	<input type="checkbox"/> LT Lithuania	<input type="checkbox"/> PT Portugal
<input checked="" type="checkbox"/> BE Belgium	<input type="checkbox"/> FR France	<input type="checkbox"/> LU Luxembourg	<input type="checkbox"/> RO Romania
<input checked="" type="checkbox"/> BG Bulgaria	<input type="checkbox"/> GB United Kingdom	<input type="checkbox"/> LV Latvia	<input type="checkbox"/> RS Serbia
<input checked="" type="checkbox"/> CH/LI Switzerland/Liechtenstein	<input type="checkbox"/> GR Greece	<input type="checkbox"/> MC Monaco	<input type="checkbox"/> SE Sweden
<input checked="" type="checkbox"/> CY Cyprus (3)	<input type="checkbox"/> HR Croatia	<input type="checkbox"/> MK The former Yugoslav Republic of Macedonia	<input type="checkbox"/> SI Slovenia
<input checked="" type="checkbox"/> CZ Czech Republic	<input type="checkbox"/> HU Hungary	<input type="checkbox"/> MT Malta	<input type="checkbox"/> SK Slovakia
<input checked="" type="checkbox"/> DE Germany	<input type="checkbox"/> IE Ireland	<input type="checkbox"/> NL Netherlands	<input type="checkbox"/> SM San Marino
<input checked="" type="checkbox"/> DK Denmark	<input type="checkbox"/> IS Iceland	<input type="checkbox"/> NO Norway	<input type="checkbox"/> TR Turkey
<input checked="" type="checkbox"/> EE Estonia			

AL, AT, BE, BG, CH/LI, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HR, HU, IE, IS (4)

Figure 48: States GUI: designations for applicant 2

Applicant 2- All states designated

Designation | Extension | Validation

Different designations for different applicants (1) (5) TechInvent SA

All states valid for the earlier application at the time of filing this divisional application are hereby designated.

<input checked="" type="checkbox"/> AL Albania	<input checked="" type="checkbox"/> ES Spain	<input checked="" type="checkbox"/> IT Italy	<input checked="" type="checkbox"/> PL Poland
<input checked="" type="checkbox"/> AT Austria	<input checked="" type="checkbox"/> FI Finland	<input checked="" type="checkbox"/> LT Lithuania	<input checked="" type="checkbox"/> PT Portugal
<input checked="" type="checkbox"/> BE Belgium	<input checked="" type="checkbox"/> FR France	<input checked="" type="checkbox"/> LU Luxembourg	<input checked="" type="checkbox"/> RO Romania
<input checked="" type="checkbox"/> BG Bulgaria	<input checked="" type="checkbox"/> GB United Kingdom (6)	<input checked="" type="checkbox"/> LV Latvia	<input checked="" type="checkbox"/> RS Serbia
<input checked="" type="checkbox"/> CH/LI Switzerland/Liechtenstein	<input checked="" type="checkbox"/> GR Greece	<input checked="" type="checkbox"/> MC Monaco	<input checked="" type="checkbox"/> SE Sweden
<input checked="" type="checkbox"/> CY Cyprus	<input checked="" type="checkbox"/> HR Croatia	<input checked="" type="checkbox"/> MK The former Yugoslav Republic of Macedonia	<input checked="" type="checkbox"/> SI Slovenia
<input checked="" type="checkbox"/> CZ Czech Republic	<input checked="" type="checkbox"/> HU Hungary	<input checked="" type="checkbox"/> MT Malta	<input checked="" type="checkbox"/> SK Slovakia
<input checked="" type="checkbox"/> DE Germany	<input checked="" type="checkbox"/> IE Ireland	<input checked="" type="checkbox"/> NL Netherlands	<input checked="" type="checkbox"/> SM San Marino
<input checked="" type="checkbox"/> DK Denmark	<input checked="" type="checkbox"/> IS Iceland	<input checked="" type="checkbox"/> NO Norway	<input checked="" type="checkbox"/> TR Turkey
<input checked="" type="checkbox"/> EE Estonia			

(4) AL, AT, BE, BG, CH/LI, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HR, HU, IE, IS, IT, LT, LU, LV, MC, MK, MT, NL, NO, PL, PT, RO, RS, SE, SI, SK, SM, TR

Figure 49: States GUI: designations for applicant 1

Element list

- (1) Different designations for different applicants: must be checked in order to select one of the applicants
- (2) Applicant 1
- (3) Designations for applicant 1: specific <country> element for each state
- (4) Summary of designations for applicant 1 and applicant 2
- (5) Applicant 2
- (6) Designations for applicant 2: specific <country> element for each state
- (7) All contracting states [...] are deemed to be designated

The `waiver-communication-and-processing-of-non-designated-states` attribute must always be present in the `ep-designated-states` element. The value must be set to `no`.

PDF ep-request.pdf

31 Designation of contracting states

(7) All the contracting states party to the EPC and valid for the parent application at the time of filing of this divisional application are deemed to be designated (see Article 76(2)).

(1) 32 Different applicants for different contracting states

(5) Applicant 1 designates

(6) AL AT BE BG CH&LI CY CZ DE DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC MK MT NL NO PL PT RO RS SE SI SK SM TR

(2) Applicant 2 designates

(3) CH&LI ES FR IT MC MT

Figure 50: States PDF: Designation of contracting states, different applicants for different contracting states

XML ep-request.xml

CH&LI are listed as one state in the GUI and in the PDF. However, separate <country> elements are required for both CH and LI in the XML file.

```

13  <parties>
14  <applicants>
15  5 <applicant sequence="2" designation="as-indicated" app-type="applicant">
16  <addressbook lang="en">
31  <nationality>
34  <residence>
37  6 <designated-states>
38  <region>
39  <country>EP</country>
40  </region>
41  <country>AL</country>
42  <country>AT</country>
43  <country>BE</country>
44  <country>BG</country>
45  <country>CH</country>
46  <country>CY</country>
47  <country>CZ</country>
48  <country>DE</country>
49  <country>DK</country>
77  <country>TR</country>
78  <country>LI</country>
79  </designated-states>
80  </applicant>
81  2 <applicant sequence="1" designation="as-indicated" app-type="applicant-inventor">
82  <addressbook lang="en">
100 <nationality>
103 <residence>
106  3 <designated-states>
107  <country>CH</country>
108  <country>ES</country>
109  <country>FR</country>
110  <country>IT</country>
111  <country>MC</country>
112  <country>MT</country>
113  <country>LI</country>
114  </designated-states>
115  </applicant>
116  </applicants>
117  </parties>
118  <check-list>
121  <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
122  <ep-office-specific-data office="EP" lang="en">
123  7 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
124  <region>
125  <country>EP</country>
126  </region>
127  <extension-states/>
128  <validation-states/>
129  </ep-designated-states>
130  <ep-divisional-appl>
143  <ep-declarations>
146  <ep-electronic-files doc-type="1001">
150  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
465  </ep-office-specific-data>
466  </ep-request>

```

Figure 51: States XML: all designations for applicant 2 and applicant 1

5.5.3 Extension - Example 1: all extension states selected

GUI EP(1001E2K) States tab, Extension sub-tab

Figure 52: States GUI: selecting states with extension agreements

Element list

- (1) This application is deemed to be a request to extend the effects of the European patent application ...
- (2) Extension state selected: specific <country> element
- (3) Extension state selected: specific <country> element

XML ep-request.xml

```

48  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
49  <region>
50  <country>EP</country>
51  </region>
52  <extension-states>
53  <region>
54  <country>EP</country>
55  </region>
56  <country>BA</country>
57  <country>ME</country>
58  </extension-states>
59  <validation-states/>
60  </ep-designated-states>

```

Figure 53: States XML: extension states for EP

PDF ep-request.pdf

Figure 54: States PDF: extension states

5.5.4 Validation

GUI EP(1001E2K) States tab, Validation sub-tab

Figure 55: States GUI: states will be available after validation agreements with those states have entered into force

Element list

! **Note:** The `<validation-states>` element has been introduced in Online Filing version 5.07 in preparation for future validation states. As of now (01/04/2014), there are no states with validation agreements. You can add a validation state once the validation agreement between the EPO and the patent office(s) of that state has been ratified and has entered into force.

- (1) This application is deemed to be a request to extend the effects of the European patent application ...
- (2) No validation states are applicable as of 01/04/2014: the `<validation-states/>` element must be empty

XML ep-request.xml

```

47 <ep-office-specific-data office="EP" lang="en">
48 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
49 <region>
52 <extension-states>
59 <validation-states/>
60 </ep-designated-states>
61 <ep-declarations>
  
```

A red circle '1' is next to the `<ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">` line, and a red circle '2' is next to the `<validation-states/>` line.

Figure 56: States XML: validation states not applicable

PDF ep-request.pdf

Figure 57: States PDF: validation states not applicable

5.6 EP(1001E2K) Priority

The **Priority** screen in Form EP(1001E2K) is used to enter all priority declarations. The number of national, regional and international priorities is unlimited.

Re-establishment of rights is applicable when the filing date of the priority application is between 12 and 14 months prior to the filing date of the new application.

GUI EP(1001E2K) Priority

A national, regional and international priority have been entered.

The sample screens show the national priority with the translation option checked and the regional priority with the **re-establishment of rights** option checked. Copies of the search results have been attached for both the national and the regional priority. The applicant also declares that it is not intended to file a further declaration of priority.

National priority

The screenshot displays the 'Priority' screen in the EPO Online Filing application. The window title is 'EPO Online Filing - EP(1001E2K) - 1001_XML'. The main area shows the 'Priority' tab with the following fields and options:

- National office:** IT (Italy)
- Kind:** patent application
- Filing date:** 6 September 2011
- Application Number:** TO 2011 A234098
- Re-establishment of rights is herewith requested
- This application is a complete translation of the previous application
- A copy of the search results under Rule 141(1) EPC is available for this priority claim.
- It is not intended to file a (further) declaration of priority

The left sidebar shows a tree view with 'Nationals' selected, containing 'IT-TO 2011 A234098'. The status bar at the bottom indicates 'Logged in as Administrator' and shows 4 errors, 0 warnings, and 5 messages.

Figure 58: Priority GUI: national priority with translation option

Regional priority

The screenshot shows the 'Regional priority' section of the EPO Online Filing GUI. On the left, a tree view shows the hierarchy: National (IT-TO 2011 A234098), Regional (21), International (33), and PCT/US2011/123456 (34). The 'Regional' item is selected, showing details for priority 20 (EP-10 123000.1). The main form area contains the following fields and options:

- Regional office:** EP (23) European Patent Office
- Kind:** patent application (22)
- Filing date:** 19 October 2010 (25)
- Application Number:** 10123000.1 (24)
- Re-establishment of rights is herewith requested (29)
- This application is a complete translation of the previous application
- A copy of the search results under Rule 141(1) EPC is available for this priority claim.
- Detach file** button and **PRSR-2.pdf** (26)

Figure 59: Priority GUI: regional priority with request for re-establishment of rights

Element list

- (1) Priority 1
- (2) Type of priority 1: national
- (3) Kind of priority 1: patent application
- (4) Country of priority 1
- (5) Application number of priority 1
- (6) Filing date of priority 1
- (7) Earlier search data priority 1 (element always exists, remains empty if no document attached)
- (8) Earlier search type priority 1
- (9) Earlier search priority 1 internal ID
- (10) Earlier search priority 1 country
- (11) Earlier search priority 1 declaration
- (12) Earlier search priority 1 file type (always pdf)
- (13) Earlier search priority 1 EPO file name
- (14) Search results required under Rule 141(1) for priority 1 attached
- (15) Earlier search priority 1 original file name
- (16) Declaration for priority 1: This application is a complete translation of the previous application
- (17) Declaration of complete translation: country of priority 1
- (18) Declaration of complete translation: application number of priority 1
- (19) Declaration of no intention to file (further) declaration of priority
- (20) Priority 2
- (21) Type of priority 2: regional
- (22) Kind of priority 2: patent application
- (23) Country of priority 2
- (24) Application number of priority 2
- (25) Filing date of priority 2
- (26) Earlier search priority 2: EPO file name
- (27) Search results required under Rule 141(1) for priority 2 attached
- (28) Earlier search priority 2: original file name
- (29) Declaration for priority 2: Re-establishments of rights is hereby requested
- (30) Request of re-establishment of rights: country of priority 2

- (31) Request of re-establishment of rights: application number of priority 2
- (32) Priority 3
- (33) Type of priority 3: international
- (34) Application number of priority 3

XML ep-request.xml - priorities

```

13  <parties>
43  <priority-claims>
44  <ep-priority-claim sequence="1" kind="national" ep-document-type="patent">
45  <country>IT</country>
46  <doc-number>TO 2011 A234098</doc-number>
47  <date>20110906</date>
48  <earlier-searches>
49  <earlier-search search-type="national" id="ID_1" office="IT" declaration-of-no-search="not-determined">
50  <doc-page he="1" type="pdf" wi="1" file="PRSR-1.pdf"/>
51  </earlier-search>
52  </earlier-searches>
53  <ep-priority-claim>
54  <ep-priority-claim sequence="2" kind="regional" ep-document-type="patent">
55  <country>EP</country>
56  <doc-number>10123000.1</doc-number>
57  <date>20101019</date>
58  <earlier-searches>
59  <earlier-search search-type="international-type" id="ID_2" office="EP" declaration-of-no-search="not-determined">
60  <doc-page he="1" type="pdf" wi="1" file="PRSR-2.pdf"/>
61  </earlier-search>
62  </earlier-searches>
63  <ep-priority-claim>
64  <ep-priority-claim sequence="3" kind="international" ep-document-type="patent">
65  <country>US</country>
66  <doc-number>PCT/US2011/123456</doc-number>
67  <date>20110712</date>
68  <earlier-searches>
69  <earlier-search search-type="isr" id="ID_3" office="US" declaration-of-no-search="not-determined">
70  <doc-page he="1" type="pdf" wi="1" file=""/>
71  </earlier-search>
72  </earlier-searches>
73  </ep-priority-claim>
74  </priority-claims>

```

Figure 60: Priority XML: national, regional and international priority

[...]

```

84  <ep-office-specific-data office="EP" lang="en">
85  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
97  <ep-declarations>
98  <waiver-to-indicate-further-processing/>
99  29 <request-re-establishment>
100  <document-id lang="">
101  30 <country>EP</country>
102  <doc-number>10123000.1</doc-number> 31
103  </document-id>
104  </request-re-establishment>
105  16 <declaration-complete-translation-of-priority>
106  <document-id lang="">
107  17 <country>IT</country>
108  <doc-number>TO 2011 A234098</doc-number> 18
109  </document-id>
110  </declaration-complete-translation-of-priority>
111  19 <declaration-no-intention-to-file-further-priority/>
112  </ep-declarations>
113  <ep-electronic-files doc-type="1001">
117  <ep-electronic-files doc-type="SPECEPO">
121  <ep-electronic-files doc-type="PRSR"> 14
122  15 <applicant-file-name>Search results IT.pdf</applicant-file-name>
123  <epo-file-name>PRSR-1.pdf</epo-file-name> 13
124  </ep-electronic-files>
125  <ep-electronic-files doc-type="PRSR"> 27
126  28 <applicant-file-name>Search results EP.pdf</applicant-file-name>
127  <epo-file-name>PRSR-2.pdf</epo-file-name> 26
128  </ep-electronic-files>
129  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
376  </ep-office-specific-data>
377  </ep-request>

```

Figure 61: Priority XML: priority declarations and search results

PDF ep-request.pdf - priorities

25 Declaration of priority (Rule 52)

A declaration of priority is hereby made for the following applications

	State	Filing date	Kind	Application number:	Search results required under Rule 141(1) EPC
1 Priority 01	4 IT	6 06.09.2011	3 ap	5 TO 2011 A234098	<input checked="" type="checkbox"/> PRSR-1.pdf 13
20 Priority 02	23 EP	25 19.10.2010	22 ap	10123000.1 24	<input checked="" type="checkbox"/> PRSR-2.pdf 26
32 Priority 03	US	12.07.2011	ap	PCT/US2011/123456	<input type="checkbox"/>

25.2 This application is a complete translation of the previous application ITTO 2011 A234098 18

25.3 It is not intended to file a (further) declaration of priority 19

Request for Re-establishment is hereby made for: 31

Figure 62: Priority PDF: Declaration of priority applications

44-C Other documents

	Original file name:	System file name:
C-1 14 1. Search results required under Rule 141(1) EPC	Search results IT.pdf 15	PRSR-1.pdf 13
C-2 27 2. Search results required under Rule 141(1) EPC	Search results EP.pdf 28	PRSR-2.pdf 26

Figure 63: Priority PDF: Attached search results for priority declarations

5.7 EP(1001E2K) Biological Material

The EP(1001E2K) **Biological Material** screen is provided to enable applicants to enter all data concerning any biological materials relating to the application.

- Depository institutions (name and address)
 - Accession numbers
 - References to patent description
 - Receipts, authorisations and waivers as attached documents
- ① Sequence listings are attached in the **Documents** tab, sub-tab **Sequence listings**.

5.7.1 Biology - Example 1: Deposit details provided, receipt and authorisation to be filed later

GUI EP(1001E2K) Biological Material, Deposit details sub-tab

The screenshot displays the 'Biological Material' sub-tab in the EPO Online Filing application. The window title is 'EPO Online Filing - EP(1001E2K) - 1001-request-EN'. The interface includes a menu bar (File, Edit, View, Tools, Windows, Help) and a toolbar. The main area is titled 'EP(1001E2K) - Draft - 1001-request-EN' and 'Last saved on 21/04/2014'. A tabbed interface shows 'Biological Material' selected. The main content area is titled 'The invention relates to and/or uses biological material which has been deposited under Rule 31'. It contains a 'Deposit details' section with the following fields: 'Identification Reference:' (Bio-123456), 'Depository institution:' (Centraalbureau voor Schimmelcultures (CBS)), 'Name and address:' (Uppsalalaan 8, 3584 CT Utrecht, The Netherlands or P.O. Box 85167, 3508 AD Utrecht, The Netherlands), and 'Accession number:' (CBS-908070). Below these fields are two checkboxes: 'The particulars referred to in Rule 31(1)(c) (if not yet known, the deposit institution and the identification reference(s) [number, symbols, etc.] of the depositor) are given in the technical documents in the application on' (checked) and 'Availability restricted to experts (Rule 32(1))' (checked). The 'Page(s)' field is set to 5 and the 'Line(s)' field is set to 245-267. A status bar at the bottom right shows icons for a red circle with a slash, a yellow triangle with an exclamation mark, and a blue circle with a checkmark, each followed by the number 2.

Figure 64: Biological Material GUI: details for deposit 1

Further details sub-tab

Figure 65: Biological Material GUI: further details for deposit 1, documents to be filed later

Element list

- (1) Deposit 1
- (2) Identification reference
- (3) Depositary institution, abbreviation
- (4) Address of depositary institution
- (5) Accession number of deposit
- (6) Reference to description
- (7) Reference page in description
- (8) Reference lines in description
- (9) Availability restricted to experts (Rule 32(1))
- (10) Receipt of deposit will be filed later: if checked, no document can be attached
- (11) Deposit by a person other than the applicant (name and address)
- (12) Authorisation under Rule 31(1)(d) will be filed later: if checked, no document can be attached

XML ep-request.xml

```

46 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
47 <ep-office-specific-data office="EP" lang="en">
48 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
61 <ep-declarations>
65 <ep-biological-material id="bio1" num="CBS" dnum="Bio-123456">
66 <depository>CBS
67 <address>
68 <address-1>Uppsalalaan 8, 3584 CT Utrecht, The Netherlands or P.O. Box 85167, 3508 AD Utrecht, The
Netherlands</address-1>
69 <postcode/>
70 <country/>
71 </address>
72 </depository>
73 <bio-accno>CBS-908070</bio-accno>
74 <bio-receipt will-be-filed-later="yes"/>
75 <bio-authorization will-be-filed-later="yes"/>
76 <ep-biological-material-reference>
77 <ep-bio-references-page>5</ep-bio-references-page>
78 <ep-bio-references-lines>245-267</ep-bio-references-lines>
79 </ep-biological-material-reference>
80 <bio-other-depositant>TechInvent SA
81 34, place de la r#233;publique
82 69008 Lyon
83 France</bio-other-depositant>
84 <bio-restriction-to-expert/>
85 </ep-biological-material>
86 <ep-electronic-files doc-type="1001">

```

Figure 66: Biological Material XML: details for deposit 1

PDF ep-request.pdf

34 Biological material

34.1 The invention uses and/or relates to biological material deposited under Rule 31

1 a-1 Deposit 1

Identification reference: **2** Bio-123456

Depository institution: **3** Centraalbureau voor Schimmelcultures (CBS)
4 Uppsalalaan 8, 3584 CT Utrecht, The Netherlands or P.O. Box 85167, 3508 AD Utrecht, The Netherlands

Accession number: **5** CBS-908070

b-1 The particulars referred to in Rule 31(1)(c) (if not yet known, the depository institution and the identification reference(s) [number, symbols, etc.] of the depositor) are given in the technical documents in the application on: **6**

7 **8**
 Page(s): 5, Line(s): 245-267

34.2 The receipt(s) of deposit issued by the depository institution **10** will be filed later

35-1 If the biological material was deposited by a person other than the applicant, name and address of depositor: **11**

TechInvent SA
 34, place de la république
 69008 Lyon
 France

35.1 Authorisation under Rule 31(1)(d) **12** will be filed later
 -1

36-1 Waiver of the right to an undertaking from the requester pursuant to Rule 33(2) attached

37-1 The applicant hereby declares under Rule 32(1) that the biological material referred to in Sections 34 and 35 is to be made available only by the issue of a sample to an expert **9**

Figure 67: Biological Material PDF: details for deposit 1

5.7.2 Biology - Example 2: Further details, documents attached

GUI EP(1001E2K) Biological Material, Further details sub-tab

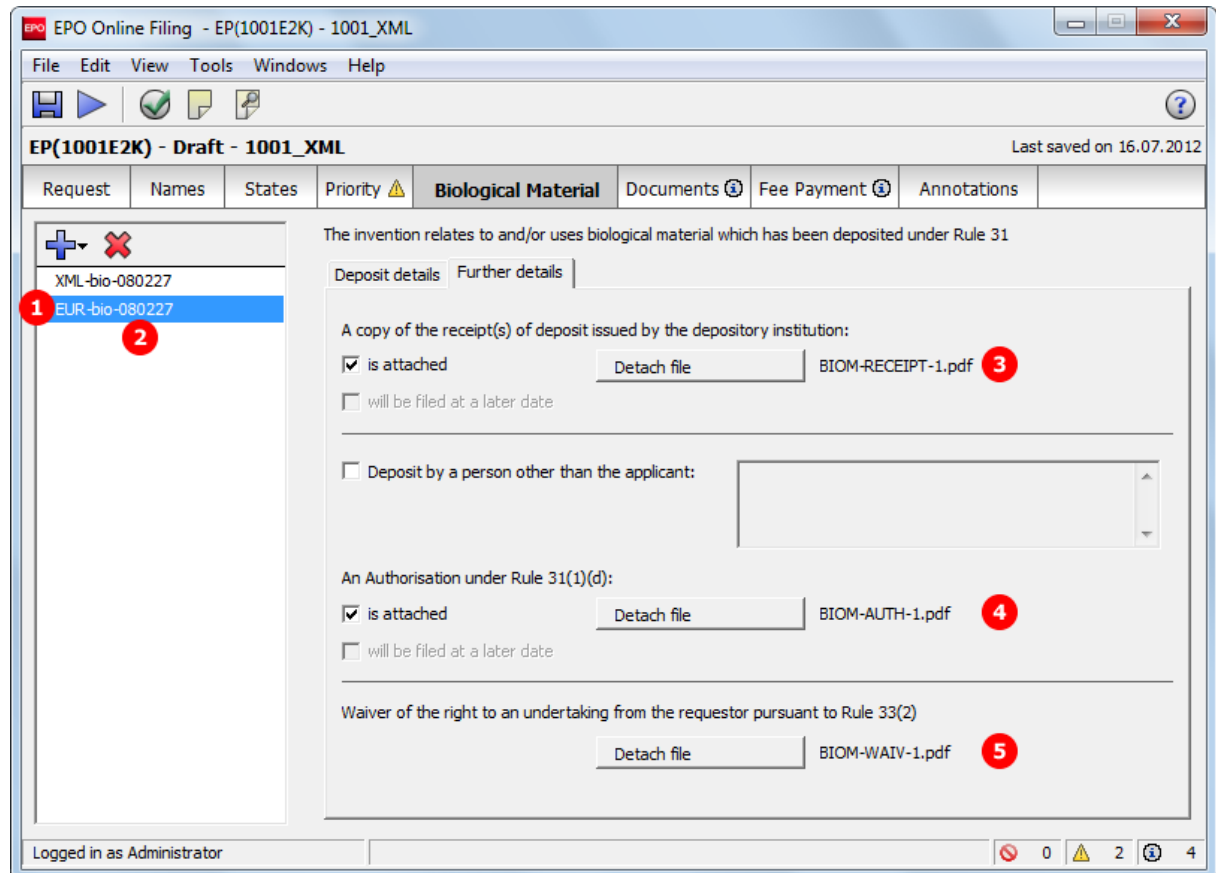


Figure 68: Biological Material GUI: further details for deposit 2 with files attached

Element list

- (1) Deposit 2
- (2) Identification reference for deposit 2
- (3) Receipt of deposit is attached (EPO file name)
- (4) Authorisation under Rule 31(1)(d) is attached (EPO file name)
- (5) Waiver pursuant to Rule 33(2) is attached (EPO file name)

XML ep-request.xml

```

54 <ep-office-specific-data office="EP" lang="en">
55 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
95 <ep-declarations>
98 <ep-biological-material id="bio1" num="CBS" dnum="XML-bio-080227">
119 <ep-biological-material id="bio2" num="ECACC" dnum="EUR-bio-080227">
120 <depository>ECACC 1
127 <bio-accno>ECACC-080227</bio-accno> 2
128 <bio-receipt>BIOM-RECEIPT-1.pdf</bio-receipt> 3
129 <bio-authorization>BIOM-AUTH-1.pdf</bio-authorization> 4
130 <bio-waiver>BIOM-WAIV-1.pdf</bio-waiver> 5
131 </ep-biological-material>
132 <ep-electronic-files doc-type="1001">
136 <ep-electronic-files doc-type="SPECEPO">
140 <ep-electronic-files doc-type="BIOMRECEIPT">
141 <applicant-file-name>bio_receipt.pdf</applicant-file-name>
142 <epo-file-name>BIOM-RECEIPT-1.pdf</epo-file-name> 3
143 </ep-electronic-files>
144 <ep-electronic-files doc-type="BIOMAUTH">
145 <applicant-file-name>bio_authorisation.pdf</applicant-file-name>
146 <epo-file-name>BIOM-AUTH-1.pdf</epo-file-name> 4
147 </ep-electronic-files>
148 <ep-electronic-files doc-type="BIOMWAIV">
149 <applicant-file-name>bio_waiver.pdf</applicant-file-name>
150 <epo-file-name>BIOM-WAIV-1.pdf</epo-file-name> 5
151 </ep-electronic-files>
152 <ep-financial-data curr="EUR">
375 </ep-office-specific-data>
376 </ep-request>
    
```

Figure 69: Biological Material XML: deposit 2, files attached

PDF ep-request.pdf

1 a-2 Deposit 2

Identification reference: EUR-bio-080227 **2**

Depository institution: European Collection of Cell Cultures (ECACC) Health Protection Agency – Porton Down, Salisbury, Wiltshire SP4 0JG, United Kingdom

Accession number: ECACC-080227

b-2 The particulars referred to in Rule 31(1)(c) (if not yet known, the depository institution and the identification reference(s) [number, symbols, etc.] of the depositor) are given in the technical documents in the application on:

34.2 The receipt(s) of deposit issued by the depository institution **3** is (are) attached

35-2 If the biological material was deposited by a person other than the applicant; name and address of depositor:

35.1 Authorisation under Rule 31(1)(d) **4** is (are) attached
-2

36-2 Waiver of the right to an undertaking from the requester pursuant to Rule 33(2) attached **5**

37-2 The applicant hereby declares under Rule 32(1) that the biological material referred to in Sections 34 and 35 is to be made available only by the issue of a sample to an expert

Figure 70: Biological Material PDF: details for deposit 2

5.8 EP(1001E2K) Documents

The **Documents** screen in Form EP(1001E2K) offers various combinations for attaching documents. The choices depend on the languages that have been selected in the **Request** tab. For example, if the procedural language has been set to French and the language of the request to Italian, both the original in Italian and the translations of all documents into French must be supplied together with the application.

- The files containing the technical documents are referenced in the **application-body.xml** file.
- All other documents are referenced in the **ep-request.xml** file.

All attached documents must be **Annex F compliant** (see "**Annex F rules for documents and files**" p. 303). For more information about preparing documents for attachment and patent specifications in XML format, see the Online Filing User Guide, available from the EPO website under **Applying for a patent > Online services > Online filing > Download documentation** (<http://www.epo.org/applying/online-services/online-filing/documentation.html>).

Options in the **Specification** sub-tab:

- ① **EPO language** corresponds to the selected procedural language, i.e. English, French or German.
 - Technical document(s) in EPO language (n PDF files)
 - XML attachments in EPO language (1 XML file)
 - Original in non-EPO language (1 PDF file)
 - Translation(s) of technical document(s) into EPO language (n PDF files)
 - XML attachments translation into EPO language (1 XML file)
 - Pre-conversion archive (ZIP)

Files to be attached in the **Sequence listing** sub-tab:

- Sequence listing in computer-readable APP, SEQ, TXT or ZIP format
- Sequence listing in PDF format

Options in the **Additional documents** sub-tab:

- ① All files must be in PDF format.
 - General authorisation
 - Specific authorisation
 - Translation of priority documents
 - Grounds for re-establishment of rights
 - US certified priority document (digitally signed)
 - Search results required under Rule 141(1) EPC for previously filed application
 - Other documents

① See the list of standard document names required by the EPO in **Document codes and file types for EP(1001E2K)** (p. 18).

5.8.1 Specification - Example 1: request in English, technical documents in one PDF file

GUI EP(1001E2K) Documents, Specification sub-tab

The technical documents in English are attached in one PDF file, the claims will be filed later.

The screenshot shows the 'EPO Online Filing - EP(1001E2K) - 1001-docs-1' window. The 'Documents' sub-tab is active, showing the 'Specification' section. The 'Original File Name' is 'Instant_Water.pdf' (2) with 'Number of Pages' set to 10 (3). The 'This file contains' section has several options: 'Description' (4) is checked, with 'From page: 1 (5) to 7 (6)'; 'Claims' (7) is unchecked, with 'Number of Claims' (8) and 'Number of claims you intend to pay for (including first 15 claims):' (9) both set to 0; 'Abstract' (12) is checked, with 'Figure to be Published with Abstract: 3c (E.g.: 1, 2a, 5) (13)' and 'From page: 8 (14) to 8 (15)'; 'Drawings' (16) is checked, with 'Number of Drawings: 5 (17)' and 'From page: 9 (18) to 10 (19)'. At the bottom, 'It is intended to submit claims later.' (20) is checked, and 'A translation will be supplied later.' is unchecked. The status bar at the bottom indicates 'Logged in as Administrator' and shows 0 errors, 1 warning, and 2 info messages.

Figure 71: Documents GUI: Technical documents in English, claims to be filed later

Element list

- (1) EPO standard file name for specification in EPO language
- (2) Original file name
- (3) Number of pages: does not exist in XML file, is automatically calculated
- (4) Description
- (5) First page of description in attached document
- (6) Last page of description in attached document
- (7) Claims: not checked and deactivated, because (19) **It is intended to submit claims later** has been checked
- (8) Number of claims: n/a
- (9) Number of claims you intend to pay for (including the first 15 claims): n/a
This value is used for the fee calculation. Please set the value to 0 (zero) if you do not intend to pay for any claims with this application.
- (10) First page of claims in attached document: n/a
- (11) Last page of claims in attached document: n/a
- (12) Abstract

- (13) Figure to be published with abstract
- (14) First page of abstract in attached document
- (15) Last page of abstract in attached document
- (16) Drawings
- (17) Number of drawings
- (18) First page of drawings in attached document
- (19) Last page of drawings in attached document
- (20) It is intended to submit claims later

XML ep-request.xml

```

13  <parties>
43  <check-list>
44  <cl-request/>
45  4 <cl-description page-count="7" ppf="1" ppl="7"/>
      5      6
      14  15
46  11 <cl-abstract page-count="1" ppf="8" ppl="8"/>
      18  19      17
47  16 <cl-drawings page-count="2" ppf="9" ppl="10" fig-count="5"/>
48  </check-list>
49  <figure-to-publish>
50  13 <fig-number>3c</fig-number>
51  </figure-to-publish>
52  <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
53  <ep-office-specific-data office="EP" lang="en">
54  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
67  <ep-declarations>
68  <declaration-no-intention-to-file-further-priority/>
69  20 <declaration-intention-to-file-claims-later/>
70  </ep-declarations>
71  <ep-electronic-files doc-type="1001">
72  <applicant-file-name/>
73  <epo-file-name>ep-request.pdf</epo-file-name>
74  </ep-electronic-files>
75  <ep-electronic-files doc-type="SPECEPO">
76  <applicant-file-name>Instant_Water.pdf</applicant-file-name> 2
77  1 <epo-file-name>SPECEPO-1.pdf</epo-file-name>
78  </ep-electronic-files>
79  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
320 </ep-office-specific-data>
321 </ep-request>

```

Figure 72: Documents XML: data in ep-request.xml file

XML application-body.xml

Note that there is no `id` attribute for the `<claims>` element and both the `ppf` and the `ppl` attribute are empty, because there is no document attached for the claims.

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
3  <application-body lang="en" dtd-version="1.6" country="EP">
4  ④ <description>
5     <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPECEPO-1.pdf" ppf="1" ppl="7" pp="7"/>
6  </description>
7  ⑦ <claims>
8     <doc-page he="1" wi="1" type="pdf" pp="" ppf="" ppl="" file=""/>
9  </claims>
10 ⑫ <abstract>
11     <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECEPO-1.pdf" ppf="8" ppl="8" pp="1"/>
12 </abstract>
13 ⑮ <drawings>
14     <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPECEPO-1.pdf" ppf="9" ppl="10" pp="2"/>
15 </drawings>
16 </application-body>
    
```

Figure 73: Documents XML: references in application-body.xml file

PDF ep-request.pdf

⑦ 29 Claims

Number of claims: ⑧

29.1 as attached

29.2 as in the previously filed application (see Section 26.2)

29.3 ⑳ The claims will be filed later

⑮ 30 Figures

It is proposed that the abstract be published together with figure No. ⑬

Figure 74: Documents PDF: claims and figures

[Page 3]

44-A Forms		Details:	System file name:
A-1	Request		as ep-request.pdf
44-B Technical documents		Original file name:	System file name:
B-1	Specification	② Instant_Water.pdf	① SPECEPO-1.pdf
		Description; 5 figure(s); abstract	

④ ⑰ ⑯ ⑫

Figure 75: Documents PDF: specification file name, parts of technical documents

5.8.2 Specification - Example 2: request in English, technical documents in multiple PDF files

GUI EP(1001E2K) Documents, Specification sub-tab

Description, claims, abstracts and drawings have been attached one by one as separate PDF files.

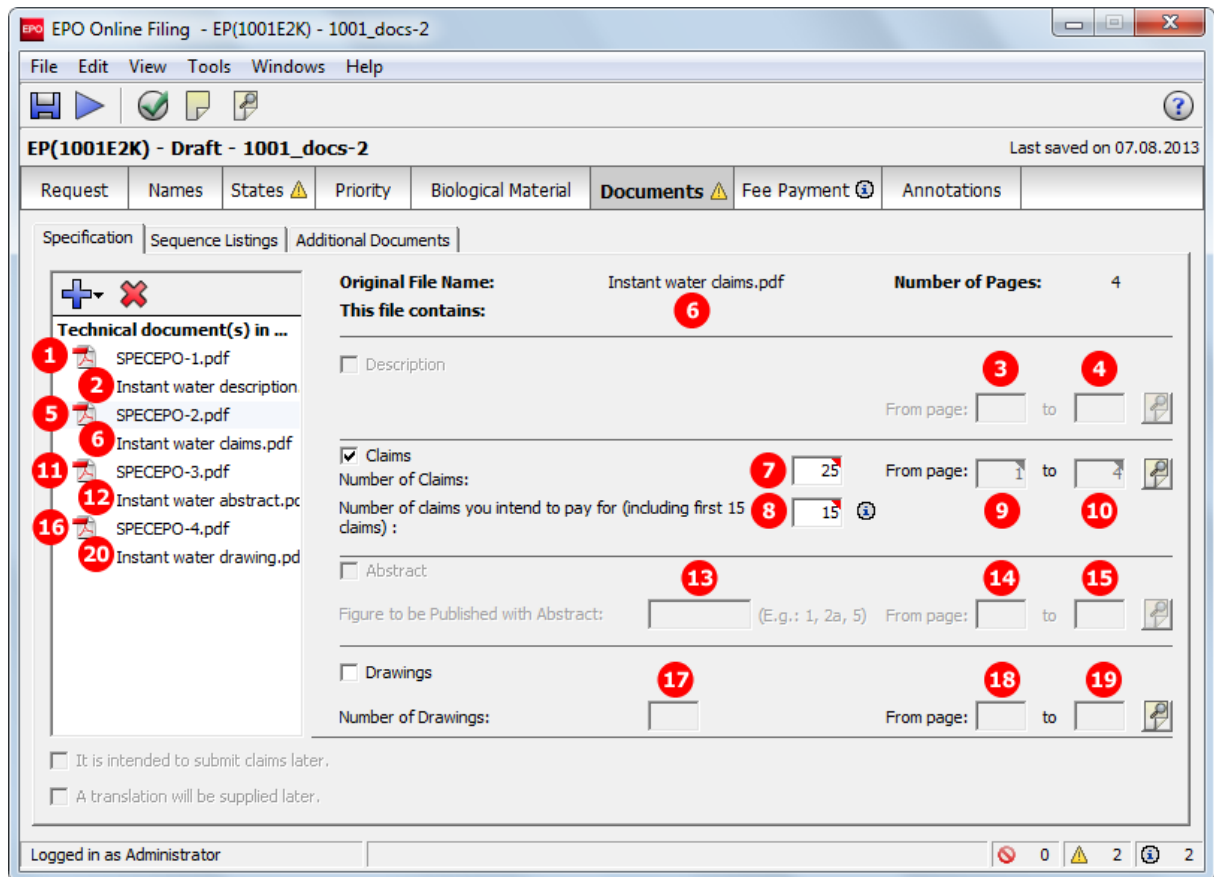


Figure 76: Documents GUI: technical documents attached as multiple PDF files

Element list

- (1) EPO file name for 1st document attached
- (2) Original file name for description
- (3) First page of description in attached document
- (4) Last page of description in attached document
- (5) EPO file name for 2nd document attached
- (6) Original file name for claims
- (7) Number of claims
- (8) Number of claims you intend to pay for (including first 15 claims)
This value is used for the fee calculation. Please set the value to 0 (zero) if you do not intend to pay for any claims with this application.
- (9) First page of claims in attached document
- (10) Last page of claims in attached document
- (11) EPO file name for 3rd document attached
- (12) Original file name for abstract
- (13) Figure to be published with abstract

- (14) First page of abstract in attached document
- (15) Last page of abstract in attached document
- (16) EPO file name for 4th document attached
- (17) Original file name for drawings
- (18) Number of drawings
- (19) First page of drawings in attached document
- (20) Last page of drawings in attached document
- (21) Document code for description
- (22) Document code for claims
- (23) Document code for abstract
- (24) Document code for drawings
- (25) Description as part of specification
- (26) Claims as part of specification
- (27) Abstract as part of specification
- (28) Drawings (figures) as part of specification

XML ep-request.xml

```

13  <parties>
43  <check-list>
44  <cl-request/>
45  <cl-description page-count="7" ppf="1" ppl="7"/>
46  <cl-claims page-count="4" ppf="1" ppl="4" number-of-claims="25" number-claims-fee-calculation="15"/>
47  <cl-abstract page-count="2" ppf="1" ppl="2"/>
48  <cl-drawings page-count="1" ppf="1" ppl="1" fig-count="2"/>
49  </check-list>
50  <figure-to-publish>
51  <fig-number>2</fig-number>
52  </figure-to-publish>
53  <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
54  <ep-office-specific-data office="EP" lang="en">
55  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
61  <ep-declarations>
64  <ep-electronic-files doc-type="1001">
68  <ep-electronic-files doc-type="SPECEPO">
69  <applicant-file-name>Instant water description.pdf</applicant-file-name>
70  <epo-file-name>SPECEPO-1.pdf</epo-file-name>
71  </ep-electronic-files>
72  <ep-electronic-files doc-type="SPECEPO">
73  <applicant-file-name>Instant water claims.pdf</applicant-file-name>
74  <epo-file-name>SPECEPO-2.pdf</epo-file-name>
75  </ep-electronic-files>
76  <ep-electronic-files doc-type="SPECEPO">
77  <applicant-file-name>Instant water abstract.pdf</applicant-file-name>
78  <epo-file-name>SPECEPO-3.pdf</epo-file-name>
79  </ep-electronic-files>
80  <ep-electronic-files doc-type="SPECEPO">
81  <applicant-file-name>Instant water drawing.pdf</applicant-file-name>
82  <epo-file-name>SPECEPO-4.pdf</epo-file-name>
83  </ep-electronic-files>
84  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
371 </ep-office-specific-data>
372 </ep-request>

```

Figure 77: Documents XML: data in ep-request.xml file

XML application-body.xml

Note that only the `id` element in the `<doc-page>` elements specifies in which of the attached files and at which position the description, claims, abstract and drawings are exactly located.

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
3  <application-body lang="en" dtd-version="1.6" country="EP">
4  25 <description> 21 1 3 4
5     <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPECEPO-1.pdf" ppf="1" ppl="7" pp="7"/>
6  </description>
7  26 <claims> 22 5 9 10
8     <doc-page id="CLMS1" he="1" wi="1" type="pdf" file="SPECEPO-2.pdf" ppf="1" ppl="4" pp="4"/>
9  </claims>
10 27 <abstract> 23 11 14 15
11     <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECEPO-3.pdf" ppf="1" ppl="2" pp="2"/>
12 </abstract>
13 28 <drawings> 24 16 18 19
14     <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPECEPO-4.pdf" ppf="1" ppl="1" pp="1"/>
15 </drawings>
16 </application-body>
    
```

Figure 78: Documents XML: attached files referenced in the application-body.xml file

PDF ep-request.pdf

44-A Forms		Details:	System file name:
A-1	Request		as ep-request.pdf
44-B Technical documents		Original file name:	System file name:
B-1	Specification 25	2 Instant water description.pdf Description	1 SPECEPO-1.pdf
B-2	Specification 26	6 Instant water claims.pdf 7 25 claims	5 SPECEPO-2.pdf
B-3	Specification 27	12 Instant water abstract.pdf abstract	11 SPECEPO-3.pdf
B-4	Specification 28	20 Instant water drawing.pdf 17 2 figure(s)	16 SPECEPO-4.pdf

Figure 79: Documents PDF: technical documents listed in form

5.8.3 Specification - Example 3: request in English, technical documents in XML format

GUI EP(1001E2K) Documents, Specification sub-tab

The sample patent specification has been produced in XML format using the PatXML tool and includes three drawings in TIF format. These graphics are referenced in the original PXML file.

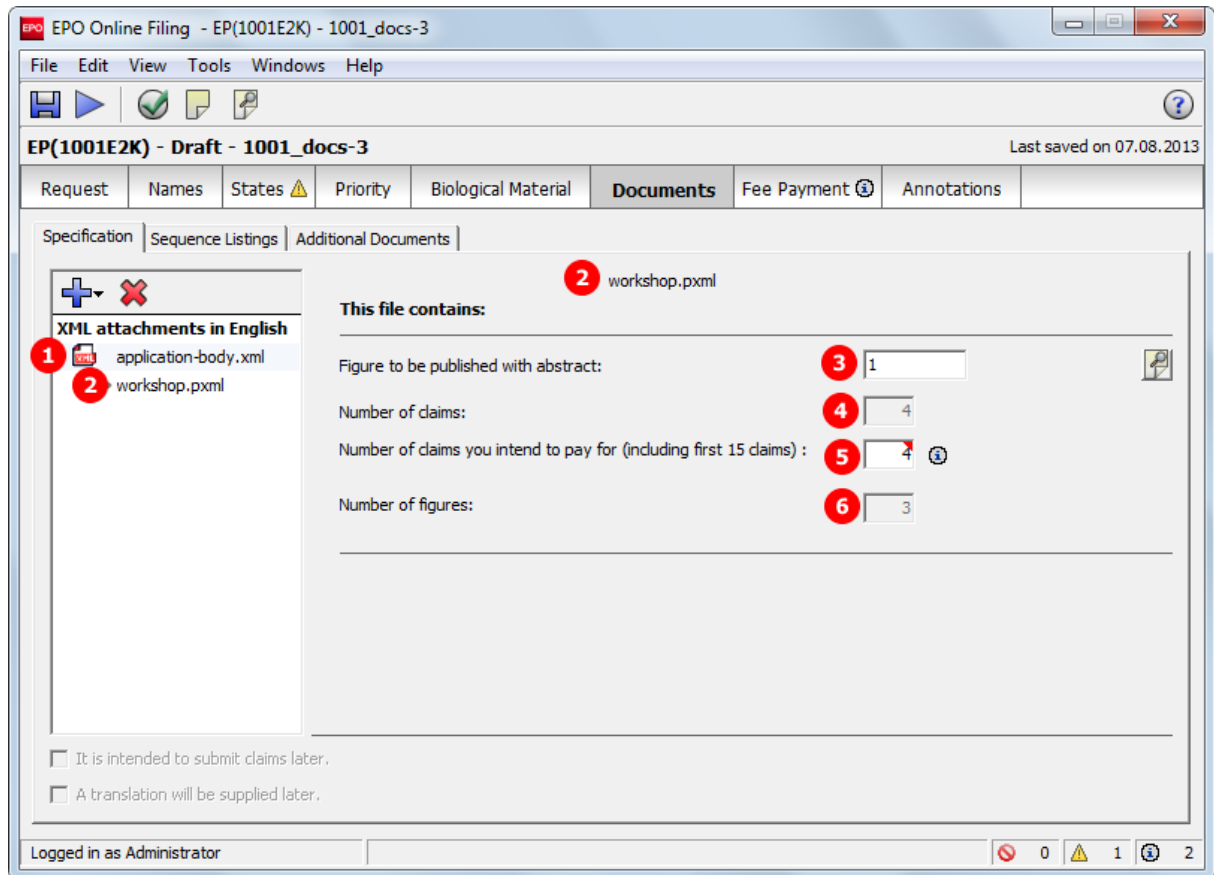


Figure 80: Documents GUI: specification attached in XML format

Element list

- (1) EPO file name for specification
- (2) Original file name of technical document
- (3) Figure to be published with abstract (is read from XML document)
- (4) Number of claims (is read from XML document)
- (5) Number of claims you intend to pay for (including first 15 claims)
This value is used for the fee calculation. Please set the value to 0 (zero) if you do not intend to pay for any claims with this application.
- (6) Number of figures (is read from XML document)
- (7) Description: text contained in application-body.xml file
- (8) Claims: text for each claim contained in application-body.xml file
- (9) Abstract: text for abstract contained in application-body.xml file, including reference to figure to be published with abstract
- (10) Original file name of Figure 1
- (11) Original file name of Figure 2
- (12) Original file name of Figure 3

XML ep-request.xml

```

13  <parties>
43  <check-list>
44    <cl-request/>
45    <cl-description/>
46    <cl-claims number-of-claims="4" number-claims-fee-calculation="4"/>
47    <cl-abstract/>
48    <cl-drawings fig-count="3"/>
49  </check-list>
50  <figure-to-publish>
51    <fig-number>1</fig-number>
52  </figure-to-publish>
53  <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
54  <ep-office-specific-data office="EP" lang="en">
55    <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
61  <ep-declarations>
64  <ep-electronic-files doc-type="1001">
68  <ep-electronic-files doc-type="APPBODYXML">
69    <applicant-file-name>workshop.pxml</applicant-file-name>
70    <epo-file-name>application-body.xml</epo-file-name>
71  </ep-electronic-files>
72  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
359 </ep-office-specific-data>
360 </ep-request>

```

Figure 81: Documents XML: application-body.xml file contains patent specification

XML application-body.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!--PatXML 1.4.0.0-->
3  <!DOCTYPE application-body PUBLIC "-//WIPO//DTD APPLICATION BODY 1.1//EN" "application-body-v1-1.dtd" >
4  <application-body id="pxmlworkshop" file="workshop.pxml" lang="de" country="EP" dtd-version="application-body-v1-1
  " file-reference-id="" status="npxml">
5    <description id="desc">
8    <claims id="claims01" lang="de">
9      <claim id="c-de-0001" num="0001">
12     <claim id="c-de-0002" num="0002">
15     <claim id="c-de-0003" num="0003">
18     <claim id="c-de-0004" num="0004">
21   </claims>
22   <abstract id="abst">
25   <drawings id="draw">
26     <figure id="f0001" num="0001">
27       <img id="if0001" file="imgf0001.tif" wi="139mm" he="65mm" img-content="drawing" img-format="tif" orientation="
  portrait"></img>
28     </figure>
29     <figure id="f0002" num="0002">
30       <img id="if0002" file="imgf0002.tif" wi="139mm" he="199mm" img-content="drawing" img-format="tif" orientation="
  portrait"></img>
31     </figure>
32     <figure id="f0003" num="0003">
33       <img id="if0003" file="imgf0003.tif" wi="139mm" he="45mm" img-content="drawing" img-format="tif" orientation="
  portrait"></img>
34     </figure>
35   </drawings>
36 </application-body>

```

Figure 82: Documents XML: application-body.xml file originally produced by PatXML

PDF ep-request.pdf

44-B Technical documents	Original file name:	System file name:
B-1 Application body	workshop.pxml 4 claims3 fig (s); Figure to be published with abstract:1	application-body.xml

Figure 83: Document PDF: technical documents listed in form

5.8.4 Specification - Example 4: request in admissible non-official EPO language

GUI EP(1001E2K) Documents, Specification sub-tab

The technical documents in Italian have been attached in PDF format. This file contains the description, claims and abstract. An extra PDF file has been attached for the drawings in Italian.

The screenshot shows the 'Documents' sub-tab in the EPO Online Filing GUI. The window title is 'EPO Online Filing - EP(1001E2K) - 1001_docs-4'. The document is identified as 'EP(1001E2K) - Draft - 1001_docs-4' and was last saved on 07.08.2013. The 'Documents' sub-tab is active, showing a list of files on the left and a summary of the document content on the right.

Original File Name: Acqua instantanea.pdf

This file contains:

The specification in original language (At least Description and if applicable Abstract, Claims and Drawings; Drawings can also be attached separately)

Number of Claims: 21

Number of claims you intend to pay for (including first 15 claims): 15

Number of figures: 1

Figure to be published with abstract: 1 (E.g.: 1, 2a, 5)

Files attached:

- 1. SPECNONEPO.pdf (Original in Italian)
- 2. Acqua instantanea.pdf
- 5. SPECTRANEO-1.pdf (Translation(s) of technical...)
- 6. Eau instantanée dessin.p
- 7. SPECTRANEO-2.pdf
- 8. Eau instantanée.pdf
- 9. DRAWNONEPO.pdf (Drawings in Italian)
- 10. Acqua instantanea disegr

Figure 84: Documents GUI: technical documents and drawings in Italian are attached

The translations into French for both specification file (description, claims and abstract) and drawings file, have also been attached in PDF format.

Figure 85: Documents GUI: Translations into French are specified

Element list

- (1) EPO file name for specification in non-EPO language
- (2) Original file name for technical documents
- (3) Number of claims in original document
- (4) Number of claims you intend to pay for (including first 15 claims)
This value is used for the fee calculation. Please set the value to 0 (zero) if you do not intend to pay for any claims with this application.
- (5) EPO file name for translation of 1st attached document containing translation of specification into EPO language
- (6) Original file name for translated drawing
- (7) EPO file name for translation of 2nd attached document containing translation of specification into EPO language
- (8) Original file name for translated specification
- (9) EPO file name for drawings in non-EPO language
- (10) Original file name for drawings in non-EPO language
- (11) Number of figures in drawings in non-EPO language
- (12) Figure to be published with abstract in original document
- (13) Description
- (14) First page of description in translation document
- (15) Last page of description in translation document
- (16) Claims
- (17) First page of claims in translation document
- (18) Last page of claims in translation document
- (19) Abstract
- (20) First page of abstract in translation document
- (21) Last page of abstract in translation document
- (22) Drawings
- (23) First page of drawings in translation document
- (24) Last page of drawings in translation document

XML ep-request.xml

```

43 <check-list>
44 <cl-request/>
45 13 <cl-description page-count="5" ppf="1" ppl="5"/>
46 16 <cl-claims page-count="2" ppf="6" ppl="7" number-of-claims="21" number-claims-fee-calculation="15"/>
47 19 <cl-abstract page-count="1" ppf="8" ppl="8"/>
48 22 <cl-drawings page-count="1" ppf="1" ppl="1" fig-count=""/>
49 </check-list>
50 <figure-to-publish>
51 12 <fig-number>1</fig-number>
52 </figure-to-publish>
53 <ep-language-of-filing lang-code="non-epo">it</ep-language-of-filing>
54 <ep-language-of-filing lang-code="translation">fr</ep-language-of-filing>
55 <ep-office-specific-data office="EP" lang="fr">
56 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
62 <ep-request-for-exam-art94 lang="it"/>
63 <ep-declarations>
66 <ep-electronic-files doc-type="1001">
70 <ep-electronic-files doc-type="DRAWNONEPO">
71 <applicant-file-name>Acqua instantanea disegno.pdf</applicant-file-name> 10
72 9 <epo-file-name>DRAWNONEPO.pdf</epo-file-name>
73 </ep-electronic-files>
74 <ep-electronic-files doc-type="SPECTRANEPO">
75 <applicant-file-name>Eau instantan&#233;e dessin.pdf</applicant-file-name> 6
76 5 <epo-file-name>SPECTRANEPO-1.pdf</epo-file-name>
77 </ep-electronic-files>
78 <ep-electronic-files doc-type="SPECNONEPO">
79 <applicant-file-name>Acqua instantanea.pdf</applicant-file-name> 2
80 1 <epo-file-name>SPECNONEPO.pdf</epo-file-name>
81 </ep-electronic-files>
82 <ep-electronic-files doc-type="SPECTRANEPO">
83 <applicant-file-name>Eau instantan&#233;e.pdf</applicant-file-name> 8
84 7 <epo-file-name>SPECTRANEPO-2.pdf</epo-file-name>
85 </ep-electronic-files>
86 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
373 </ep-office-specific-data>
374 </ep-request>

```

Figure 86: Documents XML: data and file references in ep-request.xml file

XML application-body.xml

```

1 <?xml version="1.0" encoding="UTF-8"?>
2 <!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
3 <application-body lang="fr" dtd-version="1.6" country="EP">
4 13 <description>
5 <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" ppf="1" ppl="5" pp="5"/>
6 </description>
7 16 <claims>
8 <doc-page id="CLMS1" he="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" ppf="6" ppl="7" pp="2"/>
9 </claims>
10 19 <abstract>
11 <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" ppf="8" ppl="8" pp="1"/>
12 </abstract>
13 22 <drawings>
14 <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="1" ppl="1" pp="1"/>
15 </drawings>
16 </application-body>

```

Figure 87: Documents XML: references to translations into EPO language in application-body.xml file

PDF ep-request.pdf

44-A Formulaires	Détails :	Fichier électronique :
A-1	Requête	comme ep-request.pdf
44-B Documents techniques	Nom du fichier original :	Fichier électronique :
B-1	Documents dans la langue non-officielle autorisée Acqua instantanea.pdf 21 revendicationsdessin(s)	1 SPECNONEPO.pdf
B-2	Dessins / Traduction du texte des dessins Acqua instantanea disegno.pdf dessin(s)	10 DRAWNONEPO.pdf
B-3	Traduction des documents techniques Eau instantanée dessin.pdf Figure(s) à publier avec l'abrégé: ; abrégé: 1	5 SPECTRANEPO-1.pdf 11
B-4	Traduction des documents techniques Eau instantanée.pdf Figure(s) à publier avec l'abrégé: ; abrégé: 1	7 SPECTRANEPO-2.pdf

Figure 88: Documents PDF: technical documents in Italian and French listed in form in French

5.8.5 Sequence listings in computer-readable format

If you file a sequence listing with an application using form EP(1001E2K), the sequence listing file must always be attached in computer-readable format in accordance with WIPO Standard ST.25. If the computer-readable format is not available, you can attach the sequence listing in PDF format and file the computer-readable file later, see **Sequence listings in PDF format** (p. 78). Only one sequence listing file can be attached, i.e. either a computer-readable file or a PDF file.

Computer-readable sequence listings can be attached as the following file types:

- Nucleotide and Amino Acid Sequence Listing (APP or SEQ)
 - document code = SEQLTXT
 - EPO file name for APP files = SEQLTXT.app
 - EPO file name for SEQ files = SEQLTXT.seq
- ASCII Text (TXT)
 - document code = SEQLTXT
 - EPO file name = SEQLTXT.txt
- Archive File Format (ZIP)
 - document code = SEQLZIP
 - EPO file name = SEQLTXT.zip

GUI EP(1001E2K) Documents, Sequence listings sub-tab

The example shows a sequence listing attached in APP format.

- If you attach TXT, SEQ or ZIP files, please refer to the list above for the corresponding document codes and EPO file names.
- For an example of a sequence listing in ZIP format, see **Sequence listings in computer-readable format** (p. 141) in the section about form Euro-PCT(1200E2K).

Figure 89: Documents GUI: computer-readable sequence listing has been attached

Element list

- (1) The description contains a sequence listing as part of the description
- (2) The sequence listing is attached in computer-readable format
- (3) Original file name of sequence listing in APP format
- (4) EPO file name for sequence listing in APP format

XML ep-request.xml

```

75  <check-list>
76  <cl-request/>
77  <cl-description page-count="5" ppf="1" ppl="5"/>
78  <cl-claims page-count="3" ppf="6" ppl="8" number-of-claims="25"/>
79  <cl-abstract page-count="1" ppf="1" ppl="1"/>
80  1 <cl-sequence-listing quantity="0"/>
81  </check-list>
82  <figure-to-publish>
85  <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
86  <ep-office-specific-data office="EP" lang="en">
87  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
99  <ep-declarations>
115 <ep-electronic-files doc-type="1001">
119 <ep-electronic-files doc-type="SPECEPO">
123 <ep-electronic-files doc-type="SPECEPO">
127 2 <ep-electronic-files doc-type="SEQLTXT">
128   ... <applicant-file-name>sequence_instant_water.app</applicant-file-name> 3
129 4 <epo-file-name>SEQLTXT.app</epo-file-name>
130 </ep-electronic-files>
131 <ep-electronic-files doc-type="PRSR">

```

Figure 90: Documents XML: sequence listing referenced in ep-request.xml file

PDF ep-request.pdf

38 Nucleotide and amino acid sequences	
The European patent application contains a sequence listing as part of the description	<input checked="" type="checkbox"/> 1
The sequence listing is attached in computer-readable format in accordance with WIPO Standard ST.25	<input checked="" type="checkbox"/> 2
The sequence listing is attached in PDF format	<input type="checkbox"/>
Further indications	

Figure 91: Documents PDF: the type of sequence listing is indicated

[...]

44-B Technical documents		Original file name:	System file name:
B-1	Specification	Instant Water.pdf Description; 25 claims	SPECEPO-1.pdf
B-2	Specification	Abstract.pdf abstract	SPECEPO-2.pdf
B-3	1 Sequence listings, ASCII 2	3 sequence_instant_water.app	4 SEQLTXT.app

Figure 92: Documents PDF: sequence listing file listed under technical documents

5.8.6 Sequence listings in PDF format

You can file a sequence listing in PDF format with an EP(1001E2K) application if the computer-readable file is not available, but you must submit the computer-readable file subsequently and pay a late furnishing fee (Rule 30(3) EPC).

GUI EP(1001E2K) Documents, Sequence listings sub-tab

The sequence listing has been attached in PDF format.

Specification	Sequence Listings	Additional Documents
1 <input checked="" type="checkbox"/> The European patent application contains a sequence listing as part of the description.		
The sequence listing is attached:		
<input type="checkbox"/> In computer-readable format in accordance with WIPO Standard ST.25		
WIPO ST.25 file:	<input type="button" value="Choose file..."/>	No file selected
3 <input checked="" type="checkbox"/> In PDF format		
PDF file:	<input type="button" value="Detach file"/>	SEQLPDF.pdf 5

Figure 93: Documents GUI: sequence listing has been attached as PDF file

Element list

- (1) The description contains a sequence listing a part of the description
- (2) Number of pages in the sequence listing PDF file
- (3) The sequence listing is attached in PDF format
- (4) Original file name of sequence listing in PDF format
- (5) EPO file name for sequence listing in PDF format

XML ep-request.xml

```

58 <check-list>
59 <cl-request/>
60 <cl-description page-count="8" ppf="1" ppl="8"/>
61 <cl-claims page-count="3" ppf="1" ppl="3" number-of-claims="15"/>
62 <cl-abstract page-count="1" ppf="1" ppl="1"/>
63 <cl-drawings page-count="4" ppf="1" ppl="4" fig-count="4"/>
64 (1) <cl-sequence-listing quantity="0" page-count="4"/> (2)
65 </check-list>
66 <figure-to-publish>
69 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
70 <ep-office-specific-data office="EP" lang="en">
71 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
77 <ep-declarations>
80 <ep-electronic-files doc-type="1001">
84 <ep-electronic-files doc-type="SPECEPO">|
88 <ep-electronic-files doc-type="SPECEPO">
92 <ep-electronic-files doc-type="SPECEPO">
96 <ep-electronic-files doc-type="SPECEPO">
100 (3) <ep-electronic-files doc-type="SEQL"> (4)
101 <applicant-file-name>Sequence listing.pdf</applicant-file-name>
102 (5) <epo-file-name>SEQLPDF.pdf</epo-file-name>
103 </ep-electronic-files>
104 <ep-electronic-files doc-type="F1002">
108 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
355 </ep-office-specific-data>

```

Figure 94: Documents XML: sequence listing PDF file referenced in ep-request.xml file

PDF ep-request.pdf

38 Nucleotide and amino acid sequences	
(1) The European patent application contains a sequence listing as part of the description	<input checked="" type="checkbox"/>
The sequence listing is attached in computer-readable format in accordance with WIPO Standard ST.25	<input type="checkbox"/>
(3) The sequence listing is attached in PDF format	<input checked="" type="checkbox"/>

Figure 95: Documents PDF: the type of sequence listing is indicated

[...]

B-4	Specification	DRAWINGS.pdf 4 figure(s)	SPECEPO-4.pdf
B-5	(3) Sequence listings, PDF	(4) Sequence listing.pdf	(5) SEQLPDF.pdf

Figure 96: Documents PDF: sequence listing PDF file listed under technical documents

5.8.7 Additional documents

GUI EP(1001E2K) Documents, Additional documents sub-tab

Several documents are attached in this example to show the different document types. The technical documents have been attached in four separate PDF files.

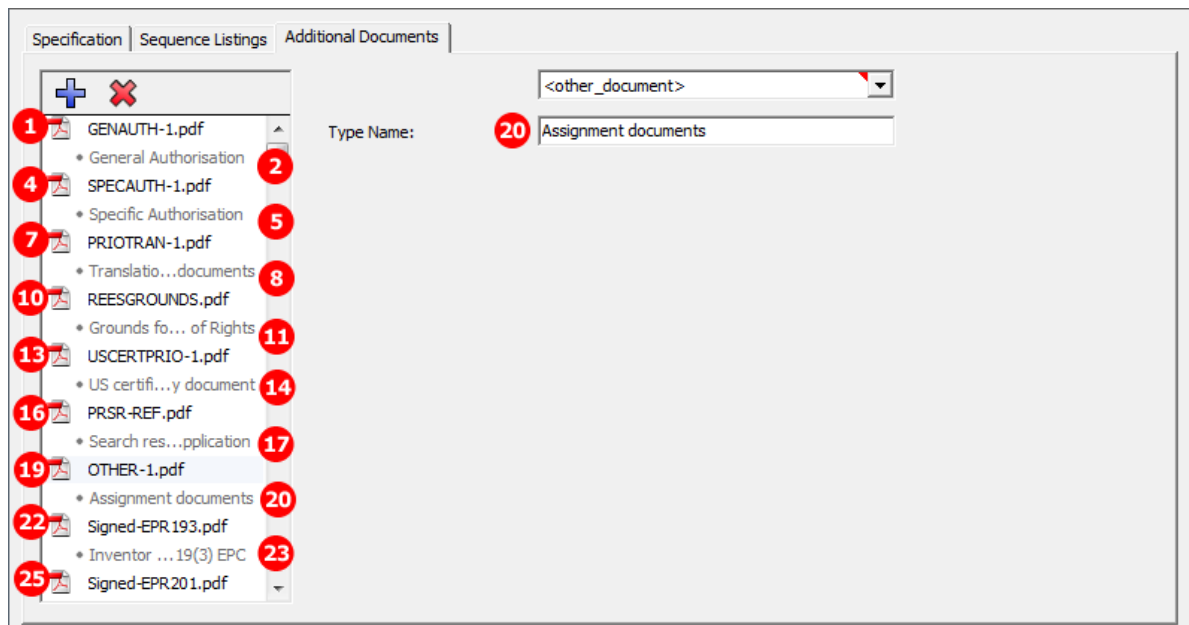


Figure 97: Documents GUI: additional documents attached

Element list

- (1) EPO file name for general authorisation 1
- (2) Document type: general authorisation
- (3) Original file name for general authorisation 1
- (4) EPO file name for specific authorisation 1
- (5) Document type: specific authorisation
- (6) Original file name for specific authorisation 1
- (7) EPO file name for translation of priority documents 1
- (8) Document type: translation of priority documents
- (9) Original file name for translation of priority documents 1
- (10) EPO file name for grounds for re-establishment of rights
- (11) Document type: grounds for re-establishment of rights
- (12) Original file name for grounds for re-establishment of rights
- (13) EPO file name for US certified priority document 1
- (14) Document type: US certified priority document
- (15) Original file name for US certified priority document 1
- (16) EPO file name for search results required under Rule 141(1) EPC for previously filed application 1
- (17) Document type: search results previous application 1
- (18) Original file name for search results previous application 1
- (19) EPO file name for other document 1
- (20) Document type: Assignment documents
- (21) Original file name for other document 1
- (22) EPO file name for Inventor Waiver Rule 19(3) EPC

- (23) Document type: Inventor Waiver Rule 19(3) EPC
- (24) Original file name for Inventor Waiver Rule 19(3) EPC
- (25) EPO file name for Inventor Waiver Rule 20(1) EPC
- (26) Document type: Inventor Waiver Rule 20(1) EPC
- (27) Original file name for Inventor Waiver Rule 20(1) EPC

PDF ep-request.pdf

44-C Other documents	Original file name:	System file name:
C-1 2 1. General authorisation	3 Authorisation Portland.pdf	1 GENAUTH-1.pdf
C-2 5 1. Specific authorisation	6 Authorization Nano.pdf	4 SPECAUTH-1.pdf
C-3 17 1. Translation of priority documents	18 Translation priority.pdf	16 PRIOTRAN-1.pdf
C-4 8 1. US priority document in electronic fo	9 USCERTPRIO_2011-123456.pdf	7 USCERTPRIO-1.pdf
C-4 14 1. Grounds for re-establishment of right	15 Grounds reestablishment.pdf	13 REESGROUNDS.pdf
C-5 11 Assignment documents	12 Assignment documents.pdf	10 OTHER-1.pdf
C-4 20 1. Search results required under Rule 141(1) EPC for previously filed application	Search results.pdf 21	19 PRSR-REF.pdf
C-6 23 1. Inventor waiver - Rule 19(3) EPC	24 Waiver Rule 19(3).pdf	22 Signed-EPR193.pdf
C-7 26 1. Inventor waiver - Rule 20(1) EPC	27 Waiver Rule 20(1).pdf	25 Signed-EPR201.pdf

Figure 98: Document PDF: other documents listed in form with original file names

XML ep-request.xml

```

50 <cl-request/>
51 <cl-abstract page-count="2" ppf="1" ppl="2"/>
52 2 <cl-other-document>General authorisation</cl-other-document>
53 <cl-other-document>Specific Authorisation</cl-other-document> 5
54 8 <cl-other-document>Translation of priority documents</cl-other-document>
55 <cl-other-document>Grounds for Re-establishment of Rights</cl-other-document> 11
56 14 <cl-other-document>US priority document in electronic format</cl-other-document>
57 <cl-other-document>Search results required under Rule 141(1) EPC for previously filed application</cl-other-document> 17
58 20 <cl-other-document>Assignment documents</cl-other-document>
59 <cl-other-document>Inventor waiver - Rule 19(3) EPC</cl-other-document> 23
60 26 <cl-other-document>Inventor waiver - Rule 20(1) EPC</cl-other-document>
61 </check-list>
62 <figure-to-publish>
65 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
66 <ep-office-specific-data office="EP" lang="en">
67 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
73 <ep-declarations>
81 <ep-electronic-files doc-type="1001">
85 <ep-electronic-files doc-type="SPECEPO">
89 <ep-electronic-files doc-type="1004">
90 <applicant-file-name>Authorisation Portland.pdf</applicant-file-name> 3
91 1 <epo-file-name>GENAUTH-1.pdf</epo-file-name>
92 </ep-electronic-files>
93 <ep-electronic-files doc-type="1003">
94 <applicant-file-name>Authorization Nano.pdf</applicant-file-name> 6
95 4 <epo-file-name>SPECAUTH-1.pdf</epo-file-name>
96 </ep-electronic-files>
97 <ep-electronic-files doc-type="PRIOTRAN">
98 <applicant-file-name>Translation priority.pdf</applicant-file-name> 9
99 7 <epo-file-name>PRIOTRAN-1.pdf</epo-file-name>
100 </ep-electronic-files>
101 <ep-electronic-files doc-type="REESGROUNDS">
102 <applicant-file-name>Grounds reestablishment.pdf</applicant-file-name> 12
103 10 <epo-file-name>REESGROUNDS.pdf</epo-file-name>
104 </ep-electronic-files>
105 <ep-electronic-files doc-type="USCERTPRIO">
106 <applicant-file-name>USCERTPRIO_2011-123456.pdf</applicant-file-name> 15
107 13 <epo-file-name>USCERTPRIO-1.pdf</epo-file-name>
108 </ep-electronic-files>
109 <ep-electronic-files doc-type="PRSR-REF">
110 <applicant-file-name>Search results.pdf</applicant-file-name> 18
111 16 <epo-file-name>PRSR-REF.pdf</epo-file-name>
112 </ep-electronic-files>
113 <ep-electronic-files doc-type="OTHERPDF">
114 <applicant-file-name>Assignment documents.pdf</applicant-file-name> 21
115 19 <epo-file-name>OTHER-1.pdf</epo-file-name>
116 </ep-electronic-files>
117 <ep-electronic-files doc-type="INVT193">
118 <applicant-file-name>Waiver Rule 19(3).pdf</applicant-file-name> 24
119 22 <epo-file-name>Signed-EPR193.pdf</epo-file-name>
120 </ep-electronic-files>
121 <ep-electronic-files doc-type="INVT201">
122 <applicant-file-name>Waiver Rule 20(1).pdf</applicant-file-name> 27
123 25 <epo-file-name>Signed-EPR201.pdf</epo-file-name>
124 </ep-electronic-files>
125 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
412 </ep-office-specific-data>
413 </ep-request>

```

Figure 99: Documents XML: data for additional documents in ep-request.xml file

5.9 EP(1001E2K) Fee Payment

The **Fee Payment** screen in Form EP(1001E2K) allows applicants to enter payment details for fees charged by the EPO. The fee selection is set automatically by the software; users can also select additional fees manually.

① You can retrieve the most recent fee schedule in the Online Filing File Manager under **Tools > Fee Management** or from the EPO **interactive schedule of fees** (<http://www.epoline.org/portal/portal/default/epoline.Scheduleoffees>).

5.9.1 Payment details

GUI EP(1001E2K) Fee payment, Payment details sub-tab

There are different options for the mode of payment. If **automatic debit order** is selected, the **Fee selection** sub-tab does not display any fees. Likewise, the PDF form does not contain any fee lists, but the fees will be included in the XML data.

The example below demonstrates the data for payment by debit from deposit account. For an XML example using bank transfer as the mode of payment, see **Payment details** (p. 148) in the Euro-PCT(1200E2K) section.

Figure 100: Fee Payment GUI: payment details

Element list

- (1) Mode of payment
- (2) Currency: default is EUR
- (3) EPO account number
- (4) Account holder's name
- (5) Deferred execution date (optional)
- (6) Reimbursement option: `<reimbursement>` element is only required if a different account number than (3) should be used
- (7) EPO account number for reimbursement
- (8) Account holder's name for reimbursement
- (9) Refund of search fee (Art. 9 RFees) is requested on the basis of the earlier search report
- (10) Document number of earlier search report
- (11) Additional copies of documents cited in European search report are requested
- (12) Number of copies

XML ep-request.xml

The `accno` attribute in the `<mode-of-payment>` element can be used for both the client's account number (payment by debit from deposit account or automatic debit order is indicated) and the IBAN code of the EPO's bank account number (payment by bank transfer is indicated).

If the import file should not specify a deferred execution date, the `deferred-execution-date` attribute in the `<mode-of-payment>` element can either be set to an empty value or be omitted. The OLF client sets the value to **18991230** if no date has been entered in the GUI.

```

55 | <ep-office-specific-data office="EP" lang="en">
56 |   <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
63 |     <ep-request-for-exam-art94 lang="it"/>
64 |   <ep-declarations>
65 |     <declaration-no-intention-to-file-further-priority/>
66 |     <declaration-of-entity-or-natural-person-under-rule-6-3/>
67 |   </ep-declarations>
68 |   <ep-electronic-files doc-type="1001">
72 |   <ep-electronic-files doc-type="SPECNONEPO">
76 |   <ep-electronic-files doc-type="SPECTRANEPO">
80 |   <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
81 |     <mode-of-payment accno="28123456" mode-type="deposit" currency="EUR" deferred-execution-date="20140505"
      | 4 >Salvatore Manzoni</mode-of-payment>
82 |     <reimbursement accno="28102030" >Luigi Manzoni</reimbursement>
83 |     <sr-refund>SR-EP1120304</sr-refund>
84 |     <addcopies>3</addcopies>
85 |     <fees date="20140401">
398 |   </ep-financial-data>

```

Figure 101: Fee Payment XML: payment details in ep-request.xml file

PDF ep-request.pdf

Further indications

39 Additional copies of the documents cited in the European search report are requested

Number of additional sets of copies: **12**

40 Refund of the search fee under to Article 9 of the Rules relating to Fees is requested **9**

Application or publication number of earlier search report: **10**

42 **Payment**

Mode of payment **1**

The European Patent Office is hereby authorised, to debit from the deposit account with the EPO any fees and costs indicated on the fees section below.

Currency: **2**

Deposit account number: **3**

Account holder: **4**

Deferred execution date / total amount to be debited on: (or on the date of receipt if the submission date is after the deferred execution date you have indicated) **5**

Important information:

- This functionality allows you to indicate explicitly that your payment order is to be executed at a later date than the submission date. In this case, the payment date will be deemed to be the deferred execution date, provided that you have sufficient funds on your deposit account on that date.
- Please choose the deferred execution date option only if the fees are to be debited on a future date, as otherwise the default execution date is date of receipt.
- The deferred execution date can be a maximum of 40 days in the future.

43 **Refunds** **6**

Any refunds should be made to EPO deposit account: **7**

Account holder: **8**

Figure 102: Fee Payment PDF: payment details in form

5.9.2 Fee selection – Example 1: Standard fee amounts

GUI EP(1001E2K) Fee payment, Fee selection sub-tab

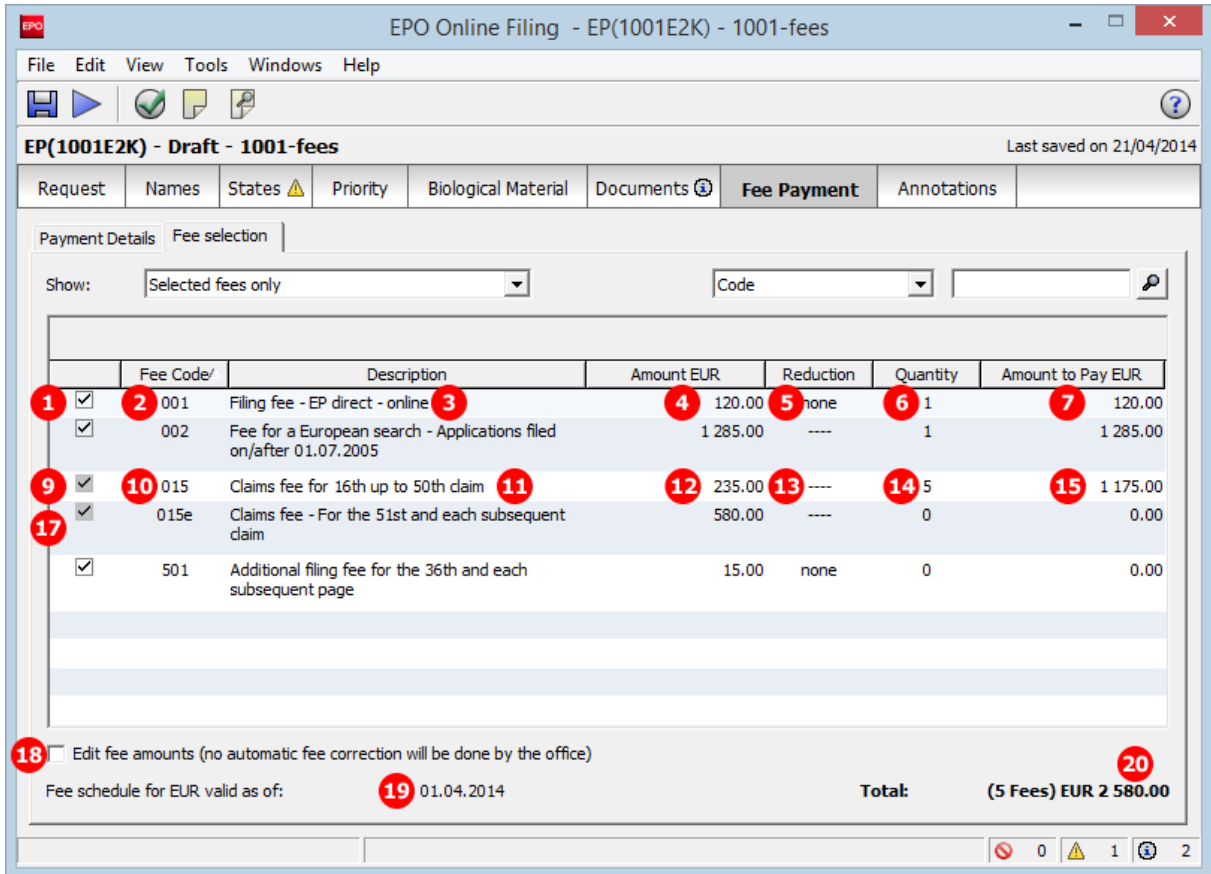


Figure 103: Fee Payment GUI: selected fees only displayed

Element list

- (1) Fee selected
- (2) Fee code, indicated by the `index` attribute
- (3) Fee description (not stored in XML file)
- (4) Fee schedule = one single fee
- (5) Fee reduction factor (only indicated in GUI)
- (6) Fee quantity (only indicated in GUI)
- (7) Fee amount to pay = fee schedule * fee factor
- (8) Fee factor = quantity (i.e., number of fees as indicated in GUI) * fee reduction factor
- (9) Fee 015 selected and locked by default
- (10) Fee code, indicated by the `index` attribute
- (11) Fee description (not stored in XML file)
- (12) Fee schedule = one single fee
- (13) Fee reduction factor (only indicated in GUI)
- (14) Fee quantity for claims = `number-of-claims-fee-calculation - 15` (first 15 claims are free of charge)
- (15) Fee amount to pay = fee schedule * fee factor
- (16) Fee factor = quantity * fee reduction factor
- (17) Fee 015e selected and locked by default
- (18) Fees are not unlocked for editing by user; see **Unlocking fee amounts or automatic correction by the EPO** (p. 95)
- (19) Date of fee schedule validity
- (20) Total sum of fees in EUR
- (21) Number of claims (as indicated in the **Documents** tab)
- (22) Number of claims you intend to pay for (including first 15 claims) (as indicated in the **Documents** tab)

! *Note: The `<fee-schedule>` element is used for the (calculated) fee amount and the `<fee-sub-amount>` element contains the fee schedule (for one single fee). Use the `<fee-reduction-factor>` element to indicate a fee reduction on a fixed or percentage basis. The default value is -1. Use the `<fee-reduction-amount>` element to indicate a fee reduction on an amount basis.*

XML ep-request.xml

All the fees applicable to this procedure are listed in full by default in the XML file. The attribute `topay` in the `<fee>` element takes the value `yes` if this specific fee has been selected.

Please note:

- The number of claims can be found in the `number-of-claims` attribute (21) in the `<cl-claims>` element.
- The number of claims you intend to pay for (including first 15 claims) is reflected in the `number-claims-fee-calculation` attribute (22) in the same `<cl-claims>` element.
This value is used for the fee calculation. Please set the value to **0** (zero) if you do not intend to pay for any claims with this application.

```

13  <parties>
43  <check-list>
44    <cl-request/>
45    <cl-description page-count="5" ppf="1" ppl="5"/>
46    <cl-claims page-count="2" ppf="6" ppl="7" number-of-claims="20" number-claims-fee-calculation="20"/>
47    <cl-abstract page-count="1" ppf="8" ppl="8"/>
48  </check-list>
49  <figure-to-publish>
52  <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
53  <ep-office-specific-data office="EP" lang="en">
54  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
61  <ep-declarations>
64  <ep-electronic-files doc-type="1001">
68  <ep-electronic-files doc-type="SPECEPO">
72  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
73    <mode-of-payment accno="28123456" mode-type="deposit" currency="EUR" deferred-execution-date="
18991230">Salvatore Manzoni</mode-of-payment>
74  <fees date="20140401">
75    <standard-fee>
76      <fee index="1" topay="yes">
77        <type-of-fee>standard</type-of-fee>
78        <fee-factor>1</fee-factor>
79        <fee-schedule>120</fee-schedule>
80        <fee-sub-amount>120</fee-sub-amount>
81        <fee-reduction-factor>0</fee-reduction-factor>
82      </fee>
83    <fee index="2" topay="yes">
118    <fee index="15" topay="yes">
119      <type-of-fee>standard</type-of-fee>
120      <fee-factor>5</fee-factor>
121      <fee-schedule>1175</fee-schedule>
122      <fee-sub-amount>235</fee-sub-amount>
123      <fee-reduction-factor>-1</fee-reduction-factor>
124    </fee>
125    <fee index="15e" topay="yes">
126      <type-of-fee>standard</type-of-fee>
127      <fee-factor>0</fee-factor>
128      <fee-schedule>0</fee-schedule>
129      <fee-sub-amount>580</fee-sub-amount>
130      <fee-reduction-factor>-1</fee-reduction-factor>
131    </fee>
342    <fee index="410" topay="no">
349    <fee index="501" topay="yes">
350      <type-of-fee>standard</type-of-fee>
351      <fee-factor>0</fee-factor>
352      <fee-schedule>0</fee-schedule>
353      <fee-sub-amount>15</fee-sub-amount>
354      <fee-reduction-factor>0</fee-reduction-factor>
355    </fee>
356    <fee index="552" topay="no">
363    <fee index="553" topay="no">
370    <fee index="554" topay="no">
377    <fee index="555" topay="no">
384  </standard-fee>
385  <fee-total-amount>2580</fee-total-amount>
386  </fees>
387  </ep-financial-data>
388  </ep-office-specific-data>
389  </ep-request>

```

Figure 104: Fee Payment XML: fees list

PDF ep-request.pdf

Fees	Factor applied	Fee schedule	Amount to be paid
2 001 Filing fee - EP direct - online 3	8 1	120.00	4 120.00 7
002 Fee for a European search - Applications filed on/after 01.07.2005	1	1 285.00	1 285.00
10 015 Claims fee - For the 16th to the 50th claim 11	16 5	235.00	12 1 175.00 15
17 015e Claims fee - For the 51st and each subsequent claim	0	580.00	0.00
501 Additional filing fee for the 36th and each subsequent page	0	15.00	0.00
Total:		EUR	2 580.00 20

Figure 105: Fee Payment PDF: selected fees are listed in form

5.9.3 Fee selection – Example 2: Reduced fee amounts (declaration under Rule 6(4))

GUI EP(1001E2K) Fee payment, Fee selection sub-tab

This example demonstrates how to apply a 30% fee reduction in the filing fees where the applicant(s) make a declaration under Rule 6(4) EPC. For more details on the conditions to be fulfilled, see **Request - Example 2: request in other languages** (p. 23).

In addition, the selection of fees for a divisional application is shown; see also **Divisional application** (p. 26).

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
6	<input checked="" type="checkbox"/>	001 Filing fee - EP direct - online	7 120.00	30% 8	1	9 84.00
11	<input checked="" type="checkbox"/>	002 Fee for a European search - Applications filed on/after 01.07.2005	1 285.00	----	1	1 285.00
	<input checked="" type="checkbox"/>	015 Claims fee for 16th up to 50th claim	235.00	----	0	0.00
	<input checked="" type="checkbox"/>	015e Claims fee - For the 51st and each subsequent claim	580.00	----	0	0.00
12	<input checked="" type="checkbox"/>	033 Renewal fee for the 3rd year	465.00	----	1	465.00
13	<input checked="" type="checkbox"/>	501 Additional filing fee for the 36th and each subsequent page	15.00	30%	0	0.00
14	<input checked="" type="checkbox"/>	554 Additional fee for divisional 4th generation	15 630.00	30% 16	1	17 441.00
			Total:		(7 Fees) EUR 2 275.00 19	

Fee schedule for EUR valid as of: 01.04.2014

Figure 106: Fee Payment GUI: selected fees only displayed, including reduced fees

Element list

At least one of the conditions for making a declaration under Rule 6(4) must be fulfilled; i.e. (1) or (2).

- (1) Language of filing is an admissible language of an EPC contracting state
- (2) Request for examination in an admissible non-official EPO language
- (3) Declaration under Rule 6(4)
- (4) Application is a divisional EP application
- (5) Generation of the divisional application
- (6) Fee 001 selected, reduction applied
- (7) Fee reduction factor (indicated in GUI)
- (8) Fee schedule = one single fee
- (9) Fee amount to pay = fee schedule * fee factor
- (10) Fee factor = 1 - fee reduction factor (indicated in PDF)
- (11) Fee 002 selected
- (12) Fee 033 selected
- (13) Fee 501 selected, reduction applied, quantity = 0
- (14) Fee 554 selected, reduction applied
- (15) Fee reduction factor (indicated in GUI)
- (16) Fee schedule = one single fee
- (17) Fee amount to pay = fee schedule * fee factor
- (18) Fee factor = 1 - fee reduction factor (indicated in PDF)
- (19) Total sum of fees in EUR

! **Note:** The *<fee-schedule>* element is used for the (calculated) fee amount and the *<fee-sub-amount>* element contains the fee schedule (for one single fee).
Use the *<fee-reduction-factor>* element to indicate a fee reduction on a fixed or percentage basis. The default value is -1.
Use the *<fee-reduction-amount>* element to indicate a fee reduction on an amount basis.

XML ep-request.xml

```

53 1 <ep-language-of-filing lang-code="non-epo">it</ep-language-of-filing>
54 <ep-language-of-filing lang-code="translation">en</ep-language-of-filing>
55 <ep-office-specific-data office="EP" lang="en">
56 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
63 4 <ep-divisional-appl>
64 <parent-doc>
71 <ep-first-communication-raising-lack-of-unity>
74 5 <ep-divisional-generation generation="4"/>
75 </ep-divisional-appl>
76 2 <ep-request-for-exam-art94 lang="it"/>
77 <ep-declarations>
78 <declaration-no-intention-to-file-further-priority/>
79 3 <declaration-of-entity-or-natural-person-under-rule-6-3/>
80 </ep-declarations>
81 <ep-electronic-files doc-type="1001">
85 <ep-electronic-files doc-type="SPECNONEPO">
89 <ep-electronic-files doc-type="SPECTRANEPO">
93 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
94 <mode-of-payment accno="DE20 7008 0000 0333 880000" mode-type="bank" currency="EUR">DE</
mode-of-payment>
95 <fees date="20140401">
96 <standard-fee>
97 6 <fee index="1" topay="yes">
98 <type-of-fee>standard</type-of-fee>
99 <fee-factor>0.7</fee-factor> 10
100 9 <fee-schedule>84</fee-schedule>
101 <fee-sub-amount>120</fee-sub-amount> 7
102 8 <fee-reduction-factor>0.3</fee-reduction-factor>
103 </fee>
104 11 <fee index="2" topay="yes">
167 12 <fee index="33" topay="yes">
168 <type-of-fee>standard</type-of-fee>
169 <fee-factor>1</fee-factor>
170 <fee-schedule>465</fee-schedule>
171 <fee-sub-amount>465</fee-sub-amount>
172 <fee-reduction-factor>-1</fee-reduction-factor>
173 </fee>
370 13 <fee index="501" topay="yes">
371 <type-of-fee>standard</type-of-fee>
372 <fee-factor>0</fee-factor>
373 <fee-schedule>0</fee-schedule>
374 <fee-sub-amount>15</fee-sub-amount>
375 <fee-reduction-factor>0.3</fee-reduction-factor>
376 </fee>
377 <fee index="552" topay="no">
384 <fee index="553" topay="no">
391 14 <fee index="554" topay="yes">
392 <type-of-fee>standard</type-of-fee>
393 <fee-factor>0.7</fee-factor> 18
394 17 <fee-schedule>441</fee-schedule>
395 <fee-sub-amount>630</fee-sub-amount> 15
396 16 <fee-reduction-factor>0.3</fee-reduction-factor>
397 </fee>
398 <fee index="555" topay="no">
405 </standard-fee>
406 19 <fee-total-amount>2275</fee-total-amount>
407 </fees>
408 </ep-financial-data>
409 </ep-office-specific-data>

```

Figure 107: Fee Payment XML: fees list, including reduced fees

PDF ep-request.pdf

14.1 The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC. 3

Figure 108: Names XML: Declaration under Rule 6(4) is checked

[...]

Fees	Factor applied	Fee schedule	Amount to be paid
6 001 Filing fee - EP direct - online 10	0.7	7 120.00	84.00 9
11 002 Fee for a European search - Applications filed on/after 01.07.2005	1	1 285.00	1 285.00
015 Claims fee - For the 16th to the 50th claim	0	235.00	0.00
015e Claims fee - For the 51st and each subsequent claim	0	580.00	0.00
12 033 Renewal fee for the 3rd year	1	465.00	465.00
13 501 Additional filing fee for the 36th and each subsequent page	0	15.00	0.00
14 554 Additional fee for divisional 4th generation 18	0.7	15 630.00	441.00 17
Total:		EUR	2 275.00 19

Figure 109: Fee Payment PDF: selected fees are listed in form, including reduced fees

5.9.4 Importing the correct fee amounts depending on the date of filing

If importing XML files, the most recent fee schedule is automatically applied to the XML code by the Online Filing system. Thus, it is not necessary to add all <fee> elements with the correct values in the <fee-sub-amount> and <fee-schedule> elements in the XML file. Only the fees to be paid must be included in the XML file with the respective index attribute and the attribute value topay="yes". The <fee-total-amount> element will be automatically added by Online Filing during import, also calculating the correct value.

! *Note: If you import an XML file on or after 01/04/2014, the previous reduction rates for the filing fees (20%) become invalid. To have the automatic correction apply the 30% reduction rate, the <declaration-of-entity-or-natural-person-under-rule-6-3/> element must be present.*

Minimum data requirements for automatic fee correction

In the example below, only the fees 001, 002, and 055 are paid. The quantity of fee 055 to be paid equals to 3. In the XML file to be imported, there are three <fee> elements without <type-of-fee/>, <fee-schedule/>, <fee-sub-amount/> and <fee-reduction-factor> child elements. Only the <fee-factor> elements are defined and filled with the appropriate values.

The date attribute in the <fees> element is left empty, since it is going to be ignored and replaced during import. The unlocked-by-user attribute is not indicated either.

- (1) Fees to be paid
- (2) Fee 001 selected for payment
- (3) Fee factor (quantity) for fee 001
- (4) Fee 002 selected for payment

- (5) Fee factor (quantity) for fee 002
- (6) Fee 055 selected for payment
- (7) Fee factor (quantity) for fee 055
- (8) Fee total amount

```

190 <fees date="">
191 <standard-fee>
192 <fee index="1" topay="yes">
193 <fee-factor>1</fee-factor>
194 </fee>
195 <fee index="2" topay="yes">
196 <fee-factor>1</fee-factor>
197 </fee>
198 <fee index="55" topay="yes">
199 <fee-factor>3</fee-factor>
200 </fee>
201 </standard-fee>
202 </fees>
203 </ep-financial-data>
204 </ep-office-specific-data>
205 </ep-request>

```

Figure 110: XML file prepared for import: only fees to be paid are listed

After importing, the XML file is completed with all fee codes and fee amounts. The data has been retrieved from the most recent fee schedule in the Online Filing database. Likewise, the date of the fee schedule replaces the `date` attribute of the `<fees>` element. The `<fee-total-amount>` value is calculated automatically.

```

74 <fees date="20140401">
75 <standard-fee>
76 <fee index="1" topay="yes">
77 <type-of-fee>standard</type-of-fee>
78 <fee-factor>1</fee-factor>
79 <fee-schedule>120</fee-schedule>
80 <fee-sub-amount>120</fee-sub-amount>
81 <fee-reduction-factor>0</fee-reduction-factor>
82 </fee>
83 <fee index="2" topay="yes">
84 <type-of-fee>standard</type-of-fee>
85 <fee-factor>1</fee-factor>
86 <fee-schedule>1285</fee-schedule>
87 <fee-sub-amount>1285</fee-sub-amount>
88 <fee-reduction-factor>-1</fee-reduction-factor>
89 </fee>
90 <fee index="5" topay="no">
265 <fee index="50" topay="no">
272 <fee index="55" topay="yes">
273 <type-of-fee>standard</type-of-fee>
274 <fee-factor>3</fee-factor>
275 <fee-schedule>120</fee-schedule>
276 <fee-sub-amount>40</fee-sub-amount>
277 <fee-reduction-factor>-1</fee-reduction-factor>
278 </fee>
279 <fee index="401" topay="no">
377 <fee index="555" topay="no">
384 </standard-fee>
385 <fee-total-amount>1525</fee-total-amount>
386 </fees>
387 </ep-financial-data>
388 </ep-office-specific-data>
389 </ep-request>

```

Figure 111: XML code after importing: the fee information and all fee codes are completed

5.9.5 Unlocking fee amounts or automatic correction by the EPO

If a user wants to edit fee amounts manually, he or she ticks the check box labelled **Edit fee amounts** in the **Fee selection** sub-tab. Thus, the preset fee amounts are unlocked and can be edited in the Online Filing software.

The value is stored in the optional attribute `fee-amounts-unlocked-by-user` in the `<fees>` element.

- The value "no" indicates that the fee amounts are not unlocked and may therefore be subject to automatic correction by the EPO.
- The value "yes" indicates that the user has intentionally unlocked the fee amounts and the EPO will not correct any values in this case.

When importing an XML file, the `fee-amounts-unlocked-by-user` attribute triggers the following behaviour in Online Filing:

- "no" or not existing:
 - Fees that are defined in the import file are imported with their respective `topay` attribute and `<fee-factor>` value, replacing or adding the `<type-of-fee>`, `<fee-schedule>` and `<fee-sub-amount>` elements with their default values from the most recent fee table.
 - Fees that are not defined in the import file are added with the default values and the `topay` attribute is set to "no".
- "yes":
 - Fees that are defined in the import file are imported with their respective `topay` attribute and `<fee-factor>`, `<type-of-fee>`, `<fee-schedule>` and `<fee-sub-amount>` values without any modification.
 - Fees that are not defined in the import file are added with the default values and the `topay` attribute is set to "no".

5.10 EP(1001E2K) Annotations

The **Annotations** screen in EP(1001E2K) can be used to send additional information to the EPO. The number of annotations is unlimited.

GUI EP(1001E2K) Annotations

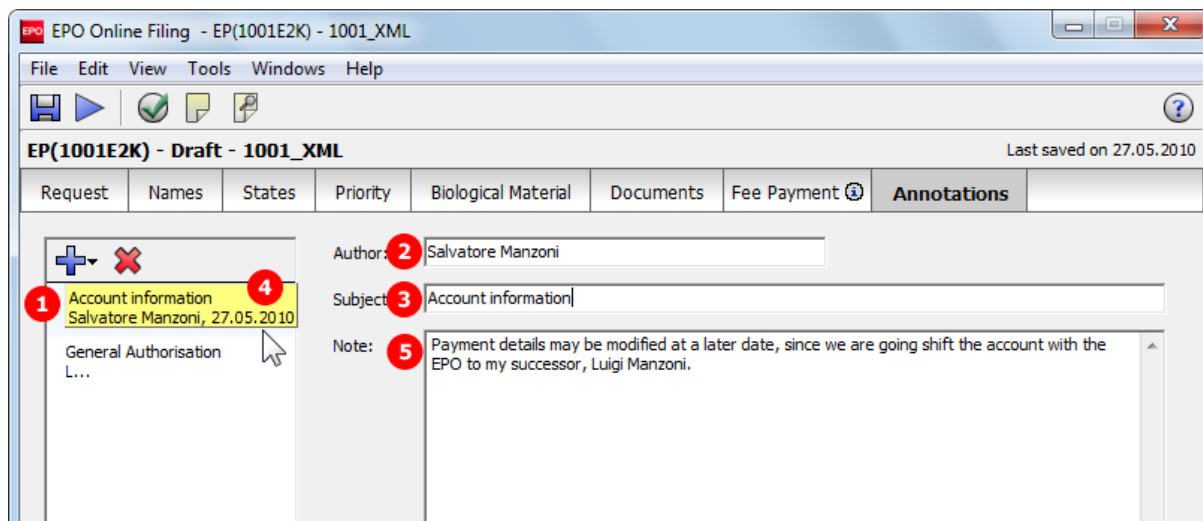


Figure 112: Annotations GUI: note to EPO entered

Element list

- (1) Note number 1
- (2) Author
- (3) Subject
- (4) Date (does not show in PDF)
- (5) Text

XML ep-request.xml

```

155 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
400 1 <ep-notes-to-EPO page="Annotate" id="note1">
401 <author>Salvatore Manzoni</author> 2
402 3 <subject>Account information</subject>
403 <date>270020</date> 4
404 5 <dtext>Payment details may be modified at a later date, since we are going shift the account with the EPO to
my successor, Luigi Manzoni.</dtext>
405 </ep-notes-to-EPO>
406 <ep-notes-to-EPO page="Annotate" id="note2">
407 <author>Luigi Manzoni</author>
408 <subject>General Authorisation</subject>
409 <date>270020</date>
410 <dtext>My father, Salvatore Manzoni, is going to issue a general authorisation for me in order to represent him in
all respects. The document will be filed later.</dtext>
411 </ep-notes-to-EPO>
412 </ep-office-specific-data>
413 </ep-request>

```

Figure 113: Annotations XML: note to EPO

PDF ep-request.pdf

44-C Other documents	Original file name:	System file name:
Annotations		Title (Author):
1 Note (for EPO)		Account information (Salvatore Manzoni)
<div style="border: 1px solid black; padding: 5px;"> <p>5 Payment details may be modified at a later date, since we are going shift the account with the EPO to my successor, Luigi Manzoni.</p> </div>		
2 Note (for EPO)		General Authorisation (Luigi Manzoni)
<div style="border: 1px solid black; padding: 5px;"> <p>My father, Salvatore Manzoni, is going to issue a general authorisation for me in order to represent him in all respects. The document will be filed later.</p> </div>		

Figure 114: Annotations PDF: note to EPO in form

6 Form Euro-PCT(1200E2K) - Entry into the European phase (EPC 2000)

6.1 Structure of XML files for Euro-PCT(1200E2K)

The following four XML files are required for a Euro-PCT(1200E2K) application to be imported:

File name	DTD	Description
pkgheader.xml	pkgheader.dtd	Indicates selected procedure and other data for transmission to receiving office.
package-data.xml	package-data.dtd	References attached documents, except those already referenced in application-body.xml file.
application-body.xml	application-body-v1-6.dtd	References attached documents as part of patent specification (amendments or translations of technical documents).
ep-euro-pct.xml	ep-euro-pct-v1-09.dtd	Application data as entered in Form Euro-PCT(1200E2K), references other attached documents.

Unlike in EP(1001E2K), the technical documents (patent specification) cannot be attached in XML format. This is why the **application-body.xml** file is only used for referencing attached files and does not contain any additional text.

The XML structure of the **pkgheader.xml**, **package-data.xml** and **application-body.xml** files is the same as for EP(1001E2K) applications - see **General information on the package - pkgheader.xml** (p. 13) and **References from XML files to other files** (p. 14).

More information on the XML structure of the **ep-euro-pct.xml** file can be found in the following sections.

6.2 Document codes and file types for Euro-PCT(1200E2K)

For the successful import of XML data into Online Filing, the values for the <document-name> element, the doc-type attribute and the file attribute, must follow the standard values for the **document code** as listed in the table below.

Document code	EPO file name *)	Description
Request		
APPBODYXML	application-body.xml	Application body, see Structure of XML files for Euro-PCT(1200E2K) (p. 97)
EP1200XML	ep-euro-pct.xml	Application data, see Structure of XML files for Euro-PCT(1200E2K) (p. 97)
Amendments		
AMSPECEPO	AMSPECEPO-1.pdf	Amended specification (contains at least description and abstract)
CLMS-HWA	CLMS-HWA-1	Amended claims with annotations
DESC-HWA	DESC-HWA	Amended description with annotations
DRAW-HWA	DRAW-HWA-1	Amended drawings with annotations

Translations		
SPECTRANEPO	SPECTRANEPO-1.pdf	Translation of international application (contains at least description and abstract)
AMCLMSTRAN	AMCLMSTRAN.pdf	Translation of amended claims (only applicable when EPO as designated office is selected)
IPERTRAN	IPERTRAN.pdf	Translation of the annex(es) to the international preliminary examination report
PRIOTRANAPP	PRIOTRANAPP-1.pdf	Translation of the priority application(s)
Optional additional files for technical documents		
OLF-ARCHIVE	OLF-ARCHIVE.zip	Pre-conversion archive (contains original technical documents in any language, before conversion to PDF, e.g. in DOC format)
Documents concerning biological material, sequence listings		
SEQL	SEQLPDF.pdf	Sequence listing in PDF format
SEQLTX	SEQLTX.app	Sequence listing in APP format (in accordance with WIPO Standard ST.25)
SEQLTX	SEQLTX.seq	Sequence listing in SEQ format (in accordance with WIPO Standard ST.25)
SEQLTX	SEQLTX.txt	Sequence listing in TXT format (ASCII text, in accordance with WIPO Standard ST.25)
SEQLZIP	SEQLTX.zip	Sequence listing in ZIP format (in accordance with WIPO Standard ST.25)
BIOMRECEIPT	BIOM-RECEIPT-1.pdf	Receipt(s) of deposit issued by depositary institution
BIOMWAIV	BIOM-WAIV-1.pdf	Waiver of right to an undertaking from requestor pursuant to Rule 33(2)
Additional documents		
1003	SPECAUTH-1.pdf	Specific authorisation
1004	GENAUTH-1.pdf	General authorisation
REPWOIPER	REPLYWO-1.pdf	Reply to written opinion on IPER (EPO as elected office is selected)
REPWOISA	REPLYWO-1.pdf	Reply to written opinion on ISA (EPO as designated office is selected)
USCERTPRIO	USCERTPRIO-1.pdf	US certified priority document (must be digitally signed)
OTHERPDF	OTHER-1.pdf	Other document in PDF format
PRSR	PRSR-1	Search results required under Rule 141(1)
Internal documents generated by Online Filing (not to be imported)		
1200P	epf1200.pdf	Application in PDF format

*) If there is more than one file of this type of document, the character **1** in the file names must be replaced by **2, 3** etc.

6.3 Euro-PCT(1200E2K) EP Phase

6.3.1 EP Phase - Example 1: EPO as designated office

Form Euro-PCT(1200E2K) starts with the **EP Phase** screen, where the roles for the EPO are selected and the data referring to the previous application is entered.

GUI EP(1200E2K) EP Phase

Figure 115: EP Phase GUI: EPO as designated office

Element list

- (1) User reference
- (2) EPO as designated office
- (3) Examination under Art. 94 EPC requested
- (4) Language of the international publication
This data is represented by the `lang-code` attribute of the `ep-language-of-filing` element, whereas the contents of `ep-language-of-filing` is used for the procedural language.
- (5) PCT application number
- (6) PCT publication number
- (7) EP application number
- (8) International filing date (refers to PCT application number)
- (9) International Searching Authority (ISA)
- (10) IPEA is EPO is inferred; can only be modified if **EPO as elected office** is selected
- (11) Waiver, Rules 161(1) or (2) and 162 EPC

XML ep-euro-pct.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <DOCTYPE ep-euro-pct SYSTEM "ep-euro-pct-v1-06.dtd">
3  <ep-euro-pct lang="en" dtd-version="1.0" ro="EP" produced-by="applicant" date-produced="20111123 11:15:39"
   regional-phase-office="designated" amendments-enclosed="no">
4    <!--software_name eOLF-->
5    <!--software_version FMMNGR5072, EP122K5072, FM_FOP0205-->
6    <!--stylesheet_version 3-->
7    <!--fop_version Version 0.20.5-->
8    <file-reference-id>1200_designated</file-reference-id>
9    <request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby requested.</request-petition>
10   <parties>
11   <priority-claims>
12     <ep-priority-claim sequence="1" kind="international">
13       <country>IB</country>
14       <doc-number>PCT/US2011/123456</doc-number>
15       <date>20110705</date>
16     </ep-priority-claim>
17     <ep-priority-claim sequence="2" kind="regional">
18       <country>EP</country>
19       <doc-number>EP11080400.2</doc-number>
20       <date></date>
21     </ep-priority-claim>
22     <ep-priority-claim sequence="3" kind="international">
23       <country>IB</country>
24       <doc-number>WO2011123456</doc-number>
25       <date></date>
26     </ep-priority-claim>
27   </priority-claims>
28   <search-authority>
29     <isa>
30       <country>EP</country>
31     </isa>
32   </search-authority>
33   <check-list total-page-count="1">
34     <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
35     <ep-office-specific-data office="EP" lang="en">
36       <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
37         <ep-declarations>
38           <waiver-for-communication/>
39         </ep-declarations>
40       <translation-info>
41         <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
42           <fees date="20100401">
43             <standard-fee>
44             <fee-calc-info>
45             <search-region region="EP"/>
46             <IPEA ipea="EP"/>
47           </fee-calc-info>
48           <fee-total-amount>2695</fee-total-amount>
49         </ep-financial-data>
50       </translation-info>
51     </ep-office-specific-data>
52   </check-list>
53 </ep-euro-pct>

```

Figure 116: EP Phase XML: general data and priority claims

PDF epf1200.pdf


 <div style="display: inline-block; vertical-align: middle; font-size: 8px;"> Europäisches Patentamt European Patent Office Office européen des brevets </div>		<h3>Entry into the European phase (EPO as designated or elected Office)</h3> <p>To the European Patent Office</p>
European application number	7	EP13400500.8
PCT application number		PCT/US2013/123456 5
PCT publication number	6	WO2013123456
Applicant's or representative's reference		1200-designated 1
International Filing Date	8	10.10.2013
International Searching Authority (ISA)		EP 9
International Preliminary Examining Authority (IPEA)	10	not applicable
1. Applicant		

Figure 117: EP Phase PDF: general data and priorities

[...]

<p>4. Request for examination</p> <p>Examination of the application under Art. 94 EPC is hereby requested. The examination fee is being (has been, will be) paid.</p> <p>Request for examination in an admissible non-EPO language:</p> <p>The applicant waives his right to be asked under Rule 70(2) EPC whether he wishes to proceed further with the application.</p> <p>The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.</p>	<input checked="" type="checkbox"/> 3 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
--	--

Figure 118: EP Phase PDF: request for examination

[...]

<p>6.2 Proceedings before the EPO as elected Office (PCT II) are to be based on the following documents:</p> <p>the documents on which the international preliminary examination report is based, including any annexes unless replaced by the amendments attached.</p> <p><i>Where necessary, clarifications should be attached as 'Other documents'</i></p> <p>If the EPO as International Preliminary Examining Authority has been supplied with test reports, these may be used as the basis of proceedings before the EPO.</p> <p>6.3 A copy of the results of the search carried out by the authority with which the previous application(s) whose priority is claimed was (were) filed is attached (R. 141(1) EPC).</p> <p>6.4 The applicant waives his right to the communication under Rules 161(1) or (2) and 162 EPC.</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> 11
--	---

Figure 119: EP Phase PDF: waiver for communication Rule 161/162 EPC

6.3.2 EP Phase - Example 2: Request for examination in admissible non-EPO language

GUI EP(1200E2K) EP Phase

The example below demonstrates an application where the EPO is the elected office and acts as IPEA. Spanish has been selected as the language for the request for examination, which enables the option to make the declaration under Rule 6(4) EPC. Please refer to the Online Filing User Guide Version 5.07 for more details on the effect of the language settings.

Figure 120: EP Phase GUI: request for examination in Spanish

Element list

- (1) User reference
- (2) EPO as elected office
- (3) Request for examination
- (4) Request for examination in admissible non-EPO language
- (5) Selected examination language (Spanish)
- (6) Declaration under Rule 6(4) EPC
- (7) Waiver under Rule 70(2) EPC
- (8) Language of the international publication
Note: this data is represented by the lang-code attribute of the ep-language-of-filing element, whereas the contents of ep-language-of-filing is used for the procedural language.
- (9) International Searching Authority (ISA)
- (10) International Preliminary Examining Authority (IPEA)

XML ep-euro-pct.xml

The `<declaration-of-entity-or-natural-person-under-rule-6-3/>` element requires that the `<ep-request-for-exam-art94/>` is present and the value of its `lang` attribute is the two-letter code of one of the admissible non-official EPO languages.

The `<declaration-of-entity-or-natural-person-under-rule-6-3/>` element is required where applicant(s) referred to in Article 14(4) EPC wish to apply fee reductions.

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-euro-pct SYSTEM "ep-euro-pct-v1-09.dtd">
3  <ep-euro-pct lang="en" dtd-version="1.0" ro="EP" produced-by="applicant" date-produced="20140422 18:26:09"
   regional-phase-office="elected" amendments-enclosed="no">
4    <!--software_name eO 2-->
5    <!--software_version FMMNGR5118, EP122K5118, FM_FOP0205-->
6    <!--stylesheet_version 3-->
7    <!--fop_version Version 0.20.5-->
8    1 <file-reference-id>1200-elected</file-reference-id>
9    <request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby requested.</
   request-petition> 3
10   <parties>
11   <priority-claims>
12   <search-authority>
13   <isa>
14   9 <country>ES</country>
15   </isa>
16   </search-authority>
17   <check-list total-page-count="1" 8
18   <ep-language-of-filing lang-code="es">en</ep-language-of-filing>
19   <ep-office-specific-data office="EP" lang="en">
20   5 <ep-request-for-exam-art94 lang="es"/>
21   <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
22   <ep-declarations>
23   <waiver-to-indicate-further-processing/> 7
24   6 <declaration-of-entity-or-natural-person-under-rule-6-3/>
25   </ep-declarations>
26   <translation-info>
27   <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
28   <fees date="20140401">
29   <standard-fee>
30   <fee-calc-info>
31   <search-region region="EP"/>
32   10 <IPEA ipea="EP"/>
33   </fee-calc-info>
34   <fee-total-amount>1917</fee-total-amount>
35   </fees>
36   </ep-financial-data>
37   <ep-electronic-files doc-type="1001">
38   </ep-office-specific-data>
39   </ep-euro-pct>

```

Figure 121: EP Phase XML: general data, request in Spanish

PDF epf1200.pdf

European application number	EP12600400.1
PCT application number	PCT/ES2012/123456
PCT publication number	WO2012123456
Applicant's or representative's reference	1 1200-elected
International Filing Date	9 09.12.2012
International Searching Authority (ISA)	ES 10
International Preliminary Examining Authority (IPEA)	EP
1. Applicant	

Figure 122: EP Phase PDF: general data

[...]

4. Request for examination	
Examination of the application under Art. 94 EPC is hereby requested. The examination fee is being (has been, will be) paid.	3 <input checked="" type="checkbox"/>
Request for examination in an admissible non-EPO language:	5 <input checked="" type="checkbox"/>
	4 Se solicita el examen de la solicitud según el artículo 94.
The applicant waives his right to be asked under Rule 70(2) EPC whether he wishes to proceed further with the application.	7 <input checked="" type="checkbox"/>
The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.	<input checked="" type="checkbox"/> 6

Figure 123: EP Phase PDF: request for examination in Spanish

6.4 Euro-PCT(1200E2K) Names

The XML structure for the names in the *ep-euro-pct.xml* file is basically the same as in the *ep-request.xml* file.

The `<parties>` element can contain `<applicants>` and `<agents>` (representative) elements, each with multiple `<applicant>` and `<ep-agent>` sub-elements - see also **Example 2** ("**Names - Example 2: two applicants, two representatives, one inventor**" p. 37) in the Names section for Form EP(1001E2K).

If an address for correspondence has been entered for the first-named applicant, no representative can be added, and vice versa.

6.4.1 Names - Example 1: Applicant is represented by employee and has separate address for correspondence

In this example, an employee is acting as a representative on behalf of the applicant. No other representative can be added. A separate address for correspondence is connected with the applicant. The `<address>` element within the `<applicant>` element for the employee is empty, since it is inferred that employee and applicant have the same address.

GUI Euro-PCT(1200E2K) Names tab, applicant's data

The screenshot shows the 'Names' tab in the EPO Online Filing GUI. The window title is 'EPO Online Filing - Euro-PCT(1200E2K) - 1200_employee'. The main title is 'Euro-PCT(1200E2K) - Draft - 1200_employee' with a 'Last saved on 17.07.2012' timestamp. The 'Names' tab is active, showing a list of applicants on the left and a form for the selected applicant on the right. The form includes fields for company, address, contact information, and employee details, with red circles highlighting specific elements.

Indications concerning the applicant(s) are contained in the international publication or recorded by the International Bureau after the international publication. Changes which have not yet been recorded by the International Bureau are set out here:

Applicants **1**

2 TechInvent SA

Address for Correspondence

3 TechInvent SA

Company: **3** TechInvent SA Department: **4** Brevets

Country: **9** FR France Telephone: **10** +33 4 2568 10

Address: **5** 34, place de la république Fax: **11** +33 4 2568 97

Postal code: **8** 69008 e-mail: **12** info@techinvent.fr

City: **6** Lyon

Region: **7** Residence: **13** FR France

20 Address for correspondence

14 The applicant has already been recorded by the International Bureau.

15 TechInvent SA is represented by the following employee acting pursuant to Art. 133(3) EPC:

Last name: **17** Vallonier Title: Ms **16**

First name: **18** Monique General authorisation: 11-VM6785 **19**

Logged in as Administrator

Figure 124: Names GUI: applicant and employee data

GUI Euro-PCT(1200E2K) Names tab, address for correspondence data

Indications concerning the applicant(s) are contained in the international publication or recorded by the International Bureau after the international publication. Changes which have not yet been recorded by the International Bureau are set out here:

<div style="display: flex; align-items: center; gap: 5px;"> + × 📄 📄 </div> <p>Applicants</p> <ul style="list-style-type: none"> 📄 TechInvent SA 📄 Address for Correspondence 20 📄 TechInvent SA 	Company:	3	TechInvent SA
	Department:	21	Affaires légales
	Country:	26	FR France
	Address:	22	B.p. 201
	Postal code:	25	69015
	City:	23	Lyon
	Region:	24	

Figure 125: Names GUI: a separate address for correspondence is connected with the applicant

Element list

- (1) Applicants
- (2) Applicant 1 - legal person
- (3) Company name
- (4) Department
- (5) Street
- (6) City
- (7) State, county or province (if applicable for selected country)
- (8) Postal code
- (9) Country
- (10) Telephone
- (11) Fax
- (12) E-mail
- (13) Country of residence
- (14) Applicant 1 has already been recorded by the International Bureau
- (15) Applicant 1 is represented by an employee
- (16) Title of employee
- (17) Last name of employee
- (18) First name of employee
- (19) General authorisation of employee
- (20) Address for correspondence is connected with applicant 1
- (21) Address for correspondence of applicant 1: department
- (22) Street
- (23) City
- (24) State, county or province (if applicable for selected country)
- (25) Postal code
- (26) Country (must be an EPC contracting state)

XML ep-euro-pct.xml

```

8      <file-reference-id>1200_employee</file-reference-id>
9      <request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby requested.</request-petition>
10     <parties>
11     1 <applicants>
12     2 <applicant sequence="1" designation="as-indicated" app-type="applicant">
13     <addressbook lang="en">
14     3 <name name-type="legal">TechInvent SA</name>
15     <registered-number>0.0</registered-number>
16     <address>
17     4 <address-2>Brevets</address-2>
18     <street>34, place de la r#233;publique</street> 5
19     6 <city>Lyon</city>
20     <state></state> 7
21     8 <postcode>69008</postcode>
22     <country>FR</country> 9
23     </address>
24     10 <phone>+33 4 2568 10</phone>
25     <fax>+33 4 2568 97</fax> 11
26     12 <email>info@techinvent.fr</email>
27     </addressbook>
28     <nationality>
29     <country/>
30     </nationality>
31     13 <residence>
32     <country>FR</country>
33     </residence>
34     14 <applicant-IB-recorded>true</applicant-IB-recorded>
35     </applicant>
36     15 <applicant sequence="1" app-type="employee" designation="as-indicated">
37     <addressbook lang="en">
38     16 <prefix>Ms</prefix>
39     <last-name>Vallonier</last-name> 17
40     18 <first-name>Monique</first-name>
41     <iid>11-VM6785</iid> 19
42     <address>
43     <postcode/>
44     <country/>
45     </address>
46     </addressbook>
47     <nationality>
48     <country>EP</country>
49     </nationality>
50     <residence>
51     <country>EP</country>
52     </residence>
53     </applicant>
54     </applicants>

```

Figure 126: Names XML: data for applicant and employee

[...]

```

54 </applicants>
55 20 <correspondence-address>
56 <addressbook lang="en">
57 <name name-type="legal"/>
58 <registered-number/>
59 <address>
60 3 <address-1>TechInvent SA</address-1>
61 <address-2>Affaires l&#233;gales</address-2> 21
62 22 <street>B.p. 201</street>
63 <city>Lyon</city> 23
64 24 <state></state>
65 <postcode>69015</postcode> 25
66 26 <country>FR</country>
67 </address>
68 </addressbook>
69 </correspondence-address>
70 </parties>
71 <priority-claims>
    
```

Figure 127: Names XML: address for correspondence data

PDF epf1200.pdf

<p>1 1. Applicant Indications concerning the applicant(s) are contained in the international publication or were recorded by the International Bureau after the international publication. Changes which have not yet been recorded by the International Bureau are set out here:</p> <p>2 Applicant 1</p> <p>15 Employee</p> <p>20 Address for correspondence</p>	<p><input checked="" type="checkbox"/> 14</p> <p><input type="checkbox"/></p> <p>Name: TechInvent SA 3</p> <p>Department: Brevets 4</p> <p>Address: 34, place de la république 5</p> <p>8 69008 Lyon 6</p> <p>9 France</p> <p>Telephone: +33 4 2568 10 10</p> <p>Fax: +33 4 2568 97 11</p> <p>e-mail: info@techinvent.fr 12</p> <p>Name: Vallonier, Ms Monique 17 16 18</p> <p>Authorisation: 11-VM6785 19</p> <p>Address: TechInvent SA 3</p> <p>21 Affaires légales</p> <p>22 B.p. 201</p> <p>25 69015 Lyon 23</p> <p>France 26</p>
--	---

Figure 128: Names PDF: applicant, employee and address for correspondence

6.4.2 Names - Example 2: One applicant, one representative with authorisation

GUI Euro-PCT(1200E2K) Names, representative 1

EPO Online Filing - Euro-PCT(1200E2K) - 1200-names-2

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - 1200-names-2 Last saved on 14.08.2013

EP Phase Names States Biological Material Documents Fee Payment Annotations

Indications concerning the applicant(s) are contained in the international publication or recorded by the International Bureau after the international publication. Changes which have not yet been recorded by the International Bureau are set out here:

Applicants

- 1 TechInvent SA
- 2 Representatives
- 3 IP Partners

Name and address | Authorisation

Company: 4 IP Partners

Department: 5 European Patents Association No.: 7 145

Country: 8 GB United Kingdom Telephone: 13 +44 1223 3516-0

Address: 9 Cambridge Science Park 100 Red Lion Square Fax: 14 +44 1223 351690

e-mail: 15 office@ip-partners.co.uk

Postal code: 10 CB2 1AB

City: 11 Cambridge

GB County: 12 Cambridgeshire

Logged in as Administrator

Figure 129: Names GUI: details of representative 1

GUI Euro-PCT(1200E2K) Names tab, representative 1, authorisation sub-tab

EPO Online Filing - Euro-PCT(1200E2K) - 1200-names-2

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - 1200-names-2 Last saved on 14.08.2013

EP Phase Names States Biological Material Documents Fee Payment Annotations

Indications concerning the applicant(s) are contained in the international publication or recorded by the International Bureau after the international publication. Changes which have not yet been recorded by the International Bureau are set out here:

Applicants

- TechInvent SA
- 2 Representatives
- IP Partners

Name and address | Authorisation

General Authorisation

An individual authorisation is attached.

16 A general authorisation has been registered under number: 17 780650

A general authorisation has been filed, but not yet registered.

The authorisation filed with the EPO as PCT receiving Office expressly includes the European phase

Figure 130: Names GUI: authorisation for representative 1

Element list

- (1) Applicants
- (2) Representatives (agents)
- (3) Representative 1
- (4) Name
- (5) Department
- (6) EP registration number (not required)
- (7) EP association number (if applicable)
- (8) Country (must be in an EPC contracting state)
- (9) Address: street and number
- (10) Postal code
- (11) City
- (12) State, county or province (if applicable for selected country)
- (13) Telephone
- (14) Fax
- (15) E-mail
- (16) Authorisation type
- (17) General authorisation number

XML ep-euro-pct.xml

```

10 <parties>
11 <applicants>
12 (1) <applicant sequence="1" designation="as-indicated" app-type="applicant">
36 </applicants>
37 (2) <agents>
38 (3) <ep-agent sequence="1" rep-type="common-representative" ep-authorization="registered" (16)
    general_authorisation_number="780650" ep-association-number="145">
    (17)
    (7)
39 <addressbook lang="en">
40 (4) <name name-type="legal">IP Partners</name>
41 <registered-number>102030405</registered-number> (6)
42 <address>
43 (5) <address-2>European Patents</address-2>
44 <street>Cambridge Science Park (9)
45 100 Red Lion Square</street>
46 (11) <city>Cambridge</city>
47 <state>Cambridgeshire</state> (12)
48 (10) <postcode>CB2 1AB</postcode>
49 <country>GB</country> (8)
50 </address>
51 (13) <phone>+44 1223 3516-0</phone>
52 <fax>+44 1223 351690</fax> (14)
53 (15) <email>office@ip-partners.co.uk</email>
54 </addressbook>
55 </ep-agent>
56 </agents>
57 </parties>
58 <priority-claims>

```

Figure 131: Names XML: data for representative 1 (agent)

PDF epf1200.pdf

<p>2. Representative</p> <p>2 This is the representative who will be listed in the Register of European Patents and to whom notifications will be made</p> <p>3 Representative 1</p>	<p>Name: IP Partners 6</p> <p>Department: European Patents 4</p> <p>Association No.: 145 7</p> <p>Address of place of business: Cambridge Science Park 9 100 Red Lion Square</p> <p>11 Cambridge, Cambridgeshire, CB2 1AB</p> <p>8 United Kingdom 12 10</p> <p>Telephone: +44 1223 3516-0 13</p> <p>Fax: +44 1223 351690 14</p> <p>e-mail: office@ip-partners.co.uk 15</p>
<p>3. Authorisation</p> <p>An individual authorisation is attached.</p> <p>A general authorisation has been registered under No:</p> <p>A general authorisation has been filed, but not yet registered.</p> <p>The authorisation filed with the EPO as PCT receiving Office expressly includes the European phase.</p>	<p><input type="checkbox"/></p> <p><input checked="" type="checkbox"/> 16</p> <p>780650 17</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>

Figure 132: Names PDF: representative and authorisation

6.5 Euro-PCT(1200E2K) States

The lists of states in the **Designation**, **Extension** and **Validation** sub-tabs are defined by the states applicable on the international filing date specified in the **EP Phase** tab.

- All designation states are automatically selected; it is not possible to exclude individual states.
- All extension states or individual extension states can be selected. The extension fee is due for each individual state.
- All validation states or individual validation states can be selected where applicable. The validation fee is due for each individual state.

For the latest list of EPC contracting states and extension states see the EPO website at **About us > European Patent Organisation > Member states** (<http://www.epo.org/about-us/organisation/member-states.html>).

GUI Euro-PCT(1200E2K) States, Designation sub-tab

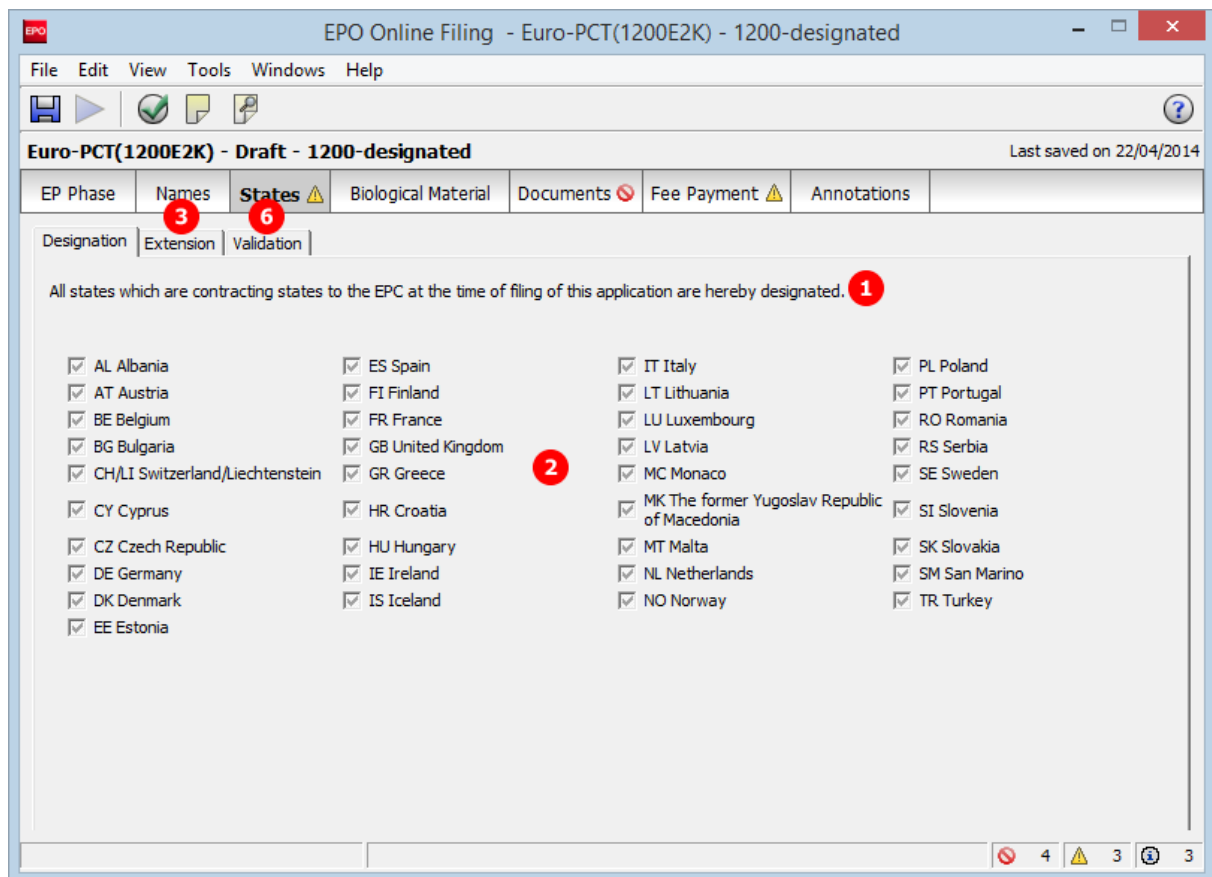


Figure 133: States GUI: all contracting states designated

Element list

- (1) All contracting states are designated
- (2) Country list corresponding to the international filing date
- (3) Designation of extension states
- (4) Extension state selected: specific <country> element
- (5) Extension state selected: specific <country> element
- (6) Designation of validation states: not applicable, the <validation-states/> element remains empty.

XML ep-euro-pct.xml

In the *ep-euro-pct.xml* file generated by Online Filing, all designation states are listed. However, when importing an XML file, it is not necessary to include the `<country>` elements one by one. The Online Filing System is going to add them according to the applicable list on the international filing date. It is therefore sufficient to produce the `<region><country>EP</country></region>` elements in the `<ep-designated-states>` element.

The `waiver-communication-and-processing-of-non-designated-states` attribute must always be present in the `ep-designated-states` element. The value must be set to **no**.

① See the corresponding sections for Form EP(1001E2K) for more details on the extension states and validation states.



Figure 134: States XML: designated states and extension states

PDF epf1200.pdf

<p>10. Designation fees All the contracting states party to the EPC at the time of filing of the international patent application and designated in the international application are deemed to be designated (see Article 79(1) EPC).</p> <p>2 The following states, which were contracting states to the EPC at the time of filing of the international application, are designated: AL AT BE BG CH&LI CY CZ DE DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC MK MT NL NO PL PT RO RS SE SI SK SM TR</p>	<input checked="" type="checkbox"/> 1
<p>11. Extension/Validation This application is deemed to be a request to extend the effects of the European patent application and the European patent granted in respect of it to all non-contracting states to the EPC designated in the international application with which extension or validation agreements were in force on the date on which the application was filed. However, the request is deemed withdrawn if the extension fee or the validation fee, whichever is applicable, is not paid within the prescribed time limit.</p> <p>11.1 It is intended to pay the extension fee(s) for the following state(s):</p> <p>4 BA ME 5</p> <p>11.2 It is intended to pay the validation fee(s) for the following state(s):</p> <p>6 Not applicable</p> <p>Note: Under the automatic debiting procedure, extension and/or validation fees will be debited only for states indicated here unless the EPO is instructed otherwise before expiry of the period for payment.</p>	<input checked="" type="checkbox"/> 3

Figure 135: States PDF: designation fees and extension states

6.6 Euro-PCT(1200E2K) Biological Material

This example shows deposit details and attached documents relating to biological materials. Multiple biological materials can be listed.

GUI Euro-PCT(1200E2K) Biological Material, Deposit details sub-tab

The screenshot displays the 'Deposit details' sub-tab of the EPO Online Filing GUI. The window title is 'EPO Online Filing - Euro-PCT(1200E2K) - 1200_XML'. The main title is 'Euro-PCT(1200E2K) - Draft - 1200_XML' with a 'Last saved on 17.07.2012' timestamp. The 'Biological Material' sub-tab is active, showing a list of materials on the left (1) and a form for '12-Inst5678' on the right. The form includes fields for 'Identification reference' (2), 'Depository institution' (3), 'Name and address' (4), and 'Accession number' (5). A checkbox (6) is checked, indicating that particulars are given in an international publication. Below this, 'Page(s)' (7) is set to 14 and 'Line(s)' (8) is set to 1200-1250. The status bar at the bottom shows 'Logged in as Administrator' and system icons.

Figure 136: Biological Material GUI: Deposit details

GUI Euro-PCT(1200E2K) Biological Material, Further details sub-tab

The screenshot displays the 'Further details' sub-tab of the EPO Online Filing GUI. The window title is 'EPO Online Filing - Euro-PCT(1200E2K) - 1200_XML'. The main title is 'Euro-PCT(1200E2K) - Draft - 1200_XML' with a 'Last saved on 17.07.2012' timestamp. The 'Further details' sub-tab is active, showing a list of materials on the left (1) and a form for '12-Inst5678' on the right. The form includes a checkbox (9) checked, indicating that a copy of the receipt(s) of deposit issued by the depository institution is attached. A 'Detach file' button (10) is visible next to the file name 'BIOM-RECEIPT-1.pdf'. Below this, a checkbox (11) is checked, indicating that a waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC is attached. A 'Detach file' button (12) is visible next to the file name 'BIOM-WAIV-1.pdf'.

Figure 137: Biological Material GUI: Further details

Element list

- (1) Deposit 1
- (2) Identification reference
- (3) Depository institution (full name in GUI is retrieved from OLF database)
- (4) Depository address (address in GUI is retrieved from OLF database)
- (5) Accession number
- (6) Reference to publication
- (7) Page number in publication
- (8) Line numbers in publication
- (9) Copy of receipt(s) of deposit attached
- (10) EPO file name for receipt of deposit
- (11) Waiver of the right Rule 33(2) EPC attached
- (12) EPO file name for waiver Rule 33(2)
- (13) EPO document code for receipt of deposit
- (14) Original file name for receipt of deposit
- (15) EPO document code for waiver Rule 33(2)
- (16) Original file name for waiver Rule 33(2)

XML ep-euro-pct.xml

```

140 <ep-declarations> 1
145 <ep-biological-material id="bio1" num="CNCM" dnum="12-Inst5678"> 2
146 <depository>CNCM 2
147 <address>
148 <address-1>Institut Pasteur, 28, rue du Dr Roux, 75724 Paris Cedex 15, France</address-1>
149 <postcode/>
150 <country/>
151 </address>
152 </depository>
153 <bio-accno>CNCM-908010</bio-accno> 5
154 <bio-receipt>BIOM-RECEIPT-1.pdf</bio-receipt> 9
155 <bio-waiver>BIOM-WAIV-1.pdf</bio-waiver> 11
156 <ep-biological-material-reference> 6
157 <ep-bio-references-page>14</ep-bio-references-page> 7
158 <ep-bio-references-lines>1200-1250</ep-bio-references-lines> 8
159 </ep-biological-material-reference>
160 </ep-biological-material>
161 <translation-info>
168 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
403 <ep-electronic-files doc-type="1001">
407 <ep-electronic-files doc-type="SPECTRANEPO">
411 <ep-electronic-files doc-type="OLF-ARCHIVE">
415 <ep-electronic-files doc-type="REPWOIPER">
419 <ep-electronic-files doc-type="1004">
423 <ep-electronic-files doc-type="DRAW-HWA">
427 <ep-electronic-files doc-type="BIOMRECEIPT"> 13
428 <applicant-file-name>bio_receipt.pdf</applicant-file-name> 14
429 <epo-file-name>BIOM-RECEIPT-1.pdf</epo-file-name> 10
430 </ep-electronic-files>
431 <ep-electronic-files doc-type="BIOMWAIV"> 15
432 <applicant-file-name>bio_waiver.pdf</applicant-file-name> 16
433 <epo-file-name>BIOM-WAIV-1.pdf</epo-file-name> 12
434 </ep-electronic-files>
435 </ep-office-specific-data>
436 </ep-euro-pct>

```

Figure 138: Biological Material XML: deposit details and documents

PDF epf1200.pdf

<p>8. Biological material</p> <p>1 Deposit 1 The invention uses and/or relates to biological material deposited under Rule 31 EPC.</p> <p>Identification reference: 12-Inst5678 3</p> <p>Depository institution: Collection nationale de cultures de microorganismes (CNCM) Institut Pasteur, 28, rue du Docteur Roux, 75724 Paris Cedex 15, France 2</p> <p>Accession number: CNCM-908010 5</p> <p>The particulars referred to in Rule 31(1)(c) EPC (if not yet known, the depository institution and the identification reference(s)) [number, symbols, etc.] of the depositor) are given in the international publication or in the translation submitted in Section 7 on: page(s) / line(s)</p> <p>The receipt(s) of deposit issued by the depository institution is (are) enclosed. will be filed later.</p> <p>Waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC attached.</p>	<p><input checked="" type="checkbox"/></p> <p><input checked="" type="checkbox"/> 6</p> <p>7 page(s): 14, line(s): 1200-1250 8</p> <p><input checked="" type="checkbox"/> 9</p> <p><input type="checkbox"/></p> <p><input checked="" type="checkbox"/> 11</p>
---	--

Figure 139: Biological Material PDF: details for deposit 1

[...]

12. List of enclosed documents			
	Description of document	Original file name	Assigned file name
	1 Combined Translations	Translation.pdf	SPECTRANEPO-1.pdf
	2 PreConversion Archive	Sample 1200 Docs.zip	OLF-ARCHIVE.zip
	3 Reply to written opinion on IPER	Reply.pdf	REPLYWO-1.pdf
	4 General authorisation	Authorization Nano.pdf	GENAUTH-1.pdf
	5 Amended drawings with annotations	Drawings amended annotations.pdf	DRAW-HWA.pdf
9	6 A copy of the receipt(s) of deposit issued by the depository institution:	14 bio_receipt.pdf	10 BIOM-RECEIPT-1.pdf
11	7 A waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC is attached.	16 bio_waiver.pdf	12 BIOM-WAIV-1.pdf

Figure 140: Biological Material PDF: enclosed documents

6.7 Euro-PCT(1200E2K) Documents

The **Documents** tab in Form Euro-PCT(1200E2K) allows applicants to attach documents containing translations or amendments to parts of the previously filed application and other documents. The available choices depend on the EPO role selected in the **EP Phase** tab and the settings for amendments in the **Proceedings** sub-tab.

- The files containing amendments or translations of technical documents are referenced in the **application-body.xml** file.
- All other documents are referenced in the **ep-euro-pct.xml** file.

The data to be entered in the **Document Overview** sub-tab indicates the associated number of pages of the set of documents entering the European phase. The number of pages is required by the EPO in order to calculate the additional filing fee (520) for the 36th and each subsequent page.

- The documents attached to the application must be indicated: document type, number of pages, page range.
- Those sections of the international application to be used by the EPO must also be indicated.
- The total of pages is automatically calculated by the Online Filing system.

Options in the **Amendments and Translations** sub-tab:

- Amendments
- Translation of international application (if publication language is a non-EPO language)
- Translation of priority applications
- Translation of annexes to the international preliminary examination report (if publication language is a non-EPO language)
- Pre-conversion archive (ZIP)

Files to be attached in the **Sequence listing** sub-tab:

- Sequence listing in PDF format
- Sequence listing in computer-readable format compliant with WIP ST.25 (APP, SEQ, TXT or ZIP file)

Options in the **Additional documents** sub-tab (all files must be in PDF format):

- General authorisation
- Specific authorisation
- US certified priority document (digitally signed)
- Reply to written opinion/IPER
- Search results required under Rule 141(1) EPC
- Handwritten amendments
- Other documents

For naming conventions, see the list of document names required by the EPO in **Document codes and file types for Euro-PCT(1200E2K)** (p. 97).

All attached documents must be **Annex F** compliant. For more information about preparing documents for attachment and patent specifications in XML format please refer to the Online Filing User Guide. This and other documents are available from the EPO website under **Applying for a patent > Online services > Online filing > Download documentation** (<http://www.epo.org/applying/online-services/online-filing/documentation.html>).

6.7.1 Proceedings

In the **Proceedings** sub-tab of the **Documents** screen in Euro-PCT(1200E2K), general settings and declarations are made.

- The option **Enclosed amendments** must be checked if you wish to attach documents containing amendments.
- The option under **Use of test reports** is automatically checked (and cannot be un-checked) if the options **EPO as elected office** and **IPEA is EPO** are selected in the **EP Phase** screen. It is not available if **IPEA other than EPO** or **EPO as designated office** are selected.

GUI Euro-PCT(1200E2K) Documents, Proceedings sub-tab

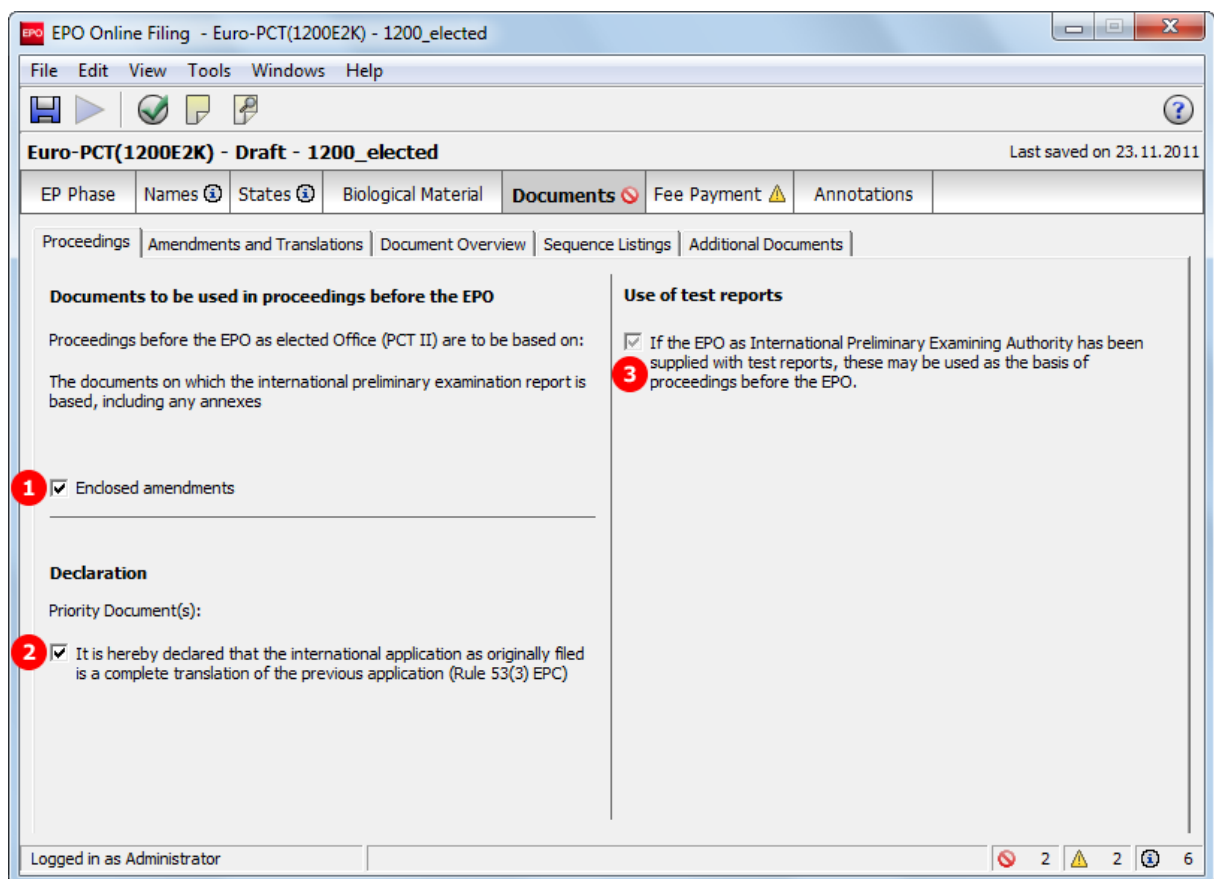


Figure 141: Documents GUI: general settings in Proceedings sub-tab

Element list

- (1) Enclosed amendments
- (2) Use of test reports (if EPO as IPEA has been supplied with test reports)
- (3) The international application as originally filed is a complete translation of the previous application (Rule 53(3) EPC)
- (4) Translation information: checked in the PDF if any of the XML child elements takes the value 1.

XML ep-euro-pct.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-euro-pct SYSTEM "ep-euro-pct-v1-06.dtd">
3  <ep-euro-pct lang="en" dtd-version="1.0" ro="EP" produced-by="applicant" date-produced="20111123 16:21:10"
   regional-phase-office="elected" amendments-enclosed="yes">
4     <!--software_name eOLF-->
5     <!--software_version FMMNGR5072, EP122K5072, FM_FOP0205-->
6     <!--stylesheet_version 3-->
7     <!--fop_version Version 0.20.5-->
8     <file-reference-id>1200_elected</file-reference-id>
9     <request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby requested.</request-petition>
10    <parties>
58    <priority-claims>
75    <search-authority>
80    <check-list total-page-count="1">
84    <ep-language-of-filing lang-code="ko">en</ep-language-of-filing>
85    <ep-office-specific-data office="EP" lang="en">
86      <ep-request-for-exam-art94 lang="es"/>
87      <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
131     <ep-declarations>
134     <translation-info>
135       <tr-inter-appl>0</tr-inter-appl>
136       <tr-prio-appl>0</tr-prio-appl>
137       <tr-originally-filed>1</tr-originally-filed>
138       <tr-amended-claims>0</tr-amended-claims>
139       <tr-annexes>0</tr-annexes>
140     </translation-info>
141     <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
142       <fees date="20100401">
143         <standard-fee>
337        <fee-calc-info>
338        <search-region region="EP"/>
339        <IPEA ipea="EP"/>
340        </fee-calc-info>
341        <fee-total-amount>1807</fee-total-amount>
342      </fees>
343    </ep-financial-data>
344    <ep-electronic-files doc-type="1001">
348  </ep-office-specific-data>
349  </ep-euro-pct>

```

Figure 142: Documents XML: options for proceedings

PDF epf1200.pdf

<p>6. Documents intended for proceedings before the EPO Number of claims on entry into the European phase:</p> <p>6.1 Proceedings before the EPO as designated Office (PCT I) are to be based on the following documents: the application documents published by the International Bureau (with all claims, description and drawings), where applicable with amended claims under Art. 19 PCT unless replaced by the amendments attached.</p> <p><i>Where necessary, clarifications should be attached as 'Other documents'</i></p> <p>6.2 Proceedings before the EPO as elected Office (PCT II) are to be based on the following documents: the documents on which the international preliminary examination report is based, including any annexes unless replaced by the amendments attached.</p> <p><i>Where necessary, clarifications should be attached as 'Other documents'</i></p> <p>If the EPO as International Preliminary Examining Authority has been supplied with test reports, these may be used as the basis of proceedings before the EPO.</p> <p>6.3 A copy of the results of the search carried out by the authority with which the previous application(s) whose priority is claimed was (were) filed is attached (R. 141(1) EPC).</p> <p>6.4 The applicant waives his right to the communication under Rules 161(1) or (2) and 162 EPC.</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input checked="" type="checkbox"/> 1</p> <p><input checked="" type="checkbox"/> 3</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<p>7. Translations Translations in one of the official languages of the EPO (English, French, German) are attached as crossed below:</p> <p><i>* In proceedings before the EPO as designated or elected Office (PCT I + II):</i> Translation of the international application (description, claims, any text in the drawings) as originally filed, of the abstract as published and of any indication under Rule 13bis.3 and 13bis.4 PCT regarding biological material Translation of the priority application(s) (to be filed only at the EPO's request, Rule 53(3) EPC) It is hereby declared that the international application as originally filed is a complete translation of the previous application (Rule 53(3) EPC)</p> <p><i>* In addition, in proceedings before the EPO as designated Office (PCT I):</i> Translation of amended claims and any statement under Art. 19 PCT, if the claims as amended are to form the basis for the proceedings before the EPO (see Section 6).</p> <p><i>* In addition, in proceedings before the EPO as elected Office (PCT II):</i> Translation of annexes to the international preliminary examination report</p>	<p><input checked="" type="checkbox"/> 4</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input checked="" type="checkbox"/> 2</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>

Figure 143: Documents PDF: documents for proceedings and translations

6.7.2 Documents - Example 1: Amendments

Amendments can be attached as one combined file or multiple PDF documents. In this example, a combined file contains the amended description, abstract and drawings, and two separate files are attached for the amended claims and another amended drawings. In addition, a document with translations of priority application is provided.

GUI Euro-PCT(1200E2K) Documents, Amendments and Translations sub-tab

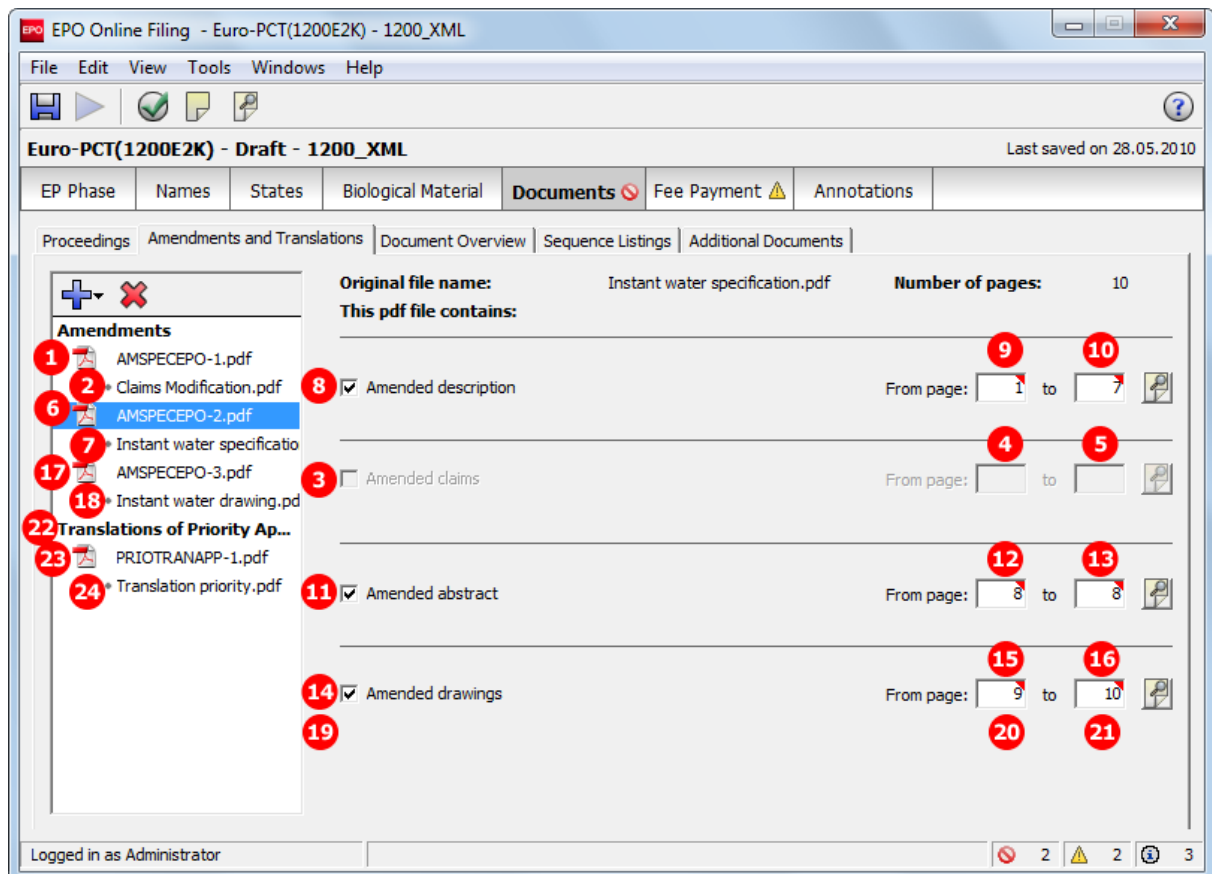


Figure 144: Documents GUI: amendments attached

Element list

- (1) EPO file name for amended claims
- (2) Original file name of amended claims
- (3) Amended claims in separate file
- (4) First page of amended claims
- (5) Last page of amended claims
- (6) EPO file name for other amendments in combined file
- (7) Original file name of other amendments in combined file
- (8) Amended description in combined file
- (9) First page of amended description in combined file
- (10) Last page of amended description in combined file
- (11) Amended abstract in combined file
- (12) First page of amended abstract in combined file
- (13) Last page of amended abstract in combined file

- (14) Amended drawings in combined file
- (15) First page of amended drawings in combined file
- (16) Last page of amended drawings in combined file
- (17) EPO file name for amended drawings
- (18) Original file name of amended drawings
- (19) Amended drawings in separate file
- (20) First page of amended drawings in separate file
- (21) Last page of amended drawings in separate file
- (22) Translation of priority application
- (23) EPO file name for translation of priority application
- (24) Original file name of translation of priority application

XML ep-euro-pct.xml

```

57 <priority-claims>
74 <search-authority>
79 <check-list total-page-count="1">
80 <cl-request/>
81 <cl-claims number-of-claims=""/>
82 11 <cl-abstract page-count="1" ppf="8" ppl="8">AMSPECEPO-2.pdf</cl-abstract>
83 </check-list>
84 <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
85 <ep-office-specific-data office="EP" lang="en">
86 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
135 <ep-biological-material id="bio1" num="CNCM" dnum="09-Inst3412">
151 <translation-info>
152 <tr-inter-appl>0</tr-inter-appl>
153 22 <tr-prio-appl>1</tr-prio-appl>
154 <tr-originally-filed>0</tr-originally-filed>
155 <tr-amended-claims>0</tr-amended-claims>
156 <tr-annexes>0</tr-annexes>
157 </translation-info>
158 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
159 <fees date="20100401">
360 </ep-financial-data>
361 <ep-electronic-files doc-type="1001">
365 <ep-electronic-files doc-type="AMSPECEPO">
366 <applicant-file-name>Claims Modification.pdf</applicant-file-name> 2
367 1 <epo-file-name>AMSPECEPO-1.pdf</epo-file-name>
368 </ep-electronic-files>
369 <ep-electronic-files doc-type="AMSPECEPO">
370 <applicant-file-name>Instant water specification.pdf</applicant-file-name> 7
371 6 <epo-file-name>AMSPECEPO-2.pdf</epo-file-name>
372 </ep-electronic-files>
373 <ep-electronic-files doc-type="AMSPECEPO">
374 <applicant-file-name>Instant water drawing.pdf</applicant-file-name> 18
375 17 <epo-file-name>AMSPECEPO-3.pdf</epo-file-name>
376 </ep-electronic-files>
377 <ep-electronic-files doc-type="PRIOTRANAPP">
378 <applicant-file-name>Translation priority.pdf</applicant-file-name> 24
379 23 <epo-file-name>PRIOTRANAPP-1.pdf</epo-file-name>
380 </ep-electronic-files>
381 <ep-electronic-files doc-type="BIOMRECEIPT">
385 <ep-electronic-files doc-type="BIOMWAIV">
389 </ep-office-specific-data>
390 </ep-euro-pct>

```

Figure 145: Documents XML: amendments and translation of priority application

XML application-body.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
3  <application-body lang="en" dtd-version="1.6" country="EP">
4  <description>
5  <doc-page id="AMDESC2" he="1" wi="1" type="pdf" file="AMSPECEPO-2.pdf" ppf="1" ppl="7" pp="7"/>
6  </description>
7  <claims>
8  <doc-page id="AMCLMS1" he="1" wi="1" type="pdf" file="AMSPECEPO-1.pdf" ppf="1" ppl="4" pp="4"/>
9  </claims>
10 <abstract>
11 <doc-page id="AMABST2" he="1" wi="1" type="pdf" file="AMSPECEPO-2.pdf" ppf="8" ppl="8" pp="1"/>
12 </abstract>
13 <drawings>
14 <doc-page id="AMDRAW2" he="1" wi="1" type="pdf" file="AMSPECEPO-2.pdf" ppf="9" ppl="10" pp="2"/>
15 <doc-page id="AMDRAW3" he="1" wi="1" type="pdf" file="AMSPECEPO-3.pdf" ppf="1" ppl="1" pp="1"/>
16 </drawings>
17 </application-body>
    
```

Figure 146: Documents XML: amendments to application in application-body.xml file

PDF epf1200.pdf

12. List of enclosed documents			
	Description of document	Original file name	Assigned file name
1	Combined Amendments	Claims Modification.pdf	AMSPECEPO-1.pdf
2	Combined Amendments	Instant water specification.pdf	AMSPECEPO-2.pdf
3	Combined Amendments	Instant water drawing.pdf	AMSPECEPO-3.pdf
4	Translation of the priority application(s)	Translation priority.pdf	PRIOTRANAPP-1.pdf
5	A copy of the receipt(s) of deposit issued by the depository institution:	bio_receipt.pdf	BIOM-RECEIPT-1.pdf
6	A waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC is attached.	bio_waiver.pdf	BIOM-WAIV-1.pdf

Figure 147: Documents PDF: list of enclosed documents with EPO file name and original file name

6.7.3 Documents - Example 2: Translations

The translation of the international application can be attached as one combined file or as multiple PDF documents. In this example, all translation documents have been added as a combined file. Additionally, the translation of annexes to the international preliminary search report has been attached.

GUI Euro-PCT(1200E2K) Documents, Amendments and Translations sub-tab

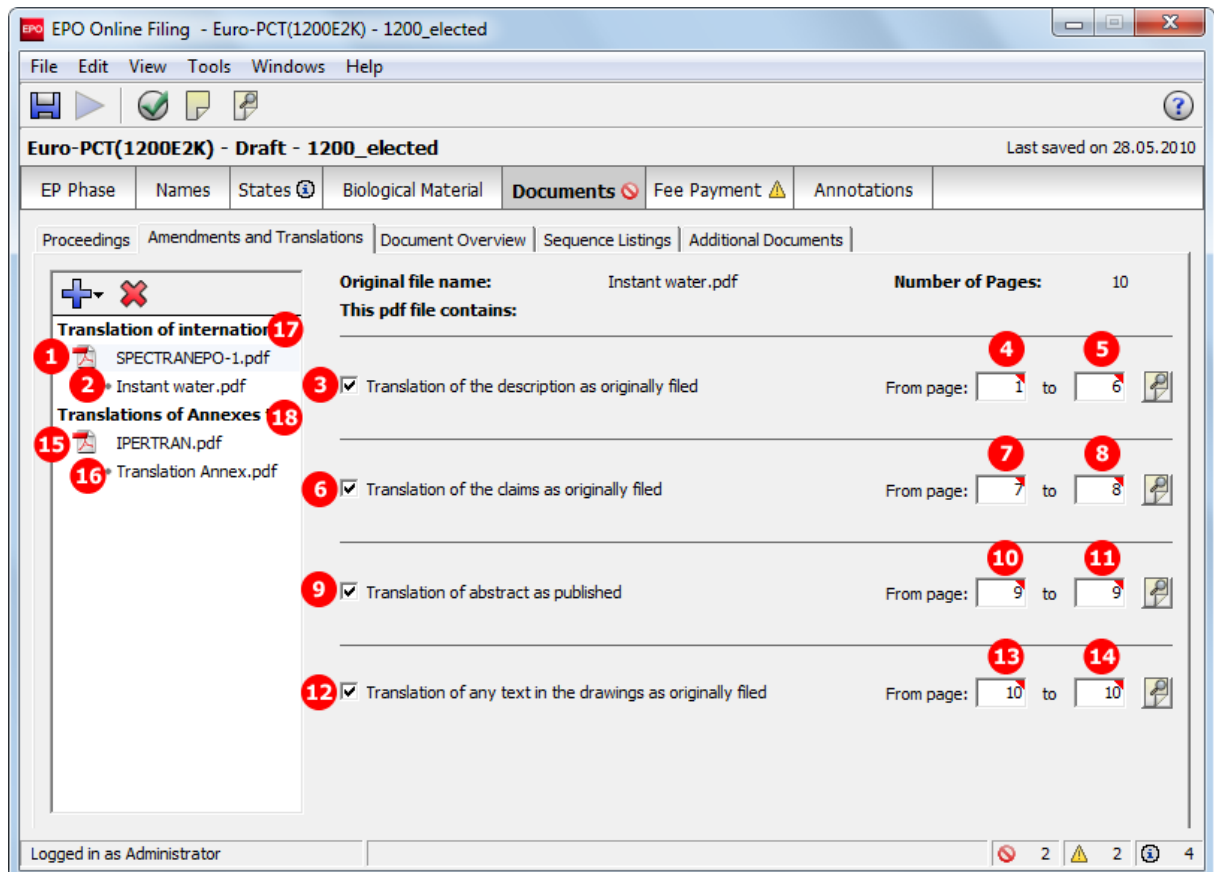


Figure 148: Documents GUI: translations of documents attached

Element list

- (1) EPO file name for translation of international application in combined document
- (2) Original file name for translation of international application
- (3) Translation of the description as originally filed
- (4) First page of translated description in combined document
- (5) Last page of translated description in combined document
- (6) Translation of the claims as originally filed
- (7) First page of translated claims in combined document
- (8) Last page of translated claims in combined document
- (9) Translation of the abstract as published
- (10) First page of translated abstract in combined document
- (11) Last page of translated abstract in combined document
- (12) Translation of any text in the drawings as originally filed
- (13) First page of translated text in the drawings in combined document
- (14) Last page of translated text in the drawings in combined document

- (15) EPO file name for translation of annexes to international preliminary examination report
- (16) Original file name of translation of annexes to international preliminary examination report
- (17) Translation of international application [...] attached
- (18) Translation for annexes [...] attached

XML ep-euro-pct.xml

```

74 <search-authority>
79 <check-list total-page-count="1">
80 <cl-request/>
81 <cl-claims number-of-claims="10" 11 1
82 9 <cl-abstract page-count="1" ppf="9" ppl="9">SPECTRANEPO-1.pdf</cl-abstract>
83 </check-list>
84 <ep-language-of-filing lang-code="es">en</ep-language-of-filing>
85 <ep-office-specific-data office="EP" lang="en">
86 <ep-request-for-exam-art94 lang="es"/>
87 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
129 <ep-declarations>
132 <translation-info>
133 17 <tr-inter-appl>1</tr-inter-appl>
134 <tr-prio-appl>0</tr-prio-appl>
135 <tr-originally-filed>1</tr-originally-filed>
136 <tr-amended-claims>0</tr-amended-claims>
137 18 <tr-annexes>1</tr-annexes>
138 </translation-info>
139 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
342 <ep-electronic-files doc-type="1001">
346 <ep-electronic-files doc-type="SPECTRANEPO">
347 <applicant-file-name>Instant water.pdf</applicant-file-name> 2
348 1 <epo-file-name>SPECTRANEPO-1.pdf</epo-file-name>
349 </ep-electronic-files>
350 <ep-electronic-files doc-type="IPERTRAN">
351 <applicant-file-name>Translation Annex.pdf</applicant-file-name> 16
352 15 <epo-file-name>IPERTRAN.pdf</epo-file-name>
353 </ep-electronic-files>
354 </ep-office-specific-data>
355 </ep-euro-pct>

```

Figure 149: Documents XML: files, file names and document types listed

XML application-body.xml

```

1 <?xml version="1.0" encoding="UTF-8"?>
2 <!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
3 <application-body lang="en" dtd-version="1.6" country="EP">
4 <description>
5 3 <doc-page id="DESCTRAN1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="1" ppl="6" pp="6"/>
6 </description>
7 <claims>
8 6 <doc-page id="CLMSTRAN1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="7" ppl="8" pp="2"/>
9 </claims>
10 <abstract>
11 9 <doc-page id="ABSTTRAN1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="9" ppl="9" pp="1"/>
12 </abstract>
13 <drawings>
14 12 <doc-page id="DRAWTRAN1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="10" ppl="10" pp="1"/>
15 </drawings>
16 </application-body>

```

Figure 150: Documents XML: Translations of original application attached

PDF epf1200.pdf

12. List of enclosed documents			
	Description of document	Original file name	Assigned file name
17	1 Combined Translations	2 Instant water.pdf	1 SPECTRANEPO-1.pdf
18	2 Translation (in English) of the annex(es) to the international preliminary examination report.	16 Translation Annex.pdf	15 IPERTRAN.pdf

Figure 151: Documents PDF: enclosed documents listed

[...]

<p>7. Translations Translations in one of the official languages of the EPO (English, French, German) are attached as crossed below:</p> <p><i>* In proceedings before the EPO as designated or elected Office (PCT I + II):</i> Translation of the international application (description, claims, any text in the drawings) as originally filed, of the abstract as published and of any indication under Rule 13bis.3 and 13bis.4 PCT regarding biological material Translation of the priority application(s) (to be filed only at the EPO's request, Rule 53(3) EPC) It is hereby declared that the international application as originally filed is a complete translation of the previous application (Rule 53(3) EPC)</p> <p><i>* In addition, in proceedings before the EPO as designated Office (PCT I):</i> Translation of amended claims and any statement under Art. 19 PCT, if the claims as amended are to form the basis for the proceedings before the EPO (see Section 6).</p> <p><i>* In addition, in proceedings before the EPO as elected Office (PCT II):</i> Translation of annexes to the international preliminary examination report</p>	<p><input checked="" type="checkbox"/></p> <p><input checked="" type="checkbox"/> 17</p> <p><input type="checkbox"/></p> <p><input checked="" type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input checked="" type="checkbox"/> 18</p>
---	---

Figure 152: Documents PDF: checklist for translations

6.7.4 Document overview - Example 1: Amendments on entry into the European phase, EPO is designated office

In the **Document Overview** sub-tab, users must enter the page numbers and page ranges of all relevant documents (attached, previously filed or published) in three tabs: **Description**, **Claims** and **Drawings**. For the abstract, one page is added per default. The total number of pages is then calculated automatically in the **Overview** tab and used to calculate the amount for the fee 520 to be paid.

The options for entering page numbers in the **Document Overview** sub-tab depend on:

- whether the EPO is designated or elected office (**EP Phase** tab)
- the language of the international application (**EP Phase** tab)
- the options selected in the **Proceedings** sub-tab
- the attachments made in the **Amendments and Translations** sub-tab

Certain options are mutually exclusive. These are explained in more detail below.

GUI Euro-PCT(1200E2K) Documents, Document Overview sub-tab

The example shows the three tabs already filled up and the total number of pages summarised.

Amended description, claims, abstract and drawings have been attached in the **Amendments and Translations** tab. The page numbers and page ranges of these documents are also entered into the **Document Overview** sub-tab.

The screenshot shows the 'Document Overview' sub-tab in the GUI. At the top, there are navigation tabs: 'Proceedings', 'Amendments and Translations', 'Document Overview', 'Sequence Listings', and 'Additional Documents'. Below the tabs, the text reads: 'Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):'. Underneath, there are sub-tabs: 'Overview', 'Description', 'Claims', and 'Drawings'. The 'Overview' sub-tab is active and displays a table with the following data:

Total number of pages - description:	15
Total number of pages - claims: +	4
Total number of pages - drawings: +	3
default one page - abstract: +	1
<hr/>	
Total number of pages:	23

Red circles with the numbers 1 and 2 are placed next to the '1' and '23' values respectively in the table.

Figure 153: Documents GUI: document overview with total number of pages

GUI Euro-PCT(1200E2K) Documents, Document Overview sub-tab, Description

The example shows the options for an application where **EPO as designated office** has been selected in the **EP Phase** tab. Both the language of proceedings and the language of the international application are English.

The document overview references to the description as part of the international application as published.

Please note:

- If the language of the international publication (indicated in the **EP Phase** tab) is English, German or French, the option **Translation of international application as published** is disabled, since no translation is required.
- If **EPO as designated office** has been selected in the **EP Phase** tab, the option **Translation of Art. PCT 34 amendments** is disabled.

Proceedings | Amendments and Translations | Document Overview | Sequence Listings | Additional Documents

Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):

Overview | Description | Claims | Drawings

The description on entry into the European phase comprises the following parts:

Part	Pages from...to...	Number of pages
<input checked="" type="checkbox"/> International application as published	1-8	8
<input type="checkbox"/> Translation of international application as published		
<input type="checkbox"/> Translation of Art. 34 PCT amendments		
<input checked="" type="checkbox"/> Amendments on entry into the European phase	1-7	7
Total number of pages - description:		15

Figure 154: Document overview GUI: documents comprising the description

GUI Euro-PCT(1200E2K) Documents, Document Overview sub-tab, Claims

The number of claims (12) on entry into the European phase is entered here. The number of claims you intend to pay for (including first 15 claims) (13) is used for the fee calculation.

Please note:

- If **EPO as designated office** has been selected in the **EP Phase** tab, the option **Art. PCT 34 amendments** is disabled.
- Selection of the option **Amendments on entry into the European** phase disables all remaining options.

Proceedings | Amendments and Translations | Document Overview | Sequence Listings | Additional Documents

Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):

Overview | Description | Claims | Drawings

Number of claims on entry into the European phase: **12**

Number of claims you intend to pay for (including first 15 claims) : **13** ⓘ

The set of claims on entry into the European phase comprises the following parts:

Part	Pages from...to...	Number of pages
<input type="checkbox"/> International application as published	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Art. 19 PCT amendments	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Art. 34 PCT amendments	<input type="text"/>	<input type="text"/>
9 <input checked="" type="checkbox"/> Amendments on entry into the European phase	10 <input type="text" value="1-4"/>	<input type="text" value="4"/> 11
Total number of pages - claims:		4

Figure 155: Document overview GUI: documents comprising the claims

GUI Euro-PCT(1200E2K) Documents, Document Overview sub-tab, Drawings

The data input for drawings is only required if the international application contains any drawings.

- If the language of the international publication (indicated in the **EP Phase** tab) is English, German or French, the option **Translation of international application as published** is disabled, since no translation is required.
- If **EPO as designated office** has been selected in the **EP Phase** tab, the option **Art. PCT 34 amendments** is disabled.

Proceedings | Amendments and Translations | Document Overview | Sequence Listings | Additional Documents

Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):

Overview | Description | Claims | Drawings

The drawings on entry into the European phase comprises the following parts:

Part	Pages from...to...	Number of pages
15 <input checked="" type="checkbox"/> International application as published	16 <input type="text" value="13-15"/>	<input type="text" value="2"/> 14
<input type="checkbox"/> Translation of international application as published	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Art. 34 PCT amendments	<input type="text"/>	<input type="text"/>
18 <input checked="" type="checkbox"/> Amendments on entry into the European phase	19 <input type="text" value="1-1"/>	<input type="text" value="1"/> 17
Total number of pages - drawings:		3

Figure 156: Document overview GUI: documents comprising the drawings

Element list

- (1) Abstract: Default one page count
- (2) Total number of pages
- (3) Page count of description: International application as published
- (4) Description: International application as published
- (5) Page range of (4)
- (6) Page count of description: Amendments on entry into the European phase
- (7) Description: Amendments on entry into the European phase
- (8) Page range of (7)
- (9) Page count of claims: Amendments on entry into the European phase
- (10) Claims: Amendments on entry into the European phase
- (11) Page range of (10)
- (12) Number of claims on entry into the European phase
- (13) Number of claims you intend to pay for (including first 15 claims)
This value is used for the fee calculation. Please set the value to 0 (zero) if you do not intend to pay for any claims with this application.
- (14) Page count of drawings: International application as published
- (15) Drawings: International application as published
- (16) Page range of (14)
- (17) Page count of drawings: Amendments on entry into the European phase
- (18) Drawings: Amendments on entry into the European phase
- (19) Page range of (17)
- (20) Number of pages to be paid
- (21) Fee schedule for fee 520
- (22) Amount to be paid for fee 520, i.e. for the 36th and each subsequent page
- (23) Fee factor for claims to be paid

XML ep-euro-pct.xml: check-list

The total number of pages is registered in the `total-page-count` attribute of the `<check-list>` element. It is recalculated during import and it is thus not necessary to include this data in the file to be imported.

For each part of the documents indicated in the document overview, a separate child element is added to the `<check-list>` element: `<cl-description>`, `<cl-claims>` and `<cl-drawings>`. The number of pages is specified in the `page-count` attribute, while the type of document to be examined is contained in the `phase` attribute (see **Attributes in ep-euro-pct.xml file - Euro-PCT(1200E2K)** (p. 317).

Please note:

- The number of claims can be found in the `number-of-claims` attribute (12) in a separate `<cl-claims>` element.
- The number of claims you intend to pay for (including first 15 claims) is reflected in the `number-claims-fee-calculation` attribute (13) in the same `<cl-claims>` element.



Figure 157: Document overview XML: page count and phase attributes for all document parts

XML ep-euro-pct.xml: fees

It is not necessary to indicate the fee factor for fee 520 in the XML code, since the fee amount will be calculated from the data in the `total-page-count` attribute during import. However, it is still generated by the Online Filing software.

Please note:

- The `<fee-sub-amount>` element stands for one single fee and the `<fee-schedule>` indicates the total amount of the fee to be paid.
- The values of the `<fee-factor>` elements for both fee 015 and fee 015e are calculated from the value in the `number-claims-fee-calculation` attribute (13).

In the example, the number of claims intended to pay for is 20, from which 15 (for the first 15 claims free of charge) are subtracted, thus resulting in 5 claims to be paid (23).

195	<fee index="15" topay="yes">
196	<type-of-fee>standard</type-of-fee>
197	23 <fee-factor>5</fee-factor>
198	<fee-schedule>1125</fee-schedule>
199	<fee-sub-amount>225</fee-sub-amount>
200	<fee-reduction-factor>-1</fee-reduction-factor>
201	</fee>
202	<fee index="15e" topay="yes">
203	<type-of-fee>standard</type-of-fee>
204	<fee-factor>0</fee-factor>
205	<fee-schedule>0</fee-schedule>
206	<fee-sub-amount>555</fee-sub-amount>
207	<fee-reduction-factor>-1</fee-reduction-factor>
208	</fee>
333	<fee index="520" topay="yes">
334	<type-of-fee>standard</type-of-fee>
335	20 <fee-factor user-input="">0</fee-factor>
336	<fee-schedule>0</fee-schedule> 21
337	22 <fee-sub-amount>14</fee-sub-amount>
338	<fee-reduction-factor>-1</fee-reduction-factor>
339	</fee>
340	</standard-fee>
341	<fee-calc-info>
342	<search-region region="EP"/>
343	<IPEA ipea="EP"/>
344	</fee-calc-info>
345	<fee-total-amount>6085</fee-total-amount>
346	</fees>
347	</ep-financial-data>

Figure 158: Fees XML: fee factor and fee-sub-amount calculated from the document overview

PDF epf1200.pdf - Claims

The number of claims on entry into the European phase (12) is indicated in section 6 of the PDF form.

<p>6. Documents intended for proceedings before the EPO Number of claims on entry into the European phase:</p> <p>6.1 Proceedings before the EPO as designated Office (PCT I) are to be based on the following documents: the application documents published by the International Bureau (with all claims, description and drawings), where applicable with amended claims under Art. 19 PCT unless replaced by the amendments attached.</p> <p><i>Where necessary, clarifications should be attached as 'Other documents'</i></p> <p>6.2 Proceedings before the EPO as elected Office (PCT II) are to be based on the following documents: the documents on which the international preliminary examination report is based, including any annexes unless replaced by the amendments attached.</p> <p><i>Where necessary, clarifications should be attached as 'Other documents'</i> If the EPO as International Preliminary Examining Authority has been supplied with test reports, these may be used as the basis of proceedings before the EPO.</p> <p>6.3 A copy of the results of the search carried out by the authority with which the previous application(s) whose priority is claimed was (were) filed is attached (R. 141(1) EPC).</p> <p>6.4 The applicant waives his right to the communication under Rules 161(1) or (2) and 162 EPC.</p>	<p>25 12</p> <p><input type="checkbox"/></p> <p><input checked="" type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
---	---

Figure 159: Document PDF: number of claims on entry into the European phase

The factor for the claims fee (23) is calculated from the value in the number-claims-fee-calculation attribute (13).

15. Fees		Factor/reducti on applied	Fee schedule	Amount to be paid
15-1	002 Fee for a European search - Applications filed on/after 01.07.2005	-1165	1 165.00	0.00
15-2	005e Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	1	555.00	555.00
15-3	006e Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report	1	1 730.00	1 730.00
15-4	015 Claims fee - For the 16th to the 50th claim	23	225.00	1 125.00
15-5	15e Claims fee - For the 51st and each subsequent claim	0	555.00	0.00
15-6	020 Filing fee - entry EP phase - online	1	115.00	115.00
15-7	520 Additional filing fee for the 36th and each subsequent page - entry into EP phase	0	14.00	0.00
Total:			EUR	3 525.00

Figure 160: Fees PDF: fee factor for claims fee calculated

PDF epf1200.pdf - Table for section 6 of Form 1200.3

The document pages are compiled on a separate page in the PDF form. The amount to pay is calculated from the total number of pages minus 35 fee-exempt pages multiplied by the current fee for one exceed page (fee 520).

Table for section 6 of Form 1200.3				
In accordance with the Notice from the European Patent Office dated 26 January 2009 concerning the 2009 fee structure (OJ EPO 2009, 118, and Guidelines for Examination in the EPO, April 2009, A-III, 13.2), the amount of the additional fee (Art. 2, item 1a, Rules relating to Fees) for the pages of this European patent application is calculated as follows:				
Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):				
		Page(s) from ... to ...		Number of pages
Description:	4 International application as published	1-8	5	8 3
	7 Amendments filed on entry into European phase	1-7	8	7 6
Claims:	10 Amendments filed on entry into European phase	1-4	11	4 9
Drawings:	14 International application as published	13-15	15	2 13
	17 Amendments filed on entry into European phase	1-1	18	1 16
Abstract:	Default count: one page			1 1
Total number of pages				23 2
Fee-exempt pages (Art. 2, item 1a, RFees)				-35
Number of pages to be paid for				0 19
				21 (x 14 EUR per page)
Total amount payable		EUR		0 20

Figure 161: Document overview PDF: separate table listing all documents intended for proceedings with relevant page numbers

6.7.5 Document overview - Example 2: Translation of international application and other documents, EPO is elected office

GUI Euro-PCT(1200E2K) Documents, Document Overview sub-tab

The example shows the three tabs already filled up and the total number of pages summarised.

The translation of the international application as originally filed has been attached in the **Amendments and Translations** tab, consisting of translation of description, translation of claims, translation of abstract and translation of text in the drawings. The page numbers and page ranges of these document parts are entered into the **Document Overview** sub-tab.

Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):	
Overview Description Claims Drawings	
Total number of pages - description:	25
Total number of pages - claims: +	5
Total number of pages - drawings: +	10
default one page - abstract: +	1 1
<hr/>	
Total number of pages:	41 2

Figure 162: Documents GUI: document overview with total number of pages

GUI Euro-PCT(1200E2K) Documents, Document Overview sub-tab, Description

The example shows the options for an application where **EPO as elected office** has been selected in the **EP Phase** tab. The language of proceedings is English, the language of the international application is Spanish, requiring the translation of documents.

Please note:

- If amendments or translation of amendments is selected, the option **International application as published** is disabled, since a mix of languages is not permitted. Both translations and amendments are always filed in the selected language of proceedings. i.e. English, German or French.

Proceedings | Amendments and Translations | Document Overview | Sequence Listings | Additional Documents

Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):

Overview | Description | Claims | Drawings

The description on entry into the European phase comprises the following parts:

Part	Pages from...to...	Number of pages
<input type="checkbox"/> International application as published		
<input checked="" type="checkbox"/> Translation of international application as published	1-25	25
<input type="checkbox"/> Translation of Art. 34 PCT amendments		
<input type="checkbox"/> Amendments on entry into the European phase		
Total number of pages - description:		25

Figure 163: Document overview GUI: documents comprising the description

GUI Euro-PCT(1200E2K) Documents, Document Overview sub-tab, Claims

The number of claims (6) on entry into the European phase and the number of claims you intend to pay for (including first 15 claims) (10) are entered here. The translation of the international application, also containing the translated claims, has been attached under **Amendments and Translations**.

Please note:

- The relevant number of pages containing the claims in the **international application as published** (10) has to be indicated; even if these are less or more pages than the translation.
- Only one of the four options can be checked under the conditions determined by this example.

Proceedings | Amendments and Translations | Document Overview | Sequence Listings | Additional Documents

Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):

Overview | Description | Claims | Drawings

Number of claims on entry into the European phase: **6**

Number of claims you intend to pay for (including first 15 claims) : **7** ⓘ

The set of claims on entry into the European phase comprises the following parts: Pages from...to... Number of pages

Part	Pages from...to...	Number of pages
8 <input checked="" type="checkbox"/> International application as published	9 <input type="text" value="26-30"/>	<input type="text" value="5"/> 10
<input type="checkbox"/> Art. 19 PCT amendments	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Art. 34 PCT amendments	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Amendments on entry into the European phase	<input type="text"/>	<input type="text"/>
Total number of pages - claims:		5

Figure 164: Document overview GUI: documents comprising the claims

GUI Euro-PCT(1200E2K) Documents, Document Overview sub-tab, Drawings

Translations of drawings are not required by default, since drawings often do not contain any text. If there are more pages containing drawings in the international application as published, only those with text need to be translated and filed.

In this example, the page number of the translated drawings attached under **Amendments and Translations** is entered in the document overview.

Proceedings | Amendments and Translations | Document Overview | Sequence Listings | Additional Documents

Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):

Overview | Description | Claims | Drawings

The drawings on entry into the European phase comprises the following parts:

Part	Pages from...to...	Number of pages
<input type="checkbox"/> International application as published	<input type="text"/>	<input type="text"/>
11 <input checked="" type="checkbox"/> Translation of international application as published	12 <input type="text" value="31-35"/>	<input type="text" value="5"/> 13
14 <input checked="" type="checkbox"/> Translation of Art. 34 PCT amendments	15 <input type="text" value="1-5"/>	<input type="text" value="5"/> 16
<input type="checkbox"/> Amendments on entry into the European phase	<input type="text"/>	<input type="text"/>
Total number of pages - drawings:		10

Figure 165: Document overview GUI: documents comprising the drawings

Element list

- (1) Abstract: Default one page count
- (2) Total number of pages
- (3) Description: Translation of international application as published
- (4) Page range of (3)
- (5) Page count of description: Translation of international application as published
- (6) Number of claims on entry into the European phase
- (7) Number of claims you intend to pay for (including first 15 claims)
This value is used for the fee calculation. Please set the value to **0** (zero) if you do not intend to pay for any claims with this application.
- (8) Claims: International application as published
- (9) Page range of (8)
- (10) Page count of claims: International application as published
- (11) Drawings: Translation of international application as published
- (12) Page range of (11)
- (13) Page count of drawings: Translation of international application as published
- (14) Drawings: Translation of Art. 34 PCT amendments
- (15) Page range of (14)
- (16) Page count of drawings: Translation of Art. 34 PCT amendments
- (17) Number of pages to be paid
- (18) Fee schedule for fee 520
- (19) Amount to be paid for fee 520, i.e. for the 36th and each subsequent page

XML ep-euro-pct.xml: check-list

The total number of pages is registered in the `total-page-count` attribute of the `<check-list>` element. It is recalculated during import and it is thus not necessary to include this data in the file to be imported.

For each part of the documents indicated in the document overview, a separate child element is added to the `<check-list>` element: `<cl-description>`, `<cl-claims>` and `<cl-drawings>`. The number of pages is specified in the `page-count` attribute, while the type of document to be examined is contained in the `phase` attribute (see **Attributes in ep-euro-pct.xml file - Euro-PCT(1200E2K)** (p. 317)).

Please note:

- The number of claims can be found in the `number-of-claims` (6) attribute in a separate `<cl-claims>` element.
- The number of claims you intend to pay for (including first 15 claims) is reflected in the `number-claims-fee-calculation` (7) attribute in the same `<cl-claims>` element.
- The `phase` attribute value for **Translation of international application as published** is `translation-of-international-application` (3, 11).
- The `phase` attribute value for **International application as published** is `international-application-as-filed` (8).
- The `phase` attribute value for **Translation of Art. 34 PCT amendments** is `translation-of-amendments-during-international-exam` (14).
- The `<check-list>` also contains the page count of the translated abstract attached under **Amendments and Translations** (line 56 of the XML code). However, this document is not part of the document overview and therefore the page number is not added to the total page count. Instead, one page is added as the default count for the abstract; see the example of the PDF form below.

2	<!DOCTYPE ep-euro-pct SYSTEM "ep-euro-pct-v1-09.dtd">
3	<ep-euro-pct lang="en" dtd-version="1.0" ro="EP" produced-by="applicant" date-produced="20140422 18:21:46" regional-phase-office="designated" amendments-enclosed="no">
4	<!--software_name eOLF- 2
5	<!--software_version FMMNGR5118, EP122K5118, FM_FOP0205-->
6	<!--stylesheet_version 3-->
7	<!--fop_version Version 0.20.5-->
8	1 <file-reference-id>1200-designated</file-reference-id>
9	<request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby requested.</request-petition> 3
10	<parties>
29	<priority-claims>
30	<ep-priority-claim sequence="1" kind="international">
31	<country>IB</country>
32	5 <doc-number>PCT/US2013/123456</doc-number>
33	<date>20131010</date> 8
34	</ep-priority-claim>
35	<ep-priority-claim sequence="2" kind="regional">
36	<country>EP</country>
37	7 <doc-number>EP13400500.8</doc-number>
38	<date></date>
39	</ep-priority-claim>
40	<ep-priority-claim sequence="3" kind="international">
41	<country>IB</country>
42	6 <doc-number>WO2013123456</doc-number>
43	<date></date>
44	</ep-priority-claim>
45	</priority-claims>
46	<search-authority>
47	<isa>
48	9 <country>EP</country>
49	</isa>
50	</search-authority>
51	<check-list total-page-count="1"> 4
55	<ep-language-of-filing lang-code="en">en</ep-language-of-filing>
56	<ep-office-specific-data office="EP" lang="en">
57	<ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
102	<ep-declarations>
103	11 <waiver-for-communication/>
104	</ep-declarations>
105	<translation-info>
112	<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
113	<fees date="20140401">
114	<standard-fee>
340	<fee-calc-info>
341	<search-region region="EP"/>
342	10 <IPEA ipea="EP"/>
343	</fee-calc-info>

Figure 166: Document overview XML: page count and phase attributes for all document parts

XML ep-euro-pct.xml: fees

It is not necessary to indicate the fee factor for fee 520 in the XML code, since the fee amount will be calculated from the data in the `total-page-count` attribute. However, it is still generated by the Online Filing software.

Please note:

- The `<fee-sub-amount>` element stands for one single fee and the `<fee-schedule>` indicates the total amount of the fee to be paid.

```

334 <fee index="520" topay="yes">
335 <type-of-fee>standard</type-of-fee>
336 <fee-factor user-input="">6</fee-factor> 17
337 <fee-schedule>84</fee-schedule> 19
338 <fee-sub-amount>14</fee-sub-amount> 18
339 <fee-reduction-factor>-1</fee-reduction-factor>
340 </fee>
    
```

Figure 167: Fees XML: fee factor and fee-sub-amount calculated from the document overview

PDF epf1200.pdf - Table for section 6 of Form 1200.3

The document pages are compiled on a separate page in the PDF form. The **total amount payable** (19) is calculated from the **total number of pages** (2) minus 35 **fee-exempt pages** multiplied by the current fee for one exceed page (17).

Table for section 6 of Form 1200.3		
In accordance with the Notice from the European Patent Office dated 26 January 2009 concerning the 2009 fee structure (OJ EPO 2009, 118, and Guidelines for Examination in the EPO, April 2009, A-III, 13.2), the amount of the additional fee (Art. 2, item 1a, Rules relating to Fees) for the pages of this European patent application is calculated as follows:		
Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):		
Description:	Page(s) from ... to ...	Number of pages
3 Translation of international application as published	1-25 4	25 5
8 International application as published	26-30 9	5 10
11 Translation of international application as published	31-35 12	5 13
14 Amendments under Art. 34 PCT	1-5 15	5 16
Abstract: Default count: one page		1 1
Total number of pages		41 2
Fee-exempt pages (Art. 2, item 1a, RFees)		-35
Number of pages to be paid for		6 17
		18 (x 14 EUR per page)
Total amount payable	EUR	84 19

Figure 168: Document overview PDF: separate table listing all documents intended for proceedings with relevant page numbers

6.7.6 Sequence listings in computer-readable format

If you attach a sequence listing to a Euro-PCT(1200E2K) application, this file must always be submitted in computer-readable format in accordance with WIPO Standard ST.25. If the computer-readable format is not available, you can attach the sequence listing in PDF format and file the computer-readable file later, see **Sequence listings in PDF format** (p. 143). Only one sequence listing file can be attached, i.e. either a computer-readable file or a PDF file.

Computer-readable sequence listings can be attached as the following file types:

- Nucleotide and Amino Acid Sequence Listing (APP or SEQ)
 - document code = SEQLTXT
 - EPO file name for APP files = SEQLTXT.app
 - EPO file name for SEQ files = SEQLTXT.seq
- ASCII Text (TXT)
 - document code = SEQLTXT
 - EPO file name = SEQLTXT.txt
- Archive File Format (ZIP)
 - document code = SEQLZIP
 - EPO file name = SEQLTXT.zip

GUI Euro-PCT(1200E2K) Documents, Sequence listings sub-tab

The example shows a sequence listing attached in ZIP format.

- If you attach APP, SEQ or TXT files, please refer to the list above for the corresponding document codes and EPO file names.
- For an example of a sequence listing in APP format, see **Sequence listings in computer-readable format** (p. 76) in the section about form EP(1001E2K).

The screenshot shows the 'Sequence Listings' sub-tab in the EPO GUI. The 'Declaration' section contains the following items:

- 1 The international application discloses nucleotide and/or amino acid sequences.
- 2 The sequence listing is attached:
 - 3 In computer-readable format in accordance with WIPO Standard ST.25
 - WIPO ST.25 file: SEQLTXT.zip 5
 - In PDF format
 - PDF file: No file selected
- 6 The sequence listing does not include matter that goes beyond the content of the application as filed.

Figure 169: Documents GUI: sequence listing in computer-readable format is attached

Element list

- (1) International application discloses nucleotide and/or amino acid sequences
- (2) Sequence listing is attached
- (3) Sequence listing is attached in computer-readable format
- (4) Original file name of sequence listing in ZIP format (not displayed in GUI)
- (5) EPO file name for sequence listings in ZIP format
- (6) Sequence listing does not include matter that goes beyond content of application as filed

XML ep-euro-pct.xml

```

75 <search-authority>
80 <check-list total-page-count="34">
81 <cl-request/>
82 <cl-description page-count="20" phase="international-application-as-filed" application-pages="1-20"/>
83 <cl-claims page-count="7" phase="international-application-as-filed" application-pages="21-27"/>
84 <cl-claims number-of-claims="26"/>
85 <cl-drawings page-count="6" phase="entry-into-regional-phase" application-pages="1-6"/>
86 <cl-sequence-listing quantity="1" page-count="0" seq-type="txt">SEQLTXT.zip</cl-sequence-listing>
87 <cl-other-document>General authorisation</cl-other-document>
88 </check-list>
89 <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
90 <ep-office-specific-data office="EP" lang="en">
91 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
135 <ep-declarations>
136 <1><declaration-application-contains-sequence-listing furnishment-of-sequence-listing="attached"
not-including-matter-beyond-original-application="yes"/>
137 </ep-declarations>
138 <translation-info>
145 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
348 <ep-electronic-files doc-type="1001">
352 <ep-electronic-files doc-type="AMSPECEPO">
356 <ep-electronic-files doc-type="SEQLZIP">
357 <4><applicant-file-name>SEQUENCES_SAMPLE.zip</applicant-file-name>
358 <epo-file-name>SEQLTXT.zip</epo-file-name>
359 </ep-electronic-files>
360 <ep-electronic-files doc-type="REPWOIPER">
364 <ep-electronic-files doc-type="1004">
368 </ep-office-specific-data>
369 </ep-euro-pct>
    
```

Figure 170: Documents XML: data of sequence listing attached

PDF epf1200.pdf

<p>9. Nucleotide and amino acid sequences The international application discloses nucleotide and/or amino acid sequences.</p> <p>9.1 The sequence listing was filed under Rule 5.2(a) PCT, or furnished to the EPO as ISA under Rule 13ter.1(a) PCT, or is otherwise available to the EPO, in computer-readable format in accordance with WIPO ST.25.</p> <p>9.2 The sequence listing is attached in computer-readable format in accordance with WIPO Standard ST.25 The sequence listing is attached in PDF format.</p> <p>The sequence listing does not include matter which goes beyond the content of the application as filed.</p>	<input checked="" type="checkbox"/> 1 <input type="checkbox"/> <input checked="" type="checkbox"/> 2 <input type="checkbox"/> <input checked="" type="checkbox"/> 6
---	---

Figure 171: Documents PDF: details of nucleotide and amino acid sequences

[...]

12. List of enclosed documents			
	Description of document	Original file name	Assigned file name
1	Combined Amendments	Filtro motore disegno_DE.pdf	AMSPECEPO-1.pdf
2	SEQLZIP	SEQUENCES_SAMPLE.zip	SEQLTXT.zip
3	Reply to written opinion on IPER	Reply.pdf	REPLYWO-1.pdf
4	General authorisation	Authorization Nano.pdf	GENAUTH-1.pdf
13. Mode of payment: Not specified			

Figure 172: Documents PDF: list of enclosed documents with sequence listing

6.7.7 Sequence listings in PDF format

You can file a sequence listing in PDF format with a Euro-PCT(1200E2K) application if the computer-readable file is not available, but you must submit the computer-readable file subsequently.

GUI Euro-PCT(1200E2K) Documents, Sequence listings sub-tab

Figure 173: Documents GUI: sequence listing has been attached as PDF file

Element list

- (1) International application discloses nucleotide and/or amino acid sequences
- (2) Sequence listing as part of description is attached
- (3) Document code for sequence listing in PDF format
- (4) EPO file name for sequence listings in PDF format
- (5) Original file name of sequence listing in PDF format (not displayed in GUI)

XML ep-euro-pct.xml

```

80 <check-list total-page-count="34">
81 <cl-request/>
82 <cl-description page-count="20" phase="international-application-as-filed" application-pages="1-20"/>
83 <cl-claims page-count="7" phase="international-application-as-filed" application-pages="21-27"/>
84 <cl-claims number-of-claims="26"/>
85 <cl-drawings page-count="6" phase="entry-into-regional-phase" application-pages="1-6"/>
86 <cl-sequence-listing quantity="1" page-count="4" seq-type="pdf">SEQLPDF.pdf</cl-sequence-listing>
87 </check-list>
88 <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
89 <ep-office-specific-data office="EP" lang="en">
90 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
134 <ep-declarations>
135 <declaration-application-contains-sequence-listing furnishment-of-sequence-listing="attached"/>
136 </ep-declarations>
137 <translation-info>
144 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
347 <ep-electronic-files doc-type="1001">
351 <ep-electronic-files doc-type="AMSPECEPO">
355 <ep-electronic-files doc-type="SEQL">
356 <applicant-file-name>sequence listings.pdf</applicant-file-name>
357 <epo-file-name>SEQLPDF.pdf</epo-file-name>
358 </ep-electronic-files>
359 <ep-electronic-files doc-type="DRAW-HWA">
363 </ep-office-specific-data>
364 </ep-euro-pct>

```

Figure 174: Documents XML: sequence listing PDF file referenced in ep-request.xml file

PDF epf1200.pdf

<p>9. Nucleotide and amino acid sequences The international application discloses nucleotide and/or amino acid sequences.</p> <p>9.1 The sequence listing was filed under Rule 5.2(a) PCT, or furnished to the EPO as ISA under Rule 13ter.1(a) PCT, or is otherwise available to the EPO, in computer-readable format in accordance with WIPO ST.25.</p> <p>9.2 The sequence listing is attached in computer-readable format in accordance with WIPO Standard ST.25 The sequence listing is attached in PDF format.</p> <p>The sequence listing does not include matter which goes beyond the content of the application as filed.</p>	<input checked="" type="checkbox"/> 1 <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> 2 <input type="checkbox"/>
---	--

Figure 175: Documents PDF: the type of sequence listing is indicated

[...]

12. List of enclosed documents			
	Description of document	Original file name	Assigned file name
1	Combined Amendments	Filtro motore disegno_DE.pdf	AMSPECEPO-1.pdf
2	Nucleotide and/or amino acid sequences is attached: In PDF format 3	sequence listings.pdf 4	SEQLPDF.pdf 5
3	Amended drawings with annotations	Drawings amended annotations.pdf	DRAW-HWA.pdf

Figure 176: Documents PDF: sequence listing PDF file indicated under list of enclosed documents

6.7.8 Sequence listings available to the EPO

If a sequence listing as part of the international application was already filed under Rule 5.2(a) PCT, or furnished to the EPO as ISA under Rule 13ter.1(a) PCT, or is otherwise available to the EPO, in computer-readable format in accordance with WIPO ST.25, you are not required to attach a sequence listing file.

GUI Euro-PCT(1200E2K) Documents, Sequence listings sub-tab

Proceedings | Amendments and Translations | Document Overview | **Sequence Listings** | Additional Documents

1 The international application discloses nudeotide and/or amino acid sequences.

2 The sequence listing was filed under Rule 5.2(a) PCT, or furnished to the EPO as ISA under Rule 13ter.1(a) PCT, or is otherwise available to the EPO, in computer-readable format in accordance with WIPO ST.25.

The sequence listing is attached:

In computer-readable format in accordance with WIPO Standard ST.25
 WIPO ST.25 file: No file selected

In PDF format
 PDF file: No file selected

Figure 177: Documents GUI: The sequence listing is available to the EPO in computer-readable format

Element list

- (1)** The international application discloses nucleotide and/or amino acid sequences
- (2)** The sequence listing is available to the EPO in computer-readable format

XML ep-euro-pct.xml

```

80  <check-list total-page-count="34">
88  <ep-language-of-filing lang-code="pt">en</ep-language-of-filing>
89  <ep-office-specific-data office="EP" lang="en">
90  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
134 <ep-declarations>
135  1 <declaration-application-contains-sequence-listing furnishement-of-sequence-listing="already"/>
136 </ep-declarations> 2
137 <translation-info>
144 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
347 <ep-electronic-files doc-type="1001">
351 <ep-electronic-files doc-type="AMSPECEPO">
355 <ep-electronic-files doc-type="SPECTRANEPO">
359 <ep-electronic-files doc-type="REPWOIPER">
363 <ep-electronic-files doc-type="1004">
367 <ep-electronic-files doc-type="DRAW-HWA">
371 </ep-office-specific-data>
372 </ep-euro-pct>
    
```

Figure 178: Documents XML: sequence listing has been furnished, no file is attached

PDF ep-request.pdf

<p>9. Nucleotide and amino acid sequences The international application discloses nucleotide and/or amino acid sequences.</p> <p>9.1 The sequence listing was filed under Rule 5.2(a) PCT, or furnished to the EPO as ISA under Rule 13ter.1(a) PCT, or is otherwise available to the EPO, in computer-readable format in accordance with WIPO ST.25.</p> <p>9.2 The sequence listing is attached in computer-readable format in accordance with WIPO Standard ST.25</p> <p>The sequence listing is attached in PDF format.</p> <p>The sequence listing does not include matter which goes beyond the content of the application as filed.</p>	<p><input checked="" type="checkbox"/> 1</p> <p><input checked="" type="checkbox"/> 2</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
---	---

Figure 179: Documents PDF: the sequence listing is available to the EPO, a file is not attached

6.7.9 Additional documents

The additional documents that can be attached to a Euro-PCT(1200E2K) application are:

- Other documents
 - General authorisations
 - Specific authorisations
 - US certified priority documents
 - Other documents (description is entered by applicant)
- Replies to written opinion/IPER
- Search results required under Rule 141(1) EPC
- Handwritten amendments
 - Amended claims with annotations
 - Amended description with annotations
 - Amended drawings with annotations

GUI Euro-PCT(1200E2K) Documents, Additional documents sub-tab

The example below shows an application with three documents attached: a general authorisation, a reply to written opinion/IPER and amended drawings with annotations.

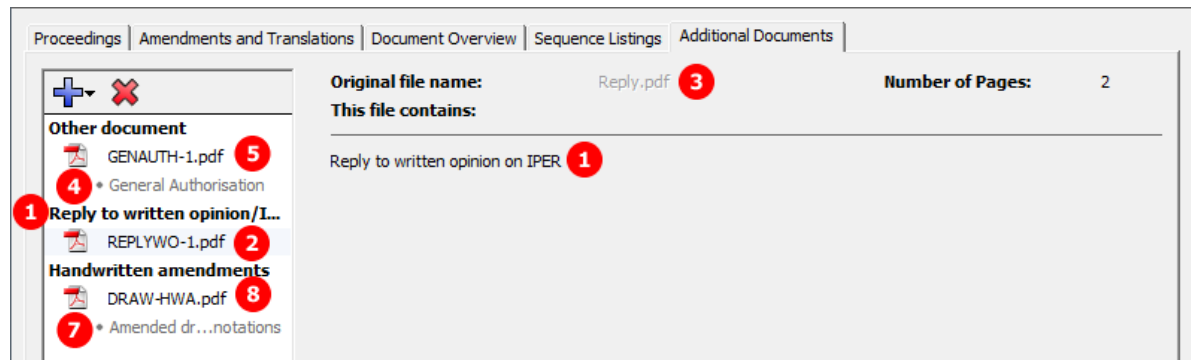


Figure 180: Documents GUI: additional documents attached

Element list

- (1) Reply to written opinion of ISA 1
Please note: REPWOISA is applicable for the doc-type attribute where the EPO is the designated office, and REPWOIPER is used where the EPO is the elected office.
- (2) EPO file name for reply of written opinion
- (3) Original file name of reply of written opinion
- (4) General authorisation
- (5) EPO file name for general authorisation
- (6) Original file name of general authorisation
- (7) Amended drawings with annotations (handwritten amendments)
- (8) EPO file name for amended drawings with annotations
- (9) Original file name of amended drawings with annotations

XML ep-euro-pct.xml

```

352 <ep-electronic-files doc-type="SPECTRANEPO">
356 <ep-electronic-files doc-type="REPWOIPER"> 1
357 <applicant-file-name>Reply.pdf</applicant-file-name> 3
358 <epo-file-name>REPLYWO-1.pdf</epo-file-name> 2
359 </ep-electronic-files>
360 <ep-electronic-files doc-type="1004"> 4
361 <applicant-file-name>Authorization Nano.pdf</applicant-file-name> 6
362 <epo-file-name>GENAUTH-1.pdf</epo-file-name> 5
363 </ep-electronic-files>
364 <ep-electronic-files doc-type="DRAW-HWA"> 7
365 <applicant-file-name>Drawings amended annotations.pdf</applicant-file-name> 9
366 <epo-file-name>DRAW-HWA.pdf</epo-file-name> 8
367 </ep-electronic-files>
368 </ep-office-specific-data>
369 </ep-euro-pct>
    
```

Figure 181: Documents XML: reply to written opinion and authorisation attached

The other XML structure and file types are basically identical with those for EP(1001E2K), see **Additional documents** (p. 80) for further details.

PDF epf1200.pdf

12. List of enclosed documents			
	Description of document	Original file name	Assigned file name
	1 Combined Amendments	Filtro motore disegno_DE.pdf	AMSPCEPEPO-1.pdf
	2 Combined Translations	Filtro motore disegno_EN.pdf	SPECTRANEPO-1.pdf
1	3 Reply to written opinion on IPER	Reply.pdf	2 REPLYWO-1.pdf
4	4 General authorisation	6 Authorization Nano.pdf	5 GENAUTH-1.pdf
7	5 Amended drawings with annotations	9 Drawings amended annotations.pdf	8 DRAW-HWA.pdf
13. Mode of payment: Not specified			<input type="checkbox"/>

Figure 182: Documents PDF: reply to written opinion of ISA and general authorisation attached

6.8 Euro-PCT(1200E2K) Fee Payment

The **Fee Payment** screen in Form Euro-PCT(1200E2K) allows applicants to enter payment details for the fees charged by the EPO. The fee selection is set automatically by the software; users can also select additional fees manually.

① You can retrieve the most recent fee schedule in the Online Filing File Manager under **Tools > Fee Management** or from the EPO **interactive schedule of fees** (<http://www.epoline.org/portal/portal/default/epoline.Scheduleoffees>).

6.8.1 Payment details

GUI Euro-PCT(1200E2K) Fee Payment, Payment Details sub-tab

In this example, bank transfer is selected as the mode of payment.

As of 01/02/2014, Euro payments within the Single Euro Payments Area (SEPA) should be exclusively issued to the EPO's bank account with the Commerzbank AG, München (DE). The most recent list of Euro accounts of the EPO is available from the EPO website at **Applying for a patent > Forms and fees > Making payments** (<http://www.epo.org/applying/forms-fees/payment.html>).

The screenshot shows the 'EPO Online Filing - Euro-PCT(1200E2K) - 1200-designated' window. The 'Fee Payment' tab is selected. The 'Payment Details' sub-tab is active. The 'Mode of payment' is set to 'Bank transfer' (1) and the 'Currency' is 'EUR' (2). The 'Bank' is 'DE, Commerzbank AG, München' (3, 4) and the 'Bank account' is 'IBAN: DE20 7008 0000 0333 880000 / BIC: DRESDEFF700' (5, 6). There is a checkbox for 'Reimbursement, if any, to be made to EPO deposit account:' (7) which is checked, and a text field for the account number '28987654__'. The 'Account holder' is 'Universal Engineering' (8). There is also a checkbox for 'Additional copies of the documents cited in the supplementary European search report are requested.' and a text field with the value '0'. The bottom status bar shows '0' errors, '2' warnings, and '2' information icons.

Figure 183: Fee Payment GUI: payment details entered

Element list

- (1) Mode of payment
- (2) Currency: default is EUR
- (3) Country of the selected bank: e.g. DE for Germany
- (4) Official name of the selected bank
- (5) IBAN-code of the EPO's bank account
- (6) BIC code of the selected bank
The BIC code is not required in the XML, it is retrieved automatically from the country code.
- (7) EPO deposit account number for reimbursement
- (8) Account holder for reimbursement

XML ep-euro-pct.xml

Please note:

- If an XML file contains an invalid EPO bank account, this data is not imported and a severity 1 validation message is triggered.

```

150 <translation-info>
157 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
158   <mode-of-payment accno="DE20 7008 0000 0333 880000" mode-type="bank" currency="EUR">DE</
mode-of-payment>
159   <reimbursement accno="28987654 ">Universal Engineering</reimbursement>
160   <fees date="20140401">
161     <standard-fee>
387     <fee-calc-info>
391     <fee-total-amount>3680</fee-total-amount>
392   </fees>
393 </ep-financial-data>

```

Figure 184: Fee Payment XML: payment and account data

PDF epf1200.pdf

13. Mode of payment: Bank transfer	<input checked="" type="checkbox"/>
Currency	EUR
The fees and costs indicated on the fees page will be paid by transfer to the following bank account held by the office:	
Bank	Commerzbank AG
Bank account	IBAN: DE20 7008 0000 0333 880000
	BIC: DRESDEFF700
14. Any refunds should be made to the following EPO deposit account:	<input checked="" type="checkbox"/>
Number and account holder	Universal Engineering, 28987654
15. Fees	

Figure 185: Fee Payment PDF: mode of payment and account data

6.8.2 Fee selection

The example in this section shows an application with the EPO as elected office and the IPEA is the EPO. The number of claims on entry into the European phase is 25, of which 20 are intended for the fee calculation. The translations and amended documents add up to 37 pages. Furthermore, the applicant(s) selected the Declaration under Rule 6(4) option to apply the 65% reduction in the examination fee.

GUI Euro-PCT(1200E2K) Fee payment, Fee selection sub-tab

...	Description	Amount EUR	Reduction	Quantity	Amount to P...
002	Fee for a European search - Applications filed on/after 01.07.2005	1 285.00	1 100 €	1	185.00
005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	580.00	----	1	580.00
006	Examination fee - For applications filed on/after 01.07.2005	1 620.00	65%	1	567.00
015	Claims fee for 16th up to 50th claim	235.00	----	5	1 175.00
015e	Claims fee - For the 51st and each subsequent claim	580.00	----	0	0.00
020	Filing fee - entry EP phase - online	120.00	----	1	120.00
033	Renewal fee for the 3rd year	465.00	----	1	465.00
520	Additional filing fee for the 36th and each subsequent page - entry into EP phase	15.00	----	2	30.00

Fee schedule for EUR valid as of: 01.04.2014

Total: (8 Fees) EUR 3 122.00

Figure 186: Fee Payment GUI: selected fees and total amount to pay

Element list

- (1) Fee 002 selected
- (2) Fee code, indicated by the `index` attribute
- (3) Fee schedule for fee 002
- (4) Fee reduction amount = 1110 EUR
- (5) Fee quantity (only indicated in GUI)
- (6) Fee amount to pay = fee schedule + fee factor (i.e., in this case, the factor is summed up and not multiplied)
- (7) Fee factor = negative value of fee reduction amount * quantity
- (8) Fee 005e selected, fee factor = 1
- (9) Fee 006 selected
- (10) Fee code, indicated by the `index` attribute
- (11) Fee schedule for fee 006
- (12) Fee reduction factor = 0.65 (i.e., 65% is indicated in GUI)

- (13) Fee quantity (only indicated in GUI)
 (14) Fee amount to pay = fee schedule * fee factor
 (15) Fee factor = (1 - fee reduction factor) * quantity
 (16) Fee 015 selected and locked by default
 (17) Fee code, indicated by the `index` attribute
 (18) Fee schedule for fee 015
 (19) Fee reduction factor = -1 (i.e., no value is indicated in GUI)
 (20) Fee quantity = `number-of-claims-fee-calculation` - 15 (first 15 claims are free of charge)
 (21) Fee amount to pay = fee schedule * fee factor
 (22) Fee factor = quantity * fee reduction factor
 (23) Fee 015e selected and locked by default
 (24) Fee 020 selected, fee factor = 1
 (25) Fee 033 selected, fee factor = 1
 (26) Fee 520 selected, fee factor = 2
 Fee 520 should always be selected in case the total number of pages is corrected by the EPO and potentially exceeds 36 pages.
 (27) Date of fee schedule validity
 (28) Total amount of fees in EUR
 The following conditions must be fulfilled to apply the 65% reduction in the examination fee:
 (29) IPEA is EPO
 (30) Request for examination in an admissible non-EPO language
 (31) Declaration under Rule 6(4) EPC

! **Note:** The `<fee-schedule>` element is used for the (calculated) fee amount and the `<fee-sub-amount>` element contains the fee schedule (for one single fee). Use the `<fee-reduction-factor>` element to indicate a fee reduction on a fixed or percentage basis. The default value is -1. Use the `<fee-reduction-amount>` element to indicate a fee reduction on an amount basis.

See the information on importing fee data from XML files in the EP(1001E2K) section, chapter **Importing the correct fee amounts depending on the date of filing** (p. 93).

PDF epf1200.pdf

15. Fees		Factor/reducti on applied	Fee schedule	Amount to be paid
(1) 15-1	(2) 002 Fee for a European search - Applications filed on/after 01.07.2005	(7) -1100	(3) 1 285.00	185.00 (6)
(8) 15-2	005e Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	1	580.00	580.00
(9) 15-3	(10) 006 Examination fee - For applications filed on/after 01.07.2005	(15) 0.35	(11) 1 620.00	567.00 (14)
(16) 15-4	(17) 015 Claims fee - For the 16th to the 50th claim	(22) 5	(18) 235.00	1 175.00 (21)
(23) 15-5	15e Claims fee - For the 51st and each subsequent claim	0	580.00	0.00
(24) 15-6	020 Filing fee - entry EP phase - online	1	120.00	120.00
(25) 15-7	033 Renewal fee for the 3rd year	1	465.00	465.00
(26) 15-8	520 Additional filing fee for the 36th and each subsequent page - entry into EP phase	2	15.00	30.00
Total:			EUR	3 122.00 (28)
16. Annotations				

Figure 187: Fee Payment PDF: fees listed with total amount to pay

XML ep-euro-pct.xml

The <check-list> element contains the information on the number of claims; see **Document overview - Example 1: Amendments on entry into the European phase, EPO is designated office** (p. 128).

```

58 <ep-office-specific-data office="EP" lang="en">
59 30 <ep-request-for-exam-art94 lang="es"/>
60 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
105 <ep-declarations>
106 <waiver-to-indicate-further-processing/>
107 31 <declaration-of-entity-or-natural-person-under-rule-6-3/>
108 </ep-declarations>
109 <translation-info>
116 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
117 <mode-of-payment accno="28123456 " mode-type="deposit" currency="EUR" deferred-execution-date="
20140505">Salvatore Manzoni</mode-of-payment>
118 <fees date="20140401"> 27
119 <standard-fee>
120 2 <fee index="2" topay="yes"> 1
121 <type-of-fee>standard</type-of-fee>
122 7 <fee-factor>-1100</fee-factor>
123 <fee-schedule>185</fee-schedule> 6
124 3 <fee-sub-amount>1285</fee-sub-amount>
125 <fee-reduction-amount>1100</fee-reduction-amount> 4
126 </fee>
127 <fee index="2e" topay="no">
134 <fee index="5" topay="no">
141 <fee index="5e" topay="yes"> 8
148 10 <fee index="6" topay="yes"> 9
149 <type-of-fee>standard</type-of-fee>
150 15 <fee-factor>0.35</fee-factor>
151 <fee-schedule>567</fee-schedule> 14
152 11 <fee-sub-amount>1620</fee-sub-amount>
153 <fee-reduction-factor>0.65</fee-reduction-factor> 12
154 </fee>
155 <fee index="6e" topay="no">
162 <fee index="13" topay="no">
169 17 <fee index="15" topay="yes"> 16
170 <type-of-fee>standard</type-of-fee>
171 22 <fee-factor>5</fee-factor>
172 <fee-schedule>1175</fee-schedule> 21
173 18 <fee-sub-amount>235</fee-sub-amount>
174 <fee-reduction-factor>-1</fee-reduction-factor> 19
175 </fee>
176 23 <fee index="15e" topay="yes">
183 24 <fee index="20" topay="yes">
190 <fee index="22" topay="no">
197 25 <fee index="33" topay="yes">
330 <fee index="410" topay="no">
337 26 <fee index="520" topay="yes">
338 <type-of-fee>standard</type-of-fee>
339 <fee-factor user-input="">2</fee-factor>
340 <fee-schedule>30</fee-schedule>
341 <fee-sub-amount>15</fee-sub-amount>
342 <fee-reduction-factor>-1</fee-reduction-factor>
343 </fee>
344 </standard-fee>
345 <fee-calc-info>
346 <search-region region="EP"/>
347 29 <lPEA ipea="EP"/>
348 </fee-calc-info>
349 28 <fee-total-amount>3122</fee-total-amount>
350 </fees>
351 </ep-financial-data>

```

Figure 188: Fee Payment XML: fees listed

6.9 Euro-PCT(1200E2K) Annotations

GUI Euro-PCT(1200E2K) Annotations

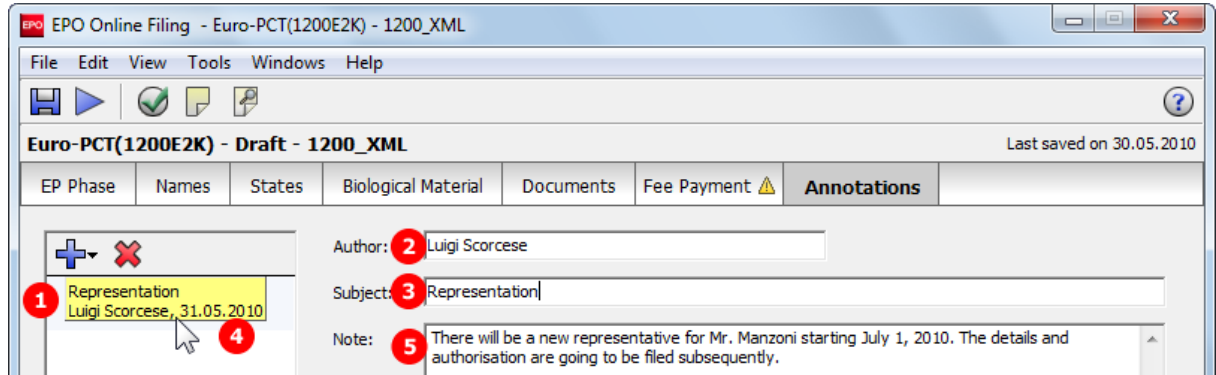


Figure 189: Annotations GUI: note for EPO entered

Element list

- (1) Note 1
- (2) Author
- (3) Subject
- (4) Date created (not displayed PDF)
- (5) Text

XML ep-euro-pct.xml

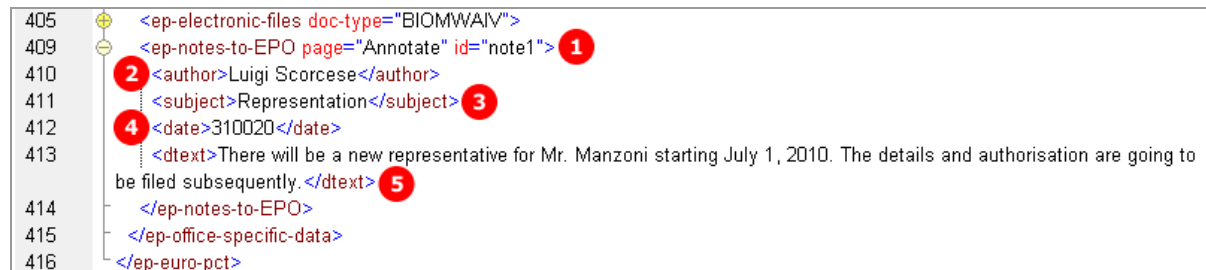


Figure 190: Annotations XML: note for EPO

PDF epf1200.pdf



Figure 191: Annotations PDF: note for EPO

7 Form EP(1038E) - Subsequently filed documents

7.1 XML files for an EP(1038E) application

The following three XML files are required for an EP(1038E) application to be imported. Note that unlike in EP(1001E2K) and Euro-PCT(1200E2K), there is no ***application-body.xml***.

File name	DTD	Description
pkgheader.xml	pkgheader.dtd	Indicates selected procedure and other data for transmission to filing office.
package-data.xml	package-data.dtd	References attached documents including ep-sfd-request.xml file.
ep-sfd-request.xml	ep-sfd-request-v2-4.dtd	Application data as entered in Form EP(1038E), references attached documents.

The XML structure of the ***pkgheader.xml*** and ***package-data.xml*** files is the same as for EP(1001E2K) applications - see sections **General information on the package - pkgheader.xml** (p. 13) and **References from XML files to other files** (p. 14).

More information on the XML structure of the ***ep-sfd-request.xml*** file can be found in the following sections.

7.2 Document codes and file types for EP(1038E)

EP(1038E) allows applicants to attach many different document types, all of which are subject to legal modifications to the procedure.

! *Note: Public and non-public documents must not be filed with one and the same application; the EPO requires two separate applications.*

Document code	EPO file name *)	Description
Request		
REQXML	ep-sfd-request.xml	Application data, see table above
PDF Attachments, in alphabetical order (the file name extension is always .pdf)		
1002E	1002E-1	Designation of inventor (Non-public)
1003	1003-1	Authorisation of representative
1005	1005	Request for accelerated search/examination (non-public)
1009	1009.pdf	Request for participation in the Patent Prosecution Highway (PPH) (non-public)
2936	ADVOFDELIVRY	Acknowledgement
ABEX	ABEX-1	Amendments before examination
ABSTMOD	ABSTMOD-1	Modified abstract
ABSTTRAN	ABSTTRAN-1	Translation of the abstract
ANNEX-NP	ANNEX-NP-1	Non-public annex
APPEAL	APPEAL	Notice of appeal

Document code	EPO file name *)	Description
APPEAL-ANNEX	APPEAL-ANNEX-1	Annexes (other than cited documents) regarding appeal procedure
APPEAL-CDOC	APPEAL-CDOC-1	Cited documents during appeal procedure
APPEAL-CNPL	APPEAL-CNPL-1	Non-patent literature cited during the appeal procedure
APPEAL-CP	APPEAL-CP-1	Patent document cited during the appeal procedure
APPEAL-EVID	APPEAL-EVID-1	Evidence in support of the appeal
APPEAL-GRDS	APPEAL-GRDS-1	Statement of grounds of appeal
APPEAL-LETT	APPEAL-LETT-1	Letter relating to appeal procedure
APPEAL-ORAL	APPEAL-ORAL-1	Letter dealing with oral proceedings during the appeal procedure
APPEAL-TCNPL	APPEAL-TCNPL-1	Non-patent literature filed by a third party during the appeal procedure
APPEAL-TCP	APPEAL-TCP-1	Patent document filed by a third party during the appeal procedure
APPEAL-TIPA	APPEAL-TIPA-1	Receipt of third-party observations during the appeal procedure
APPEALG-AC	APPEALG-AC-1	amicus curiae (statement by third parties in the proceedings before the Enlarged Board of Appeal in accordance with Art. 10 RPEBA)
APPEALG-LETT	APPEALG-LETT-1	Incoming letter in referral procedure
APPEALR-LETT	APPEALR-LETT-1	Letter relating to the review procedure
APPEALR-ANX	APPEALR-ANX-1	Annexes (other than cited documents) regarding review procedure
APPEALWDRA	APPEALWDRA	Withdrawal of an appeal
APPRASSI	APPRASSI-1	Request for assignment
APPRCHOA	APPRCHOA-1	Request for change of address
APPRCHON	APPRCHON-1	Request for change of name
APPRMISC	APPRMISC-1	Document concerning the applicant
BIOM	BIOM-1	Document concerning micro-organisms and medical inventions
CLMS	CLMS-1	Claims
CLMS-HWA	CLMS-HWA-1	Amended claims with annotations
CLMSPAMD	CLMS-1	Amended claims (clean copy)
CLMSTRAN	CLMSTRAN-1	Translation of claims
CLMSTRAN-DE	CLMSTRAN-DE-1	German translation of the claims
CLMSTRAN-EN	CLMSTRAN-EN-1	English translation of the claims
CLMSTRAN-FR	CLMSTRAN-FR-1	French translation of the claims
CORI	CORI-1	Request for correction/amendment of the text proposed for grant sent until 31.03.2012
DECA	DECA-1	Automatic debiting

Document code	EPO file name *)	Description
DESC-HWA	DESC-HWA-1	Amended description with annotations
DESCNEW	DESCNEW-1	Missing parts of the description
DESCPAMD	DESC-1	Amended description (clean copy)
DESCTRAN	DESCTRAN-1	Translation of description
DEST	DEST-1	Document concerning the designation and extension of states
DG3-CLMS	DG3-CLMS-1	Claims (appeal procedure)
DG3-CLMS-HWA	DG3-CLMS-HWA-1	Amended claims with annotations (appeal procedure)
DG3-DESC	DG3-DESC-1	Description (appeal procedure)
DG3-DESC-HWA	DG3-DESC-HWA-1	Amended description with annotations (appeal procedure)
DG3-DRAW	DG3-DRAW-1	Drawings (appeal procedure)
DG3-DRAW-HWA	DG3-DRAW-HWA-1	Amended drawings with annotations (appeal procedure)
DG3-INTERP	DG3-INTERP-1	Request for interpreters during oral proceedings
DG3-INTERVEN	DG3-INTERVEN-1	Intervention of the assumed infringer
DG3-ORALREQ	DG3-ORALREQ-1	Request for oral proceedings
DG3-ORALWDRA	DG3-ORALWDRA-1	Withdrawal of a request for oral proceedings (appeal procedure)
DG3-REES	DG3-REES-1	Request for re-establishment of rights (appeal procedure)
DG3-REESGROU	DG3-REESGROU	Grounds for re-establishment of rights (appeal procedure)
DG3-REPLSTGR	DG3-REPLSTGR-1	Reply to appeal
DG3-REQDATOP	DG3-REQDATOP-1	Oral proceedings: request for postponement (appeal procedure)
DG3-RFPR	DG3-RFPR-1	Request for further processing (appeal procedure)
DG3-TIMEEXT	DG3-TIMEEXT-1	Request for extension of time limit during appeal procedure
DRAW	DRAW-1	Drawings
DRAW-HWA	DRAW-HWA-1	Amended drawings with annotations
DRAWNEW	DRAWNEW-1	Missing parts of the drawings
DRAWPAMD	DRAW-1	Amended drawings (clean copy)
DRAWTRAN	DRAWTRAN-1	Translation of text in drawings
ENQUIRY	ENQUIRY-1	General enquiry
EPLETT	EPLETT-1	Letter relating to the search and examination procedure
EUCLWAIVER	EUCLWAIVER-1	Waiver in respect of communication under Rule 161/162 EPC
EXAM	EXAM-1	Document filed during examination procedure

Document code	EPO file name *)	Description
EXAMREQ	EXAMREQ-1	Request for examination
EXRE3	EXRE3-1	Reply to examination report
EXRE92	EXRE92-1	Request for extension of time limit during examination procedure
F1002	F1002-1	Designation of inventor
FEES	FEES-1	Document concerning fees and payments
FICO	FICO-1	Request for certified copies of application (non-public)
FISP	FISP	Request for inspection of file (non-public)
FREP	FREP-1	Document concerning representation
IGRA	IGRA-1	Reply to communication under Rule 71(3) EPC
IGRE	IGRE-1	Request for correction/amendment of the text proposed for grant sent from 01.04.2012
INVT	INVT-1	Document concerning the inventorship
INVT193	Signed-EPR193-1	Inventor waiver - Rule 19(3) EPC
INVT193-NP	SignEPR193NP-1	Inventor waiver - Rule 19(3) EPC (non-public)
INVT201	SignedEPR201-1	Inventor waiver - Rule 20(1) EPC (non-public)
IPERTRAN	IPERTRAN-1	Translation of international preliminary examination report
LIMDOC	LIMDOC-1	Citation for the limitation procedure
LIMLETT	LIMLETT-1	Letter/request relating to the limitation procedure
LIMWDRA	LIMWDRA	Withdrawal of limitation request
LIRE3	LIRE3-1	Reply to the limitation report
MEDA	MEDA-1	Medical certificate (non-public)
MEPA	MEPA-1	Maintenance of the application
ORAL	ORAL-1	Letter dealing with oral proceedings
ORALWDRA	ORALWDRA-1	Withdrawal of request for oral proceedings
PPH-EXAM	PPH-EXAM-1	PPH: documents for examination
PPH-SRCH	PPH-SRCH-1	PPH: documents for search
PRIO	PRIO-1	Document concerning the priority claims
PRIOTRAN	PRIOTRAN-1	Translation of priority documents
PRSR	PRSR-1	Search results required under Rule 141(1) EPC
PRSR-NON	PRSR-NON-1	Statement of non-availability of search results required under Rule 141(1) EPC
PRSR-REPLY	PRSR-REPLY-1	Reply to the communication under rule 70b EPC
R88	R139-1	Request for correction of the documents (Rule 139 EPC)
RALL2	RALL2-1	Letter regarding the translation of the limited claims

Document code	EPO file name *)	Description
RDEC	RDEC-1	Request for a decision
REES	REES-1	Request for re-establishment of rights/restitutio in integrum
REESGROUNDS	REESGROUNDS-1	Grounds for re-establishment of rights/restitutio in integrum
REPTORCLAR	REPTORCLAR-1	Reply to request for clarification
REVLETT	REVLETT-1	Letter/request relating to the revocation procedure
REVOREQ	REVOREQ	Request for revocation of patent
RFPR	RFPR-1	Request for further processing
SEQL	SEQL-1	Document concerning sequence listing, PDF
SRCH	SRCH-1	Document concerning search matters
SUBCLMS	SUBCLMS-1	Subsequently filed claims
SUSI	SUSI-1	Request for suspension/interruption of procedure
TDOC	TDOC-1	Citations filed by a third party
TDOCNPL	TDOCNPL-1	Non-patent literature filed by a third party
TDOCP	TDOCP-1	Patent document filed by a third party
TIMEEXTREQ	TIMEEXTREQ-1	Request for extension of time limit during search procedure
TIPA1	TIPA1-1	Observations filed by third parties (Art. 115 EPC)
TIPA7	TIPA7-1	Reply to communication to third party
TIPAREPLY	TIPAREPLY-1	Reply from applicant/patentee regarding third party observations
TRANEAPP	TRANEAPP-1	Translation of previously filed application
USCERTPRIO	USCERTPRIO-1	US certified priority document
USTCHOR	USTCHOR-1	Request for change of representative
USTTOR	USTTOR-1	Request for transfer of rights
WDRA	WDRA-1	Withdrawal of application
WDRADEST	WDRADEST-1	Withdrawal of designated or extension states
WOREPLY	WOREPLY-1	Reply to search opinion/written opinion/IPER
Text file attachments (TXT, APP)		
SEQLTXT	SEQLTXT-1.txt	Sequence listings in TXT format
SEQLTXT	SEQLTXT-1.app	Sequence listings in APP format
SEQLTXT	SEQLTXT-1.seq	Sequence listings in SEQ format
SEQLTXT	SEQLTXT-1.txt	Document concerning sequence listing, TXT
Internal documents generated by Online Filing (not to be imported)		
1038	epf1038.pdf	Application in PDF format

*) If there is more than one file of this type of document, the character **1** in the file names must be replaced by **2, 3** etc.

7.3 EP(1038E) Application number

Only the EP application number needs to be entered in the **Application No** screen. The other data is inferred by Online Filing, but has to be included in the XML files.

GUI EP(1038E) Application No

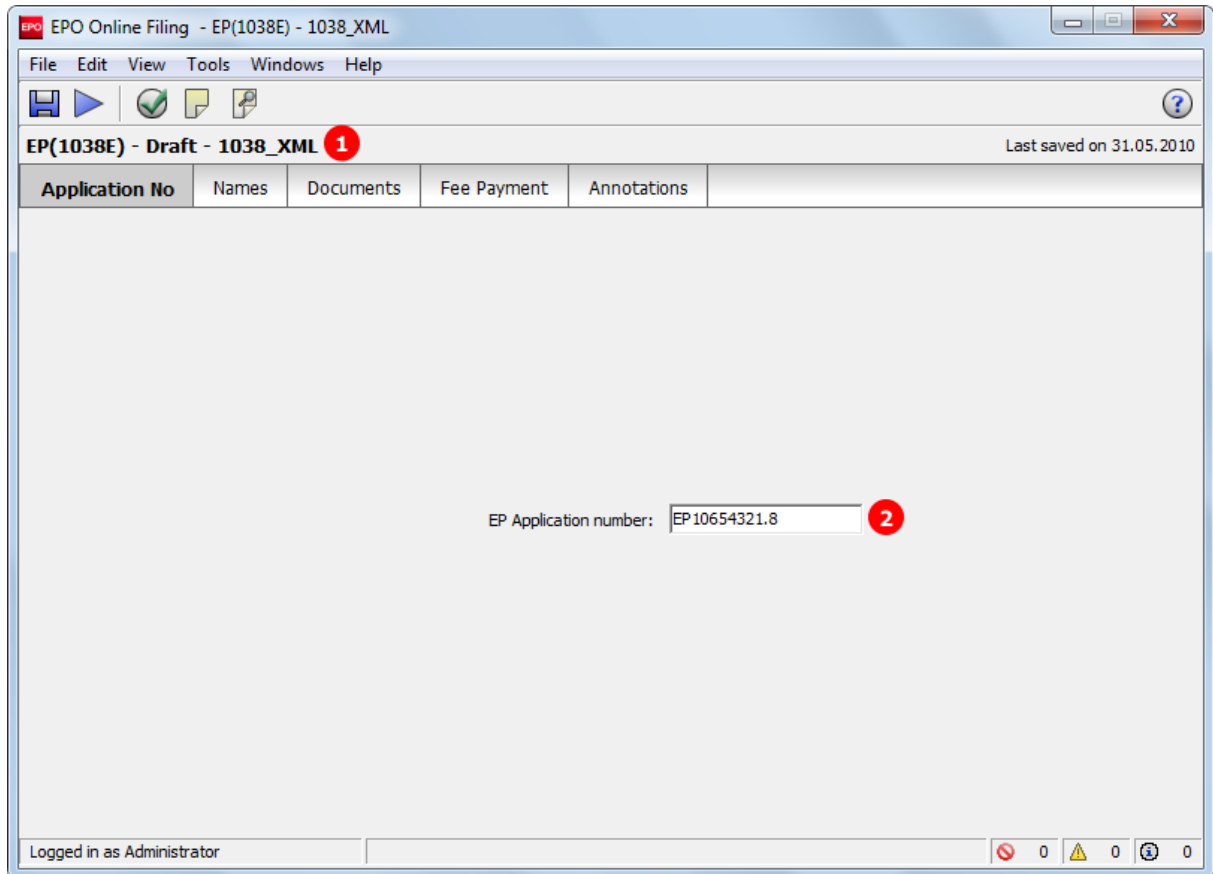


Figure 192: Application number GUI

Element list

- (1) EP application number
- (2) User reference
- (3) Procedure language

XML ep-sfd-request.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-sfd-request SYSTEM "ep-sfd-request-v2-2.dtd">
3  <ep-sfd-request lang="en" dtd-version="2.0" ro="EP" produced-by="applicant" date-produced="20111124 16:40:42">
4    <!--software_name eOLF-->
5    <!--software_version FMMNGR5072, EP10385072, FM_FOP0205-->
6    <!--stylesheet_version 3-->
7    <!--fop_version Version 0.20.5-->
8    <document-id lang="en"> 3
9      <country>EP</country>
10     <doc-number>EP10654321.8</doc-number> 2
11   </document-id>
12   <file-reference-id>1038_XML</file-reference-id> 1
13   <request-petition/>
14   <parties>
59   <check-list>
64   <office-specific-data office="EP" lang="en">
705 </ep-sfd-request>
    
```

Figure 193: Application XML: EP application number and file reference

PDF epf1038.pdf



Letter accompanying subsequently filed items

Representative:
Mr. David Kilburn
 IP Partners
 European Patents
 14
 Cambridge Science Park
 100 Red Lion Square
 Cambridge Cambridgeshire CB2 1AB
 United Kingdom

Phone: +44 1223 351689
 Fax: +44 1223 351690
 E-mail: kilburn@ip-partners.co.uk

80298 Munich
 Germany
 Tel. +49(0)89 2399-0 | Fax -4465

P.O. Box 5818
 NL-2280 HV Rijswijk
 Netherlands
 Tel. +31(0)70 340-2040 | Fax -3016

10958 Berlin
 Germany
 Tel. +49(0)30 25901-0 | Fax -840

The document(s) listed below is (are) subsequently filed documents pertaining to the following application:

Application number	2 10654321.8
Applicant's or representative's reference	1 1038_XML

Figure 194: Application in PDF format: header

7.4 EP(1038E) Names

In the **Names** screen of Form EP(1038E), only one applicant or representative can be added. Inventors or an address for correspondence cannot be added.

The XML structures of the <agent> element and the <applicant> element are the same as in **EP(1001E2K)** (see "**Names - Example 1: applicant is natural person and also inventor**" p. 33).

In the example below, a new representative has been added.

GUI EP(1038E) Names

Figure 195: Names GUI: representative added

Element list

- (1) Representatives
- (2) Representative 1 - natural person (common-representative stands for **representative, legal practitioner**)
- (3) Last name
- (4) First name
- (5) Title
- (6) EP registration number (not required)
- (7) Company
- (8) Department
- (9) Country
- (10) Street

- (11) Postal code
- (12) City
- (13) County / State
- (14) Telephone
- (15) Fax
- (16) E-mail

XML ep-sfd-request.xml

```

8 <document-id lang="en">
12 <file-reference-id>1038_docs</file-reference-id>
13 <request-petition/>
14 <parties>
15 <applicants>
32 <agents>
33 <agent sequence="1" rep-type="common-representative">
34 <addressbook lang="en">
35 <prefix>Mr.</prefix>
36 <last-name>Kilburn</last-name>
37 <first-name>David</first-name>
38 <orgname>IP Partners</orgname>
39 <department>European Patents</department>
40 <registered-number>0.0</registered-number>
41 <address>
42 <address-1>IP Partners</address-1>
43 <address-2>European Patents</address-2>
44 <street>Cambridge Science Park
45 100 Red Lion Square</street>
46 <city>Cambridge</city>
47 <state>Cambridgeshire</state>
48 <postcode>CB2 1AB</postcode>
49 <country>GB</country>
50 </address>
51 <phone>+44 1223 351689</phone>
52 <fax>+44 1223 351690</fax>
53 <email>kilburn@ip-partners.co.uk</email>
54 </addressbook>
55 </agent>
56 </agents>
57 </parties>
58 <check-list>
    
```

Figure 196: Names XML: data for representative 1

PDF epf1038.pdf

Representative: Mr. David Kilburn IP Partners European Patents Cambridge Science Park 100 Red Lion Square Cambridge Cambridgeshire CB2 1AB United Kingdom Phone: +44 1223 351689 Fax: +44 1223 351690 E-mail: kilburn@ip-partners.co.uk	80298 Munich Germany Tel. +49(0)89 2399-0 Fax -4465 P.O. Box 5818 NL-2280 HV Rijswijk Netherlands Tel. +31(0)70 340-2040 Fax -3016 10958 Berlin Germany Tel. +49(0)30 25901-0 Fax -840
---	---

Figure 197: Names PDF: representative's address

7.5 EP(1038E) Documents

In the **Documents** screen of Form EP(1038E), users attach subsequently filed documents. The corresponding document types become available after one of the following categories has been selected. These categories are not reflected in the XML structure. Their principal purpose is to help Online Filing users select the right file type.

- Filing and Search
- Search and Examination
- Examination
- Non public
- Appeal
- Third Party Observations
- Limitation and revocation

- All Documents
- Amendments
- Applicant-Representative-Inventor
- Biology
- Fees
- Filing
- Forms
- Legal Remedies
- Other
- Priorities
- Replies
- Request
- Translations
- Withdrawals

! **Note:** You cannot attach a combination of both public and non-public documents to Form EP(1038E), i.e. all documents must be EITHER public OR non-public. If you want to attach an assortment of documents, please send two separate forms to the EPO.

GUI EP(1038E) Documents

The example below shows two attached documents: an authorisation of representative and a document concerning representation. The total number of files to be attached is NOT limited.

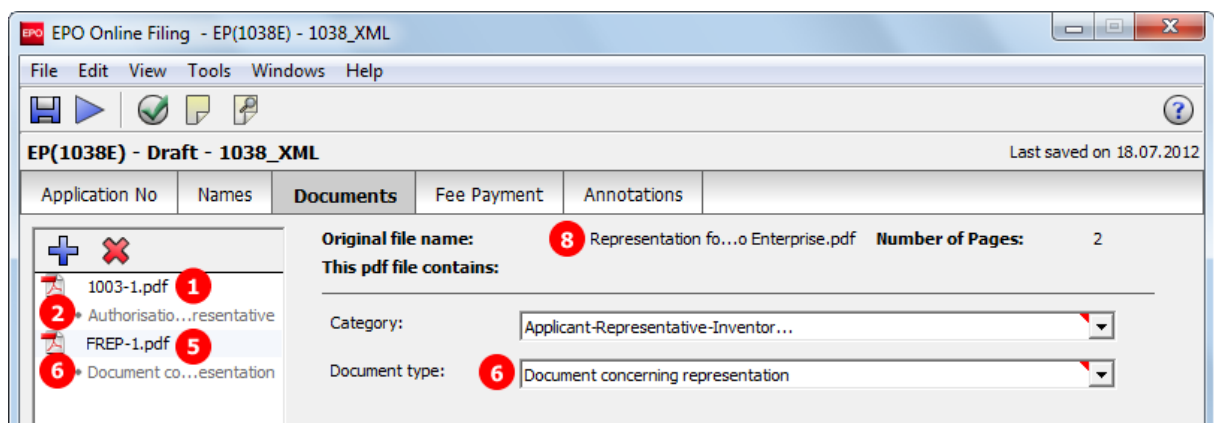


Figure 198: Documents GUI: individual files attached

Element list

- (1) EPO file name for authorisation of representative
- (2) Document type for selection of (1) in GUI
- (3) Document code for (1)
- (4) Original file name of (1)
- (5) EPO file name for document concerning representation
- (6) Document type for selection of (5) in GUI
- (7) Document code for (5)
- (8) Original file name of (5)

XML ep-sfd-request.xml

```

59 <check-list>
60 <cl-request/>
61 (2) <cl-other-document>Authorisation of representative</cl-other-document>
62 (6) <cl-other-document>Document concerning representation</cl-other-document>
63 </check-list>
64 <office-specific-data office="EP" lang="en">
65 <ep-electronic-files doc-type="1038">
66 <applicant-file-name/>
67 <ep-file-name>EPF1038.PDF</ep-file-name>
68 </ep-electronic-files>
69 (3) <ep-electronic-files doc-type="1003">
70 <applicant-file-name>Authorisation Kilburn.pdf</applicant-file-name> (4)
71 (1) <ep-file-name>1003-1.pdf</ep-file-name>
72 </ep-electronic-files>
73 (7) <ep-electronic-files doc-type="FREP">
74 <applicant-file-name>Representation for Nano Enterprise.pdf</applicant-file-name> (8)
75 (5) <ep-file-name>FREP-1.pdf</ep-file-name>
76 </ep-electronic-files>
77 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
704 </office-specific-data>
705 </ep-sfd-request>

```

Figure 199: Documents XML: list of documents

PDF epf1038.pdf

	Description of document	Original file name	Assigned file name
1	Authorisation of representative (2)	Authorisation Kilburn.pdf (4)	1003-1.pdf (1)
2	Document concerning representation (6)	Representation for Nano Enterprise.pdf (8)	FREP-1.pdf (5)

Figure 200: Documents PDF: list of attached documents

7.6 EP(1038E) Fee Payment

Unlike in EP(1001E2K) and Euro-PCT(1200E2K), fees are not automatically selected in the **Fee Payment** screen of form EP(1038E). Online Filing users need to manually check the specific fees that they want to pay. The reduction and the fee amount can be modified in the GUI. For the data in the XML file, however, this is not significant, because the `<fee-sub-amount>`, `<fee-factor>` and `<fee-schedule>` elements just have to be filled using the appropriate values.

! *Note: The `<fee-schedule>` element is used for the (calculated) fee amount and the `<fee-sub-amount>` element contains the fee schedule (for one single fee).*

Filing non-public documents and paying fees

When attaching non-public documents to your application, only certain fees can be selected at the same time. These are:

- 025 - Duplicate copies of the patent certificate
- 026 - Extracts from the European Patent Register
- 027 - Inspection of the files
- 029 - Certified copy of application; priority document
- 080 - Certification of other documents

For all other fees, a separate submission is required. .

Selecting the correct fee schedule

The fee reform of 1 April 2009 introduced a number of changes, in particular with regard to the designation fees and claims fees. If the date of filing or of entry into the regional phase of your application is **earlier than 1 April 2009**, you need to modify the date of the fee schedule to be applied.

There are two options for applications filed with Form EP(1038E):

(A) Date of filing or entry in to regional phase **on or after 1 April 2009**. This is the default option and the most recent schedule applies (1 April 2010 as of the day of last editing this document).

→ Set `<fees date="20100401">` or the most recent fee schedule, for applications on or after 1 April 2009.

(B) Date of filing or entry in to regional phase **before 1 April 2009**. The schedule of 1 April 2008 applies.

→ Set `<fees date="20080401">` for applications before 1 April 2009.

Specify the `date` attribute in the XML file for the option you require.

① You can retrieve the most recent fee schedule in the Online Filing File Manager under **Tools > Fee Management** or from the EPO **interactive schedule of fees** (<http://www.epoline.org/portal/portal/default/epoline.Scheduleoffees>).

7.6.1 Payment details and fee schedule

Three different fee schedules can be applied. By default, the most recent fee schedule applies. The option to make a declaration under Rule 6(4) EPC is only available if the schedule ***Date of filing or entry into the regional phase on or after 01.04.2014*** has been selected.

GUI EP(1038E) Fee Payment, Payment details sub-tab

The screenshot shows the 'Payment details' sub-tab of the EPO Online Filing GUI. The window title is 'EPO Online Filing - EP(1038E) - 1038-fees-1'. The sub-tab is 'EP(1038E) - Draft - 1038-fees-1', last saved on 23/04/2014. The 'Payment details' section includes: Mode of payment (1) set to 'Debit from deposit account', Currency (2) set to 'EUR', Deposit account number (3) '28123456', Account holder (4) 'IP Partners', and Deferred execution date (5) 'dd.mm.yyyy'. The 'Fee schedule' section has radio button (6) selected for 'Date of filing or entry into the regional phase on or after 01.04.2014', and checked box (7) for 'The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.'. There are also options for other fee schedules and a checkbox (8) for reimbursement with a value of '28'.

Figure 201: Fee Payment GUI: payment details and fee schedule

Element list

- (1) Mode of payment
- (2) Currency: default is EUR
- (3) EPO deposit account number
- (4) Account holder
- (5) Deferred execution date: not indicated
- (6) Fee schedule: on/after 01.04.2014
- (7) Declaration under Rule 6(4) EPC
- (8) Account for reimbursement: not indicated, so the same as for mode of payment will be used

XML ep-sfd-request.xml

If the import file should not specify a deferred execution date, the `deferred-execution-date` attribute in the `<mode-of-payment>` element can either be set to an empty value or be omitted. The OLF client sets the value to **18991230** if no date has been entered in the GUI.

```

14  <parties>
33  <ep-declarations>
34  <declaration-of-entity-or-natural-person-under-rule-6-3/>
35  </ep-declarations>
36  <check-list>
39  <office-specific-data office="EP" lang="en">
40  <ep-electronic-files doc-type="1038">

44  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
45  <mode-of-payment currency="EUR" accno="28123456" deferred-execution-date="18991230" mode-type="
1 deposit">IP Partners</mode-of-payment>
46  <fees date="20140401">
47  <standard-fee>
857 <fee-total-amount>651</fee-total-amount>
858 </fees>
859 </ep-financial-data>
    
```

Figure 202: Fee payment XML: payment details

PDF epf1038.pdf

Payment	
1	<p>Mode of payment</p> <p>Debit from deposit account 1</p> <p>Currency: EUR 2</p> <p>The European Patent Office is hereby authorised, to debit from the deposit account with the EPO any fees and costs indicated on the fees page.</p> <p>Deposit account number: 28123456 3</p> <p>Account holder: IP Partners 4</p> <p>Deferred execution date / total amount to be debited on: (or on the date of receipt if the submission date is after the deferred execution date you have indicated) 5</p> <p>Important information:</p> <ul style="list-style-type: none"> • This functionality allows you to indicate explicitly that your payment order is to be executed at a later date than the submission date. In this case, the payment date will be deemed to be the deferred execution date, provided that you have sufficient funds on your deposit account on that date. • Please choose the deferred execution date option only if the fees are to be debited on a future date, as otherwise the default execution date is date of receipt. • The deferred execution date can be a maximum of 40 days in the future.
2	<p>Refund/Reimbursement</p> <p>Reimbursement (if any) to be made to EPO deposit account: 28123456 8</p> <p>Account holder: IP Partners</p>

Figure 203: Fee Payment PDF: data for mode of payment and refund

7.6.2 Fee selection - Example 1: Date of filing or entry into the regional phase on or after 01.04.2014, reduced fees under Rule 6(4) EPC

The reduced fees can be applied where the declaration under Rule 6(4) is checked in the **Payment details** tab. Depending on the fee concerned, one or two reduced fee options are available. These are indicated with a separate code containing the letter "r".

All other fees can be selected as usual. If none of the reduced fee options fits the required reduction rate, e.g. a reduction of 50% should be applied, the original fee can be unlocked and edited. For more details see **Unlocking fee amounts or automatic correction by the EPO** (p. 95).

GUI EP(1038E) Fee Payment, Fee selection sub-tab

The example shows the selection of the reduced filing fee 001r (30%) and the reduced examination fee 006r2 (65%).

i Only one fee from a code-specific fee range can be selected, e.g. if fee code 006r2 is selected, all the other options for fee 006 are locked.

Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
006e	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report	1 805.00	none	1	0.00
006er1	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report	1 805.00	30%	1	0.00
006er2	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report	1 805.00	65%	1	0.00
006r1	Examination fee - For applications filed on/after 01.07.2005	1 620.00	30%	1	0.00
<input checked="" type="checkbox"/> 006r2	Examination fee - For applications filed on/after 01.07.2005	1 620.00	65%	1	567.00

Edit fee amounts (no automatic fee correction will be done by the office)
 Fee schedule for EUR valid as of: 01.04.2014
Total: (2 Fees) EUR 651.00

Figure 204: Fee Payment GUI: selected reduced fees

XML ep-sfd-request.xml

```

14  <parties>
33  <ep-declarations>
34  (1) <declaration-of-entity-or-natural-person-under-rule-6-3/>
35  </ep-declarations>
36  <check-list>
39  <office-specific-data office="EP" lang="en">
40  <ep-electronic-files doc-type="1038">
44  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
45  <mode-of-payment currency="EUR" accno="28123456 " deferred-execution-date="18991230" mode-type="
deposit">IP Partners</mode-of-payment>
46  (12) <fees date="20140401">
47  <standard-fee>
48  <fee index="1" topay="no">
55  <fee index="1e" topay="no">
62  <fee index="1er" topay="no">
69  (2) <fee index="1r" topay="yes">
70  <type-of-fee>standard</type-of-fee>
71  (5) <fee-factor user-input="1">0.7</fee-factor>
72  <fee-schedule>84</fee-schedule> (6)
73  (3) <fee-sub-amount>120</fee-sub-amount>
74  <fee-reduction-factor>0.3</fee-reduction-factor> (4)
75  </fee>
76  <fee index="2" topay="no">
83  <fee index="2e" topay="no">
90  <fee index="5" topay="no">
135  <fee index="5e" topay="no">
142  <fee index="6" topay="no">
149  <fee index="6e" topay="no">
156  <fee index="6er1" topay="no">
163  <fee index="6er2" topay="no">
170  <fee index="6r1" topay="no">
177  (7) <fee index="6r2" topay="yes">
178  <type-of-fee>standard</type-of-fee>
179  (10) <fee-factor user-input="1">0.35</fee-factor>
180  <fee-schedule>567</fee-schedule> (11)
181  (8) <fee-sub-amount>1620</fee-sub-amount>
182  <fee-reduction-factor>0.65</fee-reduction-factor> (9)
183  </fee>
184  <fee index="7" topay="no">
828  <fee index="554" topay="no">
835  <fee index="554r" topay="no">
842  <fee index="555" topay="no">
849  <fee index="555r" topay="no">
856  </standard-fee>
857  (13) <fee-total-amount>651</fee-total-amount>
858  </fees>
859  </ep-financial-data>
860  </office-specific-data>
861  </ep-sfd-request>

```

Figure 205: Fee Payment XML: selected reduced fees

Element list

- (1) Declaration under Rule 6(4) EPC
- (2) Fee 001r selected
- (3) Fee schedule for fee 001r
- (4) Fee reduction factor: 0.3 (indicated in GUI)
- (5) Fee factor = 1 - 0.3
- (6) Fee amount to be paid = fee schedule * fee factor
- (7) Fee 006r2 selected

- (8) Fee schedule for fee 006r2
- (9) Fee reduction factor: 0.65 (indicated in GUI)
- (10) Fee factor = 1 - 0.65
- (11) Fee amount to be paid = fee schedule * fee factor
- (12) Date of fee schedule validity
- (13) Total amount of fees to pay

! *Note: The <fee-schedule> element is used for the (calculated) fee amount and the <fee-sub-amount> element contains the fee schedule (for one single fee). Use the <fee-reduction-factor> element to indicate a fee reduction on a fixed or percentage basis. The default value is -1. Use the <fee-reduction-amount> element to indicate a fee reduction on an amount basis.*

PDF epf1038.pdf

Applicant's or representative's reference 1038-fees-1

The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC. 1

	Description of document	Original file name	Assigned file name	
	Fees	Factor applied	Fee schedule	Amount to be paid
15- 2	001r Filing fee - EP direct - online	5 0.7	3 120.00	6 84.00
15- 7	006r2 Examination fee - For applications filed on/after 01.07.2005	10 0.35	8 1 620.00	11 567.00
	Total:		EUR	13 651.00

Figure 206: Fees PDF: selected reduced fees

7.6.3 Fee selection - Example 2: Date of filing from 01.04.2009 to 31.03.2014

For the designation of states a flat fee (code 005e) is applied. The listing of all selected countries within the corresponding <fee> element is not required.

GUI EP(1038E) Fee Payment, Fee selection sub-tab

	Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input type="checkbox"/>	001	Filing fee - EP direct - online	120.00	none	1	0.00
<input type="checkbox"/>	001e	Filing fee - EP direct - not online	210.00	none	1	0.00
<input type="checkbox"/>	002	Fee for a European search - Applications filed on/after 01.07.2005	1285.00	0 €	1	0.00
<input type="checkbox"/>	002e	Fee for a European search - Supplementary search for applications filed before 01.07.2005	875.00	---	1	0.00
<input checked="" type="checkbox"/>	005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	580.00	---	1	580.00
<input type="checkbox"/>	006	Examination fee - For applications filed on/after 01.07.2005	1620.00	none	1	0.00
<input type="checkbox"/>	006e	Examination fee - For applications filed before 01.07.2005 and for international applications	1805.00	none	1	0.00

Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2014

Total: (1 Fees) EUR 580.00

Figure 207: Fee Payment GUI: selected fees

Element list

- (1) Fee schedule from 01.04.2009 to 31.03.2014, i.e. 01.04.2012
The `date` attribute indicates the fee schedule to be applied, which determines the available fee combinations or fee reductions. The valid fee amounts, however, are always determined by the most recent fee schedule date which is shown in the GUI (8).
- (2) Fee 005 selected
- (3) Fee schedule for fee 005
- (4) Fee reduction factor: not applicable
- (5) Fee factor = quantity (i.e., as indicated in GUI)
- (6) Fee amount to be paid = fee schedule * fee factor
- (7) Date of fee schedule validity
- (8) Total amount of fees to pay

! **Note:** The `<fee-schedule>` element is used for the (calculated) fee amount and the `<fee-sub-amount>` element contains the fee schedule (for one single fee).
 Use the `<fee-reduction-factor>` element to indicate a fee reduction on a fixed or percentage basis. The default value is -1.
 Use the `<fee-reduction-amount>` element to indicate a fee reduction on an amount basis.

XML ep-sfd-request.xml

```

41 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
42 <mode-of-payment accno="GB10 BARC 2047 3586 9872 66" mode-type="bank" currency="EUR">GB</
mode-of-payment>
43 1 <fees date="20090401">
44 <standard-fee>
45 <fee index="1" topay="no">
52 <fee index="1e" topay="no">
59 <fee index="1er" topay="no">
66 <fee index="1r" topay="no">
73 <fee index="2" topay="no">
80 <fee index="2e" topay="no">
87 <fee index="5" topay="no">
132 2 <fee index="5e" topay="yes">
133 <type-of-fee>standard</type-of-fee>
134 5 <fee-factor user-input="1">1</fee-factor>
135 <fee-schedule>580</fee-schedule> 6
136 3 <fee-sub-amount>580</fee-sub-amount>
137 <fee-reduction-factor>-1</fee-reduction-factor> 4
138 </fee>
139 <fee index="6" topay="no">
825 <fee index="554" topay="no">
832 <fee index="554r" topay="no">
839 <fee index="555" topay="no">
846 <fee index="555r" topay="no">
853 </standard-fee>
854 8 <fee-total-amount>580</fee-total-amount>
855 </fees>
856 </ep-financial-data>
857 </office-specific-data>
858 </ep-sfd-request>
    
```

Figure 208: Fee Payment XML: selected fees and designated states

PDF epf1038.pdf

Description of document		Original file name	Assigned file name	
Fees		Factor applied	Fee schedule	Amount to be paid
15-	2 005e Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	5 1	3 580.00	6 580.00
Total:			EUR	8 580.00

Figure 209: Fees PDF: selected fees and designated states

7.6.4 Fee selection - Example 3: Date of filing before 01.04.2009 with Designation states

The **Designation states** sub-tab is only available if the fee schedule for **Date of filing or entry into regional phase before 01.04.2009** has been selected in the **Fee selection** tab and **Fee 005 - Designation fee** has been checked in the **Fee selection** sub-tab.

Either all designation states are selected or fewer than seven, allowing for specifying individual states. All selected states must be listed in the XML file for import. The corresponding fee factor is then applied for the Fee code 005.

GUI EP(1038E) Fee Payment, Fee selection sub-tab

The quantity for fee 005 is 7 by default when ticked for the first time (7). Doing this lets the **Designation states** sub-tab become visible. The quantity (10) for fee 005 is then updated according to the number of countries selected in the **Designation states** sub-tab, see below.

EPO Online Filing - EP(1038E) - 1038-fees-3

File Edit View Tools Windows Help

EP(1038E) - Draft - 1038-fees-3 Last saved on 23/04/2014

Application No Names Documents **Fee Payment** Annotations

Payment details Fee selection Designation states

Show: All Fees Fee code

	Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input type="checkbox"/>	001	Filing fee - EP direct - online	120.00	none	1	0.00
<input type="checkbox"/>	001e	Filing fee - EP direct - not online	210.00	none	1	0.00
<input type="checkbox"/>	002	Fee for a European search - Applications filed on/after 01.07.2005	1 285.00	0 €	1	0.00
<input type="checkbox"/>	002e	Fee for a European search - Supplementary search for applications filed before 01.07.2005	875.00	----	1	0.00
<input checked="" type="checkbox"/>	005	Designation fee for each state designated (max. 7x)	100.00	----	4	400.00
<input type="checkbox"/>	006	Examination fee - For applications filed on/after 01.07.2005	1 620.00	none	1	0.00
<input type="checkbox"/>	006e	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without	1 805.00	none	1	0.00

Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2014

Total: (1 Fees) EUR 400.00

0 0 1

Figure 210: Fee selection GUI: designation fee selected

GUI EP(1038E) Fee Payment, Designation states sub-tab

In this example, the option **Fewer than seven** is ticked and four individual states are selected.

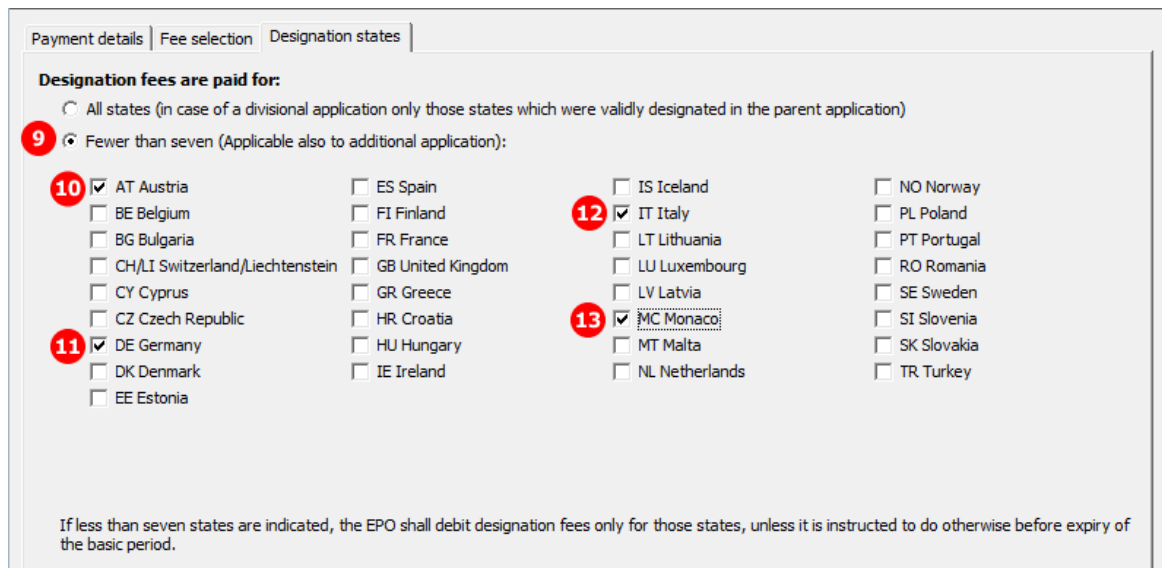


Figure 211: Fee Payment GUI: designated states

Element list

- (1) Fee schedule before 01.04.2009, i.e. 01.04.2008
The `date` attribute indicates the fee schedule to be applied, which determines the available fee combinations or fee reductions. The valid fee amounts, however, are always determined by the most recent fee schedule date which is shown in the GUI (8).
- (2) Fee 005 selected
- (3) Fee schedule for fee 005
- (4) Fee reduction factor: not applicable
- (5) Fee factor = quantity of fees as indicated in GUI
- (6) Fee amount to be paid = default fee schedule * fee factor
- (7) Date of fee schedule validity
- (8) Total amount of fees to pay
- (9) Fewer than seven designation fees selected
The designation states are listed as multiple `<country>` elements within the `<fee index="5">` element. This also applies if all designation states are selected, e.g. all countries must be listed in the XML file.
- (10) Designation state selected: specific `<country>` element
- (11) Designation state selected: specific `<country>` element
- (12) Designation state selected: specific `<country>` element
- (13) Designation state selected: specific `<country>` element

! **Note:** The `<fee-schedule>` element is used for the (calculated) fee amount and the `<fee-sub-amount>` element contains the fee schedule (for one single fee). Use the `<fee-reduction-factor>` element to indicate a fee reduction on a fixed or percentage basis. The default value is -1. Use the `<fee-reduction-amount>` element to indicate a fee reduction on an amount basis.

XML ep-sfd-request.xml

Note that the date attribute for <fees> is set to "20080401" in order to specify the correct fee schedule.

```

41 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
42 <mode-of-payment accno="GB10 BARC 2047 3586 9872 66" mode-type="bank" currency="EUR">GB</
mode-of-payment>
43 1 <fees date="20080401">
44 <standard-fee>
45 <fee index="1" topay="no">
52 <fee index="1e" topay="no">
59 <fee index="1er" topay="no">
66 <fee index="1r" topay="no">
73 <fee index="2" topay="no">
80 <fee index="2e" topay="no">
87 2 <fee index="5" topay="yes">
88 <type-of-fee>standard</type-of-fee>
89 5 <fee-factor user-input="4">4</fee-factor>
90 <fee-schedule>400</fee-schedule> 6
91 3 <fee-sub-amount>100</fee-sub-amount>
92 <fee-reduction-factor>-1</fee-reduction-factor> 4
93 10 <country>AT</country>
94 <country>DE</country> 11
95 12 <country>IT</country>
96 <country>MC</country> 13
97 </fee>
98 <fee index="5e" topay="no">
105 <fee index="6" topay="no">
791 <fee index="554" topay="no">
798 <fee index="554r" topay="no">
805 <fee index="555" topay="no">
812 <fee index="555r" topay="no">
819 </standard-fee>
820 8 <fee-total-amount>400</fee-total-amount>
821 </fees>
822 </ep-financial-data>
823 </office-specific-data>
824 </ep-sfd-request>
    
```

Figure 212: Fee Payment XML: designation fee and designated states

PDF epf1038.pdf

Description of document		Original file name	Assigned file name	
Fees 15-1 2 005 Designation fee - For each State designated (max. 7x) for applications filed before 01.04.2009 Designated states: AT, DE, IT, MC.		Factor applied	Fee schedule	Amount to be paid
	10 11 12 13	5 4	3 100.00	6 400.00
Total:			EUR	8 400.00

Figure 213: Fee Payment PDF: designation fee and designated states

7.7 EP(1038E) Annotations

GUI EP(1038E) Annotations

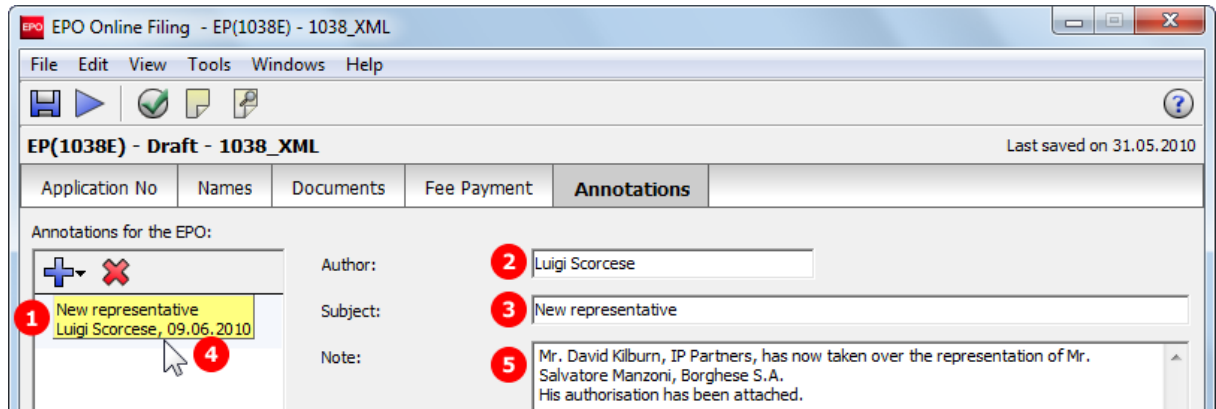


Figure 214: Annotations GUI: note to EPO

Element list

- (1) Note 1
- (2) Author
- (3) Subject
- (4) Date created
- (5) Text

XML ep-sfd-request.xml

```

75  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
697  ① <ep-notes-to-EPO page="Annotate" id="note1">
698      <author>Luigi Scorcese</author> ②
699      ③ <subject>New representative</subject>
700      <date>090020</date> ④
701      ⑤ <dtext>Mr. David Kilburn, IP Partners, has now taken over the representation of Mr. Salvatore Manzoni, Borghese S.A.
702      His authorisation has been attached.</dtext>
703  </ep-notes-to-EPO>
704  </office-specific-data>

```

Figure 215: Annotations XML: note 1, entered by Luigi Scorcese

PDF epf1038.pdf

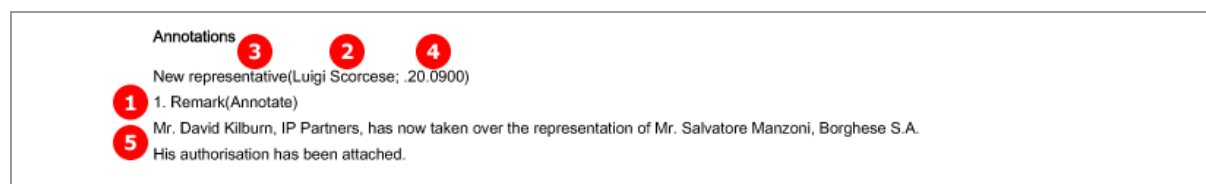


Figure 216: Annotations PDF: Remark 1 (note to EPO)

8 Form EP(Oppo) - EP opposition procedure

Form EP(Oppo) is used for filing an opposition to a European patent (first communication) or for subsequently filing additional information and documents on an opposition already filed (second communication). Depending on the purpose of the filing, various options are possible:

First communication - filing the notice of opposition or intervention

- All natural or legal persons can use Form EP(Oppo) to file an opposition to a patent with the EPO, provided they have their residence or corporate headquarters in a contracting state to the EPC. **Opponents** may be represented by one of their employees (example 1).
- Further parties can join ongoing opposition proceeding as **interveners** and designate any representatives they may have. Both opponents and interveners can designate other persons as **witnesses** (example 2).
- Persons who do not have their residence in a contracting state to the EPC must authorise a professional **representative** or a legal practitioner entitled to act as a professional representative.

Second communication - requests, submission of documents, payments, third-party observations

- **Proprietors** of an opposed patent can use Form EP(Oppo) to respond to the opposition and designate their own witnesses and submit documents (example 3).
- **Third parties** can lodge further objections (example 4).
- All persons involved in these proceedings can use the form to designate other representatives, submit requests and documents, pay fees or write annotations for the EPO.

In the following chapters, the different options are going to be illustrated by these four examples:

- Example 1: An opposition is filed by multiple opponents, represented by an employee and designating a witness
- Example 2: An intervener with representative files an opposition and designates a witness
- Example 3: The proprietor of a patent and her representative respond to the opposition filed against her patent and nominate a witness
- Example 4: A third party and her representative file evidence

8.1 XML files for an EP(Oppo) application

The XML structure of the **pkgheader.xml** and **package-data.xml** files is the same as for EP(1001E2K) applications - see sections **General information on the package - pkgheader.xml** (p. 13) and **References from XML files to other files** (p. 14).

Unlike in EP(1001E2K) and Euro-PCT(1200E2K), there is no **application-body.xml** file.

File name	DTD	Description
pkgheader.xml	pkgheader.dtd	Indicates selected procedure and other data for transmission to filing office.
package-data.xml	package-data.dtd	References attached documents including <code>ep-opposition-data.xml</code> file.
ep-opposition-data.xml	ep-xmit-opposition-data-v1.4.dtd	Application data as entered in Form EP(Oppo), references attached documents.

8.2 Document codes and file types for EP(Oppo)

The receiving server at the EPO requires the values listed in the table below for importing the application (leading document) and the attachments for an EP Opposition procedure.

In the `package-data.xml` file:

- **Document code** to be filled into `<document-name>` element
- **EPO file name** for `file` attribute of `<other-doc>` element

In the `ep-opposition-data.xml` file:

- **Document code** for `doc-type` attribute of `<ep-electronic-files>` element
- **EPO file name** to be filled into `<epo-file-name>` element

Document code	EPO file name *)	Description
Leading Document		
2300E	ep-oppo.pdf	Notice of Opposition or Notice of Intervention (depending on party selected in the Names section)
ORALLETT	ep-oppo.pdf	Submission in opposition proceedings - after a summons to oral proceedings
OPPOLETT	ep-oppo.pdf	Submission in opposition proceedings - before or unrelated to summons to oral proceedings
TIPA1	ep-oppo.pdf	Third party observation
REQXML	ep-opposition-data.xml	XML file of data elements
Main attachments		
FACTS_ARGMTS	OPPO.pdf	Facts and arguments
OBSO3	OBSO3.pdf	Reply of the patent proprietor to the notice(s) of opposition
OPEX4	OPEX4.pdf	Reply to the communication concerning admissibility of an opposition
OREX3	OREX3.pdf	Reply to an examination report in opposition proceedings
DOBS3	DOBS3.pdf	Reply from the opponent to submission of proprietor
OPPOANNEX	OTHER-1.pdf	Any annexes (other than citation) to an opposition letter
TDOC	TDOC.pdf *)	Citation filed by a third party *) more than one file can be attached, to be named TDOC-1.pdf etc.
Evidence		
PATENT	Published-Evidence-1.pdf	Patent document
ARTICLE	Published-Evidence-1.pdf	Non-patent literature - article
BOOK	Published-Evidence-1.pdf	Non-patent literature - book
DATABASE	Published-Evidence-1.pdf	Non-patent literature - database
INTERNET	Published-Evidence-1.pdf	Non-patent literature - internet
MODEL	Model-Reference-1.pdf	Cover letter for a non-scannable object
AFFIDAVIT	Affidavit-1.pdf	Affidavit
IMAGE	evidence-image-1.pdf	Image or photo (PDF)

Document code	EPO file name *)	Description
EVDNCE_TRAN	Evidence-Tran-1.pdf	Translation of a citation
EVDNCE_OTHER	Other-evidence-1.pdf	Other evidence
Optional additional files		
1004	SPECAUTH-1.pdf	Specific authorisation
1003	GENAUTH-1.pdf	General authorisation
2936	ADVOFDELIVRY.pdf	Acknowledgement
MAINREQ-O	MAINREQ-1.pdf	Main request in opposition
AUXREQ-O	AUXREQ-1.pdf	Auxiliary request in opposition
CD-FREP	CD-FREP-1.pdf	Document containing information about further representatives
CDAPPR-CHOA	CDAPPR-CHOA-1.pdf	Request for change of address - proprietor
CDAPPR-CHON	CDAPPR-CHON-1.pdf	Request for change of name - proprietor
CDAPPR-CHOR	CDAPPR-CHOR-1.pdf	Request for change of proprietor's representative
CDAPPR-TOR	CDAPPR-TOR-1.pdf	Request for transfer of rights - proprietor
CDOPPO-CHOA	CDOPPO-CHOA-1.pdf	Request for a change of address - opponent
CDOPPO-CHON	CDOPPO-CHON-1.pdf	Request for change of name - opponent
CDOPPO-CHOR	CDOPPO-CHOR-1.pdf	Request for change of opponent's representative
CDOPPO-TOR	CDOPPO-TOR-1.pdf	Request for transfer of rights - opponent
CLMSTRAN-DE	CLMSTRAN-DE-1.pdf	German translation of claims
CLMSTRAN-EN	CLMSTRAN-EN-1.pdf	English translation of claims
CLMSTRAN-FR	CLMSTRAN-FR-1.pdf	French translation of claims
PRIO	PRIO-1.pdf	Document concerning the priority claims
PRIOTRAN	PRIOTRAN-1.pdf	Translation of priority document
RDEC	RDEC-1.pdf	Request for a decision
REES	REES-1.pdf	Request for re-establishment of rights
REESGROUNDS	REESGROUNDS-1.pdf	Grounds for re-establishment of rights

*) If there is more than one file of this type of document, the character **1** in the file names must be replaced by **2, 3** etc.

8.3 EP(Oppo) Opposition

The basic data on the patent opposed is entered in the **Opposition** tab. This data is structured in the same way for all cases and is explained in Example 1.

The key factor is the first option in the beginning of the electronic form, determining most of the other options in the subsequent sections.

- **Notice of opposition or intervention** allows for adding opponents or interveners in the **Names** tab and results in an **EPO Form 2300 E**.
- **Other action** allows for adding proprietors or third parties in the **Names** tab and results in a **Submission in opposition proceedings** form or a **Third party observation** form, both similar to the printed EP(1038E) form for subsequent filing.

8.3.1 Reference - Example 1: Notice of opposition or intervention

The example shows a notice of opposition with opponents added in the Names tab.

GUI EP(Oppo) Opposition, Reference sub-tab

The screenshot shows the EPO Online Filing interface for the EP(Oppo) Opposition Reference sub-tab. The window title is "EPO Online Filing - EP(Oppo) - Oppo_1st_oppon". The main menu includes File, Edit, View, Tools, Windows, and Help. The current tab is "Opposition", with other tabs like Names, Requests, Documents, Fee Payment, and Annotations visible. The "Notice of opposition or intervention" section is selected, with "Other action (request, submission, payment, third-party observation)" also visible. The "Reference" sub-tab is active, showing fields for Patent No. (EP7898724), Application No. (EP10654321.8), and Date of mention of the grant in the European Patent Bulletin (1 June 2010). The "Title of invention" is "Instant Water" and the "Proprietor of the patent" is "Manzoni, Salvatore". The status bar at the bottom indicates "Logged in as Administrator".

Figure 217: Opposition GUI, Reference sub-tab for notice of opposition or intervention

Element list

- (1) User's reference (opponent, intervener or representative)
- (2) Creation date
- (3) Notice of opposition or intervention, determined by the <ep-opposition-notice> element
- (4) Patent number of the European patent opposed (<country>EP</country> implied)
- (5) Application number of the European patent opposed (<country>EP</country> implied)
- (6) Date of mention of the grant in the European Patent Bulletin
- (7) Title of invention
- (8) Proprietor of the patent (first named)
- (9) Opponent selected as external party, see **Names** (see "**Names - Example 1: Opposition by multiple opponents, first-named opponent is represented by employee and has separate address for correspondence**" p. 187)
- (10) Document type for notice of opposition or intervention, determined by (3)
- (11) Language of filing (selected when creating a new application)

XML ep-opposition-data.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <DOCTYPE ep-xmit-opposition-data SYSTEM "ep-xmit-opposition-data-v1.0.dtd">
3  <ep-xmit-opposition-data lang="en" dtd-version="1.0" date-produced="20100621 17:20:13">
4    <!--software_name eOLF-->
5    <!--software_version FMMNGR5027, EPOPP05027, FM_FOP0205-->
6    <!--stylesheet_version 1-->
7    <!--fop_version Version 0.20.5-->
8    <file-reference-id>Oppo_1st_oppon</file-reference-id>
9    <publication-reference>
10     <document-id lang="en">
11       <country>EP</country>
12       <doc-number>EP7898724</doc-number>
13     </document-id>
14   </publication-reference>
15   <application-reference>
16     <document-id lang="en">
17       <country>EP</country>
18       <doc-number>EP10654321.8</doc-number>
19     </document-id>
20   </application-reference>
21   <gazette-reference>
22     <gazette-num/>
23     <date>20100601</date>
24   </gazette-reference>
25   <invention-title>Instant Water</invention-title>
26   <assignees>
27     <assignee>
28       <name>Manzoni, Salvatore</name>
29     </assignee>
30   </assignees>
31   <ep-opposition-external-party external-party-role="opponent">
136  <ep-opposition-notice>
174  <ep-electronic-files doc-type="2300E">
178  <ep-financial-data cur="EUR">
215 </ep-xmit-opposition-data>

```

Figure 218: Opposition XML: data for reference to the patent opposed

PDF ep-oppo.pdf

	
<p>3 Notice of opposition to a European patent</p>	
<p>I. Patent opposed</p>	
Patent No.	4 EP7898724
Application No.	5 EP10654321.8
Date of mention of the grant in the European Patent Bulletin (Art. 97(3), Art. 99(1) EPC)	6 01 June 2010
Title of the invention	7 Instant Water
<p>II. Proprietor of the patent</p>	
first named in the patent specification	8 Manzoni, Salvatore
Opponent's or representative's reference	1 Oppo_1st_oppon
<p>9 III. Opponent</p>	
Name	Micro York

Figure 219: Opposition PDF: Notice of opposition

8.3.2 Reference - Example 3: Other action

The example shows the reply to a notice of opposition issued by the proprietor of the patent, the person being added in the Names tab.

GUI EP(Oppo) Opposition, Reference sub-tab

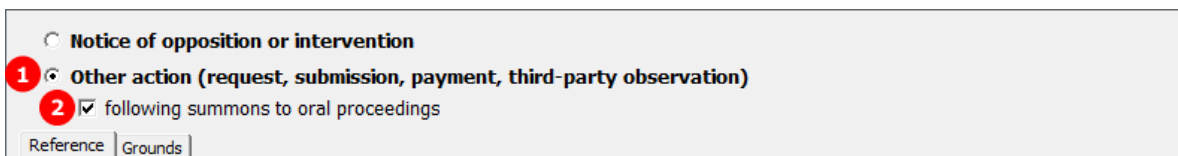


Figure 220: Opposition GUI: other action selected

Element list

- (1) Other action, determined by the <ep-opposition-submission> element
- (2) Action follows summons to oral proceedings
- (3) Proprietor role selected
- (4) Document type for submissions in the opposition procedure after summons to oral proceedings, determined by (1) and (2), see also **Document codes and file types for EP(Oppo)** (p. 178).

XML ep-opposition-data.xml

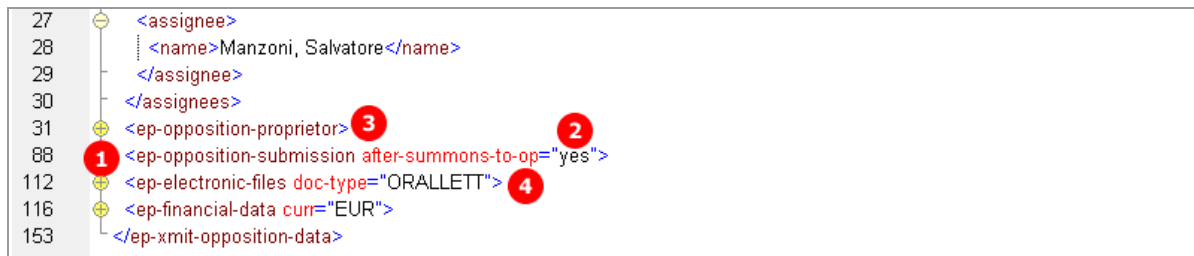


Figure 221: XML data for submission of a document by the patent proprietor

PDF ep-oppo.pdf

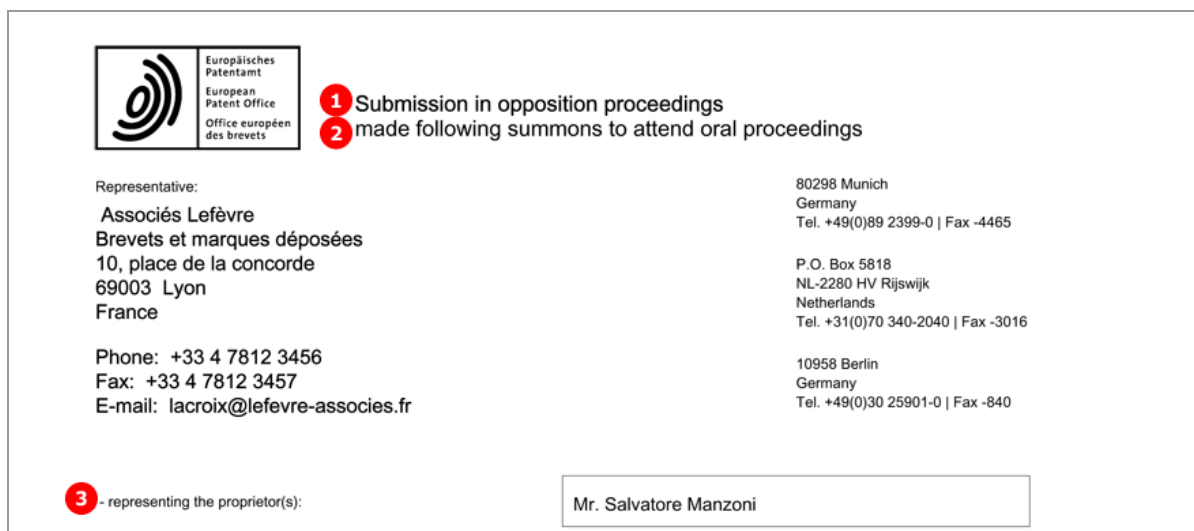


Figure 222: PDF form for submission in opposition proceedings, proprietor is represented by an attorney firm

8.3.3 Grounds - Example 1: Notice of opposition or intervention

The example shows the grounds for the notice of opposition issued by the opponents. An extra example illustrates the opposition filed against specific claims of the patent, issued by an intervener.

GUI EP(Oppo) Opposition, Grounds sub-tab

EPO Online Filing - EP(Oppo) - Oppo_1st_oppon

File Edit View Tools Windows Help

EP(Oppo) - Draft - Oppo_1st_oppon Last saved on 21.06.2010

Opposition Names Requests Documents Fee Payment Annotations

Notice of opposition or intervention
 Other action (request, submission, payment, third-party observation)
 following summons to oral proceedings

Reference Grounds

Opposition is filed against

1 the patent as a whole claim(s) No(s).

Grounds for opposition

2 (a) the subject-matter of the European patent opposed is not patentable (Art. 100(a) EPC) because:

3 it is not new (Art. 52(1); 54 EPC)

4 it does not involve an inventive step (Art. 52(1); 56 EPC)

5 patentability is excluded on other grounds, namely articles 6 53(c)

7 (b) the patent opposed does not disclose the invention in a manner sufficiently clear and complete for it to be carried out by a person skilled in the art (Art. 100(b) EPC; see Art. 83 EPC).

8 (c) the subject-matter of the patent opposed extends beyond the content of the application / of the earlier application as filed (Art. 100(c) EPC; see Art. 123(2) EPC).

Logged in as Administrator

Figure 223: Opposition GUI: Grounds for opposition

Opposition filed against specific claims

Notice of opposition or intervention
 Other action (request, submission, payment, third-party observation)
 following summons to oral proceedings

Reference Grounds

Opposition is filed against

the patent as a whole claim(s) No(s).

9 12,13,14,15

Figure 224: Opposition against specific claims

Element list

- (1) Opposition is filed against the entire patent
- (2) The subject-matter of the patent opposed is not patentable (Art. 100(a) EPC)
- (3) Not new (Art. 52(1), 54 EPC)
- (4) No incentive step (Art. 52(1), 56 EPC)
- (5) Other grounds
- (6) Not sufficiently clear (Art. 100(b) EPC, see Art. 83 EPC)
- (7) Extends beyond the content of the application (Art. 100(c) EPC, see Art. 123(2) EPC)
- (8) Opposition is filed against claims No.

XML ep-opposition-data.xml, opposition filed against the patent as a whole

31	<ep-opposition-external-party external-party-role="opponent">
136	<ep-opposition-notice>
137	<opposition-expert-witness>
156	<opposition-filed-against>
157	① <entire-patent/>
158	</opposition-filed-against>
159	<grounds-for-opposition>
160	② <opposition-subject-matter>
161	<novelty-not-valid/> ③
162	④ <inventive-step-not-valid/>
163	<not-valid-other-grounds/> ⑤
164	⑥ <article-num>53(c)</article-num>
165	</not-valid-other-grounds>
166	</opposition-subject-matter>
167	⑦ <opposition-clarity/>
168	<opposition-subject-matter-extension/> ⑧
169	</grounds-for-opposition>
170	<ep-submission-requests>
173	</ep-opposition-notice>
174	<ep-electronic-files doc-type="2300E">
178	<ep-financial-data cur="EUR">
215	</ep-xmit-opposition-data>

Figure 225: XML data: grounds for opposition

Opposition filed against specific claims

31	<ep-opposition-external-party external-party-role="intervener">
84	<ep-opposition-notice>
85	<opposition-expert-witness to-be-summoned-via="party">
95	<opposition-filed-against>
96	⑨ <claim-num>12,13,14,15</claim-num>
97	</opposition-filed-against>
98	<grounds-for-opposition>
103	<ep-submission-requests>
106	</ep-opposition-notice>

Figure 226: XML data: opposition is filed against the claims specified

PDF ep-oppo.pdf

V. Opposition is filed against

the patent as a whole **1**

claim(s) No(s). **9**

VI. Grounds for opposition:

Opposition is based on the following grounds:

2 (a) the subject-matter of the European patent opposed is not patentable (Art. 100(a) EPC) because:

- it is not new (Art. 52(1); Art. 54 EPC) **3**
- it does not involve an inventive step (Art. 52(1); Art. 56 EPC) **4**
- patentability is excluded on other grounds, namely articles **5** **6**

(b) the patent opposed does not disclose the invention in a manner sufficiently clear and complete for it to be carried out by a person skilled in the art (Art. 100(b) EPC; see Art. 83 EPC). **7**

(c) the subject-matter of the patent opposed extends beyond the content of the application/of the earlier application as filed (Art. 100(c) EPC, see Art. 123(2) EPC). **8**

Figure 227: Opposition PDF: grounds for opposition

8.4 EP(Oppo) Names

8.4.1 Names - Example 1: Opposition by multiple opponents, first-named opponent is represented by employee and has separate address for correspondence

The example shows the data for three opponents, the first opponent being a legal person and represented by an employee. In addition, there is a separate address for correspondence connected with the first-named opponent.

GUI EP(Oppo) Opposition, Names tab

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Oppo_1st_oppon' window. The 'Names' tab is active, displaying the following information:

- Opponents List (Left Sidebar):**
 - 1 Opponents
 - 2 Micro York
 - 14 Parker & Partners
 - 15 Kennecott, James
 - Witnesses
 - Address for correspondence
 - 16 Micro York
- Main Form Fields:**
 - Company: 3 Micro York
 - Department: 4 Patents
 - Country: 5 GB United Kingdom
 - Telephone: 10 +44 1904 660345
 - Address: 6 38, Fullerton St.
 - Telefax: 11 +44 1904 660480
 - E-mail: 12 info@micro-york.co.uk
 - Postal code: 7 YO1 9QN
 - City: 8 York
 - GB County: 9 Yorkshire
 - Residence: 13 GB United Kingdom
 - 16 Address for correspondence
 - 17 Micro York is represented by the following employee acting pursuant to Art. 133(3) EPC:
 - Last Name: 18 Scott
 - General Authorisation: MIC-10234-C 21
 - First Name: 19 Jessica
 - Title: 20 Ms

Logged in as Administrator

Figure 228: Names GUI: First opponent represented by employee

GUI EP(Oppo) Opposition, Names tab, address for correspondence data

Figure 229: Names GUI: Address for correspondence connected with the first-named opponent

Element list

All names are contained in the `<ep-opposition-external-party>` element. The `external-party-role` attribute indicates the persons' role, i.e. the value is `opponents` in this example.

① The registration number is not required for filings to the EPO. However, the `<registered-number>` element is still contained in the XML code.

- (1) Role of the external party is opponent
- (2) Opponent 1
- (3) Company name, legal person
- (4) Department
- (5) Country
- (6) Address
- (7) Postal code
- (8) City
- (9) County (for addresses in GB)
- (10) Telephone
- (11) Telefax
- (12) e-Mail
- (13) Residence
- (14) Opponent 2
- (15) Opponent 3
- (16) Address for correspondence is address of opponent 1
- (17) Opponent 1 represented by an employee
- (18) Last name of employee
- (19) First name of employee
- (20) Title of employee
- (21) Number of General Authorisation registered with the EPO
- (22) Address for correspondence: department of opponent 1
- (23) Address for correspondence: country of opponent 1
- (24) Address for correspondence: street and number of opponent 1
- (25) Address for correspondence: postal code of opponent 1
- (26) Address for correspondence: city of opponent 1
- (27) Address for correspondence: county of opponent 1 (for addresses in GB)

XML ep-opposition-data.xml, multiple opponents

```

25 <invention-title>Instant Water</invention-title>
26 <assignees>
31 <ep-opposition-external-party external-party-role="opponent">
32 <ep-external-party-participants>
33 <ep-external-party-participant sequence="1">
34 <addressbook>
35 <name name-type="legal">Micro York</name>
36 <registered-number>0.0</registered-number>
37 <address>
38 <address-2>Patents</address-2>
39 <street>38, Fullerton St.</street>
40 <city>York</city>
41 <state>Yorkshire</state>
42 <postcode>YO1 9QN</postcode>
43 <country>GB</country>
44 </address>
45 <phone>+44 1904 660345</phone>
46 <fax>+44 1904 660480</fax>
47 <email>info@micro-york.co.uk</email>
48 </addressbook>
49 <nationality>
50 <country/>
51 </nationality>
52 <residence>
53 <country>GB</country>
54 </residence>
55 </ep-external-party-participant>
56 <ep-external-party-participant sequence="2">
79 <ep-external-party-participant sequence="3">
105 </ep-external-party-participants>
106 <correspondence-address>
119 <ep-agents>
120 <ep-agent sequence="0" rep-type="employee">
121 <addressbook>
122 <prefix>Ms</prefix>
123 <last-name>Scott</last-name>
124 <first-name>Jessica</first-name>
125 <address>
126 <postcode/>
127 <country/>
128 </address>
129 </addressbook>
130 <ep-authorisations>
131 <ep-authorisation-number>MIC-10234-C</ep-authorisation-number>
132 </ep-authorisations>
133 </ep-agent>
134 </ep-agents>
135 </ep-opposition-external-party>
136 </ep-opposition-notice>

```

Figure 230: XML data for multiple opponents, represented by employee

```

31 1 <ep-opposition-external-party external-party-role="opponent">
32   <ep-external-party-participants>
33   2 <ep-external-party-participant sequence="1">
56   14 <ep-external-party-participant sequence="2">
79   15 <ep-external-party-participant sequence="3">
105  </ep-external-party-participants>
106 16 <correspondence-address>
107   <addressbook>
108   3 <name name-type="legal">Micro York</name>
109   <address>
110   22 <address-2>Legal Affairs</address-2>
111   <street>P.O. Box 8900</street> 24
112   26 <city>York</city>
113   <state>Yorkshire</state> 27
114   25 <postcode>YO2 9QT</postcode>
115   <country>GB</country> 23
116   </address>
117  </addressbook>
118 </correspondence-address>
119 <ep-agents>
135 </ep-opposition-external-party>
    
```

Figure 231: XML data for address for correspondence connected with the first-named applicant

PDF ep-oppo.pdf, Form 2300E

Names and addresses of further opponents (14, 15) are listed on the additional sheet to EPO Form 2300E.

1 III. Opponent 2

Name 3 Micro York

Department 4 Patents

Address: 6 38, Fullerton St. 9
8 York Yorkshire YO1 9QN 7
5 United Kingdom

State of residence or of principal place of business 13 United Kingdom

Telephone/Fax 10 +44 1904 660345 11 +44 1904 660480

e-mail: 12 info@micro-york.co.uk

Address for correspondence 16 Micro York

Address: 22 Legal Affairs
24 P.O. Box 8900
26 York Yorkshire YO2 9QT 25
23 United Kingdom

Multiple opponents (see additional sheet) 14 15

Figure 232: Opposition form PDF: First opponent's name and address

[...]

IV. Authorisation

Multiple representatives (see additional sheet)

17 2. Name(s) of employee(s) of the opponent authorised to act in these opposition proceedings under Art. 133(3) EPC

18 **20** **19**

Scott, Ms Jessica

Authorisation(s)

is/are enclosed

has/have been registered under No.

21

MIC-10234-C

Figure 233: Opposition form PDF: authorised employee representing the first opponent

8.4.2 Names - Example 2: Opposition by intervener

The example shows each one intervener, representative and witness.

GUI EP(Oppo) Opposition, Names tab

The screenshot shows the 'Names' tab in the EPO Online Filing GUI. The window title is 'EPO Online Filing - EP(Oppo) - Oppo_1st_interv'. The main form area is titled 'EP(Oppo) - Draft - Oppo_1st_interv' and is last saved on 21.06.2010. The form is divided into sections for 'Representatives', 'Interveners', and 'Witnesses'. The 'Interveners' section is active, showing details for Peter Burton. Red circles with numbers 1 through 18 highlight specific fields and elements in the interface.

Field	Value
Last Name	Burton
First Name	Peter
Title	
Company	
Department	
Country	GB United Kingdom
Address	20, London Road
Postal code	M1 1AB
City	Manchester
GB County	Greater Manchester
Telephone	+44 161 434 1234
Telefax	+44 161 434 5678
E-mail	info@peter-burton.co.uk
Nationality	GB United Kingdom
Residence	GB United Kingdom

Additional elements highlighted in the screenshot include the 'Representatives' list (18), the 'Interveners' list (1), the 'Witnesses' list (2), and the 'Address for correspondence' checkbox.

Figure 234: Names GUI: Intervener's data

Element list

Interveners and representatives are contained in the `<ep-opposition-external-party>` element. The data on the witnesses, however, is contained in (multiple) `<opposition-expert-witness>` elements as child elements of the `<ep-opposition-notice>` element.

- (1) Role of the external party is intervener
- (2) Intervener 1
- (3) Last name, natural person
- (4) First name
- (5) Title
- (6) Company name (if intervener is working in a company)
- (7) Department
- (8) Country
- (9) Address
- (10) Postal code
- (11) City
- (12) County (for addresses in GB)
- (13) Telephone

- (14) Telefax
- (15) e-Mail
- (16) Nationality (not required for legal persons)
- (17) Residence
- (18) Representatives
- (19) Representative 1 (with address data)
- (20) Witness (only natural persons allowed)
- (21) Last name
- (22) First name
- (23) Title
- (24) Witness to be summoned via opponent
- (25) Witness' address data (alternative to 24)

XML ep-opposition-data.xml, intervener and witness

```

31 <ep-opposition-external-party external-party-role="intervener"> 1
32 <ep-external-party-participants>
33 <ep-external-party-participant sequence="1"> 2
34 <addressbook>
35 <prefix></prefix> 5
36 <last-name>Burton</last-name> 3
37 <first-name>Peter</first-name> 4
38 <orgname></orgname> 6
39 <department></department> 7
40 <registered-number>0.0</registered-number>
41 <address>
42 <street>20, London Road</street> 9
43 <city>Manchester</city> 11
44 <state>Greater Manchester</state> 12
45 <postcode>M1 1AB</postcode> 10
46 <country>GB</country> 8
47 </address>
48 <phone>+44 161 434 1234</phone> 13
49 <fax>+44 161 434 5678</fax> 14
50 <email>info@peter-burton.co.uk</email> 15
51 </addressbook>
52 <nationality>
53 <country>GB</country> 16
54 </nationality>
55 <residence>
56 <country>GB</country> 17
57 </residence>
58 </ep-external-party-participant>
59 </ep-external-party-participants>
60 <ep-agents> 18
61 <ep-agent sequence="1" rep-type="agent"> 19
62 </ep-agent>
63 </ep-agents>
64 </ep-opposition-external-party>
65 <ep-opposition-notice> 24
66 <opposition-expert-witness to-be-summoned-via="party"> 20
67 <addressbook>
68 <prefix>Mr</prefix> 23
69 <last-name>Harper</last-name> 21
70 <first-name>Malcolm</first-name> 22
71 <address> 25
72 </addressbook>
73 </opposition-expert-witness>
74 </opposition-filed-against>

```

Figure 235: Names XML: intervener's data and witness

PDF ep-oppo.pdf, intervener

1 III. Intervener 2	
Name	3 Burton Peter 4
Address:	9 20, London Road 12
	11 Manchester Greater Manchester M1 1AB 10
	8 United Kingdom
State of residence or of principal place of business	16 United Kingdom
Country of nationality	17 United Kingdom
Telephone/Fax:	13 +44 161 434 1234 14 +44 161 434 5678
e-mail:	15 info@peter-burton.co.uk
Multiple interveners (see additional sheet)	<input type="checkbox"/>
IV. Authorisation	
18 1. Representative	
	19 Kilburn, Mr. David
Registration No.:	123456789
Company:	IP Partners
Department:	European Patents
Address of place of business	Cambridge Science Park 100 Red Lion Square Cambridge Cambridgeshire CB2 1AB

Figure 236: Form 2300E PDF: intervener

PDF ep-oppo.pdf, additional sheet with witness' data

Additional Sheet(s) to Form EP2300E	
Opponent's or representative's reference	Oppo_1st_interv
Witness(es)	
20 1. Witness	22 Harper, Mr Malcolm 23 21
to be summoned via:	Opponent 24

Figure 237: Additional Sheet for EPO Form 2300E: Witness(es)

8.4.3 Names - Example 3: Proprietor responds to the opposition

The example shows the representative's data, the proprietor and a witness.

GUI EP(Oppo) Opposition, Names tab

The screenshot shows the 'Names' tab in the EPO Online Filing application. The window title is 'EPO Online Filing - EP(Oppo) - Oppo_2nd_prop'. The main form area is titled 'EP(Oppo) - Draft - Oppo_2nd_prop' and is last saved on 21.08.2013. The form is divided into sections for Proprietors, Representatives, and Witnesses. The 'Names' section is active, showing details for 'Associés Lefèvre'. Red circles with numbers 1 through 19 highlight specific UI elements and data fields.

Element	Description
1	Proprietors
2	Manzoni, Salvatore
3	Representatives
4	Associés Lefèvre
5	Witnesses
6	Lavail, Thierry
7	Company: Associés Lefèvre
8	Department: Brevets et marques déposées
9	Association No.: 123
10	Registration number (not required, but still contained in the XML code)
11	Country: FR (France)
12	Address: 10, place de la concorde
13	Postal code: 69003
14	City: Lyon
15	Region: (dropdown menu)
16	Telephone: +33 4 7812 3456
17	Telefax: +33 4 7812 3457
18	E-mail: lacroix@lefevre-associes.fr
19	Authorisation(s): has/have been registered under No. AS-2390/4567

Figure 238: Names GUI: representative's data

Element list

Proprietors and representatives are contained in the `<ep-opposition-proprietor>` element. The data on the witnesses is contained in (multiple) `<opposition-expert-witness>` elements as child elements of the `<ep-opposition-submission>` element.

- (1) Patent proprietor(s)
- (2) Proprietor 1
- (3) Representative(s)
- (4) Representative 1
- (5) Witness
- (6) Witness' name and address
- (7) Company name, legal person
- (8) Department
- (9) Association No. (if applicable)
- (10) Registration number (not required, but still contained in the XML code)
- (11) Country
- (12) Address
- (13) Postal code

- (14) City
- (15) Region (if applicable)
- (16) Telephone
- (17) Telefax
- (18) E-mail
- (19) Authorisation number
- (20) Request for the taking of evidence by the hearing of a witness

XML ep-opposition-data.xml, proprietor and representative

```

26  <assignees>
31  1 <ep-opposition-proprietor>
32    <file-reference-id/>
33    <ep-parties>
34      2 <applicants>
62      <ep-agents>
63      4 <ep-agent sequence="1" rep-type="common-representative" ep-association-number="123">
64        <addressbook>
65          7 <last-name>Associ&#233;s Lef&#232;vre</last-name>
66          <first-name/>
67          8 <department>Brevets et marques d&#233;pos&#233;es</department>
68          <registered-number>0.0</registered-number> 10
69          <address>
70            12 <street>10, place de la concorde</street>
71            <city>Lyon</city> 14
72            15 <state/>
73            <postcode>69003</postcode> 13
74            11 <country>FR</country>
75            </address>
76            16 <phone>+33 4 7812 3456</phone>
77            <fax>+33 4 7812 3457</fax> 17
78            18 <email>lacroix@lefevre-associes.fr</email>
79            </addressbook>
80            <ep-authorisations>
81            19 <ep-authorisation-number>AS-2390/4567</ep-authorisation-number>
82            </ep-authorisations>
83            </ep-agent>
84          </ep-agents>
85        </ep-parties>
86      </ep-opposition-proprietor>
87    <ep-opposition-submission after-summons-to-op="no">
88      5 <opposition-expert-witness>
89        <addressbook> 6
106      </opposition-expert-witness>
107    <ep-submission-requests>
108    20 <ep-submission-request request-type="hearing-of-witness"/>
109    </ep-submission-requests>
110  </ep-opposition-submission>

```

Figure 239: Names XML: representative's data

PDF ep-oppo.pdf, representative and proprietor


	Europäisches Patentamt European Patent Office Office européen des brevets	<h3>Submission in opposition proceedings</h3>
Representative:		80298 Munich Germany Tel. +49(0)89 2399-0 Fax -4465
7 Associés Lefèvre	8 Brevets et marques déposées	P.O. Box 5818 NL-2280 HV Rijswijk Netherlands Tel. +31(0)70 340-2040 Fax -3016
9 123	12 10, place de la concorde	10958 Berlin Germany Tel. +49(0)30 25901-0 Fax -840
13 69003 Lyon	14 France	
16 Phone: +33 4 7812 3456		
17 Fax: +33 4 7812 3457		
18 E-mail: lacroix@lefevre-associes.fr		
- representing the proprietor(s):		2 Mr. Salvatore Manzoni

Figure 240: Submission form PDF: representative's address used for communication

PDF ep-oppo.pdf, witness

The request for the taking of evidence by the hearing of a witness (20) is always selected once a witness has been added to the application.

Requests:	
20 • The taking of evidence in the form of the hearing of a witness is hereby requested.	
5 Witness(es)	
1. Witness:	6 Lavail, M. Thierry
to be summoned via:	120 Avenue des Pyrénées 31200 Toulouse France
Telephone/Fax	+33 55 123456 +33 55 123457

Figure 241: Submission form PDF: Request for hearing of a witness and witness' address

8.4.4 Names - Example 4: Third party files evidence

The example shows the third party's data and her representative.

GUI EP(Oppo) Opposition, Names tab

The screenshot shows the 'Names' tab in the EPO Online Filing application. The main form contains the following fields:

- Company: Parker & Partners (5)
- Department: Nanotechnology (6)
- Country: GB (United Kingdom) (7)
- Address: 267, Harbour Road (8)
- Postal code: CT16 3PJ (9)
- City: Dover (10)
- GB County: Kent (11)

The left sidebar shows a list of representatives and third parties:

- Representatives (1)
- Portland, Christina (2)
- Third party (3)
- Parker & Partners (4)

Figure 242: Names GUI: third party and representative

Element list

Third parties and representatives are contained in the `<ep-opposition-external-party>` element with `third-party` as the value of the `external-party-role` attribute. Like the data on the intervener (see **Names - Example 3: Proprietor responds to the opposition** (p. 195)), the data on the third party is not visible in the PDF form if a representative has been added, but the data is nevertheless contained in the XML file.

- (1) Representative(s)
- (2) Representative 1
- (3) Third party(parties)
- (4) Third party 1
- (5) Company name, legal person
- (6) Department
- (7) Country
- (8) Address
- (9) Postal code
- (10) City
- (11) Region (applicable for counties in GB)


XML ep-opposition-data.xml, third party and representative

```

26  <assignees>
31  3 <ep-opposition-external-party external-party-role="third-party">
32  <ep-external-party-participants>
33  4 <ep-external-party-participant sequence="1">
34  <addressbook>
35  5 <name name-type="legal">Parker & Partners</name>
36  <registered-number></registered-number>
37  <address>
38  6 <address-2>Nanotechnology</address-2>
39  <street>267, Harbour Road</street> 8
40  10 <city>Dover</city>
41  <state>Kent</state> 11
42  <postcode>CT16 3PJ</postcode> 9
43  7 <country>GB</country>
44  </address>
45  <phone></phone>
46  <fax></fax>
47  <email></email>
48  </addressbook>
49  <nationality>
50  <country/>
51  </nationality>
52  <residence>
53  <country></country>
54  </residence>
55  </ep-external-party-participant>
56  </ep-external-party-participants>
57  <ep-agents>
58  1 <ep-agent sequence="1" rep-type="attorney">
59  2 <addressbook>
78  </ep-agent>
79  </ep-agents>
80  </ep-opposition-external-party>
    
```

Figure 243: Names XML: data on third party

PDF ep-oppo.pdf, representative and third party



Europäisches Patentamt
European Patent Office
Office européen des brevets

Observations by third parties (Art. 115 EPC)

80298 Munich
Germany
Tel. +49(0)89 2399-0 | Fax -4465

P.O. Box 5818
NL-2280 HV Rijswijk
Netherlands
Tel. +31(0)70 340-2040 | Fax -3016

10958 Berlin
Germany
Tel. +49(0)30 25901-0 | Fax -840

Representative:

2 Ms Christina Portland
IP Partners
Patents and Trademarks
123 City Street
London Greater London W1A B2C
United Kingdom

Phone: +44 20 123 4567
Fax: +44 20 123 6789
E-mail: c.portland@ip-partners.co.uk

3 - for the third party/parties:

4 Parker & Partners

Figure 244: PDF Observation by third parties (Art. 115 EPC): representative's address and third party's name

8.5 EP(Oppo) Requests

The options available in the Online Filing software depend on the settings made in the **Opposition** and **Names** tabs.

! *Note: Third parties cannot file any requests.*

For example, request of withdrawal of opposition can only be made by opponents in the second communication, or, request of revocations of the patent can only be submitted by the proprietor of the patent, both excluding all other options in the **Requests** tab.

The following examples illustrate most of the possible combinations.

8.5.1 Requests - Example 1: Opponents request for oral proceedings

A request for the taking of evidence by the hearing of a witness must always be indicated if one or more witnesses have been nominated in the **Names** section.

In addition, this example shows the filing of more requests by the opponents: request for oral proceedings with auxiliary option, request for interpreting, request for accelerated processing and another individual request.

i The same options are available for the interveners in case of notice of intervention.

GUI EP(Oppo), Requests tab

The screenshot displays the 'Requests' tab within the 'Opposition' section of the EPO Online Filing software. The interface is titled 'EP(Oppo) - Draft - Oppo_1st_oppon' and shows various request options with red numbered callouts (1-12) indicating specific selections. The 'Requests' tab is active, and the 'Other' section contains a text box with the text 'We request access for file inspection.'

Key elements visible in the GUI include:

- Withdrawal/Revocation:**
 - Withdrawal of opposition
 - Request for revocation of the patent
- Oral proceedings:**
 - 1** Request for oral proceedings
 - 2** auxiliary
 - Request for interpreting
 - Withdrawal of request for oral proceedings
 - listening in: French **4**
 - speaking in: French **5**
- Extension of time limit:**
 - Request for extension of time limit by 2 month(s) to a total of month(s)
 - month(s)
 - Reason:
- Other:**
 - 6** Request for the taking of evidence by the hearing of a witness
 - 7** Request for accelerated processing
 - Reason: **8** Pending infringement proceedings in a national court **9**
 - 10** Other requests: **11** We request access for file inspection. **12**

The status bar at the bottom indicates 'Logged in as Administrator' and shows a notification area with 1 error, 0 warnings, and 1 information icon.

Figure 245: Requests GUI: Requests submitted by the opponents

Element list

- (1) Request for oral proceedings
- (2) Auxiliary request
- (3) Request for interpreting
- (4) Listening language
- (5) Speaking language
- (6) Request for the taking of evidence by the hearing of a witness
- (7) Request for accelerated processing
- (8) Reason for the request for accelerated processing
- (9) Reason No. 1 - more paragraphs can be added and enumerated consecutively
- (10) Other requests
- (11) Comment for the other request
- (12) Other request No. 1 - more paragraphs can be added and enumerated consecutively
- (13) Notice of opposition selected
- (14) Opponents listed

XML ep-opposition-data.xml

```

26  <assignees>
31  <ep-opposition-external-party external-party-role="opponent">
32  <ep-external-party-participants>
33  <ep-external-party-participant sequence="1">
56  <ep-external-party-participant sequence="2">
79  <ep-external-party-participant sequence="3">
105 </ep-external-party-participants>
106 <correspondence-address>
119 </ep-opposition-external-party>
120 <ep-opposition-notice>
121 <opposition-expert-witness>
140 <opposition-filed-against>
143 <grounds-for-opposition>
149 <ep-submission-requests>
150 <ep-submission-request request-type="oral-proceedings" auxiliary-request="yes"/>
151 <ep-submission-request request-type="interpretation-oral-proceedings">
152 <interpretation-oral-proceedings lang-speaking="fr" lang-listening="fr"/>
153 </ep-submission-request>
154 <ep-submission-request request-type="hearing-of-witness"/>
155 <ep-submission-request request-type="acceleration-proceedings">
156 <ep-submission-request-comment>
157 <p num="0001">Pending infringement proceedings in a national court</p>
158 </ep-submission-request-comment>
159 </ep-submission-request>
160 <ep-submission-request request-type="other">
161 <ep-submission-request-comment>
162 <p num="0001">We request access for file inspection.</p>
163 </ep-submission-request-comment>
164 </ep-submission-request>
165 </ep-submission-requests>
166 </ep-opposition-notice>

```

Figure 246: XML data: Requests by opponent

PDF ep-oppo.pdf

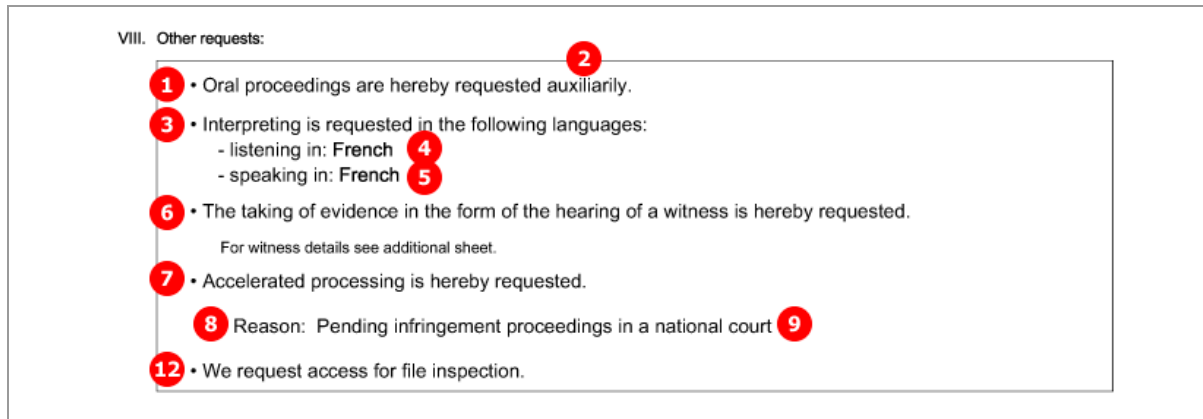


Figure 247: PDF notice of opposition: Other requests

8.5.2 Requests - Example 2: Opponent withdraws opposition

The example shows the second communication filed by an opponent, thus, **other action** is selected in the **Opposition** tab. Only one opponent can be added in the **Names** section in this case.

Selecting the option **Withdrawal of opposition** deactivates the other options in the GUI, except request for accelerated processing and other requests.

GUI EP(Oppo), Requests tab

Withdrawal/revocation	
<input checked="" type="checkbox"/> Withdrawal of opposition 1	<input type="checkbox"/> Request for revocation of the patent
Oral proceedings	
<input type="checkbox"/> Request for oral proceedings	<input type="checkbox"/> Request for interpreting

Figure 248: Request GUI: Withdrawal of opposition

Element list

- (1) Request for withdrawal of opposition
- (2) Submission in opposition proceedings selected
- (3) Opponent is named

XML ep-opposition-data.xml

```

26 <assignees>
31 3 <ep-opposition-external-party external-party-role="opponent">
32 <ep-external-party-participants>
33 | <ep-external-party-participant sequence="1">
56 | </ep-external-party-participants>
57 </ep-opposition-external-party>
58 2 <ep-opposition-submission after-summons-to-op="no">
59 | <ep-submission-requests>
60 | 1 <ep-submission-request request-type="opposition-withdrawn"/>
61 | </ep-submission-requests>
62 </ep-opposition-submission>

```

Figure 249: XML data: Request for withdrawal of opposition

PDF ep-oppo.pdf

Requests:

1 • Opposition is herewith withdrawn.

Signatures

Figure 250: PDF form: Requests

8.5.3 Requests - Example 3: Proprietor withdraws request for oral proceedings

The example shows the **withdrawal of request for oral proceedings** by the proprietor, requesting for **extension of time limit** at the same time.

GUI EP(Oppo), Requests tab

Withdrawal/Revocation

Withdrawal of opposition Request for revocation of the patent

Oral proceedings

Request for oral proceedings Request for interpreting

auxilarily listening in

1 Withdrawal of request for oral proceedings speaking in

Extension of time limit

2 Request for extension of time limit by 3 3 month(s) to a total of 4 5 month(s)

Reason: 5 The proprietor of the patent cannot take part in oral proceedings due to serious illness.

Other

6 Request for the taking of evidence by the hearing of a witness

Request for accelerated processing

Reason:

Other requests:

Figure 251: Requests GUI: Requests by proprietor

Element list

- (1) Withdrawal of request for oral proceedings
- (2) Request for extension of time limit
- (3) Number of months requested for extension. The allowed values are 1, 2, 3, or 4.
- (4) Total number of months for extension
- (5) Reason for the extension
- (6) Request for hearing of a witness

XML ep-opposition-data.xml

```

88 <ep-opposition-submission after-summons-to-op="yes">
89 <opposition-expert-witness>
108 <ep-submission-requests>
109 ① <ep-submission-request request-type="oral-proceedings-withdrawn"/>
110 <ep-submission-request request-type="hearing-of-witness"/> ⑥
111 ② <ep-submission-request request-type="extension-time-limit">
112 <time-limit time-units="months">3</time-limit> ③
113 <total-time-limit time-units="months">5</total-time-limit> ④
114 <ep-submission-request-comment>
115 ⑤ <p num="0001">The proprietor of the patent cannot take part in oral proceedings due to serious illness.</p>
116 </ep-submission-request-comment>
117 </ep-submission-request>
118 </ep-submission-requests>
119 </ep-opposition-submission>

```

Figure 252: Requests XML: Proprietor's requests

PDF ep-oppo.pdf

Requests:

- ① • The request for oral proceedings is hereby withdrawn.
- ⑥ • The taking of evidence in the form of the hearing of a witness is hereby requested.
- ② • An extension of the time limit by 3 month(s) to a total of 5 month(s) is hereby requested.
- ⑤ Reason: The proprietor of the patent cannot take part in oral proceedings due to serious illness.

Figure 253: Requests PDF: Proprietor's requests

8.5.4 Requests - Example 4: Proprietor requests for revocation of the patent

Following the notice of opposition by an external party, this example shows the **request for revocation of the patent** by the proprietor, represented by an attorney. Selecting this option excludes all other requests except request for accelerated processing and other requests.

GUI EP(Oppo), Requests tab

The screenshot shows the 'Requests tab' in the GUI EP(Oppo). Under the 'Withdrawal/revocation' section, the option 'Request for revocation of the patent' is selected, indicated by a red circle with the number 1. Other options include 'Withdrawal of opposition', 'Request for oral proceedings', and 'Request for interpreting'.

Figure 254: Requests tab: Revocation of the patent

Element list

- (1) Request for revocation of the patent by proprietor
- (2) Submission in opposition procedure selected
- (3) Proprietor added
- (4) Only one applicant (i.e., the proprietor) can be named

XML ep-opposition-data.xml

```

26  <assignees>
31  (3) <ep-opposition-proprietor>
32    <file-reference-id/>
33  <ep-parties>
34    <applicants>
35    (4) <applicant sequence="1" designation="as-indicated" app-type="applicant">
61    </applicants>
62    <ep-agents>
86  </ep-parties>
87 </ep-opposition-proprietor>
88 (2) <ep-opposition-submission after-summons-to-op="yes">
89   <opposition-expert-witness>
108  <ep-submission-requests>
109  (1) <ep-submission-request request-type="revocation"/>
110  </ep-submission-requests>
111 </ep-opposition-submission>

```

Figure 255: Requests XML: Proprietor requests for revocation of the patent

PDF ep-oppo.pdf

The screenshot shows the 'Requests' section in the PDF ep-oppo.pdf. A red circle with the number 1 highlights the text 'Revocation of the patent is hereby requested.' Below this, the 'Witness(es)' section is visible.

Figure 256: Requests PDF: Revocation of the patent by the proprietor

8.6 EP(Oppo) Documents

Various documents may be attached to the EP(Oppo) form in the **Documents** tab. As a basic principle, the choices depend on the kind of communication selected (notice of opposition or other action) and the persons listed. See the complete list in chapter **Document codes and file types for EP(Oppo)** (p. 178).

Please note that certain documents must not be attached at the same time, they are mutually exclusive. In general, only PDF documents are allowed.

The examples used in the next chapters illustrate some of the possible settings in the **Documents** sub-tab.

Documents - Example 1: Opponents files documents for opposition (p. 206)

Documents - Example 2: Second communication by opponent (p. 209)

Documents - Example 3: Reply to opposition by proprietor (p. 211)

Documents - Example 4: Third party observations (p. 214)

The options in the **Evidence - publications** (p. 216) and **Evidence - other** (p. 227) sub-tabs are identical for all cases of communication and persons.

8.6.1 Documents - Example 1: Opponents files documents for opposition

The example shows the attachment of the mandatory **facts and arguments** and of a document containing information about further representatives, issued by the opponent (or intervener) in 1st communication.

The options for **other documents** are:

- General authorisation
- Specific authorisation
- Document containing information on further representatives
- Request for change of address
- Request for change of name
- Request for change of representative
- Request for transfer of rights
- <other document>

EP(Oppo) Documents GUI, Documents sub-tab

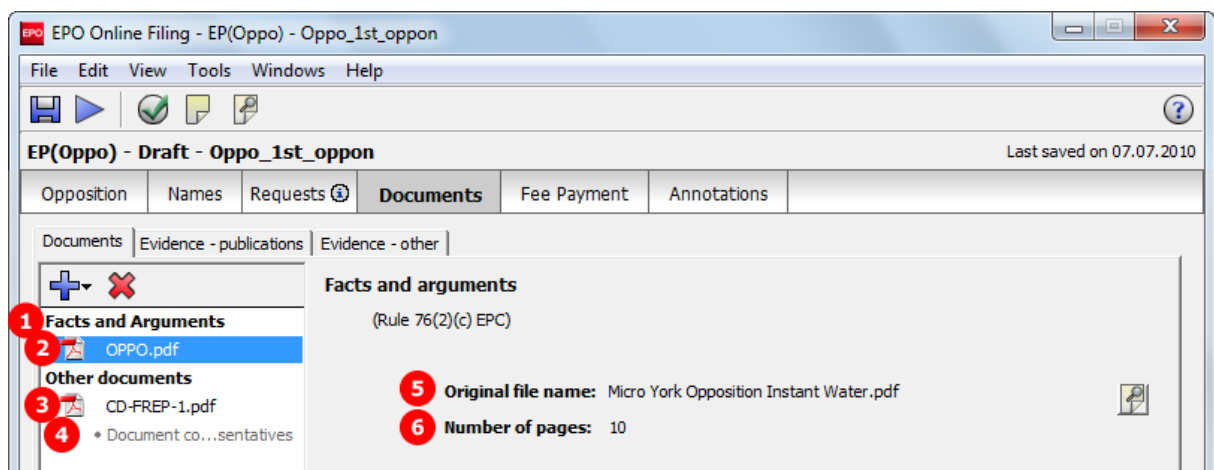


Figure 257: Documents GUI: Opponent files facts and arguments and another document

Element list

- (1) Document type **Facts and Arguments**
- (2) EPO file name for Facts and Arguments
- (3) EPO file name for information on further representatives
- (4) Document type **Document concerning information on further representatives**
- (5) Original file name of Facts and Arguments
- (6) Number of pages (does not appear in XML file or in PDF form)
- (7) Original file name of document concerning information on further representatives
- (8) Document type **Notice of opposition**, Form 2300E
- (9) EPO file name for notice of opposition
- (10) Document type XML for notice of opposition
- (11) EPO file name for notice of opposition

XML ep-opposition-data.xml

Like in other electronic EP filing procedures, the attached documents are referenced both in the XML request file (ep-opposition-data.xml) and in the package-data.xml file. There is no application-body.xml file.

```

8      <file-reference-id>Oppo_1st_oppon</file-reference-id>
9      <publication-reference>
15     <application-reference>
21     <gazette-reference>
25     <invention-title>Instant Water</invention-title>
26     <assignees>
31     <ep-opposition-external-party external-party-role="opponent">
123    <ep-opposition-notice>
171    <ep-opposition-evidence party-reference="B04">
184    <ep-opposition-evidence party-reference="B01">
206    <ep-opposition-evidence party-reference="B06">
229    <ep-opposition-evidence party-reference="B07">
247    <ep-opposition-evidence party-reference="B02">
266    8 <ep-electronic-files doc-type="2300E">
267      <applicant-file-name/>
268    9 <epo-file-name>ep-oppo.pdf</epo-file-name>
269    </ep-electronic-files>
270    1 <ep-electronic-files doc-type="FACTS_ARGMTS">
271      <applicant-file-name>Micro York Opposition Instant Water.pdf</applicant-file-name> 5
272    2 <epo-file-name>OPPO.pdf</epo-file-name>
273    </ep-electronic-files>
274    3 <ep-electronic-files doc-type="CD-FREP">
275      <applicant-file-name>Micro York Representative Info.pdf</applicant-file-name> 7
276    4 <epo-file-name>CD-FREP-1.pdf</epo-file-name>
277    </ep-electronic-files>
278    <ep-electronic-files doc-type="PATENT">
282    <ep-electronic-files doc-type="ARTICLE">
286    <ep-electronic-files doc-type="BOOK">
290    <ep-electronic-files doc-type="DATABASE">
294    <ep-electronic-files doc-type="INTERNET">
298    <ep-financial-data cur="EUR">
335    </ep-xmit-opposition-data>

```

Figure 258: Documents data in XML file

XML package-data.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE package-data SYSTEM "package-data.dtd">
3  <package-data lang="en" dtd-version="1.0" produced-by="applicant">
4  <transmittal-info>
11 <signatories>
21 <application-request file="ep-opposition-data.xml"/>
22 <other-documents>
23 <other-doc file="ep-oppo.pdf" file-type="pdf"> 9
24 <document-name>2300E</document-name>
25 <dtext/>
26 </other-doc>
27 <other-doc file="ep-opposition-data.xml" file-type="xml"> 11
28 <document-name>REQXML</document-name>
29 <dtext/>
30 </other-doc>
31 <other-doc file="OPPO.pdf" file-type="pdf"> 2
32 <document-name>FACTS_ARGMTS</document-name>
33 <dtext>Facts_and_Arguments_in_Opposition</dtext>
34 </other-doc>
35 <other-doc file="CD-FREP-1.pdf" file-type="pdf"> 4
36 <document-name>CD-FREP</document-name>
37 <dtext>Document containing information about further representatives</dtext>
38 </other-doc>
39 <other-doc file="Published-Evidence-1.pdf" file-type="pdf">
43 <other-doc file="Published-Evidence-2.pdf" file-type="pdf">
47 <other-doc file="Published-Evidence-3.pdf" file-type="pdf">
51 <other-doc file="Published-Evidence-4.pdf" file-type="pdf">
55 <other-doc file="Published-Evidence-5.pdf" file-type="pdf">
59 </other-documents>
60 </package-data>
    
```

Figure 259: References to attached files in package-data.xml

PDF ep-oppo.pdf

B	Attached document files	Original file name:	System file name:
B-1	1. Facts and arguments	Micro York Opposition Instant Water.pdf	OPPO.pdf
B-2	1. Document containing information about further representatives	Micro York Representative Info.pdf	CD-FREP-1.pdf

Figure 260: Documents PDF: files attached by opponent

8.6.2 Documents - Example 2: Second communication by opponent

The following combination of documents can be attached in the 2nd communication of an opponent (or intervener):

- Facts and Arguments
 - OR-
 - Reply to the communication concerning admissibility of an opposition
 - AND-
 - Reply to observations made by the patent proprietor(s)
 - OR-
 - Reply to an examination report in opposition proceedings
 - AND-
- Other documents (same options like in first communication)

The example below shows two attachments filed by the opponent.

EP(Oppo) Documents GUI, Documents sub-tab

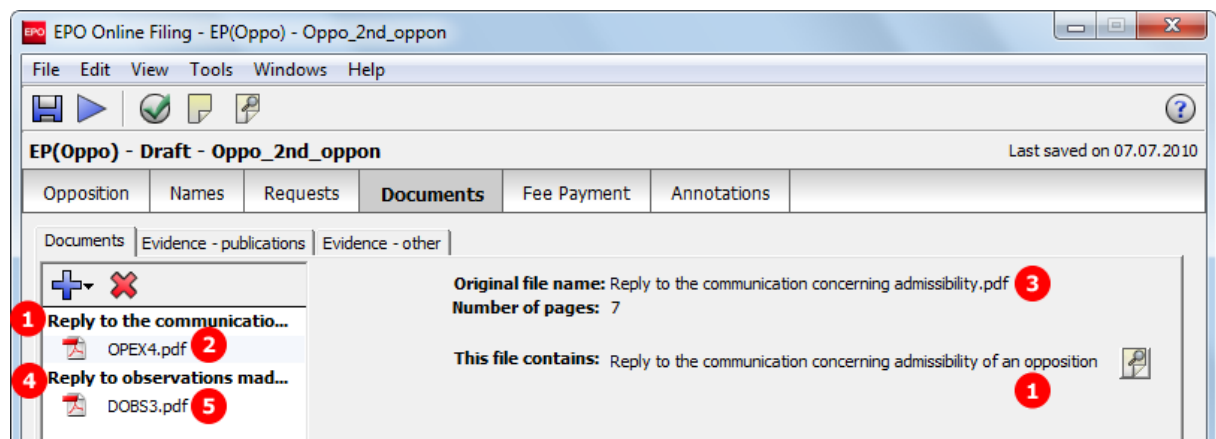


Figure 261: Documents GUI: Opponent files documents in second communication

Element list

- (1) Document type **Reply to the communication concerning admissibility of an opposition**
- (2) EPO file name for OPEX4
- (3) Original file name
- (4) Document type **Reply to observations made by the patent proprietor(s)**
- (5) EPO file name for DOBS3
- (6) Original file name
- (7) Document type **Submission in opposition procedure**, filed by opponent
- (8) EP(Oppo) PDF form

XML ep-opposition-data.xml

① Note that the document code for the EP(Oppo) form is OPPOLETT in the case of 2nd communication before or unrelated to summons to oral proceedings.

```

31  <ep-opposition-external-party external-party-role="opponent">
58  <ep-opposition-submission after-summons-to-op="no">
63  <ep-electronic-files doc-type="OPPOLETT"> 7
64    <applicant-file-name/>
65    <epo-file-name>ep-oppo.pdf</epo-file-name> 8
66  </ep-electronic-files>
67  <ep-electronic-files doc-type="OPEX4"> 1
68  3 <applicant-file-name>Reply to the communication concerning admissibility.pdf</applicant-file-name>
69    <epo-file-name>OPEX4.pdf</epo-file-name> 2
70  </ep-electronic-files>
71  <ep-electronic-files doc-type="DOBS3"> 4
72  6 <applicant-file-name>Reply to observations made by the patent proprietor.pdf</applicant-file-name>
73    <epo-file-name>DOBS3.pdf</epo-file-name> 5
74  </ep-electronic-files>
75  <ep-financial-data curr="EUR">
112 </ep-xmit-opposition-data>

```

Figure 262: Documents XML: attachments by opponent in 2nd communication

PDF ep-oppo.pdf

Documents attached:

	Description of document	Original file name	Assigned file name
1	Reply to the communication concerning admissibility of an opposition 1	Reply to the communication concerning admissibility.pdf 3	2 OPEX4.pdf
2	Reply from the opponent to submission of proprietor 4	Reply to observations made by the patent proprietor.pdf 6	5 DOBS3.pdf

Figure 263: Documents PDF: attachments by opponent in reply

8.6.3 Documents - Example 3: Reply to opposition by proprietor

The 2nd communication by the proprietor allows for attaching the following documents:

- Reply to notice(s) of opposition
- Reply to an examination report in opposition proceedings
- Main request document
- Separate auxiliary request document
- Acknowledgement
- Other documents
 - General authorisation
 - Specific authorisation
 - Document containing information about further representatives
 - German translation of claims
 - English translation of claims
 - French translation of claims
 - Request for change of address
 - Request for change of name
 - Request for change of representative
 - Request for transfer of rights
 - <other document>

The example illustrates some documents filed by the proprietor of the patent.

EP(Oppo) Documents GUI, Documents sub-tab

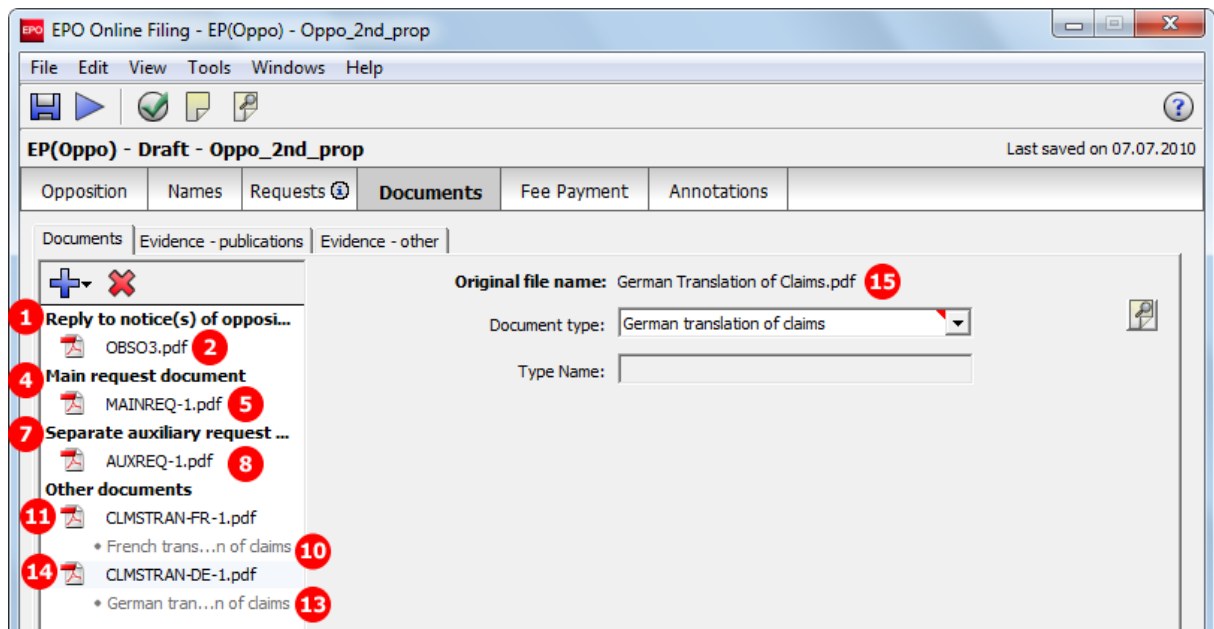


Figure 264: Documents GUI: Proprietor files document in reply to the opposition

Element list

- (1) Document type ***Reply to notice(s) of opposition***
- (2) EPO file name for OBSO3
- (3) Original file name
- (4) Document type ***Main request document***
- (5) EPO file name for MAINREQ-O
- (6) Original file name
- (7) Document type ***Separate auxiliary request document***
- (8) EPO file name for AUXREQ-O
- (9) Original file name
- (10) Document type ***French translation of claims***
- (11) EPO file name for CLMSTRAN-FR
- (12) Original file name
- (13) Document type ***German translation of claims***
- (14) EPO file name for CLMSTRAN-DE
- (15) Original file name
- (16) Document type for ***Submission in Opposition***, following summons to oral proceedings
- (17) EP(Oppo) PDF form
- (18) Summons to oral proceedings indicated

XML ep-opposition-data.xml

ⓘ Note that the document code for the EP(Oppo) form is ORALLETT in the case of 2nd communication after summons to oral proceedings.

```

31  <ep-opposition-proprietor>
88  <ep-opposition-submission after-summons-to-op="yes">
119 16 <ep-electronic-files doc-type="ORALLETT"> 18
120  <applicant-file-name/>
121 17 <epo-file-name>ep-oppo.pdf</epo-file-name>
122  </ep-electronic-files>
123 1 <ep-electronic-files doc-type="OBSO3">
124  <applicant-file-name>Reply to notice of opposition.pdf</applicant-file-name> 3
125 2 <epo-file-name>OBSO3.pdf</epo-file-name>
126  </ep-electronic-files>
127 7 <ep-electronic-files doc-type="AUXREQ-O">
128  <applicant-file-name>Auxiliary Request Document.pdf</applicant-file-name> 9
129 8 <epo-file-name>AUXREQ-1.pdf</epo-file-name>
130  </ep-electronic-files>
131 4 <ep-electronic-files doc-type="MAINREQ-O">
132  <applicant-file-name>Main Request Document.pdf</applicant-file-name> 6
133 5 <epo-file-name>MAINREQ-1.pdf</epo-file-name>
134  </ep-electronic-files>
135 10 <ep-electronic-files doc-type="CLMSTRAN-FR">
136  <applicant-file-name>FrenchTranslation of Claims.pdf</applicant-file-name> 12
137 11 <epo-file-name>CLMSTRAN-FR-1.pdf</epo-file-name>
138  </ep-electronic-files>
139 13 <ep-electronic-files doc-type="CLMSTRAN-DE">
140  <applicant-file-name>German Translation of Claims.pdf</applicant-file-name> 15
141 14 <epo-file-name>CLMSTRAN-DE-1.pdf</epo-file-name>
142  </ep-electronic-files>
143  <ep-financial-data curr="EUR">
180  </ep-xmit-opposition-data>
    
```

Figure 265: Documents XML: attached documents in 2nd communication by proprietor

PDF ep-oppo.pdf

Documents attached:

	Description of document	Original file name	Assigned file name
1	Reply of the patent proprietor to the notice(s) of opposition 1	Reply to notice of opposition.pdf 3	OBSO3.pdf 2
2	Main request in opposition 4	Main Request Document.pdf 5	MAINREQ-1.pdf 6
3	Auxiliary request in opposition 7	Auxiliary Request Document.pdf 8	AUXREQ-1.pdf 9
4	German translation of claims 13	German Translation of Claims.pdf 14	CLMSTRAN-DE-1.pdf 15
5	French translation of claims 10	FrenchTranslation of Claims.pdf 11	CLMSTRAN-FR-1.pdf 12

Figure 266: Documents XML: attachments for submission in opposition proceedings

8.6.4 Documents - Example 4: Third party observations

The options for attaching documents by third parties are restricted to the document type **Observations by third party**. Multiple documents may be attached; the EPO file names are numbered consecutively.

EP(Oppo) Documents GUI, Documents sub-tab

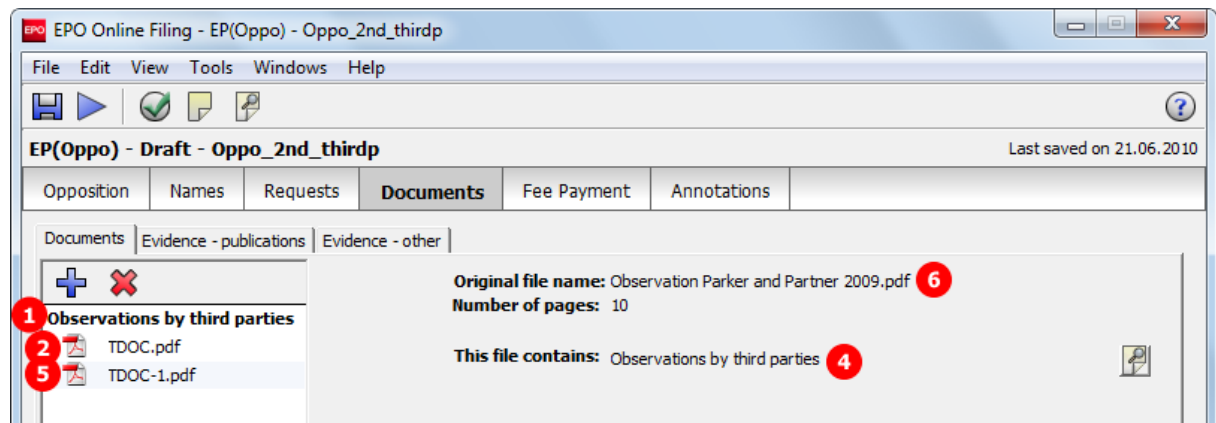


Figure 267: Documents GUI: Third party files observations

Element list

- (1) Document type **Observations by third parties**
- (2) EPO file name
- (3) Original file name
- (4) Document type **Observations by third parties**
- (5) EPO file name
- (6) Original file name
- (7) Document type **Third Party Observation**
- (8) EP(Oppo) PDF form

XML ep-opposition-data.xml

i Note that the document code for the EP(Oppo) form is TIPA1 for all communication by third parties.

```

31 <ep-opposition-external-party external-party-role="third-party">
80 <ep-opposition-submission after-summons-to-op="no"/>
81 7 <ep-electronic-files doc-type="TIPA1">
82 <applicant-file-name/>
83 8 <epo-file-name>ep-oppo.pdf</epo-file-name>
84 </ep-electronic-files>
85 1 <ep-electronic-files doc-type="TDOC">
86 <applicant-file-name>Observation Parker and Partner.pdf</applicant-file-name> 3
87 2 <epo-file-name>TDOC.pdf</epo-file-name>
88 </ep-electronic-files>
89 4 <ep-electronic-files doc-type="TDOC">
90 <applicant-file-name>Observation Parker and Partner 2009.pdf</applicant-file-name> 6
91 5 <epo-file-name>TDOC-1.pdf</epo-file-name>
92 </ep-electronic-files>
93 <ep-financial-data cur="EUR">
130 </ep-xmit-opposition-data>

```

Figure 268: Documents XML: references to files attached by third party

PDF ep-oppo.pdf

Documents attached:

	Description of document	Original file name	Assigned file name
1	Citation filed by a third party 1	Observation Parker and Partner.pdf 2	TDOC.pdf 3
2	Citation filed by a third party 4	Observation Parker and Partner 2009.pdf 5	TDOC-1.pdf 6

Figure 269: Documents PDF: observations filed by third party

8.6.5 Evidence - publications

Data related to published evidences figure both as XML elements with various child elements and as PDF documents. The example shows the five different options for citing publications:

- Patents
- Articles
- Books
- Database
- Internet publications

It is important to provide accurate data for the evidences, following the system also used for scientific bibliographies. The number of evidences is unlimited. Each evidence, `<patcit>` for patent literature or `<nplit>` for non-patent literature, is enclosed in an `<ep-opposition-evidence>` element and is numbered consecutively.

XML ep-opposition-data.xml: references to applicant's files

① Note that the references to all attached files for evidence publications are listed below the bibliographic data for the evidences. The original file name assigned by the applicant is contained in the usual `<applicant-file-name>` element.

```

31  <ep-opposition-external-party external-party-role="opponent">
123  <ep-opposition-notice>
171  <ep-opposition-evidence party-reference="B04">
184  <ep-opposition-evidence party-reference="B01">
206  <ep-opposition-evidence party-reference="B06">
229  <ep-opposition-evidence party-reference="B07">
247  <ep-opposition-evidence party-reference="B02">
266  <ep-electronic-files doc-type="2300E">
270  <ep-electronic-files doc-type="FACTS_ARGMTS">
274  <ep-electronic-files doc-type="CD-FREP">
278  <ep-electronic-files doc-type="PATENT">
279  <applicant-file-name>B04_pulverisiertes_wasser_patent.pdf</applicant-file-name>
280  <epo-file-name>Published-Evidence-1.pdf</epo-file-name>
281  </ep-electronic-files>
282  <ep-electronic-files doc-type="ARTICLE">
283  <applicant-file-name>B01_Article_Nanotechnology_Aug_2008.pdf</applicant-file-name>
284  <epo-file-name>Published-Evidence-2.pdf</epo-file-name>
285  </ep-electronic-files>
286  <ep-electronic-files doc-type="BOOK">
287  <applicant-file-name>B06_Surface_Technology.pdf</applicant-file-name>
288  <epo-file-name>Published-Evidence-3.pdf</epo-file-name>
289  </ep-electronic-files>
290  <ep-electronic-files doc-type="DATABASE">
291  <applicant-file-name>B07_Database_Polymer_Institute.pdf</applicant-file-name>
292  <epo-file-name>Published-Evidence-4.pdf</epo-file-name>
293  </ep-electronic-files>
294  <ep-electronic-files doc-type="INTERNET">
295  <applicant-file-name>B02_Internet_Nanotechnology.pdf</applicant-file-name>
296  <epo-file-name>Published-Evidence-5.pdf</epo-file-name>
297  </ep-electronic-files>
298  <ep-financial-data cur="EUR">
335  </ep-xmit-opposition-data>

```

Figure 270: Documents XML: all attachments listed with document type, applicant's file name and EPO file name

GUI EP(Oppo) Documents, Evidence - publications sub-tab, Patent publication

The screenshot shows the EPO Online Filing interface for an EP(Oppo) draft. The 'Documents' tab is active, and the 'Evidence - publications' sub-tab is selected. The 'Patent publication' form is displayed with the following data:

Field	Value
Original file name:	B04_pulverisiert...asser_patent.pdf
Number of pages:	7
Reference:	B04
Patent office:	DE (Germany)
Publication number:	DE 1070040
Publication kind:	C2
Publication date:	29 July 2009
Particular relevance (page, column, line, fig.):	page 4, lines 18-29

The left sidebar shows a list of evidence files under 'Patents' and 'Published-Evidence-1.pdf' is selected. The status bar at the bottom indicates 'Logged in as Administrator' and shows 0 errors, 0 warnings, and 1 information message.

Figure 271: Documents GUI: Data of a patent as evidence

Element list

- (1) Citation type **Patent**
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) Patent office (country)
- (6) Publication number
- (7) Publication kind
- (8) Publication date
- (9) Passages of particular relevance

XML ep-opposition-data.xml, data for patent publication

```

123 <ep-opposition-notice>
171 <ep-opposition-evidence party-reference="B04"> 4
172 <patcit num="1" file="Published-Evidence-1.pdf"> 2
173 <document-id lang="en">
174 <country>DE</country> 5
175 <doc-number>DE 1070040</doc-number> 6
176 <kind>C2</kind> 7
177 <date>20090729</date> 8
178 </document-id>
179 <rel-passage>
180 <text>page 4, lines 18-29</text> 9
181 </rel-passage>
182 </patcit>
183 </ep-opposition-evidence>

```

Figure 272: XML data for citation of a patent

PDF ep-oppo.pdf, Evidence section: patent

<p>4 B04 Patent document</p> <p>1</p>	<p>5 DEDE 1070040 (C2) , 29.07.2009</p> <p>6 particular relevance: page 4, lines 18-29</p> <p>7 original file name: B04_pulverisiertes_wasser_patent.pdf</p> <p>8 attached as: Published-Evidence-1.pdf</p> <p>9</p> <p>2</p> <p>3</p>
---------------------------------------	--

Figure 273: Evidence PDF: patent

GUI EP(Oppo) Documents, Evidence - publications sub-tab, Articles publication

The screenshot shows the EPO Online Filing GUI for an EP(Oppo) case. The main window title is "EPO Online Filing - EP(Oppo) - Oppo_1st_oppon". The interface includes a menu bar (File, Edit, View, Tools, Windows, Help) and a toolbar. The main area is titled "EP(Oppo) - Draft - Oppo_1st_oppon" and shows a tabbed interface with "Documents" selected. Under "Documents", the "Evidence - publications" sub-tab is active, and the "Articles" category is selected. The form contains the following fields and values:

- Original file name:** B01 Article Nano...gy Aug 2008.pdf (3)
- Number of pages:** 10
- Reference:** B01 (4)
- Author's surname:** Foster (5)
- Author's first name:** Joseph (6)
- Author's suffix:** et al. (7)
- Title (Article):** Process of humidification of surfaces using powdered water (8)
- Periodical name:** Nanotechnology - Progress in surface treatments (9)
- Volume number:** 3 (10)
- Article No.:** 15 (11)
- Publication date:** 19 August 2008 (12)
- ISBN:** 977-3-1234-5678-3 (13)
- Particular relevance (page, column, line, fig.):** page 35, fig. 5 (14)

The left sidebar shows a list of evidence files under "Articles", with "Published-Evidence-2.pdf" selected. The status bar at the bottom indicates "Logged in as Administrator" and shows 0 errors, 0 warnings, and 1 information message.

Figure 274: Documents GUI: Data of an article as evidence

Element list

- (1) Citation type **Article** (non-patent literature)
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) Author's last name
- (6) Author's first name
- (7) Author's suffix
- (8) Article title
- (9) Periodical name
- (10) Volume number
- (11) Article number
- (12) Publication date
- (13) ISSN number
- (14) Passages of particular relevance

XML ep-opposition-data.xml, data for article publication

```

184 <ep-opposition-evidence party-reference="B01"> 4
185 <nplcit num="2" file="Published-Evidence-2.pdf"> 2
186 <article> 1
187 <author>
188 <last-name>Foster</last-name> 5
189 <first-name>Joseph</first-name> 6
190 <suffix>et al.</suffix> 7
191 </author>
192 <atl>Process of humidification of surfaces using powdered water</atl> 8
193 <serial>
194 <sertitle>Nanotechnology - Progress in surface treatments</sertitle> 9
195 <pubdate>20080819</pubdate> 12
196 <vid>3</vid> 10
197 <issn>977-3-1234-5678-3</issn> 13
198 </serial>
199 <artid>15</artid> 11
200 </article>
201 <rel-passage>
202 <text>page 35, fig. 5</text> 14
203 </rel-passage>
204 </nplcit>
205 </ep-opposition-evidence>
    
```

Figure 275: XML data for citation of an article

PDF ep-oppo.pdf, Evidence section: non-patent literature - article

IX. Evidence presented

4 B01 Non-patent literature - article 1

5 Foster, Joseph et al., "Process of humidification of surfaces using powdered water" 8

9 Nanotechnology - Progress in surface treatments, Vol. 3, No. 15, 19 August 2008

13 ISSN: 977-3-1234-5678-3

particular relevance: page 35, fig. 5 14

original file name: B01 Article Nanotechnology Aug 2008.pdf 3

attached as: Published-Evidence-2.pdf 2

Figure 276: Evidence PDF: article

GUI EP(Oppo) Documents, Evidence - publications sub-tab, Books publication

The screenshot shows the EPO Online Filing interface for an EP(Oppo) case. The main window is titled "EPO Online Filing - EP(Oppo) - Oppo_1st_oppon". The "Documents" tab is active, and the "Evidence - publications" sub-tab is selected. The left sidebar shows a list of evidence items, with "Books" selected. The right pane displays the "Book" form with the following fields:

- Original file name:** B06_Surface_Technology.pdf
- Number of pages:** 2
- Reference:** B06
- Author:** Kensington (Surname), Harold (First name)
- Title:** Best Practices of Modern Surface Coating Technology
- Publication date:** 2009 (Year), 6 (Month)
- Publisher:** Blackwater House Publishers
- Place of publication:** Singapore
- ISBN:** 978-2-4321-8765-3
- Edition:** 3rd
- Particular relevance:** (page, column, line, fig.): pages 345-356

Figure 277: Documents GUI: Data of a book as evidence

Element list

- (1) Citation type **Book** (non-patent literature)
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) Author's last name
- (6) Author's first name
- (7) Book title
- (8) Publication date / year
- (9) Publisher
- (10) Place of publication
- (11) ISBN number
- (12) Edition number
- (13) Passages of particular relevance

XML ep-opposition-data.xml, data for book publication

```

206 <ep-opposition-evidence party-reference="B06">
207 <nplcit num="3" file="Published-Evidence-3.pdf">
208 <book>
209 <author>
210 <last-name>Kensington</last-name>
211 <first-name>Harold</first-name>
212 </author>
213 <book-title>Best Practices of Modern Surface Coating Technology</book-title>
214 <edition>3rd</edition>
215 <imprint>
216 <address>
217 <text>Singapore</text>
218 </address>
219 <name>Blackwater House Publishers</name>
220 <pubdate>2009</pubdate>
221 </imprint>
222 <isbn>978-2-4321-8765-3</isbn>
223 </book>
224 <rel-passage>
225 <text>pages 345-356</text>
226 </rel-passage>
227 </nplcit>
228 </ep-opposition-evidence>
    
```

Figure 278: XML data for citation of a book

PDF ep-oppo.pdf, Evidence section: non-patent literature - book

4 B06 Non-patent literature - book

5 Kensington, Harold, "Best Practices of Modern Surface Coating Technology"
6 Singapore: Blackwater House Publishers, 2009, Ed. 3rd
7 ISBN: 978-2-4321-8765-3
9 particular relevance: pages 345-356
13 original file name: B06_Surface_Technology.pdf
3 attached as: Published-Evidence-3.pdf

1
10
11
8
12
2

Figure 279: Evidence PDF: book

GUI EP(Oppo) Documents, Evidence - publications sub-tab, Database publication

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Oppo_1st_oppon' window. The main area is titled 'EP(Oppo) - Draft - Oppo_1st_oppon' and is divided into tabs: 'Opposition', 'Names', 'Requests', 'Documents', 'Fee Payment', and 'Annotations'. The 'Documents' tab is active, and the 'Evidence - publications' sub-tab is selected. The left sidebar shows a tree view with categories: 'Patents', 'Articles', 'Books', 'Database', and 'Internet publications'. The 'Database' category is selected, and the file 'Published-Evidence-4.pdf' is highlighted. The main form panel is titled 'Database' and contains the following fields:

- Original file name:** B07_Database_Pol...r_Institute.pdf (3)
- Number of pages:** 2
- Reference:** B07 (4) e.g. D01, E02, etc.
- Author:** Company: Institute of Polymer Research (5); Surname: ; First name: ; et al. checkbox
- Title:** Research Database of the Institute of Polymer Research (6)
- Host/database name:** Polymer Database (7)
- Publication date:** 29 October 2009 (8)
- Host/DB accession No.:** 2345.9090 (9); **Abst./Accession No.:** 345 (10)
- Owner/service/url:** http://www.polymer.org/research/database.php (11)
- Date of search:** 4 May 2010 (12)

The status bar at the bottom indicates 'Logged in as Administrator' and shows a progress indicator with a value of 1.

Figure 280: Documents GUI: Data of a book as evidence

Element list

- (1) Citation type **Database** (non-patent literature)
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) Name of publishing organisation
- (6) Title of database
- (7) Host / database name
- (8) Publication date
- (9) Host / database accession number
- (10) Abstract / accession number
- (11) Owner / service / url
- (12) Date of search

XML ep-opposition-data.xml, data for database publication

```

228 | </ep-opposition-evidence>
229 | <ep-opposition-evidence party-reference="B07"> 4
230 | <nplcit num="4" file="Published-Evidence-4.pdf"> 2
231 | 1 <online>
232 | <author>
233 | 5 <orgname>Institute of Polymer Research</orgname>
234 | </author>
235 | 6 <online-title>Research Database of the Institute of Polymer Research</online-title>
236 | <hosttitle>Polymer Database</hosttitle> 7
237 | 8 <pubdate>20091029</pubdate>
238 | <hostno>2345.9090</hostno> 9
239 | 10 <absno>345</absno>
240 | <avail>http://www.polymer.org/research/database.php</avail> 11
241 | <srchdate>
242 | 12 <date>20100504</date>
243 | </srchdate>
244 | </online>
245 | </nplcit>
246 | </ep-opposition-evidence>

```

Figure 281: XML data for citation of database

PDF ep-oppo.pdf, Evidence section: non-patent literature - database

4 B07 Non-patent literature - database 1

5 Institute of Polymer Research, "Research Database of the Institute of Polymer Research" 6

7 Host: Polymer Database, No. 2345.9090, accession: 345 9 10

8 29.10.2009, 04.05.2010 12

Available from: [http://www.polymer.org/research/database.php] 11

original file name: B07_Database_Polymer_Institute.pdf 3

attached as: Published-Evidence-4.pdf 2

Figure 282: Evidence PDF: database

GUI EP(Oppo) Documents, Evidence - publications sub-tab, Internet publication

EPO Online Filing - EP(Oppo) - Oppo_1st_oppon

File Edit View Tools Windows Help

EP(Oppo) - Draft - Oppo_1st_oppon Last saved on 07.07.2010

Opposition Names Requests Documents Fee Payment Annotations

Documents Evidence - publications Evidence - other

Patents
Published-Evidence-1.pdf

Articles
Published-Evidence-2.pdf

Books
Published-Evidence-3.pdf

Database
Published-Evidence-4.pdf

1 Internet publications
2 Published-Evidence-5.pdf

Internet

Original file name: 3 B02 Internet Nanotechnology.pdf Number of pages: 2

Reference: 4 B02 e.g. D01, E02, etc.

URL: 5 www.nanotechnology.info/publish/articles/091123WaterPowder.html

Title: 6 World of molecules - Novelty water powder successfully tested for surface coating

Publication date: 7 1 September 2009

Retrieval date: 8 6 April 2010

Author:
 Company:
 Surname: 9 Foster
 First name: 10 Joseph et al.

Particular relevance (page, column, line, fig.): 11 lines 245-280

Logged in as Administrator

Figure 283: Documents GUI: Data of an internet publication as evidence

Element list

- (1) Citation type **Internet** (non-patent literature)
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) URL of Internet publication
- (6) Title of Internet publication
- (7) Publication date
- (8) Retrieval date
- (9) Author's last name
- (10) Author's first name
- (11) Passages of particular relevance

XML ep-opposition-data.xml, data for Internet publication

```

247 <ep-opposition-evidence party-reference="B02"> 4
248 <nplcit num="5" file="Published-Evidence-5.pdf">
249 <online> 1 2
250 <author>
251 <last-name>Foster</last-name> 9
252 <first-name>Joseph</first-name> 10
253 </author>
254 <online-title>World of molecules - Novelty water powder successfully tested for surface coating</online-title> 6
255 <pubdate>20090901</pubdate> 7
256 <avail>www.nanotechnology.info/publish/articles/091123WaterPowder.html</avail> 5
257 <datecit>
258 <date>20100406</date> 8
259 </datecit>
260 </online>
261 <rel-passage>
262 <text>lines 245-280</text> 11
263 </rel-passage>
264 </nplcit>
265 </ep-opposition-evidence>
    
```

Figure 284: XML data for citation of Internet publication

PDF ep-oppo.pdf, Evidence section: non-patent-literature - internet

<p>4 B02 Non-patent literature - internet</p> <p>1</p>	<p>9 Foster, Joseph, "World of molecules - Novelty water powder successfully tested for surface coating"</p> <p>10 01.09.2009, [cited 06.04.2010]</p> <p>6 8</p> <p>7 Available from:</p> <p>5 [www.nanotechnology.info/publish/articles/091123WaterPowder.html]</p> <p>11 particular relevance: lines 245-280</p> <p>3 original file name: B02 Internet Nanotechnology.pdf</p> <p>2 attached as: Published-Evidence-5.pdf</p>
--	--

Figure 285: Evidence PDF: internet publication

8.6.6 Evidence - other

The options for attaching files under **Evidence - other** are the same for all categories of persons and communication:

- Affidavit
- Image or photo (PDF)
- Cover letter for non-scannable object
- Other evidence
- Translation of evidence

The example shows an opponent filing other evidences in 2nd communication.

EP(Oppo) Documents GUI, Evidence - other sub-tab

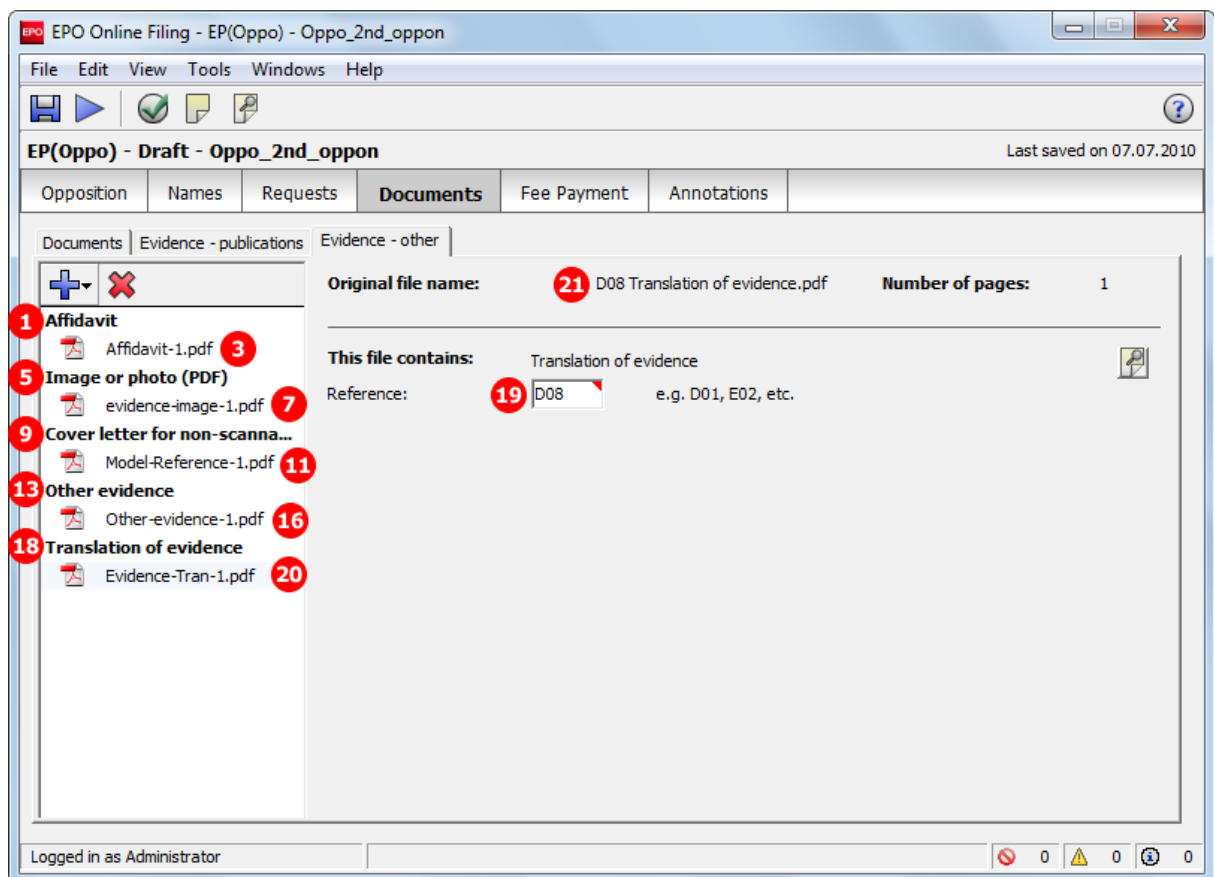


Figure 286: Documents GUI: Other evidence filed by opponent

Element list

- (1) Document type ***Affidavit***
- (2) Applicant's reference
- (3) EPO file name
- (4) Original file name
- (5) Document type ***Image or Photo***
- (6) Applicant's reference
- (7) EPO file name
- (8) Original file name
- (9) Document type ***Cover letter for non scannable object***
- (10) Applicant's reference
- (11) EPO file name
- (12) Original file name
- (13) Document type ***Other evidence***
- (14) Applicant's reference
- (15) Description of other evidence
- (16) EPO file name
- (17) Original file name
- (18) Document type ***Translation of evidence***
- (19) Applicant's reference
- (20) EPO file name
- (21) Original file name

PDF ep-oppo.pdf

Evidence filed subsequently:		
10	D04	Other evidence original file name: D04 Miller Reference Sheet.pdf 12 attached as: Model-Reference-1.pdf 11
6	D06	Other evidence original file name: Instant Water Photo.pdf 8 attached as: evidence-image-1.pdf 7
2	D07	Other evidence original file name: D07 Miller Affidavit.pdf 4 attached as: Affidavit-1.pdf 3
19	D08	Other evidence original file name: D08 Translation of evidence.pdf 21 attached as: Evidence-Tran-1.pdf 20
14	D12	Draft of a research paper by the Institute of Polymers 15 original file name: Institute of Polymers Paper.pdf 17 attached as: Other-evidence-1.pdf 16

Figure 287: Documents PDF: Evidence filed subsequently by opponent

XML ep-opposition-data.xml

```

31  <ep-opposition-external-party external-party-role="opponent">
58  <ep-opposition-submission after-summons-to-op="no">
63  <ep-opposition-evidence party-reference="D07"> 2
64  <opposition-evidence-other-file>
65  3 <doc-page file="Affidavit-1.pdf" wi="" he="" type="pdf"/>
66  </opposition-evidence-other-file>
67  </ep-opposition-evidence>
68  <ep-opposition-evidence party-reference="D06"> 6
69  <opposition-evidence-other-file>
70  7 <doc-page file="evidence-image-1.pdf" wi="" he="" type="pdf"/>
71  </opposition-evidence-other-file>
72  </ep-opposition-evidence>
73  <ep-opposition-evidence party-reference="D04"> 10
74  <opposition-evidence-other-file>
75  11 <doc-page file="Model-Reference-1.pdf" wi="" he="" type="pdf"/>
76  </opposition-evidence-other-file>
77  </ep-opposition-evidence>
78  <ep-opposition-evidence party-reference="D12"> 14
79  15 <ep-opposition-evidence-title>Draft of a research paper by the Institute of Polymers</ep-opposition-evidence-title>
80  <opposition-evidence-other-file>
81  16 <doc-page file="Other-evidence-1.pdf" wi="" he="" type="pdf"/>
82  </opposition-evidence-other-file>
83  </ep-opposition-evidence>
84  <ep-opposition-evidence party-reference="D08"> 19
85  <opposition-evidence-other-file>
86  20 <doc-page file="Evidence-Tran-1.pdf" wi="" he="" type="pdf"/>
87  </opposition-evidence-other-file>
88  </ep-opposition-evidence>
89  <ep-electronic-files doc-type="OPPOLETT">
93  <ep-electronic-files doc-type="OPEX4">
97  <ep-electronic-files doc-type="DOBS3">
101  1 <ep-electronic-files doc-type="AFFIDAVIT">
102  <applicant-file-name>D07 Miller Affidavit.pdf</applicant-file-name> 4
103  3 <epo-file-name>Affidavit-1.pdf</epo-file-name>
104  </ep-electronic-files>
105  5 <ep-electronic-files doc-type="IMAGE">
106  <applicant-file-name>Instant Water Photo.pdf</applicant-file-name> 8
107  7 <epo-file-name>evidence-image-1.pdf</epo-file-name>
108  </ep-electronic-files>
109  9 <ep-electronic-files doc-type="MODEL">
110  <applicant-file-name>D04 Miller Reference Sheet.pdf</applicant-file-name> 12
111  11 <epo-file-name>Model-Reference-1.pdf</epo-file-name>
112  </ep-electronic-files>
113  13 <ep-electronic-files doc-type="EVDNCE_OTHER">
114  <applicant-file-name>Institute of Polymers Paper.pdf</applicant-file-name> 17
115  16 <epo-file-name>Other-evidence-1.pdf</epo-file-name>
116  </ep-electronic-files>
117  18 <ep-electronic-files doc-type="EVDNCE_TRAN">
118  <applicant-file-name>D08 Translation of evidence.pdf</applicant-file-name> 21
119  20 <epo-file-name>Evidence-Tran-1.pdf</epo-file-name>
120  </ep-electronic-files>

```

Figure 288: XML data for other evidence: details and file references

8.7 EP(Oppo) Fee Payment

In EP(Oppo), there are only six different fees to be selected:

- Fee 010, 017 and 018 are available for opponents and interveners both in 1st and in 2nd communication.
- Fee 009, 013, 017, 018 and 056 are available for the proprietor, i.e. in 2nd communication.
- Third parties do not have to pay any fees.

The reduction and the fee amount can be modified in the GUI. For the data in the XML file, however, this is not significant, because the `<fee-sub-amount>`, `<fee-factor>` and `<fee-schedule>` elements just have to be filled using the appropriate values.

! *Note: The `<fee-schedule>` element is used for the (calculated) fee amount and the `<fee-sub-amount>` element contains the fee schedule (for one single fee).*

① You can retrieve the most recent fee schedule in the Online Filing File Manager under **Tools > Fee Management** or from the EPO **interactive schedule of fees** (<http://www.epoline.org/portal/portal/default/epoline.Scheduleoffees>).

8.7.1 Payment details

EP(Oppo) Fee Payment GUI, Payment details sub-tab

The example below shows payment details entered by the opponent.

The screenshot shows the 'Payment details' sub-tab in the EPO Online Filing GUI. The window title is 'EPO Online Filing - EP(Oppo) - OPPO-opponent'. The main title is 'EP(Oppo) - Draft - OPPO-opponent' with a 'Last saved on 23/04/2014' timestamp. The 'Fee Payment' tab is selected. The form contains the following fields:

- Mode of payment: **1** Debit from deposit account (dropdown menu)
- Currency: EUR **2**
- Deposit account number: **3** 28123456__
- Account holder: **4** Nano Enterprise
- Deferred execution date (optional): **5** 3 May 2014
- 6** Only required if different from above - Reimbursement, if any, to be made to deposit account with the EPO:
- Account holder: **8** IP Partners
- Reimbursement account number: **7** 28405060__

Figure 289: Payment details GUI

Element list

- (1) Mode of payment
- (2) Currency (EUR as default)
- (3) Account number for debit from deposit account
- (4) Account holder's name
- (5) Deferred execution date
- (6) Reimbursement information - if applicable
- (7) Account number for reimbursement
- (8) Account holder's name for reimbursement

XML ep-opposition-data.xml

If the import file should not specify a deferred execution date, the `deferred-execution-date` attribute in the `<mode-of-payment>` element can either be set to an empty value or be omitted. The OLF client sets the value to **18991230** if no date has been entered in the GUI.

```

73  <ep-electronic-files doc-type="FACTS_ARGMTS">
77  <ep-financial-data curr="EUR">
78  <mode-of-payment accno="28123456 " mode-type="deposit" currency="EUR" deferred-execution-date="20140503
    ">Nano Enterprise</mode-of-payment>
79  <reimbursement accno="28405060 ">IP Partners</reimbursement>
80  <fees date="20140401">
81  <standard-fee>
132  <fee-total-amount>850</fee-total-amount>
133  </fees>
134  </ep-financial-data>
  
```

The XML code is annotated with red circles containing numbers 1 through 8, corresponding to the element list:

- 1: `mode-type="deposit"` attribute in the `<mode-of-payment>` element.
- 2: `currency="EUR"` attribute in the `<mode-of-payment>` element.
- 3: `accno="28123456 "` attribute in the `<mode-of-payment>` element.
- 4: `>Nano Enterprise</mode-of-payment>` text content of the `<mode-of-payment>` element.
- 5: `deferred-execution-date="20140503"` attribute in the `<mode-of-payment>` element.
- 6: `<reimbursement accno="28405060 ">IP Partners</reimbursement>` text content of the `<reimbursement>` element.
- 7: `accno="28405060 "` attribute in the `<reimbursement>` element.
- 8: `>IP Partners</reimbursement>` text content of the `<reimbursement>` element.

Figure 290: Fee Payment XML data for payment details

PDF ep-oppo.pdf

X. Payment

Mode of payment: Debit from deposit account **1**

The European Patent Office is hereby authorised, to debit from the deposit account with the EPO any fees and costs indicated in the fees section below.

Currency: EUR **2**

Deposit account number: 28123456 **3**

Account holder: Nano Enterprise **4**

Deferred execution date / total amount to be debited on: (or on the date of receipt if the submission date is after the deferred execution date you have indicated) 03.05.2014 **5**

Important information:

- This functionality allows you to indicate explicitly that your payment order is to be executed at a later date than the submission date. In this case, the payment date will be deemed to be the deferred execution date, provided that you have sufficient funds on your deposit account on that date.
- Please choose the deferred execution date option only if the fees are to be debited on a future date, as otherwise the default execution date is date of receipt.
- The deferred execution date can be a maximum of 40 days in the future.

Refunds

6 Any refunds should be made to EPO deposit account: 28405060 **7**

Account holder: IP Partners **8**

Figure 291: Payment details PDF, mode of payment

8.7.2 Fee selection - Example 1: Opponent

The example below shows fees selected by the opponent.

EP(Oppo) Fee Payment GUI, Fee selection details sub-tab

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input type="checkbox"/>	009	Fee for publishing a new specification of the European patent	75.00	none	1	0.00
<input checked="" type="checkbox"/>	010	Opposition fee	775.00	none	1	775.00
<input type="checkbox"/>	013	Fee for re-establishment of rights (Article 122 EPC).	635.00	----	1	0.00
<input type="checkbox"/>	017	Fee for the awarding of costs	75.00	----	1	0.00
<input checked="" type="checkbox"/>	018	Fee for the conservation of evidence	75.00	----	1	75.00
<input type="checkbox"/>	056	Surcharge fee for printing (R.82(3), R.95(3))	120.00	none	1	0.00
						Total: (2 Fees) EUR 850.00

Fee schedule for EUR valid as of: 01.04.2014

Figure 292: Fee selection by opponent

Element list

- (1) Fee 010 selected
- (2) Fee schedule for fee 010
- (3) Fee reduction factor: not applicable
- (4) Fee factor = quantity (i.e., as indicated in GUI)
- (5) Fee amount to be paid = fee schedule * fee factor
- (6) Fee 018 selected
- (7) Fee schedule for fee 018
- (8) Fee reduction factor: not applicable
- (9) Fee factor = quantity (i.e., as indicated in GUI)
- (10) Fee amount to be paid = fee schedule * fee factor
- (11) Total amount of fees to pay
- (12) Date of fee schedule validity

XML ep-opposition-data.xml

! *Note: The <fee-schedule> element is used for the (calculated) fee amount and the <fee-sub-amount> element contains the fee schedule (for one single fee). Use the <fee-reduction-factor> element to indicate a fee reduction on a fixed or percentage basis. The default value is -1. Use the <fee-reduction-amount> element to indicate a fee reduction on an amount basis.*

```

77 <ep-financial-data curr="EUR">
78 <mode-of-payment accno="28123456 " mode-type="deposit" currency="EUR" deferred-execution-date="
20140503">Nano Enterprise</mode-of-payment>
79 <reimbursement accno="28405060 ">IP Partners</reimbursement>
80 12 <fees date="20140401">
81 <standard-fee>
82 <fee index="9" topay="no">
89 1 <fee index="10" topay="yes">
90 <type-of-fee>standard</type-of-fee>
91 4 <fee-factor>1</fee-factor>
92 <fee-schedule>775</fee-schedule> 5
93 2 <fee-sub-amount>775</fee-sub-amount>
94 <fee-reduction-factor>0</fee-reduction-factor> 3
95 </fee>
96 <fee index="13" topay="no">
103 <fee index="17" topay="no">
110 6 <fee index="18" topay="yes">
111 <type-of-fee>standard</type-of-fee>
112 9 <fee-factor>1</fee-factor>
113 <fee-schedule>75</fee-schedule> 10
114 7 <fee-sub-amount>75</fee-sub-amount>
115 <fee-reduction-factor>-1</fee-reduction-factor> 8
116 </fee>
117 <fee index="56" topay="no">
124 <fee index="150" topay="no">
131 </standard-fee>
132 11 <fee-total-amount>850</fee-total-amount>
133 </fees>
134 </ep-financial-data>
135 </ep-xmit-opposition-data>
    
```

Figure 293: Fee selection XML data

PDF ep-oppo.pdf

Fees	Factor applied	Fee schedule	Amount to be paid
1 010 Opposition fee	4 1	2 775.00	5 775.00
6 018 Fee for the conservation of evidence	9 1	7 75.00	10 75.00
Total:			11 EUR 850.00

Figure 294: Fees in PDF form

8.7.3 Fee selection - Example 2: Proprietor

The example shows fees selected by the proprietor of the patent.

EP(Oppo) Fee Payment GUI, Fee selection details sub-tab

EPO Online Filing - EP(Oppo) - OPPO-proprietor

File Edit View Tools Windows Help

EP(Oppo) - Draft - OPPO-proprietor Last saved on 23/04/2014

Opposition Names Requests Documents **Fee Payment** Annotations

Payment details Fee selection

Show: All fees Code

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input type="checkbox"/>	009	Fee for publishing a new specification of the European patent	75.00	none	1	0.00
<input type="checkbox"/>	010	Opposition fee	775.00	none	1	0.00
<input checked="" type="checkbox"/>	013	Fee for re-establishment of rights (Article 122 EPC).	635.00	----	1	635.00
<input type="checkbox"/>	017	Fee for the awarding of costs	75.00	----	1	0.00
<input type="checkbox"/>	018	Fee for the conservation of evidence	75.00	----	1	0.00
<input type="checkbox"/>	056	Surcharge fee for printing (R.82(3), R.95(3))	120.00	none	1	0.00

Fee schedule for EUR valid as of: 01.04.2014

Total: (1 Fees) EUR 635.00

0 0 0

Figure 295: Fee Payment GUI: fee selection by proprietor of the patent

Element list

- (1) Fee 013 selected
- (2) Fee schedule for fee 013
- (3) Fee reduction factor = 0, i.e. not set
- (4) Fee factor = quantity (i.e., as indicated in GUI)
- (5) Fee amount to be paid = fee schedule * fee factor
- (6) Total amount of fees to pay
- (7) Date of fee schedule validity

XML ep-opposition-data.xml

```

69 <ep-electronic-files doc-type="MAINREQ-O">
73 <ep-financial-data curr="EUR">
74 <mode-of-payment accno="DE20 7008 0000 0333 880000" mode-type="bank" currency="EUR">DE</
mode-of-payment>
75 <fees date="20140401"> 7
76 <standard-fee>
77 <fee index="9" topay="no">
84 <fee index="10" topay="no">
91 <fee index="13" topay="yes"> 1
92 <type-of-fee>standard</type-of-fee>
93 <fee-factor>1</fee-factor> 4
94 <fee-schedule>635</fee-schedule> 5
95 <fee-sub-amount>635</fee-sub-amount> 2
96 <fee-reduction-factor>1</fee-reduction-factor> 3
97 </fee>
98 <fee index="17" topay="no">
105 <fee index="18" topay="no">
112 <fee index="56" topay="no">
119 <fee index="150" topay="no">
126 </standard-fee>
127 <fee-total-amount>635</fee-total-amount> 6
128 </fees>
129 </ep-financial-data>
130 </ep-xmit-opposition-data>
    
```

Figure 296: Fee Payment XML: data for fees selected by proprietor

PDF ep-oppo.pdf

Fees				
	Fees	Factor applied	Fee schedule	Amount to be paid
1	1 013 Fee for re-establishment of rights (Article 122 EPC)	4 1	2 635.00	5 635.00
	Total:		EUR	6 635.00

Figure 297: Fees section in PDF form

8.8 EP(Oppo) Annotations

GUI EP(Oppo) Annotations

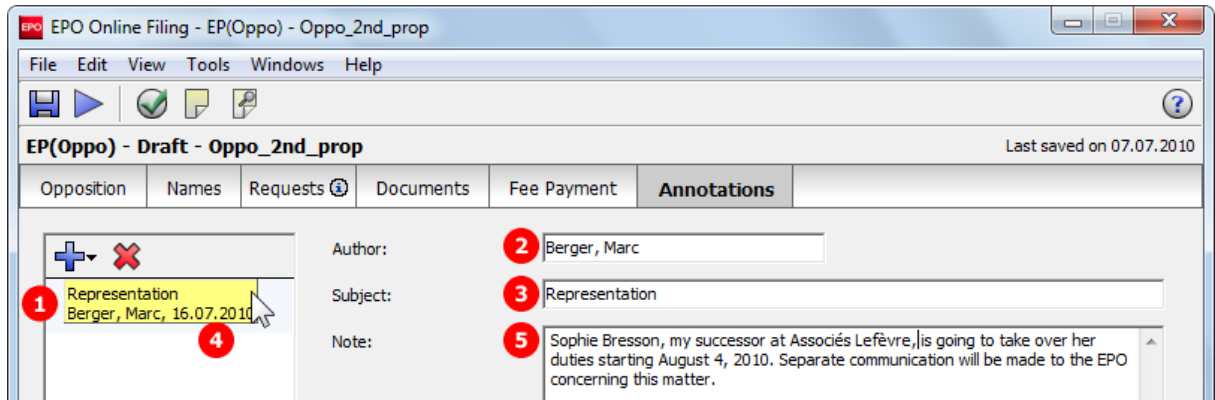


Figure 298: Annotations GUI: note to EPO

Element list

- (1) Note 1
- (2) Author
- (3) Subject
- (4) Date created
- (5) Text

XML ep-opposition-data.xml

```

181 <ep-notes-to-EPO page="Annotate" id="note1">
182   <author>
183     <name>Berger, Marc</name>
184   </author>
185   <subject>Representation</subject>
186   <date>160020</date>
187   <dtext>Sophie Bresson, my successor at Associés Lefèvre, is going to take over her duties starting August 4,
188     2010. Separate communication will be made to the EPO concerning this matter.</dtext>
189 </ep-notes-to-EPO>

```

Figure 299: Annotations XML: note 1

PDF ep-oppo.pdf

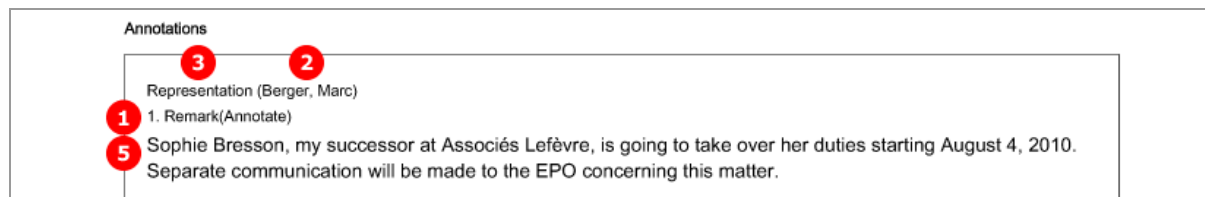


Figure 300: Annotations PDF: Remark 1 (note to EPO)

9 Form PCT/RO/101 - PCT/RO/101 request

9.1 Structure of XML files for PCT/RO/101

The applicable DTDs for the most recent version of PCT/RO/101 can be found in a sub-folder of the \EPO_OLF5\pct\dtd folder (the folder with the highest version number). For example, at the time of writing the most recent version of the sub-folder was \1.10.

The following XML files are required in order to import PCT/RO/101 applications:

File name	DTD	Description
Mandatory files		
pkgheader.xml	pkgheader-v1-4.dtd	Indicates selected procedure and other data for transmission to receiving office.
package-data.xml	package-data-v1-6.dtd	References attached documents, except those already referenced in application-body.xml or other XML files.
application-body.xml	application-body-v1-6.dtd	(a) References attached documents as part of international application. (b) Contains complete text of patent specification with referenced files for drawings.
request.xml	request-v1-8.dtd	Application data as entered in Form PCT/RO/101, references other attached documents.
fee-sheet.xml	fee-sheet-v1-6.dtd	Lists all selected fees and contains details of mode of payment.
Optional files		
declaration.xml	declaration-v1-5.dtd	Contains details and/or full text of declarations (five standard declarations possible).
indication-bio-deposit.xml	indication-bio-deposit-v1-3.dtd	Contains details of biological materials as indicated in application.
power-of-attorney.xml	power-of-attorney-v1-5.dtd	(a) Contains details of attorney and signature of applicant. (b) References attached document containing general or separate power of attorney.
Internal files (not to be imported)		
validation-log.xml	validation-log-v0-1.dtd	Lists Online Filing validation messages.

- The XML structure of the **application-body.xml** file is similar to **EP(1001E2K) applications** (see "References from XML files to other files" p. 14). Examples for PCT/RO/101 are given in the sections below.
- All details of the XML structure of the **request.xml** file can be found in the following sections.
- Code examples explaining some elements of the **package-data.xml** file are included in the **PCT/RO/101 Contents** (p. 279) section.
- The **fee-sheet.xml** file is always part of the package.
- The **declaration.xml**, **power-of-attorney.xml** and **indication-bio-deposit.xml** files are only part of the package if there are data concerning declarations, authorisations or biological materials in the application.
- The **validation-log.xml** file is not necessary for importing an application. It is created internally by Online Filing.

General information on the package - pkgheader.xml file

The **pkgheader.xml** file contains basic information about the transmission and details of the software used to prepare and send the application.

① The complete <transmittal-info> element is contained in the **package-data.xml** file in identical form.

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE pkgheader SYSTEM "pkgheader-v1-4.dtd" >
3  <?software_name PCT Online Filing?>
4  <?software_version 1 Version 3.5.000.221 MT/FOP 20020701/0.20.5.9?>
5  <pkgheader lang="en" dtd-version="1.4" status="new">
6  15 <wad-message-digest/> 2
7  <transmittal-info>
8  2 <new-application> 1
9  3 <invention-title lang="en">INSTANT WATER</invention-title>
10 4 <first-named-applicant> 4
11 5 <name name-type="legal">TECH INVENT S/A</name>
12 </first-named-applicant>
13 6 <file-reference-id>pct_XML_3</file-reference-id>
14 <!--included here for legacy purposes--> 7 <document-code>VALLOGXML</document-code>
15 <document-code>APPBODYXML</document-code>
16 <document-code>REQUESTXML</document-code>
17 <document-code>FEESHEETXML</document-code>
18 <document-code>REQPDF</document-code>
19 <document-code>FEESHEETPDF</document-code>
20 </to>
21 8 <country>EP</country>
22 </to>
23 </new-application>
24 </transmittal-info>
25 9 <ip-type>patent</ip-type>
26 <application-software>
27 10 <software-name>PCT Online Filing</software-name>
28 <software-version>Version 3.5.000.221</software-version> 11
29 12 <software-message>formType=PCTRO101;formVersion=001</software-message>
30 </application-software>
31 13 <transmission-type>submission PCTRO101 v. 001</transmission-type>
32 </pkgheader>
33

```

Figure 301: XML structure of sample pkgheader.xml file

Element list

- (1) Filing language
- (2) Type of application (in this example: new application)
- (3) Title of invention
- (4) First named applicant
- (5) First applicant's name
- (6) User reference for this application
- (7) List of documents included in submission package: document code must match EPO standard document names
- (8) Receiving office
- (9) Kind of IP type
- (10) Name of software used to prepare application
- (11) Version of software
- (12) Name of plug-in used by software
- (13) Type of transmission
- (14) WAD message must not contain any data

9.2 Document codes and file types for PCT/RO/101

The table lists the values for the <document-code> elements inside the <transmittal-info> element in the **pkgheader.xml** and **package-data.xml** files. The same values apply for the <document-name> elements inside the <other-doc> elements in the **package-data.xml** file.

In most cases, the EPO file takes the original file name allocated by the user.

Without the correct document code, the receiving server at the EPO will not accept the files. There is no error message, however.

Document code	EPO file name	File type	Description
2018	application-body	XML	Application body XML: additional <document-code>2018</document-code> element is required in <other-doc> element in package-data.xml file; see Contents - Example 2: Specification attached in XML format (p. 285)
ABST	<original filename>	PDF	Abstract
APPBODYXML	application-body	XML	Application body XML file
BIODEPXML	indication-bio-deposit	XML	Indication bio deposit XML file
CLMS	<original filename>	PDF	Claims
COPPOAPDF	<original filename>	PDF	Copy of general power of attorney
COPPOAXML	eolf-poat-000001 power-of-attorney *)	XML	Copy of general power of attorney
COPPOAJPG	<original filename>	JPG	Copy of general power of attorney
DESC	<original filename>	PDF	Description
DRAW	<original filename>	PDF	Drawings
DRAWTXT	draw	TXT	Text for the figure of the drawings which should accompany the abstract
FEESHEETXML	fee-sheet	XML	Fee sheet XML file
GENPOAPDF	<original filename>	PDF	Original general power of attorney
GENPOAXML	eolf-poat-000001 power-of-attorney*	XML	Original general power of attorney
INTTRANPDF	<original filename>	PDF	Translation of international application in PDF format
MICROORGPDF	<original filename>	PDF	Separate indication concerning deposited micro-organisms
OLF-ARCHIVE	<original filename>	ZIP	Pre-conversion archive
OTHERJPG	<original filename>	JPG	Other (optional) JPEG document
OTHERPDF	<original filename>	PDF	Other (optional) PDF document
OTHERTIF	<original filename>	TIFF	Other (optional) TIFF document
OTHERXML	<original filename>	XML	Other (optional) XML document
PACKDATAXML	package-data	XML	Package data XML message
PCTDECLXML	declaration	XML	Declaration
REQUESTXML	request	XML	Request XML file

Document code	EPO file name	File type	Description
SEPPOAPDF	<original filename>	PDF	Original separate power of attorney
SEPPOAXML	eolf-poat-000001 power-of-attorney*	XML	Original separate power of attorney
SEPPOATXT	<original filename>	TXT	Original separate power of attorney
SEQLAPP	<original filename>	APP	Sequence listing in APP format
SEQLPDF	<original filename>	PDF	Sequence listing in PDF format
SEQLTXT	<original filename>	TXT	Sequence listing in TXT format
SEQLSAPP	<original filename>	APP	Sequence listing for international search (APP)
SEQLSPDF	<original filename>	PDF	Sequence listing for international search (PDF)
SEQLSTXT	<original filename>	TXT	Sequence listing for international search (TXT)
SEQLSTABPDF	<original filename>	PDF	Tables related to sequence listing for international search (PDF)
SEQLTABPDF	<original filename>	PDF	Tables related to sequence listing (PDF)
SPEC	<original filename>	PDF	Single file specification in EPO language or language of translation
Internal files created by Online Filing (not to be imported)			
ABSTTXT	abst	TXT	Abstract as a text file possibly used by WIPO
FEESHEETPDF	Fees	PDF	Fee sheet PDF file
REQPDF	Pct101	PDF	Request PDF file
VALLOGPDF	ValidLog	PDF	Client validation log file in PDF format
VALLOGXML	validation-log	XML	Client validation log file in XML format

*) If there is more than one XML file (for different power of attorney documents), these must be numbered consecutively.

9.3 PCT/RO/101 Request

GUI PCT/RO/101 Request

The screenshot shows the 'PCT-RO-101 Electronic Request - pct_XML_1' window. The interface includes a menu bar (File, Edit, View, Tools, Help) and a toolbar with icons for search, print, save, and help. A left sidebar contains a tree view with categories: Request, States, Names, Priority, Biology, Declarations, Contents, Fees, Payment, Annotate, and a status section with icons for 'filing not possible', 'filing possible', and 'ready for filing'. The main area contains the following fields:

- (1)** Window title: PCT-RO-101 Electronic Request - pct_XML_1
- (2)** Receiving Office: EP (dropdown), European Patent Office (EPO)
- (3)** International Searching Authority: EP (dropdown), European Patent Office (EPO)
- (4)** Language of filing of the international application: English (dropdown)
- (5)** Title of invention: INSTANT WATER
- (6)** Request to use results of earlier search:

Below the checkbox is a table with the following data:

No.	Country (or regional Office)	Date	Number
1 (7)	European Patent Office (EPO) (8)	4 May 2010 (10)	1065321.8 (9)
2 (11)	European Patent Office (EPO) (12)	22 Dec 2009 (14)	09000123.1 (13)
+	Open to add reference to earlier search		

An 'Open' button is located at the bottom right of the table area.

Figure 302: Request GUI: general data and request to use search results

Element list

- (1) User reference
- (2) Receiving Office
- (3) International Searching Authority
- (4) Filing language
- (5) Title of invention
- (6) Request to use results of earlier search
- (7) Reference to search report 1
- (8) Country/regional office
- (9) Search report number
- (10) Date
- (11) International application is the same, or substantially the same, as the application of which the earlier search was carried out
- (12) Documents available to the ISA (example shows all possible options)
- (13) Reference to search report 2
- (14) Country/regional office

- (15) Search report number
- (16) Date
- (17) Documents to be prepared and transmitted to the ISA (example shows all possible options)
- (18) Request petition (not displayed in GUI)
- (19) Technical information on electronic request

XML request.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE request SYSTEM "request-v1-7.dtd" >
3  <?software_name PCT Online Filing?>
4  <?software_version Version 3.5.000.221 MT/FOP 20020701/0.20.5.9?> 19
5  <?stylesheet_version Version 2.00?>
6  <?fop_version Version 0.20.5.9?>
7  <?fop_fontconf common.xml?> 2
8  <request lang="en" dtd-version="1.7" produced-by="applicant" status="new" ro="EP">
9  1 <file-reference-id>pct_XML_1</file-reference-id>
10 <request-petition>The undersigned requests that the present international application be processed according to the Patent
    Cooperation Treaty</request-petition> 18
11 <invention-title lang="en">INSTANT WATER</invention-title> 5
12 <parties> 4
30 <designation-of-states>
33 <search-authority>
34 <isa>
35 3 <country>EP</country>
36 </isa>
37 6 <earlier-search-request>
38 <document-id> 7
39 8 <country>EP</country>
40 <doc-number>10654321.8</doc-number> 9
41 10 <date>20100504</date>
42 </document-id>
43 <substantially-equivalent/> 11
44 12 <earlier-search-documents results-of-earlier-search="yes" earlier-application="yes" translation-of-earlier-application="yes"
    translation-of-results-of-earlier-search="yes" documents-cited-in-earlier-search-results="yes" available-at-isa="yes"
    request-ro-to-transmit-to-isa="no"/>
45 <document-id> 13
46 14 <country>EP</country>
47 <doc-number>09000123.1</doc-number> 15
48 16 <date>20091222</date>
49 </document-id>
50 17 <earlier-search-documents results-of-earlier-search="yes" earlier-application="yes"
    documents-cited-in-earlier-search-results="yes" available-at-isa="no" request-ro-to-transmit-to-isa="yes"/>
51 </earlier-search-request>
52 </search-authority>
53 <check-list>
57 <language-of-filing>en</language-of-filing>
58 <signatories>
68 </request>
69
    
```

Figure 303: Request XML: general data, earlier search request

PDF Pct101.PDF

0-4	Form PCT/RO/101 PCT Request	
0-4-1	Prepared Using	PCT Online Filing Version 3.5.000.221 MT/FOP 19 20020701/0.20.5.9
0-5	Petition The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty	
0-6	Receiving Office (specified by the applicant)	European Patent Office (EPO) (RO/EP) 2
0-7	Applicant's or agent's file reference	pct XML 1 1
I	Title of Invention	INSTANT WATER 5
V	DESIGNATIONS	
V-1	The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents.	
VI-1	Priority Claim	NONE
VII-1	International Searching Authority Chosen	European Patent Office (EPO) (ISA/EP) 3
7 VII-2	Request to use results of earlier search; reference to that search	
VII-2-1	Filing date	04 May 2010 (04.05.2010) 10
VII-2-2	Application Number	10654321.8 9
VII-2-3	Country (or regional Office)	EP 8
11 VII-2-4	Statement (Rule 4.12(ii)):	This international application is the same, or substantially the same, as the application in respect of which the earlier search was carried out, except, where applicable, that it is filed in a different language.
12 VII-2-5	Documents are available to the ISA in a form and manner acceptable to it and therefore do not need to be submitted by the applicant to the ISA (Rule 12bis.1(f)):	A copy of the results of the earlier search A copy of the earlier application A translation of the earlier application into a language which is accepted by the ISA A translation of the results of the earlier search into a language which is accepted by the ISA A copy of any document cited in the results of the earlier search
13 VII-3	Request to use results of earlier search; reference to that search	
VII-3-1	Filing date	22 December 2009 (22.12.2009) 16
VII-3-2	Application Number	09000123.1 15
VII-3-3	Country (or regional Office)	EP 14
17 VII-3-6	The receiving Office is requested to prepare and transmit to the ISA (Rule 12bis.1(c)):	A copy of the results of the earlier search A copy of the earlier application A copy of any document cited in the results of the earlier search
VIII	Declarations	Number of declarations

Figure 304: Request PDF: General data, title of invention, International Searching Authority, request for search results

9.4 PCT/RO/101 States

9.4.1 States - Example 1: Designations with exclusions

In this example, Germany has been excluded from the national designations. If JP, KR or RU is selected, a priority declaration for each selected state must be made (may be filed subsequently).

GUI PCT/RO/101 States

PCT-RO-101 Electronic Request - pct_XML_1

File Edit View Tools Help

Request States Names Priority Biology Declarations Contents Fees Payment Annotate

filing not possible
filing possible
ready for filing

Designations

The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents. **1**

However,

2 DE Germany is not designated for any kind of national protection

JP Japan is not designated for any kind of national protection

KR Republic of Korea is not designated for any kind of national protection

(The check-boxes above may only be used to exclude (irrevocably) the designations concerned if, at the time of filing or subsequently under Rule 26bis.1, the international application contains a priority claim to an earlier national application filed in the particular State concerned, in order to avoid the ceasing of the effect, under the national law, of this earlier national application. For details see the PCT Applicant's Guide, in the relevant Annex B1.)

Reference to parent application or grant

Please follow the internet link below for the current list of PCT Contracting States:

<http://www.wipo.int/treaties/en/documents/pdf/pct.pdf>

Figure 305: States GUI: designations, with one exclusion

Element list

- (1) All contracting states under the PCT are designated
- (2) Country excluded from designation

XML request.xml

```

37  <designation-of-states>
38  <designation-pct>
245 <exclusion-from-designation>
246 <national>
247 2 <country>DE</country>
248 </national>
249 </exclusion-from-designation>
250 </designation-of-states>
251 <priority-claims>
    
```

Figure 306: States XML: designation excluded

PDF Pct101.PDF

V	DESIGNATIONS	
V-1 1	The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents.	
V-2	Item V-2 may only be used to exclude (irrevocably) the designations concerned if, at the time of filing, the international application contains a priority claim to an earlier national application filed in the particular State concerned, in order to avoid the ceasing of the effect, under the national law, of this earlier national application. As to the consequences of such national law provisions in these States, see the PCT Applicant's Guide, Volume I/A, in the relevant Annex B1.	DE 2

Figure 307: States PDF: Designations

9.4.2 States - Example 2: References to parent application or grant - Regional designation in OAPI states

GUI PCT/RO/101 States, sub-window Reference to OAPI parent application or grant

The data for a parent application or grant are automatically applied for all countries of the OAPI. The countries are individually listed in the XML, but not in the GUI and the PDF. For a current list of states see the **OAPI website** (<http://www.oapi.int>).

The screenshot shows a window titled "Reference to Continuation or Continuation-in-Part, or Parent Application or Grant (Rules 4.11(a)(i...". On the left, there is a sidebar with two buttons: "OAPI parent application or grant" (marked with a red circle 1) and "National parent application or grant". The main area contains the following fields:

- "Kind of parent application or grant:" with a dropdown menu showing "certificate of addition" (marked with a red circle 4).
- "Parent application or grant No.:" with a text input field containing "EP07000040.5" (marked with a red circle 7).
- "Parent application or grant date:" with a date picker showing "6 November 2007" (marked with a red circle 8).

Figure 308: States GUI - reference to OAPI parent application or grant

Element list

- (1) Region OAPI selected
- (2) Country 1 of OAPI list
- (3) Protection request for country 1
- (4) Kind of protection request
- (5) Document reference to parent application or grant
- (6) Country 1
- (7) Document number
- (8) Date of parent application or grant
- (9) Country 2 of OAPI list
- (10) Protection request for country 2
- (11) Country 3 of OAPI list
- (12) Protection request for country 3

XML request.xml

Regional designations: all OAPI states are listed with the same protection request.

```

37 <designations-of-states>
38 <designations-pct>
39 <regional>
40 <region>
41 1 <country>OA</country>
42 </region>
43 2 <country>BF</country>
44 <protection-request> 3
45 4 <kind-of-protection>certificate of addition</kind-of-protection>
46 <document-id> 5
47 6 <country>BF</country>
48 <doc-number>EP07000040.5</doc-number> 7
49 8 <date>20071106</date>
50 </document-id>
51 </protection-request>
52 9 <country>BJ</country>
53 <protection-request> 10
61 11 <country>CF</country>
62 <protection-request> 12
70 <country>CG</country>
71 <protection-request>
79 <country>CI</country>
80 <protection-request>
88 <country>CM</country>
89 <protection-request>
97 <country>GA</country>
98 <protection-request>
106 <country>GN</country>
107 <protection-request>
115 <country>GQ</country>
116 <protection-request>
124 <country>GW</country>
125 <protection-request>
133 <country>ML</country>
134 <protection-request>
142 <country>MR</country>
143 <protection-request>
151 <country>NE</country>
152 <protection-request>
160 <country>SN</country>
161 <protection-request>
169 <country>TD</country>
170 <protection-request>
178 <country>TG</country>
179 <protection-request>
187 </regional>

```

Figure 309: States XML: regional designation of protection request for OAPI states

PDF Pct101.PDF

V-3	Identification of parent application or patent grant	
V-3-1	Designation	OA 1
V-3-1-1	Kind of parent application or grant	certificate of addition 4
V-3-1-2	Parent application or grant No.	EP07000040.5 7
V-3-1-3	Parent application or grant date	06 November 2007 (06.11.2007) 8

Figure 310: States PDF: designation of OAPI for parent application or patent grant

9.4.3 States - Example 3: References to parent application or grant - National designation

In this example, individual states are selected for national parent applications or grants. The current list of all PCT contracting states is available for download from the **WIPO website** (<http://www.wipo.int>).

i Different options are available for the kind of national parent application or grant in the different countries.

GUI PCT/RO/101 States, sub-window Reference to national parent application or grant

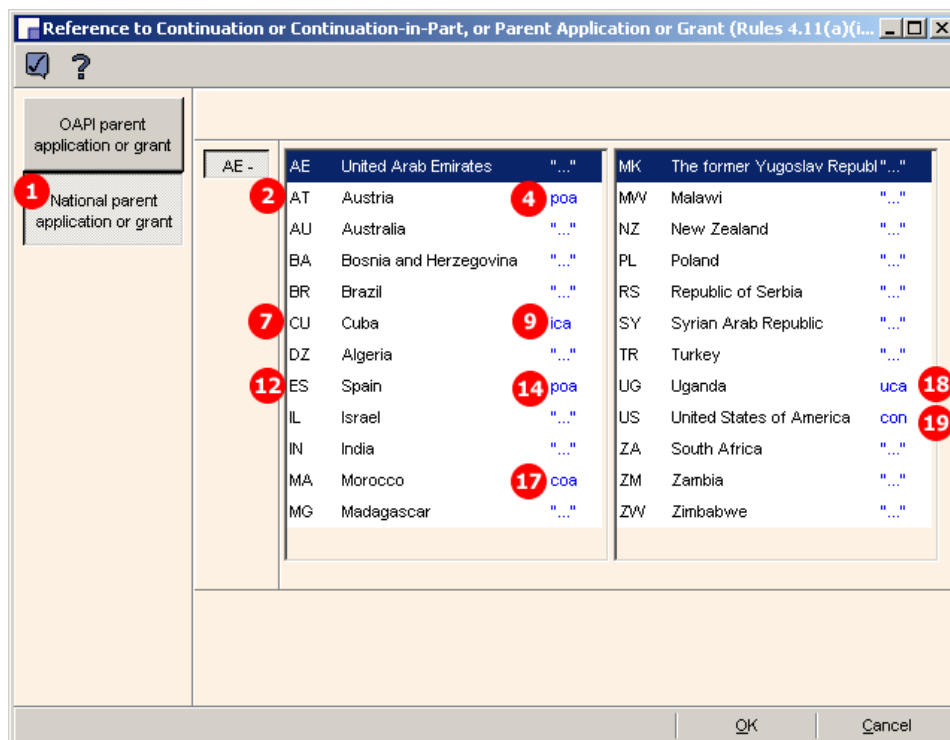


Figure 311: States GUI - countries selected for national parent application or grant

National parent application or grant

Figure 312: National parent application or grant, example for Spain

Element list

- (1) National parent application or grant
- (2) Country 1 of designated states
- (3) Protection request for country 1
- (4) Kind of protection request
- (5) Document number of parent application or grant
- (6) Date of parent application or grant
- (7) Country 2 of designated states
- (8) Protection request for country 2
- (9) Kind of protection request
- (10) Document number of parent application or grant
- (11) Date of parent application or grant
- (12) Country 3 of designated states
- (13) Protection request for country 3
- (14) Kind of protection request
- (15) Document number of parent application or grant
- (16) Date of parent application or grant
- (17) Country 4
- (18) Country 5
- (19) Country 6

XML request.xml

```

37 <designation-of-states>
38 <designation-pct>
39 <regional>
188 <national>
189 <country>AT</country>
190 <protection-request>
191 <kind-of-protection>patent of addition</kind-of-protection>
192 <document-id>
193 <country>AT</country>
194 <doc-number>AT-222333</doc-number>
195 <date>20080206</date>
196 </document-id>
197 </protection-request>
198 <country>CU</country>
199 <protection-request>
200 <kind-of-protection>inventor&apos;s certificate of addition</kind-of-protection>
201 <document-id>
202 <country>CU</country>
203 <doc-number>CU-08337788</doc-number>
204 <date>20080213</date>
205 </document-id>
206 </protection-request>
207 <country>ES</country>
208 <protection-request>
209 <kind-of-protection>patent of addition</kind-of-protection>
210 <document-id>
211 <country>ES</country>
212 <doc-number>ES-08334455</doc-number>
213 <date>20080226</date>
214 </document-id>
215 </protection-request>
216 <country>MA</country>
217 <protection-request>
225 <country>UG</country>
226 <protection-request>
234 <country>US</country>
235 <protection-request>
243 </national>
244 </designation-pct>
    
```

Figure 313: States XML: national designations with protection requests

PDF Pct101.PDF

V-3	Identification of parent application or patent grant	
V-3-2	Designation	2 AT
V-3-2-1	Kind of parent application or grant	patent of addition 4
V-3-2-2	Parent application or grant No.	AT-222333 5
V-3-2-3	Parent application or grant date	06 February 2008 (06.02.2008) 6
V-3	Identification of parent application or patent grant	
V-3-3	Designation	7 CU
V-3-3-1	Kind of parent application or grant	inventor's certificate of addition 9
V-3-3-2	Parent application or grant No.	CU-08337788 10
V-3-3-3	Parent application or grant date	13 February 2008 (13.02.2008) 11
V-3	Identification of parent application or patent grant	
V-3-4	Designation	12 ES
V-3-4-1	Kind of parent application or grant	patent of addition 14
V-3-4-2	Parent application or grant No.	ES-08334455 15
V-3-4-3	Parent application or grant date	26 February 2008 (26.02.2008) 16

Figure 314: States PDF: parent application or patent grant, national designations

9.5 PCT/RO/101 Names

9.5.1 Names - Example 1: Applicant is also inventor

GUI PCT/RO/101 Names, applicant is also inventor

Note: only a natural person can be indicated as applicant/inventor.

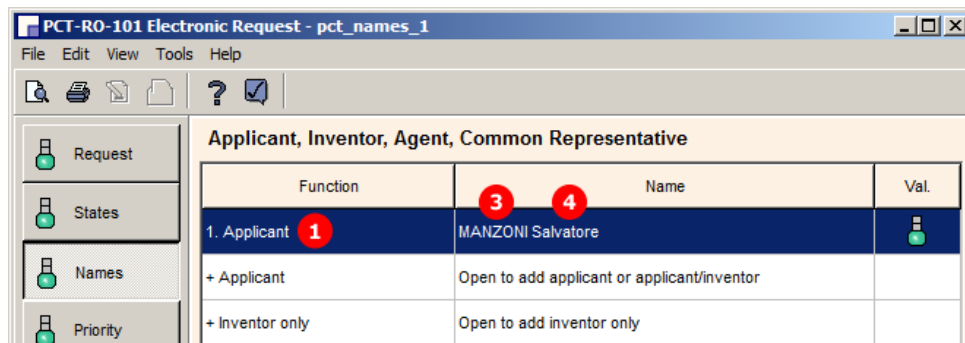


Figure 315: Names GUI: applicant 1

Applicant details

Details concerning Applicant or Applicant/inventor

Legal entity Natural person **2** This person is also inventor

1 1. App. **3** Name: MANZONI **5** Registration No.

4 First Name: Salvatore

6 Country or territory: IT Italy **11** Telephone: +39 2 5056 10

7 Address: **12** Facsimile: +39 2 5056 89

Via Roma 8 **13** e-mail: manzoni@borghese.it

8 City: Milano **14** The competent PCT Authorities are authorized to use this e-mail address, if the Authority so wishes, to send notifications issued in respect of this international application:

9 as advance copies followed by paper notifications

10 Postal code: 20100 exclusively in electronic form (no paper notifications will be sent)

15 State of Nationality: IT Italy

16 State of Residence: IT Italy

The person is applicant for:

17 All designated States Certain designated States only

select/modify

OK Cancel

Figure 316: Details concerning applicant or applicant/inventor: applicant 1

Element list

- (1) Applicant 1
- (2) Applicant is also inventor
- (3) Last name
- (4) First name
- (5) Registration number (PCT), optional
- (6) Country
- (7) Street
- (8) City
- (9) Region: only applicable in case of US states, GB counties, etc.
- (10) Postal code
- (11) Telephone
- (12) Fax
- (13) E-mail
- (14) E-mail authorization, optional
At present, however, the EPO does not send any official communications by e-mail so this option is redundant when filing with the EPO.
- (15) Nationality
- (16) Residence
- (17) Applicant 1 is designated for all Contracting States

XML request.xml

```

12 <parties>
13 <applicants> 1 2 17
14 <applicant sequence="1" app-type="applicant-inventor" designation="all">
15 <addressbook lang="en">
16 3 <last-name>MANZONI</last-name>
17 <first-name>Salvatore</first-name> 4
18 <address>
19 7 <street>Via Roma 8</street>
20 <city>Milano</city> 8
21 10 <postcode>20100</postcode>
22 <country>IT</country> 6
23 </address>
24 11 <phone>+39 2 5056 10</phone>
25 12 <fax>+39 2 5056 89</fax>
26 <email email-purpose="advance">manzoni@borghese.it</email>
27 </addressbook> 13 14
28 <nationality>
29 15 <country>IT</country>
30 </nationality>
31 <residence>
32 16 <country>IT</country>
33 </residence>
34 </applicant>
35 </applicants>
36 <agents>
74 </parties>
75 <designation-of-states>
    
```

Figure 317: Names XML: applicant 1

PDF Pct101.PDF

1	II	Applicant	2	Applicant and inventor
	II-1	This person is		All designated States 17
	II-2	Applicant for		
	II-4	Name (LAST, First)	3	MANZONI, Salvatore 4
	II-5	Address	7	Via Roma 8
			10	20100 Milano 8
				Italy 6
	II-6	State of nationality	15	IT
	II-7	State of residence		IT 16
	II-8	Telephone No.	11	+39 2 5056 10
	II-9	Facsimile No.	12	+39 2 5056 89
	II-10	e-mail	13	manzoni@borghese.it
	II-10(a)	E-mail authorization The receiving Office, the International Searching Authority, the International Bureau and the International Preliminary Examining Authority are authorized to use this e-mail address, if the Office or Authority so wishes, to send notifications issued in respect of this international application:		as advance copies followed by paper notifications 14

Figure 318: Names PDF: details for applicant 1

9.5.2 Names - Example 2: Two applicants with different designations

GUI PCT/RO/101 Names, sub-window Details concerning Applicant or Applicant/inventor

Details concerning Applicant or Applicant/inventor

Legal entity **2** Natural person This person is also inventor

1 1. App. **15** 2. App. + App.

3 Name: TECHINVENT SA Registration No. []

First Name: []

4 Country or territory: FR France **8** Telephone: +33 4 2568 10

5 Address: [] **9** Facsimile: +33 4 2568 97

34, place de la république **10** e-mail: info@techinvent.fr

6 City: Lyon **11** The competent PCT Authorities are authorized to use this e-mail address, if the Authority so wishes, to send notifications issued in respect of this international application:

7 Postal code: 69008 as advance copies followed by paper notifications

exclusively in electronic form (no paper notifications will be sent)

State of Nationality: FR France **12**

State of Residence: FR France **13**

The person is applicant for:

14 All designated States **16** Certain designated States only

select/modify

OK Cancel

Figure 319: Names GUI: details for applicant 1, legal entity

Element list

- (1) Applicant 1
- (2) Name is a legal person
- (3) Company name
- (4) Country
- (5) Address
- (6) City
- (7) Postal code
- (8) Telephone
- (9) Fax
- (10) E-mail
- (11) E-mail authorization, optional
The default value for the email-purpose attribute is informal if none of the two options has been checked.
- (12) Nationality
- (13) Residence
- (14) Applicant 1 is designated for all Contracting States
- (15) Applicant 2

- (16) Applicant 2 is designated for certain Contracting States only (selected in GUI for applicant 2)
- (17) Region of designated states
- (18) Selected designated state
- (19) Selected designated state
- (20) Selected designated state

XML request.xml

```

12 <parties>
13 <applicants>
14 <applicant sequence="1" app-type="applicant" designation="all">
15 <addressbook lang="en">
16 <name name-type="legal">TECHINVENT SA</name>
17 <address>
18 <street>34, place de la république</street>
19 <city>Lyon</city>
20 <postcode>69008</postcode>
21 <country>FR</country>
22 </address>
23 <phone>+33 4 2568 10</phone>
24 <fax>+33 4 2568 97</fax>
25 <email email-purpose="informal">info@techinvent.fr</email>
26 </addressbook>
27 <nationality>
28 <country>FR</country>
29 </nationality>
30 <residence>
31 <country>FR</country>
32 </residence>
33 <us-rights to-dead-inventor="MORETTI Francesco" kind="executor">This person is successor to the rights of the
deceased inventor for the purposes of the designation of the United States of America</us-rights>
34 </applicant>
35 <applicant sequence="2" app-type="applicant-inventor" designation="as-indicated">
36 <addressbook lang="en">
37 <nationality>
38 <residence>
39 <designated-states>
40 <country>SM</country>
41 <region>
42 <country>EP</country>
43 </region>
44 <country>IT</country>
45 <country>MT</country>
46 <country>SM</country>
47 </designated-states>
48 </addressbook>
49 </applicant>
50 </applicants>
51 <inventors>
52 </inventors>
53 </parties>

```

Figure 320: Names XML: data for applicant 1 and applicant 2

PDF Pct101.PDF

1	II	Applicant	
	II-1	This person is	2 Applicant only
			Executor of MORETTI Francesco (deceased)
	II-2	Applicant for	14 All designated States
	II-4	Name	3 TECHINVENT SA
	II-5	Address	34, place de la république 5
			7 69008 Lyon 6
			4 France
	II-6	State of nationality	12 FR
	II-7	State of residence	13 FR
	II-8	Telephone No.	8 +33 4 2568 10
	II-9	Facsimile No.	9 +33 4 2568 97
	II-10	e-mail	10 info@techinvent.fr
15	III-1	Applicant and/or inventor	
	III-1-1	This person is	Applicant 18 and 19 inventor 20
	III-1-2	Applicant for	17 EP: (IT MT SM); SM
	III-1-4	Name (LAST, First)	MANZONI, Salvatore
	III-1-5	Address	Via Roma 8 20100 Milano Italy
	III-1-6	State of nationality	IT
	III-1-7	State of residence	IT

Figure 321: Names PDF: details of applicants 1 and 2

9.5.3 Names - Example 3: Two inventors, one of them deceased

GUI PCT/RO/101 Names, sub-window Details concerning Inventor only

Details concerning Inventor Only

Name: BELLECOEUR 2 Deceased

First Name: Pierre 3

Country or territory: FR France 4

Address: 5
52, quai de corse

City: Marseille 6

Postal code: 45002 7

1. App.
2. App.
+ App.
1. Inv. 1
2. Inv.
+ Inv.
+ Agt.
+ Rep.
+ Corr.

OK Cancel

Figure 322: Names GUI: inventor 1

Details for deceased inventor

Details concerning Inventor Only

Name: MORETTI 9 11 Deceased

First Name: Francesco 10

12 The following person(s) is (are) successor(s) to the rights of the deceased inventor for the purposes of the designation of the United States of America:

	Applicant	Name	Capacity
<input checked="" type="checkbox"/>	1. Applicant 13	TECHINVENT SA	executor 14

1. App.
2. App.
+ App.
1. Inv.
2. Inv. 8
+ Inv.
+ Agt.
+ Rep.
+ Corr.

Figure 323: Names GUI: inventor 2 (deceased), successor to rights indicated

Element list

- (1) Inventor 1
- (2) Last name
- (3) First name
- (4) Country
- (5) Street
- (6) City
- (7) Postal code
- (8) Inventor 2
- (9) Last name
- (10) First name
- (11) Inventor deceased
- (12) This person is successor to rights of deceased inventor
- (13) Applicant 1 is successor to rights for US
- (14) Applicant 1 acts as executor

XML request.xml

```

12 <parties>
13   <applicants>
14     <applicant sequence="1" app-type="applicant" designation="all">
15       <addressbook lang="en">
27         <nationality>
30         <residence>
33         <us-rights to-dead-inventor="MORETTI Francesco" kind="executor">This person is successor to the rights of the
deceased inventor for the purposes of the designation of the United States of America</us-rights>
34       </applicant>
35     <applicant sequence="2" app-type="applicant-inventor" designation="as-indicated">
62   </applicants>
63   <inventors>
64     <inventor sequence="1">
65       <addressbook lang="en">
66         <last-name>BELLECOEUR</last-name>
67         <first-name>Pierre</first-name>
68         <address>
69           <street>52, quai de corse</street>
70           <city>Marseille</city>
71           <postcode>45002</postcode>
72           <country>FR</country>
73         </address>
74       </addressbook>
75     </inventor>
76     <deceased-inventor sequence="2" lang="en">
77       <last-name>MORETTI</last-name>
78       <first-name>Francesco</first-name>
79     </deceased-inventor>
80   </inventors>
81 </parties>

```

Figure 324: Names XML: data for inventor 1 and inventor 2 (deceased)

PDF Pct101.PDF

II Applicant		
II-1	This person is	13 Applicant only 12
II-2	Applicant for	14 Executor of MORETTI Francesco (deceased)
II-4	Name	All designated States
II-5	Address	TECHINVENT SA 34, place de la république 69008 Lyon France
pct_names_2		2/3
PCT REQUEST		
Print Out (Original in Electronic Form)		
III-2 Applicant and/or inventor		
III-2-1	This person is	1 Inventor only
III-2-4	Name (LAST, First)	2 BELLECOEUR, Pierre 3
III-2-5	Address	5 52, quai de corse 7 45002 Marseille 6 4 France
III-3 Applicant and/or inventor		
III-3-1	This person is	8 Inventor only (deceased) 11
III-3-4	Name (LAST, First)	9 MORETTI, Francesco 10

Figure 325: Names PDF: details of inventor 1 and inventor 2 (deceased)

9.5.4 Names - Example 4: Two agents with the same address

Two agents are named, both with the same address. The relevant check-box is ticked in the GUI for the second agent.

GUI PCT/RO/101 Names, sub-window Details concerning Agent

Figure 326: Names GUI: details of agent 1

Agent 2 with the same address

Details concerning Agent

Legal entity Natural person

15 Name: MILLER Registration No. 12340009 17

16 First Name: Louise

1. App.
+ App.
+ Inv.
1. Agt.
2. Agt. 14
+ Agt.

Same address as the first-named agent 18

OK Cancel

Figure 327: Names GUI: details of agent 2, same address as first-named agent

Element list

- (1) Agent 1
- (2) Last name
- (3) First name
- (4) Registration number (PCT), optional
- (5) Country
- (6) Address
- (7) City
- (8) State: GB county
- (9) Postal code
- (10) Telephone
- (11) Fax
- (12) E-mail
- (13) E-mail authorization, optional
The default value for the email-purpose attribute is informal if none of the two options has been checked.
- (14) Agent 2
- (15) Last name
- (16) First name
- (17) Registration number (PCT), optional
- (18) Address for agent 2 is same as for agent 1: all address elements for agent 2 are inferred from agent 1 in the GUI. Specify all data for agent 2 in the XML file.

PDF Pct101.PDF

PCT REQUEST		Print Out (Original in Electronic Form)
IV-1	Agent or common representative; or address for correspondence <small>The person identified below is hereby/ has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:</small>	Agent 1
IV-1-1	Name (LAST, First)	(2) KILBURN, David (3)
IV-1-2	Address	(6) Cambridge Science Park (7) 100 Red Lion Square Cambridge Cambridgeshire (8) CB2 1AB (9) (5) United Kingdom
IV-1-3	Telephone No.	(10) +44 1223 351689
IV-1-4	Facsimile No.	(11) +44 1223 351690
IV-1-5	e-mail	(12) kilburn@ip-partners.co.uk
IV-1-6	Agent's registration No.	(4) 45678001
IV-2	Additional agent(s)	(14) additional agent(s) with same address as first named agent (18)
IV-2-1	Name(s)	MILLER, Louise (12340009)
V	DESIGNATIONS	(15) (16) (17)
V-1	The filing of this request constitutes	

Figure 328: Names PDF: agent and additional agent with same address as first named agent

XML request.xml

```


12 <parties>
13 <applicants>
36 <agents> 1
37 <agent sequence="1" rep-type="agent">
38 <addressbook lang="en">
39 2 <last-name>KILBURN</last-name>
40 <first-name>David</first-name> 3
41 4 <registered-number>45678001</registered-number>
42 <address>
43 6 <street>Cambridge Science Park
44 100 Red Lion Square</street>
45 <city>Cambridge</city> 7
46 8 <state>Cambridgeshire</state>
47 <postcode>CB2 1AB</postcode> 9
48 5 <country>GB</country>
49 </address>
50 10 <phone>+44 1223 351689</phone>
51 11 <fax>+44 1223 351690</fax>
52 <email email-purpose="informal">kilburn@ip-partners.co.uk</email> 12
53 </addressbook> 13
54 </agent> 14
55 <agent sequence="2" rep-type="agent">
56 <addressbook lang="en">
57 15 <last-name>MILLER</last-name>
58 <first-name>Louise</first-name> 16
59 17 <registered-number>12340009</registered-number>
60 18 <address>
61 <street>Cambridge Science Park
62 100 Red Lion Square</street>
63 <city>Cambridge</city>
64 <state>Cambridgeshire</state>
65 <postcode>CB2 1AB</postcode>
66 <country>GB</country>
67 </address>
68 <phone>+44 1223 351689</phone>
69 <fax>+44 1223 351690</fax>
70 <email email-purpose="informal">kilburn@ip-partners.co.uk</email>
71 </addressbook>
72 </agent>
73 </agents>
74 </parties>
    
```

Figure 329: Names XML: data for agent 1 and agent 2

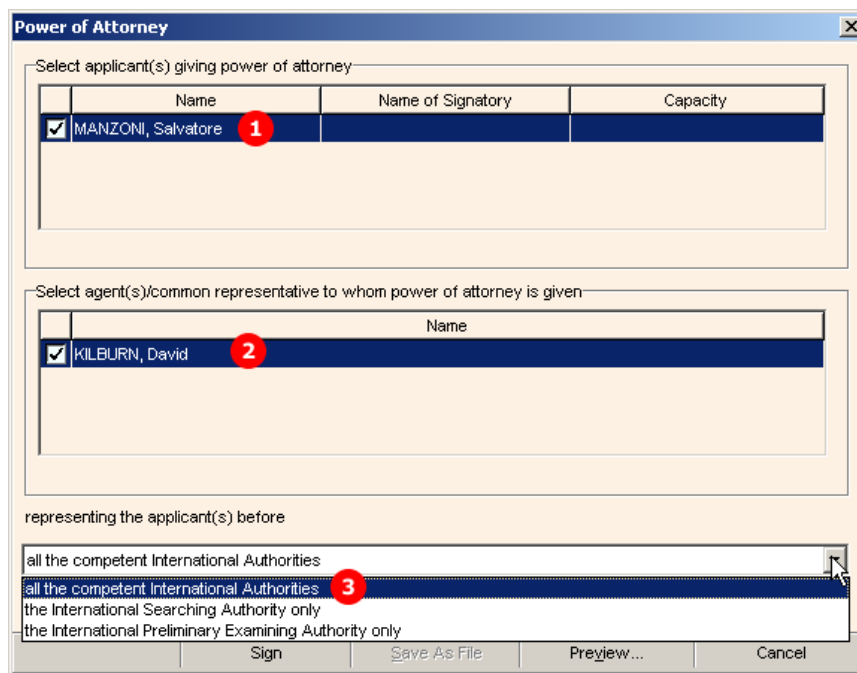
9.5.5 Power of attorney

An applicant/inventor and an agent are indicated in the **Names** GUI. The applicant has signed a separate power of attorney for his agent, which is attached as an XML file named `eo1f-poat-00001.xml`. In the Online Filing GUI, this special file appears as **original separate power of attorney** in the **Accompanying items** sub-tab of the **Contents** screen, right after the signature has been applied within the **Names** GUI.

The reference to the power of attorney file is described in **Contents - Example 2: Specification attached in XML format** (p. 285).

 The former `power-of-attorney.xml` can still be used for import and is also generated by the Online Filing Software for legacy purposes.

GUI PCT/RO/101 Names, Power of Attorney sub-window



The screenshot shows the 'Power of Attorney' sub-window. It is divided into three sections:

- Select applicant(s) giving power of attorney:** A table with columns 'Name', 'Name of Signatory', and 'Capacity'. The first row, 'MANZONI, Salvatore', is checked and highlighted in blue, with a red circle '1' next to it.
- Select agent(s)/common representative to whom power of attorney is given:** A table with column 'Name'. The first row, 'KILBURN, David', is checked and highlighted in blue, with a red circle '2' next to it.
- representing the applicant(s) before:** A list box with three options: 'all the competent International Authorities' (selected and highlighted in blue, with a red circle '3' next to it), 'the International Searching Authority only', and 'the International Preliminary Examining Authority only'.

At the bottom of the window are four buttons: 'Sign', 'Save As File', 'Preview...', and 'Cancel'.

Figure 330: Names GUI: selection of role for agent

Element list

- (1) Applicant
- (2) Agent/representative
- (3) Representing applicant before ...

XML eolf-poat-000001.xml

The XML file contains personal information about the agent and includes the applicant's signature.

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE power-of-attorney SYSTEM "power-of-attorney-v1-5.dtd" >
3  <?software_name PCT Online Filing?>
4  <?software_version Version 3.5.000.221 MT/FOP 20020701/0.20.5.9?>
5  <?stylesheet_version Version 1.42?>
6  <?fop_version Version 0.20.5.9?>
7  <?fop_fontconf common.xml?>
8  <power-of-attorney lang="en" dtd-version="1.5" status="new" title="power-of-attorney">
9  <attorney-or-agent rep-type="agent">
10 <addressbook lang="en">
11 <last-name>KILBURN</last-name>
12 <first-name>David</first-name>
13 <address>
14 <street>Cambridge Science Park, 100 Red Lion Square</street>
15 <city>Cambridge</city>
16 <state>Cambridgeshire</state>
17 <postcode>CB2 1AB</postcode>
18 <country>GB</country>
19 </address>
20 <phone>+44 1223 351689</phone>
21 <fax>+44 1223 351690</fax>
22 <email email-purpose="informal">kilburn@ip-partners.co.uk</email>
23 </addressbook>
24 </attorney-or-agent>
25 <represent-before>
26 <all-authorities/>
27 </represent-before>
28 <invention-title lang="en">INSTANT WATER</invention-title>
29 <file-reference-id>pct_XML_1</file-reference-id>
30 <ro>
33 <payor role="yes"/>
34 <signatories>
35 <signatory>
36 <name name-type="natural">MANZONI, Salvatore</name>
37 <electronic-signature date="20100719">
38 <basic-signature>
39 <text-string>/Salvatore Manzoni/</text-string>
40 </basic-signature>
41 </electronic-signature>
42 <signatory-capacity/></signatory-capacity>
43 </signatory>
44 </signatories>
45 </power-of-attorney>

```

Figure 331: Power of attorney - details of agent and signatory in power-of-attorney.xml file

PDF Attorney.PDF

This PDF file is generated by Online Filing from the data in the ***ewolf-poa-000001.xml*** file and must not be imported.

pct_XML_1		1/1
PCT POWER OF ATTORNEY		
Print Out (Original in Electronic Form) (This sheet is not part of and does not count as a sheet of the international application)		
0-1	PCT Power of Attorney (for an international application filed under the Patent Cooperation Treaty) (PCT Rule 90.4)	
0-1-1	Prepared Using	PCT Online Filing Version 3.5.000.221 MT/FOP 20020701/0.20.5.9
1	The undersigned applicant(s)	1 MANZONI, Salvatore
1-1-1	hereby appoints (appoint) the following person	2 KILBURN, David Cambridge Science Park 100 Red Lion Square Cambridge Cambridgeshire CB2 1AB United Kingdom
1-2	as	Agent
1-3	to represent the undersigned before	3 all the competent International Authorities
1-4	in connection with the international application identified below:	
1-4-1	Title of Invention	INSTANT WATER
1-4-2	Applicant's or agent's file reference	pct_XML_1
1-4-3	International application number (if already available)	
1-4-4	filed with the following Office as receiving Office	European Patent Office (EPO) (RO/EP)
1-5	and to make or receive payments on behalf of the undersigned	
2-1	Signature of applicant, agent or common representative	/Salvatore Manzoni/
2-1-1	Name (LAST, First)	MANZONI, Salvatore
2-1-2	Name of signatory	
2-1-3	Capacity	
3	Date	19 July 2010 (19.07.2010)

Figure 332: Power of attorney - data on applicant and agent in Attorney.PDF file

9.6 PCT/RO/101 Priority

In this example, one regional and one international priority are claimed. The International Bureau is requested to obtain from a digital library a certified copy of the above-identified earlier application. A request to restore the right of priority is also submitted.

GUI PCT/RO/101 Priority

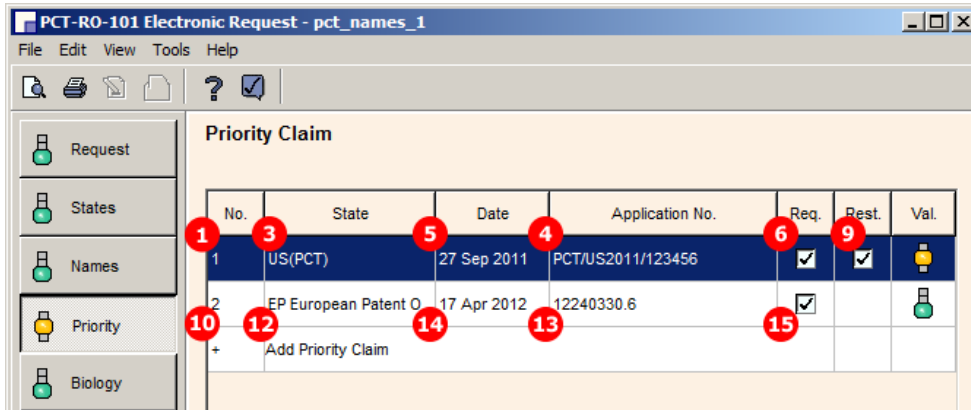


Figure 333: Priority GUI: priority claims for US and EP

Details of Priority Claim of Earlier Application

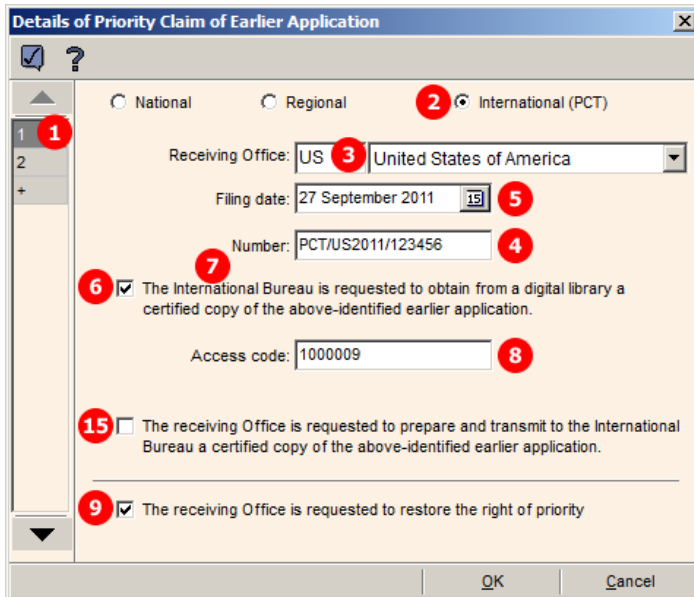


Figure 334: Details of priority claim of earlier international application (US)

Element list

- (1) Priority claim 1
- (2) International priority claim
- (3) Receiving Office for priority claim 1
- (4) Application number
- (5) Filing date
- (6) Request to obtain a certified copy of the earlier application from a digital library
Use this option if the requested office is participating in the DAS (Digital Access Service). For more information on the DAS, go to the WIPO website at **IP Services > Patents > WIPO Digital Access Service**. (<http://www.wipo.int/das/en/>)
- (7) Requested office is the IB
- (8) Access code
- (9) Request to restore the right of priority
- (10) Priority claim 2
- (11) Regional priority claim
- (12) Receiving Office for priority claim 2
- (13) Application number
- (14) Filing date
- (15) Request the receiving office to prepare and transmit a certified copy of the earlier application
① Use this option if the office concerned is not participating in the DAS.

XML request.xml

```

75 <designation-of-states>
76
77
78 <priority-claims>
79   <priority-claim sequence="1" kind="international">
80     <country>US</country>
81     <doc-number>PCT/US2011/123456</doc-number>
82     <date>20110927</date>
83     <priority-doc-from-library action-by="IB" priority-doc-access-code="1000009"/>
84     <restore-rights/>
85   </priority-claim>
86   <priority-claim sequence="2" kind="regional">
87     <country>EP</country>
88     <doc-number>12240330.6</doc-number>
89     <date>20120417</date>
90     <priority-doc-requested/>
91   </priority-claim>
92   <incorporation-by-reference/>
93 </priority-claims>
94 <search-authority>

```

Figure 335: Priority XML: international and regional priority claim

PDF Pct101.PDF

VI-1	1 Priority claim of earlier international application	
VI-1-1	Filing date	27 September 2011 (27.09.2011)
VI-1-2	Number	PCT/US2011/123456
VI-1-3	PCT receiving Office	US
VI-1-5	Restore the right of priority	The receiving Office is requested to restore the right of priority
VI-2	10 Priority claim of earlier regional application	
VI-2-1	Filing date	17 April 2012 (17.04.2012)
VI-2-2	Number	12240330.6
VI-2-3	Regional Office	EP
VI-3	6 Priority document request	
	The International Bureau is requested to obtain from a digital library a certified copy of the earlier application(s) identified above as item(s), using, where applicable, the access code(s) indicated:	VI-1 Access code: 1000009
VI-4	15 Priority document request	
	The receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the earlier application(s) identified above as item(s):	VI-2

Figure 336: Priority PDF: priority claims of earlier international and regional application

9.7 PCT/RO/101 Biology

The data on deposited microorganisms/biological material is contained in the separate **indication-bio-deposit.xml** file. This XML file is referenced by the <biological-material> element in the **package-data.xml** file.

ⓘ Please note: It is no longer necessary to reference the **indication-bio-deposit.xml** once again in an <other-doc> element; the latter is only produced by the Online Filing Software for legacy purposes

The number of biological materials is indicated by the <cl-biological-material> element within the <check-list> element in the **request.xml** file. The number of sequence listings are indicated by the <cl-sequence-listing> elements.

The files containing sequence listings are attached in the **Contents** GUI. However, these options are only available there if the check-box (12) has been ticked in the **Biology** GUI. The attachments are also referenced in the **request.xml** and **package-data.xml** files.

In the example below, one biological material item has been added to the application. A sequence listing in PDF format has been attached additionally.

GUI PCT/RO/101 Biology

Indications Relating to Deposited Microorganism or Other Biological Material

No.	Depository Institution	Date of Deposit	Accession No.	Val.
1	ABC	30 Jan 2008	08-4556633	
+ Open to add new item				

Nucleotide and/or amino acid sequence listing

The description contains a sequence listing

Open

Figure 337: Biology GUI - item for biological material/deposited microorganisms

GUI Details concerning Indications Relating to a Deposited Microorganism

The screenshot shows a window titled "Details concerning Indications Relating to a Deposited Microorganism". The window contains a form with the following fields and elements:

- 1**: A vertical list of designated states on the left side of the window.
- 2**: "on page" field with the value "3".
- 3**: "line" field with the value "238".
- 4**: "Depository institution" dropdown menu with the value "ABC Advanced Biotechnology Center".
- 5**: "Address" text field with the value "Interlab Cell Line Collection (Biotechnology Dept), Largo Rossana Benzi, 10, 16132 Genova, Italy".
- 6**: "Accession Number" prefix field with the value "ABC".
- 7**: "Accession Number" suffix field with the value "08-4556633".
- 8**: "Date of deposit" field with the value "30 January 2008".
- 9**: "Additional Indications" text field with the value "Indications for ES".
- 10**: "Separate Furnishing of Indications" text field with the value "Indications for AT".
- 11**: "Designated States for Which Indications Are Made" section with two radio buttons: "All Designated States" (unselected) and "Certain Designated States only" (selected).

Buttons for "select/modify", "OK", and "Cancel" are also visible at the bottom of the window.

Figure 338: Biology GUI - details of biological material

Element list

- (1) Bio deposit number 1
- (2) Page number in description referring to bio deposit
- (3) Line number in description
- (4) Depository institution
- (5) Address of depository institution (retrieved from Online Filing database)
- (6) Accession number prefix of depository institution
- (7) Accession number of bio deposit
- (8) Date of deposit
- (9) Additional indications
- (10) Separate furnishing of indications
- (11) List of designated states
- (12) Filing includes sequence listing(s)
- (13) User reference
- (14) Reference to indication-bio-deposit.xml file
- (15) Reference to sequence listing file in PDF format
- (16) Original file name of sequence listing file in PDF format
- (17) Included for legacy purposes: Reference to indication-bio-deposit.xml file
- (18) Included for legacy purposes: Reference to sequence listing in PDF format
- (19) Included for legacy purposes: Reference to sequence listing in PDF format

XML indication-bio-deposit.xml

The <designated-states> list (11) is grouped into multiple blocks, depending on which states are selected and which regions these states belong to. Each <country> element is listed twice: first as an individual state and once again under the respective <region> element.

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE indication-bio-deposit SYSTEM "indication-bio-deposit-v1-3.dtd" >
3  <?software_name PCT Online Filing?>
4  <?software_version Version 3.5.000.221 MT/FOP 20020701/0.20.5.9?>
5  <?stylesheet_version Version 1.35?>
6  <?fop_version Version 0.20.5.9?>
7  <?fop_fontconf common.xml?>
8  <indication-bio-deposit lang="en" dtd-version="1.3" produced-by="applicant" status="new" ro="EP">
9  13 <file-reference-id>pct_XML_1</file-reference-id>
10 <indications> 2 3
11 <para-number>3|238</para-number>
12 1 <bio-deposit num="1"> 4
13 <depository>ABC Advanced Biotechnology Center<address>
14 5 <street>Interlab Cell Line Collection (Biotechnology Dept), Largo Rossana Benzi, 10, 16132 Genova, Italy</street>
15 <country/>
16 </address>
17 </depository> 6 7
18 <bio-accno>ABC 08-4556633</bio-accno>
19 8 <date>20080130</date>
20 </bio-deposit>
21 9 <additional-indication>Indications for ES</additional-indication>
22 <designated-states> 11
23 <country>AT</country>
24 <country>ES</country>
25 <region>
26 <country>EP</country>
27 </region>
28 <country>AT</country>
29 <country>ES</country>
30 </designated-states>
31 10 <separate-indications>Indications for AT</separate-indications>
32 </indications>
33 </indication-bio-deposit>
34

```

Figure 339: Biology XML: details of biological material item in indication-bio-deposit.xml file

References in request.xml file

```

84 <check-list>
85 <cl-request page-count="5"/>
86 12 <cl-sequence-listing quantity="1" page-count="4" carriers="internal-electronic" for-search-only="no"/>
87 <cl-fee-calculation/>
88 <cl-separate-power-of-attorney quantity="1"/>
89 1 <cl-biological-material quantity="1"/>
90 </check-list>
91 <language-of-filing>en</language-of-filing>
92 <signatories>
102 </request>

```

Figure 340: Request XML - reference to sequence listing and biological material

References in package-data.xml file

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE package-data SYSTEM "package-data-v1-6.dtd" >
3  <?software_name PCT Online Filing?>
4  <?software_version Version 3.5.000.221 MT/FOP 20020701/0.20.5.9?>
5  <package-data lang="en" dtd-version="1.6" produced-by="applicant" status="new" country="EP">
6  <transmittal-info>
29 <signatories>
39 <application-body-doc file="application-body.xml" lang="en"/>
40 14 <biological-material file="indication-bio-deposit.xml" lang="en"/>
41 <application-request file="request.xml" lang="en"/> 16
42 15 <sequence-list file="instant water sequence listings.pdf" lang="en" seq-file-type="ST.25" carriers="internal-electronic"
    electronic-format-type="other" part-of-application="yes"/>
43 <fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
44 <separate-power-of-attorney file="eolf-poat-000001.xml" lang="en"/>
45 <other-documents>
46 <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new">
49 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="application-body.xml" file-type="
    xml">
53 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="request.xml" file-type="xml">
56 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="fee-sheet.xml" file-type="xml">
59 <!--included here, while referenced in another entity, for legacy purposes--> 17 <other-doc file="indication-bio-deposit.xml"
    file-type="xml">
60 <document-name>BIODEPXML</document-name>
61 </other-doc>
62 <!--Client Preview, generated from XML original--> <other-doc file="Pct101.PDF" file-type="pdf">
65 <!--included here, while referenced in another entity, for legacy purposes--> 18 <other-doc file="instant water sequence
    listings.pdf" file-type="pdf">
66 <document-name>SEQLPDF</document-name>
67 </other-doc>
68 <!--included here, while referenced in another entity, for legacy purposes--> 19 <other-doc file="instant water sequence
    listings.pdf" file-type="pdf">
69 <document-name>SEQLSPDF</document-name>
70 </other-doc>
71 <!--Client Preview, generated from XML original--> <other-doc file="Fees.PDF" file-type="pdf">
74 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="eolf-poat-000001.xml" file-type="
    xml">
77 </other-documents>
78 </package-data>
79

```

Figure 341: Biology XML - references to sequence listing files and indication-bio-deposit.xml file in package-data.xml file

PDF Micro.PDF

Online Filing converts the data from the *indication-bio-deposit.xml* file into a PDF file for the applicant's reference. This PDF file is not part of the submission to the EPO.

pct_XML_1		1/1
PCT		Print Out (Original in Electronic Form)
0-1	Form PCT/RO/134 (SAFE) Indications Relating to Deposited Microorganism(s) or Other Biological Material (PCT Rule 13bis)	
0-1-1	Prepared Using	PCT Online Filing Version 3.5.000.221 MT/FOP 20020701/0.20.5.9
0-2	International Application No.	
0-3	Applicant's or agent's file reference	pct_XML_1 13
1	The indications made below relate to the deposited microorganism(s) or other biological material referred to in the description on:	
1-1	page	2 3 11 12
1-2	line	3 238
1-3	Identification of deposit	
1-3-1	Name of depositary institution	4 ABC Advanced Biotechnology Center
1-3-2	Address of depositary institution	5 Interlab Cell Line Collection (Biotechnology Dept), Largo Rossana Benzi, 10, 16132 Genova, Italy
1-3-3	Date of deposit	8 30 January 2008 (30.01.2008)
1-3-4	Accession Number	6 ABC 08-4556633 7
1-4	Additional Indications	9 Indications for ES
1-5	Designated States for Which Indications are Made	11 EP: (AT ES)AT ES
1-6	Separate Furnishing of Indications	10 Indications for AT
	These indications will be submitted to the International Bureau later	

Figure 342: Biology PDF - details of biological material in Micro.PDF file

9.8 PCT/RO/101 Declarations

PCT/RO/101 offers five different declarations. Each declaration can be made more than once:

1. Declaration as to identity of inventor
2. Declaration as to applicant's entitlement to apply for and be granted a patent
3. Declaration as to applicant's entitlement to claim priority of earlier application
4. Declaration of inventorship (for the purposes of the USA only)
5. Declaration as to non-prejudicial disclosures or exceptions to lack of novelty

The data for the declarations is contained in the separate **declarations.xml** file, which is referenced by the <declaration-doc> element. The document code is PCTDECLXML and is referenced in the **pkgheader.xml** file.

 The <other-doc> element in the **package-data.xml** file is only referenced for legacy purposes.

The number of declarations is indicated by the `quantity` attribute in each of the <declaration1> to <declaration5> elements within the <declarations> element in the **request.xml** file.

GUI PCT/RO/101 Declarations

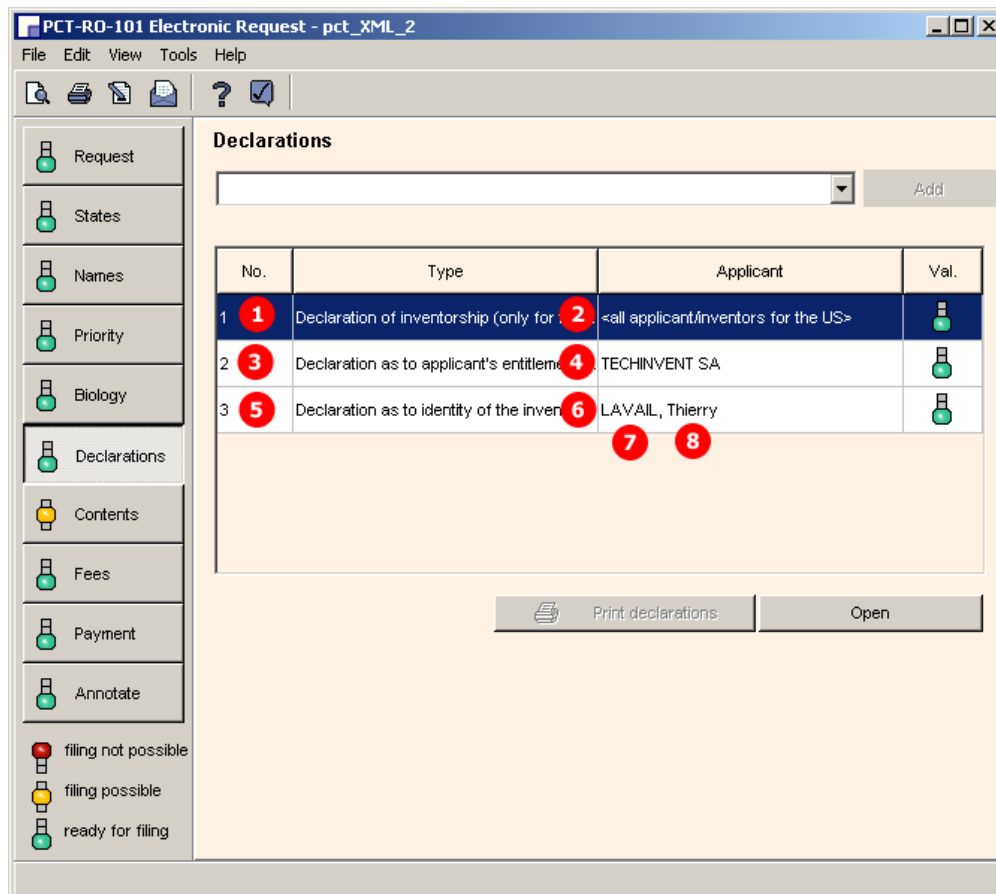


Figure 343: Declarations GUI: three different declarations are made

Element list

- (1) Declaration quantity 1
- (2) Declaration of Inventorship (declaration 4)
- (3) Declaration quantity 1
- (4) Declaration as to the applicant's entitlement [...] to apply for and be granted a patent (declaration 2)
- (5) Declaration quantity 1
- (6) Declaration as to the identity of the inventor (declaration 1)
- (7) Inventor's last name
- (8) Inventor's first name
- (9) Inventor's address: street
- (10) Inventor's address: city
- (11) Inventor's address: postcode
- (12) Inventor's residence
- (13) Reference to declaration.xml file
- (14) Included for legacy purposes: reference to declaration.xml file
- (15) Included for legacy purposes: document code for declaration.xml file

Reference in request.xml file

```

95 <search-authority>
115 <declarations>
116   (6) <declaration1 quantity="1"/> (5)
117   (4) <declaration2 quantity="1"/> (3)
118   (2) <declaration4 quantity="1"/> (1)
119 </declarations>
120 <check-list>
    
```

Figure 344: Declarations XML: declarations 1, 3 and 4 are indicated in request.xml file

XML declaration.xml

The example shows the details for the declaration type *Identity of inventor*.

```

1 <?xml version="1.0" encoding="UTF-8"?>
2 <!DOCTYPE declaration SYSTEM "declaration-v1-5.dtd" >
3 <?software_name PCT Online Filing?>
4 <?software_version Version 3.5.000.221 MT/FOP 20020701/0.20.5.9?>
5 <?stylesheet_version Version 1.51?>
6 <?fop_version Version 0.20.5.9?>
7 <?fop_fontconf common.xml?>
8 <declaration lang="en" dtd-version="1.5" status="new">
9   (1) <inventorship sequence="1" lang="en">
47 <entitlement-to-be-granted-patent sequence="1" lang="en"> (3)
59 (5) <identity-of-inventor sequence="1" lang="en">
60   <addressbook lang="en">
61     (7) <last-name>LAVAIL</last-name>
62     <first-name>Thierry</first-name> (8)
63     <address>
64       (9) <street>120 Avenue des Pyrénées</street>
65       <city>Toulouse</city> (10)
66       (11) <postcode>31200</postcode>
67       <country>FR</country> (12)
68     </address>
69   </addressbook>
70   <all-designations/>
71 </identity-of-inventor>
72 </declaration>
    
```

Figure 345: Details of a declaration in declaration.xml file

Reference in package-data.xml file

```

40 <application-body-doc file="application-body.xml" lang="en"/>
41 13 <declaration-doc file="declaration.xml" lang="en" dec-type="combined"/>
42 <biological-material file="indication-bio-deposit.xml" lang="en"/>
43 <application-request file="request.xml" lang="en"/>
44 <sequence-list file="instant water sequence listings.pdf" lang="en" seq-file-type="ST.25" carriers="internal-electronic"
    electronic-format-type="other" part-of-application="yes"/>
45 <fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
46 <separate-power-of-attorney file="eolf-poat-000001.xml" lang="en"/>
47 <other-documents>
48   <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new">
51 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="application-body.xml" file-type="
    xml">
55 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="request.xml" file-type="xml">
58 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="fee-sheet.xml" file-type="xml">
61 <!--included here, while referenced in another entity, for legacy purposes--> 14 <other-doc file="declaration.xml" file-type="xml">
62 15 <document-name>PCTDECLXML</document-name>
63 </other-doc>
    
```

Figure 346: References to declaration.xml file in package-data.xml file

PDF Pct101.PDF

VIII	Declarations	Number of declarations	
6	VIII-1 Declaration as to the identity of the inventor	1	5
4	VIII-2 Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent	1	3
	VIII-3 Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application	-	
2	VIII-4 Declaration of inventorship (only for the purposes of the designation of the United States of America)	1	1
	VIII-5 Declaration as to non-prejudicial disclosures or exceptions to lack of novelty	-	

Figure 347: Declarations indicated in PDF request

The text of each declaration is printed on a new page within the PDF form. The figure below shows only the first example for the declaration type **Identity of inventor**.

VIII-1-1	Declaration: Identity of the Inventor Declaration as to the identity of the inventor (Rules 4.17(i) and 51bis.1(a)(i))	5	6	in relation to this international application	8
	Name (LAST, First)	7		LAVAIL, Thierry of	
	Address	11		120 Av. des Pyrénées	9
				31200 Toulouse	10
				France	12
				is the inventor of the subject matter for which protection is sought by way of this international application	

Figure 348: Details of "Identity of the Inventor" declaration

9.9 PCT/RO/101 Contents

The **Contents** screen of PCT/RO/101 provides three different modes of attaching specification documents:

1. **XML attachments**
2. **PDF attachments** - multiple PDF files for description, claims and abstract, PDF/TIFF/JPG files for the drawings
3. **PDF attachment - single specification file** - description, claims and abstract are contained in one text document, separate PDF/TIFF/JPG files for the drawings

The **Accompanying items** sub-tab offers the following options:

- Original separate power of attorney
- Original general power of attorney
- Copy of general power of attorney
- Translation of international application into...
- Separate indications concerning deposited microorganisms or other biological material
- Statement confirming that "the information in Annex c/St.25 text format submitted under Rule 13ter is identical to the sequence listings as contained in the international application"
- OTHER (type of document indicated by user)

The file format for all attachments is PDF: Some extra options are available depending on the type of attachment.

A **pre-conversion archive** (ZIP archive containing the original documents prior to conversion into PDF files) can be attached additionally, regardless of what other files are included. The pre-conversion archive is not accounted for in the total number of sheets in the submission.

① For a list of the standard document names required by the EPO see **Document codes and file types for PCT/RO/101** (p. 240).

9.9.1 Contents - Example 1: Specification in one combined PDF file with separate drawings

This example shows an application with the specification in one PDF file, a separate file with drawings and a sequence listing file. For more details of biological material and sequence listings, see **PCT/RO/101 Biology** (p. 271).

GUI PCT/RO/101 Contents

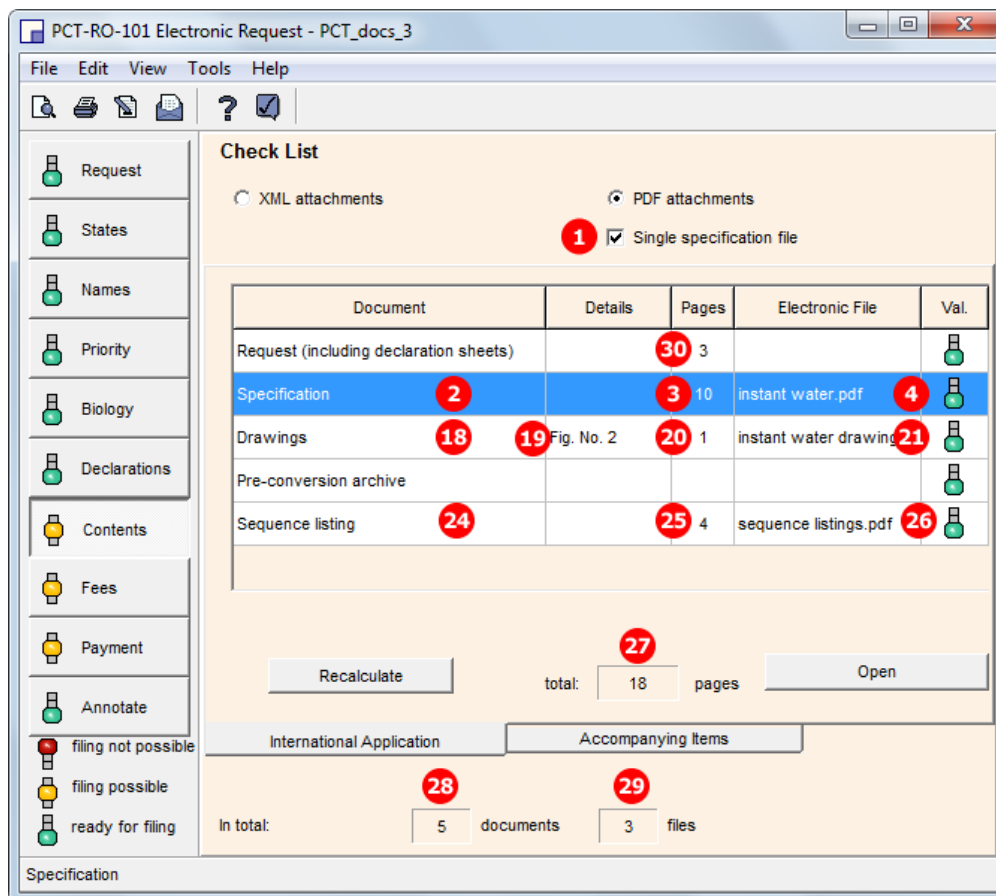


Figure 349: Contents GUI - single specification file and sequence listing attached

GUI Content Details for specification file

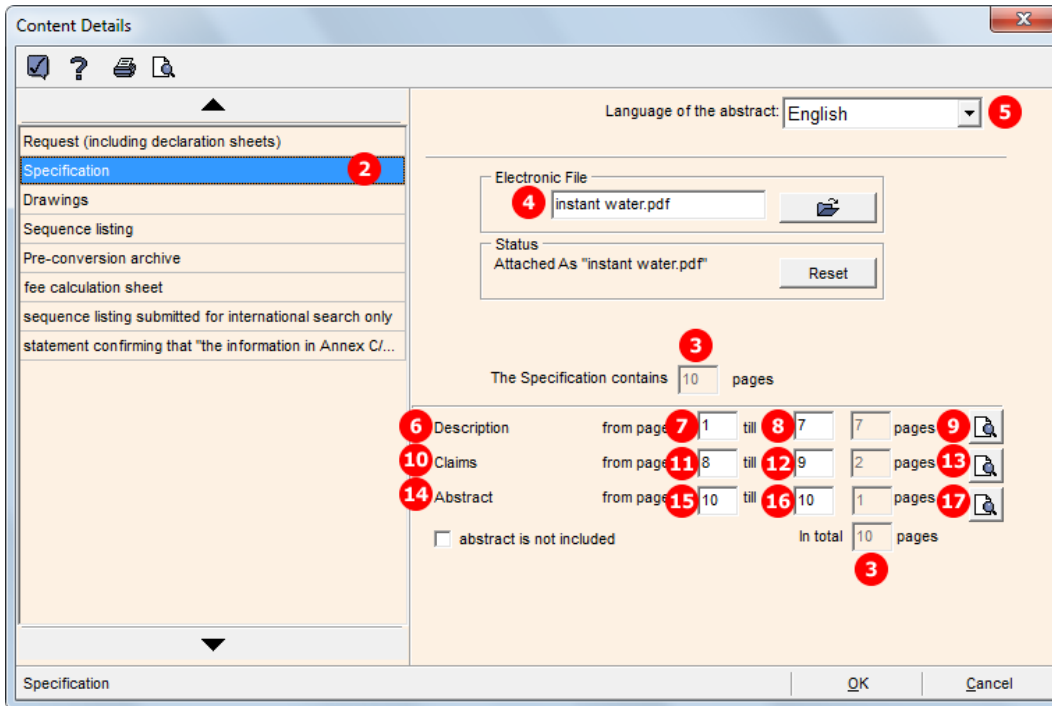


Figure 350: Content details - page numbers for sections in specification document

GUI Content Details for drawings file

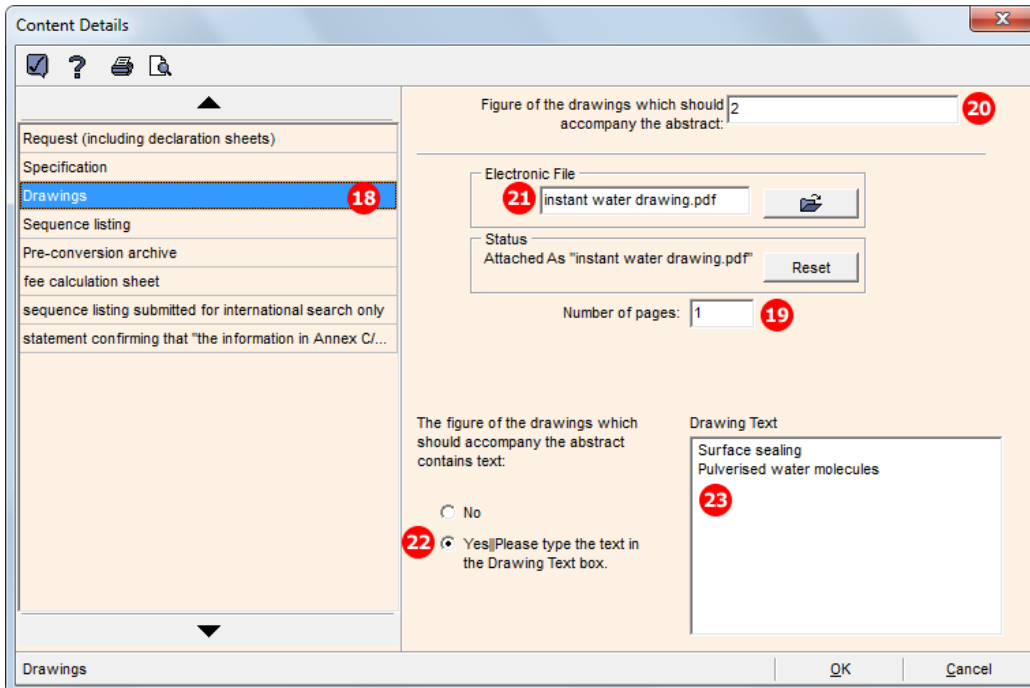


Figure 351: Content details - drawing attached as PDF document and text for the figure accompanying the abstract entered

Element list

- (1) Specification is attached as single PDF file
- (2) Specification attached
- (3) Number of pages in single specification PDF file
- (4) Original file name of single specification PDF file
- (5) Language of abstract
- (6) Description
- (7) First page of description within specification PDF file
- (8) Last page of description within specification PDF file
- (9) Number of pages of description within specification PDF file
- (10) Claims
- (11) First page of claims within specification PDF file
- (12) Last page of claims within specification PDF file
- (13) Number of pages of claims within specification PDF file
- (14) Abstract
- (15) First page of abstract within specification PDF file
- (16) Last page of abstract within specification PDF file
- (17) Number of pages of abstract within specification PDF file
- (18) Drawings
- (19) Number of pages of drawings PDF file
- (20) Figure of the drawings which should accompany the abstract
- (21) Original file name of the drawings PDF file
- (22) The figure of the drawings which should accompany the abstract contains text
- (23) Text for the drawings, to be imported in a separate TXT file
- (24) Sequence listing file attached in PDF format
- (25) Number of pages in sequence listing file
- (26) Original file name of the sequence listing PDF file
- (27) Total number of pages in checklist (only displayed in GUI)
- (28) Total number of documents in checklist (only displayed in GUI)
- (29) Total number of files in checklist (only displayed in GUI, counts files attached by user)
- (30) Number of pages in request Pct101.PDF
- (31) Language of filing of the international application (as displayed in the Request GUI)

XML request.xml

80	<check-list>
81	30 <cl-request page-count="3"/>
82	<cl-description page-count="7"/> 9
83	13 <cl-claims page-count="2"/>
84	<cl-abstract page-count="1"/> 17
85	20 <cl-drawings page-count="1"/>
86	<cl-sequence-listing quantity="1" page-count="4" carriers="internal-electronic" for-search-only="no"/>
87	<cl-fee-calculation/> 24 25
88	</check-list>
89	<figure-to-publish>
90	19 <fig-number>2</fig-number>
91	</figure-to-publish>
92	31 <language-of-filing>en</language-of-filing>
93	<signatories>
103	</request>

Figure 352: Request XML: checklist of attached files

XML application-body.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd" >
3  <?software_name PCT Online Filing?>
4  <?software_version Version 3.5.000.235 MT/FOP 20020701/0.20.5.20?>
5  <?stylesheet_version Version EP1.6?>
6  <?fop_version Version 0.20.5.20?>
7  <?fop_fontconf EP1001config.xml?>
8  <application-body lang="en" status="new" country="EP" dtd-version="1.6">
9    <description>
10     <doc-page id="DESC" he="1" wi="1" type="pdf" pp="7" ppf="1" ppl="7" file="instant water.pdf"/>
11   </description>
12   <claims>
13     <doc-page id="CLMS" he="1" wi="1" type="pdf" pp="2" ppf="8" ppl="9" file="instant water.pdf"/>
14   </claims>
15   <abstract lang="en">
16     <doc-page id="ABST" he="1" wi="1" type="pdf" pp="1" ppf="10" ppl="10" file="instant water.pdf"/>
17   </abstract>
18   <drawings>
19     <doc-page id="DRAW" he="1" wi="1" type="pdf" file="instant water drawing.pdf"/>
20   </drawings>
21 </application-body>

```

Figure 353: Page ranges of sections within specification file in application-body.xml file

References in package-data.xml file

The references to the specification document, the drawings and other files in the package-data.xml file are included for legacy purposes.

However, the reference to the file containing the text for the drawing which should accompany the abstract is only included in the package-data.xml. The file attribute in the <other-doc> element contains the file name and the <document-name> element contains the document code for the drawing text file.

```

5  <package-data lang="en" dtd-version="1.6" produced-by="applicant" status="new" country="EP">
6    <transmittal-info>
30   <signatories>
40   <application-body-doc file="application-body.xml" lang="en"/>
41   <application-request file="request.xml" lang="en"/>
42   <sequence-list file="sequence listings.pdf" lang="en" seq-file-type="ST.25" carriers="internal-electronic"
43     electronic-format-type="other" part-of-application="yes"/>
44     <fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
45   <other-documents>
46     <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new">
47       <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="application-body.xml"
48         file-type="xml"/>
49     <other-doc file="request.xml" file-type="xml">
50       <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="request.xml" file-type="xml">
51     <other-doc file="fee-sheet.xml" file-type="xml">
52       <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="fee-sheet.xml" file-type="
53     <other-doc file="Pct101.PDF" file-type="pdf">
54       <!--Client Preview, generated from XML original--> <other-doc file="Pct101.PDF" file-type="pdf">
55     <other-doc file="instant water.pdf" file-type="pdf">
56       <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="instant water.pdf" file-type="
57     <other-doc file="instant water drawing.pdf" file-type="pdf">
58       <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="instant water drawing.pdf"
59     <other-doc file="draw.txt" file-type="txt">
60     <document-name>DRAWTXT</document-name>
61   </other-doc>

```

Figure 354: Reference to specification file in package-data.xml file

Reference in pkgheader.xml file

```

1 <?xml version="1.0" encoding="UTF-8"?>
2 <!DOCTYPE pkgheader SYSTEM "pkgheader-v1-4.dtd" >
3 <?software_name PCT Online Filing?>
4 <?software_version Version 3.5.000.235 MT/FOP 20020701/0.20.5.20?>
5 <pkgheader lang="en" dtd-version="1.4" status="new">
6   <wad-message-digest/>
7   <transmittal-info>
8     <new-application>
9       <invention-title lang="en">INSTANT WATER</invention-title>
10      <first-named-applicant>
11        <name name-type="legal">Nano Enterprise Ltd.</name>
12        <registered-number>440012345</registered-number>
13      </first-named-applicant>
14      <file-reference-id>PCT_docs_3</file-reference-id>
15      <!--included here for legacy purposes--> <document-code>VALLOGXML</document-code>
16      <document-code>APPBODYXML</document-code>
17      <document-code>REQUESTXML</document-code>
18      <document-code>FEESHEETXML</document-code>
19      <document-code>REQPDF</document-code>
20      <document-code>SPEC</document-code>
21      <document-code>DRAW</document-code> 18
22      <document-code>DRAWTXT</document-code> 22
23      <document-code>SEQLPDF</document-code> 24
24      <document-code>SEQLSPDF</document-code>
25      <document-code>FEESHEETPDF</document-code>
26    </to>
29  </new-application>
30 </transmittal-info>
31 <ip-type>patent</ip-type>
32 <application-software>
37 <transmission-type>submission PCTRO101 v. 001</transmission-type>
38 </pkgheader>

```

Figure 355: Reference to specification file in pkgheader.xml file

PDF Pct101.PDF

PCT_docs_3		3/3	
PCT REQUEST			
Print Out (Original in Electronic Form)			
IX	Check list	Number of sheets	Electronic file(s) attached
IX-1	Request (including declaration sheets)	3 30	✓
IX-2	Description (excluding sequence listing part)	7 9	✓
IX-3	Claims	2 13	✓
IX-4	Abstract	1 17	✓
IX-5	Drawings	1 20	✓
IX-7a	Sub-total number of sheets	14	
IX-6	Sequence listing part of the description	4 25	✓
IX-7	TOTAL	18 27	
Accompanying Items		Paper document(s) attached	Electronic file(s) attached
IX-8	Fee calculation sheet	-	✓
IX-18	PCT-SAFE physical media	-	-
IX-20	Figure of the drawings which should accompany the abstract	2 19	
IX-21	Language of filing of the international application	English 31	
X-1	Signature of applicant, agent or common representative		

Figure 356: Checklist in request PDF: page numbers of attached electronic files

9.9.2 Contents - Example 2: Specification attached in XML format

In this example, the international application in XML format has been prepared using the PatXML tool. Three images in TIF format are referenced as <figure> elements in the original PXML file. The figure to be published with the abstract is indicated inside the <abstract> element.

Online Filing converts the XML attachment into an `application-body.xml` file which contains text elements instead of references to the PDF files. Additionally, the `application-body.pdf` file is created in a printer-friendly layout including the drawings. This PDF file is referenced as <document-code>REQPDF</document-code> in the `pkgheader.xml` file, but it must not be imported.

GUI PCT/RO/101 Contents

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)		3 2		
Application body		1 13	2 application-body.xml	
Pre-conversion archive				

total: 15 pages

In total: 2 documents 1 files

Figure 357: Contents GUI: specification attached in XML format as application body

Element list

- (1) Number of pages in application body (counted from `application-body.pdf` file)
- (2) Reference to `application-body.xml` file
- (3) Number of pages for request
- (4) Number of pages for description within application body
- (5) Number of pages for claims within application body
- (6) Number of pages for abstract within application body
- (7) Number of pages for drawings within application body
- (8) Number for figure to be published with abstract
- (9) Figure number 1

- (10) Reference to TIF graphic file for figure 1 (this is only referenced here)
- (11) Figure number 2
- (12) Reference to TIF graphic file for figure 2
- (13) Figure number 3
- (14) Reference to TIF graphic file for figure 3
- (15) Total number of pages in application (only displayed in GUI and PDF)
- (16) Reference to `application-body.xml` file in `package-data.xml` file
- (17) Additional `<document-code>` element for APPBODYXML file
- (18) Document code for XML file in `pkgheader.xml` file
- (19) Document code for PDF file

XML request.xml

```

33 <check-list>
34   3 <cl-request page-count="2"/>
35     <cl-description page-count="8"/> 4
36   5 <cl-claims page-count="3"/>
37     <cl-abstract page-count="1"/> 6
38   7 <cl-drawings page-count="1"/>
39     <cl-fee-calculation/>
40 </check-list>
41 <figure-to-publish>
42   8 <fig-number>2b</fig-number>
43 </figure-to-publish>

```

Figure 358: Request XML: checklist with page numbers

Reference in package-data.xml file

```

5 <package-data lang="en" dtd-version="1.6" produced-by="applicant" status="new" country="">
6 <transmittal-info>
24 <signatories>
34 <application-body-doc file="application-body.xml" lang="en"/> 2
35 <application-request file="request.xml" lang="en"/>
36 <fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
37 <other-documents>
38   <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new">
41 <!--included here, while referenced in another entity, for legacy purposes--> 2 <other-doc file="application-body.xml" file-type="
xml"/>
42   16 <document-name>APPBODYXML</document-name>
43     <document-code>2018</document-code> 17
44   </other-doc>
45 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="request.xml" file-type="xml">
48 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="fee-sheet.xml" file-type="xml">
51 <!--Client Preview, generated from XML original--> <other-doc file="Pct101.PDF" file-type="pdf">
54 <!--Client Preview, generated from XML original--> <other-doc file="Fees.PDF" file-type="pdf">
57 </other-documents>
58 </package-data>

```

Figure 359: Reference to the application-body.xml file

Reference in pkgheader.xml file

```

14 <!--included here for legacy purposes--> <document-code>VALLOGXML</document-code>
15   18 <document-code>APPBODYXML</document-code>
16     <document-code>REQUESTXML</document-code>
17     <document-code>FEESHEETXML</document-code>
18   19 <document-code>REQPDF</document-code>
19     <document-code>FEESHEETPDF</document-code>

```

Figure 360: Document codes in pkgheader.xml file

XML application-body.xml

Note: the full content of the description, claims and abstract is hidden in this XML example for legibility reasons.

```

7  <application-body country="EP" dtd-version="1.6" file="patent597.px.xml" id="pxmlpatent7" lang="de" status="N">
8  <description id="desc"> 4
103 <claims id="claim"> 5
146 <abstract id="abst" lang="de"> 6
152 <drawings id="draw"> 7
153 <figure id="f01" num="001"> 9
154 <img id="i02" wi="104" he="74" img-content="drawing" img-format="tif" orientation="portrait" file="img0002.tif"/> 10
155 </figure>
156 <figure id="f02" num="002"> 11
157 <img id="i03" wi="124" he="65" img-content="drawing" img-format="tif" orientation="portrait" file="img0003.tif"/> 12
158 </figure>
159 <figure id="f03" num="003"> 13
160 <img id="i04" wi="131" he="71" img-content="drawing" img-format="tif" orientation="portrait" file="img0004.tif"/> 14
161 </figure>
162 </drawings>
163 </application-body>
    
```

Figure 361: Application body XML: sections and figures

PDF Pct101.PDF

IX	Check list	number of sheets	electronic file(s) attached
IX-1	Request (including declaration sheets)	3 2	✓
IX-2	Description	4 8	✓
IX-3	Claims	5 3	✓
IX-4	Abstract	6 1	✓
IX-5	Drawings	7 1	✓
IX-7	TOTAL	15 15	
Accompanying Items		paper document(s) attached	electronic file(s) attached
IX-8	Fee calculation sheet	-	✓
IX-17	PCT-SAFE physical media	-	-
IX-19	Figure of the drawings which should accompany the abstract	2b 8	

Figure 362: Request PDF: checklist with number of sheets and figure to be published with abstract

9.9.3 Contents - Example 3: Specification in multiple PDF files with accompanying items

In this example, the patent specification is attached in four separate files: description, claims, abstract and drawings. In the **Contents** GUI, these files are listed in the **International Application** sub-tab.

GUI PCT/RO/101 Contents, International Application sub-tab

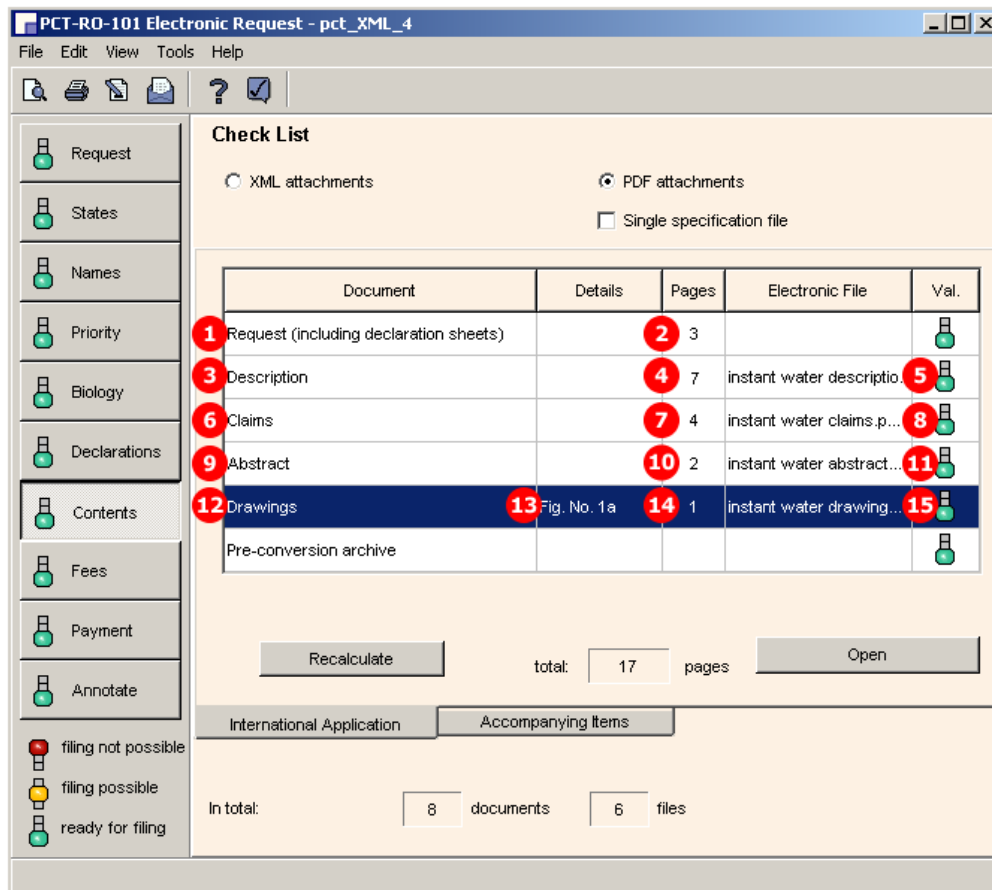


Figure 363: Contents GUI: specification attached in multiple PDF files

To demonstrate some of the other options in the **Accompanying items** sub-tab, the following additional files are attached:

- Translation of international application (PDF)
- OTHER: Drawing (TIFF)
- OTHER: Translation of text in drawing (PDF)

GUI PCT/RO/101 Contents, Accompanying items sub-tab

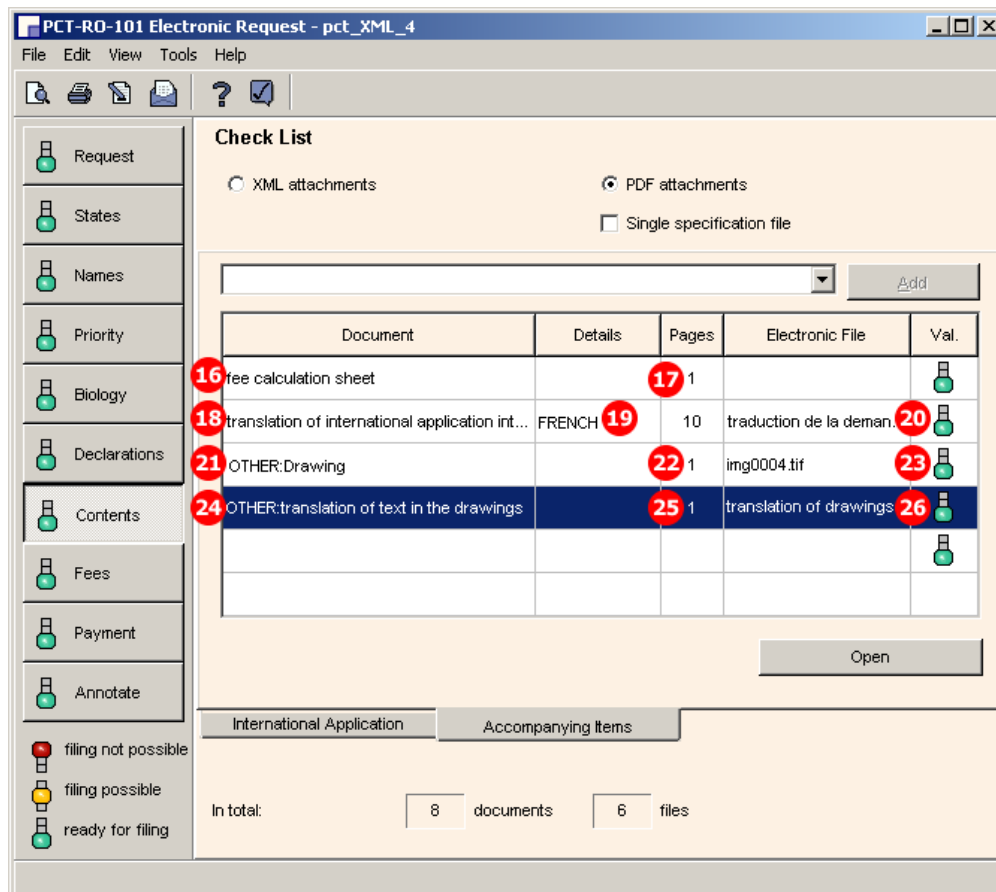


Figure 364: Contents GUI - different documents attached as accompanying items

Element list

- (1) Request document code
- (2) Request page count
- (3) Description document code
- (4) Description page count
- (5) Description original file name
- (6) Claims document code
- (7) Claims page count
- (8) Claims original file name
- (9) Abstract document code
- (10) Abstract page count
- (11) Abstract original file name
- (12) Drawings document code
- (13) Figure to be published with Abstract
- (14) Drawings page count
- (15) Drawings original file name
- (16) Fee sheet document code
- (17) Fee sheet page count
- (18) Translation of international application document code
- (19) Language of translation of international application

- (20) Translation of international application original file name
- (21) Other document code (TIF)
- (22) Other document, description
- (23) Other document, page count
- (24) Original file name of other document (TIF)
- (25) Other document code (PDF)
- (26) Other document, description
- (27) Other document, page count
- (28) Original file name of other document (PDF)

XML request.xml

```

61 <check-list>
62   2 <cl-request page-count="3"/>
63   <cl-description page-count="7"/> 4
64   7 <cl-claims page-count="4"/>
65   <cl-abstract page-count="2"/> 10
66   <cl-fee-calculation/> 19
67   <cl-translation-of-application quantity="1" lang="fr"/>
68   23 <cl-other-document page-count="1">Drawing</cl-other-document> 22
69   27 <cl-other-document page-count="1">Translation of text in drawing</cl-other-document> 26
70 </check-list>
71 <figure-to-publish>
72   14 <fig-number>1 a</fig-number>
73 </figure-to-publish>
74 <language-of-filing>en</language-of-filing>
75 <signatories>
85 </request>

```

Figure 365: Checklist for attached documents in request.xml file

Reference in package-data.xml

```

42 <application-body-doc file="application-body.xml" lang="en"/>
43 <application-request file="request.xml" lang="en"/>
44 <fee-calculation-sheet file="fee-sheet.xml" lang="en"/> 20 19
45 <translation-of-application file="traduction de la demande internationale.pdf" lang="fr"/>
46 <other-documents>
47 <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new"/>
50 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="application-body.xml" file-type
="xml">
54 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="request.xml" file-type="xml">
57 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="fee-sheet.xml" file-type="xml">
58 <document-name>FEESHEETXML</document-name>
59 </other-doc>
60 <!--Client Preview, generated from XML original--> <other-doc file="Pct101.PDF" file-type="pdf">
63 <!--included here, while referenced in another entity, for legacy purposes--> 5 <other-doc file="instant water description.pdf"
file-type="pdf">
64 3 <document-name>DESC</document-name>
65 </other-doc>
66 <!--included here, while referenced in another entity, for legacy purposes--> 8 <other-doc file="instant water claims.pdf"
file-type="pdf">
67 6 <document-name>CLMS</document-name>
68 </other-doc>
69 <!--included here, while referenced in another entity, for legacy purposes--> 11 <other-doc file="instant water abstract.pdf"
file-type="pdf">
70 9 <document-name>ABST</document-name>
71 </other-doc>
72 <other-doc file="abst.txt" file-type="txt">
73 <document-name>ABSTTXT</document-name>
74 </other-doc>
75 <!--Client Preview, generated from XML original--> <other-doc file="Fees.PDF" file-type="pdf">
76 <document-name>FEESHEETPDF</document-name>
77 </other-doc>
78 <!--included here, while referenced in another entity, for legacy purposes--> 20 <other-doc file="traduction de la demande
internationale.pdf" file-type="pdf">
79 18 <document-name>INTRANPDF</document-name>
80 </other-doc>
81 <other-doc file="img0004.tif" file-type="tif"> 24
82 21 <document-name>OTHERTIF</document-name>
83 </other-doc>
84 <other-doc file="translation of drawings.pdf" file-type="pdf"> 28
85 25 <document-name>OTHERPDF</document-name>
86 </other-doc>
87 </other-documents>
88 </package-data>
    
```

Figure 366: Reference to XML files and PDF attachment with document code and original file names

Reference in pkgheader.xml file

```

16 <document-code>APPBODYXML</document-code>
17 <document-code>REQUESTXML</document-code> 1
18 16 <document-code>FEESHEETXML</document-code>
19 <document-code>REQPDF</document-code>
20 3 <document-code>DESC</document-code>
21 <document-code>CLMS</document-code> 6
22 9 <document-code>ABST</document-code>
23 <document-code>ABSTTXT</document-code>
24 <document-code>FEESHEETPDF</document-code>
25 18 <document-code>INTRANPDF</document-code>
26 <document-code>OTHERTIF</document-code> 21
27 25 <document-code>OTHERPDF</document-code>
    
```

Figure 367: Document codes for attached files in pkgheader.xml

XML application-body.xml

```

8  <application-body lang="en" status="new" country="EP" dtd-version="1.6">
9  <description>
10  3 <doc-page id="DESC" he="1" wi="1" type="pdf" file="instant water description.pdf"/> 5
11  </description>
12  <claims>
13  6 <doc-page id="CLMS" he="1" wi="1" type="pdf" file="instant water claims.pdf"/> 8
14  </claims>
15  <abstract lang="en">
16  9 <doc-page id="ABST" he="1" wi="1" type="pdf" file="instant water abstract.pdf"/> 11
17  </abstract>
18  </application-body>
    
```

Figure 368: Reference to file names and document codes in application-body.xml file

PDF Pct101.PDF

IX	Check list	Number of sheets	Electronic file(s) attached
IX-1	Request (including declaration sheets)	2 3	✓
IX-2	Description	4 7	✓
IX-3	Claims	7 4	✓
IX-4	Abstract	10 2	✓
IX-5	Drawings	14 0	-
IX-7	TOTAL	16	
	Accompanying Items	Paper document(s) attached	Electronic file(s) attached
IX-8	Fee calculation sheet	-	✓
IX-14	Translation of international application into French	-	✓
IX-18	PCT-SAFE physical media	-	-
IX-19	Other 22 Drawing		✓
IX-19	Other 26 Translation of text in drawing		✓
IX-20	Figure of the drawings which should accompany the abstract	1a 13	
IX-21	Language of filing of the international application	English	

Figure 369: Request PDF - checklist and accompanying items

9.10 PCT/RO/101 Fees

Like biological material and declarations, fees are contained in a separate XML file. The *fee-sheet.xml* file must be included in the application package.

The existing fee sheet is indicated by the `<c1-fee-calculation/>` element within the `<check-list>` element in the *request.xml* file.

The *fee-sheet.xml* file is referenced in the *package-data.xml* file by the `<fee-calculation-sheet>` element and by an `<other-doc>` element. The document code is FEESHEETXML.

In addition, Online Filing generates the *Fees.PDF* file from the data in the *fee-sheet.xml* file. This PDF file is currently not part of the transmission to the EPO.

GUI PCT/RO/101 Fees

The fees are automatically calculated by Online Filing after the *Fee schedule valid from* date (2) has been selected.

The screenshot shows the 'Fee Calculation' window. At the top, the currency is set to EUR (1) and the fee schedule is valid from 01.04.2014 (2). The table below lists the following fees:

Fee	Currency	Amount	X	Total
Transmittal fee (3)	EUR	130	1	130 (4)
Search fee (5)	EUR	1,875	1	1,875 (6)
International Filing Fee (7)	EUR	1,084 (8)	1	1,084 (9)
Supplement per sheet over 30 (10)	EUR	12	0	0
Electronic Filing reduction (Full) (11)	EUR	-244	1	-244 (12)
Fee for priority document (14)	EUR	50	0	0
Fee for restoration of right of priority (15)	EUR	635	0	0
Total Fees Payable		EUR		2,845 (16)

At the bottom right, there is an 'Update fee schedule' button.

Figure 370: Fees GUI: payable fees listed

Element list

- (1) Currency: default is EUR (this is repeated by the `currency` attribute in each fee element)
- (2) Date for fee schedule validity
- (3) Transmittal fee
- (4) Total amount for transmittal fee (mandatory)
- (5) Search fee
- (6) Total amount for search fee (mandatory)
- (7) International filing fee
- (8) Amount for one international search
- (9) Total amount for search fee
- (10) Page number of application (displayed in **Contents** GUI): if there are more than 30 sheets, a supplementary fee has to be paid
- (11) Reduction fee for electronic online filing
- (12) Amount for reduction
- (13) Total amount for international filing fee = (8) + (11) (not displayed in GUI)
- (14) Fee for priority document
- (15) Total amount for priority documents
- (16) Total amount fees payable
- (17) International Searching Authority (as entered in **Request** GUI)
- (18) Payment mode: this element must be identically contained in each fee element
- (19) Selected mode: this child element depends on selection in the **Payment** GUI, e.g. `<charge/>` for automatic charge from deposit account
- (20) Fee sheet is indicated in `request.xml` checklist
- (21) Reference to `fee-sheet.xml` file
- (22) Document code for fee sheet XML file (same element exists in `pkgheader.xml` file)

XML fee-sheet.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE fee-sheet SYSTEM "fee-sheet-v1-6.dtd" >
3  <?software_name PCT Online Filing?>
4  <?software_version Version 3.5.000.235 MT/FOP 20020701/0.20.5.20?>
5  <?stylesheet_version Version 1.61?>
6  <?fop_version Version 0.20.5.20?>
7  <?fop_fontconf common.xml?>
8  <fee-sheet lang="en" dtd-version="1.6" produced-by="applicant" status="new" ro="EP" date-produced="20140401">
9    <file-reference-id>PCT-fees</file-reference-id>
10   <applicant-name>
11   <prescribed-fees>
12     <transmittal-fee currency="EUR">
13       <amount-total>130</amount-total>
14       <payment-mode>
15         <charge/>
16       </payment-mode>
17     </transmittal-fee>
18     <search-fee currency="EUR">
19       <amount-total>1875</amount-total>
20       <payment-mode>
21         <charge/>
22       </payment-mode>
23       <isa>
24         <country>EP</country>
25       </isa>
26     </search-fee>
27     <international-fee currency="EUR">
28       <basic-fee>
29         <amount-each>1084</amount-each>
30         <amount-total>1084</amount-total>
31       </basic-fee>
32       <fee-reduction reduction-type="electronic-filing-full-xml">
33         <amount-each>-244</amount-each>
34       </fee-reduction>
35       <amount-total>840</amount-total>
36       <payment-mode>
37         <charge/>
38       </payment-mode>
39     </international-fee>
40     <pdoc-fee currency="EUR">
41     <restoration-fee currency="EUR">
42     </prescribed-fees>
43   <amount-grand-total currency="EUR">2845</amount-grand-total>
44   <deposit-account>
45 </fee-sheet>

```

Figure 371: Fees XML: individual fees and fee amounts

Reference in request.xml file

```

61 <check-list>
62   <cl-request page-count="3"/>
63   <cl-description page-count="7"/>
64   <cl-claims page-count="4"/>
65   <cl-abstract page-count="2"/>
66   <cl-fee-calculation/>
67   <cl-translation-of-application quantity="1" lang="fr"/>
68   <cl-other-document page-count="1">Drawing</cl-other-document>
69   <cl-other-document page-count="1">Translation of text in drawing</cl-other-document>
70 </check-list>

```

Figure 372: Request XML: fee sheet is indicated

Reference in package-data.xml file

```

42 <application-body-doc file="application-body.xml" lang="en"/>
43 <application-request file="request.xml" lang="en"/>
44 21 <fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
45 <translation-of-application file="traduction de la demande internationale.pdf" lang="fr"/>
46 <other-documents>
47 <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new">
50 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="application-body.xml" file-type="
xml">
54 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="request.xml" file-type="xml">
57 <!--included here, while referenced in another entity, for legacy purposes--> 21 <other-doc file="fee-sheet.xml" file-type="xml">
58 22 <document-name>FEESHEETXML</document-name>
59 </other-doc>
    
```

Figure 373: References to fee sheet XML and PDF file in package-data.xml file

PDF Fees.PDF

PCT-fees		1/2	
PCT (ANNEX - FEE CALCULATION SHEET)			
Print Out (Original in Electronic Form)			
(This sheet is not part of and does not count as a sheet of the international application)			
0	For receiving Office use only		
0-1	International Application No.		
0-2	Date stamp of the receiving Office		
0-4	Form PCT/RO/101 (Annex) PCT Fee Calculation Sheet		
0-4-1	Prepared Using	PCT Online Filing Version 3.5.000.235 MT/FOP 20020701/0.20.5.20	
0-9	Applicant's or agent's file reference	PCT-fees	
2	Applicant	MANZONI, Salvatore 1	
12	Calculation of prescribed fees	Fee amount/multiplier	Total amounts (EUR)
12-1	Transmittal fee 3 T	⇔	130 4
12-2-1	Search fee 5 S	⇔	1875 6
12-2-2	International search to be carried out by	EP 17	
12-3	International filing fee (first 30 sheets) 7 i1	1084 9	
12-4	Remaining sheets	0 10	
12-5	Additional amount (X) 0		
12-6	Total additional amount i2	0	
12-7	i1 + i2 = i	1084	
12-11	Electronic Filing reduction (Full) 11 R	-244 12	
12-13	Total International filing fee (I-R) I	⇔	840 13
12-14	Fee for priority document		
	Number of priority documents requested	0 14	
12-15	Fee per document (X) 50		
12-16	Total priority document fee: P	⇔	
12-17	Fee for restoration of priority rights RP		
	Number of requests for restoration of priority rights	0 15	
	Total amount of fees for restoration of priority rights		
12-19	TOTAL FEES PAYABLE (T+S+I+P+RP)	⇔	2845 16

Figure 374: Fees PDF: calculation of prescribed fees and total fees payable

9.11 PCT/RO/101 Payment

The indications made for the payment are included in the *fee-sheet.xml* file and are printed on the second page of the *Fees.PDF* file.

PCT/RO/101 Payment GUI

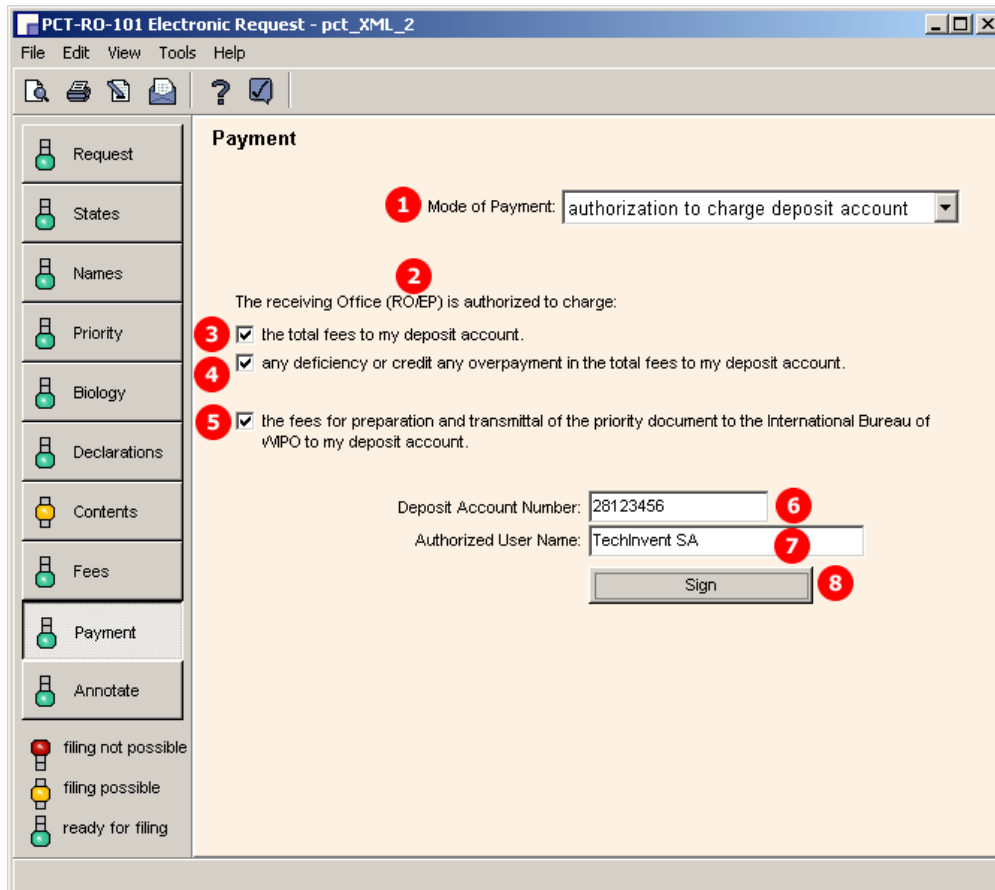


Figure 375: Payment GUI: mode of payment, authorisation and details

Element list

- (1) Selected mode of payment
- (2) Receiving Office/country
- (3) Authorisation to charge total fees [...]
- (4) Authorisation to charge any deficiency [...]
- (5) Authorisation to charge fees [...] for priority document [...]
- (6) Deposit account number
- (7) Authorised user of deposit account (natural person)
- (8) Signature (must be applied in a separate GUI window)
- (9) Name of signatory
- (10) Date of signature (system date)
- (11) Signature (in this example alphanumeric)

XML fee-sheet.xml

11	<prescribed-fees>
49	<amount-grand-total currency="EUR">2447</amount-grand-total>
50	1 <deposit-account>
51	<authorization>
52	3 <total-fee/>
53	<deficiency-credit/> 4
54	5 <fee-for-pdoc/>
55	</authorization>
56	<ro>
57	2 <country>EP</country>
58	</ro>
59	6 <account-no>28123456</account-no>
60	<date>20080411</date> 10
61	7 <last-name>Veronique Maronnier</last-name>
62	<first-name/>
63	<signatories>
64	8 <signatory>
65	9 <name name-type="natural">Veronique Maronnier</name>
66	<electronic-signature date="20080411"> 10
67	<basic-signature>
68	11 <text-string>/Veronique Maronnier/</text-string>
69	</basic-signature>
70	</electronic-signature>
71	<signatory-capacity/>
72	</signatory>
73	</signatories>
74	</deposit-account>
75	</fee-sheet>

Figure 376: Payment details in fee-sheet.xml file

PDF Fees.PDF

12-20	Mode of payment	1 authorization to charge deposit account
12-21	Deposit account instructions	2
	The receiving Office	European Patent Office (EPO) (RO/EP)
12-21-1	Authorization to charge the total fees indicated above	✓ 3
12-21-2	Authorization to charge any deficiency or credit any overpayment in the total fees indicated above	✓ 4
12-21-3	Authorization to charge the fee for priority document	✓ 5
12-22	Deposit account No.	28123456 6
12-23	Date	11 April 2008 (11.04.2008) 10
12-24	Name and signature	Maronnier, Veronique 7
		/Maronnier, Veronique/ 11

Figure 377: Payment details in Fees.PDF file

9.12 PCT/RO/101 Annotate

Three types of annotation or remark are available in the **Annotate** GUI:

1. Remark (note to EPO)
2. Private remark (neither stored in XML files nor transmitted to EPO)
3. Inventor(s) for certain designated states only

The remark is represented by a simple text string in a `<text>` element within the **request.xml** file. This text also appears in the **ValidLog.PDF** file.

The selection of designated states is added in the `<designated-states-as-inventor>` element as child of the respective `<applicant>` or `<inventor>` element.

The **validation log** is created automatically by Online Filing. The **ValidLog.PDF** and **validation-log.xml** files must not be imported.

GUI PCT/RO/101 Annotate

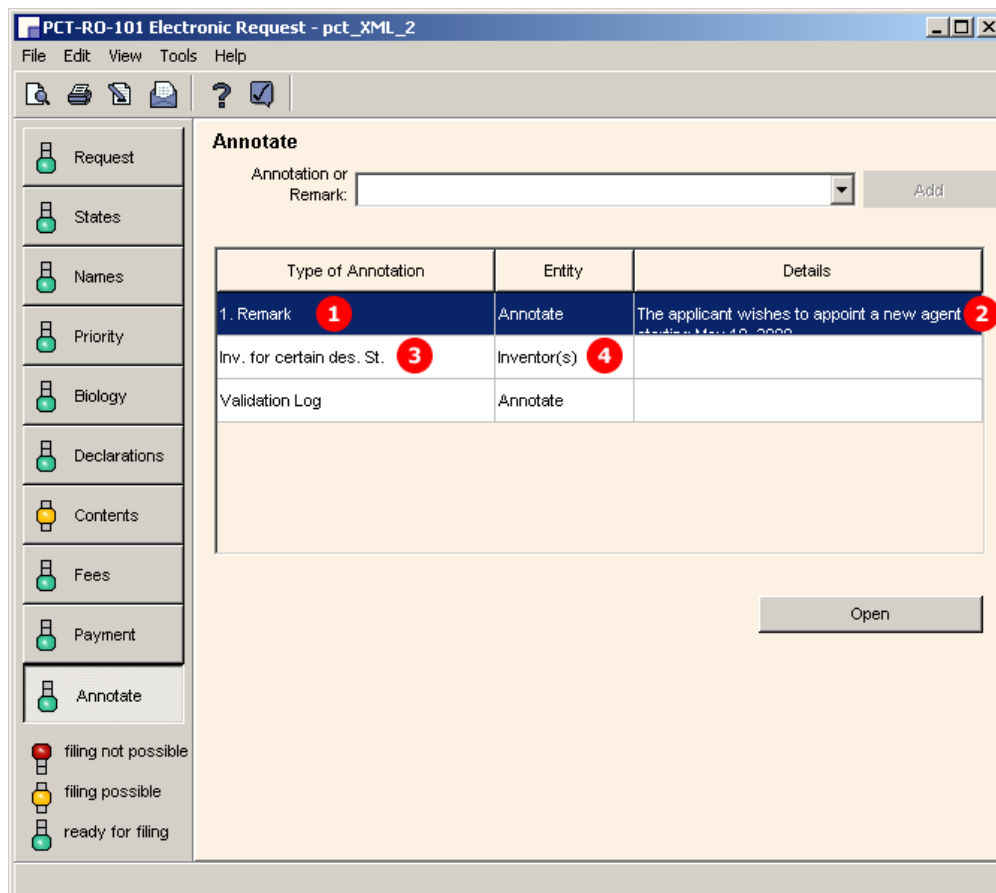


Figure 378: Annotate GUI: remark, designated states for inventor

Element list

- (1) Remark
- (2) Text for applicants remark
- (3) Designated states for inventor
- (4) Inventor

XML request.xml

The <designated-states> list (3) is grouped into multiple blocks, depending on which states are selected and which regions these states belong to. Each <country> element is listed twice: first as an individual state and once again under the respective <region> element. In the example below, the selected countries belong to the regions Africa (AP) and Europe (EP).

```

11  <parties>
12  <applicants>
13  <applicant sequence="1" app-type="applicant" designation="all-except-us">
34  <applicant sequence="2" app-type="applicant-inventor" designation="us-only">
35  <addressbook lang="en">
45  <nationality>
48  <residence>
51  <designated-states-as-inventor>
52  <country>AU</country>
53  <country>BG</country>
54  <country>GB</country>
55  <country>JP</country>
56  <country>KE</country>
57  <country>NA</country>
58  <region>
59  <country>AP</country>
60  </region>
61  <country>KE</country>
62  <country>NA</country>
63  <region>
64  <country>EP</country>
65  </region>
66  <country>BG</country>
67  <country>GB</country>
68  </designated-states-as-inventor>
69  </applicant>
70  </applicants>
71  </parties>
72  <designation-of-states>
75  <search-authority>
80  <declarations>
85  <check-list>
92  <language-of-filing>en</language-of-filing>
93  <signatories>
103 <dtext>The applicant wishes to appoint a new agent starting May 10, 2008.</dtext>
104 </request>

```

Figure 379: Annotate XML: designated states for inventor and remark text

PDF Pct101.PDF

III-1	Applicant and/or inventor	
III-1-1	This person is	3 applicant and inventor
III-1-2	Applicant for	US only
III-1-3	Inventor for	4 AP: (KE NA); EP: (BG GB); AU BG GB JP KE NA
III-1-4	Name (LAST, First)	LAVAIL, Thierry
III-1-5	Address	120 Av. des Pyrénées 31200 Toulouse France
III-1-6	State of nationality	FR
III-1-7	State of residence	FR

Figure 380: Annotate PDF: details of inventor

PDF ValidLog.PDF

13-1-1	Applicant Remarks	2 The applicant wishes to appoint a new agent starting May 10, 2008.
--------	-------------------	--

Figure 381: Applicant remark in Validation Log PDF

10 Annex

10.1 Abbreviations

EPO = European Patent Office

DPMA = *Deutsches Patent- und Markenamt* (German Trade Mark and Patent Office)

GUI = Graphical User Interface

BO = Business Object

FOP = Formatting Objects Processor

PMS = Patent Management System

OLF = Electronic Online Filing

10.2 International standards for PCT

XML data and structures in Online Filing follow the standards set by the *Patent Cooperation Treaty (PCT)* as of July 1, 2010.

PCT standards, rules and regulations are published by the *World Intellectual Property Organization* (WIPO).

The following sections of the **WIPO website** (<http://www.wipo.int>) may be of interest to developers looking for more information on PCT standards and rules for XML documents:

- **PCT Resources** (<http://www.wipo.int/pct/en/>)
- **PCT Treaty, Regulations and Administrative Instructions** (<http://www.wipo.int/pct/en/texts/>) (including the Annex F)
- **Electronic Filing (PCT-SAFE)** (<http://www.wipo.int/pct-safe/en/>)
- **List of WIPO Standards, Recommendations and Guidelines** (http://www.wipo.int/standards/en/part_03_standards.html), Part 3 of the WIPO Handbook on Industrial Property Information and Documentation
- **XML Library** (<http://www.wipo.int/pct-safe/en/resources/index.html>) (including DTDs)

10.3 Annex F rules for documents and files

The European Patent Office can only accept electronic documents which are compliant with **Annex F - Standard for the filing and processing in electronic form of international applications**.

A full version of Annex F in English can be found on the WIPO website under <http://www.wipo.int/pct/en/texts/> and is available for **download in PDF format** (http://www.wipo.int/pct/en/texts/pdf/ai_anf.pdf).

Rules for Annex F-compliant PDF files

The PDF file format is suitable for all documents containing text or images. For example, you can store additional descriptions and notes relating to your application in PDF format or scan original documents not available in electronic form and convert them into PDF files. See section 3.1.2 of Annex F for full details.

- PDF files must be compatible with Adobe PDF version 1.4 or higher.
- PDF files must not be encrypted.
- PDF files must not contain any embedded OLE objects.
- The text in PDF files must not be compressed.
- With the exception of the 11 standard Windows fonts, any fonts used in the PDF file must be embedded.

Rules for Annex F-compliant images

See section 3.1.3 of Annex F for the full details.

- **TIFF** (file type *.tif*)
 - Only black and white images are allowed
 - When saving an image as TIFF the following settings should be selected: TIFF V6.0 with Group 4 compression, single strip, Intel encoded (i.e. for IBM PC format, NOT Macintosh).
 - Image resolution must be 300 or 400 dpi.
 - The recommended maximum page size is 255 mm x 170 mm.
- **JPEG** (file type *.jpg*)
 - Image resolution must be 300 or 400 dpi.
 - The recommended maximum page size is 255 mm x 170 mm.

10.4 Document naming conventions

The file naming convention established by the PCT lists several rules for the naming of documents, referenced files and other files. See **section 4.3 of Annex F** for the full details.

The basic rules are:

- Only the following characters may be used for file names:
 - ABCDEFGHIJKLMNOPQRSTUVWXYZ
 - abcdefghijklmnopqrstuvwxyz
 - 0123456789
 - File names are case-sensitive.
 - The separator must be a period (.), followed by the file type.
 - Accepted file name extensions are: txt, xml, tif, jpg, pdf, app, zip (use lower-case characters).
 - File names must not exceed 128 positions altogether. The tables and examples in Annex F demonstrate how to assemble the different elements of the file names. These elements are separated by dashes (-).
 - The different document and package types for initial ePCT filing must follow the codes in Table 6.
- ⓘ Please note that other receiving Offices may issue their own file naming rules.

10.5 XML element list

All elements for XML files for EP(1001E2K), Euro-PCT(1200E2K), EP(1038E), EP(Oppo) and PCT/RO/101 are listed in the element table below. Refer to the respective DTD file to see the structural rules for the elements. The attributes for each procedure are listed in the **XML attribute lists** (p. 314) section of the Annex.

1001 = ep-request.xml / ep-request-v1-11.dtd

1200 = ep-euro-pct.xml / ep-euro-pct-v1-09.dtd

1038 = ep-sfd-request.xml / ep-sfd-request-v2-4.dtd

Oppo = ep-opposition-data.xml / ep-xmit-opposition-data-v1.4.dtd

PCT = request.xml / request-v1-8.dtd

An **x** in one of the four columns indicates that this element is part of the XML structure for one of the XML files used in the specific procedure.

Element	1001	1200	1038	Oppo	PCT
absno				x	
accepted				x	
addcopies	x	x	x	x	
additional-fee	x	x	x	x	
address	x	x	x	x	x
address-1	x	x	x	x	x
address-2	x	x	x	x	x
address-3	x	x	x	x	x
address-4					x
address-5					x
address-floor	x	x	x	x	x
addressbook	x	x	x	x	x
agent			x		x
agents	x	x	x		x
alttitle				x	
any-other-state	x	x	x		x
applicant	x	x	x	x	x
applicant-IB-recorded		x			
applicant-file-name	x	x	x	x	
applicants	x	x	x	x	x
application-reference	x			x	
article				x	
article-num				x	
artid				x	
assignee				x	
assignees				x	
atl				x	

Element	1001	1200	1038	Oppo	PCT
author	x	x	x	x	
avail				x	
b	x	x	x	x	x
basic-signature	x	x	x	x	x
bio-accno	x	x		x	
bio-authorization	x	x			
bio-deposit				x	
bio-other-deposant	x	x			
bio-receipt	x	x			
bio-restriction-to-expert	x	x			
bio-waiver	x	x			
book				x	
book-title				x	
bookno				x	
br			x	x	
building	x	x	x	x	x
category				x	
check-list	x	x	x		x
cheque-info	x	x	x		
city	x	x	x	x	x
chapter				x	
chem				x	
chemistry				x	
cl-abstract	x	x	x		x
cl-biological-material	x	x	x		x
cl-claims	x	x	x		x
cl-copy-general-power-of-attorney	x	x	x		x
cl-declaration1					x
cl-declaration2					x
cl-declaration3					x
cl-declaration4					x
cl-declaration5					x
cl-description	x	x	x		x
cl-drawings	x	x	x		x
cl-earlier-search-document					x
cl-fee-calculation	x	x	x		x
cl-general-power-of-attorney	x	x	x		x

Element	1001	1200	1038	Oppo	PCT
cl-lack-of-signature	x	x	x		x
cl-other-document	x	x	x		x
cl-priority-document	x	x	x		x
cl-request	x	x	x		x
cl-restore-rights-reason					x
cl-separate-power-of-attorney	x	x	x		x
cl-sequence-listing	x	x	x		x
cl-sequence-listing-table					x
cl-translation-of-application	x	x	x		x
class				x	
claim-num				x	
click-wrap	x	x	x	x	x
colf				x	
coll				x	
column				x	
confdate				x	
conference				x	
confno				x	
confplace				x	
confsponsor				x	
conftitle				x	
correspondence-address	x	x	x	x	x
country	x	x	x	x	x
county	x	x	x	x	x
cpyrt				x	
crossref				x	
customer-number	x	x	x	x	x
date	x	x	x	x	x
date-search-completed	x				
datecit				x	
dd				x	
deceased-inventor	x	x	x	x	x
declaration-application-contains-sequence-listing		x			
declaration-complete-translation-of-priority	x				
declaration-no-intention-to-file-further-priority	x				
declaration-intention-to-file-claims-later	x				
declaration-of-entity-or-natural-person-under-rule-6-3	x	x	x		

Element	1001	1200	1038	Oppo	PCT
declaration-translation-filed-later	x				
declaration1	x	x	x		x
declaration2	x	x	x		x
declaration3	x	x	x		x
declaration4	x	x	x		x
declaration5	x	x	x		x
declarations	x	x	x		x
department	x	x	x	x	x
depository	x	x		x	
descrip				x	
designated-states	x	x	x	x	x
designated-states-as-inventor	x	x	x	x	x
designation-of-states	x	x	x		x
designation-pct	x	x	x		x
dl				x	
doc-number	x	x	x	x	x
doc-page	x	x	x	x	x
document-id	x	x	x	x	x
doi				x	
dt				x	
dtext	x	x	x	x	x
ead	x	x	x	x	x
earlier-search	x				
earlier-search-documents					x
earlier-search-request	x	x	x		x
earlier-searches	x				
edate				x	
edition				x	
electronic-signature	x	x	x	x	x
email	x	x	x	x	x
enhanced-signature	x	x	x	x	x
entire-patent				x	
ep-agent	x	x		x	
ep-agents				x	
ep-authorisations				x	
ep-authorisation-number				x	
ep-art61-appl	x				

Element	1001	1200	1038	Oppo	PCT
ep-bio-references-lines	x	x			
ep-bio-references-page	x	x			
ep-biological-material	x	x			
ep-biological-material-reference	x	x			
ep-declarations	x	x	x		
ep-designated-states	x	x			
ep-divisional-appl	x				
ep-divisional-generation	x				
ep-earliest-doc	x				
ep-electronic-files	x	x	x	x	
ep-euro-pct		x			
ep-external-party-participant				x	
ep-external-party-participants				x	
ep-fax	x				
ep-file-name			x		
ep-financial-data	x	x	x	x	
ep-first-communication	x				
ep-first-communication-raising-lack-of-unity	x				
ep-inventor	x	x			
ep-language-of-filing	x	x			
ep-no-communication	x				
ep-notes-to-EPO	x	x	x	x	
ep-office-specific-data	x	x			
epo-file-name	x	x			
ep-opposition-evidence				x	
ep-opposition-evidence				x	
ep-opposition-evidence-title				x	
ep-opposition-external-party				x	
ep-opposition-notice				x	
ep-opposition-proprietor				x	
ep-opposition-submission				x	
ep-parties				x	
ep-previously-filed-application	x				
ep-priority-claim	x	x			
ep-request	x				
ep-request-for-exam-art94	x	x			
ep-sfd-request			x		

Element	1001	1200	1038	Oppo	PCT
ep-submission-request				x	
ep-submission-request-comment				x	
ep-submission-requests				x	
ep-xmit-opposition-data				x	
epo-file-name				x	
exclusion-from-designation	x	x	x		x
extension-states	x	x			
fax	x	x	x	x	x
fax-image	x	x	x	x	x
fee	x	x	x	x	
fee-calc-info	x	x	x	x	
fee-factor	x	x	x	x	
fee-reduction-amount	x	x	x	x	
fee-reduction-factor	x	x	x	x	
fee-schedule	x	x	x	x	
fee-sub-amount	x	x	x	x	
fee-total-amount	x	x	x	x	
fees	x	x	x	x	
fig-number	x	x	x		x
figref				x	
figure-to-publish	x	x	x		x
file-reference-id	x	x	x	x	x
first-name	x	x	x	x	x
formula-text				x	
gazette-num				x	
gazette-reference				x	
grounds-for-opposition				x	
heading				x	
history				x	
hostno				x	
hosttitle				x	
i	x	x	x	x	x
iid	x	x	x	x	x
img				x	
imprint				x	
incorporation-by-reference					x
ino				x	

Element	1001	1200	1038	Oppo	PCT
interpretation-oral-proceedings				x	
invention-title	x	x	x	x	x
inventive-step-not-valid				x	
inventor			x	x	x
inventors	x	x	x	x	x
IPEA	x	x	x	x	
IPEP	x	x	x	x	
isa	x	x	x		x
isbn				x	
issn				x	
issue				x	
keyword				x	
kind	x	x	x	x	x
kind-of-protection	x	x	x		x
language-of-filing			x		x
last-name	x	x	x	x	x
li				x	
line				x	
linef				x	
linel				x	
location				x	
mailcode	x	x	x	x	x
maths (more child elements see DTD, lines 2351 to 4770)				x	
middle-name	x	x	x	x	x
mode-of-payment	x	x	x	x	
name	x	x	x	x	x
national	x	x	x		x
nationality	x	x	x	x	x
new-designation-country	x	x	x		x
none				x	
not-valid-other-grounds				x	
notes				x	
novelty-not-valid				x	
nplcit				x	
o				x	x
office-of-filing	x	x	x		x
office-specific-data			x		x

Element	1001	1200	1038	Oppo	PCT
ol				x	
online				x	
online-title				x	
opposition-clarity				x	
opposition-evidence-other-file				x	
opposition-expert-witness				x	
opposition-filed-against				x	
opposition-subject-matter				x	
opposition-subject-matter-extension				x	
orgname	x	x	x	x	x
other-fee	x	x	x	x	
othercit				x	
p				x	
para				x	
paraf				x	
paral				x	
parent-doc	x				
parties	x	x	x		x
passage				x	
patcit				x	
phone	x	x	x	x	x
pkcs7	x	x	x	x	x
pp				x	
ppf				x	
ppl				x	
pobox	x	x	x	x	x
postcode	x	x	x	x	x
pre				x	
precautionary-designation-statement	x	x	x		x
prefix	x	x	x	x	x
priority-claim			x		x
priority-claims	x	x	x		x
priority-doc-attached	x	x	x		x
priority-doc-from-library					x
priority-doc-requested	x	x	x		x
protection-request	x	x	x		x
pubdate				x	

Element	1001	1200	1038	Oppo	PCT
pubid				x	
publication-reference				x	
received				x	
ref-number	x	x	x		x
refno				x	
region	x	x	x	x	x
regional	x	x	x		x
registered-number	x	x	x	x	x
reimbursement	x	x	x	x	
rel-claims				x	
rel-passage				x	
request					x
request-petition	x	x	x		x
request-re-establishment	x				
residence	x	x	x	x	x
restore-rights					x
revised				x	
role	x	x	x	x	x
room	x	x	x	x	x
sdate				x	
search-authority	x	x	x		x
search-region	x	x	x	x	
sequence-number	x	x	x		x
serial				x	
series				x	
serpart				x	
sersect				x	
sertitle				x	
signatories	x	x	x	x	x
signatory	x	x	x	x	x
signatory-capacity	x	x	x	x	x
smallcaps	x	x	x	x	x
sr-refund	x	x	x	x	
srchdate				x	
srchtearm				x	
standard-fee	x	x	x	x	
state	x	x	x	x	x

Element	1001	1200	1038	Oppo	PCT
store-in-digital-library					x
street	x	x	x	x	x
sub	x	x	x	x	x
sub2				x	x
subject	x	x	x	x	
subname				x	
subtitle				x	
substantially-equivalent					x
suffix	x	x	x	x	x
sup	x	x	x	x	x
sup2				x	x
synonym	x	x	x	x	x
tables (more child elements see DTD)				x	
table-external-doc				x	
term				x	
text	x	x	x	x	x
text-string	x	x	x	x	x
time				x	
time-limit				x	
title				x	
total-time-limit				x	
translation-info		x			
tr-inter-appl		x			
tr-prio-appl		x			
tr-originally-filed		x			
tr-amended-claims		x			
tr-annexes		x			
type-of-fee	x	x	x	x	
u	x	x	x	x	x
ul				x	
url	x	x	x	x	x
us-rights	x	x	x	x	x
validation-states	x	x			
vid				x	
waiver-communication-and-processing-of-non-designated-states	x	x			
waiver-for-communication		x			
waiver-to-indicate-further-processing	x	x			

10.6 XML attribute lists

10.6.1 Attributes in ep-request.xml file - EP(1001E2K)

The list relates to ep-request-v1-11.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
alt	CDATA #IMPLIED	doc-page
app-type	(applicant applicant-inventor employee) #REQUIRED	applicant
appl-type	CDATA #IMPLIED	application-reference
bio-info	(1) #IMPLIED	ep-biological-material
certified-copy	(attached later available) #IMPLIED	ep-previously-filed-application
color	(color bw) #IMPLIED	doc-page
contains-sequence-listing	(yes no) #REQUIRED	ep-previously-filed-application
curr	CDATA #REQUIRED	ep-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
date-produced	CDATA #IMPLIED	ep-request
declaration-of-no-search	(yes no not-determined) #REQUIRED	earlier-search
deferred-execution-date	CDATA #IMPLIED	mode-of-payment
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
designation	(all all-except-us us-only as-indicated) #IMPLIED	ep-inventor
dnum	CDATA #IMPLIED	ep-biological-material
doc-type	CDATA #REQUIRED	ep-electronic-files
dtd-version	CDATA #IMPLIED	ep-request
ep-association-number	CDATA #IMPLIED	ep-agent
ep-authorisation	(filed-not-yet-registered registered attached) #IMPLIED	ep-agent
ep-document-type	(patent provisional utility PCT) #REQUIRED	ep-previously-filed-application, ep-priority-claim
fee-amounts-unlocked-by-user	(yes no) #IMPLIED	ep-financial-data
fig-count	CDATA #IMPLIED	cl-drawings
file	CDATA #IMPLIED	ep-request, ep-office-specific-data
file	CDATA #REQUIRED	fax-image, doc-page
filing-date	CDATA #REQUIRED	ep-previously-filed-application
general_authorisation_number	CDATA #IMPLIED	ep-agent
generation	(1 2 3 4 5) #REQUIRED	ep-divisional-generation

ATTRIBUTE	VALUES	Applicable to ELEMENTS
he	NMTOKEN #REQUIRED	doc-page
id	ID #IMPLIED	invention-title, ep-biological-material, ep-notes-to-EPO, doc-page, earlier-search, application-reference
id	CDATA #IMPLIED	ep-office-specific-data
index	CDATA #REQUIRED	fee
inv-rights	(employee successor under-agreement) #IMPLIED	ep-inventor
inv-rights-date	CDATA #IMPLIED	ep-inventor
is-also-priority	(yes no) #REQUIRED	ep-previously-filed-application
kind	(national regional international) #REQUIRED	ep-priority-claim
lang	CDATA #REQUIRED	ep-request, invention-title, addressbook, document-id, ep-office-specific-data, ep-request-for-exam-art94
lang-code	CDATA #IMPLIED	ep-language-of-filing
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
name-type	(legal natural) #IMPLIED	name
num	CDATA #IMPLIED	ep-biological-material
number-of-claims	CDATA #IMPLIED	ep-previously-filed-application, cl-claims
number-claims-fee-calculation	CDATA #IMPLIED	cl-claims
office	CDATA #REQUIRED	ep-office-specific-data, earlier-search
office-dtd	CDATA #IMPLIED	ep-office-specific-data
orientation	(portrait landscape) "portrait"	doc-page
page	CDATA #REQUIRED	ep-notes-to-EPO
page-count	CDATA #IMPLIED	cl-request, cl-description, cl-claims, cl-abstract, cl-drawings, cl-sequence-listing, cl-other-document
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
ppl	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
produced-by	(applicant RO ISA IPEA IB DO EO) #REQUIRED	ep-request
quantity	CDATA #REQUIRED	cl-sequence-listing

ATTRIBUTE	VALUES	Applicable to ELEMENTS
renunciation	CDATA #IMPLIED	ep-inventor
replaces-claims	(yes no) #REQUIRED	ep-previously-filed-application
rep-type	(agent attorney common-representative) #REQUIRED	ep-agent
ro	CDATA #REQUIRED	ep-request
search-type	(international-type isr sisr national national-supplementary) #REQUIRED	earlier-search
sequence	CDATA #REQUIRED	applicant, ep-inventor, ep-agent, ep-priority-claim
status	CDATA #IMPLIED	ep-request, ep-office-specific-data
topay	(yes no) #REQUIRED	fee
total-page-count	CDATA #IMPLIED	check-list
translation	CDATA #IMPLIED	ep-priority-claim
type	(jpg pdf tif) #REQUIRED	doc-page
url	CDATA #IMPLIED	ep-biological-material
user-input	CDATA #IMPLIED	fee-factor, fee-reduction-factor, fee-reduction-amount
waiver	CDATA #IMPLIED	ep-inventor
waiver-communication-and-processing-of-non-designated-states	(yes no) #REQUIRED	ep-designated-states
wi	NMTOKEN #REQUIRED	doc-page
will-be-filed-later	(yes no) "no"	bio-receipt, bio-authorization

10.6.2 Attributes in ep-euro-pct.xml file - Euro-PCT(1200E2K)

The list relates to ep-euro-pct-v1-09.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
alt	CDATA #IMPLIED	doc-page
amendments-enclosed	(yes no) #REQUIRED	ep-euro-pct
app-type	(applicant applicant-inventor employee) #REQUIRED	applicant
application-pages	CDATA #IMPLIED	cl-description, cl-claims, cl-drawings
bio-info	(1) #IMPLIED	ep-biological-material
color	(color bw) #IMPLIED	doc-page
curr	CDATA #REQUIRED	ep-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
date-produced	CDATA #IMPLIED	ep-euro-pct
deferred-execution-date	CDATA #IMPLIED	mode-of-payment
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
designation	(all all-except-us us-only as-indicated) #IMPLIED	ep-inventor
dnum	CDATA #IMPLIED	ep-biological-material
doc-type	CDATA #REQUIRED	ep-electronic-files
dtd-version	CDATA #IMPLIED	ep-euro-pct
ep-association-number	CDATA #IMPLIED	ep-agent
ep-authorisation	(includes-ep-phase filed-not-yet-registered registered attached) #IMPLIED	ep-agent
fee-amounts-unlocked-by-user	(yes no) #IMPLIED	ep-financial-data
fig-count	CDATA #IMPLIED	cl-drawings
file	CDATA #IMPLIED	ep-euro-pct, ep-office-specific-data
file	CDATA #REQUIRED	fax-image, doc-page
furnishment-of-sequence-listing	(already attached) #REQUIRED	declaration-application-contains-sequence-listing
general_authorisation_number	CDATA #IMPLIED	ep-agent
he	NMTOKEN #REQUIRED	doc-page
id	ID #IMPLIED	ep-biological-material, ep-notes-to-EPO, doc-page
id	CDATA #IMPLIED	ep-office-specific-data
index	CDATA #REQUIRED	fee
ipea	(EP other) #REQUIRED	IPEA

ATTRIBUTE	VALUES	Applicable to ELEMENTS
iper-type	(rational detailed) #REQUIRED	IPER
kind	(national regional international) #REQUIRED	ep-priority-claim
lang	CDATA #REQUIRED	ep-euro-pct, addressbook, document-id, ep-office-specific-data, ep-request-for-exam-art94
lang-code	CDATA #IMPLIED	ep-language-of-filing
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
name-type	(legal natural) #IMPLIED	name
not-including-matter-beyond-original-application	(yes no) #IMPLIED	declaration-application-contains-sequence-listing
num	CDATA #IMPLIED	ep-biological-material
number-of-claims	CDATA #IMPLIED	cl-claims
number-claims-fee-calculation	CDATA #IMPLIED	cl-claims
office	CDATA #REQUIRED	ep-office-specific-data
office-dtd	CDATA #IMPLIED	ep-office-specific-data
orientation	(portrait landscape) "portrait"	doc-page
other-type	CDATA #IMPLIED	cl-other-document
page	CDATA #REQUIRED	ep-notes-to-EPO
page-count	CDATA #IMPLIED	cl-request, cl-description, cl-claims, cl-abstract, cl-drawings, cl-sequence-listing, cl-other-document
phase	international-application-as-filed translation-of-international-application amendments-after-international-srep translation-of-amendments-after-international-srep amendments-during-international-exam translation-of-amendments-during-international-exam entry-into-regional-phase	cl-claims
phase	international-application-as-filed translation-of-international-application amendments-during-international-exam translation-of-amendments-during-international-exam entry-into-regional-phase	cl-description
phase	international-application-as-filed translation-of-international-application amendments-during-international-exam translation-of-amendments-during-international-exam entry-into-regional-phase	cl-drawings
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page

ATTRIBUTE	VALUES	Applicable to ELEMENTS
ppl	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
produced-by	(applicant RO ISA IPEA IB DO EO) #REQUIRED	ep-euro-pct
quantity	CDATA #REQUIRED	cl-sequence-listing
region	(Other EP) "EP"	search-region
regional-phase-office	(designated elected) #REQUIRED	ep-euro-pct
renunciation	CDATA #IMPLIED	ep-inventor
rep-type	(agent attorney common-representative) #REQUIRED	ep-agent
replace-in-full	(yes no) #IMPLIED	cl-claims
ro	CDATA #REQUIRED	ep-euro-pct
sequence	CDATA #REQUIRED	applicant, ep-inventor, ep-agent, ep-priority-claim
sequence-listing-in-st25-identical-to-pdf	(yes no) #IMPLIED	declaration-application-contains-sequence-listing
seq-type	(pdf tif jpg app txt zip) #IMPLIED	cl-sequence-listing
st25	(yes no) #IMPLIED	cl-sequence-listing
status	CDATA #IMPLIED	ep-euro-pct, ep-office-specific-data
topay	(yes no) #REQUIRED	fee
total-page-count	CDATA #IMPLIED	check-list
translation	CDATA #IMPLIED	ep-priority-claim
type	(jpg pdf tif) #REQUIRED	doc-page
url	CDATA #IMPLIED	ep-biological-material
user-input	CDATA #IMPLIED	fee-factor, fee-reduction-factor, fee-reduction-amount
waiver	CDATA #IMPLIED	ep-inventor
waiver-communication-and-processing-of-non-designated-states	(yes no) #REQUIRED	ep-designated-states
wi	NMTOKEN #REQUIRED	doc-page
will-be-filed-later	(yes no) "no"	bio-receipt, bio-authorization

10.6.3 Attributes in ep-sfd-request.xml file - EP(1038E)

The list relates to ep-sfd-request-v2-4.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
alt	CDATA #IMPLIED	doc-page
app-type	(applicant applicant-inventor employee) #REQUIRED	applicant
color	(color bw) #IMPLIED	doc-page
curr	CDATA #REQUIRED	ep-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
deferred-execution-date	CDATA #IMPLIED	mode-of-payment
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
doc-type	CDATA #REQUIRED	ep-electronic-files
ep-association-number	CDATA #IMPLIED	agent
fee-amounts-unlocked-by-user	(yes no) #IMPLIED	ep-financial-data
fig-count	CDATA #IMPLIED	cl-drawings
file	CDATA #REQUIRED	fax-image, doc-page
he	NMTOKEN #REQUIRED	doc-page
id	ID #IMPLIED	ep-notes-to-EPO, doc-page
index	CDATA #REQUIRED	fee
lang	CDATA #REQUIRED	addressbook, document-id
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
name-type	(legal natural) #IMPLIED	name
number-of-claims	CDATA #IMPLIED	cl-claims
orientation	(portrait landscape) "portrait"	doc-page
other-type	CDATA #IMPLIED	cl-other-document
page	CDATA #REQUIRED	ep-notes-to-EPO
page-count	CDATA #IMPLIED	cl-request, cl-description, cl-claims, cl-abstract, cl-drawings, cl-other-document
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
ppl	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page

ATTRIBUTE	VALUES	Applicable to ELEMENTS
rep-type	(agent attorney common-representative) #REQUIRED	agent
sequence	CDATA #REQUIRED	applicant
topay	(yes no) #REQUIRED	fee
total-page-count	CDATA #IMPLIED	check-list
type	(jpg pdf tif) #REQUIRED	doc-page
user-input	CDATA #IMPLIED	fee-factor, fee-reduction-factor, fee-reduction-amount
wi	NMTOKEN #REQUIRED	doc-page

10.6.4 Attributes in ep-opposition-data.xml file - EP(Oppo)

The list relates to ep-xmit-opposition-data-v1.4.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
after-summons-to-op	(yes no) #IMPLIED	ep-opposition-submission
alt	CDATA #IMPLIED	doc-page, img
align	(left right center justify char) #IMPLIED	tgroup, colspec, entry
app-type	(applicant applicant-inventor) #REQUIRED	applicant
appeal-type	CDATA #IMPLIED	ep-xmit-opposition-data
appl-type	CDATA #IMPLIED	application-reference
auxiliary-request	(yes no) #IMPLIED	ep-submission-request
carriers	(internal-electronic external-electronic paper) #IMPLIED	table-external-doc
char	CDATA #IMPLIED	colspec, entry
charoff	NMTOKEN #IMPLIED	colspec, entry
chem-type	CDATA #IMPLIED	chem
class-type	CDATA #IMPLIED	class
colname	NMTOKEN #IMPLIED	colspec, entry
colnum	NMTOKEN #IMPLIED	colspec
color	(color bw) #IMPLIED	doc-page
cols	NMTOKEN #REQUIRED	tgroup
colsep	NMTOKEN #IMPLIED	table, tgroup, colspec, entry
colwidth	CDATA #IMPLIED	colspec
convention	CDATA #IMPLIED	not-valid-other-grounds
curr	CDATA #REQUIRED	ep-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
date-produced	CDATA #IMPLIED	ep-xmit-opposition-data
deferred-execution-date	CDATA #IMPLIED	mode-of-payment
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
designation	(all all-except-us us-only as-indicated) #IMPLIED	inventor
division-reference	CDATA #IMPLIED	ep-opposition-evidence
dnum	CDATA #IMPLIED	bio-deposit, patcit
dnum-type	CDATA #IMPLIED	patcit
doc-type	CDATA #REQUIRED	ep-electronic-files

ATTRIBUTE	VALUES	Applicable to ELEMENTS
doc-version	CDATA #IMPLIED	ep-xmit-opposition-data
dtd-version	CDATA #IMPLIED	ep-xmit-opposition-data
ep-association-number	CDATA #IMPLIED	ep-agent
external-party-role	(opponent intervener third-party) #REQUIRED	ep-opposition-external-party
external-type	(math chemistry program-listing other) #IMPLIED	table-external-doc
file	CDATA #IMPLIED	patcit, nplcit
file	CDATA #REQUIRED	fax-image, doc-page, img, chem, table-external-doc
frame	(top bottom topbot all sides none) #IMPLIED	table
he	CDATA #REQUIRED	doc-page, img
id	ID #IMPLIED	invention-title, ep-notes-to-EPO, doc-page, ep-xmit-opposition-data, ep-opposition-proprietor, ep-opposition-external-party, opposition-evidence-other-file, p, ul, ol, dt, dl, img, bio-deposit, addressbook, chemistry, chem, tables, patcit, nplcit, author, application-reference, publication-reference, pre, table-external-doc
idref	IDREFS #IMPLIED	figref
idref	IDREF #IMPLIED	crossref
img-content	(drawing photograph character dna undefined chem table math program-listing graph flowchart) "drawing"	img
img-format	(jpg tif st33 st35) #REQUIRED	img
index	CDATA #REQUIRED	fee
inline	(yes no) "no"	img
ipea	(EP other) "EP"	IPEA
iper-type	(rational detailed) #REQUIRED	IPER
kind	(heir heiress executor executrix estate legal-representative administrator administratrix legal-representatives heirs executors legal-heirs) #REQUIRED	us-rights
lang	CDATA #IMPLIED	document-id, invention-title, addressbook, nplcit, deceased-inventor, table-external-doc
lang	CDATA #REQUIRED	ep-xmit-opposition-data
lang-listening	NMTOKEN #REQUIRED	interpretation-oral-proceedings
lang-speaking	NMTOKEN #REQUIRED	interpretation-oral-proceedings

ATTRIBUTE	VALUES	Applicable to ELEMENTS
listing-type	(sequence program-listing other) #REQUIRED	pre
medium	CDATA #IMPLIED	nplcit
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
morerows	NMTOKEN #IMPLIED	entry
name-type	(legal natural) #IMPLIED	name
nameend	NMTOKEN #IMPLIED	entry
namest	NMTOKEN #IMPLIED	entry
npl-type	CDATA #IMPLIED	nplcit
num	CDATA #REQUIRED	p, bio-deposit, chemistry, tables
num	CDATA #IMPLIED	figref, patcit, nplcit
ocr	CDATA #IMPLIED	doc-page
orientation	(portrait landscape) "portrait"	img
ostyle	(single double dash dots leftarrow rightarrow leftrightarrow)	o
page	CDATA #REQUIRED	ep-notes-to-EPO
party-id	IDREF #IMPLIED	ep-opposition-notice, ep-opposition-submission, ep-opposition-evidence
party-reference		ep-opposition-evidence
pgwide	NMTOKEN #IMPLIED	table
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	doc-page
ppl	CDATA #IMPLIED	doc-page
region	(Other EP) "EP"	search-region
rep-address	(yes no) #IMPLIED	ep-agent
rep-type	(agent attorney common-representative) #REQUIRED	ep-agent
request-type	(oral-proceedings oral-proceedings-withdrawn opposition-withdrawn revocation acceleration-proceedings hearing-of-witness extension-time-limit interpretation-oral-proceedings other) #REQUIRED	ep-submission-request
rowsep	NMTOKEN #IMPLIED	table, tgroup, colspec, row, entry
sequence	CDATA #REQUIRED	ep-external-party-participant, applicant, inventor, deceased-inventor
status	CDATA #IMPLIED	table-external-doc
style	(single double dash dots) "single"	u

ATTRIBUTE	VALUES	Applicable to ELEMENTS
subname-type	(editor translator other-subname-type) "editor"	subname
time-units	(days months years weeks) #REQUIRED	time-limit, total-time-limit
to-be-summoned-via	(party agent) #IMPLIED	opposition-expert-witness
to-dead-inventor	CDATA #REQUIRED	us-rights
topay	(yes no) #REQUIRED	fee
type	(jpg pdf tif) #REQUIRED	doc-page
type	CDATA #IMPLIED	opposition-evidence-other-file
url	CDATA #IMPLIED	bio-deposit, nplcit
user-input	CDATA #IMPLIED	fee-reduction-factor, fee-reduction-amount
valign	(top middle bottom) #IMPLIED	thead, row, entry, tbody
wi	CDATA #REQUIRED	img
xml:space	(preserve default) #IMPLIED	pre

10.6.5 Attributes in request.xml file - PCT/RO/101

The list relates to request-v1-8.dtd.

ATTRIBUTE	VALUES	Applicable for ELEMENTS
action-by	CDATA #IMPLIED	priority-doc-from-library
additional-copies-including-search-copy	(yes no) #IMPLIED	cl-sequence-listing-table, cl-sequence-listing
alt	CDATA #IMPLIED	doc-page
app-type	(applicant applicant-inventor) #REQUIRED	applicant
available-at-isa	(yes no) #IMPLIED	earlier-search-documents
carriers	(internal-electronic external-electronic paper) #IMPLIED	cl-sequence-listing-table, cl-sequence-listing
carriers-type	(FD CD BD DVD other) #IMPLIED	cl-sequence-listing
carriers-quantity	CDATA #IMPLIED	cl-sequence-listing
certified-copy	(attached later available) #IMPLIED	referenced-application
color	(color bw) #IMPLIED	doc-page
date	CDATA #REQUIRED	electronic-signature
date-produced	CDATA #IMPLIED	request
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
designation	(all all-except-us us-only as-indicated) #IMPLIED	inventor
documents-cited-in-earlier-search-results	(yes no) #IMPLIED	earlier-search-documents
dtd-version	CDATA #IMPLIED	request
earlier-application	(yes no) #IMPLIED	earlier-search-documents
email-purpose	(informal general advance main)	email
fig-count	CDATA #IMPLIED	cl-drawings
file	CDATA #IMPLIED	request
file	CDATA #REQUIRED	fax-image, doc-page, office-specific-data
for-search-only	(yes no) #IMPLIED	cl-sequence-listing-table, cl-sequence-listing
he	CDATA #REQUIRED	doc-page
id	ID #IMPLIED	office-specific-data, priority-claim, addressbook, invention-title, doc-page, store-in-digital-library
kind	(heir heiress executor executrix estate legal-representative administrator administratrix legal-representatives heirs executors legal-heirs) #REQUIRED	us-rights

ATTRIBUTE	VALUES	Applicable for ELEMENTS
kind	(national regional international) #REQUIRED	priority-claim
lang	CDATA #IMPLIED	deceased-inventor, addressbook, invention-title, office-specific-data, cl-translation-of-application, document-id
lang	CDATA #REQUIRED	request
library-identifier	CDATA #IMPLIED	priority-doc-from-library
name-type	(legal natural) #IMPLIED	name
ocr	CDATA #IMPLIED	doc-page
office	CDATA #REQUIRED	office-specific-data
office-dtd	CDATA #REQUIRED	office-specific-data
orientation	(portrait landscape) 'portrait'	doc-page
page-count	CDATA #IMPLIED	cl-request, cl-description, cl-claims, cl-abstract, cl-drawings, cl-sequence-listing, cl-sequence-listing-table, cl-other-document
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, doc-page
ppl	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, doc-page
priority-doc-access-code	CDATA #IMPLIED	priority-doc-from-library
produced-by	(applicant RO ISA IPEA IB DO EO national-office regional-office) #REQUIRED	request
quantity	CDATA #REQUIRED	cl-restore-rights-reason, declaration1, declaration2, declaration3, declaration4, declaration5, cl-sequence-listing, cl-sequence-listing-table, cl-separate-power-of-attorney, cl-general-power-of-attorney, cl-copy-general-power-of-attorney, cl-lack-of-signature, cl-priority-document, cl-translation-of-application, cl-biological-material, cl-earlier-search-document
rep-type	(agent attorney common-representative) #REQUIRED	agent
request-ro-to-transmit-to-isa	(yes no) #IMPLIED	earlier-search-documents
results-of-earlier-search	(yes no) #IMPLIED	earlier-search-documents
ro	CDATA #REQUIRED	request
sequence	CDATA #IMPLIED	deceased-inventor

ATTRIBUTE	VALUES	Applicable for ELEMENTS
sequence	CDATA #REQUIRED	applicant, inventor, agent, priority-claim
size	CDATA #IMPLIED	cl-sequence-listing
status	CDATA #IMPLIED	request, office-specific-data
style	(single double dash dots) 'single'	u
style	(single double dash dots leftarrow rightarrow leftrightarrow) 'single'	o
subset	(yes no) #IMPLIED	protection-request
to-dead-inventor	CDATA #REQUIRED	us-rights
total-page-count	CDATA #IMPLIED	check-list
translation-of-earlier-application	(yes no) #IMPLIED	earlier-search-documents
translation-of-results-of-earlier-search	(yes no) #IMPLIED	earlier-search-documents
type	(jpg pdf tif) #REQUIRED	doc-page
wi	CDATA #REQUIRED	doc-page
with-identifying-statement	(yes no) #IMPLIED	cl-sequence-listing-table, cl-sequence-listing

10.7 Data length restrictions

The maximal data length for some text fields is limited. See all details for affected elements and attributes in the table below. An **x** in a column means that this element is applicable for the specific procedure.

ELEMENT	1001	1200	1038	Oppo	PCT	Max. data length
addcopies	x	x	x	x		2
address	x	x	x	x	x	247
bio-accno	x	x		x		64
bio-other-deposant	x	x				249
city	x	x	x	x	x	64
department	x	x	x	x	x	63
doc-number	x	x	x	x	x	10-17 depending on parent element
email	x	x	x	x	x	64
fax	x	x	x	x	x	25
figure-to-publish	x	x	x		x	16
first-name	x	x	x	x	x	64
iid	x	x	x	x	x	16
invention-title	x			x	x	590
last-name	x	x	x	x	x	128
mode-of-payment	x	x	x	x		64
name	x	x	x	x	x	128
orgname	x	x	x	x	x	63
phone	x	x	x	x	x	25
postcode	x	x	x	x	x	15
reimbursement	x	x	x	x		64
sr-refund	x					12
suffix	x	x	x	x	x	64

ATTRIBUTE	VALUES	PROCEDURES	Max. data length
accno	CDATA #REQUIRED	1001, 1200	8
dnum	CDATA #IMPLIED	1001	64
general_authorisation_number	CDATA #IMPLIED	1200	6
number-of-claims	CDATA #IMPLIED	1001	4

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