Importing data into EPO Online Filing

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

Applicable to OLF version 5.12 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](image)

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

- Functionalities in Online Filing – Overview (p. 11) provides a brief summary of the functionalities, software architecture and transformation mechanisms implemented in EPO Online Filing.
- XML data exchange with patent management systems (p. 13) explains briefly how to convert XML data and import them into Online Filing.

Sample cases for the standard OLF procedures demonstrate the mapping of data from the GUI with the XML data and PDF output:

- Form EP(1001E2K) – Request for grant of a European patent (EPC 2000) (p. 15)
- Form Euro-PCT(1200E2K) – Entry into the European phase (EPC 2000) (p. 99)
- Form EP(1038E) – Subsequently filed documents (p. 155)
- Form EP(Oppo) – EP opposition procedure (p. 182)
- Form PCT/RO/101 – PCT/RO/101 request (p. 241)
- Form PCT-DEMAND – Demand under Article 31 of the PCT (Form PCT/IPEA/401) (p. 298)
- Form PCT-SFD – Subsequently filed PCT documents (p. 321)

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.
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](image-url)
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. 342) 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. 353) 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):

<table>
<thead>
<tr>
<th>XML file name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader.dtd</td>
<td>Indicates selected procedure and other data for transmission to filing office.</td>
</tr>
<tr>
<td>package-data.xml</td>
<td>package-data.dtd</td>
<td>References attached documents, including those already referenced in application-body.xml file.</td>
</tr>
</tbody>
</table>
| application-body.xml| application-body-v1-7.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-v1-15.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, pageCount. 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

5.1 Structure of XML files for EP(1001E2K)

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

<table>
<thead>
<tr>
<th>File name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader.dtd</td>
<td>Indicates selected procedure and other data for transmission to filing office.</td>
</tr>
<tr>
<td>package-data.xml</td>
<td>package-data.dtd</td>
<td>References attached documents, except those already referenced in application-body.xml file.</td>
</tr>
<tr>
<td>application-body.xml</td>
<td>application-body-v1-7.dtd</td>
<td>(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.</td>
</tr>
<tr>
<td>ep-request.xml</td>
<td>ep-request-v1-15.dtd</td>
<td>Application data as entered in Form EP(1001E2K), references other attached documents.</td>
</tr>
</tbody>
</table>

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.

Element list

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.

Element list:

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

Figure 5: XML elements in pkgheader.xml file
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. 66).

(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

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
<application-body lang="en" dtd-version="1.6" country="EP">
  <description>
    <doc-page id="DESC1" he="1" w="1" type="pdf" file="SPEC1EPO-1.pdf" ppf="1" pp="1" pp="1"/>
    <doc-page id="DESC2" he="1" w="1" type="pdf" file="SPEC1EPO-2.pdf" ppf="1" pp="1" pp="1"/>
    <doc-page id="DESC3" he="1" w="1" type="pdf" file="SPEC1EPO-3.pdf" ppf="1" pp="1" pp="1"/>
    <doc-page id="DESC4" he="1" w="1" type="pdf" file="SPEC1EPO-4.pdf" ppf="1" pp="1" pp="1"/>
  </description>
  <claims/>
  <abstract/>
  <drawings/>
</application-body>
```

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

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)

![XML elements for electronic files in ep-request.xml file](image)

### 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.

#### Element list

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
application-body.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE application-body SYSTEM "application-body-v1.6.dtd">
<application-body lang="en" dtd-version="1.6" country="EP">
  <description>
    <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" pp="1" pp1="7" pp2="7">
    </doc-page>
  </description>
  <claims>
    <doc-page id="CLM1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" pp="8" pp1="9" pp2="2">
    </doc-page>
  </claims>
  <abstract>
    <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" pp="10" pp1="10" pp2="1">
    </doc-page>
  </abstract>
  <drawings>
    <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" pp="1" pp1="1" pp2="1">
    </doc-page>
  </drawings>
</application-body>
```

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

ep-request.xml

```xml
<ep-office-specific-data office="EP" lang="en">
  <ep-declarations/>
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    <ep-electronic-files doc-type="1001">
      <ep-electronic-files doc-type="SPECONEPO">
        <applicant-file-name>Specone.pdf</applicant-file-name>
        <app-file-name>SPECONEPO.pdf</app-file-name>
        <ep-electronic-files>
          <ep-electronic-files doc-type="SPECONEPO">
            <applicant-file-name>Specone_IT.pdf</applicant-file-name>
            <app-file-name>SPECONEPO.pdf</app-file-name>
          </ep-electronic-files>
          <ep-electronic-files doc-type="SPECONEPO">
            <applicant-file-name>Specone_EN.pdf</applicant-file-name>
            <app-file-name>SPECTRANEPO-1.pdf</app-file-name>
          </ep-electronic-files>
          <ep-electronic-files doc-type="SPECONEPO">
            <applicant-file-name>Specone.pdf</applicant-file-name>
            <app-file-name>SPECTRANEPO-2.pdf</app-file-name>
          </ep-electronic-files>
          <ep-electronic-files>
            <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
              <ep-office-specific-data/>
            </ep-financial-data>
          </ep-electronic-files>
        </ep-electronic-files>
      </ep-electronic-files>
    </ep-designated-states>
</ep-office-specific-data>
```

**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.

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ADDRESSXML</td>
<td>address-matching.xml</td>
<td>Package</td>
</tr>
<tr>
<td>APPBODYXML</td>
<td>application-body.xml</td>
<td>Application body, see [Structure of XML files for EP(1001E2K)](p. 15)</td>
</tr>
<tr>
<td>APPMERGEXML</td>
<td>result-filing.xml</td>
<td>Package</td>
</tr>
<tr>
<td>BIODEPXML</td>
<td></td>
<td>Biology</td>
</tr>
<tr>
<td>HEADERXML</td>
<td>pkgheader.xml</td>
<td>Package</td>
</tr>
<tr>
<td>PACKDATAXML</td>
<td>package-data.xml</td>
<td>Package</td>
</tr>
<tr>
<td>RECXXML</td>
<td>xmit-receipt.xml</td>
<td>Receipt in XML format</td>
</tr>
<tr>
<td>REQUESTXML</td>
<td>ep-request.xml</td>
<td>EP1001 form in XML format</td>
</tr>
<tr>
<td>REQXML</td>
<td>ep-request.xml</td>
<td>Application data, see [Structure of XML files for EP(1001E2K)](p. 15)</td>
</tr>
</tbody>
</table>

### Technical documents and their translation in official EPO language (selected procedural language)

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SPECEPO</td>
<td>SPECEPO-1.pdf</td>
<td>Single file specification in EPO language</td>
</tr>
<tr>
<td>SPECTRANEPO</td>
<td>SPECTRANEPO-1.pdf</td>
<td>Single file translated specification from a non-EPO language</td>
</tr>
</tbody>
</table>

### Technical documents in non-official EPO language or other languages

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CLMSNONEPO</td>
<td>CLMSNONEPO.pdf</td>
<td>Claims in admissible non-EPO language</td>
</tr>
<tr>
<td>CLMS</td>
<td>CLMSNONEPO.pdf</td>
<td>Claims in admissible non-EPO language (when referenced in package-data.xml and application-body.xml)</td>
</tr>
</tbody>
</table>
### Document code | EPO file name *) | Description
--- | --- | ---
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

**SEQLTXT** | SEQLTXT.app | Sequence listing in APP format (in accordance with WIPO Standard ST.25)
**SEQLTXT** | SEQLTXT.seq | Sequence listing in SEQ format (in accordance with WIPO Standard ST.25)
**SEQLTXT** | SEQLTXT.txt | Sequence listing in TXT format (ASCII text, in accordance with WIPO Standard ST.25)
**SEQZIP** | SEQZIP.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
<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>PATXMLTIF</td>
<td>&lt;filename&gt;.jpg</td>
<td>Drawing in JPG format (referenced by application-body.xml file as a result of attaching specification in XML format)</td>
</tr>
<tr>
<td>PATXMLTIF</td>
<td>&lt;filename&gt;.tif</td>
<td>Drawing in TIF format (referenced by application-body.xml file created by PatXML)</td>
</tr>
<tr>
<td>OTHERTIF</td>
<td>&lt;filename&gt;.tif</td>
<td>Other</td>
</tr>
<tr>
<td>SIGNIMGTIF</td>
<td>&lt;Request&gt;-signature-1.tif</td>
<td>Unexpected/undefined document</td>
</tr>
<tr>
<td>PRIOTRAN</td>
<td>PRIOTRAN-1.pdf</td>
<td>Translation of priority documents</td>
</tr>
<tr>
<td>REESGROUNDS</td>
<td>REESGROUNDS.pdf</td>
<td>Grounds for re-establishment of rights</td>
</tr>
<tr>
<td>USCERTPRIO</td>
<td>USCERTPRIO-1.pdf</td>
<td>US certified priority document (must be digitally signed)</td>
</tr>
<tr>
<td>OTHERPDF</td>
<td>OTHER-1.pdf</td>
<td>Other document in PDF format</td>
</tr>
<tr>
<td>PRSR</td>
<td>PRSR-1.pdf</td>
<td>Search results required under Rule 141(1) EPC for priority claim</td>
</tr>
<tr>
<td>PRSR-REF</td>
<td>PRSR-REF.pdf</td>
<td>Search results required under Rule 141(1) EPC for previously filed application</td>
</tr>
</tbody>
</table>

**Documents generated by Online Filing (not to be imported)**

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>F1002</td>
<td>F1002-1.pdf</td>
<td>Designation of inventor</td>
</tr>
<tr>
<td>INVT193</td>
<td>EPR193-1.pdf</td>
<td>Waiver - Rule 19(3) EPC / Inventor-related document</td>
</tr>
<tr>
<td>INVT193-NP</td>
<td>EPR193-NP-1.pdf</td>
<td>Waiver - Rule 19(3) EPC (non-public) / Inventor-related document</td>
</tr>
<tr>
<td>INVT201</td>
<td>EPR201-1.pdf</td>
<td>Waiver - Rule 20(1) EPC / Inventor-related document</td>
</tr>
<tr>
<td>1001P</td>
<td>ep-request.pdf</td>
<td>Application in PDF format</td>
</tr>
</tbody>
</table>

**Other document codes PDF related**

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADDRREPPDF</td>
<td>address-matching.pdf</td>
<td>Manual correction of address details</td>
</tr>
<tr>
<td>BIOM</td>
<td>BIOM-1.pdf</td>
<td>Letter concerning biological material</td>
</tr>
<tr>
<td>CERTPRIO</td>
<td>CERTPRIO-1.pdf</td>
<td>Electronic priority document</td>
</tr>
<tr>
<td>DASCODE</td>
<td>DASACCDOC.pdf</td>
<td></td>
</tr>
</tbody>
</table>

---

EPO Online Filing 5.12
Importing data as XML
## 5 Form EP(1001E2K) – Request for grant of a European patent (EPC 2000)

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>File Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>F1002E</td>
<td>Designation of inventor</td>
<td>f1002-1.pdf</td>
</tr>
<tr>
<td>INCANNEX</td>
<td>Annex</td>
<td>SPECEPO-1.PDF</td>
</tr>
<tr>
<td>INVT</td>
<td>Letter concerning the inventor</td>
<td>INVT-1.pdf</td>
</tr>
<tr>
<td>PRIODOC</td>
<td>Priority document</td>
<td>PRIO-1.pdf</td>
</tr>
<tr>
<td>PRSR-PRIO</td>
<td></td>
<td>PRSR-1.pdf</td>
</tr>
<tr>
<td>RECPDF</td>
<td>Acknowledgement of receipt of electronic submission of the request for grant of a European patent</td>
<td>receipt.pdf</td>
</tr>
<tr>
<td>SRCH</td>
<td>Letter concerning search matters</td>
<td>SRCH-1.pdf</td>
</tr>
</tbody>
</table>

### Other document codes ZIP related

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABBNR</td>
<td>Application body containing PDF files (for publication purposes)</td>
</tr>
</tbody>
</table>

*) 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** tab 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 in English

**GUI EP(1001E2K), Request tab**

![Figure 11: Request GUI: general data](image)

**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. 25)
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 (use upper case letters)
(8) Translation (of title of invention) into French (use upper case letters)
(9) Translation (of title of invention) into German (use upper case letters)
(10) Last saved date: must not be imported, because value will be overwritten by OLF

XML ep-request.xml

```
<?xml version="1.0" encoding="UTF-8"?>
<ep-request lang="en" dtd-version="1.0" produced-by="applicant" re="EP" date-produced="20161011 14:40:14">
  <software_url>http://www.epo.org</software_url>
  <software_version>FMN1160, EP2005160, FM_FOP2015</software_url>
  <stylesheet_version>3.0</stylesheet_version>
  <file-reference-id>1001-request-EN</file-reference-id>
  <request-petition>Grant of European patent; and examination of the application under Article 94, are hereby requested</request-petition>
  <invention-title lang="en">INSTANT WATER</invention-title>
  <invention-title lang="fr">EAU INSTANTANÉE</invention-title>
  <invention-title lang="de">INSTANT-WASSER</invention-title>
  <parties>
    <check-list>
      <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
      <ep-office-specific-data office="EP" lang="en">
        <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
          <ep-declarations>
            <waiver-to-indicate-further-processing/>
          </ep-declarations>
        </ep-designated-states>
      </ep-office-specific-data>
    </check-list>
  </parties>
</ep-request>
```

Figure 12: Request XML: general data
### PDF ep-request.pdf

#### Request for grant of a European patent

- **Application number:**
- **Date of receipt (Rule 35(2) EPC):**
- **Date of receipt at EPO (Rule 35(4) EPC):**
- **Date of filing:**

#### Grant of European patent, and examination of the application under Article 95 are hereby requested.

- **Procedural language:**
- **Description and/or claims filed in:**

#### Applicant's or representative's reference

- **Filing Office:**

#### Applicant(s)

- **Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.**

#### Title of invention

<table>
<thead>
<tr>
<th>Title of invention</th>
<th>Translation of title into French</th>
<th>Translation of title into German</th>
</tr>
</thead>
<tbody>
<tr>
<td>INSTANT WATER</td>
<td>EAU INSTANTANÉE</td>
<td>INSTANT-WASSER</td>
</tr>
</tbody>
</table>

**Figure 13:** Request PDF: general data in form header

**Figure 14:** Request PDF: title of invention in English, French and German
5.3.2 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 (i.e. the language is not English, German or French). If all applicant(s) fulfil the conditions of both Article 14(4) EPC and Rule 6(4) EPC, they can opt for the Declaration under Rule 6(4).

Please refer to the Online Filing User Guide Version 5.12 for more details on the effect of the language settings.

![Figure 15: Request GUI: procedural language French, admissible language Italian](image)

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 (use upper case letters)
(11) Translation (of title of invention) into German (use upper case letters)
(12) Translation (of title of invention) into English (use upper case letters)
(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 fulfil the conditions of Rule 6(4) EPC and therefore wish to apply fee reductions; for details see Names – Example 3: Two applicants with Rule 6(4) declaration, first applicant represented by authorised employee (p. 43).

![XML code](image)

Figure 16: Request XML: filing office FR, procedural language FR and language of filing IT
5 Form EP(1001E2K) – Request for grant of a European patent (EPC 2000)

PDF ep-request.pdf

Requête en délivrance d'un brevet européen

<table>
<thead>
<tr>
<th>Cadre réservé à l'administration</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Numéro de la demande :</td>
</tr>
<tr>
<td>2 Date de réception (règle 35(2)) :</td>
</tr>
<tr>
<td>3 Date de réception à l'OE2 (règle 35(4)) :</td>
</tr>
<tr>
<td>4 Date de dépôt :</td>
</tr>
</tbody>
</table>

5 Il est demandé la délivrance d'un brevet européen et, conformément à l'article 94, l'examen de la demande

- 3

Réquête en examen dans une langue non officielle autorisée :

- 4

5.1 Le demandeur renonce à être invité, conformément à la règle 70(2), à déclarer si il souhaite maintenir sa demande

- 6

Langue de la procédure :

- fr

Description et/ou revendications déposée(s) en :

- it

6 Référence du demandeur ou du mandataire :

- 1001-req-IT/FR

Office de dépôt :

- FR

Demandeur(s)

14.1 Le/Chaque demandeur déclare par la présente être une entité ou une personne physique au sens de la règle 8(4) CBE

- 5

Figure 17: Request PDF in French: general data

[...]

24 Titre de l’invention

<table>
<thead>
<tr>
<th>Titre de l’invention :</th>
</tr>
</thead>
<tbody>
<tr>
<td>EAU INSTANTANÉE</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Traduction du titre en allemand :</th>
</tr>
</thead>
<tbody>
<tr>
<td>INSTANT-WASSER</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Traduction du titre en anglais :</th>
</tr>
</thead>
<tbody>
<tr>
<td>INSTANT WATER</td>
</tr>
</tbody>
</table>

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.
7. Request to copy sequence listing from parent application for search purposes: if present, 
<ep-declaration-and-request-on-sequence-listing-of-earlier-application/> is an empty element.
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 (see "EP(1001E2K) – Fee Payment" p. 85). Only one fee for a divisional application can be selected.

PDF ep-request.pdf

PDF ep-request.pdf: Nucleotide and amino acid sequences

Figure 20: Request XML: divisional application

Figure 21: Request PDF: divisional application

Figure 22: Request PDF: Nucleotide and amino acid sequences
5.3.4 Reference is made to a previously filed application GUI EP(1001E2K), Reference tab

![Request GUI: reference to an Art. 61(1)(b) application and previously filed application](image)

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

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE ep-request SYSTEM "ep-request-1.10.dtd">
<ep-request lang="en" dtd-version="1.0" produced-by="applicant" re="EP" date-produced="20130820 15:25:33">  
  <software-name xOLF=>
  <software-version FM/MEGBT 100, EP20005110, FM_FOP0205-->
  <stylesheet-version 1.0>
  <ep-version Version 0.20.6-->
  <file-reference-id>1001_reference</file-reference-id>
  <request-petition>  
    Grant of European patent, and examination of the application under Article 94, are hereby requested.
  </request-petition>
  <invention-title lang="en">Instant water</invention-title>
  <invention-title lang="fr">Eau instantanée & n°233</invention-title>
  <invention-title lang="de">Instant-Wasser</invention-title>
  <document-previous-filing-language en" data-previous-filing-date="20050408" ep-document-type="patent" replaces-claims="no" contains-sequential-listing="no" is-also-priority="no">
    <document-id lang="en">
      <country>EP</country>
      <doc-number>09000123.1</doc-number>
    </document-id>
    <figure-to-pubish>
      <ep-language-of-filling lang-code="en" ep-language-of-filling>
        <ep-office-specific-data-office="EP" lang="en">
          <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
            <ep-art61-app=09000123.1 ep-art61-app=
              <ep-declarations>
                <ep-electronic-files doc-type="1001" ep-electronic-files doc-type="SPECEPO">
                  <ep-financial-data cancelation=EUR fee-amounts-unlocked-by-user="no">
                    <ep-office-specific-data>
                      <ep-request/>
                    </ep-office-specific-data>
                  </ep-financial-data>
                </ep-electronic-files>
              </ep-declarations>
            </ep-art61-app=
          </ep-designated-states>
        </ep-office-specific-data-office>
      </ep-language-of-filling>
    </figure-to-pubish>
  </document-previous-filing-language>
</ep-request>
```

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

PDF ep-request.pdf

Figure 25: Request PDF: Reference to an Art. 61(1)(b) application
5.3.5 Reference to a previous international application with request of re-establishment of rights

GUI EP(1001E2K), Reference tab

Figure 26: 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 (selected in **Documents** tab)

(19) Filing language of previous application (selected in **Request** sub-tab)

**XML ep-request.xml**

```
<request>
  <request-re-establishment>
    <country>IT</country>
    <doc-number>TO 2012 A 123456</doc-number>
  </request-re-establishment>
  <request-re-establishment>
    <country>IT</country>
    <doc-number>TO 2012 A 800789</doc-number>
  </request-re-establishment>
  <request-re-establishment>
    <country>IT</country>
    <doc-number>TO 2012 A 123456</doc-number>
  </request-re-establishment>
  <declaration-translation-filed-later/>
  <ep-declarations/>
  <ep-electronic-files doc-type="1001"/>
  <ep-electronic-files doc-type="SPEEPO"/>
  <ep-electronic-files doc-type="REESGROUNDS"/>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no"/>
</request>
```

*Figure 27: Request XML: reference to previously filed priority application, re-establishment of rights requested*
25 Declaration of priority (Rule 52)

A declaration of priority is hereby made for the following applications

<table>
<thead>
<tr>
<th>State</th>
<th>Filing date</th>
<th>Kind</th>
<th>Application number</th>
<th>Search results under Rule 141(1) are attached</th>
</tr>
</thead>
<tbody>
<tr>
<td>IT</td>
<td>25.11.2012</td>
<td>ap</td>
<td>TO 2012 A 800789</td>
<td></td>
</tr>
<tr>
<td>IT</td>
<td>27.06.2012</td>
<td>ap</td>
<td>TO 2012 A 123456</td>
<td></td>
</tr>
</tbody>
</table>

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:

<table>
<thead>
<tr>
<th>ITTO 2012 A 123456</th>
</tr>
</thead>
</table>

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))

<table>
<thead>
<tr>
<th>State</th>
<th>Filing date</th>
<th>Kind</th>
<th>Application number</th>
</tr>
</thead>
<tbody>
<tr>
<td>IT</td>
<td>27.06.2012</td>
<td>ap</td>
<td>TO 2012 A 123456</td>
</tr>
</tbody>
</table>

26.2 The reference to the previously filed application also replaces the claims (Rule 57(3))

26.3 A certified copy of the previously filed application (Rule 40(3))

26.4 A translation of the previously filed application (Rule 40(3))

27 Divisional application

28 Article 61(1)(b) application

29 Claims

Number of claims: 25

29.1 as attached

29.2 as in the previously filed application (see Section 26.4)

29.3 The claims will be filed later

Figure 28: Request PDF: declaration of priority, reference to previously filed application
5.4 EP(1001E2K) – Names

The **Names** tab 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. For details, see Names – Example 1: Applicant is natural person and also inventor (p. 36).

5.4.1 Applicant is natural person and also inventor

GUI EP(1001E2K), Names tab

![Names GUI: applicant is natural person and also inventor](image-url)

*Figure 29: 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: does not appear in GUI and PDF, but element still exists in XML
(6) Company
(7) Department
(8) Country
(9) Address / street
(10) P.O. box number
(11) Postal code
(12) City
(13) Region - only applicable to US (US states), GB (GB counties) and other countries with states or regions (Australia, Canada)
(14) Telephone
(15) Fax
(16) E-mail
(17) Nationality
(18) Residence
(19) Address for correspondence: if selected, no representative can be added, but a separate address for correspondence (if different from applicant's address)
(20) Applicant is also inventor: if selected, inventor's address in the PDF form is copied from applicant's address
XML ep-request.xml

```xml
<xml version="1.0" encoding="UTF-8">
<doctype ep-request SYSTEM "ep-request-v1-12.dtd">
<ep-request lang="en" dtd-version="1.0" produced-by="applicant" re="EP" data-produced="20141103 14:56:41">
<software_name>XMLF</software_name>
<file-reference>1001_app.xml</file-reference>
<file-reference>1001_app.id</file-reference>
<file-reference id=1001_app.xml id-ref=1001_app.id>
<request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested.</request-petition>
<invention-title lang="en">Instant water</invention-title>
<invention-title lang="fr">Eau instantanée</invention-title>
<invention-title lang="de">Instant-Wasser</invention-title>
<applicants>
    <applicant sequence="1" designation="as-indicated" app-type="applicant-inventor">
        <applicant name="Marzoni">
            <family name="Marzoni">
                <given name="Marzoni">
                    <name>Marzoni</name>
                </given name>
            </family name>
            <individual name="Marzoni">
                <given name="Salvatore">
                    <name>Salvatore</name>
                </given name>
                <family name="Borghese">
                    <name>Borghese</name>
                </family name>
            </individual name>
        </applicant name="Marzoni">
    </applicant>
    <applicant name="Manzoni">
        <family name="Manzoni">
            <given name="Manzoni">
                <name>Manzoni</name>
            </given name>
        </family name>
    </applicant>
</applicants>
</xml>
```

Figure 30: Names XML: applicant is also inventor
PDF ep-request.pdf

Figure 31: Names PDF: applicant's address

Figure 32: Names PDF: Inventor 1
5.4.2 Two applicants, two representatives, one inventor

The structure of the names data is basically the same for all persons and is described above in Names – Example 1: Applicant is natural person and also inventor (p. 36) for the applicant. There are further options for representatives.

GUI EP(1001E2K), Names tab: Representative 1

![GUI EP(1001E2K), Names tab: Representative 1]

*Figure 33: Names GUI: representative 1*

GUI EP(1001E2K), Names tab: Authorisation of Representative 1

![GUI EP(1001E2K), Names tab: Authorisation of Representative 1]

*Figure 34: Names GUI: authorisation of representative 1*
GUI EP(1001E2K), Names tab: Representative 2

Figure 35: Names GUI: representative 2, authorised representative

GUI EP(1001E2K), Names tab: Authorisation of Representative 2

Figure 36: Names GUI: authorisation of representative 2

Element list

1. Applicant 1
2. Applicant 2 (n applicants possible)
3. Inventor 1 (n inventors possible)
4. Representative 1
5. Representative 1 is a legal person
6. Type of authorisation of representative 1
7. General authorisation number of representative 1
8. Association number of representative 1
9. `<first-name/>` is empty for legal persons
10. Representative 2 (n representatives possible)
11. Representative 2 is an authorised representative (natural person)
12. Type of authorisation of representative 2
13. Address of representative 2 is same as for representative 1: if selected, data in XML is copied 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 Names – Example 1: Applicant is natural person and also inventor (p. 36) above.

**XML ep-request.xml**

```
<parties>
  <applicants>
    <applicant sequence="1" designation="as-indicated" app-type="applicant">
      ...
    </applicant>
  </applicants>
  <inventors>
    <ep-inventor sequence="1" designation="as-indicated" deceased="no" inv-rights="successor">
      ...
    </ep-inventor>
  </inventors>
  <agents>
    <ep-agent rep-type="common-representative" sequence="1" ep-authorisation="registered">
      ...
    </ep-agent>
  </agents>
</parties>
```

Figure 37: Names XML: attributes for inventor, address for second representative
### Figure 38: Names PDF: representative 1 and representative 2 with authorisation

| Representative 1 | Name: IP Partners  
|                 | Department: European Patents  
|                 | Association No.: 125  
| Address of place of business: P.O. Box 5088  
| Cambridge Science Park  
| 100 Red Lion Square  
| Cambridge Cambridgeshire CB2 1AB  
| United Kingdom  
| Telephone: +44 1223 35160  
| Fax: +44 1223 351690  
| E-mail: office@ip-partners.co.uk  
| A general authorisation has been registered under No: 102356  
| Representative 2 | Name: Kilburn, Mr. David  
| Same address as Representative 1  
| Telephone: +44 1223 351689  
| E-mail: kilburn@ip-partners.co.uk  
| An individual authorisation is attached.  
| Inventor(s)  
| Inventor details filed separately  

Note: The authorisation numbers and addresses are placeholders and should be replaced with actual information.
5.4.3 Two applicants with Rule 6(4) declaration, first applicant represented by authorised employee

GUI EP(1001E2K), Names tab

![Image of GUI showing names input fields]

Figure 39: Names GUI: applicant represented by employee (Article 133(3) EPC)

Element list

1. Applicant 1: legal person
2. Principal place of business is in an EPC contracting state
3. Applicant 2: natural person
4. Nationality of an EPC contracting state
5. Residence in an EPC contracting state
6. Applicant 1: employee acting pursuant to Art. 133(3) EPC
   - If an employee acts as representative, no further representative can be added.
7. Last name
8. First name
9. Title
10. General authorisation number
11. Filing language in an admissible non-official EPO language
12. Language of request for examination in an admissible non-official EPO language
(13) Declaration under Rule 6(4) activated

XML ep-request.xml

```
14   <applicants>
15     <applicant sequence="1" designation="as-indicated" app-type="applicant">
16       <addressbook lang="en">
17         <nationality>
18           <country>N</country>
19         </nationality>
20         <residence/>
21       </addressbook>
22       <applicant sequence="2" designation="as-indicated" app-type="applicant">
23         <addressbook lang="en">
24           <nationality>
25             <country>IT</country>
26           </nationality>
27           <residence/>
28         </addressbook>
29       </applicant>
30       <applicant sequence="1" app-type="employee" designation="as-indicated">
31         <addressbook lang="en">
32           <prefix>M</prefix>
33           <last-name>Mercur</last-name>
34           <first-name>Jeann-M"e</first-name>
35           <id>23-79230</id>
36         </addressbook>
37         <nationality/>
38         <residence/>
39       </applicant>
40     </applicants>
41  </request>
```

Figure 40: Names XML: employee representing applicant
**PDF ep-request.pdf**

5 Grant of European patent, and examination of the application under Article 94, are hereby requested.

5.1 The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 16(2))

<table>
<thead>
<tr>
<th>Procedural language:</th>
<th>en</th>
<th>31</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description and/or claims filed in:</td>
<td>it</td>
<td>2</td>
</tr>
</tbody>
</table>

6 Applicant(s) or representative's reference

| Name | 1001_employee |

7-1 Applicant 1

<table>
<thead>
<tr>
<th>Name</th>
<th>Nanoswiss</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department</td>
<td>Nanotechnology</td>
</tr>
</tbody>
</table>
| Address | P.O. Box 560
245, Route du Wéodrome
1228 Genève
Switzerland |

16-1 State of residence or of principal place of business: Switzerland

---

**Figure 41:** Names PDF: Request for examination and filing in Italian, Applicant 1 with principal place of business in an EPC contracting state

[...]

7-2

<table>
<thead>
<tr>
<th>Name</th>
<th>Manoni, Mr. Salvatore</th>
</tr>
</thead>
<tbody>
<tr>
<td>Company</td>
<td>Borghese S.A.</td>
</tr>
<tr>
<td>Department</td>
<td>Invenzioni</td>
</tr>
</tbody>
</table>
| Address | Via Roma 8
20100 Milano
Italy |
| Telephone | +39 2 5056 10 |
| Fax | +39 2 5056 89 |
| E-mail | manoni@borghese.it |

8-2

<table>
<thead>
<tr>
<th>Country of nationality:</th>
<th>Italy</th>
</tr>
</thead>
<tbody>
<tr>
<td>State of residence or of principal place of business:</td>
<td>Italy</td>
</tr>
</tbody>
</table>

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

Representative:

21-

| General authorisation has been registered under No. | 23-78990 |

---

**Figure 42:** Names PDF: Applicant 2 is national and resident of an EPC contracting state, declaration under Rule 6(4) EPC

[...]
5 Form EP(1001E2K) – Request for grant of a European patent (EPC 2000)

Figure 43: Names PDF: reference to attached general authorisation, name of authorised employee

5.4.4 GUI EP(1001E2K), Names tab: Inventor with waivers under Rule 19(3) and Rule 20(1) EPC

Figure 44: Names GUI: inventor with waivers under Rule 19(3) and Rule 20(1) EPC
GUI EP(1001E2K), Names tab: Deceased inventor

![Names GUI: deceased inventor](image)

**Element list**

1. Inventor 1
2. The applicant has acquired the right to the European patent under an agreement.
3. Date of the agreement
4. Inventor 2
5. The applicant has acquired the right to the European patent under an agreement.
6. Date of the agreement
7. Inventor 3
8. **Waiver by inventor of notification of information under Rule 19(3)** for Inventor 3: The signed waiver must be attached as an additional document (SignEPR193NP.pdf) to take effect. The internal EPR193-NP-3.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. The letters NP in the file names indicates that this is a non-public document, relating to Inventor 3 as a non-public inventor.
9. **Waiver by inventor of his right to be mentioned under Rule 20(1)** for Inventor 3: The signed waiver must be attached as an additional document (Signed-EPR201.pdf) to take effect. The internal EPR201-3.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.
10. The applicant has acquired the right to the European patent as employer of the inventor
11. Inventor 4
12. The applicant has acquired the right to the European patent as employer of the inventor (13) Inventor 5
13. **Inventor 5 is deceased**
14. The applicant has acquired the right to the European patent as successor in title
Address elements of deceased inventor are empty, except `<country>` which is mandatory. Waiver under Rule 19(3) attached as `SignEPR193NP.pdf`.

Waiver under Rule 20(1) for Inventor 3 attached as `Signed-EPR201.pdf`.

Designation of public inventors: EPO file name `f1002-1.pdf`.

Designation of non-public inventors: EPO file name `f1002-2.pdf`.

The extra forms concerning the non-public inventor are referenced. See Additional documents (p. 82) for an example with the corresponding PDF files.

**XML ep-request.xml**

![XML ep-request.xml diagram](image)

**Figure 46: Names XML: inventors, inventor waivers**
**PDF ep-request.pdf**

Inventor(s)

23 Inventor data is filed separately

Figure 47: Names PDF: Inventor

**PDF F1002-1.pdf: Designation of inventor, public**

<table>
<thead>
<tr>
<th>Form 1002 - 1: Public inventor(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Designation of inventor</strong></td>
</tr>
<tr>
<td>User reference: 1001_inventors</td>
</tr>
<tr>
<td>Application No:</td>
</tr>
</tbody>
</table>

Public

1 **Inventor**

| Name: Coraïlos, Mr José          |
| Company: Coraïlos LTD            |
| Address: 45 E Calle del Sol      |
| 12468 Lisboa                     |
| Portugal                         |

The applicant has acquired the right to the European patent: Under agreement: 23 September 2014

2 **Inventor**

| Name: Martin, M. Jaques          |
| Company:                         |
| Address: P.O. Box 5678            |
| chemin des lavandes, 267          |
| 45010 Marseille                   |
| France                            |

The applicant has acquired the right to the European patent: Under agreement: 26 November 2013

3 **Inventor**

| Name: Bellecoeur, M. Pierre       |
| Company: TechInvant SA            |
| Department: Nanotechnologie       |
| Address: 52, quai de corse         |
| 45002 Marseille                    |
| France                            |

The applicant has acquired the right to the European patent: As employer

4 **Inventor**

| Name: Lavail, Mr. Bertrand        |
| Country: France                   |

The applicant has acquired the right to the European patent: As successor in title

Figure 48: PDF: Designation of inventor
5.5 EP(1001E2K) – States

The **States** tab 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, extension states and validation states see the EPO website at **About us > European Patent Organisation > Member states** (http://www.epo.org/about-us/organisation/member-states.html). The EPC contracting states include all overseas departments and territories.
5.5.1 Designation – Example 1: All states designated

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

Figure 50: 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`.

Figure 51: States XML: designation of all contracting states to the EPC
5.5.2 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.

### Applicant 1 - Individually selected states designated

<table>
<thead>
<tr>
<th>Designation</th>
<th>Extension</th>
<th>Validation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Different designations for different applicants</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- AL Albania
- AT Austria
- BE Belgium
- BG Bulgaria
- CH Switzerland/Liechtenstein
- CY Cyprus
- CZ Czech Republic
- DE Germany
- DK Denmark
- EE Estonia
- ES Spain
- FI Finland
- FR France
- GB United Kingdom
- GR Greece
- HR Croatia
- HU Hungary
- IE Ireland
- IS Iceland
- IT Italy
- LT Lithuania
- LU Luxembourg
- LV Latvia
- MC Monaco
- MK North Macedonia
- ML Malta
- NL Netherlands
- NO Norway
- PL Poland
- PT Portugal
- RO Romania
- SI Slovenia
- SK Slovakia
- SM San Marino
- TR Turkey

Figure 52: States PDF: designation of contracting states

Figure 53: States GUI: designations for applicant 1
Applicant 2- All states designated

Figure 54: States GUI: designations for applicant 2

Element list
(1) Different designations for different applicants: must be selected 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

Figure 55: 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.

![XML XML ep-request.xml](image)

Figure 56: States XML: all designations for applicant 2 and applicant 1
5.5.3 All extension states and no validation states selected

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

![Figure 57: States GUI: selecting states with extension agreements](image)

**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**

If no extension states are selected, the `<extension-states/>` element must be empty. In the example below, there are no validation states, indicated by the empty `<validation-states/>` element.

```
<extension-states>
  <country>EP</country>
  <country>BA</country>
  <country>ME</country>
<validation-states/>
</extension-states>
```

![Figure 58: States XML: extension states for EP](image)

**PDF ep-request.pdf**

```
33 Extension/Validation

1 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 with which extension or validation agreements are in force on the date on which the application is 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.

33.1 It is intended to pay the extension fee(s) for the following state(s):

33.2 It is intended to pay the validation fee(s) for the following state(s):

   BA ME
```

![Figure 59: States PDF: extension states](image)
5.5.4 All validation states and no extension states selected

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

![States GUI: validation states selected](image)

**Element list**

(1) This application is deemed to be a request to extend the effects of the European patent application ...

(2) Validation state selected: specific `<country>` element

(3) Validation state selected: specific `<country>` element

**XML ep-request.xml**

If no validation states are selected, the `<validation-states/>` element must be empty. In the example below, there are no extension states, indicated by the empty `<extension-states/>` element.

![States XML: validation states specified](image)

**PDF ep-request.pdf**

![States PDF: validation states](image)
5.6 EP(1001E2K) – Priority

The **Priority** tab 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**

Three priorities have been entered: national, regional and international. The sample screens show the national priority with the translation option selected and the regional priority with the **re-establishment of rights** option selected. 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**

![Figure 63: Priority GUI: national priority with translation option](image)

**Regional priority**
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) Request for retrieval of priority document from DAS
(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

```
<parties>
  <priority-claims>
    <ep-priority-claim sequence="1" kind="national" ep-document-type="patent">
      <country>IT</country>
      <doc-number>TO 2011 A234039</doc-number>
      <date>20110909</date>
      <earlier-searches>
        <earlier-search search-type="national" id="ID_1" office="IT" declaration-of-no-search="not-determined">
          <doc-page href="1" type="pdf" wi="1" file="PRSR-1.pdf"/>
        </earlier-search>
      </earlier-searches>
    </ep-priority-claim>
    <ep-priority-claim sequence="2" kind="regional" ep-document-type="patent">
      <country>EP</country>
      <doc-number>101230001</doc-number>
      <date>20101019</date>
      <earlier-searches>
        <earlier-search search-type="international-type" id="ID_2" office="EP" declaration-of-no-search="not-determined">
          <doc-page href="1" type="pdf" wi="1" file="PRSR-2.pdf"/>
        </earlier-search>
      </earlier-searches>
    </ep-priority-claim>
    <ep-priority-claim sequence="3" kind="international" ep-document-type="patent">
      <country>US</country>
      <doc-number>PCT/US 2011/123456</doc-number>
      <date>20110712</date>
      <earlier-searches>
        <earlier-search search-type="international" id="ID_3" office="US" declaration-of-no-search="not-determined">
          <doc-page href="1" type="pdf" wi="1" file="USR-7.pdf"/>
        </earlier-search>
      </earlier-searches>
    </ep-priority-claim>
  </priority-claims>
</parties>
```

Figure 65: Priority XML: national, regional and international priority

[...]

EPO Online Filing 5.12
Importing data as XML
Figure 66: Priority XML: priority declarations and search results

PDF ep-request.pdf - priorities

Figure 67: Priority PDF: Declaration of priority applications

Figure 68: Priority PDF: Attached search results for priority declarations
5.7 EP(1001E2K) – Biological Material

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

- Depositary institutions (name and address)
- Accession numbers
- References to patent description
- Receipts, authorisations and waivers as attached documents

Sequence listings are attached in the Documents tab, sub-tab Sequence listings.

5.7.1 Deposit details provided, receipt and authorisation to be filed later

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

Figure 69: Biological Material GUI: details for deposit 1

Further details sub-tab
Figure 70: 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 selected, 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 selected, no document can be attached
XML ep-request.xml

```xml
<ep-language-date filing lang-code="ep">en</ep-language-date>
<ep-office-specific data office="EP" lang-code="en">
  <ep-declarations>
    <ep-biological-material id="Bio1" num="CBS" dnum="Bio-123456">
      <cas-datas>
        <address-1>Uppsalaan 8, 3584 CT Utrecht, The Netherlands or P.O. Box 85167, 3508 AD Utrecht, The Netherlands</address-1>
        <country>
          <postcode/>
        </country>
        <country/>
        <country/>
        <country/>
      </cas-datas>
      <bio-access>CBS-908070</bio-access>
      <bio-receipt will-be-filed-late="yes">
        <bio-authentication will-be-filed-late="yes"/>
      </bio-receipt>
      <ep-biological-material-reference>
        <ep-bio-references-page 145-267></ep-bio-references-page>
        <ep-biological-material-reference>
          <bio-other-depositant>Techinvent SA
          34, place de la république
          69008 Lyon
          France</bio-other-depositant>
          <bio-restriction-to-expert/>
          <ep-biological-material/>
        </ep-biological-material-reference>
      </ep-biological-material-reference>
    </ep-biological-material>
  </ep-declarations>
</ep-office-specific data office="EP" lang-code="en">
</ep-language-date>
```

Figure 71: 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 Deposit 1

Identification reference

2 Bio-123456

Depository institution

3 Centraalbureau voor Schimmelcultures (CBS)
Uppsalaaan 8, 3584 CT Utrecht, The Netherlands or P.O. Box 85167, 3508 AD Utrecht, The Netherlands

Accession number

5 CBS-908070

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 deposit are given in the technical documents in the application on:

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

10 will be filed later

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 72: Biological Material PDF: details for deposit 1
5.7.2 Further details, documents attached

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

Figure 73: 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
5 Form EP(1001E2K) – Request for grant of a European patent (EPC 2000)

Figure 74: Biological Material XML: deposit 2, files attached

PDF ep-request.pdf

- Identification reference: EUR-bio-080227
- Depository institution: European Collection of Cell Cultures (ECACC)
- 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.

34.2 The receipt(s) of deposit issued by the depository institution

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)

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

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 75: Biological Material PDF: details for deposit 2
5.8 EP(1001E2K) – Documents

The Documents tab 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.


The list of standard document names required by the EPO can be found in chapter Document codes and file types for EP(1001E2K) (p. 20).

Specification

- Technical document(s) in EPO language (n PDF files)

  EPO language corresponds to the selected procedural language, i.e. English, French or German.

- 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)

Sequence listing

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

- Sequence listing in PDF format

Additional documents

Only PDF files are allowed.

- 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
5.8.1 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.

![Figure 76: Documents GUI: Technical documents in English, claims to be filed later](image)

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 selected and deactivated, because (19) *It is intended to submit claims later* has been selected
(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

Figure 77: 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.

```
<application-body type="ep">  
  <description>  
    <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPEC.EPO-1.pdf" ppf="1" ppl="1" pp="1">  
  </description>  
  <params file="SPEC.EPO-1.pdf">  
    <claim-ref id="1" pp="1" ppf="1" ppl="1">  
      <doc-page id="CLAIM1" he="1" wi="1" type="pdf" file="SPEC.EPO-1.pdf" ppf="1" ppl="1" pp="1">  
      </doc-page>  
    </claim-ref>  
    <draw-ref id="1" pp="1" ppf="1" ppl="1">  
      <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPEC.EPO-1.pdf" ppf="1" ppl="1" pp="1">  
      </doc-page>  
    </draw-ref>  
  </params>  
</application-body>  
```

Figure 78: Documents XML: references in application-body.xml file

PDF ep-request.pdf

```
20. Claims

Number of claims:  
1 as attached  
2 as in the previously filed application (see Section 26.2)  

20. Figures

It is proposed that the abstract be published together with figure No. 3c
```

Figure 79: Documents PDF: claims and figures

Figure 80: Documents PDF: specification file name, parts of technical documents

5.8.2 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 81: 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

```
<doc-page page-id="3" pif="1" pfi="7"/>
<doc-page page-id="4" pif="1" pfi="7"/>
<doc-page page-id="10" pif="1" pfi="4" number-of-claims="25" number-claims-fee-calculation="15"/>
<doc-page page-id="11" pif="1" pfi="7"/>
<doc-page page-id="13" pif="2" pfi="2"/>
<doc-page page-id="1" pif="1" pfi="1" fig-count="2"/>
```

Figure 82: 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.
Figure 83: Documents XML: attached files referenced in the application-body.xml file

PDF ep-request.pdf

Figure 84: Documents PDF: technical documents listed in form
5.8.3 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.

![Image of GUI EP(1001E2K) Documents, Specification sub-tab](image)

*Figure 85: 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
Figure 86: Documents XML: application-body.xml file contains patent specification

Figure 87: Documents XML: application-body.xml file originally produced by PatXML
5.8.4 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 translations into French for both specification file (description, claims and abstract) and drawings file, have also been attached in PDF format.
**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

---

**Figure 90: Documents GUI: Translations into French are specified**

**Table:**

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>EPO file name for specification in non-EPO language</td>
</tr>
<tr>
<td>2</td>
<td>Original file name for technical documents</td>
</tr>
<tr>
<td>3</td>
<td>Number of claims in original document</td>
</tr>
<tr>
<td>4</td>
<td>Number of claims you intend to pay for (including first 15 claims)</td>
</tr>
<tr>
<td>5</td>
<td>EPO file name for translation of 1st attached document containing translation of specification into EPO language</td>
</tr>
<tr>
<td>6</td>
<td>Original file name for translated drawing</td>
</tr>
<tr>
<td>7</td>
<td>EPO file name for translation of 2nd attached document containing translation of specification into EPO language</td>
</tr>
<tr>
<td>8</td>
<td>Original file name for translated specification</td>
</tr>
<tr>
<td>9</td>
<td>EPO file name for drawings in non-EPO language</td>
</tr>
<tr>
<td>10</td>
<td>Original file name for drawings in non-EPO language</td>
</tr>
<tr>
<td>11</td>
<td>Number of figures in drawings in non-EPO language</td>
</tr>
<tr>
<td>12</td>
<td>Figure to be published with abstract in original document</td>
</tr>
<tr>
<td>13</td>
<td>Description</td>
</tr>
<tr>
<td>14</td>
<td>First page of description in translation document</td>
</tr>
<tr>
<td>15</td>
<td>Last page of description in translation document</td>
</tr>
<tr>
<td>16</td>
<td>Claims</td>
</tr>
<tr>
<td>17</td>
<td>First page of claims in translation document</td>
</tr>
<tr>
<td>18</td>
<td>Last page of claims in translation document</td>
</tr>
<tr>
<td>19</td>
<td>Abstract</td>
</tr>
<tr>
<td>20</td>
<td>First page of abstract in translation document</td>
</tr>
<tr>
<td>21</td>
<td>Last page of abstract in translation document</td>
</tr>
<tr>
<td>22</td>
<td>Drawings</td>
</tr>
<tr>
<td>23</td>
<td>First page of drawings in translation document</td>
</tr>
<tr>
<td>24</td>
<td>Last page of drawings in translation document</td>
</tr>
</tbody>
</table>
**XML ep-request.xml**

```xml
<check-list>
  <request/>
  <cl-description page-count="5" pdf="1" ppl="5"/>
  <cl-claims page-count="2" pdf="1" ppl="1" number-of-claims="21" number-claims-fee-calculation="15"/>
  <cl-abstract page-count="1" pdf="8" ppl="5"/>
  <cl-drawings page-count="1" pdf="1" ppl="1" fig-count=""/>
  <check-list>
  <figure-to-publish>
  <fig-number>1</fig-number>
  <ep-language-of-filing lang-code="non-epo">&</ep-language-of-filing>
  <ep-language-of-filing lang-code="translation">&</ep-language-of-filing>
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
  <ep-request-for-exam-art104 lang="it"/>
  <ep-declarations>
  <ep-electronic-files doc-type="1001"/>
  <ep-electronic-files doc-type="DRAWNONEPO">&</ep-electronic-files>
  <ep-office-specific-data currency="EUR" fee-amounts-unlocked-by-user="yes">
  <ep-office-specific-data>
  <check-list>
</check-list>
</figure-to-publish>
</ep-request>
```

**Figure 91: Documents XML: data and file references in ep-request.xml file**

**XML application-body.xml**

```xml
<?xml version="1.0" encoding="UTF-8"?>
<ep-application-body SYSTEM "application-body-v1.6.dtd">
  <ep-application-body lang="it" dtd-version="1.6" country="EP">
  <claim>
  <doc-page id="CLMS1" he="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" pdf="1" ppl="5" pp="5"/>
  </claim>
  <abstract>
  <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" pdf="8" ppl="8" pp="1"/>
  </abstract>
</ep-application-body>
```

**Figure 92: Documents XML: references to translations into EPO language in application-body.xml file**
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. 80). 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).
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

```xml
<check-list>
  <cl-list>
    <cl-request/>
    <cl-description page-count="5" pff="1" ppg="15"/>
    <cl-claims page-count="3" pff="6" ppg="3" number-of-claims="25"/>
    <cl-abstract page-count="14" pff="1" ppg="1"/>
    <cl-sequence-listing-quantity="0"/>
  </cl-list>
</check-list>
```

PDF ep-request.pdf

Figure 95: Documents XML: sequence listing referenced in ep-request.xml file

Figure 96: Documents PDF: the type of sequence listing is indicated

[...]
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.

**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
Figure 99: Documents XML: sequence listing PDF file referenced in ep-request.xml file

PDF ep-request.pdf

Figure 100: Documents PDF: the type of sequence listing is indicated

[...]

Figure 101: 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 102: Documents GUI: additional documents attached](image)

**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
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**

![Table of other documents listed in form with original file names](https://via.placeholder.com/150)

*Figure 103: Document PDF: other documents listed in form with original file names*

**XML ep-request.xml**
Figure 104: Documents XML: data for additional documents in ep-request.xml file
5.9 EP(1001E2K) – Fee Payment

The Fee Payment tab 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.

You can retrieve the most recent fee schedule in the Online Filing File Manager under Tools > Fee Management or from the EPO website under 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.

![Fee Payment GUI: payment details](image)

Figure 105: Fee Payment GUI: payment details

Element list

(1) Mode of payment
(2) Currency: default is EUR
(3) EPO account number
Form EP(1001E2K) – Request for grant of a European patent (EPC 2000)

(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 `acceso` 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).

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

```
<ep-office-specific-data data-type="EP" lang="en">
  <ep-declaration>
    <declaration-no-intention-to-file-further-priority/>
    <declaration-of-entity-or-natural-person-under-rule-5-3/>
  </ep-declaration>
  <mode-of-payment accno="28123456" mode-type="deposit" currency="EUR" deferred-execution-date="2014/12/01">
    <reimbursement accno="28123450"/>
  </mode-of-payment>
  <addcopies>
    <addcopy>SR-EP120304</addcopy>
  </addcopies>
</ep-office-specific-data>
```

**Figure 106: Fee Payment XML: payment details in ep-request.xml file**
### PDF ep-request.pdf

**Further indications**

<table>
<thead>
<tr>
<th>39</th>
<th>Additional copies of the documents cited in the European search report are requested</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Number of additional sets of copies: 3 12</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>40</th>
<th>Refund of the search fee under to Article 9 of the Rules relating to Fees is requested</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Application or publication number of earlier search report: SR-EP1120304 10</td>
</tr>
</tbody>
</table>

**42 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 on the fees section below.

<table>
<thead>
<tr>
<th>Currency:</th>
<th>EUR 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Deposit account number:</td>
<td>28123456 3</td>
</tr>
<tr>
<td>Account holder:</td>
<td>Salvatore Manzoni 4</td>
</tr>
<tr>
<td>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)</td>
<td>01.12.2014 5</td>
</tr>
</tbody>
</table>

**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.
- Please ensure that the deferred execution date is within the time limit set for paying the selected fees.
- Please note that any debit orders (standard or deferred execution) can only be revoked until 00.00 hours CET on the date of submission (Arrangements for deposit accounts, 7)

**43 Refunds**

| Any refunds should be made to EPO deposit account: | 28102030 7 |
| Account holder: | Luigi Manzoni 8 |

*Figure 107: Fee Payment PDF; payment details in form*
5.9.2 Standard fee amounts

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

Figure 108: 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. 96)
(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)

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 | </request> |
| 45 | <description page-count="5" ppf="1" ppi="65"/> |
| 46 | <request page-count="2" ppf="5" ppi="7" number-of-claims="20" number-claims-fee-calculation="20"/> |
| 47 | <abstract page-count="1" ppf="8" ppi="8"/> |
| 48 | </check-list> |
| 49 | </figure-to-publish> |
| 52 | <ep-language-offering lang-code="en">en</ep-language-offering> |
| 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="100"> |
| 68 | <ep-electronic-files doc-type="SPECPEPO"> |
| 72 | <ep-financial-data cur="EUR" fee-amounts-unlocked-by-user="no"> |
| 73 | <mode-of-payment account="28123456" mode-type="deposit" currency="EUR" deferred-execution-date="18091230">Salvatore Manzoncino</mode-of-payment> |
| 74 | <fees date="20140401"/> |
| 75 | <standard-fee> |
| 76 | <fee index="1" topay="yes"> |
| 77 | <type-of-fee standard"/> |
| 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> |
| 83 | </fee> |
| 84 | </standard-fee> |
| 118 | <fee index="16" topay="yes"> |
| 119 | <type-of-fee standard"/> |
| 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="16" topay="yes"> |
| 126 | <type-of-fee standard"/> |
| 127 | <fee-factor>0</fee-factor> |
| 128 | <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 | <type-of-fee standard"/> |
| 350 | <fee-factor>0</fee-factor> |
| 351 | <fee-schedule/> |
| 352 | <fee-sub-amount>15</fee-sub-amount> |
| 353 | <fee-reduction-factor>0</fee-reduction-factor> |
| 354 | </fee> |
| 356 | <fee index="522" topay="no"> |
| 363 | <type-of-fee standard"/> |
| 370 | <fee index="554" topay="no"> |
| 377 | <fee index="566" topay="no"> |
| 384 | </standard-fee> |
| 385 | <fee-total-amount>2580</fee-total-amount> |
| 386 | </fees> |
| 387 | <ep-financial-data> |
| 388 | <ep-office-specific-data> |

Figure 109: Fee Payment XML: fees list
5.9.3 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. 25).
In addition, the selection of fees for a divisional application is shown; see also Divisional application (p. 29).

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

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.
### Figure 112: Fee Payment XML: fees list, including reduced fees

<table>
<thead>
<tr>
<th>Line</th>
<th>XML Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>53</td>
<td><code>&lt;ep-language-of-filing lang-code=&quot;non-eqc&quot;&gt;it&lt;/ep-language-of-filing&gt;</code></td>
<td>Language of filing is Italian.</td>
</tr>
<tr>
<td>55</td>
<td><code>&lt;ep-office-specific-data office=&quot;EPO&quot; lang=&quot;en&quot;&gt;</code></td>
<td>Office EPO specific data.</td>
</tr>
<tr>
<td>56</td>
<td><code>&lt;ep-designated-states waiver-communication-and-processing-of-non-designated-states=&quot;no&quot;&gt;</code></td>
<td>Waiver communication and processing of non-designated states is denied.</td>
</tr>
<tr>
<td>57</td>
<td><code>&lt;ep-divisional-appl&gt;</code></td>
<td>Divisional application.</td>
</tr>
<tr>
<td>58</td>
<td><code>&lt;ep-first-communication-raising-lack-of-uniformity&gt;</code></td>
<td>First communication raising lack of uniformity.</td>
</tr>
<tr>
<td>59</td>
<td><code>&lt;ep-divisional-generation generation=&quot;4&quot;/&gt;</code></td>
<td>Generation number of divisional application.</td>
</tr>
<tr>
<td>60</td>
<td><code>&lt;ep-request-for-exam-art94 lang=&quot;it&quot;/&gt;</code></td>
<td>Request for examination article 94.</td>
</tr>
<tr>
<td>61</td>
<td><code>&lt;ep-declarations&gt;</code></td>
<td>Declaration section.</td>
</tr>
<tr>
<td>62</td>
<td><code>&lt;declaration-no-intention-to-file-further-priority/&gt;</code></td>
<td>No intention to file further priority.</td>
</tr>
<tr>
<td>63</td>
<td><code>&lt;declaration-of-entity-or-natural-person-under-rule-6-3/&gt;</code></td>
<td>Declaration of entity or natural person under rule 6-3.</td>
</tr>
<tr>
<td>64</td>
<td><code>&lt;ep-electronic-files doc-type=&quot;100T&quot;&gt;</code></td>
<td>Electronic files document type 100T.</td>
</tr>
<tr>
<td>65</td>
<td><code>&lt;ep-electronic-files doc-type=&quot;SPECNONEPO&quot;&gt;</code></td>
<td>Electronic files document type SPECNONEPO.</td>
</tr>
<tr>
<td>66</td>
<td><code>&lt;mode-of-payment accno=&quot;DE20 7008 0000 0333 982000&quot; mode-type=&quot;bank&quot; currency=&quot;EUR&quot;&gt;DE&lt;/mode-of-payment&gt;</code></td>
<td>Mode of payment with specific details.</td>
</tr>
<tr>
<td>67</td>
<td><code>&lt;fee-index=&quot;1&quot; topay=&quot;yes&quot;&gt;</code></td>
<td>Fee index 1, payable.</td>
</tr>
<tr>
<td>68</td>
<td><code>&lt;type-of-fee standard/&gt;</code></td>
<td>Type of fee is standard.</td>
</tr>
<tr>
<td>69</td>
<td><code>&lt;fee-factor=0.7/&gt;</code></td>
<td>Fee factor is 0.7.</td>
</tr>
<tr>
<td>70</td>
<td><code>&lt;fee-schedule=8/&gt;</code></td>
<td>Fee schedule is 8.</td>
</tr>
<tr>
<td>71</td>
<td><code>&lt;fee-sub-amount=120/&gt;</code></td>
<td>Fee sub-amount is 120.</td>
</tr>
<tr>
<td>72</td>
<td><code>&lt;fee-reduction-factor=0.3/&gt;</code></td>
<td>Fee reduction factor is 0.3.</td>
</tr>
<tr>
<td>73</td>
<td><code>&lt;/fee&gt;</code></td>
<td>End of fee element.</td>
</tr>
<tr>
<td>74</td>
<td><code>&lt;fee-index=&quot;2&quot; topay=&quot;yes&quot;&gt;</code></td>
<td>Fee index 2, payable.</td>
</tr>
<tr>
<td>75</td>
<td><code>&lt;type-of-fee standard/&gt;</code></td>
<td>Type of fee is standard.</td>
</tr>
<tr>
<td>76</td>
<td><code>&lt;fee-factor=1/&gt;</code></td>
<td>Fee factor is 1.</td>
</tr>
<tr>
<td>77</td>
<td><code>&lt;fee-schedule=165/&gt;</code></td>
<td>Fee schedule is 165.</td>
</tr>
<tr>
<td>78</td>
<td><code>&lt;fee-sub-amount=455/&gt;</code></td>
<td>Fee sub-amount is 455.</td>
</tr>
<tr>
<td>79</td>
<td><code>&lt;fee-reduction-factor=0.1/&gt;</code></td>
<td>Fee reduction factor is 0.1.</td>
</tr>
<tr>
<td>80</td>
<td><code>&lt;/fee&gt;</code></td>
<td>End of fee element.</td>
</tr>
<tr>
<td>81</td>
<td><code>&lt;fee-index=&quot;33&quot; topay=&quot;yes&quot;&gt;</code></td>
<td>Fee index 33, payable.</td>
</tr>
<tr>
<td>82</td>
<td><code>&lt;type-of-fee standard/&gt;</code></td>
<td>Type of fee is standard.</td>
</tr>
<tr>
<td>83</td>
<td><code>&lt;fee-factor=1/&gt;</code></td>
<td>Fee factor is 1.</td>
</tr>
<tr>
<td>84</td>
<td><code>&lt;fee-schedule=465/&gt;</code></td>
<td>Fee schedule is 465.</td>
</tr>
<tr>
<td>85</td>
<td><code>&lt;fee-sub-amount=495/&gt;</code></td>
<td>Fee sub-amount is 495.</td>
</tr>
<tr>
<td>86</td>
<td><code>&lt;fee-reduction-factor=0.1/&gt;</code></td>
<td>Fee reduction factor is 0.1.</td>
</tr>
<tr>
<td>87</td>
<td><code>&lt;/fee&gt;</code></td>
<td>End of fee element.</td>
</tr>
<tr>
<td>88</td>
<td><code>&lt;fee-index=&quot;501&quot; topay=&quot;yes&quot;&gt;</code></td>
<td>Fee index 501, payable.</td>
</tr>
<tr>
<td>89</td>
<td><code>&lt;type-of-fee standard/&gt;</code></td>
<td>Type of fee is standard.</td>
</tr>
<tr>
<td>90</td>
<td><code>&lt;fee-factor=0/&gt;</code></td>
<td>Fee factor is 0.</td>
</tr>
<tr>
<td>91</td>
<td><code>&lt;fee-schedule=0/&gt;</code></td>
<td>Fee schedule is 0.</td>
</tr>
<tr>
<td>92</td>
<td><code>&lt;fee-sub-amount=15/&gt;</code></td>
<td>Fee sub-amount is 15.</td>
</tr>
<tr>
<td>93</td>
<td><code>&lt;fee-reduction-factor=0.3/&gt;</code></td>
<td>Fee reduction factor is 0.3.</td>
</tr>
<tr>
<td>94</td>
<td><code>&lt;/fee&gt;</code></td>
<td>End of fee element.</td>
</tr>
<tr>
<td>95</td>
<td><code>&lt;fee-index=&quot;552&quot; topay=&quot;no&quot;&gt;</code></td>
<td>Fee index 552, non-payable.</td>
</tr>
<tr>
<td>96</td>
<td><code>&lt;fee-index=&quot;553&quot; topay=&quot;no&quot;&gt;</code></td>
<td>Fee index 553, non-payable.</td>
</tr>
<tr>
<td>97</td>
<td><code>&lt;fee-index=&quot;554&quot; topay=&quot;yes&quot;&gt;</code></td>
<td>Fee index 554, payable.</td>
</tr>
<tr>
<td>98</td>
<td><code>&lt;type-of-fee standard/&gt;</code></td>
<td>Type of fee is standard.</td>
</tr>
<tr>
<td>99</td>
<td><code>&lt;fee-factor=0.7/&gt;</code></td>
<td>Fee factor is 0.7.</td>
</tr>
<tr>
<td>100</td>
<td><code>&lt;fee-schedule=441/&gt;</code></td>
<td>Fee schedule is 441.</td>
</tr>
<tr>
<td>101</td>
<td><code>&lt;fee-sub-amount=830/&gt;</code></td>
<td>Fee sub-amount is 830.</td>
</tr>
<tr>
<td>102</td>
<td><code>&lt;fee-reduction-factor=0.3/&gt;</code></td>
<td>Fee reduction factor is 0.3.</td>
</tr>
<tr>
<td>103</td>
<td><code>&lt;/fee&gt;</code></td>
<td>End of fee element.</td>
</tr>
<tr>
<td>104</td>
<td><code>&lt;fee-index=&quot;555&quot; topay=&quot;no&quot;&gt;</code></td>
<td>Fee index 555, non-payable.</td>
</tr>
<tr>
<td>105</td>
<td><code>&lt;standard-fee&gt;</code></td>
<td>Standard fee section.</td>
</tr>
<tr>
<td>106</td>
<td><code>&lt;fee-total-amount=2275/&gt;</code></td>
<td>Total amount of fees is 2275.</td>
</tr>
<tr>
<td>107</td>
<td><code>&lt;/fees&gt;</code></td>
<td>End of fees section.</td>
</tr>
<tr>
<td>109</td>
<td><code>&lt;/ep-office-specific-data&gt;</code></td>
<td>Office specific data section end.</td>
</tr>
</tbody>
</table>

PDF ep-request.pdf
Figure 113: Names XML: Declaration under Rule 6(4) is selected

Figure 114: 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.

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

Figure 115: 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.

![XML code after importing: the fee information and all fee codes are completed](image)

### 5.9.5 Unlocking fee amounts or automatic correction by the EPO

If a user wants to edit fee amounts manually, he selects 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 tab in EP(1001E2K) can be used to send additional information to the EPO. The number of annotations is unlimited.

GUI EP(1001E2K) Annotations

![Annotations GUI: note to EPO entered](image)

Figure 117: 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

```xml
<ep-financial-data currm="EUR" fee-amounts-unlocked-by-user="no">
  <ep-notes-to-EPO page="Annotate" id="note1">
    <author>Salvatore Manzoni</author>
    <subject>Account information</subject>
    <date>27/0003</date>
    <text>Payment details may be modified at a later date, since we are going to shift the account with the EPO to my successor, Luigi Manzoni.</text>
  </ep-notes-to-EPO>

  <ep-notes-to-EPO page="Annotate" id="note2">
    <author>Luigi Manzoni</author>
    <subject>General Authorisation</subject>
    <date>27/0030</date>
    <text>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.</text>
  </ep-notes-to-EPO>
</ep-financial-data>
```

Figure 118: Annotations XML: note to EPO

PDF ep-request.pdf

Figure 119: 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:

<table>
<thead>
<tr>
<th>File name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader.dtd</td>
<td>Indicates selected procedure and other data for transmission to receiving office.</td>
</tr>
<tr>
<td>package-data.xml</td>
<td>package-data.dtd</td>
<td>References attached documents, except those already referenced in application-body.xml file.</td>
</tr>
<tr>
<td>application-body.xml</td>
<td>application-body-v1-7.dtd</td>
<td>References attached documents as part of patent specification (amendments or translations of technical documents).</td>
</tr>
<tr>
<td>ep-euro-pct.xml</td>
<td>ep-euro-pct-v1-13.dtd</td>
<td>Application data as entered in Form Euro-PCT(1200E2K), references other attached documents.</td>
</tr>
</tbody>
</table>

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. 15) and References from XML files to other files (p. 16).

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.

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Document code</td>
<td>EPO file name *)</td>
<td>Description</td>
</tr>
<tr>
<td>-------------------</td>
<td>-----------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>APPBODYXML</td>
<td>application-body.xml</td>
<td>Application body, see Structure of XML files for Euro-PCT(1200E2K) (p. 99)</td>
</tr>
<tr>
<td>APPMERGEXML</td>
<td>result-filing.xml</td>
<td>Package</td>
</tr>
<tr>
<td>BIODEPXML</td>
<td></td>
<td>Biology</td>
</tr>
<tr>
<td>EP1200XML</td>
<td>ep-euro-pct.xml</td>
<td>Application data, see Structure of XML files for Euro-PCT(1200E2K) (p. 99)</td>
</tr>
<tr>
<td>HEADERXML</td>
<td>pkgheader.xml</td>
<td>Package</td>
</tr>
<tr>
<td>PACKDATAXML</td>
<td>package-data.xml</td>
<td>Package</td>
</tr>
<tr>
<td>RECXML</td>
<td>xmit-receipt.xml</td>
<td>Receipt in XML format</td>
</tr>
<tr>
<td>ADDRESSXML</td>
<td>address-matching.xml</td>
<td>Address</td>
</tr>
</tbody>
</table>

### Amplifications

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AMSPECCEPO</td>
<td>AMSPECCEPO-1.pdf</td>
<td>Amended specification (contains at least description and abstract)</td>
</tr>
<tr>
<td>CLMS-HWA</td>
<td>CLMS-HWA-1.pdf</td>
<td>Amended claims with annotations</td>
</tr>
<tr>
<td>DESC-HWA</td>
<td>DESC-HWA.pdf</td>
<td>Amended description with annotations</td>
</tr>
<tr>
<td>DRAW-HWA</td>
<td>DRAW-HWA-1.pdf</td>
<td>Amended drawings with annotations</td>
</tr>
</tbody>
</table>

### Translations

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SPECTRANEPO</td>
<td>SPECTRANEPO-1.pdf</td>
<td>Translation of international application (contains at least description and abstract)</td>
</tr>
<tr>
<td>AMCLMSTRAN</td>
<td>AMCLMSTRAN.pdf</td>
<td>Translation of amended claims (only applicable when EPO as designated office is selected)</td>
</tr>
<tr>
<td>IPERTRAN</td>
<td>IPERTRAN.pdf</td>
<td>Translation of the annex(es) to the international preliminary examination report</td>
</tr>
<tr>
<td>PRIOTRANAPP</td>
<td>PRIOTRANAPP-1.pdf</td>
<td>Translation of the priority application(s)</td>
</tr>
</tbody>
</table>

### Optional additional files for technical documents

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>OLF-ARCHIVE OLF-ARCHIVE.zip Pre-</td>
<td>OLF-ARCHIVE.zip Pre-</td>
<td>Conversion archive (contains original technical documents in any language, before conversion to PDF, e.g. in DOC format)</td>
</tr>
</tbody>
</table>

### Documents concerning biological material, sequence listings
<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SEQLTXT</td>
<td>SEQLTXT.app</td>
<td>Sequence listing in APP format (in accordance with WIPO Standard ST.25)</td>
</tr>
<tr>
<td>SEQLTXT</td>
<td>SEQLTXT.seq</td>
<td>Sequence listing in SEQ format (in accordance with WIPO Standard ST.25)</td>
</tr>
<tr>
<td>SEQLTXT</td>
<td>SEQLTXT.txt</td>
<td>Sequence listing in TXT format (ASCII text, in accordance with WIPO Standard ST.25)</td>
</tr>
<tr>
<td>SEQLZIP</td>
<td>SEQLTXT.zip</td>
<td>Sequence listing in ZIP format (in accordance with WIPO Standard ST.25)</td>
</tr>
<tr>
<td>BIOMRECEIPT</td>
<td>BIOM-RECEIPT-1.pdf</td>
<td>Receipt(s) of deposit issued by depositary institution</td>
</tr>
<tr>
<td>BIOMWAIV</td>
<td>BIOM-WAIV-1.pdf</td>
<td>Waiver of right to an undertaking from requestor pursuant to Rule 33(2)</td>
</tr>
</tbody>
</table>

**Additional documents**

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1003</td>
<td>SPECAUTH-1.pdf</td>
<td>Specific authorisation</td>
</tr>
<tr>
<td>1004</td>
<td>GENAUTH-1.pdf</td>
<td>General authorisation</td>
</tr>
<tr>
<td>REPWOIPER</td>
<td>REPLYWO-1.pdf</td>
<td>Reply to written opinion on IPER (EPO as elected office is selected)</td>
</tr>
<tr>
<td>REPWOISA</td>
<td>REPLYWO-1.pdf</td>
<td>Reply to written opinion on ISA (EPO as designated office is selected)</td>
</tr>
</tbody>
</table>

**Internal documents generated by Online Filing (not to be imported)**

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1200P</td>
<td>epf1200.pdf</td>
<td>Application in PDF format</td>
</tr>
</tbody>
</table>

**Other document codes PDF related**

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADDRREPPDF</td>
<td>address-matching.pdf</td>
<td>Address</td>
</tr>
<tr>
<td>BIOM</td>
<td>BIOM-1.pdf</td>
<td>Letter concerning biological material</td>
</tr>
<tr>
<td>CERTPRIO</td>
<td>CERTPRIO-1.pdf</td>
<td></td>
</tr>
<tr>
<td>DRAW</td>
<td>DRAW-1.pdf</td>
<td>Drawings</td>
</tr>
<tr>
<td>DRAWTRAN</td>
<td>DRAWTRAN-1.pdf</td>
<td></td>
</tr>
<tr>
<td>FEESHEETINT</td>
<td>feesheetint.pdf</td>
<td></td>
</tr>
<tr>
<td>FEESHEETPDF</td>
<td>fee-corrections.pdf</td>
<td></td>
</tr>
<tr>
<td>RECPDF</td>
<td>receipt.pdf</td>
<td>(Electronic) Receipt</td>
</tr>
<tr>
<td>SPECEPO</td>
<td>SPECEPO-1.pdf</td>
<td>Combined specification/claims/abstract</td>
</tr>
</tbody>
</table>
6 Form Euro-PCT(1200E2K) – Entry into the European phase (EPC 2000)

Other document codes ZIP related

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>OLF-ARCHIVE</td>
<td>OLF-ARCHIVE.zip</td>
</tr>
<tr>
<td></td>
<td>Preconversion OLF archive</td>
</tr>
</tbody>
</table>

Graphic files

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>OTHERTIF</td>
<td>&lt;filename&gt;.tif</td>
</tr>
<tr>
<td></td>
<td>Package</td>
</tr>
<tr>
<td>SIGNIMGTIF</td>
<td>&lt;Request&gt;-signature-1.tif</td>
</tr>
<tr>
<td></td>
<td>Unexpected/undefined document</td>
</tr>
</tbody>
</table>

*) 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  EPO as designated office

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

GUI EP(1200E2K) EP Phase

![Figure 120: EP Phase GUI: EPO as designated office](image-url)
Element list

(1) User reference
(2) EPO as designated office
(3) Examination under Art. 94 EPC requested
(4) Language of the international publication: 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
Figure 121: EP Phase XML: general data and priority claims

PDF ept1200.pdf

Figure 122: EP Phase PDF: general data and priorities
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.  

Request for examination in an admissible non-EPO language:  

The applicant waives his right to be asked under Rule 70(2) EPC whether he wishes to proceed further with the application.  
The applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.

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.  

Where necessary, clarifications should be attached as ‘Other documents’  

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.  

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).  

6.4 The applicant waives his right to the communication under Rules 161(1) or (2) and 162 EPC.

6.3.2 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 5.12 for more details on the effect of the language settings.
Figure 125: 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.

```xml
<request-petition id="1200-elected"/>
```

Figure 126: EP Phase XML: general data, request in Spanish

PDF `epf1200.pdf`

<table>
<thead>
<tr>
<th>European application number</th>
<th>EP12600400.1</th>
</tr>
</thead>
<tbody>
<tr>
<td>PCT application number</td>
<td>PCT/ES/12123466</td>
</tr>
<tr>
<td>PCT publication number</td>
<td>W02012123466</td>
</tr>
<tr>
<td>Applicant(s) or representative(s) reference</td>
<td>1200-elected</td>
</tr>
<tr>
<td>International Filing Date</td>
<td>09.12.2012</td>
</tr>
<tr>
<td>International Searching Authority (ISA)</td>
<td>ES</td>
</tr>
<tr>
<td>International Preliminary Examining Authority (IPEA)</td>
<td>ES</td>
</tr>
</tbody>
</table>

1. Applicant

Figure 127: EP Phase PDF: general data

[...]

EPO Online Filing 5.12

Importing data as XML
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 Names – Example 2: Two applicants, two representatives, one inventor (p. 38).

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

6.4.1 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

![Names GUI: applicant and employee data](image1.png)

Figure 129: Names GUI: applicant and employee data

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

![Names GUI: a separate address for correspondence is connected with the applicant](image2.png)

Figure 130: 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. Country
6. Street
(7) P.O. box number
(8) Postal code
(9) City
(10) Telephone
(11) Fax
(12) E-mail
(13) Principal place of business
(14) Applicant 1 has already been recorded by the International Bureau
(15) Applicant 1 is represented by an employee
(16) Last name of employee
(17) First name of employee
(18) Title 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) Country (must be an EPC contracting state)
(23) Street
(24) P.O. box number
(25) Postal code
(26) City
XML ep-euro-pct.xml

```xml
<parties>
  <applicant>
    <applicant_sequence>1</applicant_sequence>
    <designation>as-indicated</designation>
    <app-type>applicant</app-type>
    <addressbook lang="en">
      <name name-type="legal">Tacliment SA</name>
      <registered-number>44577889</registered-number>
      <address>
        <address-2>Brevets</address-2>
        <bbox></bbox>
        <street>34, place de la r#233;publique</street>
        <city>Lyon</city>
        <state></state>
        <postcode>69008</postcode>
        <country>FR</country>
      </address>
      <phone>+33 4 25 68 10</phone>
      <fax>+33 4 25 68 97</fax>
      <email>info@tacliment.fr</email>
    </addressbook>
    <nationality/>
    <country/>
    <residence/>
  </applicant>
  <applicant>FR</applicant>
  <applicant is-recorded="true"/>
  <applicant>
    <applicant_sequence>1</applicant_sequence>
    <app-type="employee">employee</app-type>
    <designation>as-indicated</designation>
    <addressbook lang="en">
      <prefix>Ms</prefix>
      <last-name>Valionier</last-name>
      <first-name>Monique</first-name>
      <address>
        <postcode>13456</postcode>
        <country/>
      </address>
    </addressbook>
    <nationality/>
    <country>EP</country>
    <residence/>
  </applicant>
</parties>
```

Figure 131: Names XML: data for applicant and employee
Figure 132: Names XML: address for correspondence data

PDF epf1200.pdf

Figure 133: Names PDF: applicant, employee and address for correspondence
6.4.2 One applicant, one representative with authorisation

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

![GUI Euro-PCT(1200E2K) Names GUI: details of representative 1]

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

![GUI Euro-PCT(1200E2K) 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) P.O. box number
(11) Postal code
(12) City
(13) State, county or province (if applicable for selected country)
(14) Telephone
(15) Fax
(16) E-mail
(17) Authorisation type
(18) General authorisation number

**XML ep-euro-pct.xml**

```
<parties>
  <applicants>
    <agent>
      <ep-agent sequence="1" rep-type="common-representative" ep-authorisation="registered">
        <general_authorisation_number>78900</general_authorisation_number>
        <addressbook lang="en">
          <address/>
          <address-2>European Patents</address-2>
        </addressbook>
        <name name-type="legal">IP Partners</name>
        <registered-number>0 0</registered-number>
        <address/>
        <postbox>56898</postbox>
        <street>Red Lion Square</street>
        <city>Cambridge</city>
        <state>Cambridgeshire</state>
        <postcode>CB2 1AB</postcode>
        <country>GB</country>
        <phone>+44 1223 35160</phone>
        <fax>+44 1223 35160</fax>
        <email>office@ip-partners.co.uk</email>
      </agent>
    </applicants>
  </parties>
```

*Figure 136: Names XML: data for representative 1 (agent)*
### 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.
- 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, extension states and validation states see the EPO website at [About us > European Patent Organisation > Member states](http://www.epo.org/about-us/organisation/member-states.html). The EPC contracting states include all overseas departments and territories.

---

**Figure 137: Names PDF: representative and authorisation**

---

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

(1) Designation of contracting states
(2) All contracting states are designated
   The \textit{waiver-communication-and-processing-of-non-designated-states} attribute must always be present in the \textit{ep-designated-states} element. The value must be set to \textit{no}.
(3) Designation of extension states
(4) Extension state selected: specific \textit{<country>} element
(5) Extension state selected: specific \textit{<country>} element
(6) Designation of validation states
(7) Validation state selected: specific \textit{<country>} element
(8) Validation state selected: specific \textit{<country>} element

XML \textit{ep-euro-pct.xml}
There are no individual \textit{<country>} elements for the designated states in the \textit{ep-euro-pct.xml} file anymore. It is sufficient to produce the \textit{<ep-designated-states>} element with the \textit{<extension-states>} and \textit{<validation-states>} elements. If no extension states and validation states are designated, the \textit{<extension-states/>} and \textit{<validation-states/>} elements must be present as empty elements.

See the corresponding sections under Form EP(1001E2K) for more details on the extension states and validation states.
Importing data as XML

Figure 139: States XML: designated states and extension states

PDF epf1200.pdf

Figure 140: 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

Figure 141: Biological Material GUI: Deposit details

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

Figure 142: 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

PDF epf1200.pdf
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.

**Amendments and translations**
- 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)

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

**Additional documents**
Only PDF files are allowed.
- General authorisation
- Specific authorisation
- US certified priority document (digitally signed)
- Reply to written opinion/IPER
- Search results required under Rule 141(1) EPC
- Amendments with annotations
- 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. 99).
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 tab in Euro-PCT(1200E2K), general settings and declarations are made.

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

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

[Image of GUI Euro-PCT(1200E2K) Documents, Proceedings sub-tab]

**Figure 146: 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: selected in the PDF if any of the XML child elements takes the value 1.
XML ep-euro-pct.xml

```xml
<xml version="1.0" encoding="UTF-8"/>
<DOCTYPE ep-euro-pct SYSTEM "ep-euro-pct-v1-06.dtd">
<ep-euro-pct lang="en" dtd-version="1.0" ro="EP" produced-by="applicant" date-produced="20111123 16:21:10">
  <regional-phase-office>selected</regional-phase-office>
  <amendments-enclosed>yes</amendments-enclosed>
  <file-reference-identifiers>
    <file-reference-identifiers>
      <request-petition>
        Entry into the European phase (EPO as designated or elected Office) is hereby requested.
      </request-petition>
      <priority-claims/>
      <check-list-total-page-count>1</check-list-total-page-count>
      <ep-language-of-filing lang-code="en">
        <ep-office-specific-data-office lang="en">
          <ep-request-for-exam-act lang="en">
            <ep-designated-states>
              <waiver-communication-and-processing-of-non-designated-states>no</waiver-communication-and-processing-of-non-designated-states>
            </ep-designated-states>
            <ep-declarations/>
            <translation-info/>
          </ep-request-for-exam-act>
        </ep-office-specific-data-office>
      </ep-language-of-filing>
    </file-reference-identifiers>
  </file-reference-identifiers>
</ep-euro-pct>
```

Figure 147: Documents XML: options for proceedings
6. Documents intended for proceedings before the EPO

Number of claims on entry into the European phase:
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.
- Where necessary, clarifications should be attached as “Other documents”

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.
- Where necessary, clarifications should be attached as “Other documents”
- 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.

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).

6.4. The applicant waives his right to the communication under Rules 16(1) or (2) and 162 EPC.

7. Translations

Translations in one of the official languages of the EPO (English, French, German) are attached as crossed below:
- *In proceedings before the EPO as designated or elected Office (PCT I + II):*
  - 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)
- *In addition, in proceedings before the EPO as designated Office (PCT 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).
- *In addition, in proceedings before the EPO as elected Office (PCT II):*
  - Translation of annexes to the international preliminary examination report

Figure 148: Documents PDF: documents for proceedings and translations

### 6.7.2 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 149: 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`

```xml
<PRIORITY-CLAIMS>
  <NUMBER-OF-CLAIMS>1</NUMBER-OF-CLAIMS>
</PRIORITY-CLAIMS>

<CLAIM-AMENDMENTS>
  <CLAIMS-AMENDED>-6</CLAIMS-AMENDED>
  <ANNEXES>-6</ANNEXES>
</CLAIM-AMENDMENTS>

<TRANSLATION-INFORMATION>
  <FINANCIAL-DATA CURR="EUR">
    <AMOUNT-UNLOCKED-BY-USER>-6</AMOUNT-UNLOCKED-BY-USER>
  </FINANCIAL-DATA>
</TRANSLATION-INFORMATION>

<APPLICATION-DOCUMENTS>
  <EPO-FILE-NAME>AMSPCEPO-2.pdf</EPO-FILE-NAME>
  <EPO-FILE-NAME>AMSPCEPO-3.pdf</EPO-FILE-NAME>
  <EPO-FILE-NAME>AMSPCEPO-1.pdf</EPO-FILE-NAME>
  <EPO-FILE-NAME>AMSPCEPO-0.pdf</EPO-FILE-NAME>
</APPLICATION-DOCUMENTS>

<FILE-NAMES>
  <EPO-FILE-NAME>AMSPCEPO-2.pdf</EPO-FILE-NAME>
  <EPO-FILE-NAME>AMSPCEPO-3.pdf</EPO-FILE-NAME>
  <EPO-FILE-NAME>AMSPCEPO-1.pdf</EPO-FILE-NAME>
  <EPO-FILE-NAME>AMSPCEPO-0.pdf</EPO-FILE-NAME>
</FILE-NAMES>
```

Figure 150: Documents XML: amendments and translation of priority application
6.7.3 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 153: 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

XML application-body.xml

PDF epf1200.pdf

Figure 154: Documents XML: files, file names and document types listed

Figure 155: Documents XML: Translations of original application attached

Figure 156: Documents PDF: enclosed documents listed
7. Translations

Translations in one of the official languages of the EPO (English, French, German) are attached as crossed below:

- In proceedings before the EPO as designated or elected Office (PCT I + II):
  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 12bis.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)

- In addition, in proceedings before the EPO as designated Office (PCT 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).

- In addition, in proceedings before the EPO as elected Office (PCT II):
  Translation of annexes to the international preliminary examination report

![Figure 157: Documents PDF: checklist for translations](image)

6.7.4 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.

![Figure 158: Documents GUI: document overview with total number of pages](image)

### 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.
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.

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.

![Figure 161: 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. 356).

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 162: Document overview XML: page count and phase attributes for all document parts](image)

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

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

<table>
<thead>
<tr>
<th>Description</th>
<th>Page(s) from ... to ...</th>
<th>Number of pages</th>
</tr>
</thead>
<tbody>
<tr>
<td>International application as published</td>
<td>1-8</td>
<td>8</td>
</tr>
<tr>
<td>Amendments filed on entry into European phase</td>
<td>1-7</td>
<td>7</td>
</tr>
<tr>
<td>Amendments filed on entry into European phase</td>
<td>1-4</td>
<td>4</td>
</tr>
<tr>
<td>International application as published</td>
<td>13-15</td>
<td>2</td>
</tr>
<tr>
<td>Amendments filed on entry into European phase</td>
<td>1-1</td>
<td>1</td>
</tr>
</tbody>
</table>

Abstract: Default count: one page 1

Total number of pages 23

Fee-exempt pages (Art. 2, item 1a, RFees) -35

Number of pages to be paid for 0

Total amount payable EUR 0

Figure 166: Document overview PDF: separate table listing all documents intended for proceedings with relevant page numbers
6.7.5 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.

![Figure 167: 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.

If amendments or translation is selected, 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.
Figure 168: 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 selected under the conditions determined by this example.

Figure 169: 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.

![Figure 170: Document overview GUI: documents comprising the drawings](image)

**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-
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.
Figure 171: 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.
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](image)

Figure 173: 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. 144). 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. 78) in the section about form EP(1001E2K).

![Figure 174: Documents GUI: sequence listing in computer-readable format is attached](image)

**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**
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 178: 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

```
<check-list total-page-count="34">
  <cl:request/>
  <cl:description page-count="20" phase="international-application-as-filed" application-pages="1-20"/>
  <cl:claims page-count="77" phase="international-application-as-filed" application-pages="21-27"/>
  <cl:drawings page-count="6" phase="entry-into-regional-phase" application-pages="1-6"/>
  <cl:sequence-listing quantity="1" page-count="4" seq-type="pdf">SEQLPDF.pdf</cl:sequence-listing>
</check-list>

<ep-language-of-filing lang-code="en">en</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no"/>
</ep-office-specific-data>
<ep-declarations>
  <application-contains-sequence-listing furnishment-of-sequence-listing="attached"/>
</ep-declarations>
  <translation-info/>
<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no"/>
<ep-electronic-files doc-type="1001"/>
<ep-electronic-files doc-type="AMSPCEPPO"/>
<ep-electronic-files doc-type="SEQLPDF"/>
<ep-file-name>SEQLPDF.pdf</ep-file-name>
<ep-electronic-files doc-type="DRAW/HWA"/>
</ep-electronic-files>
<ep-office-specific-data>
</ep-office-specific-data>
</ep-euro-pct>
```

Figure 179: Documents XML: sequence listing PDF file referenced in ep-request.xml file

PDF epf1200.pdf
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

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
Figure 183: Documents XML: sequence listing has been furnished, no file is attached

PDF ep-request.pdf

Figure 184: 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:

- 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
- Amendments with annotations
  - 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.
Documents with handwritten amendments are no longer accepted (for exceptions to this rule see the EPO Official Journal 2013, 603-604) (http://archive.epo.org/epo/pubs/oj013/12_13/12_6033.pdf).

Figure 185: 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
8. EPO file name for amended drawings with annotations
9. Original file name of amended drawings with annotations

**XML ep-euro-pct.xml**

```xml
<ep-electronic-files doc-type="SPECTRANEPO">
  <ep-electronic-files doc-type="REPwOIPER">
    <applicant-file-name>Reply.pdf</applicant-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="1004">
    <applicant-file-name>Authorization Nano.pdf</applicant-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="DRAW-HWA">
    <applicant-file-name>Drawings amended annotations.pdf</applicant-file-name>
  </ep-electronic-files>
</ep-electronic-files>
```

Figure 186: 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. 82).
6.8 Euro-PCT(1200E2K) – Fee Payment

The Fee Payment tab 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.

You can retrieve the most recent fee schedule in the Online Filing File Manager under Tools > Fee Management or from the EPO website under interactive schedule of fees (http://www.epoline.org/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 01/09/2014, Euro payments within the Single Euro Payments Area (SEPA) must be exclusively issued to the EPO’s bank account with the Commerzbank AG, München (DE). The most recent information on making payments to 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).
Figure 188: Fee Payment GUI: payment details entered

**Element list**

1. Mode of payment
2. Currency: default is EUR
3. Country of the Commerzbank: DE for Germany
4. Official name of the Commerzbank
5. IBAN-code of the EPO's bank account with the Commerzbank
6. BIC code of the Commerzbank
   The BIC code is not required in the XML. It will be added during import.
7. EPO deposit account number for reimbursement
8. Account holder for reimbursement
XML ep-euro-pct.xml

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

```
<translation-info>
 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  <mode-of-payment accno="DE20 7008 0000 0333 880000" mode-type="bank" currency="EUR">DE</mode-of-payment>
  <reimbursement accno="29987654" corp="Universal Engineering"></reimbursement>
  <date>20140401</date>
  <standard-fee>
    <fee-total-amount>3680</fee-total-amount>
  </standard-fee>
</ep-financial-data>
```

Figure 189: Fee Payment XML: payment and account data

PDF epf1200.pdf

13. Mode of payment: Bank transfer
   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
   IBAN: DE20 7008 0000 0333 880000
   BIC: DRESDEFF700

14. Any refunds should be made to the following EPO deposit account:
   Number and account holder: Universal Engineering, 29987654

Figure 190: 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
Figure 191: 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

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.

For more information on importing fee data from XML files, see Importing the correct fee amounts depending on the date of filing (p. 94).

PDF epf1200.pdf

Figure 192: 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).

Figure 193: Fee Payment XML: fees listed
6.9 Euro-PCT(1200E2K) – Annotations

GUI Euro-PCT(1200E2K) Annotations

![Annotations GUI: note for EPO entered](image)

**Element list**

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

**XML ep-euro-pct.xml**

![Annotations XML: note for EPO](image)

**PDF epf1200.pdf**

![Annotations PDF: note for EPO](image)
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.

<table>
<thead>
<tr>
<th>File name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader.dtd</td>
<td>Indicates selected procedure and other data for transmission to filing office.</td>
</tr>
<tr>
<td>package-data.xml</td>
<td>package-data.dtd</td>
<td>References attached documents including ep-sfd-request.xml file.</td>
</tr>
<tr>
<td>ep-sfd-request.xml</td>
<td>ep-sfd-request-v2-6.dtd</td>
<td>Application data as entered in Form EP(1038E), references attached documents.</td>
</tr>
</tbody>
</table>

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. 15) and References from XML files to other files (p. 16). 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. There are some restrictions as to combining document types and fee payments in one application. Please create separate import packages for each of the following submissions:

- Public documents and fees related to public documents
- Non-public documents and fees related to non-public documents; see EP(1038E) – Fee Payment (p. 170)
- Appeal documents
- Non-appeal documents

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request</td>
<td></td>
<td></td>
</tr>
<tr>
<td>APPMERGEXML</td>
<td>result-filing.xml</td>
<td>Package</td>
</tr>
<tr>
<td>HEADERXML</td>
<td>pkgheader.xml</td>
<td>Package</td>
</tr>
<tr>
<td>PACKDATAXML</td>
<td>package-data.xml</td>
<td>Package</td>
</tr>
</tbody>
</table>
### PDF Attachments, in alphabetical order (the file name extension is always .pdf)

<table>
<thead>
<tr>
<th>Document code</th>
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<th>Description</th>
</tr>
</thead>
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<tr>
<td>1002E</td>
<td>1002E-1</td>
<td>Designation of inventor (non-public)</td>
</tr>
<tr>
<td>1003</td>
<td>1003-1</td>
<td>Authorisation of representative</td>
</tr>
<tr>
<td>1005</td>
<td>1005</td>
<td>Request for accelerated search/examination (non-public)</td>
</tr>
<tr>
<td>1009</td>
<td>1009</td>
<td>Request for participation in the Patent Prosecution Highway (PPH) (non-public)</td>
</tr>
<tr>
<td>1012</td>
<td>1012</td>
<td>Enquiry as to the processing of the file</td>
</tr>
</tbody>
</table>

### Document code | EPO file name *) | Description |
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<th></th>
<th></th>
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<tbody>
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<td>Acknowledgement</td>
</tr>
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<td>ABEX-1</td>
<td>Amendments before examination</td>
</tr>
<tr>
<td>ABSTMOD</td>
<td>ABSTMOD-1</td>
<td>Modified abstract</td>
</tr>
<tr>
<td>ABSTTRAN</td>
<td>ABSTTRAN-1</td>
<td>Translation of the abstract</td>
</tr>
<tr>
<td>ANNEX-NP</td>
<td>ANNEX-NP-1</td>
<td>Non-public annex</td>
</tr>
<tr>
<td>APPEAL</td>
<td>APPEAL</td>
<td>Notice of appeal</td>
</tr>
<tr>
<td>APPEAL-ANNEX</td>
<td>APPEAL-ANNEX-1</td>
<td>Annexes (other than cited documents) regarding appeal procedure</td>
</tr>
<tr>
<td>APPEAL-CDOC</td>
<td>APPEAL-CDOC-1</td>
<td>Cited documents during appeal procedure</td>
</tr>
<tr>
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<td>APPEAL-CNPL-1</td>
<td>Non-patent literature cited during the appeal procedure</td>
</tr>
<tr>
<td>APPEAL-CP</td>
<td>APPEAL-CP-1</td>
<td>Patent document cited during the appeal procedure</td>
</tr>
<tr>
<td>APPEAL-EVID</td>
<td>APPEAL-EVID-1</td>
<td>Evidence in support of the appeal</td>
</tr>
<tr>
<td>APPEAL-GRDS</td>
<td>APPEAL-GRDS</td>
<td>Statement of grounds of appeal</td>
</tr>
<tr>
<td>APPEAL-LETT</td>
<td>APPEAL-LETT-1</td>
<td>Letter relating to appeal procedure</td>
</tr>
<tr>
<td>APPEAL-ORAL</td>
<td>APPEAL-ORAL-1</td>
<td>Letter dealing with oral proceedings during the appeal procedure</td>
</tr>
<tr>
<td>APPEAL-TCNPL</td>
<td>APPEAL-TCNPL-1</td>
<td>Non-patent literature filed by a third party during the appeal procedure</td>
</tr>
<tr>
<td>APPEAL-TCP</td>
<td>APPEAL-TCP-1</td>
<td>Patent document filed by a third party during the appeal procedure</td>
</tr>
<tr>
<td>APPEAL-TIPA</td>
<td>APPEAL-TIPA-1</td>
<td>Observations by third parties (Art. 115 EPC) during the appeal procedure</td>
</tr>
</tbody>
</table>
### APPEALG-AC
- **APPEALG-AC**: amicus curiae (statement by third parties in the proceedings before the Enlarged Board of Appeal in accordance with Art. 10 RPEBA)

### APPEAL-LETT
- **APPEAL-LETT**: Incoming letter in referral procedure

### APPEALR-LETT
- **APPEALR-LETT**: Letter relating to the review procedure

### APPEALR-ANX
- **APPEALR-ANX**: Annexes (other than cited documents) regarding review procedure

### APPEALWDRA
- **APPEALWDRA**: Withdrawal of an appeal

### APPRASSI
- **APPRASSI**: Request for assignment

### APPRCHOA
- **APPRCHOA**: Request for change of address

### APPRCHON
- **APPRCHON**: Request for change of name

### APPRMISC
- **APPRMISC**: Document concerning the applicant

### BIOM
- **BIOM**: Document concerning micro-organisms and medical inventions

### CD-MISC-E
- **CD-MISC-E**: Miscellaneous requests concerning client data

### CDAPPR-CHOA
- **CDAPPR-CHOA**: Request for change of address

### CDAPPR-CHON
- **CDAPPR-CHON**: Request for change of name

### CDAPPR-CHOR
- **CDAPPR-CHOR**: Request for change of representative

<table>
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<th>Description</th>
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</thead>
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<td>CDAPPR-TOR</td>
<td>CDAPPR-TOR-1</td>
<td>Request for transfer of rights</td>
</tr>
<tr>
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<td>CLMS-1</td>
<td>Claims</td>
</tr>
<tr>
<td>CLMS-HWA</td>
<td>CLMS-HWA-1</td>
<td>Amended claims with annotations</td>
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<tr>
<td>CLMSPAMD</td>
<td>CLMS-1</td>
<td>Amended claims (clean copy)</td>
</tr>
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<td>German translation of the claims</td>
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<tr>
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<td>English translation of the claims</td>
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<td>CLMSTRAN-FR-1</td>
<td>French translation of the claims</td>
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<td>Request for correction/amendment of the text proposed for grant sent until 31.03.2012</td>
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<td>Withdrawal of automatic debit order</td>
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<td>Drawings</td>
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<td>DRAW-HWA</td>
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<td>DRAWPAMD</td>
<td>DRAW-1</td>
<td>Amended drawings (clean copy)</td>
</tr>
<tr>
<td>DRAWTRAN</td>
<td>DRAWTRAN-1</td>
<td>Translation of text in drawings</td>
</tr>
<tr>
<td>ENQUIRY</td>
<td>ENQUIRY-1</td>
<td>General enquiry</td>
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</tbody>
</table>

**Table**

<table>
<thead>
<tr>
<th>Document code</th>
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<td>DESCTRAN</td>
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<td>DEST</td>
<td>Document concerning the designation and extension of states</td>
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<tr>
<td>DG3-CLMS</td>
<td>Claims (appeal procedure)</td>
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<td>Amended claims with annotations (appeal procedure)</td>
</tr>
<tr>
<td>DG3-DESC</td>
<td>Description (appeal procedure)</td>
</tr>
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<td>DG3-DESC-HWA</td>
<td>Amended description with annotations (appeal procedure)</td>
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<td>Drawings (appeal procedure)</td>
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<td>DG3-INTERVEN</td>
<td>Intervention of the assumed infringer</td>
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<tr>
<td>DG3-ORALREQ</td>
<td>Request for oral proceedings</td>
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<td>DG3-REES</td>
<td>Request for re-establishment of rights (appeal procedure)</td>
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<td>Grounds for re-establishment of rights (appeal procedure)</td>
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<td>DG3-REQDATOP</td>
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<tr>
<td>Code</td>
<td>Description</td>
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<td>---------------------------------------------------------</td>
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<td>Request for examination</td>
</tr>
<tr>
<td>EXRE3</td>
<td>Reply to examination report</td>
</tr>
<tr>
<td>EXRE92</td>
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</tr>
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<td>Document concerning fees and payments</td>
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<td>FICO</td>
<td>Request for certified copies of application (non-public)</td>
</tr>
<tr>
<td>FISP</td>
<td>Request for inspection of file (non-public)</td>
</tr>
<tr>
<td>FREP</td>
<td>Document concerning representation</td>
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<tr>
<td>IGRA</td>
<td>Reply to communication under Rule 71(3) EPC</td>
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<td>Request for correction/amendment of the text proposed for grant sent from 01.04.2012</td>
</tr>
<tr>
<td>INVT</td>
<td>Document concerning the inventorship</td>
</tr>
<tr>
<td>INVT193</td>
<td>Inventor waiver – Rule 19(3) EPC</td>
</tr>
<tr>
<td>INVT193-NP</td>
<td>Inventor waiver – Rule 19(3) EPC (non-public)</td>
</tr>
<tr>
<td>INVT201</td>
<td>Inventor waiver – Rule 20(1) EPC (non-public)</td>
</tr>
<tr>
<td>IPERTRAN</td>
<td>Translation of international preliminary examination report</td>
</tr>
<tr>
<td>LIMDOC</td>
<td>Citation for the limitation procedure</td>
</tr>
<tr>
<td>LIMLETT</td>
<td>Letter/request relating to the limitation procedure</td>
</tr>
<tr>
<td>LIMWDRA</td>
<td>Withdrawal of limitation request</td>
</tr>
<tr>
<td>LIRE3</td>
<td>Reply to the limitation report</td>
</tr>
<tr>
<td>MEPA</td>
<td>Medical certificate (non-public)</td>
</tr>
<tr>
<td>ORAL</td>
<td>Letter dealing with oral proceedings</td>
</tr>
<tr>
<td>ORALWDRA</td>
<td>Withdrawal of request for oral proceedings</td>
</tr>
<tr>
<td>PPH-EXAM</td>
<td>PPH: documents for examination</td>
</tr>
<tr>
<td>PPH-SRCH</td>
<td>PPH: documents for search</td>
</tr>
<tr>
<td>PRIIO</td>
<td>Document concerning the priority claims</td>
</tr>
<tr>
<td>Document code</td>
<td>EPO file name *)</td>
</tr>
<tr>
<td>---------------</td>
<td>-----------------</td>
</tr>
<tr>
<td>PRIOTRAN</td>
<td>PRIOTRAN-1</td>
</tr>
<tr>
<td>PRSR</td>
<td>PRSR-1</td>
</tr>
<tr>
<td>PRSR-NON</td>
<td>PRSR-NON-1</td>
</tr>
<tr>
<td>PRSR-REPLY</td>
<td>PRSR-REPLY-1</td>
</tr>
<tr>
<td>R88</td>
<td>R139-1</td>
</tr>
<tr>
<td>RALL2</td>
<td>RALL2-1</td>
</tr>
<tr>
<td>RDEC</td>
<td>RDEC-1</td>
</tr>
<tr>
<td>REES</td>
<td>REES-1</td>
</tr>
<tr>
<td>REESGROUNDS</td>
<td>REESGROUNDS-1</td>
</tr>
<tr>
<td>REPTORCLAR</td>
<td>REPTORCLAR-1</td>
</tr>
<tr>
<td>REVLETT</td>
<td>REVLETT-1</td>
</tr>
<tr>
<td>REVOREQ</td>
<td>REVOREQ</td>
</tr>
<tr>
<td>RFPR</td>
<td>RFPR-1</td>
</tr>
<tr>
<td>SEQL</td>
<td>SEQL-1</td>
</tr>
<tr>
<td>SRCH</td>
<td>SRCH-1</td>
</tr>
<tr>
<td>SUBCLMS</td>
<td>SUBCLMS-1</td>
</tr>
<tr>
<td>SUSI</td>
<td>SUSI-1</td>
</tr>
<tr>
<td>TDOC</td>
<td>TDOC-1</td>
</tr>
<tr>
<td>TDOCP</td>
<td>TDOCP-1</td>
</tr>
<tr>
<td>TIMEEXTREQ</td>
<td>TIMEEXTREQ-1</td>
</tr>
<tr>
<td>TIPA1</td>
<td>TIPA1-1</td>
</tr>
<tr>
<td>TIPA7</td>
<td>TIPA7-1</td>
</tr>
<tr>
<td>TIPAREPLY</td>
<td>TIPAREPLY-1</td>
</tr>
<tr>
<td>TRANEAPP</td>
<td>TRANEAPP-1</td>
</tr>
<tr>
<td>USCERTPRIO</td>
<td>USCERTPRIO-1</td>
</tr>
<tr>
<td>Code</td>
<td>Description</td>
</tr>
<tr>
<td>------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>USTCHOR</td>
<td>Request for change of representative</td>
</tr>
<tr>
<td>USTTOR</td>
<td>Request for transfer of rights</td>
</tr>
<tr>
<td>WDRA</td>
<td>Withdrawal of application</td>
</tr>
<tr>
<td>WDRADEST</td>
<td>Withdrawal of designated or extension states</td>
</tr>
<tr>
<td>WOREPLY</td>
<td>Reply to search opinion/written opinion/IPER</td>
</tr>
</tbody>
</table>

**Text file attachments (TXT, APP)**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SEQLTXT</td>
<td>Sequence listings in TXT format</td>
</tr>
<tr>
<td>SEQLTXT</td>
<td>Sequence listings in APP format</td>
</tr>
<tr>
<td>SEQLTXT</td>
<td>Sequence listings in SEQ format</td>
</tr>
</tbody>
</table>

**Document code**

<table>
<thead>
<tr>
<th>Document code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SEQLTXT</td>
<td>Document concerning sequence listing, TXT</td>
</tr>
</tbody>
</table>

**Internal documents generated by Online Filing (not to be imported)**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1038</td>
<td>Application in PDF format</td>
</tr>
</tbody>
</table>

**Other document codes PDF related**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1005-EG</td>
<td>Request for accelerated search/examination</td>
</tr>
<tr>
<td>1011BIS</td>
<td>Enquiry as to the processing of the file</td>
</tr>
<tr>
<td>1012-EG</td>
<td>Request for retrieval of priority document via DAS</td>
</tr>
<tr>
<td>ADVOFDELIVRY</td>
<td>Advice of delivery</td>
</tr>
<tr>
<td>CERTPRIO</td>
<td>Electronic priority document</td>
</tr>
<tr>
<td>DG3-CLMS</td>
<td>Claims</td>
</tr>
<tr>
<td>FEESHEETPDF</td>
<td>Document concerning the payment of fees</td>
</tr>
<tr>
<td>R139</td>
<td>Request for correction of errors in filed documents</td>
</tr>
<tr>
<td>RECPDF</td>
<td>(Electronic) Receipt</td>
</tr>
</tbody>
</table>

**Other document codes ZIP related**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>OLF-ARCHIVE</td>
<td>Preconversion OLF archive</td>
</tr>
<tr>
<td>SEQLZIP</td>
<td>Sequence listing in archive format (.zip file)</td>
</tr>
</tbody>
</table>

**Graphic files**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>OTHERTIF</td>
<td>Other</td>
</tr>
<tr>
<td>SIGNIMGTIF</td>
<td>&lt;Request&gt;-signature-1.tif</td>
</tr>
<tr>
<td>----------------</td>
<td>---------------------------</td>
</tr>
<tr>
<td>SIGNIMGJPG</td>
<td>&lt;Request&gt;-signature-1.jpg</td>
</tr>
</tbody>
</table>

*) 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 tab. The other data is inferred by Online Filing, but has to be included in the XML files.

GUI EP(1038E) Application No

![Application number GUI](image)

**Element list**

(1) EP application number
(2) User reference
(3) Procedure language
7.4 EP(1038E) – Names

In the **Names** tab 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 Names – Example 1: Applicant is natural person and also inventor (p. 36). In the example below, a new representative has been added.
GUI EP(1038E) Names

Figure 200: Names GUI: representative added

Element list
The `<registered-number>` element is not required in the XML import file.

1. Representatives
2. Representative 1 - natural person (agent stands for representative, authorised)
3. Last name
4. First name
5. Title
6. Company
7. Department
8. Country
9. Street
10. P.O. box number
11. Postal code
12. City
13. County / State
14. Telephone
15. Fax
16. E-mail
In the **Documents** tab 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
  A combination of public and non-public documents is not allowed.
- Appeal
  A combination of appeal-related and other documents is not allowed.
- Third Party Observations
- Limitation and revocation

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

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.

![GUI EP(1038E) Documents](image)

**Figure 203: 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**

```xml
<check-list>
  <request>
    <cl-other-document>
      <cl-other-document>Authorisation of representative</cl-other-document>
      <cl-other-document>Document concerning representation</cl-other-document>
    </cl-other-document>
    <office-specific-data office="EP" lang="en">
      <ep-electronic-files doc-type="1038">
        <applicant-file-name/>
        <ep-file-name name="EPF1038.PDF"/>
      </ep-electronic-files>
      <ep-electronic-files doc-type="1003">
        <applicant-file-name>Authorisation Kilburn.pdf</applicant-file-name>
        <ep-file-name name="1003-1.pdf"/>
      </ep-electronic-files>
      <ep-electronic-files doc-type="FREP">
        <applicant-file-name> Representation for Nano Enterprise.pdf</applicant-file-name>
        <ep-file-name name="FREP-1.pdf"/>
      </ep-electronic-files>
      <ep-electronic-files doc-type="FREP">
        <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no"/>
      </ep-electronic-files>
    </office-specific-data>
  </request>
</check-list>
```

*Figure 204: Documents XML: list of documents*
7.6 EP(1038E) – Requests

In the Requests tab of Form EP(1038E), users can either make a request for accelerated search/examination (PACE request) or an enquiry as to the processing of the file. Only one request can be made in the form, because the PACE request (Form 1005) is a non-public submission and the enquiry (Form 1012) is a public submission. When the request or enquiry is electronically submitted, Online Filing generates a separate PDF file for the request:

- **epf1005.pdf** for the PACE request
- **epf1012.pdf** for the enquiry

Alternatively, the user can submit the signed request or enquiry as a PDF file attached in the Documents tab:

- **1005.pdf** for the PACE request
- **1012.pdf** for the enquiry

**XML takes precedence over referenced PDF documents**

If the **ep-sfd-request.xml** file contains the XML elements for a PACE request or for the enquiry as to the processing of the file, any referenced PDF file will not be imported if the doc-type is 1005, 1005-EG, 1012 or 1012-EG. Online Filing will generate a new **epf1005.pdf** or **epf1012.pdf** during import.

### 7.6.1 PACE request for accelerated search

**GUI EP(1038E) Requests**

The request for accelerated search and the request for accelerated examination are mutually exclusive: only one can be selected in Form EP(1038E).
Element list

(1) Declarations
(2) PACE request
(3) PACE request for accelerated search
(4) Document type for PACE request (not required for import)
(5) Document code for PACE request (not required for import)
(6) Original file name is empty (not required for import)
(7) EPO file name for PACE request (not required for import)
(8) EP application number, i.e. the same as in the <doc-number> element

XML ep-sfd-request.xml

Creating the PACE request requires the <ep-declarations> element with the child element
<written_request_for_accelerated_processing_EP_application>. The request for
accelerated search is represented by the <request_for_accelerated_search/> element
(for the request for accelerated examination, use the
request_for_accelerated_examination/> element). XML takes precedence over
referenced PDF documents: If the ep-sfd-request.xml file contains the elements for a
PACE request, any referenced PDF file will not be imported if the doc-type is 1005 or 1005-
EG. Online Filing will generate a new epf1005.pdf during import.
The PACE request is indicated in the Request section and is attached as document with EPO file name `EPF1005.PDF`. The `EPF1005.pdf` file is not required for import.

The details of the PACE request, i.e. accelerated search or accelerated examination, are contained in the electronic form `epf1005.pdf`. The `epf1005.pdf` is not required for import. It will be re-generated by Online Filing when the XML package is imported.
7.6.2 Enquiry as to the processing of the file

GUI EP(1038E) Requests
The PACE request and the enquiry as to the processing of the file are mutually exclusive: only one can be selected in Form EP(1038E).

Element list
(1) Declarations
(2) Enquiry as to the processing of the file
(3) Document type for enquiry as to the processing of the file (not required for import)
(4) Document code for enquiry as to the processing of the file (not required for import)
(5) Original file name is empty (not required for import)
(6) EPO file name for enquiry as to the processing of the file (not required for import)
(7) EP application number, i.e. the same as in the <doc-number> element
XML ep-sfd-request.xml
Creating the enquiry requires the <ep-declarations> element with the child element <enquiry_regarding_expected_issue_of_search_report>.

XML takes precedence over referenced PDF documents: If the ep-sfd-request.xml file contains the elements for the enquiry as to the processing of the file, any referenced PDF file will not be imported if the doc-type is 1012 or 1012-EG. Online Filing will generate a new epf1012.pdf during import.

Figure 211: Requests XML: Enquiry as to the processing of the file

PDF epf1038.pdf
The enquiry as to the processing of the file is indicated in the Request section and is attached as document with EPO file name EPF1012.PDF. The EPF1012.pdf file is not required for import.

Figure 212: Requests PDF: enquiry as to the processing of the file and attached electronically generated PDF file
PDF epf1012.pdf
The epf1012.pdf is not required for import. It will be re-generated by Online Filing when the XML package is imported.

Figure 213: Requests PDF: Details of the enquiry as to the processing of the file are contained in the electronically generated PDF

7.7 EP(1038E) – Fee Payment

Unlike in EP(1001E2K) and Euro-PCT(1200E2K), fees are not automatically selected in the Fee Payment tab 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.

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 the following fees can be selected:
- 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.

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

### 7.7.1 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

![GUI EP(1038E) Fee Payment, Payment details sub-tab](image-url)
Figure 214: 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**

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

```
<mode-of-payment currency="EUR" accno="28123456" deferred-execution-date="" mode-type="deposit">IP Partners</mode-of-payment>
```

Figure 215: Fee payment XML: payment details

**PDF epf1038.pdf**

```
<table>
<thead>
<tr>
<th>Payment</th>
<th>Debit from deposit account</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Mode of payment</td>
<td>1 EUR</td>
</tr>
<tr>
<td></td>
<td>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.</td>
</tr>
<tr>
<td></td>
<td>Deposit account number: 28123456</td>
</tr>
<tr>
<td></td>
<td>Account holder: IP Partners</td>
</tr>
<tr>
<td>2 Refund/Reimbursement</td>
<td>28123456</td>
</tr>
<tr>
<td></td>
<td>Reimbursement (if any) to be made to EPO deposit account: IP Partners</td>
</tr>
</tbody>
</table>
```

Figure 216: Fee Payment PDF: data for mode of payment and refund
7.7.2 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 selected 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. 96).

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%).

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.

Figure 217: Fee Payment GUI: selected reduced fees
XML ep-sfd-request.xml

```
<parties>
  <ep-declarations>
    <declaration-of-entity-or-natural-person-under-rule-6-3/>
  </ep-declarations>
  <check-list>
    <office-specific-data office="EP" lang="en">
      <ep-electronic-files doc-type="1038"/>
      <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
        <mode-of-payment currency="EUR" accno="28123456" deferred-execution-date="" mode-type="deposit">IP Partner's mode-of-payment</mode-of-payment>
      </ep-financial-data>
    </office-specific-data>
  </check-list>
  <standard-fee>
    <fee index="1" topay="no"/>
    <fee index="1a" topay="no"/>
    <fee index="1b" topay="yes"/>
    <type-of-fee standard="type-of-fee">
      <fee-schedule 84<fee-schedule>
      </fee-schedule>
    </type-of-fee>
    <fee-sub-amount>120</fee-sub-amount>
    <fee-reduction-factor>0.3</fee-reduction-factor>
    <fee index="2" topay="no"/>
    <fee index="2a" topay="no"/>
    <fee index="2b" topay="no"/>
    <fee index="5" topay="no"/>
    <fee index="6" topay="no"/>
    <fee index="5e1" topay="no"/>
    <fee index="5e2" topay="no"/>
    <fee index="6r1" topay="no"/>
    <fee index="6r2" topay="yes"/>
    <type-of-fee standard="type-of-fee">
      <fee-factor user-input="true" topay="0.35" fee-factor>
        <fee-schedule>557</fee-schedule>
      </fee-factor>
      <fee-schedule>1620</fee-sub-amount>
      <fee-reduction-factor>0.55</fee-reduction-factor>
      <fee index="7" topay="no"/>
      <fee index="554" topay="no"/>
      <fee index="554r" topay="no"/>
      <fee index="555" topay="no"/>
      <fee index="555r" topay="no"/>
      <standard-fee>
        <fee-total-amount>651</fee-total-amount>
      </standard-fee>
    </type-of-fee>
  </standard-fee>
</parties>
```

Figure 218: 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

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**

![Figure 219: Fees PDF: selected reduced fees](image)

7.7.3 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 Payment GUI: selected fees](image)

**Figure 220: 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

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

7.7.4 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 selected 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 selected 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.

![Fee selection GUI: designation fee selected](image1)

**GUI EP(1038E) Fee Payment, Designation states sub-tab**

In this example, the option **Fewer than seven** is selected and four individual states are selected.

![Fee Payment GUI: designated states](image2)

**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
Importing data as XML

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

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.
### Figure 225: Fee Payment XML: designation fee and designated states

PDF epf1038.pdf

<table>
<thead>
<tr>
<th>Description of document</th>
<th>Original file name</th>
<th>Assigned file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fees</td>
<td>Factor applied</td>
<td>Fee schedule</td>
</tr>
<tr>
<td>15-155 Designation fee</td>
<td>5</td>
<td>4</td>
</tr>
<tr>
<td>16-55 Designation fee</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td>17-555 Designation fee</td>
<td>1</td>
<td>11</td>
</tr>
<tr>
<td>18-5555 Designation fee</td>
<td>11</td>
<td>12</td>
</tr>
<tr>
<td>Total</td>
<td>EUR</td>
<td>1</td>
</tr>
</tbody>
</table>

### Figure 226: Fee Payment PDF: designation fee and designated states
7.8  EP(1038E) – Annotations

GUI EP(1038E) Annotations

![Annotations GUI](image)

**Figure 227: Annotations GUI: note to EPO**

**Element list**

1. Note 1
2. Author
3. Subject
4. Date created
5. Text

**XML ep-sfd-request.xml**

```xml
<notes-to-EPO page="Annotate" id="note1">
  <author>Luigi Scorcese</author>
  <subject>New representative</subject>
  <note>Mr. David Kilburn, IP Partners, has now taken over the representation of Mr. Salvatore Manzoni, Borgheae S.A.
  His authorisation has been attached.</note>
</notes-to-EPO>
```

*Figure 228: Annotations XML: note 1, entered by Luigi Scorcese*

**PDF epf1038.pdf**

![Annotations PDF](image)

*Figure 229: 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. 15) and References from XML files to other files (p. 16). Unlike in EP(1001E2K) and Euro-PCT(1200E2K), there is no application-body.xml file.

<table>
<thead>
<tr>
<th>File name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader.dtd</td>
<td>Indicates selected procedure and other data for transmission to filing office.</td>
</tr>
<tr>
<td>ep-opposition-data.xml</td>
<td>ep-xmit-opposition-data-v1.5.dtd</td>
<td>Application data as entered in Form EP(Oppo), references attached documents.</td>
</tr>
</tbody>
</table>

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>` child-element of `<other-doc>` 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

ℹ️ You cannot attach a combination of both public and non-public documents to Form EP(Oppo). If you attach non-public documents in the same form, you cannot submit a request by selecting one of the options in the Request tab or select a fee. Please use separate forms for public and non-public submissions to the EPO.

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>PACKDATAXML</td>
<td>package-data.xml</td>
<td>Receipt in XML format</td>
</tr>
<tr>
<td>RECXML</td>
<td>xmit-receipt.xml</td>
<td>Package</td>
</tr>
</tbody>
</table>
### REQUESTXML
- **ep-opposition-data.xml**
- **Package**

#### Leading Document
<table>
<thead>
<tr>
<th>Document</th>
<th>File Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2300E</td>
<td>ep-oppo.pdf</td>
<td>Notice of opposition to a European patent</td>
</tr>
<tr>
<td>2300E</td>
<td>ep-oppo.pdf</td>
<td>Notice of intervention to a European patent</td>
</tr>
<tr>
<td>ORALLETT</td>
<td>ep-oppo.pdf</td>
<td>Submission in opposition proceedings made following summons to oral proceedings</td>
</tr>
<tr>
<td>OPPOLETT</td>
<td>ep-oppo.pdf</td>
<td>Submission in opposition proceedings</td>
</tr>
</tbody>
</table>

#### Document code | EPO file name *) | Description
--- | --- | ---
TIPA1 | ep-oppo.pdf | Observations by third parties (Art. 115 EPC)
REQXML | ep-opposition-data.xml | XML file of data elements

#### Main attachments
<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>FACTS_ARGMTS</td>
<td>OPPO.pdf</td>
<td>Facts and arguments</td>
</tr>
<tr>
<td>OBSO3</td>
<td>OBSO3.pdf</td>
<td>Reply of the patent proprietor to the notice(s) of opposition</td>
</tr>
<tr>
<td>OPEX4</td>
<td>OPEX4.pdf</td>
<td>Reply to the communication concerning admissibility of an opposition</td>
</tr>
<tr>
<td>OREX3</td>
<td>OREX3.pdf</td>
<td>Reply to an examination report in opposition proceedings</td>
</tr>
<tr>
<td>DOBS3</td>
<td>DOBS3.pdf</td>
<td>Reply from the opponent to submission of proprietor</td>
</tr>
<tr>
<td>OPPOANNEX</td>
<td>OTHER-1.pdf</td>
<td>Any annexes (other than citation) to an opposition letter</td>
</tr>
<tr>
<td>TDOC</td>
<td>TDOC.pdf, TDOC-1.pdf</td>
<td>Observations/Citations filed by a third party</td>
</tr>
</tbody>
</table>

#### Evidence
<table>
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<tr>
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<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>PATENT</td>
<td>Published-Evidence-1.pdf</td>
<td>Patent document</td>
</tr>
<tr>
<td>ARTICLE</td>
<td>Published-Evidence-1.pdf</td>
<td>Non-patent literature – article</td>
</tr>
<tr>
<td>BOOK</td>
<td>Published-Evidence-1.pdf</td>
<td>Non-patent literature – book</td>
</tr>
<tr>
<td>DATABASE</td>
<td>Published-Evidence-1.pdf</td>
<td>Non-patent literature – database</td>
</tr>
<tr>
<td>INTERNET</td>
<td>Published-Evidence-1.pdf</td>
<td>Non-patent literature – internet</td>
</tr>
<tr>
<td>MODEL</td>
<td>Model-Reference-1.pdf</td>
<td>Cover letter for a non-scannable object</td>
</tr>
<tr>
<td>AFFIDAVIT</td>
<td>Affidavit-1.pdf</td>
<td>Affidavit</td>
</tr>
<tr>
<td>IMAGE</td>
<td>evidence-image-1.pdf</td>
<td>Image or photo (PDF)</td>
</tr>
<tr>
<td>--------------</td>
<td>----------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>EVDNCE_TRAN</td>
<td>Evidence-Tran-1.pdf</td>
<td>Translation of a citation</td>
</tr>
<tr>
<td>EVDNCE_OTHER</td>
<td>Other-evidence-1.pdf</td>
<td>Other evidence</td>
</tr>
</tbody>
</table>

Optional additional files

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<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1004</td>
<td>SPECAUTH-1.pdf</td>
<td>Specific authorisation</td>
</tr>
<tr>
<td>1003</td>
<td>GENAUTH-1.pdf</td>
<td>General authorisation</td>
</tr>
<tr>
<td>2936</td>
<td>ADVOFDELIVRY.pdf</td>
<td>Acknowledgement</td>
</tr>
<tr>
<td>MAINREQ-O</td>
<td>MAINREQ-1.pdf</td>
<td>Main request in opposition</td>
</tr>
<tr>
<td>AUXREQ-O</td>
<td>AUXREQ-1.pdf</td>
<td>Auxiliary request in opposition</td>
</tr>
<tr>
<td>CD-FREP</td>
<td>CD-FREP-1.pdf</td>
<td>Document containing information about further representatives</td>
</tr>
<tr>
<td>CDAPPR-CHOA</td>
<td>CDAPPR-CHOA-1.pdf</td>
<td>Request for change of address – proprietor</td>
</tr>
<tr>
<td>CDAPPR-CHON</td>
<td>CDAPPR-CHON-1.pdf</td>
<td>Request for change of name – proprietor</td>
</tr>
<tr>
<td>CDAPPR-CHOR</td>
<td>CDAPPR-CHOR-1.pdf</td>
<td>Request for change of proprietor's representative</td>
</tr>
<tr>
<td>CDAPPR-TOR</td>
<td>CDAPPR-TOR-1.pdf</td>
<td>Request for transfer of rights – proprietor</td>
</tr>
<tr>
<td>CDOPPO-CHOA</td>
<td>CDOPPO-CHOA-1.pdf</td>
<td>Request for a change of address – opponent</td>
</tr>
<tr>
<td>CDOPPO-CHON</td>
<td>CDOPPO-CHON-1.pdf</td>
<td>Request for change of name – opponent</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CDOPPO-CHOR</td>
<td>CDOPPO-CHOR-1.pdf</td>
<td>Request for change of opponent's representative</td>
</tr>
<tr>
<td>CDOPPO-TOR</td>
<td>CDOPPO-TOR-1.pdf</td>
<td>Request for transfer of rights – opponent</td>
</tr>
<tr>
<td>CLMS</td>
<td>CLMS-1.pdf</td>
<td>Claims</td>
</tr>
<tr>
<td>CLMSTRAN-DE</td>
<td>CLMSTRAN-DE-1.pdf</td>
<td>German translation of claims</td>
</tr>
<tr>
<td>CLMSTRAN-EN</td>
<td>CLMSTRAN-EN-1.pdf</td>
<td>English translation of claims</td>
</tr>
<tr>
<td>CLMSTRAN-FR</td>
<td>CLMSTRAN-FR-1.pdf</td>
<td>French translation of claims</td>
</tr>
<tr>
<td>CLMS-CLEAN-R82</td>
<td>CLMS-CLEAN-R82.pdf</td>
<td>Clean copy of amended claim(s)</td>
</tr>
<tr>
<td>DESC-CLEAN-R82</td>
<td>DESC-CLEAN-R82.pdf</td>
<td>Clean copy of amended description</td>
</tr>
<tr>
<td>DRAW-CLEAN-R82</td>
<td>DRAW-CLEAN-R82.pdf</td>
<td>Clean copy of amended drawing(s)</td>
</tr>
<tr>
<td>PRIO</td>
<td>PRIO-1.pdf</td>
<td>Document concerning the priority claims</td>
</tr>
<tr>
<td>PRIOTRAN</td>
<td>PRIOTRAN-1.pdf</td>
<td>Translation of priority document</td>
</tr>
<tr>
<td>RDEC</td>
<td>RDEC-1.pdf</td>
<td>Request for a decision</td>
</tr>
<tr>
<td>REES</td>
<td>REES-1.pdf</td>
<td>Request for re-establishment of rights</td>
</tr>
<tr>
<td>Document Code</td>
<td>Document Name</td>
<td>Description</td>
</tr>
<tr>
<td>----------------</td>
<td>--------------------------------</td>
<td>--------------------------------------------------</td>
</tr>
<tr>
<td>REESGROUNDS</td>
<td>REESGROUNDS-1.pdf</td>
<td>Grounds for re-establishment of rights</td>
</tr>
<tr>
<td>TIMEEXTREQ</td>
<td>TIMEEXTREQ.pdf</td>
<td>Substantiation of the request for time extension</td>
</tr>
<tr>
<td>Non-public documents</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ANNEX-NP</td>
<td>ANNEX-NP-1.pdf</td>
<td>Non-public annex</td>
</tr>
<tr>
<td>FICO</td>
<td>FICO-1.pdf</td>
<td>Request for certified copies of the application</td>
</tr>
<tr>
<td>FISP</td>
<td>FISP-1.pdf</td>
<td>Request for inspection of the file</td>
</tr>
<tr>
<td>MEDA</td>
<td>MEDA-1.pdf</td>
<td>Medical certificate</td>
</tr>
<tr>
<td>Other document codes PDF related</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ADVOFDELIVRY</td>
<td>ADVOFDELIVRY-1.pdf</td>
<td>Advice of delivery</td>
</tr>
<tr>
<td>FEESHEETINT</td>
<td>feesheetint.pdf</td>
<td>Annex</td>
</tr>
<tr>
<td>FEESHEETPDF</td>
<td>Fees.pdf</td>
<td>Document concerning the payment of fees</td>
</tr>
<tr>
<td>OTHERPDF</td>
<td>OTHER-1.pdf</td>
<td>Annex</td>
</tr>
<tr>
<td>RECPDF</td>
<td>receipt.pdf</td>
<td>(Electronic) Receipt</td>
</tr>
<tr>
<td>Other document codes ZIP related</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OLF-ARCHIVE</td>
<td>OLF-ARCHIVE.zip</td>
<td>Preconversion OLF archive</td>
</tr>
<tr>
<td>Graphic files</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OTHERTIF</td>
<td>&lt;filename&gt;.tif</td>
<td>Other</td>
</tr>
<tr>
<td>SIGNIMGTIF</td>
<td>&lt;Request&gt;-signature-1.tif</td>
<td>Unexpected/undefined document</td>
</tr>
<tr>
<td>SIGNIMGJPG</td>
<td>&lt;Request&gt;-signature-1.jpg</td>
<td>Unexpected/undefined document</td>
</tr>
</tbody>
</table>

*) 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  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

![Opposition GUI, Reference sub-tab for notice of opposition or intervention](image)

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 Bulle

(7) Title of invention

(8) Proprietor of the patent (first named)

(9) Opponent selected as external party, see Names – Example 1: Opposition by multiple opponents, first-named opponent represented by employee, separate address for correspondence (p. 207)

(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**

```xml
1  <?xml version='1.0' encoding='UTF-8'?>
2  <!DOCTYPE PE ep-xml-opposition-data SYSTEM "ep-xml-opposition-data.dtd">
3  <ep-xml-opposition-data lang="en" dtd-version="1.0" date-produced="20100821 17:20:13">
4    <!--software_name xULF-->
5    <!--software_version FMWINQR3027, EPDPPO60327, FM_NOTIFY-->
6    <!--stylesheet_version 1-->
7    <!--log_version Version 0.20.6-->
8    <file-reference-id>Opp_1_el_oppon</file-reference-id>
9    <publication-reference>
10       <document-id lang="en">
11       <country>EP</country>
12          <doc-number>EP736724</doc-number>
13          </document-id>
14          <application-reference>
15             <document-id lang="en">
16             <country>EP</country>
17                <doc-number>EP10648321.8</doc-number>
18                </document-id>
19                <gazette-reference>
20                   <gazette-num>
21                      <date>20100801</date>
22                      </gazette-num>
23                      <invention-title>Instant Water</invention-title>
24                      </gazette-reference>
25                      <assignees>
26                           <assignee>
27                              <name>Manzoni, Salvatore</name>
28                              </assignee>
29                      </assignees>
30                      <opposition-external-party external-party-relation="opponent">
31                      <opposition-notice>
32                      <ep-electronic-files doc-type="2000E">
33                      <ep-financial-data cur="EUR">
34                      <ep-xml-opposition-data>
```

**Figure 231: Opposition XML: data for reference to the patent opposed**
### Notice of opposition to a European patent

**I. Patent opposed**
- **Patent No.**
- **Application No.**
- **Date of entry of the grant in the European Patent Bulletin (Art. 97(3), Art. 99(1) EPC)**
- **Title of the invention**

**II. Proprietor of the patent**
- **First name in the patent specification**
- **Proprietor or representative’s reference**

**III. Opponent**
- **Name**

---

**8.3.2 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

- **Notice of opposition or intervention**
- **Other action (request, submission, payment, third-party observation)**

**Element list**

1. Other action, determined by the `<ep-opposition-submission>` element
2. Action follows summons to oral proceedings
3. Proprietor role selected

---

*Figure 232: Opposition PDF: Notice of opposition*

*Figure 233: Opposition GUI: other action 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. 183).

XML ep-opposition-data.xml

Figure 234: XML data for submission of a document by the patent proprietor

PDF ep-oppo.pdf

Figure 235: PDF form for submission in opposition proceedings, proprietor is represented by an attorney firm

8.3.3 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

![Opposition GUI: Grounds for opposition](image)

**Opposition filed against specific claims**

![Opposition against specific claims](image)

**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

```
<opposition>
  <external-party>
    <opp-identified>
      <opponent>
        <first-name></first-name>
        <last-name></last-name>
      </opponent>
      <party>
        <legal-person>
          <name></name>
          <address></address>
        </legal-person>
      </party>
    </opp-identified>
    <opposition-party>
      <role>external-party</role>
    </opposition-party>
  </external-party>
  <opposition-notice>
    <text></text>
  </opposition-notice>
  <opposition-features>
    <exist-opposition></exist-opposition>
    <opposition-filled-against>
      <opposition-agreement>
        <opposition-agreement-party>
          <role>opposition-party</role>
        </opposition-agreement-party>
      </opposition-agreement>
    </opposition-filled-against>
    <opposition-subject-matter>
      <subject-matter>
        <claim-number>1-15</claim-number>
        <subject-matter-extension>
          <extension>
            <other-ground></other-ground>
          </extension>
        </subject-matter-extension>
      </subject-matter>
    </opposition-subject-matter>
    <opposition-grounds>
      <ground>
        <article-number>80</article-number>
        <case-reference-number></case-reference-number>
      </ground>
    </opposition-grounds>
  </opposition-features>
</opposition>
```

Figure 238: XML data: grounds for opposition

Opposition filed against specific claims

```
<opposition>
  <external-party>
    <opp-identified>
      <opponent>
        <first-name></first-name>
        <last-name></last-name>
      </opponent>
      <party>
        <legal-person>
          <name></name>
          <address></address>
        </legal-person>
      </party>
    </opp-identified>
    <opposition-party>
      <role>external-party</role>
    </opposition-party>
  </external-party>
  <opposition-notice>
    <text></text>
  </opposition-notice>
  <opposition-features>
    <exist-opposition></exist-opposition>
    <opposition-filled-against>
      <opposition-agreement>
        <opposition-agreement-party>
          <role>opposition-party</role>
        </opposition-agreement-party>
      </opposition-agreement>
    </opposition-filled-against>
    <opposition-subject-matter>
      <subject-matter>
        <claim-number>12, 13, 14, 15</claim-number>
        <subject-matter-extension>
          <extension>
            <other-ground></other-ground>
          </extension>
        </subject-matter-extension>
      </subject-matter>
    </opposition-subject-matter>
    <opposition-grounds>
      <ground>
        <article-number>80</article-number>
        <case-reference-number></case-reference-number>
      </ground>
    </opposition-grounds>
  </opposition-features>
</opposition>
```

Figure 239: XML data: opposition is filed against the claims specified

PDF ep-opppo.pdf

```
V. Opposition is filed against
   the patent as a whole:
      ☑

VI. Grounds for opposition:

   Opposition is based on the following grounds:
   (a) the subject matter of the European patent opposed is not
   patentable (Art. 100(a) EPC) because:
      ☑
      (i) it is not new (Art. 52(1); Art. 54 EPC)
      ☑
      (ii) it does not involve an inventive step (Art. 52(2); Art. 56 EPC)
      ☑
      (iii) it is not excluded for other grounds, namely:
      ☑
      ☑
      ☑
   (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)
   ☑
   (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)
   ☑

Figure 240: Opposition PDF: grounds for opposition
8.4 EP(Oppo) – Names

8.4.1 Opposition by multiple opponents, first-named opponent represented by employee, 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

![Names GUI: First opponent represented by employee](image1)

**Figure 241:** Names GUI: First opponent represented by employee

GUI EP(Oppo) Opposition, Names tab, address for correspondence data

![Names GUI: Address for correspondence connected with the first-named opponent](image2)

**Figure 242:** 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.
The `<registered-number>` element is not required in the XML import file.

(1) Role of the external party is opponent
(2) Opponent 1
(3) Company name, legal person
(4) Department
(5) Country
(6) Address
(7) P.O. box number
(8) Postal code
(9) City
(10) County (for addresses in GB)
(11) Telephone
(12) Telefax
(13) E-mail
(14) Principal place of business
(15) Opponent 2
(16) Opponent 3
(17) Address for correspondence is address of opponent 1
(18) Opponent 1 represented by an employee
(19) Last name of employee
(20) First name of employee
(21) Title of employee
(22) Number of General Authorisation registered with the EPO
(23) Address for correspondence: department of opponent 1
(24) Address for correspondence: country of opponent 1
(25) Address for correspondence: street and number of opponent 1
(26) Address for correspondence: P.O. box of opponent 1
(27) Address for correspondence: postal code of opponent 1
(28) Address for correspondence: city of opponent 1
(29) Address for correspondence: county of opponent 1 (for addresses in GB)
XML ep-opposition-data.xml, multiple opponents

Figure 243: XML data for multiple opponents, represented by employee

[...]

EPO Online Filing 5.12
Importing data as XML
PDF ep-oppo.pdf, Form 2300E
Names and addresses of further opponents (14, 15) are listed on the additional sheet to EPO Form 2300E.

Figure 245: Opposition form PDF: First opponent's name and address

[...]
8.4.2 Opposition by intervener

The example shows each one intervener, representative and witness.

GUI EP(Oppo) Opposition, Names tab

![Image of GUI showing 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.

The `<registered-number>` element is not required in the XML import file.

(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) P.O. box number
(11) Postal code
(12) City
(13) County (for addresses in GB)
(14) Telephone
(15) Telefax
(16) E-mail
(17) Nationality (not required for legal persons)
(18) Residence
(19) Representatives
(20) Representative 1 (with address data)
(21) Witness (only natural persons allowed)
(22) Last name
(23) First name
(24) Title
(25) Witness to be summoned via opponent
(26) Witness' address data (alternative to 25)
Figure 248: Names XML: intervener's data and witness

PDF ep-oppo.pdf, intervener
PDF ep-oppo.pdf, additional sheet with witness’ data

8.4.3 Proprietor responds to the opposition

The example shows the representative’s data, the proprietor and a witness.

GUI EP(Oppo) Opposition, Names tab
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. The `<registered-number>` element is not required in the XML import file.

1. Patent proprietor(s)
2. Proprietor 1
3. Representative(s)
4. Representative 1
5. Witnesses
6. Witness 1
7. Company name, legal person
8. Department
9. Association No. (if applicable)
10. Country
11. Address
12. P.O. box number
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
(21) Witness' address data

**XML ep-opposition-data.xml, proprietor and representative**

```
<ep-opposition-proprietor>
  <file-reference-id>
    <appli
```
8 Form EP(Oppo) – EP opposition procedure

Figure 253: 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.

Figure 254: Submission form PDF: Request for hearing of a witness and witness’ address

8.4.4 Third party files evidence
The example shows the third party’s data.

GUI EP(Oppo) Opposition, Names tab
**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. Only a name (company name or last name) are required for a third party. However, it is recommended to supply an address for correspondence.

(1) Third party(parties)
(2) Third party 1
(3) Company name, legal person
(4) Department
(5) Country
(6) Address
(7) P.O. box number
(8) Postal code
(9) City
(10) Region (applicable for counties in GB)

**XML ep-opposition-data.xml, third party**
8.5 EP(Oppo) – Requests

The options available in the Online Filing software depend on the settings made in the Opposition and Names tabs.

---

Figure 256: Names XML: data on third party

PDF ep-oppo.pdf, third party

Figure 257: PDF Observation by third parties (Art. 115 EPC): name and address
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. Third parties cannot file any requests. The following examples illustrate most of the possible combinations.

### 8.5.1 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 tab. In addition, this example shows the filing of more requests by the opponents: request for oral proceedings with auxiliarily option, request for interpreting, request for accelerated processing and another individual request. The same options are also available for the interveners in case of notice of intervention. GUI

**EP(Oppo), Requests tab**

![Figure 258: Requests GUI: Requests submitted by the opponents](image)

**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

```xml
<assignees>
  <ep-opposition-external-party external-party-role="opponent">
    <ep-external-party-participants>
      <ep-external-party-participant sequence="1"/>
      <ep-external-party-participant sequence="2"/>
      <ep-external-party-participant sequence="3"/>
    </ep-external-party-participants>
  </ep-opposition-external-party>
</assignees>

<opposition-expert-witness>
</opposition-expert-witness>

<opposition-filed-against>
</opposition-filed-against>

<grounds-for-opposition>
</grounds-for-opposition>

<ep-submission-request request-type="oral-proceedings" auxiliary-request="yes"/>
<ep-submission-request request-type="interpretation-oral-proceedings">
  <interpretation-oral-proceedings lang-speaking="fr" lang-listening="fr"/>
</ep-submission-request>
<ep-submission-request request-type="hearing-of-witness"/>
<ep-submission-request request-type="acceleration-proceedings"/>
</ep-submission-request>
<ep-submission-request-comment>
  <p>Pending infringement proceedings in a national court</p>
</ep-submission-request-comment>
</ep-submission-request>
<ep-submission-request request-type="other"/>
<ep-submission-request-comment>
  <p>We request access for file inspection</p>
</ep-submission-request-comment>
</ep-submission-request>
</ep-opposition-notice>
```

Figure 259: XML data: Requests by opponent
8.5.2 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

![Request GUI: Withdrawal of opposition](image)

Element list

1. Request for withdrawal of opposition
2. Submission in opposition proceedings selected
3. Opponent is named

XML ep-opposition-data.xml

```xml
<opposition-submission-request request-type="opposition-withdrawal">
  <opponent-external-party external-party-role="opponent">
    <opponent-external-party-participants>
      <opponent-external-party-participant sequence="1"/>
    </opponent-external-party-participants>
  </opponent-external-party>
</opposition-submission-request>
```

Figure 262: XML data: Request for withdrawal of opposition
8.5.3 Proprietor withdraws request for oral proceedings

The example shows the *withdrawal of request for oral proceedings* by the proprietor and the *request for extension of the time limit*. The substantiation of the request must be attached as a separate document.

**GUI EP(Oppo), Requests tab**

*Figure 264: Requests GUI: Requests by proprietor*

**Element list**

1. Withdrawal of request for oral proceedings
2. Request for extension of the time limit
3. Document type: *Substantiation of the request for time extension*
4. Original file name
5. EPO file name

**XML ep-opposition-data.xml**

*Figure 265: Requests XML: Proprietor's requests*
8.5.4 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

Figure 267: 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

```xml
<caseheader>
<file-reference-id/>
<applicant>
<app-opposition-Proprietor/>
</applicant>
<op-opponents>
<applicant sequence="1" designation="as-indicated" app-type="applicant">
</applicant>
</op-opponents>
<op-opposition-submission after-summons-to-op="yes">
<opposition-expert-witness>
</opposition-expert-witness>
<op-opposition-submission-requests>
<op-submission-request request-type="revocation"/>
</op-opposition-submission-requests>
</op-opposition-submission>
</caseheader>
```
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. 183).

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. 210)
- Documents – Example 2: Second communication by opponent (p. 213)
- Documents – Example 3: Reply to opposition by proprietor (p. 215)
- Documents – Example 4: Third party observations (p. 218)

The options in the Evidence – publications (p. 219) and Evidence – other (p. 231) sub-tabs are identical for all cases of communication and persons.

8.6.1 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

![Image of Documents GUI](image_url)

**Figure 270: 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>Opp_1st_oppon</file-reference-id>
9 | <publication-reference>
15 | <application-reference>
21 | <gazette-reference>
25 | <invention-title>Instant Water</invention-title>
26 | <assignees>
31 | <opposition-external-party external-party-role="opponent">[8]
123 | <opposition-notice>
171 | <opposition-evidence party-reference="BE4">[8]
184 | <opposition-evidence party-reference="BE1">[8]
206 | <opposition-evidence party-reference="BE6">[8]
229 | <opposition-evidence party-reference="BE7">[8]
247 | <opposition-evidence party-reference="BE2">[8]
266 | <ep-electronic-files doc-type="2300E">[8]
267 | <applicant-file-name/>
288 | <epo-file-name>ep-oppo.pdf</epo-file-name>
269 | <ep-electronic-files>
270 | <ep-electronic-files doc-type="FACTS_ARGS">[5]
271 | <applicant-file-name>Micro York Opposition Instant Water.pdf</applicant-file-name>
272 | <epo-file-name>OPPO.pdf</epo-file-name>
273 | <ep-electronic-files>
274 | <ep-electronic-files doc-type="CD-FREP">[7]
275 | <applicant-file-name>Micro York Representative Info.pdf</applicant-file-name>
276 | <epo-file-name>CD-FREP1.pdf</epo-file-name>
277 | <ep-electronic-files>
278 | <ep-electronic-files doc-type="PATENT">[7]
282 | <ep-electronic-files doc-type="ARTICLE">[7]
286 | <ep-electronic-files doc-type="BOOK">[7]
293 | <ep-electronic-files doc-type="DATABASE">[7]
294 | <ep-electronic-files doc-type="INTERNET">[7]
298 | <ep-financial-data currency="EUR">[7]
395 | <ep-xmtp-opposition-data>
```

Figure 271: Documents data in XML file
XML package-data.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE package-data SYSTEM "package-data.dtd">
<package-data lang="en" dtd-version="1.0" produced-by="applicant">
  <signatures>
    <application-request file="ep-opposition-data.xml">
    </application-request>
    <other-documents>
      <other-doc file="ep-oppo.pdf" file-type="pdf">
        <document-name>2300E</document-name>
      </other-doc>
      <other-doc file="ep-opposition-data.xml" file-type="xml">
        <document-name>REXML</document-name>
      </other-doc>
      <other-doc file="OPPO.pdf" file-type="pdf">
        <document-name>FACTS_ARGMITS</document-name>
        <document-name>Document containing information about further representatives</document-name>
      </other-doc>
      <other-doc file="CD-FREP-1.pdf" file-type="pdf">
        <document-name>Published-Evidence-1.pdf</document-name>
        <document-name>Published-Evidence-2.pdf</document-name>
        <document-name>Published-Evidence-3.pdf</document-name>
        <document-name>Published-Evidence-4.pdf</document-name>
        <document-name>Published-Evidence-5.pdf</document-name>
      </other-doc>
    </other-documents>
  </signatures>
</package-data>
```

*Figure 272: References to attached files in package-data.xml*

**PDF ep-oppo.pdf**

<table>
<thead>
<tr>
<th>Attached document files</th>
<th>Original file name</th>
<th>System file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>B-1</td>
<td>Facts and arguments 5 Micro York Opposition Instant Water.pdf</td>
<td>OPPO.pdf 2</td>
</tr>
<tr>
<td>B-2</td>
<td>Document containing information about further representatives 7 CD-FREP-1.pdf</td>
<td>OPPO.pdf 3</td>
</tr>
</tbody>
</table>

*Figure 273: Documents PDF: files attached by opponent*

**8.6.2 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**

![Documents GUI: Opposition files documents in second communication](image)

**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**

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.

```
<ep-opposition-external-party external-party-role="opponent">
  <ep-opposition-submission after-summons-to-op="true">
    <ep-electronic-files doc-type="OPPOLETT">
      <ep-file-name>ep-opps.pdf</ep-file-name>
      <ep-electronic-files>
        <ep-electronic-files doc-type="OPEX4">
          <applicant-file-name>Reply to the communication concerning admissibility.pdf</applicant-file-name>
          <ep-file-name>OPEX4.pdf</ep-file-name>
        </ep-electronic-files>
        <ep-electronic-files doc-type="DOBS3">
          <applicant-file-name>Reply to observations made by the patent proprietor.pdf</applicant-file-name>
          <ep-file-name>DOBS3.pdf</ep-file-name>
        </ep-electronic-files>
      </ep-electronic-files>
    </ep-electronic-files>
  </ep-opposition-submission>
</ep-opposition-external-party>
```

**Figure 275: Documents XML: attachments by opponent in 2nd communication**
8.6.3 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
- Non-public documents
  - Medical certificate
  - Non-public annex
  - Request for certified copies of the application
  - Request for inspection of the file • 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
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.
8 Form EP(Oppo) – EP opposition procedure

Figure 278: Documents XML: attached documents in 2nd communication by proprietor

PDF ep-oppo.pdf

Figure 279: Documents XML: attachments for submission in opposition proceedings
8.6.4 Third party observations

The options for attaching documents by third parties are restricted to the document type *Observations/Citations filed by a third party*. Multiple documents may be attached; the EPO file names are numbered consecutively.

**EP(Oppo) Documents GUI, Documents sub-tab**

Figure 280: Documents GUI: Third party files observations

**Element list**

1. Document type *Observations/Citations filed by a third party*
2. EPO file name
3. Original file name
4. Document type *Observations/Citations filed by a third party*
5. EPO file name
6. Original file name
7. Document type *Observations by third parties (Art. 115 EPC)*
8. EP(Oppo) PDF form

**XML ep-opposition-data.xml**

Note that the document code for the EP(Oppo) form is **TIPA1** for all communication by third parties.
8.6.5 Publications

Data related to published evidences figure both as XML elements with various child elements and as PDF documents. The examples show 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**

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.
8.6.6 Publications: patents

GUI EP(Oppo) Documents, Evidence – publications sub-tab, Patent publication

Figure 283: Documents XML: all attachments listed with document type, applicant's file name and EPO file name
Figure 284: 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">
172 <patent name="1" file="Published-Evidence-1.pdf">
173 <document-id file="av">
174 <country>DE</country>
175 <doc-number>DE 1070040</doc-number>
176 <kind>C2</kind>
177 <date>20050729</date>
178 </document-id>
179 <ref-passage>
180 <text>page 4, lines 18-29</text>
181 </ref-passage>
182 </patent>
183 </ep-opposition-evidence>
```

Figure 285: XML data for citation of a patent

PDF ep-opppo.pdf, Evidence section: patent

```
4 B04  Patent document
1

DEDE 1070040 (C2), 29.07.2009
particular relevance page 4, lines 18-29
original file name B04_pulverisierter_wasser_patent.pdf
attached as Published-Evidence-1.pdf
```

Figure 286: Evidence PDF: patent
8.6.7 Articles

GUI EP(Oppo) Documents, Evidence – publications sub-tab, Articles publication

Figure 287: 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) ISBN number
(14) Passages of particular relevance
XML ep-opposition-data.xml, data for article publication

```
<ep-opposition-evidence party-reference="B01">  
  <file name="Published-Evidence-2.pdf">  
  <article>  
    <author>  
      <last-name>Foster</last-name>  
      <first-name>Joseph</first-name>  
      <suffix>et al.</suffix>  
    </author>  
    <title>Process of humidification of surfaces using powdered water</title>  
    <pub-date>20030109</pub-date>  
    <issn>9773-1234-5678-3</issn>  
    <serial>  
    </serial>  
    <article>  
      <rel-passage>  
        text page 35, fig 5  
      </rel-passage>  
    </article>  
  </article>  
</ep-opposition-evidence>  
```

Figure 288: XML data for citation of an article

PDF ep-oppo.pdf, Evidence section: non-patent literature - article

```
Evidence presented  
B01 Non-patent literature - article  
Foster, Joseph et al., "Process of humidification of surfaces using powdered water"  
Nanotechnology - Progress in surface treatments, Vol. 3, No. 15, 19 August 2006  
ISSN: 9773-1234-5678-3  
original reference: page 35, fig. 5  
attached as: Published-Evidence-2.pdf
```

Figure 289: Evidence PDF: article
8.6.8 Evidence – publications: books

GUI EP(Oppo) Documents, Evidence – publications sub-tab, Books publication

Figure 290: 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

```xml
<ep-opposition-evidence party-reference="BO6">  
  <epitext num="3" file="Published-Evidence-3.pdf">
    <book>
      <author>
        <last-name>Kensington</last-name>
        <first-name>Harold</first-name>
      </author>
      <edition>3rd</edition>
      <imprint>Singapore</imprint>
      <name>Blackwater House Publishers</name>
      <pubdate>2009</pubdate>
      <isbn>978-3-4321-8785-3</isbn>
    </book>
  </epitext>
</ep-opposition-evidence>
```

Figure 291: XML data for citation of a book

PDF ep-opppo.pdf, Evidence section: non-patent literature - book

Figure 292: Evidence PDF: book
8.6.9   Publications: database

GUI EP(Oppo) Documents, Evidence – publications sub-tab, Database publication

Figure 293: 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

```xml
<ep-opposition-evidence>
  <title>Research Database of the Institute of Polymer Research</title>
  <author>Institute of Polymer Research</author>
  <online-title>Research Database of the Institute of Polymer Research</online-title>
  <pubdate>20090325</pubdate>
  <host>http://www.polymer.org/research/database.php</host>
  <url>http://www.polymer.org/research/database.php</url>
  <date>20100604</date>
</ep-opposition-evidence>
```

Figure 294: XML data for citation of database

PDF ep-oppo.pdf, Evidence section: non-patent literature - database

Figure 295: Evidence PDF: database
8.6.10 Publications: internet

GUI EP(Oppo) Documents, Evidence – publications sub-tab, Internet publication

Figure 296: 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
8.6.11 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 2\textsuperscript{nd} communication.

**EP(Oppo) Documents GUI, Evidence – other sub-tab**
Figure 299: 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**

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td>D04</td>
<td>Other evidence</td>
</tr>
<tr>
<td>6</td>
<td>D06</td>
<td>Other evidence</td>
</tr>
<tr>
<td>2</td>
<td>D07</td>
<td>Other evidence</td>
</tr>
<tr>
<td>19</td>
<td>D08</td>
<td>Other evidence</td>
</tr>
<tr>
<td>14</td>
<td>D12</td>
<td>Other evidence</td>
</tr>
</tbody>
</table>

*Figure 300: Documents PDF: Evidence filed subsequently by opponent*
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 1\textsuperscript{st} and in 2\textsuperscript{nd} communication.
- Fee 009, 013, 017, 018 and 056 are available for the proprietor, i.e. in 2\textsuperscript{nd} 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 \texttt{<fee-sub-amount>}, \texttt{<fee-factor>} and \texttt{<fee-schedule>} elements just have to be filled using the appropriate values.
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).

You can retrieve the most recent fee schedule in the Online Filing File Manager under *Tools > Fee Management* or from the EPO website under 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.

![Figure 302: Payment details GUI](image)

**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**

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

---

**PDF ep-oppo.pdf**

**Payment**

Mode of payment: Debit from deposit account

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**

Any refunds should be made to EPO deposit account: 28405060

Account holder: IP Partners

---

Figure 303: Fee Payment XML data for payment details

Figure 304: Payment details PDF, mode of payment
8.7.2 **Opponent**

The example below shows fees selected by the opponent.

**EP(Oppo) Fee Payment GUI, Fee selection details sub-tab**

![Diagram of the EP(Oppo) Fee Payment GUI](image)

*Figure 305: 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

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 ep-opppo.pdf

Figure 306: Fee selection XML data

Figure 307: Fees in PDF form
8.7.3 Proprietor

The example shows fees selected by the proprietor of the patent.

**EP(Oppo) Fee Payment GUI, Fee selection details sub-tab**

![Image of Fee Payment GUI](image)

*Figure 308: 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
8.8  EP(Oppo) – Annotations

GUI EP(Oppo) Annotations

Figure 311: Annotations GUI: note to EPO

Element list:
(1)  Note 1
XML ep-opposition-data.xml

```xml
<ep-notes-to-EPO page="Annotate" id="note1">
  <author>
    <name>Berger, Marc</name>
  </author>
  <subject>Representation</subject>
  <date>2010-08-04</date>
  <text>Sophie Bresson, my successor at Associés Leflèvre, is going to take over her duties starting August 4, 2010. Separate communication will be made to the EPO concerning this matter.</text>
</ep-notes-to-EPO>
```

Figure 312: Annotations XML: note 1

PDF ep-oppo.pdf

Figure 313: 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 \EP0_OKLFS\pct\dtd folder (the folder with the highest version number, e.g. \1.10).

The following XML files are required in order to import PCT/RO/101 applications:

<table>
<thead>
<tr>
<th>File name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mandatory files</td>
<td></td>
<td></td>
</tr>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader-v1-4.dtd</td>
<td>Indicates selected procedure and other data for transmission to receiving office.</td>
</tr>
<tr>
<td>package-data.xml</td>
<td>package-data-v1-7.dtd</td>
<td>References attached documents, except those already referenced in application-body.xml or other XML files.</td>
</tr>
<tr>
<td>application-body.xml</td>
<td>application-body-v1-7.dtd</td>
<td>(a) References attached documents as part of international application. (b) Contains complete text of patent specification with referenced files for drawings.</td>
</tr>
<tr>
<td>request.xml</td>
<td>request-v1-9.dtd</td>
<td>Application data as entered in Form PCT/RO/101, references other attached documents.</td>
</tr>
<tr>
<td>fee-sheet.xml</td>
<td>fee-sheet-v1-9.dtd</td>
<td>Lists all selected fees and contains details of mode of payment.</td>
</tr>
<tr>
<td>Optional files</td>
<td></td>
<td></td>
</tr>
<tr>
<td>declaration.xml</td>
<td>declaration-v1-6.dtd</td>
<td>Contains details and/or full text of declarations (five standard declarations possible).</td>
</tr>
<tr>
<td>indication-bio-deposit.xml</td>
<td>indication-bio-deposit-v1-3.dtd</td>
<td>Contains details of biological materials as indicated in application.</td>
</tr>
<tr>
<td>power-of-attorney.xml</td>
<td>power-of-attorney-v1-5.dtd</td>
<td>(a) Contains details of attorney and signature of applicant. (b) References attached document containing general or separate power of attorney.</td>
</tr>
<tr>
<td>Internal files (not to be imported)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The XML structure of the `application-body.xml` file is similar to EP(1001E2K) applications (see "References from XML files to other files" p. 16). 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. 277) 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.

The complete `<transmittal-info>` element is contained in the `package-data.xml` file in identical form.
Figure 314: 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.

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>File type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABST</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Abstract</td>
</tr>
<tr>
<td>APPBODYXML</td>
<td>application-body</td>
<td>XML</td>
<td>Application body XML file</td>
</tr>
<tr>
<td>EGATEADIXML</td>
<td>additional-info.xml</td>
<td>XML</td>
<td></td>
</tr>
<tr>
<td>RECXML</td>
<td>xmit-receipt.xml</td>
<td>XML</td>
<td>Receipt in XML format</td>
</tr>
<tr>
<td>BIODEPXML</td>
<td>indication-bio-deposit</td>
<td>XML</td>
<td>Indication bio deposit XML file</td>
</tr>
<tr>
<td>CLMS</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Claims</td>
</tr>
<tr>
<td>COPPOAPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Copy of general power of attorney</td>
</tr>
<tr>
<td>COPPOAXML</td>
<td>eolf-poat-000001 *)</td>
<td>XML</td>
<td>Copy of general power of attorney</td>
</tr>
<tr>
<td>COPPOAJPG</td>
<td>&lt;original filename&gt;</td>
<td>JPG</td>
<td>Copy of general power of attorney</td>
</tr>
<tr>
<td>DESC</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Description</td>
</tr>
<tr>
<td>DRAW</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Drawings</td>
</tr>
<tr>
<td>DRAWTXT</td>
<td>draw</td>
<td>TXT</td>
<td>Text for the figure of the drawings which should accompany the abstract</td>
</tr>
<tr>
<td>FEESHEETXML</td>
<td>fee-sheet</td>
<td>XML</td>
<td>Fee sheet XML file</td>
</tr>
<tr>
<td>GENPOAPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Original general power of attorney</td>
</tr>
</tbody>
</table>

#### Document code

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>File type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GENPOAXML</td>
<td>eolf-poat-000001 *)</td>
<td>XML</td>
<td>Original general power of attorney</td>
</tr>
<tr>
<td>INTTRANPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Translation of international application in PDF format</td>
</tr>
<tr>
<td>MICROORGPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Separate indication concerning deposited micro-organisms</td>
</tr>
<tr>
<td>-------------</td>
<td>-------------------</td>
<td>-----</td>
<td>----------------------------------------------------------</td>
</tr>
<tr>
<td>OLF-ARCHIVE</td>
<td>&lt;original filename&gt;</td>
<td>ZIP</td>
<td>Pre-conversion archive</td>
</tr>
<tr>
<td>OTHERJPG</td>
<td>&lt;original filename&gt;</td>
<td>JPG</td>
<td>Other (optional) JPEG document</td>
</tr>
<tr>
<td>OTHERPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Other (optional) PDF document</td>
</tr>
<tr>
<td>OTHERTIF</td>
<td>&lt;original filename&gt;</td>
<td>TIFF</td>
<td>Other (optional) TIFF document</td>
</tr>
<tr>
<td>OTHERXML</td>
<td>&lt;original filename&gt;</td>
<td>XML</td>
<td>Other (optional) XML document</td>
</tr>
<tr>
<td>PACKDATAXML</td>
<td>package-data</td>
<td>XML</td>
<td>Package data XML message</td>
</tr>
<tr>
<td>PCTDECLXML</td>
<td>declaration</td>
<td>XML</td>
<td>Declaration</td>
</tr>
<tr>
<td>REQUESTXML</td>
<td>request</td>
<td>XML</td>
<td>Request XML file</td>
</tr>
<tr>
<td>SEPPAOAPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Original separate power of attorney</td>
</tr>
<tr>
<td>SEPPOAXML</td>
<td>eolf-poat-000001 *)</td>
<td>XML</td>
<td>Original separate power of attorney</td>
</tr>
<tr>
<td>SEPPOATXT</td>
<td>&lt;original filename&gt;</td>
<td>TXT</td>
<td>Original separate power of attorney</td>
</tr>
<tr>
<td>SEQLAPP</td>
<td>&lt;original filename&gt;</td>
<td>APP</td>
<td>Sequence listing in APP format</td>
</tr>
<tr>
<td>SEQLTXT</td>
<td>&lt;original filename&gt;</td>
<td>TXT</td>
<td>Sequence listing in TXT format</td>
</tr>
<tr>
<td>SEQLSAPP</td>
<td>&lt;original filename&gt;</td>
<td>APP</td>
<td>Sequence listing for international search (APP)</td>
</tr>
<tr>
<td>SEQLSTTXT</td>
<td>&lt;original filename&gt;</td>
<td>TXT</td>
<td>Sequence listing for international search (TXT)</td>
</tr>
<tr>
<td>SEQLSTABPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Tables related to sequence listing for international search (PDF)</td>
</tr>
<tr>
<td>SEQLTABPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Tables related to sequence listing (PDF)</td>
</tr>
<tr>
<td>SPEC</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Single file specification in EPO language or language of translation</td>
</tr>
</tbody>
</table>

**Internal files created by Online Filing (not to be imported)**

<table>
<thead>
<tr>
<th>ABSTTXT</th>
<th>abst</th>
<th>TXT</th>
<th>Abstract as a text file possibly used by WIPO</th>
</tr>
</thead>
<tbody>
<tr>
<td>FEESHEETPDF</td>
<td>Fees</td>
<td>PDF</td>
<td>Fee sheet PDF file</td>
</tr>
<tr>
<td>REQPDF</td>
<td>Pct101</td>
<td>PDF</td>
<td>Request PDF file</td>
</tr>
<tr>
<td>VALLOGPDF</td>
<td>ValidLog</td>
<td>PDF</td>
<td>Client validation log file in PDF format</td>
</tr>
</tbody>
</table>
### Other document codes PDF related

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AMENCOPYPDF</td>
<td>Amended copy</td>
</tr>
<tr>
<td>DASCODE</td>
<td>DASACCDOC.pdf</td>
</tr>
<tr>
<td>DECACODEMISS</td>
<td>deca-code-miss.pdf</td>
</tr>
<tr>
<td>PCT-DIRCTLET</td>
<td>&lt;file id&gt;-resr-000001.pdf</td>
</tr>
<tr>
<td>RECPDF</td>
<td>receipt.pdf</td>
</tr>
</tbody>
</table>

### Other document codes ZIP related

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABBNR</td>
<td>bundled-xml.zip</td>
</tr>
</tbody>
</table>

### Other document codes TIFF related

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AMENCOPYTIF</td>
<td>&lt;filename&gt;.jpg</td>
</tr>
<tr>
<td>INTTRANTIF</td>
<td>&lt;filename&gt;.jpg</td>
</tr>
<tr>
<td>SIGNIMGTIF</td>
<td>&lt;Request&gt;-signature-1.tif</td>
</tr>
<tr>
<td>SIGNIMGJPG</td>
<td>&lt;Request&gt;-signature-1.jpg</td>
</tr>
</tbody>
</table>

*) 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
Figure 315: 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

Figure 316: Request XML: general data, earlier search request
| 0-4 | Form PCT/RO/101 PCT Request |
| 0-4-1 | Prepared Using |
| 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) |
| 0-7 | Applicant or agent's file reference |
| | pct XML 1 |
| I | Title of Invention |
| | INSTANT WATER |
| 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. |
| V-1-1 | Priority Claim |
| V-1-2 | International Searching Authority |
| | Chosen |
| | European Patent Office (EPO) (ISA/EP) |
| 7 | Request to use results of earlier |
| | search; reference to that search |
| | Filing data |
| | 04 May 2010 (04.05.2010) |
| | 10654321.8 |
| | EP |
| | 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. |
| | 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 |
| 12 | 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 120a.1(c)) |
| 13 | Request to use results of earlier |
| | search; reference to that search |
| | Filing data |
| | 22 December 2009 (22.12.2009) |
| | 09000123.1 |
| | EP |
| | 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 |

Figure 317: Request PDF: General data, title of invention, International Searching Authority, request for search results
9.4 PCT/RO/101 – States

9.4.1 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

Figure 318: 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         <country>DE</country>
 249       </national>
 250     </exclusion-from-designation>
 251   </designation-pct>
 252 </designation-of-states>
```

Figure 319: States XML: designation excluded
9.4.2 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).

![Figure 321: States GUI - reference to OAPI parent application or grant](image)

**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.

Figure 322: States XML: regional designation of protection request for OAPI states
9.4.3 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).

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 324: States GUI - countries selected for national parent application or grant

National parent application or grant
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

```xml
<designation-of-states>
  <designation-pct>
    <national>
      <country>AT</country>
      <protection-request>
        <kind-of-protection>patent of addition</kind-of-protection>
        <document-id>
          <country>AT</country>
          <doc-number>AT-222333</doc-number>
          <date>20080206</date>
        </document-id>
      </protection-request>
      <country>CZ</country>
      <protection-request>
        <kind-of-protection>application for a certificate of addition</kind-of-protection>
        <document-id>
          <country>CZ</country>
          <doc-number>CZ-08357351</doc-number>
          <date>20080213</date>
        </document-id>
      </protection-request>
      <country>ES</country>
      <protection-request>
        <kind-of-protection>patent of addition</kind-of-protection>
        <document-id>
          <country>ES</country>
          <doc-number>ES-08334655</doc-number>
          <date>20080226</date>
        </document-id>
      </protection-request>
      <country>MA</country>
      <protection-request>
      </protection-request>
      <country>UG</country>
      <protection-request>
      </protection-request>
    </national>
  </designation-pct>
</designation-of-states>
```

Figure 326: States XML: national designations with protection requests
9.5 PCT/RO/101 – Names

9.5.1 Applicant is also inventor

GUI PCT/RO/101 Names, applicant is also inventor

Note: only a natural person can be indicated as applicant/inventor.
Applicant details

329: 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
9.5.2 Two applicants with different designations

GUI PCT/RO/101 Names, sub-window Details concerning Applicant or Applicant/inventor
### 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 selected.
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

---

#### Figure 332:

*Names GUI: details for applicant 1, legal entity*
XML request.xml

```xml
<parties>
  <applicants>
    <applicant sequence="1" app-type="applicant" designation="all">
      <applicant sequence="1" app-type="applicant" designation="all">
        <name lang="en">TECHINVENT SA</name>
        <street>34, place de la république</street>
        <city>LYON</city>
        <postcode>69008</postcode>
        <country>FR</country>
        <phone>+33 4 2568 10</phone>
        <fax>+33 4 2568 57</fax>
        <email un-purpose="informal">info@techinvent.fr</email>
        <nationality>FR</nationality>
        <residence>
          <country>FR</country>
        </residence>
        <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-to-dead-inventor>
      </applicant>
    </applicant>
    <applicant sequence="2" app-type="applicant-inventor" designation="as-indicated">
      <name lang="en">MORETTI Francesco</name>
      <country>IT</country>
    </applicant>
  </applicants>
</parties>
```

Figure 333: Names XML: data for applicant 1 and applicant 2
9.5.3 Two inventors, one of them deceased

GUI PCT/RO/101 Names, sub-window Details concerning Inventor only

Figure 334: Names PDF: details of applicants 1 and 2

Figure 335: Names GUI: inventor 1
Details for deceased inventor

![Diagram of inventor details]

**Figure 336: 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

```xml
<parties>
  <applicants>
    <applicant sequence="1" app-type="applicant" designation="all">
      <addressbook lang="en">
        <residence>
          <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-to-dead-inventor>
        </residence>
      </addressbook>
      <address>
        <street>52, quai de cors</street>
        <city>Marseille</city>
        <country>FR</country>
      </address>
    </applicant>
    <applicant sequence="2" app-type="applicant-inventor" designation="as-indicated">
      <addressbook lang="en">
        <deceased-inventor sequence="2" lang="en">
          <last-name>MORETTI</last-name>
          <first-name>Francesco</first-name>
        </deceased-inventor>
      </addressbook>
      <address>
        <street>52, quai de cors</street>
        <city>Marseille</city>
        <country>FR</country>
      </address>
    </applicant>
  </applicants>
</parties>
```

Figure 337: Names XML: data for inventor 1 and inventor 2 (deceased)

PDF Pct101.PDF

```
Applicant only

Executor of MORETTI Francesco (deceased)
All designated States
TECHINVENT SA
34, place de la république
69008 Lyon
France

Applicant only

INVENTOR only
BELLECOEUR, Pierre
52, quai de cors
45002 Marseille
France

Applicant only (deceased)
MORETTI, Francesco

PCT REQUEST
Print Out (Original In Electronic Form)
```

Figure 338: Names PDF: details of inventor 1 and inventor 2 (deceased)
9.5.4 Two agents with the same address

Two agents are named, both with the same address. The relevant check-box is selected in the GUI for the second agent.

GUI PCT/RO/101 Names, sub-window Details concerning Agent

Figure 339: Names GUI: details of agent 1

Agent 2 with the same address
Figure 340: 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 selected.
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**

Figure 341: Names PDF: agent and additional agent with same address as first named agent

**XML request.xml**

```
<parties>
  <applicants>
    <agent sequence="1" retype="agent">
      <addressbook lang="en">
        <last-name>KILBURN</last-name>
        <first-name>David</first-name>
        <registered-number>456780001</registered-number>
        <address>
          <street>Cambridge Science Park</street>
          <city>Cambridge</city>
          <state>Cambridgeshire</state>
          <postcode>CB2 1AB</postcode>
          <country>GB</country>
        </address>
        <phone>+44 1223 351690</phone>
        <fax>+44 1223 351690</fax>
        <email email-purpose="informal">kilburn@ip-partners.co.uk</email>
      </addressbook>
      <addressbook lang="en">
        <last-name>MILLER</last-name>
        <first-name>Louise</first-name>
        <registered-number>12340009</registered-number>
        <address>
          <street>Cambridge Science Park</street>
          <city>Cambridge</city>
          <state>Cambridgeshire</state>
          <postcode>CB2 1AB</postcode>
          <country>GB</country>
        </address>
        <phone>+44 1223 351690</phone>
        <fax>+44 1223 351690</fax>
        <email email-purpose="informal">kilburn@ip-partners.co.uk</email>
      </addressbook>
    </agent>
  </applicants>
</parties>
```

Figure 342: 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 tab. The applicant has signed a separate power of attorney for his agent, which is attached as an XML file named eolf-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 tab, right after the signature has been applied within the Names tab.

The reference to the power of attorney file is described in Contents – Example 2: Specification attached in XML format (p. 283).

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

Figure 343: 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.
Figure 344: 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 eolf-poat-000001.xml file and must not be imported.
### 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 50.4] |
| 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)

1-1-1 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 all the competent International Authorities

1-4 in connection with the international application identified below:

1-4-1 Title of invention

1-4-2 Applicant’s or agent’s file reference

1-4-3 International application number (if already available)

1-4-4 filed with the following Office as receiving Office

1-5 and to make or receive payments on behalf of the undersigned

2-1 Signature of applicant, agent or common representative

2-1-1 Name (LAST, First)

2-1-2 Name of signatory

2-1-3 Capacity

3 Date

| /Salvatore Manzoni/ | MANZONI, Salvatore |
| 19 July 2010 (19.07.2010) |

**Figure 345: 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 346: Priority GUI: priority claims for US and EP

Details of Priority Claim of Earlier Application

Figure 347: 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 >**

(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

Use this option if the office concerned is not participating in the DAS.

**XML request.xml**

```
<designation-of-states>
    <priority-claims>
        <priority-claim sequence="1" kind="international">
            <country>US</country>
            <doc-number>PCT/US2011/123456</doc-number>
            <date>20110927</date>
            <priority-doc-from-library action-by="IB" priority-doc-access-code="1000009"></priority-doc-from-library>
        </priority-claim>
        <priority-claim sequence="2" kind="regional">
            <country>EP</country>
            <doc-number>12240330.6</doc-number>
            <date>20120417</date>
            <priority-doc-requested/>
        </priority-claim>
    </priority-claims>
</designation-of-states>
```

**Figure 348: Priority XML: international and regional priority claim**

**PDF Pct101.PDF**

**Figure 349: 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.

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 tab. However, these options are only available there if the check-box (12) has been selected in the Biology tab. 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

![Image of GUI for PCT/RO/101 Biology]

Figure 350: Biology GUI - item for biological material/deposited microorganisms
GUI Details concerning Indications Relating to a Deposited Microorganism

![Biology GUI - details of biological material](image)

**Figure 351: 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. Depositary institution
5. Address of depositary institution (retrieved from Online Filing database)
6. Accession number prefix of depositary 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. Reference to indication-bio-deposit.xml file
14. Reference to sequence listing file in PDF format
15. Original file name of sequence listing file in PDF format
16. Included for legacy purposes: Reference to indication-bio-deposit.xml file
17. Included for legacy purposes: Reference to sequence listing in PDF format
18. 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.
9 Form PCT/RO/101 – PCT/RO/101 request

Figure 352: Biology XML: details of biological material item in indication-bio-deposit.xml file

References in request.xml file

Figure 353: Request XML - reference to sequence listing and biological material
Figure 354: 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.
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 356: 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
XML declaration.xml

The example shows the details for the declaration type *Identity of inventor*.

```xml
<?xml version=”1.0″ encoding=”UTF-8″?>
<!DOCTYPE declarations SYSTEM “declarations-1-5.dtd”>
<declarations>
  <declaration id=”1” lang=”en”>
    <inventorship sequence=”1” status=”new”>
      <entitlement-to-be-granted-patent sequence=”1” lang=”en”>
        <identity-of-inventor sequence=”1” lang=”en”>
          <addressbook>
            <street>120 Avenue des Épicières</street>
            <city>Toulouse</city>
            <country>FR</country>
            <address>31000</address>
          </addressbook>
          <last-name>LAVAIL</last-name>
          <first-name>Thierry</first-name>
        </identity-of-inventor>
      </entitlement-to-be-granted-patent>
    </inventorship>
  </declaration>
</declarations>
```

Reference in request.xml file

**Figure 357:** declarations XML: declarations 1, 3 and 4 are indicated in request.xml file

Reference in package-data.xml file

**Figure 358:** Details of a declaration in declaration.xml file

**Figure 359:** References to declaration.xml file in package-data.xml file
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*.

![Figure 361: Details of "Identity of the Inventor" declaration](image)

### 9.9 PCT/RO/101 – Contents

The **Contents** tab 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. For a list of the standard document names required by the EPO see **Document codes and file types for PCT/RO/101** (p. 243).

### 9.9.1 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** (see "PCT/RO/101 – Biology" p. 270).

**GUI PCT/RO/101 Contents**

![Figure 362: Contents GUI - single specification file and sequence listing attached](image)

**GUI Content Details for specification file**
Figure 363: Content details - page numbers for sections in specification document

GUI Content Details for drawings file

Figure 364: 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 tab)

XML request.xml

```xml
<check-list>
  <cl-request page-count="3"/>
  <cl-description page-count="7"/>
  <cl-claims page-count="2"/>
  <cl-abstract page-count="1"/>
  <cl-drawings page-count="1"/>
  <cl-sequence-listing quantity="1" page-count="14" carriers="internal-electronic" for-search-only="no"/>
  <cl-fee-calculation/>
  <figure-to-publish>
    <fig-number>2</fig-number>
  </figure-to-publish>
  <language-of-filing>en</language-of-filing>
  <signatories>
    <request>
```

Figure 365: Request XML: checklist of attached files
XML application-body.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<application-body SYSTEM="application-body-v1.6.dtd">  
  <description>
    <doc-page id="DESC" he="1" wi="1" type="pdf" pp="7" pff="1" pdf="instant water.pdf"/>
  </description>

  <claims>
    <doc-page id="CLSMS" he="1" wi="1" type="pdf" pp="2" pff="9" pdf="instant water.pdf"/>
  </claims>

  <abstract lang="en">
    <doc-page id="ABST" he="1" wi="1" type="pdf" pp="10" pff="10" pdf="instant water.pdf"/>
  </abstract>

  <drawings>
    <doc-page id="DRAW" he="1" wi="1" type="pdf" pdf="instant water drawing.pdf"/>
  </drawings>
</application-body>
```

Figure 366: 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 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.

```xml
<other-docs>
  <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new"/>
  <other-doc file="Pctro101.pdf" file-type="pdf"/>
  <other-doc file="instant water drawing.pdf"/>
</other-docs>
```

Figure 367: Reference to specification file in package-data.xml file
Reference in pkgheader.xml file

```
<?xml version="1.0" encoding="UTF-8"?>
<DOCTYPE pkgheader SYSTEM "pkgheader-v1-4.dtd">
<software_name>PCT Online Filing</software_name>
<software_version>Version 3.5.000.235 MT/FOP 20020701/0.20.5.20</software_version>
<pkgheader lang="en" dtd-version="1.4" status="new">
<transmittal-info>
  <new-application>
    <invention-title lang="en">INSTANT WATER</invention-title>
    <first-named-applicant>
      <name-name-type>legal</name-name-type>
      <name>Enterprise Ltd.</name>
    </first-named-applicant>
    <registered-number>440012345</registered-number>
    <file-reference-id>PCT_docs_3</file-reference-id>
    <included here for legacy purposes-->-<document-code>VALLOGXML</document-code>
    <document-code>APPGODYXML</document-code>
    <document-code>REQUESTXML</document-code>
    <document-code>FEESHEETXML</document-code>
    <document-code>REQPDF</document-code>
    <document-code>SPEC</document-code>
    <document-code>DRAW</document-code>
    <document-code>DRAWTXT</document-code>
    <document-code>SEQLPDF</document-code>
    <document-code>SEQLPDF</document-code>
    <document-code>FEESHEETPDF</document-code>
  </new-application>
</transmittal-info>
</pkgheader>
```

Figure 368: Reference to specification file in pkgheader.xml file

**PDF Pct101.PDF**

<table>
<thead>
<tr>
<th>PCT REQUEST</th>
<th>3/3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Print Out (Original in Electronic Form)</td>
<td></td>
</tr>
<tr>
<td><strong>IX</strong></td>
<td><strong>Number of sheets</strong></td>
</tr>
<tr>
<td>01</td>
<td>30</td>
</tr>
<tr>
<td>02</td>
<td>9</td>
</tr>
<tr>
<td>03</td>
<td>3</td>
</tr>
<tr>
<td>04</td>
<td>17</td>
</tr>
<tr>
<td>05</td>
<td>20</td>
</tr>
<tr>
<td>06</td>
<td>25</td>
</tr>
<tr>
<td>07</td>
<td>27</td>
</tr>
<tr>
<td>08</td>
<td>Paper document(s) attached</td>
</tr>
<tr>
<td>18</td>
<td>PCT-SAFE physical media</td>
</tr>
<tr>
<td>20</td>
<td>Figure of the drawings which should accompany the abstract</td>
</tr>
<tr>
<td>21</td>
<td>Language of filing of the International application</td>
</tr>
<tr>
<td>X-1</td>
<td>Signature of applicant, agent or common representative</td>
</tr>
</tbody>
</table>

Figure 369: Checklist in request PDF: page numbers of attached electronic files
9.9.2 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

![Figure 370: Contents GUI: specification attached in XML format as application body](image)

**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

XML request.xml

```xml
<check-list>
  <request page-count="2"/>
  <description page-count="87"/>
  <claims page-count="37"/>
  <abstract page-count="17"/>
  <drawings page-count="17"/>
  <fee-calculation/>
</check-list>
```

Figure 371: Request XML: checklist with page numbers

Reference in package-data.xml file

```xml
<package-data lang="en" did-version="1.6" produced-by="applicant" status="new" country=""></package-data>
```

Figure 372: Reference to the application-body.xml file

Reference in pkgheader.xml file

```xml
<document-name>APPBODYXML</document-name>
```

Figure 373: 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.

![XML code snippet]

Figure 374: Application body XML: sections and figures

PDF Pct101.PDF

![Checklist table]

Figure 375: Request PDF: checklist with number of sheets and figure to be published with abstract

9.9.3 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 tab, these files are listed in the International Application sub-tab.

GUI PCT/RO/101 Contents, International Application sub-tab
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)
Figure 377: 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**

```
<check-list>
  <cl-request page-count="3"/>
  <cl-description page-count="7"/>
  <cl-claims page-count="4"/>
  <cl-abstract page-count="2"/>
  <cl-fig-number>1</cl-fig-number>
  <cl-fig-to-publish>
    <fig-number>1a</fig-number>
  </cl-fig-to-publish>
  <cl-language-of-filing>en</cl-language-of-filing>
  <cl-signatories>
    <request/>
  </cl-signatories>
</check-list>
```

**Figure 378: Checklist for attached documents in request.xml file**
Reference in package-data.xml

```xml
<application-body-doc file="application-body.xml" lang="en"/>
<application-request-file file="request.xml" lang="en"/>
<fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
<translation-of-application-file lang="fr" file="traduction de la demande internationale.pdf"/>

<other-docs>
  <other-doc file="validation-log.xml" file-type="xml" file-carries="internal-electronic" status="new"/>
  <other-doc file="application-body.xml" file-type="xml"/>
  <other-doc file="request.xml" file-type="xml"/>
  <other-doc file="translation of application.pdf" file-type="pdf"/>

  <document-name>FEESHEETXML</document-name>
</other-docs>

<Client Preview, generated from XML original>
  <other-doc file="Pct101.pdf" file-type="pdf"/>

  <document-name>DESC</document-name>
  <document-name>CLMS</document-name>
</other-doc>

<Client Preview, generated from XML original>
  <other-doc file="Abs.txt" file-type="txt"/>
  <document-name>ADSTXT</document-name>
</other-doc>

<Client Preview, generated from XML original>
  <other-doc file="Fees.pdf" file-type="pdf"/>
  <document-name>FEESHEETPDF</document-name>
</other-doc>

<Client Preview, generated from XML original>
  <other-doc file="traduction de la demande internationale.pdf" file-type="pdf"/>
  <document-name>INITTRANPDF</document-name>
</other-doc>

<other-doc file="img001.tif" file-type="tif"/>

<document-name>OTHERPDF</document-name>

<other-docs/>
<package-data/>
```

Figure 379: Reference to XML files and PDF attachment with document code and original file names

Reference in pkgheader.xml file

```xml
<document-code>APPBODYXML</document-code>
<document-code>REQUESTXML</document-code>
<document-code>FEESHEETXML</document-code>
<document-code>REGPDF</document-code>
<document-code>DESC</document-code>
<document-code>CLMS</document-code>
<document-code>ARST</document-code>
<document-code>ADSTXT</document-code>
<document-code>FEESHEETPDF</document-code>
<document-code>INITTRANPDF</document-code>
<document-code>OTHERPDF</document-code>
```

Figure 380: Document codes for attached files in pkgheader.xml
XML application-body.xml

```xml
<application-body lang="en" status="new" country="EP" dtd-version="1.5">  
  <description>
  <doc-page id="DESC" x="1" y="1" type="pdf" file="instant water description.pdf"/>
  </description>
  <description>
  <doc-page id="CLAIMS" x="1" y="1" type="pdf" file="instant water claims.pdf"/>
  </description>
  <abstract lang="en">
  <doc-page id="ABST" x="1" y="1" type="pdf" file="instant water abstract.pdf"/>
  </abstract>
  </application-body>
```

Figure 381: Reference to file names and document codes in application-body.xml file

PDF Pct101.PDF

<table>
<thead>
<tr>
<th>IX</th>
<th>Check list</th>
<th>Number of sheets</th>
<th>Electronic file(s) attached</th>
</tr>
</thead>
<tbody>
<tr>
<td>IX-1</td>
<td>Request (including declaration sheets)</td>
<td>2</td>
<td>✓</td>
</tr>
<tr>
<td>IX-2</td>
<td>Description</td>
<td>7</td>
<td>✓</td>
</tr>
<tr>
<td>IX-3</td>
<td>Claims</td>
<td>4</td>
<td>✓</td>
</tr>
<tr>
<td>IX-4</td>
<td>Abstract</td>
<td>2</td>
<td>✓</td>
</tr>
<tr>
<td>IX-5</td>
<td>Drawings</td>
<td>0</td>
<td>✓</td>
</tr>
<tr>
<td>IX-6</td>
<td>TOTAL</td>
<td>16</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>accompanying items</th>
<th>Paper document(s) attached</th>
<th>Electronic file(s) attached</th>
</tr>
</thead>
<tbody>
<tr>
<td>IX-8 Fee calculation sheet</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>IX-14 Translation of international application</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>into French</td>
<td></td>
<td></td>
</tr>
<tr>
<td>IX-18 PCT/SAFE physical media</td>
<td></td>
<td></td>
</tr>
<tr>
<td>IX-19 Other Drawing</td>
<td>22</td>
<td>✓</td>
</tr>
<tr>
<td>IX-19 Other Translation of text in drawing</td>
<td>20</td>
<td>✓</td>
</tr>
<tr>
<td>IX-20 Figure of the drawings which should</td>
<td>1a</td>
<td></td>
</tr>
<tr>
<td>accompany the abstract</td>
<td>13</td>
<td></td>
</tr>
<tr>
<td>IX-21 Language of filing of the international</td>
<td>English</td>
<td></td>
</tr>
<tr>
<td>application</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 382: 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.
Figure 383: 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 tab): 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 tab)
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 tab, e.g.
(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**

```xml
<fee-sheet lang="en" dtd-version="1.6" produced-by="applicant" status="new" ro="EP" date-produced="20140401">
  <file-reference-id>PCT-fees</file-reference-id>
  <applicant-name></applicant-name>
  <prescribed-fees></prescribed-fees>
  <transmittal-fee currency="EUR">
    <amount-total>130</amount-total>
  </transmittal-fee>
  <search-fee currency="EUR">
    <amount-total>1075</amount-total>
  </search-fee>
  <international-fee currency="EUR">
    <basic-fee>
      <amount-each>1084</amount-each>
    </basic-fee>
    <fee-reduction reduction-type="electronic-filing-full-xml">
      <amount-each>244</amount-each>
    </fee-reduction>
    <amount-total>340</amount-total>
  </international-fee>
  <restoration-fee currency="EUR">
    <prescribed-fees>
      <amount-grand-total currency="EUR">2845</amount-grand-total>
    </prescribed-fees>
  </restoration-fee>
</fee-sheet>
```

*Figure 384: Fees XML: individual fees and fee amounts*
PDF Fees.PDF

**Figure 385: Fees PDF: calculation of prescribed fees and total fees payable**

<table>
<thead>
<tr>
<th>Calculation of prescribed fees</th>
<th>Fee amount/multiplier</th>
<th>Total amounts (EUR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>12-1 Transmittal fee</td>
<td></td>
<td>130</td>
</tr>
<tr>
<td>12-2-1 Search fee</td>
<td></td>
<td>187.5</td>
</tr>
<tr>
<td>12-3-1 International search to be carried out by EP</td>
<td></td>
<td>1084</td>
</tr>
<tr>
<td>12-4 Remaining sheets</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>12-5 Additional amount</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>12-6 Total additional amount</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>12-7 R = 12</td>
<td></td>
<td>1084</td>
</tr>
<tr>
<td>12-12-1 Electronic Filing reduction (Full)</td>
<td></td>
<td>-244</td>
</tr>
<tr>
<td>12-13 Total International filing fee (€)</td>
<td>840</td>
<td></td>
</tr>
<tr>
<td>12-14 Fee for priority document</td>
<td>Number of priority documents requested</td>
<td>0</td>
</tr>
<tr>
<td>12-15 Fee per document</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>12-16 Total priority document fee:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12-17 Fee for restoration of priority rights</td>
<td>Number of requests for restoration of priority rights</td>
<td>0</td>
</tr>
<tr>
<td>12-19 TOTAL FEES PAYABLE</td>
<td></td>
<td>2845</td>
</tr>
</tbody>
</table>

**Reference in request.xml file**

```xml
<check-list>
    <cl-request page-count="3"/>
    <cl-description page-count="7"/>
    <cl-claims page-count="4"/>
    <cl-abstract page-count="2"/>
    <cl-fee-calculation/>
    <cl-translation-of-application quantity="1" lang="fr"/>
    <cl-other-document page-count="1">Drawing</cl-other-document>
    <cl-other-document page-count="1">Translation of text at drawing</cl-other-document>
</check-list>
```

**Figure 386: Request XML: fee sheet is indicated**
Reference in package-data.xml file

```xml
<application-body-doc file="application-body.xml" lang="en"/>
<application-request file="request.xml" lang="en"/>
<fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
<translation-of-application file="Traduction de la demande internationale.pdf" lang="fr"/>
<other-document>
   <other-doc file="validation-log.xml" file-type="xml" container="internal-electronic" status="new">
      <other-doc file="application-body.xml" file-type="xml"/>
      <other-doc file="request.xml" file-type="xml"/>
      <other-doc file="fee-sheet.xml" file-type="xml"/>
   </other-doc>
   <document-name>FEESHEET/XML</document-name>
</other-document>
```

Figure 387: References to fee sheet XML and PDF file in package-data.xml file

### 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**

![Payment GUI](image)

Figure 388: 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**

```xml
<fee-sheet>
  <deposit-account>
    <authorization>
      <total-fee>
        <deficiency-credit></deficiency-credit>
      </total-fee>
    </authorization>
  </deposit-account>
  <account-no>201234567</account-no>
  <date>20000411</date>
  <signatory type="natural">Veronique Maronnier</signatory>
  <signature>Signature</signature>
</fee-sheet>
```

Figure 389: Payment details in fee-sheet.xml file

**PDF Fees.PDF**

```
12-20 Note of payment
12-21 Deposit account instructions
12-21-1 Authorisation to charge deposit account
  The receiving Office European Patent Office (EPO) (RO/EP)
12-21-2 Authorisation to charge any deficiency or credit any overpayment in the total fees indicated above
12-21-3 Authorisation to charge the fee for priority document
  12-22 Deposit account No. 281234567
  12-23 Date 11 April 2008 (11.04.2008)
  12-24 Name and signature
  Maronnier, Veronique

/ Maronnier, Veronique
```

Figure 390: Payment details in Fees.PDF file
9.12 PCT/RO/101 – Annotate

Three types of annotation or remark are available in the **Annotate** tab:
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 `<dtext>` 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 391: Annotate GUI: remark, designated states for inventor](image)

**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).

```
<designated-states>
  <country>US</country>
  <country>EN</country>
  <country>AT</country>
  <region>Europe</region>
  <region>Africa</region>
</designated-states>
```

**Figure 392: Annotate XML: designated states for inventor and remark text**

**PDF Pct101.PDF**

```
II-1 Applicant and/or Inventor:
II-1.1 This person is 3 applicant and inventor
II-1.2 Applicant for 4 AP: (KE NA); EP: (BG GB); AU BG GB JP KE NA
II-1.3 Inventor for
II-1.4 Name (LAST, FIRST) LAVAIL, Thierry
II-1.5 Address 120 Av. des Pycénes
II-1.6 State of nationality FR
II-1.7 State of residence FR
```

**Figure 393: 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 394: Applicant remark in Validation Log PDF**

EPO Online Filing 5.12
Importing data as XML
10 Form PCT-DEMAND – Demand under Article 31 of the PCT
(Form PCT/IPEA/401)

Form PCT-DEMAND (PCT/IPEA/401) is used for filing demands for international preliminary examination according to Chapter II of the Patent Cooperation Treaty (PCT).

10.1 Structure of XML files for PCT-DEMAND

The import package for a PCT-Demand application requires five XML files:

<table>
<thead>
<tr>
<th>File name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader.dtd</td>
<td>Indicates selected procedure and other data for transmission to filing office</td>
</tr>
<tr>
<td>package-data.xml</td>
<td>package-data.dtd</td>
<td>References all documents in the import package including demand.xml file</td>
</tr>
<tr>
<td>demand.xml</td>
<td>demand-olf-v1-2.dtd</td>
<td>Application data as entered in Form PCT-DEMAND</td>
</tr>
<tr>
<td>olf-specific-data.xml</td>
<td>olf-specific-data-v1-2.dtd</td>
<td>References the attached documents for filing the PCT-DEMAND with the EPO</td>
</tr>
<tr>
<td>fee-sheet.xml</td>
<td>ep-pct-demand-fee-sheet-v1-2.dtd</td>
<td>Contains details of mode of payment and lists the fees applicable for filing with the EPO</td>
</tr>
</tbody>
</table>

Note that the fee data is contained in a separate XML file. If filing with the EPO, the elements in the fee-sheet.xml file (specified by ep-pct-demand-fee-sheet-v1-2.dtd) are the same as in the main XML files of the other EP forms, e.g. ep-request.xml. If filing with one of the other participating offices, however, fee-sheet.dtd applies.

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. 15) and References from XML files to other files (p. 16).
### 10.2 Document codes and file types for PCT-DEMAND

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name *)</th>
<th>Description</th>
<th>XML element in &lt;demand-check-list&gt;</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Request files</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>APPMERGEXML</td>
<td>result-filing.xml</td>
<td>Package</td>
<td></td>
</tr>
<tr>
<td>DEMANDXML</td>
<td>demand.xml</td>
<td>Demand XML file</td>
<td></td>
</tr>
<tr>
<td>FEESHEETXML</td>
<td>fee-sheet.xml</td>
<td>Fee sheet XML file</td>
<td></td>
</tr>
<tr>
<td>HEADERXML</td>
<td>pkgheader.xml</td>
<td>Package</td>
<td></td>
</tr>
<tr>
<td>OLFSPECIFICDATAXML</td>
<td>olf-specific-data.xml</td>
<td>File referencing the attached documents, referenced in the demand.xml</td>
<td></td>
</tr>
<tr>
<td>PACKDATAXML</td>
<td>package-data.xml</td>
<td>Package</td>
<td></td>
</tr>
<tr>
<td>RECXML</td>
<td>xmit-receipt.xml</td>
<td>Receipt in XML format</td>
<td></td>
</tr>
<tr>
<td><strong>Examination documents</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AMDA19</td>
<td>AMDA19.pdf</td>
<td>Copy (or, where required, translation) of amendments under Article 19</td>
<td>cl-copy-amendments-art19</td>
</tr>
<tr>
<td>AMDA34</td>
<td>AMDA34-1.pdf</td>
<td>Amendments under Article 34</td>
<td>cl-amendments-art34</td>
</tr>
<tr>
<td>LETT</td>
<td>LETT-1.pdf</td>
<td>Letter accompanying the amendments under Article 34 (Rule 66.8)</td>
<td>cl-letter</td>
</tr>
<tr>
<td>LETT-A19</td>
<td>LETT-A19-1.pdf</td>
<td>Copy of the letter accompanying the amendments under Article 19 (Rules 46.5(b) and 53.9)</td>
<td>cl-letter-art19</td>
</tr>
<tr>
<td>OTHERDOC</td>
<td>OTHERDOC-1.pdf</td>
<td>Other document (Examination documents)</td>
<td>cl-other-document</td>
</tr>
<tr>
<td>STATMTA19</td>
<td>STATMTA19-1.pdf</td>
<td>Copy (or, where applicable, translation) of any statement under Article 19 (Rule 62.1(iii))</td>
<td>cl-copy-statement-art19</td>
</tr>
<tr>
<td>TRANS</td>
<td>TRANS.pdf</td>
<td>Translation of international application</td>
<td>cl-translation-of-application-demand</td>
</tr>
<tr>
<td><strong>Accompanying items</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CGPOAT</td>
<td>CGPOAT.pdf</td>
<td>Copy of general power of attorney</td>
<td>cl-copy-general-power-of-attorney</td>
</tr>
</tbody>
</table>

* EPO file name is not included in the XML code.
### Document Codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>FEERCPT **)</td>
<td>Fee payment receipt (OEPM only) **)</td>
</tr>
<tr>
<td>OTHE</td>
<td>Other document (Accompanying items)</td>
</tr>
<tr>
<td>POAT</td>
<td>General power of attorney</td>
</tr>
<tr>
<td>SEQLTXT</td>
<td>Sequence listing (Annex C/ST.25 text file)</td>
</tr>
<tr>
<td>SPOAT</td>
<td>Separate power of attorney</td>
</tr>
<tr>
<td>OLF-ARCHIVE</td>
<td>Preconversion archive</td>
</tr>
<tr>
<td>DEMANDPDF</td>
<td>PCT demand form</td>
</tr>
<tr>
<td>RECPDF</td>
<td>(Electronic) Receipt</td>
</tr>
<tr>
<td>OTHERJPG</td>
<td>Other drawings</td>
</tr>
</tbody>
</table>

*) 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.

**) Proof of payment documents (FEERCPT) may only be submitted to the OEPM (Spanish Patent and Trademark Office).

***) The EPO does not accept sequence listings in PDF-format, only in Annex C/ST.25 text format.
10.3 PCT-DEMAND – Demand

GUI PCT-DEMAND Demand

![Demand GUI: basic data of the international application](image)

**Element list**

1. Language of the form; the same value applies for all other `lang` attributes
2. Date when the form was last saved
3. Country-code of the receiving office
4. Applicant is the default value
5. Country-code of the international preliminary examination authority
6. User-defined reference
7. Country-code of the patent office where the original PCT application was filed
8. Application number of the original PCT application
9. International filing date
10. (Earliest) priority date
11. Title of the invention
**XML demand.xml**

```
```

*Figure 396: Demand XML: basic data of international application*

**PDF pct-demand.pdf**

- **Form - PCT/IEA/401 PCT Demand**
- **Prepared Using**
  - OLF
  - Version: FMMNGR5132, IBR4015132, FM_FOP0205

- **Demand under Article 31 of the Patent Cooperation Treaty:**
  - The undersigned requests that the international application specified below be the subject of international preliminary examination according to the Patent Cooperation Treaty and hereby elects all eligible States (except where otherwise indicated).

- **International Preliminary Examining Authority (specified by the applicant):**
  - IPEA/EP

- **Identification of the International application**
  - **International Application No.:** PCT/EP2014/500456
  - **International Filing Date:** 10 October 2014 (10.10.2014)
  - **(Earliest) Priority Date:** 01 April 2014 (01.04.2014)
  - **Applicant(s) or agent's file reference:** PCT-Dem-sample
  - **Title of Invention:** CARD READER

*Figure 397: Demand PDF: basic data of international application*
10.4 PCT-DEMAND – Names

GUI PCT-DEMAND Names, applicant

Figure 398: Names GUI: data of applicant

GUI PCT-DEMAND Names, agent

Figure 399: Names GUI: data of agent
Element list
(1) Applicant 1
(2) Applicant 1 is a legal entity
(3) Name of applicant 1
(4) Registration number, not required
(5) Additional contact information
(6) Address: street and number
(7) Address: city
(8) Address: county / region, where applicable
(9) Address: postal code
(10) Address: country
(11) Phone number
(12) Fax number
(13) E-mail address
(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) Place of principal business (if legal applicant) or residence (if natural applicant)
(17) Agent 1
(18) Appointment of agent 1 for the purpose of the PCT-Demand procedure before the EPO
(19) Agent 1 is a natural person
(20) Last name of agent 1
(21) First name of agent 1
(22) Address data of agent 1; same structure as for applicant 1
XML demand.xml

```xml
<applicants>
  <applicant sequence="1" app-type="applicant" designation="all">
    <addressbook lang="en">
      <name name-type="legal">Nano Enterprise Ltd</name>
      <contact>
        <registered-number></registered-number>
        <address>
          <street>123 City Street</street>
          <city>London</city>
          <country>GB</country>
        </address>
        <phone>+44 20 7123 4587</phone>
        <email email-purpose="informal">info@nano-enterprise.co.uk</email>
        <addressbook />
      </contact>
      <country>GB</country>
      <nationality>
        <residence>
          <country>GB</country>
          <agent sequence="1" app-type="agent">
            <addressbook lang="en">
              <last-name>Kilburn</last-name>
              <first-name>David</first-name>
              <registered-number></registered-number>
              <contact>
                <phone>+44 1223 351609</phone>
                <email email-purpose="informal">kilburn@p-partners.co.uk</email>
                <addressbook />
              </contact>
              <country>GB</country>
            </agent>
          </residence>
        </nationality>
      </residence>
    </applicant>
  </applicant>
</applicants>
```

Figure 400: Names XML: applicant is legal entity and agent is natural person
10.5 PCT-DEMAND – Examination Basis

The international preliminary examination may be based on:

- The description
  - As originally filed
  - As amended under Article 34

- The sequence listing (if applicable)
  - As originally filed
  - As amended under Article 34 (in the form of an Annex C/ST.25 text file)
  - As amended under Article 34 (in the form of an image file -pdf)
The EPO does not accept sequence listings in PDF-format, only in Annex C/ST.25 text format; see Examination Basis – Example 2: as amended under Article 34 (p. 309).

The claims
- As originally filed
- As amended under Article 34
- As amended under Article 19
- As amended under Article 19 and Article 34
- The drawings (if applicable)
- As originally filed
- As amended under Article 34

The information is stored in the demand.xml in the `<bases-examination>` element, where each part of the application is represented by a specific XML element, e.g. `<the-claims>`. If **not applicable** is indicated for sequence listing or drawings, the `<bases-examination>` element does not contain a `<the-sequence-listing>` or `<the-drawings>` element, respectively.

- If **as originally filed** is indicated for all parts of the application, there is only one `<the-application>` element with the value `basis="originally"`; see Examination Basis – Example 1: as originally filed (p. 307).

The **basis** attribute indicates the basis to be applied for this part of the application, e.g. amendment-art19-34.

<table>
<thead>
<tr>
<th>Element name</th>
<th>Allowed values for the <strong>basis</strong> attribute</th>
</tr>
</thead>
<tbody>
<tr>
<td>the-description</td>
<td>originally, amendment-art34</td>
</tr>
<tr>
<td>the-sequence-listing</td>
<td>originally, amendment-art34-st25, amendment-art34-paper-or-image (not accepted by the EPO)</td>
</tr>
<tr>
<td>the-claims</td>
<td>originally, amendment-art19, amendment-art34, amendment-art19-34</td>
</tr>
<tr>
<td>the-drawings</td>
<td>originally, amendment-art34</td>
</tr>
</tbody>
</table>
10.5.1 As originally filed

GUI PCT-DEMAND Examination basis

Figure 402: Examination Basis GUI: international preliminary examination will start on the basis of the international application as originally filed

Element list

(1) Basis for the international preliminary examination are the parts of the application as originally filed: description, sequence listing, claims, drawings
(2) Language for the purpose of the examination
(3) Use of the selected language in the context of the international application
(4) Check-list: no additional documents for examination required

XML demand.xml

Figure 403: Examination Basis XML: the basis is the international application as originally filed
<table>
<thead>
<tr>
<th>IV</th>
<th>Basis for International Preliminary Examination</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV-1-1</td>
<td>Statement concerning amendments: The applicant wishes the International Preliminary Examination to start on the basis of: International preliminary examination will start on the basis of the international application as originally filed or, where a copy of amendments to the claims under Article 19 and/or amendments of the international application under Article 34 are resolved by the International Preliminary Examination Authority before it has begun to draw up a written opinion on the international preliminary examination report, as so amended.</td>
</tr>
<tr>
<td>IV-2</td>
<td>Language for the purposes of international preliminary examination: English (which is the language in which the international application was filed)</td>
</tr>
<tr>
<td>V</td>
<td>Election of States</td>
</tr>
</tbody>
</table>

Figure 404: Examination Basis PDF: the basis is the international application as originally filed
10.5.2 As amended under Article 34

GUI PCT-DEMAND Examination basis

![Figure 405: Examination Basis GUI: amendments to the international application specified](image)

**Element list**

1. Basis for the international preliminary examination is the description as amended
2. Basis for the international preliminary examination is the sequence listing as amended
   - The EPO only accepts amendments to the sequence listing in Annex C/ST.25 text file format which means that the **value** amendment-art34-paper-or-image is not allowed for the **basis** attribute.
3. Basis for the international preliminary examination are the claims as amended
4. Basis for the international preliminary examination are the drawings as amended
   - Article 19 amendments reversed
   - The `<reverse-art19-amendment/>` element is not applicable if amendment-art19 is specified in `<the-claims>` element
5. Start the examination earlier
6. Language for the purpose of the examination
7. Use of the selected language in the context of the international application
8. Check-list: attaching the specified amended documents is required; see PCT-DEMAND – Documents (p. 311)
XML demand.xml

```xml
17   <applicants>
42   <agents-for-demand kind-agents="new">
63   <bases-examination>
64   <concerning-amendments>
65   <the-description basis="amendment-art34"/>
66   <the-sequence-listing basis="amendment-art34-st25"/>
67   <the-claims basis="amendment-art34"/>
68   <the-drawings basis="amendment-art34"/>
69   <reverse-art19-amendment/>
70   <begin-examination-early/>
71   <concerning-amendments>
72   <language-for-examination examin-lang="originally-filed">EN</language-for-examination>
73   </bases-examination>
74   <demand-check-list>
81   </signatories>

Figure 406: Examination Basis XML: amendments to the international application specified

PDF pct-demand.pdf

<table>
<thead>
<tr>
<th>PCT DEMAND FOR INTERNATIONAL PRELIMINARY EXAMINATION (CHAPTER II)</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV Basis for International Preliminary Examination</td>
</tr>
<tr>
<td>IV-1-1 Statement concerning amendments:</td>
</tr>
<tr>
<td>The applicant wishes the International Preliminary Examination to start on the basis of:</td>
</tr>
<tr>
<td>-the description as amended under Article 34 1</td>
</tr>
<tr>
<td>-the sequence listing as amended under Article 34 (in the form of an Annex C ST.25 text file) 2</td>
</tr>
<tr>
<td>-the claims as amended under Article 34 3</td>
</tr>
<tr>
<td>-the drawings as amended under Article 34 4</td>
</tr>
<tr>
<td>Article 19 amendments reversed 5</td>
</tr>
<tr>
<td>IV-1-2 Statement concerning amendments:</td>
</tr>
<tr>
<td>The applicant wishes any amendments to the claims under Article 19 to be considered as reversed.</td>
</tr>
<tr>
<td>Start the international preliminary examination early 6</td>
</tr>
<tr>
<td>IV-1-3 The applicant expressly wishes the international preliminary examination to start earlier than at the expiration of the applicable time limit under Rule 56(ba, 1)(a).</td>
</tr>
<tr>
<td>IV-2 Language for the purposes of international preliminary examination:</td>
</tr>
<tr>
<td>-(which is the language in which the international application was filed) 7</td>
</tr>
<tr>
<td>V Election of States</td>
</tr>
<tr>
<td>The filing of this demand constitutes the election of all Contracting States which are designated and are bound by Chapter II of the PCT.</td>
</tr>
</tbody>
</table>

Figure 407: Examination Basis PDF: statement concerning amendments
10.6 PCT-DEMAND – Documents

GUI PCT-DEMAND Documents

![Image](image.png)

**Figure 408: Documents GUI: examination documents as amended under Article 34 and accompanying items attached**

**Element list**

Each attached file appears as a child element both in the `<demand-check-list>` element in `demand.xml` and in the `<document>` element in `olf-specific-data.xml`. There are specifically named elements for each document type, e.g. `<cl-separate-power-of-attorney>`. The `<cl-other-document>` is used for other files with a user-defined description in the `<detail>` element. For details, see Document codes and file types for PCT-DEMAND (p. 298).

The `olf-specific.data.xml` file is referenced in the `<olf-specific-data element>` in `demand.xml`.

1. Amended description for examination
2. Page count amended description
3. Language amended description
4. Amended sequence listing for examination
5. EPO document code for sequence listing in annex C/ST.25 text format
6. Sequence
7. EPO file name for sequence listing in annex C/ST.25 text format
8. Original file name of sequence listing
9. Page count for sequence listing is not applicable, default value is 0
10. Amended claims for examination
(11) EPO document code for amendments under Article 34: same for description, claims and drawings
(12) Sequence: the amendment documents are numbered consecutively
(13) EPO file name for amendment document
(14) Original file name of amended claims
(15) Page count amended claims
(16) Language amended claims
(17) Amended drawings for examination
(18) Page count amended drawings
(19) Language amended drawings
(20) Power of attorney document
(21) EPO document code for separate authorisation
(22) Sequence
(23) EPO file name for separate authorisation
(24) Original file name of separate authorisation
(25) Page count power of attorney document
(26) Other document
(27) Other document attached under accompanying items
(28) Sequence
(29) EPO document code for other document under accompanying items
(30) Sequence
(31) Original file name of other document
(32) Page count other document
(33) User-defined description for other document (34) Reference to olf-specific-data.xml

XML demand.xml

```xml
<bases-examination>
  <concerning-amendments>
    <the-description basis="amendment-art34"/>
    <the-sequence-listing basis="amendment-art34-att25"/>
    <the-claims basis="amendment-art34"/>
    <the-drawings basis="amendment-art34"/>
    <reverse-art19-amendment/>
    <begin-examination-early/>
    <concerning-amendment>
      <language-for-examination lang="originally-filed">EN</language-for-examination>
    </concerning-amendment>
  </concerning-amendments>
  <demand-check-list>
    <check-command>
      <amendments-art34 quantity="1" page-count="4" lang="EN"/>
      <amendments-art34 quantity="1" page-count="7" lang="EN"/>
      <amendments-art34 quantity="1" page-count="1" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
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      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
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      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
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      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
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      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
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      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
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      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
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      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/>
      <amendments-art34 quantity="1" page-count="11" lang="EN"/
```

Figure 409: Documents XML: check-list for amended documents and other attachments
XML off-specific-data.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE off-specific-data SYSTEM "off-specific-data-v1-2.dtd">

<off-specific-data lang="en" dtd-version="1.0" file=""/>
<files-info/>
<document>
<cl-amendments-art34>
<type>AMDA34</type>
<sequence>1</sequence>
<file-name>AMDA34-1.pdf</file-name>
<source-file-name>Claims Modification.pdf</source-file-name>
<page-count>4</page-count>
<detail/>
</cl-amendments-art34>

<cl-amendments-art34>
<sequence>1</sequence>
<file-name>AMDA34.pdf</file-name>
<source-file-name>Authorisation Kilburn.pdf</source-file-name>
<page-count>2</page-count>
<detail/>
</cl-amendments-art34>

<cl-separate-power-of-attorney>
<type>SPOAT</type>
<sequence>1</sequence>
<file-name>SPOAT.pdf</file-name>
<source-file-name>Authorisation Kilburn.pdf</source-file-name>
<page-count>2</page-count>
<detail/>
</cl-separate-power-of-attorney>

<cl-sequence-listing>
<type>SEQTXT</type>
<file-name>SEQTXT.pdf</file-name>
<source-file-name>Sequence Listings.pdf</source-file-name>
<page-count>9</page-count>
</cl-sequence-listing>

<cl-other-document type="accompanying">
<type>OTH</type>
<sequence>1</sequence>
<file-name>OTH-1.pdf</file-name>
<source-file-name>Assignment Documents.pdf</source-file-name>
<page-count>1</page-count>
<detail>Assignment documents</detail>
</cl-other-document>
</document>
</files-info>
```

Figure 410: Documents XML: document codes and file names in the off-specific-data.xml
10.7 PCT-DEMAND – Fee payment

The two fees applicable for filing a PCT-DEMAND application with the EPO are always payable and are selected by default.

Like in forms PCT/RO/101 and PCT-SFD, the fee data is contained in a separate XML file. The fee-sheet.xml is referenced by the FEESHEETXML document code in package-data.xml. If the application is created in the Online Filing software, the fee sheet is saved as an extra fee.pdf file which is, however, not relevant for import.

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).

GUI PCT-DEMAND Fee payment, Payment details sub-tab
If the selected mode of payment is debit from deposit account, the name and the signature of the person authorising the debit are mandatory.
Figure 412: Fee payment GUI: mode of payment and account information

GUI PCT-DEMAND Fee payment, Fee selection sub-tab

Figure 413: Fee selection GUI: payable fees and fee amounts

Element list
1. General application data; see PCT-DEMAND – Demand (p. 300)
2. Currency: default is EUR
3. Mode of payment
4. EPO account number
5. Account holder's name
6. Authorisation to charge any deficiency or credit any overpayment in the total fees
7. Name of person authorising the debit
(8) Signature of person authorising the debit
(9) Fee **021EP** must be selected
(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, must be set to **-1** by default
(14) Fee amount to pay = fee schedule * fee factor
(15) Fee factor (quantity), must be set to **1** by default
(16) Fee **224EP** must be selected
(17) Fee code, indicated by the **index** attribute
(18) Fee description (not stored in XML file)
(19) Fee schedule = one single fee
(20) Fee reduction factor, must be set to **-1** by default
(21) Fee amount to pay = fee schedule * fee factor
(22) Fee factor, must be set to **1** by default
(23) Date of fee schedule validity
(24) Total sum of fees in EUR
(25) EPO file name for the fee sheet
(26) File type of the fee sheet
(27) Document code for the fee sheet
XML fee-sheet.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE fee-sheet SYSTEM "ep-pct-demand-fee-sheet-v1-0.dtd">

<fee-sheet lang="en" dtd-version="1.0" file="" status="new" produced-by="applicant" date-produced="20150232" ro="EP" capacity="IEPA">
  <file-reference-id>PCT-Dem-sample</file-reference-id>
  <doc-number>PCT/EP2014/000456</doc-number>

  <ep-financial-data cur="EUR" fee-amounts-unlocked-by-user="no">
    <mode-of-payment accno="218162345" name="Janet Winter" account-signature="Janet Winter" mode-type="deposit">
      <deficiency-credit>true</deficiency-credit>
      <Nano Enterprise Ltd. @ mode-of-payment>
      <fee-date>2015031001</fee-date>
      <standard-fee>
        <fee index="021" topay="yes">9</fee>
        <fee-type-group type-of-fee=
          standard@type-of-fee>
          <fee index="1930"
            fee-schedule=1930@fee-schedule>
            <fee-schedule>
            <fee-schedule>1930@fee-schedule>
              <fee-reduction-factor>-1@fee-reduction-factor>
            <fee>
          <fee index="224" topay="yes">9</fee>
          <fee-type-group type-of-fee=
            standard@type-of-fee>
            <fee index="185" fee-schedule=185@fee-schedule>
              <fee schedule=185@fee-schedule>
              <fee-reduction-factor>-1@fee-reduction-factor>
            <fee>
          <standard-fee>
            <fee-total-amount>205.00</fee-total-amount>
          </fee>
        </fee>
      </mode-of-payment>
    </ep-financial-data>
  </fee-sheet>
```

**Figure 414:** Fee sheet XML: fee data and payment information

XML package-data.xml

```xml
<file-reference-id>PCT-Dem-sample</file-reference-id>
<document-code>VALLOGXML</document-code>
<document-code>VALLOGPDF</document-code>
<document-code>DEMANDXML</document-code>
<document-code>DEMANDPDF</document-code>
<document-code>FEESHEETXML</document-code>
<document-code>FEESHEETPDF</document-code>
<document-code>OLFSPESIFICDATAXML</document-code>
<to>
  <new-application>
    <transmittal-info>
      <signatories>
        <application-request file="demand.xml"/>
        <other-docs>
          <other-doc file="feesheet.xml" file-type="xml">26</other-doc>
          <other-doc file="fees.pdf" file-type="pdf">29</other-doc>
          <other-doc file="pct-demand.pdf" file-type="pdf">27</other-doc>
          <other-doc file="demand.xml" file-type="xml">27</other-doc>
        </other-docs>
      </signatories>
    </transmittal-info>
  </new-application>
</to>
```

**Figure 415:** fee-sheet.xml referenced in package-data.xml
### PCT Demand - Fee Sheet

<table>
<thead>
<tr>
<th>Fee type</th>
<th>Currency</th>
<th>Fee</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fee for preliminary examination of Int. application</td>
<td>EUR</td>
<td>1930.00</td>
<td>1930.00</td>
</tr>
<tr>
<td>Handling fee</td>
<td>EUR</td>
<td>165.00</td>
<td>165.00</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>EUR</strong></td>
<td><strong>2095.00</strong></td>
<td><strong>2095.00</strong></td>
</tr>
</tbody>
</table>

The European Patent Office is hereby authorised to debit from the above indicated deposit account the total fees. Authorisation to charge any deficiency or credit any overpayment in the total fees: Yes. Name: Janet Winter. Signature: /Janet Winter/.

**Figure 416: Fee Sheet PDF: not required for import**
10.8 PCT-DEMAND – Annotations

GUI PCT-DEMAND Annotations

Figure 417: Annotations GUI: note to the EPO

Element list
Each `<note>` element contains an annotation. The `<note>` elements are numbered consecutively using the `sequence` attribute. The date is not required in the XML file.

(1) Note 1
(2) Text in note 1

XML demand.xml

```
74  <demand-check-list>
83  <signatories>
93  <text>My note to the PCT-Demand example filed with the EPO</text>
94  <office-specific-data office="all" office-dtd="off-specific-data.dtd" file="off-specific-data.xml"/>
95  </demand>
```

Figure 418: Annotations XML in demand.xml
XML off-specific-data.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE off-specific-data SYSTEM "off-specific-data-v1-2.dtd">
<off-specific-data lang="en" dtd-version="1.0" file="">
  <files-info>
    <file-info>
      <notes-info>
        <note sequence="1">My note to the PCT-Demand example filled with the EPO</note>
      </notes-info>
    </file-info>
  </files-info>
</off-specific-data>
```

**Figure 419:** Annotations XML: notes in the off-specific-data.xml

**PDF pct-demand.pdf**

<table>
<thead>
<tr>
<th>VIII-1-1</th>
<th>Name (First, Last)</th>
</tr>
</thead>
<tbody>
<tr>
<td>VIII-1-2</td>
<td>Capacity</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>VIII</th>
<th>Note(s) to IPEA/EP</th>
</tr>
</thead>
<tbody>
<tr>
<td>VIII-1</td>
<td>My note to the PCT-Demand example filled with the EPO</td>
</tr>
</tbody>
</table>

**Figure 420:** Annotations PDF: note to IPEA/EPO
11 Form PCT-SFD – Subsequently filed PCT documents

This section focuses on subsequent filings in the PCT procedure where the EPO is the receiving office. Depending on the purpose of the submission, the EPO can act as Receiving Office (RO), International Searching Authority (ISA), International Preliminary Examining Authority (IPEA) or Supplementary International Searching Authority (SISA). The following examples show PCT-SFD applications where the EPO is acting as the Receiving Office (RO), if not otherwise indicated.

11.1 XML files for a PCT-SFD application

The import package for a PCT-SFD application requires four XML files:

<table>
<thead>
<tr>
<th>File name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader.dtd</td>
<td>Indicates selected procedure and other data for transmission to filing office.</td>
</tr>
<tr>
<td>package-data.xml</td>
<td>package-data.dtd</td>
<td>References attached documents including pct-sfd-request.xml file.</td>
</tr>
<tr>
<td>pct-sfd-request.xml</td>
<td>pct-sfd-request.dtd</td>
<td>Application data as entered in Form PCT-SFD, references attached documents.</td>
</tr>
<tr>
<td>pct-sfd-fee-sheet.xml</td>
<td>ep-pct-sfd-fee-sheet.dtd</td>
<td>Contains details of mode of payment and lists the fees applicable for subsequent PCT filings with the EPO.</td>
</tr>
</tbody>
</table>

Note that the fee data is contained in a separate XML file. If filing with the EPO, the elements in the pct-sfd-fee-sheet.xml file (specified by ep-pct-sfd-fee-sheet.dtd) are the same as in the main XML files of the other EP forms, e.g. ep-request.xml. If filing with one of the other participating offices, however, fee-sheet.dtd applies.

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. 15) and References from XML files to other files (p. 16).

11.2 Document codes and file types for PCT-SFD

When filing a PCT-SFD application with the EPO, the selected capacity determines which document categories and document types are accepted by the EPO. The following sections provide the document codes and file types applicable for each capacity:

▪ Receiving Office (RO)
▪ International Searching Authority (ISA)
▪ International Preliminary Examining Authority (IPEA)
Supplementary International Searching Authority (SISA)
The file type tables are grouped by the categories implemented in the Documents tab of the Online Filing form. These categories, however, are not reflected in the XML structure. Their principal purpose is to help Online Filing users select the right file type.
The values in the Document code and EPO file name columns of the file type tables are used for referencing the files to be imported in the application XML files:

- **package-data.xml**
  - **Document code** for <document-name> child-element of <other-doc> element
  - **EPO file name** for file attribute of <other-doc> element • ep-sfd-request.xml
  - **Document code** for doc-code attribute of <cl-other-document> element
  - **EPO file name** for olf-file-name attribute of <epo-file-name> element

For examples, see PCT-SFD – Documents (p. 331).

11.2.1 Documents filed with the EPO as Receiving Office (RO/EP)

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request files</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PCTSFDRO</td>
<td>pct-sfd-request.xml</td>
<td>Letter accompanying subsequently filed items under the Patent Cooperation Treaty (PCT)</td>
</tr>
<tr>
<td>FEESHEETXML</td>
<td>pct-sfd-fee-sheet.xml</td>
<td>EPO-specific fees</td>
</tr>
<tr>
<td>Assignment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ROASGN</td>
<td>ROASGN.pdf</td>
<td>Assignment</td>
</tr>
<tr>
<td>Changes to indications in the request (Rule 92bis)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CHAGNT</td>
<td>CHAGNT.pdf</td>
<td>Changes to person, name or address of the agent</td>
</tr>
<tr>
<td>CHCOMREP</td>
<td>CHCOMREP.pdf</td>
<td>Changes to person, name or address of the common representative</td>
</tr>
<tr>
<td>CHINV</td>
<td>CHINV.pdf</td>
<td>Changes to person, name or address of the inventor</td>
</tr>
<tr>
<td>CHAPPT</td>
<td>CHAPPT.pdf</td>
<td>Changes to person, name, residence, nationality or address of the applicant</td>
</tr>
<tr>
<td>Correction of defects (Article 11)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ROA11LET</td>
<td>ROA11LET.pdf</td>
<td>Letter accompanying the replacement sheet(s)</td>
</tr>
<tr>
<td>MISSCLMS</td>
<td>MISSCLMS.pdf</td>
<td>Missing claims</td>
</tr>
<tr>
<td>MISSDESC</td>
<td>MISSDESC.pdf</td>
<td>Missing description</td>
</tr>
</tbody>
</table>
### Corrections and missing parts (Article 14)

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>MISSDRAW</td>
<td>MISSDRAW.pdf</td>
<td>Missing drawings or part thereof</td>
</tr>
<tr>
<td>PARTCLMS</td>
<td>PARTCLMS.pdf</td>
<td>Missing part of claims</td>
</tr>
<tr>
<td>PARTDESC</td>
<td>PARTDESC.pdf</td>
<td>Missing part of description</td>
</tr>
<tr>
<td>LATEABST</td>
<td>LATEABST.pdf</td>
<td>Later filed abstract</td>
</tr>
<tr>
<td>ROA14LET</td>
<td>ROA14LET.pdf</td>
<td>Letter accompanying the replacement sheet(s)</td>
</tr>
<tr>
<td>MSIG</td>
<td>MSIG.pdf</td>
<td>Missing signature (Letter)</td>
</tr>
<tr>
<td>MTITLE</td>
<td>MTITLE.pdf</td>
<td>Missing title (Letter)</td>
</tr>
</tbody>
</table>

### Document code | EPO file name | Description

### Earlier search (Rule 12bis)

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ROEAPS</td>
<td>ROEAPS.pdf</td>
<td>Application for which earlier search was performed</td>
</tr>
<tr>
<td>ROCDES</td>
<td>ROCDES.pdf</td>
<td>Cited documents in earlier search</td>
</tr>
<tr>
<td>RORESR</td>
<td>RORESR.pdf</td>
<td>Results of earlier search</td>
</tr>
<tr>
<td>ROTEAS</td>
<td>ROTEAS.pdf</td>
<td>Translation of application for which earlier search was performed</td>
</tr>
<tr>
<td>ROTESR</td>
<td>ROTESR.pdf</td>
<td>Translation of result of earlier search</td>
</tr>
</tbody>
</table>

### Expressions, etc., not to be used (Rule 9)

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ROR9ABS</td>
<td>ROR9ABS.pdf</td>
<td>Amended abstract removing matter disallowed</td>
</tr>
<tr>
<td>ROR9CLMS</td>
<td>ROR9CLMS.pdf</td>
<td>Amended claims removing matter disallowed</td>
</tr>
<tr>
<td>ROR9DESC</td>
<td>ROR9DESC.pdf</td>
<td>Amended description removing matter disallowed</td>
</tr>
<tr>
<td>ROR9DRAW</td>
<td>ROR9DRAW.pdf</td>
<td>Amended drawings removing matter disallowed</td>
</tr>
<tr>
<td>ROR9LET</td>
<td>ROR9LET.pdf</td>
<td>Letter accompanying the replacement sheet(s)</td>
</tr>
<tr>
<td>ROR9UNDEF</td>
<td>ROR9UNDEF.pdf</td>
<td>Undefined correction</td>
</tr>
</tbody>
</table>

### Incorporation by reference

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>INCREFAPP</td>
<td>INCREFAPP.pdf</td>
<td>Copy of earlier application/priority document (for incorporation of reference)</td>
</tr>
<tr>
<td>INCREFRTRAN</td>
<td>INCREFRTRAN.pdf</td>
<td>Copy of translation of earlier application/priority document (for incorporation by reference)</td>
</tr>
<tr>
<td>INCREFCLMS</td>
<td>INCREFCLMS.pdf</td>
<td>New claims for incorporation by reference (Rule 20.6)</td>
</tr>
<tr>
<td>INCREFDESC</td>
<td>INCREFDESC.pdf</td>
<td>New description for incorporation by reference (Rule 20.6)</td>
</tr>
<tr>
<td>INCREFDRAW</td>
<td>INCREFDRAW.pdf</td>
<td>New drawings for incorporation by reference (Rule 20.6)</td>
</tr>
</tbody>
</table>
### INCREFSEQL
**INCREFSEQL.pdf**
New sequence listings for incorporation by reference (Rule 20.6)

### INCREFLET
**INCREFLET.pdf**
Notice confirming incorporation by reference of missing elements and parts

### Later filed documents

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AGNTLET</td>
<td>AGNTLET.pdf</td>
<td>Agents letter</td>
</tr>
<tr>
<td>LFDEC</td>
<td>LFDEC.pdf</td>
<td>Declarations</td>
</tr>
<tr>
<td>LFBP4</td>
<td>LFBP4.pdf</td>
<td>Micro-organisms form BP/4: acknowledgement of receipt by the IDA</td>
</tr>
<tr>
<td>LFRO134</td>
<td>LFRO134.pdf</td>
<td>Micro-organisms form RO/134</td>
</tr>
<tr>
<td>ROCOPYREQ</td>
<td>ROCOPYREQ.pdf</td>
<td>Request for certified copies of the international application</td>
</tr>
<tr>
<td>LFSEQL</td>
<td>LFSEQL.txt</td>
<td>Sequence Listings</td>
</tr>
</tbody>
</table>

### Regarding payment of fees

<table>
<thead>
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<th>Description</th>
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<td>ROFEERCPT.pdf</td>
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<td>Request for refund of undue fees</td>
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<td>Correction or addition of a priority claim</td>
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### Rectification of obvious mistakes (Rule 91)

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### Request for extension of time limit
11.2.2 Documents filed with the EPO as International Search Authority (ISA/EP)

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*) All PDF files except **ROPOAT** can be attached only once.
**) **LFSEQ** cannot be attached in PDF-format, but in ST25 (APP or SEQ file), ASCII-Text (TXT file) or TIFF format.
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<td>ISACDES.pdf</td>
<td>Cited documents in earlier search</td>
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<td>ISARESR.pdf</td>
<td>Results of earlier search</td>
</tr>
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<td>ISATEAS.pdf</td>
<td>Translation of application for which earlier search was performed</td>
</tr>
<tr>
<td>ISATESR</td>
<td>ISATESR.pdf</td>
<td>Translation of result of earlier search</td>
</tr>
<tr>
<td><strong>Lack of unity of invention (Rule 13)</strong></td>
<td></td>
<td></td>
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<tr>
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</tr>
<tr>
<td>ISAPLUIR</td>
<td>ISAPLUIR.pdf</td>
<td>Request to review the opinion regarding the lack of unity of the invention</td>
</tr>
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**Document code** | **EPO file name *)** | **Description**
Sequence listing free text part of the description (Rule 5.2b)

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<td>Letter accompanying the replacement sheet(s)</td>
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*) All PDF files except ISAP0AT and ISA0OTHER can be attached only once.

**) ISALFSQL cannot be attached in PDF-format, but in ST25 (APP or SEQ file), ASCII-Text (TXT file) or TIFF format.

11.2.3 Documents filed with the EPO as International Preliminary Examination Authority (IPEA/EP)

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Assignment

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Corrected Demand (Form PCT/IPEA/401) - Rules 60.1a-f

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Earlier search

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### Sequence listing free text part of the description (Rule 5.2b)

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### Translations

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*) All PDF files except **IPEAP0AT** can be attached only once.

**) **IPEALFSQ** cannot be attached in PDF-format, but in ST25 (APP or SEQ file), ASCII-Text (TXT file) or TIFF format.

### 11.2.4 Documents filed with the EPO as Supplementary International Search Authority (SISA/EP)

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<td>SISACDES.pdf</td>
<td>Cited documents in earlier search</td>
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<td>Results of earlier search</td>
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<td>SISATEAS.pdf</td>
<td>Translation of application for which earlier search was performed</td>
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<td>SISATESR.pdf</td>
<td>Translation of result of earlier search</td>
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*) All PDF files except SISAPAOAT can be attached only once.
**) SISALFSQL cannot be attached in PDF-format, but in ST25 (APP or SEQ file), ASCII-Text (TXT file) or TIFF format.
11.3  PCT-SFD – Application

GUI PCT-SFD Application

Figure 421: Application GUI: EPO selected as Receiving Office (RO)

Element list

1. Language of the form; the same value applies for all other lang attributes
2. Country-code of the receiving office
3. Capacity of the receiving office
4. applicant is the default value; see PCT-SFD – Names (p. 331)
5. Date when the form was last saved
6. User-defined reference number
7. Country-code of the patent office where the original PCT application was filed
8. Application number of the original PCT application
9. International filing date
10. (Earliest) priority date
11. Title of the invention
XML pct-sfd-request.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<DOCTYPE PE "pct-sfd-request SYSTEM "pct-sfd-request.dtd">
<pct-sfd-request lang="en" dtd-version="1.0" ro="EP" capacity="RO" produced-by="applicant" date-produced="20150129 11:50:50">
  <!--software_name eOLF-->
  <!--software_version FMM/NGR5132, IBRSFD5131, FM_FOP0205-->
  <!--stylesheet_version 3-->
  <!--info_version Version 0.22.5-->
  <file-reference-id>PCT-SFD-RO</file-reference-id>
  <application-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>PCT/EP2014/123456</doc-number>
      <kind/>
      <date>20141010</date>
    </document-id>
    <application-reference>
      <date-of-earliest-priority>
        <date>20131210</date>
      </date-of-earliest-priority>
      <invention-title id="ID000000" lang="en">LASER SWORD</invention-title>
      <parties/>
      <check-list/>
      <signatories/>
      <office-specific-data office="EP" lang="en">
        <pct-sfd-request/>
      </office-specific-data>
    </application-reference>
  </application-reference>
</pct-sfd-request>
```

Figure 422: Application XML: basic data and past record

PDF pct-sfd.pdf

Letter accompanying subsequently filed items under the Patent Cooperation Treaty (PCT) - Online filing

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

1. General information
   - Filing Office and capacity
   - Application number
   - International filing date
   - (Earliest) Priority date
   - Title of the invention

2. Reference number
   - PCT-SFD-RO

Figure 423: Application PDF: General information and user-defined reference
11.4** PCT-SFD – Names**

The EPO does not require the indication of a name in the PCT-SFD application and attributes the submission to the first-named applicant of the original application. Therefore, the form does not contain any input fields for names and there are no elements to be included in the `pct-sfd-request.xml` file.

If you want to specify details of any additions, changes or replacements to the parties to the application, please draft a letter to the EPO, have it signed and convert it into PDF. Attach this file to the PCT-SFD application, i.e. add a document reference element with the appropriate doc-code.

11.5 **PCT-SFD – Documents**

**GUI PCT-SFD Documents**

The example shows an application with multiple attachments, amongst which are a request for restoration of priority rights and a request for certified copies of the international application. Attaching one of these two document types means that also the related fee must be selected; see PCT-SFD – Fee payment (p. 333).

![Figure 424: Documents GUI: PDF files and sequence listing in APP format (C/ST.25 text file) attached](image)

**Element list**

1. EPO file name for request for restoration of priority rights
2. Original file name of request for restoration of priority rights
3. Document type: request for restoration of priority rights
(4) Number of pages
(5) Language of the document
(6) File type
(7) EPO file name for later filed sequence listing
(8) Original file name of later filed sequence listing
(9) Document type: later filed sequence listing
(10) Number of pages: not applicable for sequence listing
(11) Language of the document: use 99 (=other) for sequence listing
(12) File type: use txt for sequence listing

**XML pct-sfd-request.xml**

![Image of XML pct-sfd-request.xml]

**Figure 425: Documents XML: attributes for a PDF file and a sequence listing file in C/ST.25 text format**

**XML package-data.xml**

![Image of XML package-data.xml]

**Figure 426: Documents XML: referenced files in the package-data.xml**

---

EPO Online Filing 5.12  Page 348 of 398
Importing data as XML
11.6 PCT-SFD – Fee payment

In Form PCT-SFD, the appropriate fees to be selected depend on the selected capacity of the EPO. Note that **Automatic debit order** cannot be selected as the mode of payment if the capacity is **SISA**. (Supplementary International Search Authority).

**Fee quantity**

For some fees, entering a quantity is required when selecting the code in the GUI. The value of the **user-input** attribute of the `<fee-factor>` element is set to **1** or a number greater than **1**:

- RO: 029
- ISA: 003
- IPEA: 021e

Note that the quantity for fee 021 is always **1**.

**Fee reduction**

If the EPO acts as RO, ISA or IPEA, the reduction for applicants from low income countries can be applied as follows:

- RO: 90% reduction on 222, 225, 316, 318, 319
- ISA: 75% reduction on 003
- IPEA: 75% reduction on 021, 90% reduction on 224

Note that there is no reduction for fee 021e.

The reduction is indicated by the value **0.75** or **0.9** in the relevant `<fee-reduction-factor>` element.

Specific fees are not payable, but they are refunded. If applicable, only one of these codes can be selected:

- RO: 316, 318, 319
For these reduction fees, the user-input attribute is set to -1, i.e. the quantity is negative. If the reduction for low income countries is applied at the same time, the value of <fee-reduction-factor> is set to 0.9 and the value of <fee-factor> will become negative.

\[
\text{fee factor} = (1 - \text{fee reduction factor}) \times \text{user input}
\]

For all other fees, <fee-factor> and user-input are 1 (which means the quantity is 1) and <fee-reduction-factor> is -1 (which means not applicable).

**Fee calculation**

Only the <fee> element with the correct index and topay attributes and the <fee-factor> element are required in the import file; see Importing the correct fee amounts depending on the date of filing (p. 94). The <fee-schedule> will be automatically re-calculated by Online Filing.

Changing fee amounts is not allowed in Form PCT-SFD. Therefore, the fee-amounts-unlocked-by-user attribute of the <ep-financial-data> element is always set to no; see Unlocking fee amounts or automatic correction by the EPO (p. 96).

The following example shows a PCT-SFD form where the EPO is acting as RO (Receiving Office).

**GUI PCT-SFD Fee payment, Payment details sub-tab**

![Figure 428: Payment details GUI: payment information, late payment fee](image)
GUI PCT-SFD Fee payment, Fee selection sub-tab

Figure 429: Fee selection GUI: payable fees and fees amounts

Element list in package-data.xml
1. EPO file name for the fee sheet
2. File type of the fee sheet
3. Document code for the fee sheet

XML package-data.xml

Figure 430: Fees XML: reference to the fee sheet XML file

Element list in pct-sfd-fee-sheet.xml

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) General application data; see PCT-SFD – Application (p. 329)
(2) Currency: default is EUR
(3) Mode of payment
(4) EPO account number
(5) Authorisation to charge any deficiency or to credit overpayment
(6) Account holder's name
(7) Fee selected, indicated by to pay = "yes" (8) Fee amount to pay
(9) Fee selected, indicated by to pay = "yes"
(10) Fee schedule = one single fee
(11) Fee factor = 1 * user input (no fee reduction applied)
(12) Fee amount to pay = fee schedule * fee factor
(13) Fee reduction factor, set to -1 by default
(14) Fee selected, indicated by to pay = "yes"
(15) Fee factor = (1 - fee reduction factor) * user input
(16) Fee amount to pay = fee schedule * fee factor
(17) Fee schedule = one single fee
(18) Fee reduction factor, set to 0.9 to calculate the 90% reduction for low income countries
(19) Fee selected, indicated by to pay = "yes"
(20) Fee factor = (1 - fee reduction factor) * user input
(21) Fee amount to pay = fee schedule * fee factor
(22) Fee schedule = one single fee
(23) Fee reduction factor, set to 0.9 to calculate the 90% reduction for low income countries
(24) Total amount of fees in EUR
(25) Date of fee schedule validity

XML pct-sfd-fee-sheet.xml
Figure 431: Fees XML: data on mode of payment and selected fees in separate XML file
11.7 PCT-SFD – Annotations

GUI PCT-SFD Annotations

Figure 433: Annotations GUI: notes for the EPO

Element list
Each `<note>` element contains an annotation. The `<note>` elements are numbered consecutively using the `id` attribute: note1, note2, etc.

(1) Annotation 1
(2) Date created
(3) Text of annotation 1
(4) Annotation 2
(5) Date created
(6) Text of annotation 2

**XML pct-sfd-request.xml**

```xml
<check-list>
<signatories>
<office-specific-data office="EP" lang="en">
<notes>
<note id="note1">
<date>291/12/15</date>
<text>My note 1</text>
</note>
<note id="note2">
<date>291/12/15</date>
<text>My other note 2</text>
</note>
</notes>
</office-specific-data>
</pct-sfd-request>
```

*Figure 434: Annotations XML: notes and text*

**PDF pct-sfd.pdf**

```
<table>
<thead>
<tr>
<th>6. Note(s) for EPO</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) My note 1</td>
</tr>
<tr>
<td>2) My other note 2</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>4</td>
</tr>
<tr>
<td>5</td>
</tr>
<tr>
<td>7. Signature(s)</td>
</tr>
</tbody>
</table>
```

*Figure 435: Annotations PDF: notes for the EPO*
12 Annex

12.1 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

12.2 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)
- XML Library (http://www.wipo.int/pct-safe/en/resources/index.html) (including DTDs)

12.3 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.


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.

12.4 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`
  - `.`
  - `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.
12.5 XML element list

All XML elements for EP(1001E2K), Euro-PCT(1200E2K), EP(1038E), EP(Oppo),
PCT/RO/101, PCT-SFD and PCT-Demand 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. 353) section of the Annex.

<table>
<thead>
<tr>
<th>Element</th>
<th>1001</th>
<th>1200</th>
<th>1038</th>
<th>Oppo</th>
<th>PCT</th>
<th>SFD</th>
<th>DEM</th>
<th>OLF</th>
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</thead>
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</table>

Please note that other receiving Offices may issue their own file naming rules.
| alttitle          |   |   | x |   |   |
| any-other-state  | x | x | x | x | x |
| applicant        | x | x | x | x | x | x | x |
| applicant-file-name | x | x | x | x | x |   |
| applicant-IB-recorded |   |   |   |   |   |   | x |
| applicant-number |   |   |   |   |   |   | x |
| applicants       | x | x | x | x | x | x | x |

<table>
<thead>
<tr>
<th>Element</th>
<th>1001</th>
<th>1200</th>
<th>1038</th>
<th>Oppo</th>
<th>PCT</th>
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See the `ep-xmit-opposition-data-v1.5.dtd` for more child elements to the `maths` element.

### 12.6 XML attribute lists

#### 12.6.1 Attributes in `ep-request.xml` file – EP(1001E2K)

The list relates to `ep-request-v1-17.dtd`.

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<td>total-page-count</td>
<td>CDATA #IMPLIED</td>
<td>check-list</td>
</tr>
<tr>
<td>translation</td>
<td>CDATA #IMPLIED</td>
<td>ep-priority-claim</td>
</tr>
<tr>
<td>type</td>
<td>(jpg</td>
<td>pdf</td>
</tr>
<tr>
<td>url</td>
<td>CDATA #IMPLIED</td>
<td>ep-biological-material</td>
</tr>
<tr>
<td>user-input</td>
<td>CDATA #IMPLIED</td>
<td>fee-factor, fee-reduction-factor, fee-reduction-amount</td>
</tr>
<tr>
<td>waiver</td>
<td>CDATA #IMPLIED</td>
<td>ep-inventor</td>
</tr>
<tr>
<td>waiver-communication-and-processing-of-non-designated-states</td>
<td>(yes</td>
<td>no) #REQUIRED</td>
</tr>
<tr>
<td>wi</td>
<td>NMTOKEN #REQUIRED</td>
<td>doc-page</td>
</tr>
<tr>
<td>will-be-filed-later</td>
<td>(yes</td>
<td>no) &quot;no&quot;</td>
</tr>
</tbody>
</table>

### 12.6.2 Attributes in ep-euro-pct.xml file – Euro-PCT(1200E2K)

The list relates to ep-euro-pct-v1-17.dtd.

<table>
<thead>
<tr>
<th>ATTRIBUTE</th>
<th>VALUES</th>
<th>Applicable to ELEMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

EPO Online Filing 5.12
Importing data as XML
<table>
<thead>
<tr>
<th>Attribute</th>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>accno</td>
<td>CDATA #REQUIRED</td>
<td>mode-of-payment, reimbursement</td>
</tr>
<tr>
<td>alt</td>
<td>CDATA #IMPLIED</td>
<td>doc-page</td>
</tr>
<tr>
<td>amendments-enclosed</td>
<td>(yes</td>
<td>no) #REQUIRED</td>
</tr>
<tr>
<td>app-type</td>
<td>(applicant</td>
<td>applicant-inventor</td>
</tr>
<tr>
<td>application-pages</td>
<td>CDATA #IMPLIED</td>
<td>cl-description, cl-claims, cl-drawings</td>
</tr>
<tr>
<td>bio-info</td>
<td>(1) #IMPLIED</td>
<td>ep-biological-material</td>
</tr>
<tr>
<td>color</td>
<td>(color</td>
<td>bw) #IMPLIED</td>
</tr>
<tr>
<td>curr</td>
<td>CDATA #REQUIRED</td>
<td>ep-financial-data</td>
</tr>
<tr>
<td>currency</td>
<td>CDATA #IMPLIED</td>
<td>mode-of-payment</td>
</tr>
<tr>
<td>date</td>
<td>CDATA #REQUIRED</td>
<td>fees, electronic-signature</td>
</tr>
<tr>
<td>date-produced</td>
<td>CDATA #IMPLIED</td>
<td>ep-euro-pct</td>
</tr>
<tr>
<td>deferred-execution-date</td>
<td>CDATA #IMPLIED</td>
<td>mode-of-payment</td>
</tr>
<tr>
<td>designation</td>
<td>(all</td>
<td>all-except-us</td>
</tr>
<tr>
<td>designation</td>
<td>(all</td>
<td>all-except-us</td>
</tr>
<tr>
<td>dnum</td>
<td>CDATA #IMPLIED</td>
<td>ep-biological-material</td>
</tr>
<tr>
<td>doc-type</td>
<td>CDATA #REQUIRED</td>
<td>ep-electronic-files</td>
</tr>
<tr>
<td>dtd-version</td>
<td>CDATA #IMPLIED</td>
<td>ep-euro-pct</td>
</tr>
<tr>
<td>ep-association-number</td>
<td>CDATA #IMPLIED</td>
<td>ep-agent</td>
</tr>
<tr>
<td>ep-authorisation</td>
<td>( includes-ep-phase</td>
<td>filed-not-yet-registered</td>
</tr>
<tr>
<td>fee-amounts-unlocked-by-user</td>
<td>(yes</td>
<td>no) #IMPLIED</td>
</tr>
<tr>
<td>fig-count</td>
<td>CDATA #IMPLIED</td>
<td>cl-drawings</td>
</tr>
<tr>
<td>file</td>
<td>CDATA #IMPLIED</td>
<td>ep-euro-pct, ep-office-specific-data</td>
</tr>
<tr>
<td>file</td>
<td>CDATA #REQUIRED</td>
<td>fax-image, doc-page</td>
</tr>
<tr>
<td>furnishment-of-sequence-listing</td>
<td>(already</td>
<td>attached) #REQUIRED</td>
</tr>
</tbody>
</table>

**EPO Online Filing 5.12**
Importing data as XML
<table>
<thead>
<tr>
<th>ATTRIBUTE</th>
<th>VALUES</th>
<th>Applicable to ELEMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>general_authorisation_number</td>
<td>CDATA #IMPLIED</td>
<td>ep-agent</td>
</tr>
<tr>
<td>he</td>
<td>NMTOKEN #REQUIRED</td>
<td>doc-page</td>
</tr>
<tr>
<td>id</td>
<td>ID #IMPLIED</td>
<td>ep-biological-material, ep-notes-to-EPO, doc-page</td>
</tr>
<tr>
<td>id</td>
<td>CDATA #IMPLIED</td>
<td>ep-office-specific-data</td>
</tr>
<tr>
<td>index</td>
<td>CDATA #REQUIRED</td>
<td>fee</td>
</tr>
<tr>
<td>ipea</td>
<td>(EP</td>
<td>other) #REQUIRED</td>
</tr>
<tr>
<td>iper-type</td>
<td>(rational</td>
<td>detailed) #REQUIRED</td>
</tr>
<tr>
<td>kind</td>
<td>(national</td>
<td>regional</td>
</tr>
<tr>
<td>lang</td>
<td>CDATA #REQUIRED</td>
<td>ep-euro-pct, addressbook, document-id, ep-office-specific-data, ep-request-for-exam-art94</td>
</tr>
<tr>
<td>lang-code</td>
<td>CDATA #IMPLIED</td>
<td>ep-language-of-filing</td>
</tr>
<tr>
<td>mode-type</td>
<td>(auto</td>
<td>deposit</td>
</tr>
<tr>
<td>name-type</td>
<td>(legal</td>
<td>natural) #IMPLIED</td>
</tr>
<tr>
<td>not-including-matter-beyond-original-application</td>
<td>(yes</td>
<td>no) #IMPLIED</td>
</tr>
<tr>
<td>num</td>
<td>CDATA #IMPLIED</td>
<td>ep-biological-material</td>
</tr>
<tr>
<td>number-of-claims</td>
<td>CDATA #IMPLIED</td>
<td>cl-claims</td>
</tr>
<tr>
<td>number-claims-fee-calculation</td>
<td>CDATA #IMPLIED</td>
<td>cl-claims</td>
</tr>
<tr>
<td>office</td>
<td>CDATA #REQUIRED</td>
<td>ep-office-specific-data</td>
</tr>
<tr>
<td>office-dtd</td>
<td>CDATA #IMPLIED</td>
<td>ep-office-specific-data</td>
</tr>
<tr>
<td>orientation</td>
<td>(portrait</td>
<td>landscape) &quot;portrait&quot;</td>
</tr>
<tr>
<td>other-type</td>
<td>CDATA #IMPLIED</td>
<td>cl-other-document</td>
</tr>
<tr>
<td>page</td>
<td>CDATA #REQUIRED</td>
<td>ep-notes-to-EPO</td>
</tr>
<tr>
<td>ATTRIBUTE</td>
<td>VALUES</td>
<td>Applicable to ELEMENTS</td>
</tr>
<tr>
<td>-----------------</td>
<td>------------------------------------------------------------------------</td>
<td>-------------------------</td>
</tr>
<tr>
<td>page-count</td>
<td>CDATA #IMPLIED</td>
<td>cl-request, cl-description, cl-claims, cl-abstract, cl-drawings, cl-sequence-listing, cl-other-document</td>
</tr>
<tr>
<td>phase</td>
<td>international-application-as-filed</td>
<td>translation-of-international-application</td>
</tr>
<tr>
<td>place-signed</td>
<td>CDATA #IMPLIED</td>
<td>electronic-signature</td>
</tr>
<tr>
<td>pp</td>
<td>CDATA #IMPLIED</td>
<td>doc-page</td>
</tr>
<tr>
<td>ppf</td>
<td>CDATA #IMPLIED</td>
<td>cl-description, cl-claims, cl-abstract, cl-drawings, doc-page</td>
</tr>
<tr>
<td>ppl</td>
<td>CDATA #IMPLIED</td>
<td>cl-description, cl-claims, cl-abstract, cl-drawings, doc-page</td>
</tr>
<tr>
<td>produced-by</td>
<td>(applicant</td>
<td>RO</td>
</tr>
<tr>
<td>quantity</td>
<td>CDATA #REQUIRED</td>
<td>cl-sequence-listing</td>
</tr>
<tr>
<td>region</td>
<td>(Other</td>
<td>EP) &quot;EP&quot;</td>
</tr>
<tr>
<td>regional-phase-office</td>
<td>(designated</td>
<td>elected) #REQUIRED</td>
</tr>
<tr>
<td>renunciation</td>
<td>CDATA #IMPLIED</td>
<td>ep-inventor</td>
</tr>
</tbody>
</table>
### Attributes in `ep-sfd-request.xml` file – EP(1038E)

The list relates to `ep-sfd-request-v2-6.dtd`.

<table>
<thead>
<tr>
<th>ATTRIBUTE</th>
<th>VALUES</th>
<th>Applicable to ELEMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>accno</td>
<td>CDATA #REQUIRED</td>
<td>mode-of-payment, reimbursement</td>
</tr>
</tbody>
</table>

| rep-type | (agent | attorney | common-representative) | 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-st25identical-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 |
| wi | NMTOKEN #REQUIRED | doc-page |
| will-be-filed-later | (yes | no) "no" | bio-receipt, bio-authorization |

#### 12.6.3 Attributes in `ep-sfd-request.xml` file – EP(1038E)

1. **replace-in-full**: Specifies the replacement of the full text of the document. It can take the values 'yes' or 'no'.
2. **sequence**: The sequence of elements in the document. It can take the values 'applicant', 'ep-inventor', 'ep-agent', and 'ep-priority-claim'.
3. **sequence-listing-in-st25identical-to-pdf**: Indicates if the sequence listing is identical to the PDF. It can take the values 'yes' or 'no'.
4. **seq-type**: Specifies the type of sequence listing. It can take the values 'pdf', 'tif', 'jpg', 'app', 'txt', and 'zip'.
5. **status**: The status of the document. It can take the values 'ep-euro-pct' and 'ep-office-specific-data'.
6. **topay**: Indicates if the payment is required. It can take the values 'yes' or 'no'.
7. **total-page-count**: The total number of pages in the document. It can be any integer.
8. **translation**: The translation of the document. It can take the values 'ep-priority-claim' and 'ep-office-specific-data'.
9. **type**: The type of the document. It can take the values 'jpg', 'pdf', and 'tif'.
10. **url**: The URL of the document. It can take the values 'ep-biological-material' and 'ep-publication'.
11. **wi**: The ID of the document. It can be any valid string.
12. **will-be-filed-later**: Indicates if the document will be filed later. It can take the values 'yes' or 'no'.
<table>
<thead>
<tr>
<th>Element</th>
<th>Value Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>alt</td>
<td>CDATA #IMPLIED</td>
<td>doc-page</td>
</tr>
<tr>
<td>app-type</td>
<td>(applicant</td>
<td>applicant-inventor</td>
</tr>
<tr>
<td>color</td>
<td>(color</td>
<td>bw) #IMPLIED</td>
</tr>
<tr>
<td>curr</td>
<td>CDATA #REQUIRED</td>
<td>ep-financial-data</td>
</tr>
<tr>
<td>currency</td>
<td>CDATA #IMPLIED</td>
<td>mode-of-payment</td>
</tr>
<tr>
<td>date</td>
<td>CDATA #REQUIRED</td>
<td>fees, electronic-signature</td>
</tr>
<tr>
<td>deferred-execution-date</td>
<td>CDATA #IMPLIED</td>
<td>mode-of-payment</td>
</tr>
<tr>
<td>designation</td>
<td>(all</td>
<td>all-except-us</td>
</tr>
<tr>
<td>doc-type</td>
<td>CDATA #REQUIRED</td>
<td>ep-electronic-files</td>
</tr>
<tr>
<td>ep-association-number</td>
<td>CDATA #IMPLIED</td>
<td>agent</td>
</tr>
<tr>
<td>fee-amounts-unlocked-by-user</td>
<td>(yes</td>
<td>no) #IMPLIED</td>
</tr>
<tr>
<td>fig-count</td>
<td>CDATA #IMPLIED</td>
<td>cl-drawings</td>
</tr>
<tr>
<td>file</td>
<td>CDATA #REQUIRED</td>
<td>fax-image, doc-page</td>
</tr>
<tr>
<td>he</td>
<td>NMTOKEN #REQUIRED</td>
<td>doc-page</td>
</tr>
<tr>
<td>id</td>
<td>ID #IMPLIED</td>
<td>ep-notes-to-EPO, doc-page</td>
</tr>
<tr>
<td>index</td>
<td>CDATA #REQUIRED</td>
<td>fee</td>
</tr>
<tr>
<td>lang</td>
<td>CDATA #REQUIRED</td>
<td>addressbook, document-id</td>
</tr>
<tr>
<td>mode-type</td>
<td>(auto</td>
<td>deposit</td>
</tr>
<tr>
<td>name-type</td>
<td>(legal</td>
<td>natural) #IMPLIED</td>
</tr>
<tr>
<td>number-of-claims</td>
<td>CDATA #IMPLIED</td>
<td>cl-claims</td>
</tr>
<tr>
<td>orientation</td>
<td>(portrait</td>
<td>landscape) &quot;portrait&quot;</td>
</tr>
</tbody>
</table>

**ATTRIBUTE VALUES Applicable to ELEMENTS**

- 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                                      |
## 12.6.4 Attributes in ep-opposition-data.xml file – EP(Oppo)

The list relates to ep-xmit-opposition-data-v1.5.dtd.

<table>
<thead>
<tr>
<th>ATTRIBUTE</th>
<th>VALUES</th>
<th>Applicable to ELEMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>accno</td>
<td>CDATA #REQUIRED</td>
<td>mode-of-payment, reimbursement</td>
</tr>
<tr>
<td>after-summons-to-op</td>
<td>(yes</td>
<td>no) #IMPLIED</td>
</tr>
<tr>
<td>alt</td>
<td>CDATA #IMPLIED</td>
<td>doc-page</td>
</tr>
<tr>
<td>align</td>
<td>(left</td>
<td>right</td>
</tr>
<tr>
<td>app-type</td>
<td>(applicant</td>
<td>applicant-inventor) #REQUIRED</td>
</tr>
<tr>
<td>appeal-type</td>
<td>CDATA #IMPLIED</td>
<td>ep-xmit-opposition-data</td>
</tr>
<tr>
<td>appl-type</td>
<td>CDATA #IMPLIED</td>
<td>application-reference</td>
</tr>
<tr>
<td>auxiliary-request</td>
<td>(yes</td>
<td>no) #IMPLIED</td>
</tr>
<tr>
<td>carriers</td>
<td>(internal-electronic</td>
<td>external-electronic</td>
</tr>
<tr>
<td>char</td>
<td>CDATA #IMPLIED</td>
<td>colspec, entry</td>
</tr>
<tr>
<td>ATTRIBUTE</td>
<td>VALUES</td>
<td>Applicable to ELEMENTS</td>
</tr>
<tr>
<td>------------------</td>
<td>-------------------------</td>
<td>-----------------------------------------</td>
</tr>
<tr>
<td>charoff</td>
<td>NMTOKEN #IMPLIED</td>
<td>colspec, entry</td>
</tr>
<tr>
<td>chem-type</td>
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<tr>
<td>class-type</td>
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<tr>
<td>colname</td>
<td>NMTOKEN #IMPLIED</td>
<td>colspec, entry</td>
</tr>
<tr>
<td>colnum</td>
<td>NMTOKEN #IMPLIED</td>
<td>colspec</td>
</tr>
<tr>
<td>color</td>
<td>(color</td>
<td>bw) #IMPLIED</td>
</tr>
<tr>
<td>cols</td>
<td>NMTOKEN #REQUIRED</td>
<td>tgroup</td>
</tr>
<tr>
<td>colsep</td>
<td>NMTOKEN #IMPLIED</td>
<td>table, tgroup, colspec, entry</td>
</tr>
<tr>
<td>colwidth</td>
<td>CDATA #IMPLIED</td>
<td>colspec</td>
</tr>
<tr>
<td>convention</td>
<td>CDATA #IMPLIED</td>
<td>not-valid-other-grounds</td>
</tr>
<tr>
<td>curr</td>
<td>CDATA #REQUIRED</td>
<td>ep-financial-data</td>
</tr>
<tr>
<td>currency</td>
<td>CDATA #IMPLIED</td>
<td>mode-of-payment</td>
</tr>
<tr>
<td>date</td>
<td>CDATA #REQUIRED</td>
<td>fees, electronic-signature</td>
</tr>
<tr>
<td>date-produced</td>
<td>CDATA #IMPLIED</td>
<td>ep-xmit-opposition-data</td>
</tr>
<tr>
<td>deferred-execution-date</td>
<td>CDATA #IMPLIED</td>
<td>mode-of-payment</td>
</tr>
<tr>
<td>designation</td>
<td>(all</td>
<td>all-except-us</td>
</tr>
<tr>
<td>designation</td>
<td>(all</td>
<td>all-except-us</td>
</tr>
<tr>
<td>division-reference</td>
<td>CDATA #IMPLIED</td>
<td>ep-opposition-evidence</td>
</tr>
<tr>
<td>dnum</td>
<td>CDATA #IMPLIED</td>
<td>bio-deposit, patcit</td>
</tr>
<tr>
<td>dnum-type</td>
<td>CDATA #IMPLIED</td>
<td>patcit</td>
</tr>
<tr>
<td>doc-type</td>
<td>CDATA #REQUIRED</td>
<td>ep-electronic-files</td>
</tr>
<tr>
<td>doc-version</td>
<td>CDATA #IMPLIED</td>
<td>ep-xmit-opposition-data</td>
</tr>
<tr>
<td>dtd-version</td>
<td>CDATA #IMPLIED</td>
<td>ep-xmit-opposition-data</td>
</tr>
<tr>
<td>ep-association-number</td>
<td>CDATA #IMPLIED</td>
<td>ep-agent</td>
</tr>
<tr>
<td>external-party-role</td>
<td>( opponent</td>
<td>intervener</td>
</tr>
<tr>
<td>external-type</td>
<td>(math</td>
<td>chemistry</td>
</tr>
<tr>
<td>file</td>
<td>CDATA #IMPLIED</td>
<td>patcit, nplcit</td>
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<tr>
<td>------</td>
<td>----------------</td>
<td>----------------</td>
</tr>
<tr>
<td>file</td>
<td>CDATA #REQUIRED</td>
<td>fax-image, doc-page, img, chem, table-external-doc</td>
</tr>
<tr>
<td>frame</td>
<td>(top</td>
<td>bottom</td>
</tr>
<tr>
<td>he</td>
<td>CDATA #REQUIRED</td>
<td>doc-page, img</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ATTRIBUTE</th>
<th>VALUES</th>
<th>Applicable to ELEMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>idref</td>
<td>IDREFS #IMPLIED</td>
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<tr>
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<td>crossref</td>
</tr>
<tr>
<td>img-content</td>
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<tr>
<td>img-format</td>
<td>(jpg</td>
<td>tif</td>
</tr>
<tr>
<td>index</td>
<td>CDATA #REQUIRED</td>
<td>fee</td>
</tr>
<tr>
<td>inline</td>
<td>(yes</td>
<td>no) &quot;no&quot;</td>
</tr>
<tr>
<td>ipea</td>
<td>(EP</td>
<td>other) &quot;EP&quot;</td>
</tr>
<tr>
<td>iper-type</td>
<td>(rational</td>
<td>detailed) #REQUIRED</td>
</tr>
<tr>
<td>kind</td>
<td>(heir</td>
<td>heiress</td>
</tr>
<tr>
<td>Attribute</td>
<td>Values</td>
<td>Applicable to Elements</td>
</tr>
<tr>
<td>--------------</td>
<td>--------------------------------------------</td>
<td>-------------------------------------------------------------</td>
</tr>
<tr>
<td>num</td>
<td>CDATA #REQUIRED</td>
<td>p, bio-deposit, chemistry, tables</td>
</tr>
<tr>
<td>num</td>
<td>CDATA #IMPLIED</td>
<td>figref, patcit, nplcit</td>
</tr>
<tr>
<td>ocr</td>
<td>CDATA #IMPLIED</td>
<td>doc-page</td>
</tr>
<tr>
<td>orientation</td>
<td>(portrait</td>
<td>landscape) &quot;portrait&quot;</td>
</tr>
<tr>
<td>ostyle</td>
<td>(single</td>
<td>double</td>
</tr>
<tr>
<td>page</td>
<td>CDATA #REQUIRED</td>
<td>ep-notes-to-EPO</td>
</tr>
<tr>
<td>party-id</td>
<td>IDREF #IMPLIED</td>
<td>ep-opposition-notice, ep-opposition-submission, ep-opposition-evidence</td>
</tr>
<tr>
<td>party-reference</td>
<td></td>
<td>ep-opposition-evidence</td>
</tr>
<tr>
<td>pgwide</td>
<td>NMTOKEN #IMPLIED</td>
<td>table</td>
</tr>
<tr>
<td>place-signed</td>
<td>CDATA #IMPLIED</td>
<td>electronic-signature</td>
</tr>
<tr>
<td>pp</td>
<td>CDATA #IMPLIED</td>
<td>doc-page</td>
</tr>
<tr>
<td>ppf</td>
<td>CDATA #IMPLIED</td>
<td>doc-page</td>
</tr>
</tbody>
</table>

The table lists various attributes with their respective values and applicable elements. The attributes include numbers, orientation, page, etc., and the values cover elements like page numbers, orientation types, and document pages.
<table>
<thead>
<tr>
<th>ppl</th>
<th>CDATA #IMPLIED</th>
<th>doc-page</th>
</tr>
</thead>
<tbody>
<tr>
<td>region</td>
<td>(Other</td>
<td>EP) &quot;EP&quot;</td>
</tr>
<tr>
<td>rep-address</td>
<td>(yes</td>
<td>no) #IMPLIED</td>
</tr>
<tr>
<td>rep-type</td>
<td>(agent</td>
<td>attorney</td>
</tr>
<tr>
<td>request-type</td>
<td>(oral-proceedings</td>
<td>oral-proceedings-withdrawn</td>
</tr>
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<td>rowsep</td>
<td>NMTOKEN #IMPLIED</td>
<td>table, tgroup, colspec, row, entry</td>
</tr>
<tr>
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<td>CDATA #REQUIRED</td>
<td>ep-external-party-participant, applicant, inventor, deceased-inventor</td>
</tr>
<tr>
<td>status</td>
<td>CDATA #IMPLIED</td>
<td>table-external-doc</td>
</tr>
<tr>
<td>style</td>
<td>(single</td>
<td>double</td>
</tr>
<tr>
<td>subname-type</td>
<td>(editor</td>
<td>translator</td>
</tr>
<tr>
<td>time-units</td>
<td>(days</td>
<td>months</td>
</tr>
<tr>
<td>to-be-summoned-via</td>
<td>(party</td>
<td>agent) #IMPLIED</td>
</tr>
<tr>
<td>to-dead-inventor</td>
<td>CDATA #REQUIRED</td>
<td>us-rights</td>
</tr>
<tr>
<td>topay</td>
<td>(yes</td>
<td>no) #REQUIRED</td>
</tr>
<tr>
<td><strong>ATTRIBUTE</strong></td>
<td><strong>VALUES</strong></td>
<td><strong>Applicable to ELEMENTS</strong></td>
</tr>
<tr>
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<td>pdf</td>
</tr>
<tr>
<td>type</td>
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<td>opposition-evidence-other-file</td>
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<td>url</td>
<td>CDATA #IMPLIED</td>
<td>bio-deposit, nplcit</td>
</tr>
<tr>
<td>user-input</td>
<td>CDATA #IMPLIED</td>
<td>fee-reduction-factor, fee-reduction-amount</td>
</tr>
<tr>
<td>valign</td>
<td>(top</td>
<td>middle</td>
</tr>
<tr>
<td>wi</td>
<td>CDATA #REQUIRED</td>
<td>img</td>
</tr>
<tr>
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<td>default) #IMPLIED</td>
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</table>
### 12.6.5 Attributes in request.xml file – PCT/RO/101

The list relates to request-v1-9.dtd.

<table>
<thead>
<tr>
<th>ATTRIBUTE</th>
<th>VALUES</th>
<th>Applicable for ELEMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>action-by</td>
<td>CDATA #IMPLIED</td>
<td>priority-doc-from-library</td>
</tr>
<tr>
<td>additional-copies-including-search-copy</td>
<td>(yes</td>
<td>no ) #IMPLIED</td>
</tr>
<tr>
<td>alt</td>
<td>CDATA #IMPLIED</td>
<td>doc-page</td>
</tr>
<tr>
<td>app-type</td>
<td>(applicant</td>
<td>applicant-inventor) #REQUIRED</td>
</tr>
<tr>
<td>available-at-isa</td>
<td>(yes</td>
<td>no ) #IMPLIED</td>
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<tr>
<td>carriers</td>
<td>(internal-electronic</td>
<td>external-electronic</td>
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<tr>
<td>carriers-type</td>
<td>(FD</td>
<td>CD</td>
</tr>
<tr>
<td>carriers-quantity</td>
<td>CDATA #IMPLIED</td>
<td>cl-sequence-listing</td>
</tr>
<tr>
<td>certified-copy</td>
<td>(attached</td>
<td>later</td>
</tr>
<tr>
<td>color</td>
<td>(color</td>
<td>bw) #IMPLIED</td>
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<tr>
<td>date</td>
<td>CDATA #REQUIRED</td>
<td>electronic-signature</td>
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<tr>
<td>date-produced</td>
<td>CDATA #IMPLIED</td>
<td>request</td>
</tr>
<tr>
<td>designation</td>
<td>(all</td>
<td>all-except-us</td>
</tr>
<tr>
<td>designation</td>
<td>(all</td>
<td>all-except-us</td>
</tr>
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<td>documents-cited-in-earlier-search-results</td>
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<td>no ) #IMPLIED</td>
</tr>
<tr>
<td>dtd-version</td>
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<td>no ) #IMPLIED</td>
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<td>email-purpose</td>
<td>(informal</td>
<td>general</td>
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<td>fig-count</td>
<td>CDATA #IMPLIED</td>
<td>cl-drawings</td>
</tr>
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<td>file</td>
<td>CDATA #IMPLIED</td>
<td>request</td>
</tr>
<tr>
<td>------------</td>
<td>---------------------</td>
<td>----------------------------------</td>
</tr>
<tr>
<td>file</td>
<td>CDATA #REQUIRED</td>
<td>fax-image, doc-page, office-specific-data</td>
</tr>
<tr>
<td>for-search-only</td>
<td>(yes</td>
<td>no ) #IMPLIED</td>
</tr>
<tr>
<td>he</td>
<td>CDATA #REQUIRED</td>
<td>doc-page</td>
</tr>
<tr>
<td>id</td>
<td>ID #IMPLIED</td>
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<tr>
<td>kind</td>
<td>(heir</td>
<td>heiress</td>
</tr>
<tr>
<td>kind</td>
<td>(national</td>
<td>regional</td>
</tr>
<tr>
<td>lang</td>
<td>CDATA #IMPLIED</td>
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<td>request</td>
</tr>
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<td>library-identifier</td>
<td>CDATA #IMPLIED</td>
<td>priority-doc-from-library</td>
</tr>
<tr>
<td>name-type</td>
<td>(legal</td>
<td>natural) #IMPLIED</td>
</tr>
<tr>
<td>ocr</td>
<td>CDATA #IMPLIED</td>
<td>doc-page</td>
</tr>
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<td>office</td>
<td>CDATA #REQUIRED</td>
<td>office-specific-data</td>
</tr>
<tr>
<td>office-dtd</td>
<td>CDATA #REQUIRED</td>
<td>office-specific-data</td>
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<tr>
<td>orientation</td>
<td>(portrait</td>
<td>landscape) 'portrait'</td>
</tr>
<tr>
<td>page-count</td>
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</tr>
<tr>
<td>place-signed</td>
<td>CDATA #IMPLIED</td>
<td>electronic-signature</td>
</tr>
<tr>
<td>pp</td>
<td>CDATA #IMPLIED</td>
<td>doc-page</td>
</tr>
<tr>
<td>ppf</td>
<td>CDATA #IMPLIED</td>
<td>cl-description, cl-claims, cl-abstract, doc-page</td>
</tr>
<tr>
<td>Attribute</td>
<td>Values</td>
<td>Applicable for ELEMENTS</td>
</tr>
<tr>
<td>---------------------------</td>
<td>------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------</td>
</tr>
<tr>
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<td>cl-description, cl-claims, cl-abstract, doc-page</td>
</tr>
<tr>
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<td>priority-doc-from-library</td>
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<td>produced-by</td>
<td>(applicant</td>
<td>RO</td>
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<td>VALUES</td>
<td>Applicable for ELEMENTS</td>
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<td></td>
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<td></td>
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<tr>
<td></td>
<td></td>
<td>lack-of-signature, cl-priority-document, cl-translation-of-application, cl-biological-</td>
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<td></td>
<td></td>
<td>material, cl-earlier-search-document</td>
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<tr>
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<td>attorney</td>
</tr>
<tr>
<td></td>
<td></td>
<td>agent</td>
</tr>
<tr>
<td>request-ro-to-transmit-to-is-a</td>
<td>(yes</td>
<td>no ) #IMPLIED</td>
</tr>
<tr>
<td>results-of-earlier-search</td>
<td>(yes</td>
<td>no ) #IMPLIED</td>
</tr>
<tr>
<td>ro</td>
<td>CDATA #REQUIRED</td>
<td>request</td>
</tr>
<tr>
<td>sequence</td>
<td>CDATA #IMPLIED</td>
<td>deceased-inventor</td>
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<tr>
<td></td>
<td></td>
<td>applicant, inventor, agent, priority-claim</td>
</tr>
<tr>
<td>size</td>
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<td>CDATA #IMPLIED</td>
<td>request, office-specific-data</td>
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<tr>
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<td>double</td>
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<td>style</td>
<td>(single</td>
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<td>subset</td>
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<td>no ) #IMPLIED</td>
</tr>
<tr>
<td>to-dead-inventor</td>
<td>CDATA #REQUIRED</td>
<td>us-rights</td>
</tr>
<tr>
<td>total-page-count</td>
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<td>check-list</td>
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</table>
### 12.6.6 Attributes in pct-sfd-request.xml file – PCT-SFD

The list relates to pct-sfd-request.dtd. Attributes or elements marked with an [N] are defined in the DTD, however, they are not used for the XML code generated by the PCT-SFD plug-in.

<table>
<thead>
<tr>
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<th>Applicable for ELEMENTS</th>
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</thead>
<tbody>
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</tr>
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<td>appl-type</td>
<td>CDATA #IMPLIED</td>
<td>application-reference</td>
</tr>
<tr>
<td>capacity</td>
<td>CDATA #IMPLIED</td>
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</tr>
<tr>
<td>color</td>
<td>(color</td>
<td>bw) #IMPLIED</td>
</tr>
<tr>
<td>date</td>
<td>CDATA #REQUIRED</td>
<td>electronic-signature</td>
</tr>
<tr>
<td>date-produced</td>
<td>CDATA #IMPLIED</td>
<td>pct-sfd-request</td>
</tr>
<tr>
<td>designation</td>
<td>(all</td>
<td>all-except-us</td>
</tr>
<tr>
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</tr>
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<td>dtd-version</td>
<td>CDATA #IMPLIED</td>
<td>pct-sfd-request</td>
</tr>
<tr>
<td>file</td>
<td>CDATA #IMPLIED</td>
<td>pct-sfd-request, office-specific-data</td>
</tr>
<tr>
<td>file</td>
<td>CDATA #REQUIRED</td>
<td>fax-image, doc-page</td>
</tr>
<tr>
<td>file-type</td>
<td>CDATA #IMPLIED</td>
<td>cl-other-document</td>
</tr>
<tr>
<td>he</td>
<td>NMTOKEN #REQUIRED</td>
<td>doc-page [N]</td>
</tr>
<tr>
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<td>ID #IMPLIED</td>
<td>application-reference, invention-title, office-specific-data, doc-page, note</td>
</tr>
<tr>
<td>lang</td>
<td>CDATA #IMPLIED</td>
<td>invention-title, pl-other-document</td>
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</table>
### 12.6.7 Attributes in demand.xml file – PCT-Demand

The list relates to demand-olf-v1-2.dtd. Attributes or elements marked with an [N] are defined in the DTD, but they are not used for the XML code generated by the PCT-DEMAND plug-in.

<table>
<thead>
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<td>Description</td>
</tr>
<tr>
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<td>-----------------------</td>
<td>------------------------------------</td>
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<tr>
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<td>CDATA #IMPLIED</td>
<td>doc-page</td>
</tr>
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<td>app-type</td>
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<td>applicant-inventor) #REQUIRED</td>
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<td>CDATA #IMPLIED</td>
<td>application-reference</td>
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<td>(originally</td>
<td>amendment-art34</td>
</tr>
<tr>
<td>basis</td>
<td>(originally</td>
<td>amendment-art19</td>
</tr>
<tr>
<td>basis</td>
<td>(originally</td>
<td>amendment-art34) #REQUIRED</td>
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<td>(originally) #REQUIRED</td>
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<td>(originally</td>
<td>amendment-art34-st25</td>
</tr>
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<td>external-electronic</td>
</tr>
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<td>(FD</td>
<td>CD</td>
</tr>
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<td>carriers-quantity [N]</td>
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<td>cl-sequence-listing</td>
</tr>
<tr>
<td>color</td>
<td>(color</td>
<td>bw) #IMPLIED</td>
</tr>
<tr>
<td>date</td>
<td>CDATA #REQUIRED</td>
<td>electronic-signature</td>
</tr>
<tr>
<td>date-produced</td>
<td>CDATA #IMPLIED</td>
<td>demand</td>
</tr>
<tr>
<td>designation</td>
<td>(all</td>
<td>all-except-us</td>
</tr>
<tr>
<td>dtd-version</td>
<td>CDATA #IMPLIED</td>
<td>demand</td>
</tr>
<tr>
<td>email-purpose</td>
<td>(informal</td>
<td>general</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ATTRIBUTE</th>
<th>VALUES</th>
<th>Applicable for ELEMENTS</th>
</tr>
</thead>
<tbody>
<tr>
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<td>translation-isa</td>
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<td>demand</td>
</tr>
<tr>
<td>file</td>
<td>CDATA #REQUIRED</td>
<td>doc-page, fax-image, office-specific-data</td>
</tr>
<tr>
<td>file-type</td>
<td>CDATA #IMPLIED</td>
<td>cl-sequence-listing</td>
</tr>
<tr>
<td>--------------</td>
<td>-------------------------</td>
<td>---------------------------</td>
</tr>
<tr>
<td>for-search-only [N]</td>
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<td>no) #IMPLIED</td>
</tr>
<tr>
<td>he</td>
<td>CDATA #REQUIRED</td>
<td>doc-page [N]</td>
</tr>
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<td>ID #IMPLIED</td>
<td>doc-page, application-reference, addressbook, invention-title, office-specific-data</td>
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<td>heiress</td>
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</tr>
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<td>natural) #IMPLIED</td>
</tr>
<tr>
<td>ocr</td>
<td>CDATA #IMPLIED</td>
<td>doc-page [N]</td>
</tr>
<tr>
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<td>CDATA #REQUIRED</td>
<td>office-specific-data</td>
</tr>
<tr>
<td>office-dtd</td>
<td>CDATA #REQUIRED</td>
<td>office-specific-data</td>
</tr>
<tr>
<td>orientation</td>
<td>(portrait</td>
<td>landscape) 'portrait'</td>
</tr>
</tbody>
</table>

**ATTRIBUTE** | **VALUES** | **Applicable for ELEMENTS**
<table>
<thead>
<tr>
<th>Field</th>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>page-count</td>
<td>CDATA #IMPLIED</td>
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</tr>
<tr>
<td></td>
<td></td>
<td>cl-sequence-listing, cl-letter, cl-copy-statement-art19, cl-copy-amendments</td>
</tr>
<tr>
<td></td>
<td></td>
<td>art19, cl-amendments-art19, cl-amendments-art34, cl-translation-of-application</td>
</tr>
<tr>
<td></td>
<td></td>
<td>demand, cl-letter-art19</td>
</tr>
<tr>
<td>place-signed</td>
<td>CDATA #IMPLIED</td>
<td>electronic-signature</td>
</tr>
<tr>
<td>pp</td>
<td>CDATA #IMPLIED</td>
<td>doc-page [N]</td>
</tr>
<tr>
<td>ppf</td>
<td>CDATA #IMPLIED</td>
<td>doc-page [N]</td>
</tr>
<tr>
<td>ppl</td>
<td>CDATA #IMPLIED</td>
<td>doc-page [N]</td>
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<tr>
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<td>RO</td>
</tr>
<tr>
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</tr>
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### 12.6.8 Attributes in olf-specific-data.xml file – PCT-Demand

The list relates to olf-specific-data-v1-2.dtd.

<table>
<thead>
<tr>
<th>ATTRIBUTE</th>
<th>VALUES</th>
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<td>accompanying) #REQUIRED</td>
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### 12.7 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.

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<thead>
<tr>
<th>ELEMENT</th>
<th>1001</th>
<th>1200</th>
<th>1038</th>
<th>Oppo</th>
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<table>
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<tr>
<th>ELEMENT</th>
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<th>1200</th>
<th>1038</th>
<th>Oppo</th>
<th>PCT</th>
<th>Max. data length</th>
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<table>
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<th>VALUES</th>
<th>PROCEDURES</th>
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<td>number-of-claims</td>
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