



Importing Data into EPO Online Filing

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

Applicable to OLF version 5.04 and higher

Table of contents

1	Legal notices	6
2	Introduction	7
2.1	XML as data standard for filing to the EPO.....	7
2.2	How to use this document	8
3	Functionalities in Online Filing - Overview	9
3.1	System architecture and communication	9
3.2	Workflow in Online Filing	10
3.3	Data flow and XML transformation.....	10
4	XML data exchange with patent management systems	11
4.1	Converting PMS data into XML for OLF	11
4.2	Preparing the package for import	11
4.3	Importing XML into Online Filing.....	12
5	Form EP(1001E2K) - Request for grant of a European patent (EPC 2000)	13
5.1	Structure of XML files for EP(1001E2K)	13
5.1.1	General information on the package - pkgheader.xml.....	13
5.1.2	References from XML files to other files	14
5.1.3	References to translated documents.....	16
5.2	Document codes and file types for EP(1001E2K).....	18
5.3	EP(1001E2K) Request	20
5.3.1	Request - Example 1: request in English	20
5.3.2	Request - Example 2: request in other languages	23
5.3.3	Divisional - Example 1: mandatory divisional application	26
5.3.4	Divisional - Example 2: voluntary divisional application	28
5.3.5	Divisional - Example 3: divisional application, no communication received	30
5.3.6	Reference - Example 1: reference is made to a previously filed application	31
5.3.7	Reference - Example 2: reference to a previous international application with request of re-establishment of rights.....	33
5.4	EP(1001E2K) Names	36
5.4.1	Names - Example 1: applicant is natural person and also inventor.....	36
5.4.2	Names - Example 2: two applicants, two representatives, one inventor	40
5.4.3	Names - Example 3: applicant (legal) is represented by authorised employee.....	46
5.5	EP(1001E2K) States.....	49
5.5.1	Designation - Example 1: all states designated	49
5.5.2	Designation - Example 2: different states for two applicants in divisional application	51
5.5.3	Extension - Example 1: all extension states selected.....	54
5.6	EP(1001E2K) Priority.....	55
5.7	EP(1001E2K) Biological Material.....	60
5.7.1	Biology - Example 1: Deposit details provided, receipt and authorisation to be filed later... 60	
5.7.2	Biology - Example 2: Further details, documents attached	64
5.8	EP(1001E2K) Documents.....	66
5.8.1	Specification - Example 1: request in English, technical documents in one PDF file	67
5.8.2	Specification - Example 2: request in English, technical documents in multiple PDF files ..	70
5.8.3	Specification - Example 3: request in English, technical documents in XML format	73
5.8.4	Specification - Example 4: request in admissible non-official EPO language.....	76
5.8.5	Sequence listings in computer-readable format	80
5.8.6	Sequence listings in PDF format.....	82

5.8.7	Additional documents.....	84
5.9	EP(1001E2K) Fee Payment	87
5.9.1	Payment details	87
5.9.2	Fee selection.....	90
5.9.3	Importing the correct fee amounts depending on the date of filing.....	92
5.9.4	Unlocking fee amounts vs. automatic correction by the EPO.....	93
5.10	EP(1001E2K) Annotations.....	94
6	Form Euro-PCT(1200E2K) - Entry into the European phase (EPC 2000)	96
6.1	Structure of XML files for Euro-PCT(1200E2K)	96
6.2	Document codes and file types for Euro-PCT(1200E2K).....	96
6.3	Euro-PCT(1200E2K) EP Phase.....	98
6.3.1	EP Phase - Example 1: EPO as designated office.....	98
6.3.2	EP Phase - Example 2: Request for examination in admissible non-EPO language	101
6.4	Euro-PCT(1200E2K) Names	104
6.4.1	Names - Example 1: Applicant is represented by employee and has separate address for correspondence	104
6.4.2	Names - Example 2: One applicant, one representative with authorisation	108
6.5	Euro-PCT(1200E2K) States	111
6.6	Euro-PCT(1200E2K) Biological Material.....	113
6.7	Euro-PCT(1200E2K) Documents.....	116
6.7.1	Proceedings.....	117
6.7.2	Documents - Example 1: Amendments.....	120
6.7.3	Documents - Example 2: Translations	123
6.7.4	Document overview - Example 1: Amendments on entry into the European phase, EPO is designated office	126
6.7.5	Document overview - Example 2: Translation of international application and other documents, EPO is elected office	132
6.7.6	Sequence listings in computer-readable format	138
6.7.7	Sequence listings in PDF format.....	140
6.7.8	Sequence listings available to the EPO	141
6.7.9	Additional documents.....	143
6.8	Euro-PCT(1200E2K) Fee Payment	145
6.8.1	Payment details	145
6.8.2	Fee selection.....	147
6.9	Euro-PCT(1200E2K) Annotations.....	150
7	Form EP(1038E) - Subsequently filed documents	151
7.1	XML files for an EP(1038E) application	151
7.2	Document codes and file types for EP(1038E).....	151
7.3	EP(1038E) Application number	155
7.4	EP(1038E) Names.....	157
7.5	EP(1038E) Documents.....	159
7.6	EP(1038E) Fee Payment.....	161
7.6.1	Payment details - Example 1: Date of filing on or after 01.04.2009	162
7.6.2	Fee selection - Example 1: Date of filing on or after 01.04.2009.....	164
7.6.3	Designation states - Example 2: Date of filing before 01.04.2009.....	166
7.7	EP(1038E) Annotations	169

8	Form EP(Oppo) - EP opposition procedure	170
8.1	XML files for an EP(Oppo) application.....	170
8.2	Document codes and file types for EP(Oppo).....	171
8.3	EP(Oppo) Opposition.....	173
8.3.1	Reference - Example 1: Notice of opposition or intervention	173
8.3.2	Reference - Example 3: Other action.....	176
8.3.3	Grounds - Example 1: Notice of opposition or intervention	177
8.4	EP(Oppo) Names	180
8.4.1	Names - Example 1: Opposition by multiple opponents, first-named opponent is represented by employee and has separate address for correspondence.....	180
8.4.2	Names - Example 2: Opposition by intervener.....	184
8.4.3	Names - Example 3: Proprietor responds to the opposition.....	187
8.4.4	Names - Example 4: Third party files evidence.....	190
8.5	EP(Oppo) Requests.....	192
8.5.1	Requests - Example 1: Opponents request for oral proceedings.....	192
8.5.2	Requests - Example 2: Opponent withdraws opposition.....	194
8.5.3	Requests - Example 3: Proprietor withdraws request for oral proceedings.....	195
8.5.4	Requests - Example 4: Proprietor requests for revocation of the patent.....	197
8.6	EP(Oppo) Documents.....	198
8.6.1	Documents - Example 1: Opponents files documents for opposition	198
8.6.2	Documents - Example 2: Second communication by opponent.....	201
8.6.3	Documents - Example 3: Reply to opposition by proprietor	203
8.6.4	Documents - Example 4: Third party observations	206
8.6.5	Evidence - publications	208
8.6.6	Evidence - other	219
8.7	EP(Oppo) Fee Payment	222
8.7.1	Payment details	222
8.7.2	Fee selection - Example 1: Opponent.....	224
8.7.3	Fee selection - Example 2: Proprietor	226
8.8	EP(Oppo) Annotations.....	228
9	Form PCT/RO/101 - PCT/RO/101 request	229
9.1	Structure of XML files for PCT/RO/101.....	229
9.2	Document codes and file types for PCT/RO/101	231
9.3	PCT/RO/101 Request.....	233
9.4	PCT/RO/101 States	236
9.4.1	States - Example 1: Designations with exclusions	236
9.4.2	States - Example 2: References to parent application or grant - Regional designation in OAPI states.....	238
9.4.3	States - Example 3: References to parent application or grant - National designation.....	240
9.5	PCT/RO/101 Names.....	244
9.5.1	Names - Example 1: Applicant is also inventor	244
9.5.2	Names - Example 2: Two applicants with different designations, one deceased inventor	246
9.5.3	Names - Example 3: Two agents with the same address	250
9.5.4	Power of attorney	253
9.6	PCT/RO/101 Priority	256
9.7	PCT/RO/101 Biology	258
9.8	PCT/RO/101 Declarations	263
9.9	PCT/RO/101 Contents.....	266

9.9.1	Contents - Example 1: Specification in one combined PDF file	267
9.9.2	Contents - Example 2: Specification attached in XML format	271
9.9.3	Contents - Example 3: Specification in multiple PDF files with accompanying items.....	274
9.10	PCT/RO/101 Fees	279
9.11	PCT/RO/101 Payment	283
9.12	PCT/RO/101 Annotate	285
10	Annex	288
10.1	Abbreviations	288
10.2	International standards for PCT	288
10.3	Annex F rules for documents and files.....	289
10.4	Document naming conventions	289
10.5	XML element list	290
10.6	XML attribute lists	300
10.6.1	Attributes in ep-request.xml file - EP(1001E2K).....	300
10.6.2	Attributes in ep-euro-pct.xml file - Euro-PCT(1200E2K).....	303
10.6.3	Attributes in ep-sfd-request.xml file - EP(1038E)	306
10.6.4	Attributes in ep-opposition-data.xml file - EP(Oppo)	308
10.6.5	Attributes in request.xml file - PCT/RO/101	312
10.7	Data length restrictions	315
11	Index	316

1 Legal notices

Copyright

© European Patent Office (EPO), 2011. All rights reserved.

Accurate reproduction of EPO-created information contained in this documentation is authorised, provided the source is acknowledged and unless otherwise stated (e.g. that use is restricted or subject to prior permission).

Further use of third-party works requires permission from the copyright holder, unless this is waived under the law applicable.

Trade marks and logo

The EPO's official logo is likewise protected worldwide as an emblem of an international organisation under the Paris Convention for the Protection of Industrial Property.

Disclaimer

EPO Online-Services and the associated data from EPO databases are regularly maintained and updated. Great care has likewise been taken in writing the instructions for using the services provided, to ensure that the information supplied is correct. Furthermore, the EPO makes every effort to prevent technical malfunctions. Given the amount of data and information provided, however, it is not possible to rule out all errors and omissions.

The EPO therefore accepts no liability for the completeness and accuracy of the data and information made available in connection with these services, and it does not guarantee that the underlying files and the formats used are error-free and will not cause the user's systems to malfunction. Nor can the EPO guarantee that the information presented in this documentation about the functionality and use of these services is fully up to date, complete, and without any errors or mistakes.

Other access conditions

The EPO reserves the right to modify, extend or discontinue the available services, in full or in part, without prior notice.

2 Introduction

2.1 XML as data standard for filing to the EPO

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

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

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

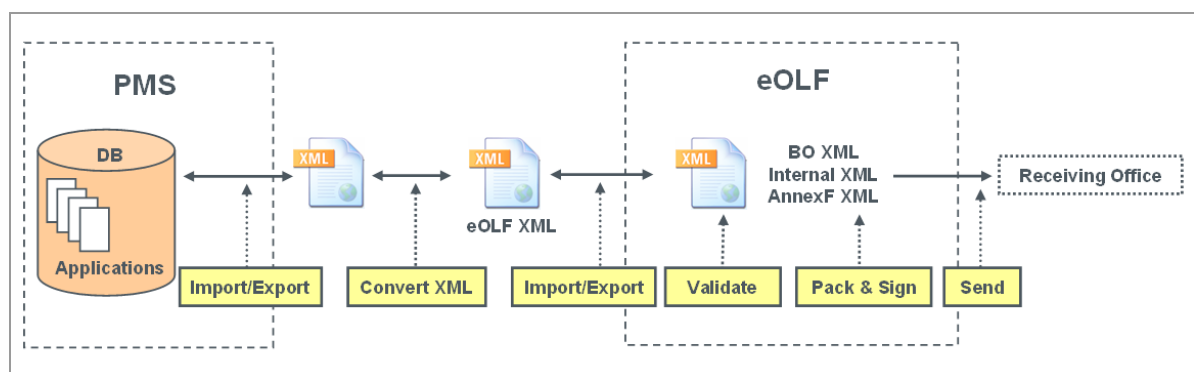


Figure 1: Exchange of XML data between PMS and OLF

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

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

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

2.2 How to use this document

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

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

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

- ◆ **Form EP(1001E2K) - Request for grant of a European patent (EPC 2000)** (p. 13)
- ◆ **Form Euro-PCT(1200E2K) - Entry into the European phase (EPC 2000)** (p. 96)
- ◆ **Form EP(1038E) - Subsequently filed documents** (p. 151)
- ◆ **Form EP(Oppo) - EP opposition procedure** (p. 170)
- ◆ **PCT/RO/101 - PCT/RO/101 request** (see "**Form PCT/RO/101 - PCT/RO/101 request**" p. 229)

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

Mapping XML data to GUI and PDF

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

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

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

3 Functionalities in Online Filing - Overview

3.1 System architecture and communication

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

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

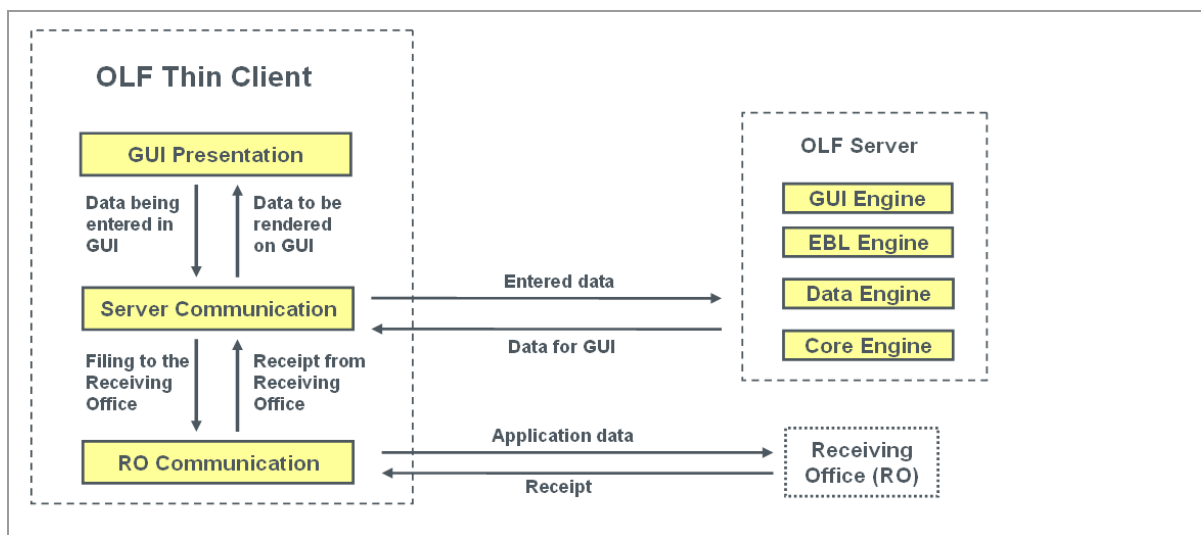


Figure 3: Communication between OLF thin client, OLF server and filing office

① 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 Online Services website under **Online filing** (<http://www.epo.org/applying/online-services/online-filing.html>).

3.2 Workflow in Online Filing

The user

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

The thin client

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

3.3 Data flow and XML transformation

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

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

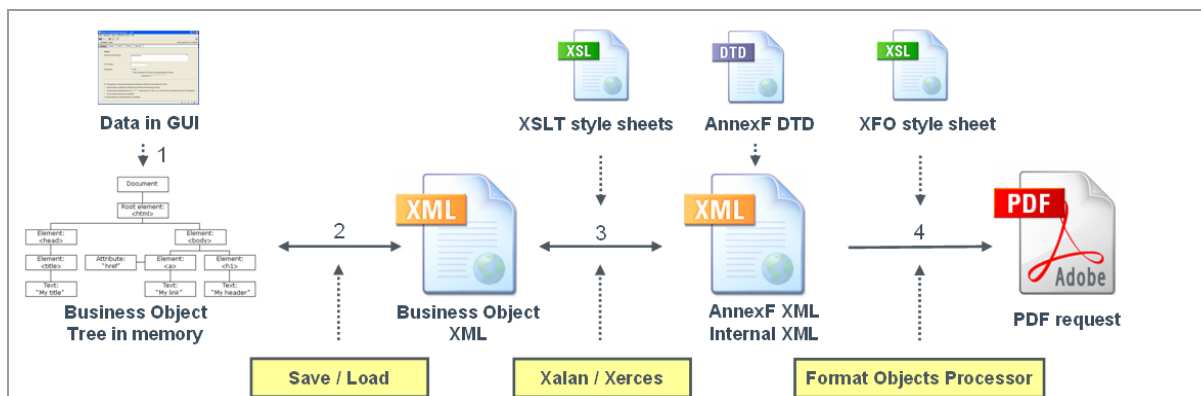


Figure 4: Transformation of data from GUI via XML into PDF

4 XML data exchange with patent management systems

4.1 Converting PMS data into XML for OLF

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

- Use the **XML element list** (p. 290) 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. 300) too for the specific procedure.
- Insert a new column and enter the corresponding element (or attribute) names from your PMS in the table.
- Refer to the DTDs to define the structure of the XML documents. Note that each procedure uses different DTDs.
- The mandatory and optional XML and PDF files for each procedure are listed at the beginning of each section. These are the files you need to produce using your PMS data (except for those files marked as OLF system files).
- Rename your user-specific PDF attachments to the OLF standard file names. Note that all documents and drawings must be Annex F-compliant.
- Write and set up your own conversion tool to convert your PMS data into XML for OLF.

4.2 Preparing the package for import

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

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

XML file name	DTD	Description
pkgheader.xml	pkgheader.dtd	Indicates selected procedure and other data for transmission to filing office.
package-data.xml	package-data.dtd	References attached documents, including those already referenced in application-body.xml file.
application-body.xml	application-body-v1-6.dtd	(a) References attached documents as part of patent specification (technical documents or translations of technical documents into EPO language). (b) Contains complete text (or its translation into EPO language) of patent specification with referenced files for drawings.
ep-request.xml	ep-request-v1-9.dtd	Application data as entered in Form EP(1001E2K), references other attached documents.

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

4.3 Importing XML into Online Filing

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

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

OLF client

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

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

PMS Gateway interface

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

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

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

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

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

5.1 Structure of XML files for EP(1001E2K)

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

File name	DTD	Description
pkgheader.xml	pkgheader.dtd	Indicates selected procedure and other data for transmission to filing office.
package-data.xml	package-data.dtd	References attached documents, except those already referenced in application-body.xml file.
application-body.xml	application-body-v1-6.dtd	(a) References attached documents as part of patent specification (technical documents or translations of technical documents into EPO language). (b) Contains complete text (or its translation into EPO language) of patent specification with referenced files for drawings.
ep-request.xml	ep-request-v1-9.dtd	Application data as entered in Form EP(1001E2K), references other attached documents.

5.1.1 General information on the package - pkgheader.xml

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

```

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

```

Figure 5: XML elements in pkgheader.xml file

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

5.1.2 References from XML files to other files

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

package-data.xml file

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

```

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

```

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

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

application-body.xml

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

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

In this example, four individual files are attached for each section, but there could also be combined files containing more than one section of the technical documents - see the examples in **EP(1001E2K) Documents** (p. 66).

```

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

```

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

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

ep-request.xml

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

```

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

```

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

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

5.1.3 References to translated documents

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

application-body.xml

```

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

```

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

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

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

ep-request.xml

```

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

```

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

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

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

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

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

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

5.3 EP(1001E2K) Request

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

- ◆ Filing office
- ◆ Procedural language
- ◆ Language of filing
- ◆ Title of invention

5.3.1 Request - Example 1: request in English

GUI EP(1001E2K), Request tab

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

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001_XML

Last saved on 08.11.2011

Request Names States Priority Biological Material Documents Fee Payment Annotations

Request | Divisional | Reference

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

Filing Office: EP European Patent Office (EPO)

☐ Request for examination in admissible non-official EPO language:

☒ The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2))

Procedural Language: English

Filing Language of attached or previous application:

☒ English

☐ Admissible language of an EPC contracting State:

☐ Other Language:

Title of Invention

Title of Invention in English: Instant Water

Translation into French: Eau instantanée

Translation into German: Instant-Wasser

Please use appropriate upper and lowercase letters

Logged in as Administrator

Figure 11: Request GUI: general data

Element list

- (1) User reference
- (2) Filing office
- (3) Waiver Rule 70(2)
- (4) Procedural language
- (5) Language of filing
- (6) Title of invention in English
- (7) Translation (of title of invention) into French
- (8) Translation (of title of invention) into German
- (9) Last saved date: must not be imported, because value will be overwritten by OLF

XML ep-request.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-request SYSTEM "ep-request-v1-9.dtd">
3  <ep-request lang="en" dtd-version="1.0" produced-by="applicant" ro="EP" date-produced="20111108 16:17:30">
4    <!--software_n eOLF-->
5    <!--software_version FMMNGR5069, EP20005069, FM_FOP0205-->
6    <!--stylesheet_version 3-->
7    <!--fop_version Version 0.20.5-->
8    <file-reference-id>1001_XML</file-reference-id>
9    <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested.
10   </request-petition>
11   <invention-title lang="en">Instant Water</invention-title>
12   <invention-title lang="fr">Eau instantanée</invention-title>
13   <invention-title lang="de">Instant-Wasser</invention-title>
14   <parties>
15     <check-list>
16       <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
17       <ep-office-specific-data office="EP" lang="en">
18         <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
19           <ep-declarations>
20             <waiver-to-indicate-further-processing/>
21           </ep-declarations>
22         <ep-electronic-files doc-type="1001">
23           <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
24             </ep-financial-data>
25           </ep-electronic-files>
26         </ep-office-specific-data>
27       </ep-designated-states>
28     </ep-declarations>
29   </parties>
30 </ep-request>

```

Figure 12: Request XML: general data

PDF ep-request.pdf

 Europäisches Patentamt European Patent Office Office européen des brevets		Request for grant of a European patent	
For official use only			
1	Application number	MKEY	
2	Date of receipt (Rule 35(2) EPC):	DREC	
3	Date of receipt at EPO (Rule 35(4) EPC):	RENA	
4	Date of filing:		
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 70(2))	☒	3
	Procedural language:	en	4
	Description and/or claims filed in:	en	5
6	Applicant's or representative's reference	1001_XML 1	

Figure 13: Request PDF: general data in form header

[...]

24	Title of invention	
	Title of invention:	Instant water 6
	Translation of title into French:	Eau instantanée 7
	Translation of title into German:	Instant-Wasser 8

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

5.3.2 Request - Example 2: request in other languages

GUI EP(1001E2K), Request tab

The screenshot shows the 'Request' tab in the EPO Online Filing GUI. The window title is 'EPO Online Filing - EP(1001E2K) - 1001_XML_IT/FR'. The top menu bar includes File, Edit, View, Tools, Windows, and Help. Below the menu is a toolbar with icons for saving, running, and help. The main content area is divided into several sections:

- Request Summary:** A tabbed interface with 'Request' selected. It shows 'EP(1001E2K) - Draft - 1001_XML_IT/FR' and 'Last saved on 08. 11. 2011'.
- Request Details:**
 - Grant of European patent and examination of the application under Article 94, are hereby requested.**
 - Filing Office:** A dropdown menu showing 'FR' (National Institute of Industrial Property (France)).
 - Request for examination in admissible non-official EPO language:** A checked checkbox and a dropdown menu showing 'Italian'.
 - Si richiede di esaminare la domanda ai sensi dell'art. 94.**
 - The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2))**: A checked checkbox.
- Procedural Language:** A dropdown menu showing 'French'.
- Filing Language of attached or previous application:**
 - French:** An unselected radio button.
 - Admissible language of an EPC contracting State:** A selected radio button and a dropdown menu showing 'Italian'.
 - Other Language:** An unselected radio button and an empty dropdown menu.
- Title of Invention:**
 - Title of Invention in French:** A text box containing 'Eau instantanée'.
 - Translation into German:** A text box containing 'Instant-Wasser'.
 - Translation into English:** A text box containing 'Instant Water'.

Red circles 1-10 highlight the following elements:

- 1: The 'Request' tab.
- 2: The 'Filing Office' dropdown menu.
- 3: The 'The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2))' checkbox.
- 4: The 'Procedural Language' dropdown menu.
- 5: The 'Admissible language of an EPC contracting State' radio button.
- 6: The 'Title of Invention in French' text box.
- 7: The 'Translation into German' text box.
- 8: The 'Translation into English' text box.
- 9: The 'Request for examination in admissible non-official EPO language' checkbox.
- 10: The 'Request for examination in admissible non-official EPO language' dropdown menu.

The bottom status bar shows 'Logged in as Administrator' and a progress indicator with 0, 0, and 2.

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

Element list

- (1) User reference
- (2) Filing office
- (3) Waiver Rule 70(2)
- (4) Procedural language
- (5) Language of filing
- (6) Title of invention in French
- (7) Translation (of title of invention) into German
- (8) Translation (of title of invention) into English
- (9) Last saved date
- (10) Request for examination in admissible non-EPO language

XML ep-request.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-request SYSTEM "ep-request-v1-9.dtd">
3  <ep-request lang="fr" dtd-version="1.0" produced-by="applicant" ro="FR" date-produced="20111108 17:04:21">
4    <!--software_n. 4 eOLF-->
5    <!--software_version FMMNGR5069, EP20005069, FM_FOP0205-->
6    <!--stylesheet_version 3-->
7    <!--fop_version Version 0.20.5-->
8    <file-reference-id>1001_XML_IT/FR</file-reference-id> 1
9    <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested.
    </request-petition>
10   <invention-title lang="fr">Eau instantan&#233;e</invention-title> 6
11   <invention-title lang="de">Instant-Wasser</invention-title> 7
12   <invention-title lang="en">Instant Water</invention-title> 8
13   <parties>
43  <check-list>
52  <figure-to-publish>
55  <ep-language-of-filing lang-code="non-epo">it</ep-language-of-filing> 5
56  <ep-language-of-filing lang-code="translation">fr</ep-language-of-filing>
57  <ep-office-specific-data office="EP" lang="fr">
58  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
70  <ep-request-for-exam-art94 lang="it"/> 10
71  <ep-declarations>
72  <waiver-to-indicate-further-processing/> 3
73  <declaration-no-intention-to-file-further-priority/>
74  </ep-declarations>
75  <ep-electronic-files doc-type="1001">
79  <ep-electronic-files doc-type="SPECNONEPO">
83  <ep-electronic-files doc-type="SPECTRANEPO">
87  <ep-electronic-files doc-type="SPECTRANEPO">
91  <ep-electronic-files doc-type="SEQLTXT">
95  <ep-electronic-files doc-type="PRIOTRAN">
99  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
347 </ep-office-specific-data>
348 </ep-request>

```

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

PDF ep-request.pdf

 Europäisches Patentamt European Patent Office Office européen des brevets		Requête en délivrance d'un brevet européen	
Cadre réservé à l'administration			
1	Numéro de la demande	MKEY	
2	Date de réception (règle 35(2)) :	DREC	
3	Date de réception à l'OEI (règle 35(4)) :	RENA	
4	Date de dépôt :		
5	Il est demandé la délivrance d'un brevet européen et, conformément à l'article 94, l'examen de la demande		☒
Requête en examen dans une langue non officielle autorisée :			Si richiede di esaminare la domanda ai sensi dell'art. 94. 10
5.1	Le demandeur renonce à être invité, conformément à la règle 70(2), à déclarer s'il souhaite maintenir sa demande		☒ 3
Langue de la procédure :			fr 4 it 5
Description et/ou revendications déposée(s) en :			
6	Référence du demandeur ou du mandataire :		1001_XML_IT/FR 1

Figure 17: Request PDF in French: general data

[Page 2]

24	Titre de l'invention		
	Titre de l'invention :	Eau instantanée	6
	Traduction du titre en allemand :	Instant-Wasser	7
	Traduction du titre en anglais :	Instant water	8

Figure 18: Request PDF in French: title of invention

5.3.3 Divisional - Example 1: mandatory divisional application

GUI EP(1001E2K), Divisional tab

Figure 19: Request GUI: mandatory divisional application

Element list

- (1) Divisional 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
- (5) Mandatory divisional application, Rule 36(1)(b) EPC
- (6) Date of first communication where objections under Art. 82 were raised

XML ep-request.xml

```

53      <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
54      <ep-office-specific-data office="EP" lang="en">
55      <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
61      1 <ep-divisional-appl>
62      <parent-doc>
63      <document-id lang="en">
64      2 <country>EP</country>
65      <doc-number>EP11500200.8</doc-number> 3
66      4 <date>20110705</date>
67      </document-id>
68      </parent-doc>
69      5 <ep-first-communication-raising-lack-of-unity>
70      <date>20110817</date> 6
71      </ep-first-communication-raising-lack-of-unity>
72      </ep-divisional-appl>
73      <ep-declarations>
76      <ep-electronic-files doc-type="1001">
80      <ep-electronic-files doc-type="SPECEPO">
84      <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
331 </ep-office-specific-data>
332 </ep-request>

```

Figure 20: Request XML: mandatory divisional application

PDF ep-request.pdf

27	Divisional application	1	☒
	Application number of earlier application:	EP11500200.8	3
	Date of Filing (Art. 80/Rule 40 EPC):	05 July 2011	4
27.2	Date of communication in which the Examining Division has objected for the first time that the earlier application does not meet the requirements of Article 82 EPC (Rule 36(1)(b) EPC)	17 August 2011	6
28	Article 61(1)(b) application		☐

Figure 21: Request PDF: mandatory divisional application

5.3.4 Divisional - Example 2: voluntary divisional application

GUI EP(1001E2K), Divisional tab

EPO Online Filing - EP(1001E2K) - 1001_divis_2

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001_divis_2 Last saved on 08.11.2011

Request	Names	States	Priority	Biological Material	Documents	Fee Payment	Annotations

Request | Divisional | Reference

1 ☒ Divisional application

☐ Mandatory divisional application (Rule 36(1)(b) EPC)

8 ☒ Voluntary divisional application (Rule 36(1)(a) EPC)

☐ No communication received

Application number of earlier application: **2** **3**

5 ☒ Relevant earliest application is different from the earlier application

Application number of earliest application: **6** **7**

Date of filing (Art. 80/Rule 40 EPC): **4**

Date of first communication: **9**

Logged in as Administrator

Figure 22: Request GUI: voluntary divisional application

Element list

- (1) Divisional 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) Relevant earliest application, if different from the earlier application
- (6) Country / filing office or earliest application: **EP** is inferred
- (7) Application number of the relevant earliest application
- (8) Voluntary divisional application, Rule 36(1)(a) EPC
- (9) Date of first communication

XML ep-request.xml

```

48 <ep-office-specific-data office="EP" lang="en">
49 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
55 1 <ep-divisional-appl>
56 <parent-doc>
57 <document-id lang="en">
58 2 <country>EP</country>
59 <doc-number>EP11200302.5</doc-number> 3
60 4 <date>20110809</date>
61 </document-id>
62 </parent-doc>
63 5 <ep-earliest-doc>
64 <document-id lang="en">
65 6 <country>EP</country>
66 <doc-number>EP11080400.2</doc-number> 7
67 </document-id>
68 </ep-earliest-doc>
69 8 <ep-first-communication>
70 <date>20110503</date> 9
71 </ep-first-communication>
72 </ep-divisional-appl>
73 <ep-declarations>
77 <ep-electronic-files doc-type="1001">
81 <ep-electronic-files doc-type="SPECEPO">
85 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
332 </ep-office-specific-data>
333 </ep-request>

```

Figure 23: Request XML: voluntary divisional application

PDF ep-request.pdf

27	Divisional application	☒ 1
	Application number of earlier application:	EP11200302.5 3
	Date of Filing (Art. 80/Rule 40 EPC):	09 August 2011 4
	5 Application number of earliest application:	EP11080400.2 7
27.1	Date of Examining Division's first communication in respect of the earliest application for which a communication has been issued (Rule 36(1)(a) EPC):	03 May 2011 9

Figure 24: Request PDF: voluntary divisional application

5.3.5 Divisional - Example 3: divisional application, no communication received

GUI EP(1001E2K), Divisional tab

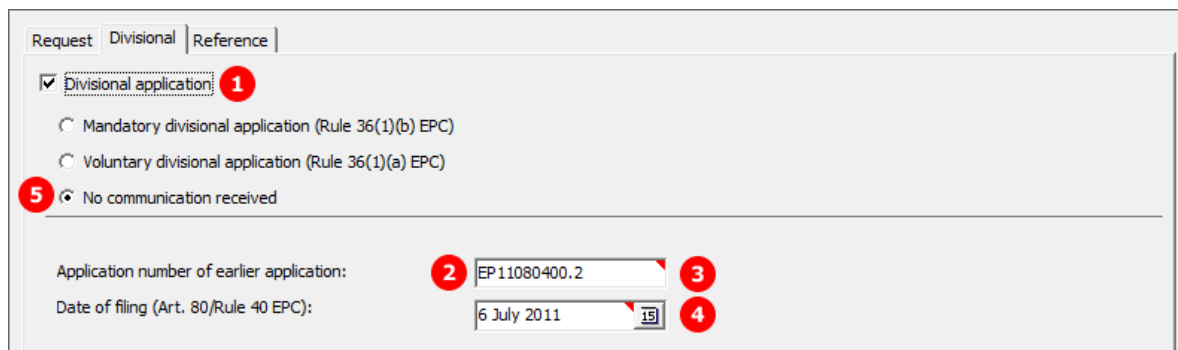


Figure 25: Request GUI: divisional application, no communication received

Element list

- (1) Divisional 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
- (5) No communication received

XML ep-request.xml

```

55 1 <ep-divisional-appl>
56    <parent-doc>
57      <document-id lang="en">
58        2 <country>EP</country>
59        <doc-number>EP11080400.2</doc-number> 3
60        4 <date>20110706</date>
61      </document-id>
62    </parent-doc>
63    5 <ep-no-communication/>
64  </ep-divisional-appl>

```

Figure 26: Request XML: divisional application, no communication received

PDF ep-request.pdf

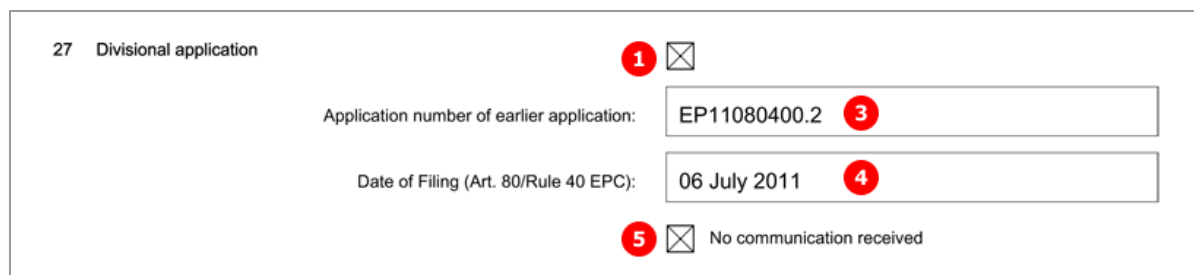


Figure 27: Request PDF: divisional application, no communication received

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

GUI EP(1001E2K), Reference tab

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

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001_reference Last saved on 19.05.2010

Request Names States Priority Biological Material Documents Fee Payment Annotations

Request | Divisional | Reference

☒ Art. 61(1)(b) application of earlier application: 09000123.1

☒ Reference is made to previously filed application Rule 40(1):

Office where previous application was filed: EP European Patent Office

Kind of application: patent application

Filing date: 30 April 2009

Application number: 09000123.1 Format: Ynnnnnn.d, spaces, hyphens or commas allowed between data items

The reference replaces description and drawings.

☐ It is hereby declared that the reference to the previously filed application replaces also the claims (R 57(c)).

Number of claims in previous application:

☐ Previously filed application is also a priority application.

☐ The description contains a sequence listing in accordance with Rule 30(1) EPC.

☐ A certified copy will be filed later.

☐ Re-establishment of rights is herewith requested

Logged in as Administrator 0 0 2

Figure 28: Request GUI: reference to an Art. 61(1)(b) application and previously filed application

Element list

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

XML ep-request.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-request SYSTEM "ep-request-v1-6.dtd">
3  <ep-request lang="en" dtd-version="1.0" produced-by="applicant" ro="EP" date-produced="20100519 21:10:34">
4    <!--software_name eOLF-->
5    <!--software_version FMMNGR5026, EP20005026, FM_FOP0205-->
6    <!--stylesheet_version 3-->
7    <!--fop_version Version 0.20.5-->
8    1 <file-reference-id>1001_reference</file-reference-id>
9    <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested.
10   </request-petition>
11   <invention-title lang="en">Instant Water</invention-title>
12   <invention-title lang="fr">Eau instantanée</invention-title>
13   <invention-title lang="de">Instant-Wasser</invention-title>
14   4 <ep-previously-filed-application filing-date="20090430" ep-document-type="patent" replaces-claims="no"
15     number-of-claims="" contains-sequence-listing="no" is-also-priority="no">
16     <document-id lang="en">
17       5 <country>EP</country>
18       <doc-number>09000123.1</doc-number> 8
19     </document-id>
20   </ep-previously-filed-application>
21   <parties>
22   <check-list>
23   <figure-to-publish>
24   <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
25   <ep-office-specific-data office="EP" lang="en">
26     <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
27     <ep-art61-appl>09000123.1</ep-art61-appl>
28     <ep-declarations> 3
29     <ep-electronic-files doc-type="1001">
30     <ep-electronic-files doc-type="SPECEPO">
31     <ep-electronic-files doc-type="SPECEPO">
32     <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
33   </ep-office-specific-data>
34 </ep-request>

```

Figure 29: Request XML: Reference to an Art. 61(1)(b) application

PDF ep-request.pdf

26	Reference to a previously filed application	5	7	6	8
4	26.1 Reference is made to a previously filed application. That reference replaces the description and any drawings (Rule 40(1)(c), (2))	State	Filing date	Kind	Application number:
		EP	30.04.2009	ap	09000123.1
	26.2 The reference to the previously filed application also replaces the claims (Rule 57(c))	☐			
	26.3 A certified copy of the previously filed application (Rule 40(3))	☐ will be supplied later			
	26.4 A translation of the previously filed application (Rule 40(3))	☐ will be supplied later			
	27 Divisional application	☐			
	28 Article 61(1)(b) application	2 ☒			
	Article 61(1)(b) application	09000123.1 3			

Figure 30: Request PDF: Reference to an Art. 61(1)(b) application

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

GUI EP(1001E2K), Reference tab

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

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001_reestabl 1 Last saved on 19.05.2010

Request Names States Priority Biological Material Documents Fee Payment Annotations

Request | Divisional | Reference

☐ Art. 61(1)(b) application of earlier application: 0.0

☒ Reference is made to previously filed application Rule 40(1):

Office where previous application was filed: IT Italy

Kind of application: patent application

Filing date: 29 April 2009

Application number: TO 2009 A 123456 Format: LL YYYY A nnnnnn, spaces, hyphens or commas allowed between data items

The reference replaces description and drawings.

☒ It is hereby declared that the reference to the previously filed application replaces also the claims (R 57(c)).

Number of claims in previous application: 20

☒ Previously filed application is also a priority application.

☒ The description contains a sequence listing in accordance with Rule 30(1) EPC.

☒ A certified copy will be filed later.

☒ Re-establishment of rights is herewith requested

Logged in as Administrator

Figure 31: 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) Previously filed application is also a priority application
- (10) Description contains a sequence listing in accordance with Rule 30(1)
- (11) A certified copy will be filed later
- (12) Re-establishment of rights is hereby requested
- (13) Inferred from (3) **<country>**
- (14) Inferred from (6) **<doc-number>**
- (15) Further priority declaration (in **Priority** tab)
- (16) Grounds for reestablishment of rights (attached in **Documents** tab)
- (17) A translation of the previously filed application will be supplied later (checked in **Documents** tab)
- (18) Filing language of previous application (selected in **Request** sub-tab)

XML ep-request.xml



Figure 32: Request XML: reference to previously filed priority application, re-establishment of rights requested

PDF ep-request.pdf

25 Declaration of priority (Rule 52)

A declaration of priority is hereby made for the following applications

State	Filing date	Kind	Application number:
IT	31.07.2009	ap	TO 2009 A 800789
IT	29.04.2009	ap	TO 2009 A 123456

15 Priority 01

9 Priority 02

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:

12 ITTO 2009 A 123456

13 14

2 Reference to a previously filed application

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

State	Filing date	Kind	Application number:
IT	29.04.2009	ap	TO 2009 A 123456

3 5 4 6

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

26.3 A certified copy of the previously filed application (Rule 40(3)) 11 ☒ will be supplied later

26.4 A translation of the previously filed application (Rule 40(3)) 17 ☒ will be supplied later

27 Divisional application ☐

28 Article 61(1)(b) application ☐

29 Claims

Number of claims: 20 8

29.1 ☐ as attached

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

29.3 ☐ The claims will be filed later

Figure 33: Request PDF: declaration of priority, reference to previously filed application

5.4 EP(1001E2K) Names

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

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

Each address is structured identically in the XML code. See **Example 1** ("**Names - Example 1: applicant is natural person and also inventor**" p. 36) for details.

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

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

GUI EP(1001E2K), Names tab

The screenshot shows the 'Names' tab in the EPO Online Filing GUI. The form is titled 'EP(1001E2K) - Draft - 1001_XML' and was last saved on 09.11.2011. The 'Names' tab is selected, showing a list of applicants and inventors on the left. The main form area contains fields for the applicant's details, including Last Name, First Name, Title, Company, Department, Country, Address, Postal code, City, Region, Telephone, Telefax, E-mail, Nationality, and Residence. Red circles with numbers 1 through 19 are placed over various fields and checkboxes to indicate specific data points. The status bar at the bottom shows 'Logged in as Administrator' and a progress indicator with 4 red, 1 yellow, and 3 blue icons.

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

Figure 34: Names GUI: applicant is natural person and also inventor

Element list

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

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

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

XML ep-request.xml

```

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

```

Figure 35: Names XML: applicant is also inventor

PDF ep-request.pdf

1 Applicant 1	
7-1	Name: 2 Manzoni, Mr. Salvatore 4 3
	Company: 6 Borghese S.A.
	Department: 7 Invenzioni
8-1	Address: 9 Via Roma 8
	10 20100 Milano 11
	Italy 8
	Telephone: 17 +39 2 5056 10
	Fax: 16 +39 2 5056 89
	e-mail: 13 manzoni@borghesi.it
	Country of nationality: 14 Italy
	State of residence or of principal place of business: 15 Italy

Figure 36: Names PDF: applicant's address

[Page 2]

Inventor 1 19	
22-1	Name: 2 Manzoni, Mr. Salvatore 4 3
	Company: 6 Borghese S.A.
	Department: 7 Invenzioni
	Address: 9 Via Roma 8
	10 20100 Milano 11
	Italy 8

Figure 37: Names PDF: Inventor 1

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

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

GUI EP(1001E2K), Names tab: inventor

The screenshot shows the EPO Online Filing application window titled "EP(1001E2K) - Draft - 1001_appl-repr". The "Names" tab is active. The sidebar on the left contains a tree view with the following structure:

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

The main form displays details for the selected inventor, Stockton, Harold. The fields are as follows:

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

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

- ☐ As employer
- 6 ☒ As successor in title
- ☐ Under agreement of dd.mm.yyyy

At the bottom, there are two checked checkboxes:

- 4 ☒ Waiver by inventor of notification of information under rule 19(3)
- 5 ☒ Renunciation of title by inventor (Rule 20(1))

The status bar at the bottom indicates "Logged in as Administrator" and shows 3 errors, 2 warnings, and 2 information messages.

Figure 38: Names GUI: inventor

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

Applicants

- 1 TechInvent SA
- 2 Manzoni, Salvatore

Representatives

- 7 IP Partners
- 13 Kilburn, David

Inventors

- 3 Stockton, Harold

Name and Address

Company: 8 IP Partners

Department: European Patents

Association: 12 95

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

Address: Cambridge Science Park
100 Red Lion Square

Telefax: +44 1223 351690

E-mail: office@ip-partners.co.uk

Postal code: CB2 1AB

City: Cambridge

GB County: Greater London

☐ Same address as the first representative

Figure 39: Names GUI: first representative

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

Applicants

- TechInvent SA
- Manzoni, Salvatore

Representatives

- 7 IP Partners
- Kilburn, David

Inventors

- Stockton, Harold

Name and Address

Authorisation

☒ General Authorisation

☐ An individual authorisation is attached.

9 ☒ A general authorisation has been registered under number: 10 2019

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

Figure 40: Names GUI: authorisation of first representative

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

Figure 41: Names GUI: second representative, legal practitioner

Element list

- (1) Applicant 1
- (2) Applicant 2 (n applicants possible)
- (3) Inventor 1 (n inventors possible): for each inventor, a form **F1002-*.pdf** is generated.
- (4) Waiver by inventor of notification of information under Rule 19(3): if checked, Online Filing generates form EPR193-1.pdf Waiver - Rule 19(3) EPC. PDF file is then referenced in package-data.xml file.
- (5) Renunciation of title by inventor (Rule 20(1)): if checked, form EPR201-1.pdf Renunciation - Rule 20(1) EPC is generated and referenced in package-data.xml file.
- (6) The applicant has acquired the right to the European patent as follows
- (7) Representative 1
- (8) Representative 1 is a legal persons
- (9) Type of authorisation of representative 1
- (10) General authorisation number of representative 1
- (11) Note: **<first-name/>** is empty for legal persons
- (12) Association number of representative 1
- (13) Representative 2 (n representatives possible)
- (14) Representative 2 is a legal practitioner - Association field available in the GUI
- (15) Type of authorisation of representative 2 (does not show on PDF form)
- (16) Address of representative 2 is same as for representative 1: if checked, data in XML is inferred from first representative and in PDF form there is no address for representative 2 (the country must be an EPC contracting state).

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

The child elements in **<addressbook>** are listed in **Example 1** (see "Names - Example 1: applicant is natural person and also inventor" p. 36) above.

XML ep-request.xml

```

13 <parties>
14 <applicants>
15 1 <applicant sequence="1" designation="as-indicated" app-type="applicant">
38 2 <applicant sequence="2" designation="as-indicated" app-type="applicant">
64 </applicants>
65 <inventors>
66 3 <ep-inventor sequence="1" designation="as-indicated" waiver="1" renunciation="1" inv-rights="successor">
82 </inventors>
83 <agents>
84 7 <ep-agent sequence="1" rep-type="common-representative" ep-authorisation="registered"
    general_authorisation_number="2019">10
    <addressbook lang="en">
85 <last-name>IP Partners</last-name>
86 <first-name/>
87 11 <suffix>95</suffix>12
88 <department>European Patents</department>
89 <registered-number>102030405</registered-number>
90 <address>
91 <street>Cambridge Science Park
92 100 Red Lion Square</street>
93 <city>Cambridge</city>
94 <state>Greater London</state>
95 <postcode>CB2 1AB</postcode>
96 <country>GB</country>
97 </address>
98 <phone>+44 1223 3516-0</phone>
99 <fax>+44 1223 351690</fax>
100 <email>office@ip-partners.co.uk</email>
101 </addressbook>
102 </ep-agent>
103 13 <ep-agent sequence="2" rep-type="attorney" ep-authorisation="attached">14 15
104 </agents>
126 </parties>
127 <check-list>
128 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
133 <ep-office-specific-data office="EP" lang="en">
134 </ep-request>
414

```

Figure 42: Names XML: attributes for inventor, address for second representative

PDF ep-request.pdf

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

Figure 43: Names PDF: Representative 1 and Representative 2

[Page 3]

3 Inventor(s)
23 Inventor details filed separately ☐

Figure 44: Names PDF: Inventor

[Page 4]

The extra forms concerning the first inventor are referenced.

44-A Forms	Details:	System file name:
A-1	Request	as ep-request.pdf
A-2	1. Designation of inventor 3 1. Inventor	as F1002-1.pdf
A-4	1. Waiver (R.19(3)) 4 1. Inventor	as EPR193-1.pdf
A-5	1. Renunciation (R.20(1)) 5 1. Inventor	as EPR201-1.pdf

Figure 45: Names PDF: Forms concerning inventor

PDF F1002-1.pdf - Designation of inventor

Designation of inventor	
User reference: 1001_appl-repr	
Application No:	
3 Inventor	Name: Stockton, Mr. Harold Address: Florida Research Inc. Water Technology 301, Blackwater Sound Drive Key Largo FL Florida 33037 United States of America
The applicant has acquired the right to the European patent: As successor in title 6	

Figure 46: PDF: Designation of inventor

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

GUI EP(1001E2K), Names tab

The screenshot shows the 'Names' tab of the EP(1001E2K) form. The window title is 'EPO Online Filing - EP(1001E2K) - 1001_employee'. The status bar indicates 'Last saved on 09.11.2011'. The form is divided into several sections:

- Left Panel:** Contains 'Applicants' and 'Inventors'. Under 'Applicants', 'TechInvent SA' is selected (marked with red circle 1). Under 'Inventors', 'Stockton, Harold' is listed.
- Main Form:**
 - Company:** TechInvent SA (marked with red circle 7)
 - Department:** Brevets
 - Country:** FR (France) (marked with red circle 7)
 - Address:** 34, place de la république
 - Postal code:** 69008
 - City:** Lyon
 - Region:** (empty)
 - Telephone:** +33 4 2568 10
 - Telefax:** +33 4 2568 97
 - E-mail:** info@techinvent.fr
 - Residence:** FR (France)
 - ☐ Address for correspondence
 - ☒ TechInvent SA is represented by the following employee acting pursuant to Art. 133(3) EPC: (marked with red circle 2)
 - Last Name:** Mercer (marked with red circle 3)
 - First Name:** Jeanne-Marie (marked with red circle 4)
 - Title:** Ms (marked with red circle 5)
 - General Authorisation:** 11-MerJM (marked with red circle 6)

The status bar at the bottom shows 'Logged in as Administrator' and a series of icons and numbers (0, 0, 0, 0).

Figure 47: Names GUI: applicant represented by employee (Article 133(3) EPC)

Element list

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

XML ep-request.xml

```

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

```

The XML snippet is displayed with line numbers on the left. Red circles with numbers 1 through 6 are placed over specific XML elements to correspond with the 'Element list' above. Element 1 points to the opening <applicant> tag. Element 2 points to the <addressbook> tag. Element 3 points to the <last-name> tag. Element 4 points to the <first-name> tag. Element 5 points to the <prefix> tag. Element 6 points to the <iid> tag.

Figure 48: Names XML: employee representing applicant

PDF ep-request.pdf

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

Figure 49: Names PDF: Applicant 1 represented by authorised employee

[Page 4]

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

Figure 50: Names PDF: reference to attached general authorisation, name of authorised employee

5.5 EP(1001E2K) States

The **States** screen of Form EP(1001E2K) allows applicants to select designated states and extension 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 lists of states in the **Designation** and **Extension** sub-tabs 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/earliest (parent/grand-parent) application are deemed to be designated.

The lists of states in the Online Filing database are continuously updated by the EPO. For reference purposes, they can be retrieved via the **File Manager** in the **Maintenance tables** section.

The latest version of the EPC can be found on the EPO website under **Law & practice > Legal texts > European Patent Convention** (<http://www.epo.org/law-practice/legal-texts/epc.html>).

5.5.1 Designation - Example 1: all states designated

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

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

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001_XML Last saved on 21.05.2010

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

Designation Extension

☐ Different designations for different applicants

All states which are contracting states to the EPC at the time of filing of this application are hereby designated. 1

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

Logged in as Administrator

Figure 51: 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

```
53 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
54 <ep-office-specific-data office="EP" lang="en">
55   1 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
56     <region>
57       2 <country>EP</country>
58     </region>
59     <extension-states>
67   </ep-designated-states>
```

Figure 52: States XML: designation of all contracting states to the EPC

PDF ep-request.pdf

31 Designation of contracting states

1 All the contracting states party to the EPC at the time of filing of the European patent application are deemed to be designated (see Article 79(1)).

32 Different applicants for different contracting states

Figure 53: States PDF: designation of contracting states

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

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

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

Applicant 2 - 25 states designated

The list of states corresponds to the date of filing of the parent application.

Designation | Extension

☒ Different designations for different applicants 1

2 Manzoni, Salvatore

All states valid for the earlier application at the time of filing this divisional application are hereby designated. 3

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

4 AT, BE, BG, CH/LI, CY, CZ, DE, ES, FR, GB, GR, HU, IE, IT, LU, MC, MT, NL, PL, PT, RO, SI, SK, TR

Figure 54: States GUI: designations for applicant 2

Applicant 2- 5 states designated

Designation | Extension

☒ Different designations for different applicants 5

6 TechInvent SA

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

☐ AT Austria	☒ ES Spain 6	☐ IS Iceland	☐ NO Norway
☐ BE Belgium	☐ FI Finland	☐ IT Italy	☐ PL Poland
☐ BG Bulgaria	☒ FR France 7	☐ LT Lithuania	☒ PT Portugal 9
☐ CH/LI Switzerland/Liechtenstein	☐ GB United Kingdom	☐ LU Luxembourg	☐ RO Romania
☐ CY Cyprus	☐ GR Greece	☐ LV Latvia	☐ SE Sweden
☐ CZ Czech Republic	☐ HR Croatia	☒ MC Monaco 8	☐ SI Slovenia
☐ DE Germany	☐ HU Hungary	☐ MT Malta	☐ SK Slovakia
☐ DK Denmark	☐ IE Ireland	☐ NL Netherlands	☒ TR Turkey 10
☐ EE Estonia			

Figure 55: States GUI: designations for applicant 1

Element list

- (1) Different designations for different applicants: must be checked in order to select one of applicants
- (2) Applicant 2
- (3) Designations for applicant 2
- (4) Summary of all designations for applicant 1 and applicant 2
- (5) Applicant 1
- (6) Country for applicant 1
- (7) Country for applicant 1
- (8) Country for applicant 1
- (9) Country for applicant 1
- (10) Country for applicant 1
- (11) All contracting states [...] are deemed to be designated

PDF ep-request.pdf

31	Designation of contracting states	
11	All the contracting states party to the EPC and valid for the parent application at the time of filing of this divisional application are deemed to be designated (see Article 76(2)).	
1	32 Different applicants for different contracting states	
2	Applicant 1 designates	6 7 8 9 10 ES FR MC PT TR
5	Applicant 2 designates	AT BE BG CH&LI CY CZ DE ES FR GB GR HR HU IE IT LU MC MT NL PL PT RO SI SK TR 3

Figure 56: States PDF: Designation of contracting states, different applicants for different contracting states

XML ep-request.xml

13	<parties>
14	<applicants>
15	5 <applicant sequence="2" designation="as-indicated" app-type="applicant">
16	<addressbook lang="en">
31	<nationality>
34	<residence>
37	<designated-states>
38	6 <country>ES</country>
39	<country>FR</country> 7
40	8 <country>MC</country>
41	<country>PT</country> 9
42	10 <country>TR</country>
43	</designated-states>
44	</applicant>
45	2 <applicant sequence="1" designation="as-indicated" app-type="applicant-inventor">
46	<addressbook lang="en">
64	<nationality>
67	<residence>
70	3 <designated-states>
71	<country>AT</country>
72	<country>BE</country>
73	<country>BG</country>
74	<country>CH</country>
75	<country>CY</country>
76	<country>CZ</country>
77	<country>DE</country>
78	<country>ES</country>
79	<country>FR</country>
80	<country>GB</country>
81	<country>GR</country>
82	<country>HR</country>
83	<country>HU</country>
84	<country>IE</country>
85	<country>IT</country>
86	<country>LU</country>
87	<country>MC</country>
88	<country>MT</country>
89	<country>NL</country>
90	<country>PL</country>
91	<country>PT</country>
92	<country>RO</country>
93	<country>SI</country>
94	<country>SK</country>
95	<country>TR</country>
96	<country>LI</country>
97	</designated-states>
98	</applicant>
99	</applicants>

Figure 57: States XML: all designations for applicant 2 and applicant 1

5.5.3 Extension - Example 1: all extension states selected

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

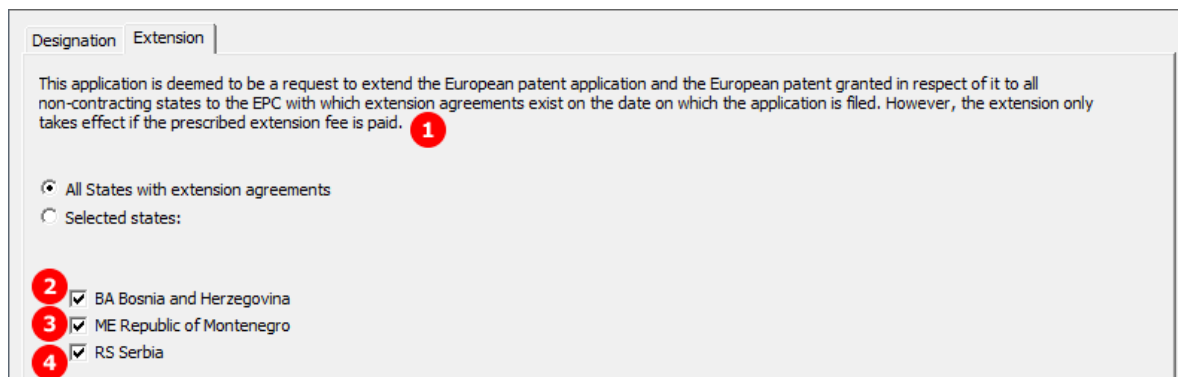


Figure 58: States GUI: selecting states with extension agreements

Element list

- (1) This application is deemed to be a request to extend the European patent application ...
- (2) Country
- (3) Country
- (4) Country

XML ep-request.xml

```

55 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
56   <region>
59     <extension-states>
60       <region>
61         (1) <country>EP</country>
62       </region>
63       (2) <country>BA</country>
64         <country>ME</country> (3)
65       (4) <country>RS</country>
66     </extension-states>
67   </ep-designated-states>

```

Figure 59: States XML: extension states for EP

PDF ep-request.pdf

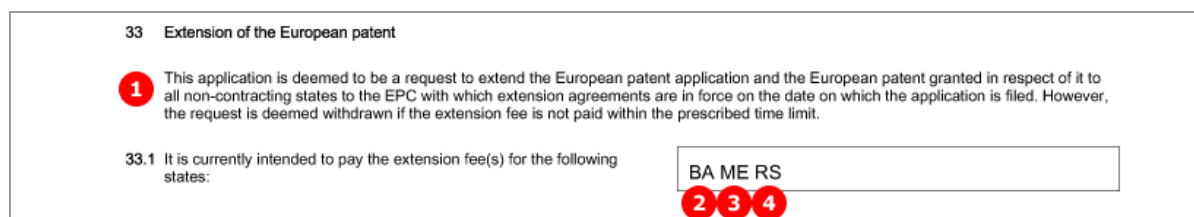


Figure 60: States PDF: extension states

5.6 EP(1001E2K) Priority

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

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

GUI EP(1001E2K) Priority

A national, regional and international priority have been entered.

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

National priority

The screenshot shows the EPO Online Filing interface for Form EP(1001E2K) - Draft - 1001_XML. The interface is divided into a left sidebar and a main form area. The sidebar contains a tree view of priorities, with 'Nationals' selected. The main form area is titled 'EP(1001E2K) - Draft - 1001_XML' and has a 'Last saved on 22.11.2011' timestamp. The form is organized into tabs: Request, Names, States, Priority (selected), Biological Material, Documents, Fee Payment, and Annotations. The 'Priority' tab contains the following fields and options:

- National office:** IT (Italy) (highlighted with red circle 4)
- Kind:** patent application (highlighted with red circle 3)
- Filing date:** 6 September 2011 (highlighted with red circle 6)
- Application Number:** TO 2011 A234098 (highlighted with red circle 5). A note indicates: 'LL YYYY A nnnnnn, spaces, hyphens or commas allowed between data items'.
- ☐ Re-establishment of rights is herewith requested
- ☒ This application is a complete translation of the previous application (highlighted with red circle 16)
- ☒ A copy of the search results under Rule 141(1) EPC is available for this priority claim. (highlighted with red circle 7)
- Detach file:** PRSR-1.pdf (highlighted with red circle 13)
- ☒ It is not intended to file a (further) declaration of priority (highlighted with red circle 19)

The bottom status bar shows 'Logged in as Administrator' and a notification area with 4 errors, 0 warnings, and 5 information messages.

Figure 61: Priority GUI: national priority with translation option

Regional priority

The screenshot displays the 'Regional priority' section of the EPO Online Filing interface. On the left, a sidebar shows a hierarchical tree of applications: 'Nationals' (IT-TO 2011 A234098), 'Regionals' (EP-10 123000.1), and 'Internationals' (PCT/US2011/123456). The 'Regionals' entry is selected. The main form area contains the following fields and controls:

- Regional office:** A dropdown menu showing 'EP' and 'European Patent Office'.
- Kind:** A dropdown menu showing 'patent application'.
- Filing date:** A date picker showing '19 October 2010'.
- Application Number:** A text field containing '10123000.1'.
- Re-establishment of rights:** A checkbox labeled 'Re-establishment of rights is herewith requested' which is checked.
- Translation declaration:** An unchecked checkbox labeled 'This application is a complete translation of the previous application'.
- Search results:** A text area stating 'A copy of the search results under Rule 141(1) EPC is available for this priority claim.'
- File management:** A 'Detach file' button and a file named 'PRSR-2.pdf' are shown at the bottom.

Figure 62: Priority GUI: regional priority with request for re-establishment of rights

Element list

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

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

XML ep-request.xml - priorities

13	<parties>	
43	<priority-claims>	
44	<ep-priority-claim sequence="1" kind="national" ep-document-type="patent">	1
45	<country>IT</country>	2
46	<doc-number>TO 2011 A234098</doc-number>	3
47	<date>20110906</date>	4
48	<earlier-searches>	5
49	<earlier-search search-type="national" id="ID_1" office="IT" declaration-of-no-search="not-determined">	6
50	<doc-page he="1" type="pdf" wi="1" file="PRSR-1.pdf"/>	7
51	</earlier-search>	8
52	</earlier-searches>	9
53	</ep-priority-claim>	10
54	<ep-priority-claim sequence="2" kind="regional" ep-document-type="patent">	11
55	<country>EP</country>	12
56	<doc-number>10123000.1</doc-number>	13
57	<date>20101019</date>	14
58	<earlier-searches>	15
59	<earlier-search search-type="international-type" id="ID_2" office="EP" declaration-of-no-search="not-determined">	16
60	<doc-page he="1" type="pdf" wi="1" file="PRSR-2.pdf"/>	17
61	</earlier-search>	18
62	</earlier-searches>	19
63	</ep-priority-claim>	20
64	<ep-priority-claim sequence="3" kind="international" ep-document-type="patent">	21
65	<country>US</country>	22
66	<doc-number>PCT/US2011/123456</doc-number>	23
67	<date>20110712</date>	24
68	<earlier-searches>	25
69	<earlier-search search-type="isr" id="ID_3" office="US" declaration-of-no-search="not-determined">	26
70	<doc-page he="1" type="pdf" wi="1" file=""/>	27
71	</earlier-search>	28
72	</earlier-searches>	29
73	</ep-priority-claim>	30
74	</priority-claims>	31

Figure 63: Priority XML: national, regional and international priority

[...]



Figure 64: Priority XML: priority declarations and search results

PDF ep-request.pdf - priorities

25 Declaration of priority (Rule 52)

A declaration of priority is hereby made for the following applications

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

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

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

Request for Re-establishment is hereby made for: 31 EP10123000.1

Figure 65: Priority PDF: Declaration of priority applications

44-C Other documents

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

Figure 66: Priority PDF: Attached search results for priority declarations

5.7 EP(1001E2K) Biological Material

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

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

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

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

The screenshot shows the 'EP(1001E2K) - Draft - 1001_XML' window. The 'Biological Material' tab is selected. The left sidebar shows a list of items: 'XML-bio-080227' (marked with a red circle 1) and 'EUR-bio-080227'. The main area contains the following fields and options:

- Identification Reference:** XML-bio-080227 (marked with a red circle 2)
- Depository:** Centraalbureau voor Schimmelcultures (marked with a red circle 3)
- Name and address:** Uppsalalaan 8, NL-3584 CT Utrecht, The Netherlands / P.O. Box 85167, NL-3508 AD Utrecht, The Netherlands (marked with a red circle 4)
- Accession number:** CBS-080227 (marked with a red circle 5)
- Checkboxes:**
 - ☒ The particulars referred to in Rule 31(1)(c) (if not yet known, the deposit institution and the identification reference(s)) [number, symbols, etc.] of the depositor are given in the technical documents in the application on (marked with a red circle 6)
 - ☒ Availability restricted to experts (Rule 32(1)) (marked with a red circle 9)
- Page(s):** 5 (marked with a red circle 7)
- Line(s):** 245-267 (marked with a red circle 8)

The status bar at the bottom indicates 'Logged in as Administrator' and shows various icons and counts.

Figure 67: Biological Material GUI: details for deposit 1

Further details sub-tab

The invention relates to and/or uses biological material which has been deposited under Rule 31

Deposit details Further details

A copy of the receipt(s) of deposit issued by the depository institution:

☐ is attached Choose file... No file selected

11 ☒ will be filed at a later date

☒ Deposit by a person other than the applicant:

TechInvent SA
34, place de la république
69008 Lyon
FRANCE **10**

An Authorisation under Rule 31(1)(d):

☐ is attached Choose file... No file selected

12 ☒ will be filed at a later date

Figure 68: Biological Material GUI: further details for deposit 1, documents to be filed later

Element list

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

XML ep-request.xml

50	<figure-to-publish>
53	<ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
54	<ep-office-specific-data office="EP" lang="en">
55	<ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
95	<ep-declarations>
98	<ep-biological-material id="bio1" num="CBS" dnum="XML-bio-080227">
99	<depository>CBS
100	<address>
101	<address-1>Uppsalalaan 8, NL-3584 CT Utrecht, The Netherlands / P.O. Box 85167, NL-3508 AD Utrecht, The Netherlands</address-1>
102	<postcode/>
103	<country/>
104	</address>
105	</depository>
106	<bio-accno>CBS-080227</bio-accno>
107	<bio-receipt will-be-filed-later="yes"/>
108	<bio-authorization will-be-filed-later="yes"/>
109	<ep-biological-material-reference>
110	<ep-bio-references-page>5</ep-bio-references-page>
111	<ep-bio-references-lines>245-267</ep-bio-references-lines>
112	</ep-biological-material-reference>
113	<bio-other-deposant>TechInvent SA
114	34, place de la r#233;publique
115	69008 Lyon
116	FRANCE</bio-other-deposant>
117	<bio-restriction-to-expert/>
118	</ep-biological-material>
119	<ep-biological-material id="bio2" num="ECACC" dnum="EUR-bio-080227">

Figure 69: Biological Material XML: details for deposit 1

PDF ep-request.pdf

34 Biological material	
34.1 The invention uses and/or relates to biological material deposited under Rule 31	
1 a-1 Deposit 1	
Identification reference:	2 XML-bio-080227
Depository institution:	4 Uppsalaalaan 8, NL-3584 CT Utrecht, The Netherlands / P.O. Box 85167, NL-3508 AD Utrecht, The Netherlands
Accession number:	5 CBS-080227
b-1 The particulars referred to in Rule 31(1)(c) (if not yet known, the depository institution and the identification reference(s) [number, symbols, etc.] of the depositor) are given in the technical documents in the application on:	☒ 6
	7 8 Page(s): 5, Line(s): 245-267
34.2 The receipt(s) of deposit issued by the depository institution	10 ☒ will be filed later
35-1 If the biological material was deposited by a person other than the applicant; name and address of depositor:	11 TechInvent SA 34, place de la république 69008 Lyon FRANCE
35.1 Authorisation under Rule 31(1)(d) -1	12 ☒ will be filed later
36-1 Waiver of the right to an undertaking from the requester pursuant to Rule 33(2)) attached	☐
37-1 The applicant hereby declares under Rule 32(1) that the biological material referred to in Sections 34 and 35 is to be made available only by the issue of a sample to an expert	☒ 9

Figure 70: Biological Material PDF: details for deposit 1

5.7.2 Biology - Example 2: Further details, documents attached

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

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

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001_XML Last saved on 21.05.2010

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

XML-bio-080227
EUR-bio-080227

The invention relates to and/or uses biological material which has been deposited under Rule 31

Deposit details Further details

A copy of the receipt(s) of deposit issued by the depository institution:

☒ is attached Detach file BIOM-RECEIPT-1.pdf

☐ will be filed at a later date

☐ Deposit by a person other than the applicant:

An Authorisation under Rule 31(1)(d):

☒ is attached Detach file BIOM-AUTH-1.pdf

☐ will be filed at a later date

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

Detach file BIOM-WAIV-1.pdf

Logged in as Administrator

Figure 71: Biological Material GUI: further details for deposit 2 with files attached

Element list

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

XML ep-request.xml

```

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

```

Figure 72: Biological Material XML: deposit 2, files attached

PDF ep-request.pdf

1 a-2 Deposit 2

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

Depository institution: Health Protection Agency – Porton Down, Salisbury, Wiltshire SP4 0JG, United Kingdom

Accession number: ECACC-080227

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

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

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

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

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

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

Figure 73: Biological Material PDF: details for deposit 2

5.8 EP(1001E2K) Documents

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

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

All attached documents must be **Annex F compliant** (see "**Annex F rules for documents and files**" p. 289). For more information about preparing documents for attachment and patent specifications in XML format, see the Online Filing User Guide, available from the EPO Online Services website under **Online filing > Download documentation** (<http://www.epo.org/applying/online-services/online-filing/documentation.html>).

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

① **EPO language** corresponds to the selected procedural language, i.e. English, French or German.

- ◆ Technical document(s) in EPO language (n PDF files)
- ◆ XML attachments in EPO language (1 XML file)
- ◆ Original in non-EPO language (1 PDF file)
- ◆ Translation(s) of technical document(s) into EPO language (n PDF files)
- ◆ XML attachments translation into EPO language (1 XML file)
- ◆ Pre-conversion archive (ZIP)

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

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

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

① All files must be in PDF format.

- ◆ General authorisation
- ◆ Specific authorisation
- ◆ Translation of priority documents
- ◆ Grounds for re-establishment of rights
- ◆ US certified priority document (digitally signed)
- ◆ Search results required under Rule 141(1) EPC for previously filed application
- ◆ Other documents

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

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

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

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

The screenshot shows the EPO Online Filing GUI for EP(1001E2K) - Draft - 1001_XML_docs. The interface includes a menu bar (File, Edit, View, Tools, Windows, Help) and a toolbar. The main window displays the 'Documents' sub-tab. On the left, a list of technical documents is shown: 'SPECEPO-1.pdf' and 'Instant_Water.pdf'. The main form contains fields for 'Original File Name' (Instant_Water.pdf), 'Number of Pages' (10), and checkboxes for 'Description', 'Claims', 'Abstract', and 'Drawings'. The 'Description' section includes fields for 'From page' (1) and 'to' (7). The 'Abstract' section includes fields for 'Figure to be Published with Abstract' (3c) and 'From page' (8) to 'to' (8). The 'Drawings' section includes fields for 'Number of Drawings' (5) and 'From page' (9) to 'to' (10). A checkbox at the bottom indicates 'It is intended to submit claims later.' The status bar at the bottom shows 'Logged in as Administrator' and a progress indicator.

Figure 74: Documents GUI: Technical documents in English, claims to be filed later

Element list

- (1) EPO standard file name for specification in EPO language
- (2) Original file name
- (3) Number of pages: does not exist in XML file, is automatically calculated
- (4) Description
- (5) First page of description in attached document
- (6) Last page of description in attached document
- (7) Claims: not checked and deactivated, because (19) *It is intended to submit claims later* has been checked
- (8) Number of claims: n/a
- (9) First page of claims in attached document: n/a
- (10) Last page of claims in attached document: n/a
- (11) Abstract
- (12) Figure to be published with abstract
- (13) First page of abstract in attached document
- (14) Last page of abstract in attached document

- (15) Drawings
- (16) Number of drawings
- (17) First page of drawings in attached document
- (18) Last page of drawings in attached document
- (19) It is intended to submit claims later

XML ep-request.xml

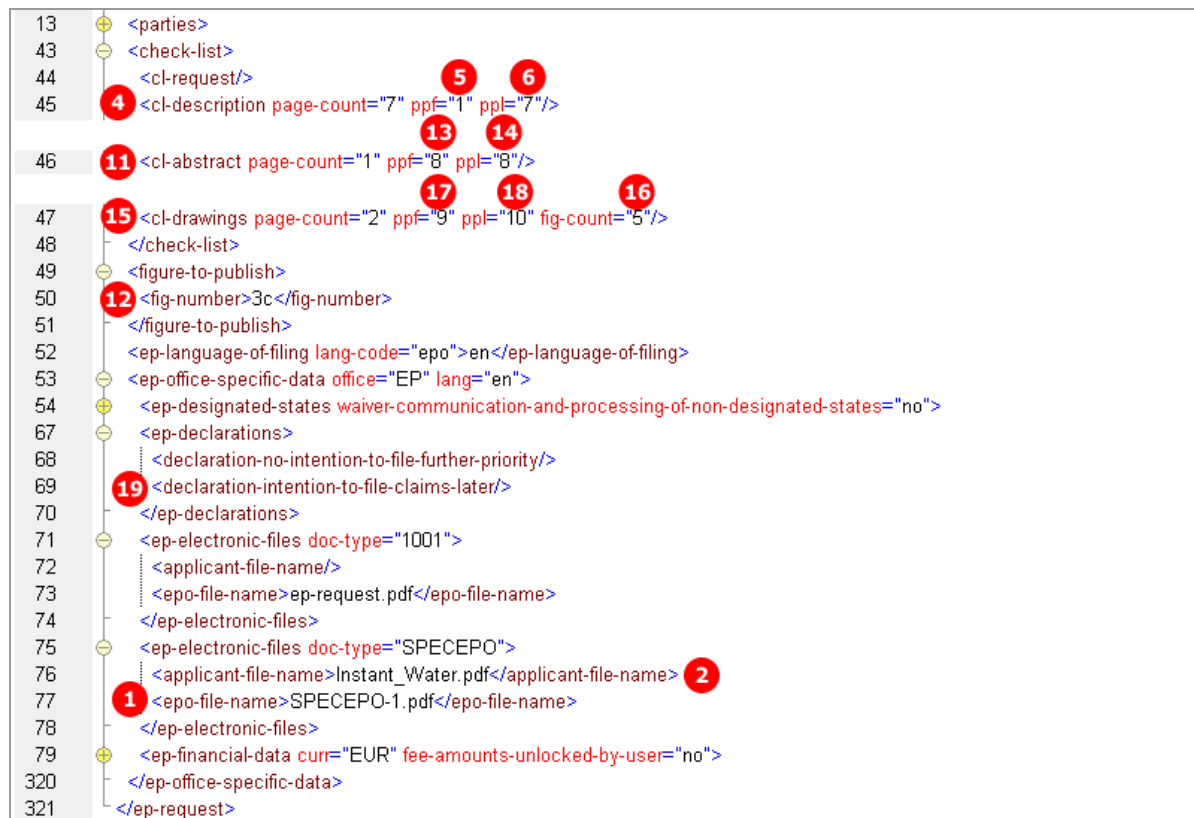


Figure 75: Documents XML: data in ep-request.xml file

XML application-body.xml

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

```

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

```

Figure 76: Documents XML: references in application-body.xml file

PDF ep-request.pdf

29	Claims	Number of claims:	3
29.1		☐	as attached
29.2		☐	as in the previously filed application (see Section 26.2)
29.3		☒	The claims will be filed later
30	Figures	It is proposed that the abstract be published together with figure No.	3c

Figure 77: Documents PDF: claims and figures

[Page 3]

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

Figure 78: Documents PDF: specification file name, parts of technical documents

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

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

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

The screenshot shows the 'Documents' sub-tab of the EPO Online Filing interface. On the left, a list of technical documents is shown, with red circles 1 through 15 highlighting specific file names. On the right, the details for the selected document 'Instant water drawing.pdf' are displayed, including its original file name, number of pages, and options to publish description, claims, abstract, and drawings. Red circles 16 through 19 highlight specific fields and checkboxes in this section. The bottom status bar indicates the user is logged in as Administrator.

Figure 79: 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) First page of claims in attached document
- (9) Last page of claims in attached document
- (10) EPO file name for 3rd document attached
- (11) Original file name for abstract
- (12) Figure to be published with abstract
- (13) First page of abstract in attached document
- (14) Last page of abstract in attached document
- (15) EPO file name for 4th document attached

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

XML ep-request.xml

13	<parties>	
66	<check-list>	
67	<cl-request/>	
68	<cl-description page-count="7" ppf="1" ppl="7"/>	3 4
69	<cl-claims page-count="4" ppf="1" ppl="4" number-of-claims="10"/>	8 9 7
70	<cl-abstract page-count="2" ppf="1" ppl="2"/>	13 14
71	<cl-drawings page-count="1" ppf="1" ppl="1" fig-count="2"/>	18 19 17
72	</check-list>	
73	<figure-to-publish>	
74	<fig-number>1</fig-number>	12
75	</figure-to-publish>	
76	<ep-language-of-filing lang-code="epo">en</ep-language-of-filing>	
77	<ep-office-specific-data office="EP" lang="en">	
78	<ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">	
84	<ep-divisional-appl>	
96	<ep-declarations>	
97	<declaration-no-intention-to-file-further-priority/>	
98	</ep-declarations>	
99	<ep-electronic-files doc-type="1001">	
103	<ep-electronic-files doc-type="SPECEPO">	
104	<applicant-file-name>Instant water description.pdf</applicant-file-name>	2
105	<epo-file-name>SPECEPO-1.pdf</epo-file-name>	1
106	</ep-electronic-files>	
107	<ep-electronic-files doc-type="SPECEPO">	
108	<applicant-file-name>Instant water claims.pdf</applicant-file-name>	6
109	<epo-file-name>SPECEPO-2.pdf</epo-file-name>	5
110	</ep-electronic-files>	
111	<ep-electronic-files doc-type="SPECEPO">	
112	<applicant-file-name>Instant water abstract.pdf</applicant-file-name>	11
113	<epo-file-name>SPECEPO-3.pdf</epo-file-name>	10
114	</ep-electronic-files>	
115	<ep-electronic-files doc-type="SPECEPO">	
116	<applicant-file-name>Instant water drawing.pdf</applicant-file-name>	16
117	<epo-file-name>SPECEPO-4.pdf</epo-file-name>	15
118	</ep-electronic-files>	
119	<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">	
360	</ep-office-specific-data>	
361	</ep-request>	

Figure 80: Documents XML: data in ep-request.xml file

XML application-body.xml

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

```

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

```

Figure 81: Documents XML: attached files referenced in the application-body.xml file

PDF ep-request.pdf

44-B Technical documents		Original file name:	System file name:
B-1	Specification	Instant water description.pdf Description	SPECEPO-1.pdf
B-2	Specification	Instant water claims.pdf 10 claims	SPECEPO-2.pdf
B-3	Specification	Instant water abstract.pdf abstract	SPECEPO-3.pdf
B-4	Specification	Instant water drawing.pdf 2 figure(s)	SPECEPO-4.pdf

Figure 82: Documents PDF: technical documents listed in form

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

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

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

Figure 83: Documents GUI: specification attached in XML format

Element list

- (1) EPO file name for specification
- (2) Original file name of technical documents (PatXML file in this example)
- (3) Figure to be published with abstract (is read from XML document)
- (4) Number of claims (is read from XML document)
- (5) Number of figures (is read from XML document)
- (6) Description: text contained in application-body.xml file
- (7) Claims: text for each claim contained in application-body.xml file
- (8) Abstract: text for abstract contained in application-body.xml file, including reference to figure to be published with abstract
- (9) Original file name of Figure 1
- (10) Original file name of Figure 2
- (11) Original file name of Figure 3

XML ep-request.xml

```

43  <priority-claims>
60  <check-list>
61    <cl-request/>
62    <cl-description/>
63    4 <cl-claims number-of-claims="13"/>
64    <cl-abstract/>
65    5 <cl-drawings fig-count="3"/>
66  </check-list>
67  <figure-to-publish>
68    3 <fig-number>1</fig-number>
69  </figure-to-publish>
70  <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
71  <ep-office-specific-data office="EP" lang="en">
72    <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
85    <ep-declarations>
101  <ep-biological-material id="bio1" num="CBS" dnum="XML-bio-080227">
122  <ep-biological-material id="bio2" num="ECACC" dnum="EUR-bio-080227">
135  <ep-electronic-files doc-type="1001">
139  <ep-electronic-files doc-type="APPBODYXML">
140    <applicant-file-name>instant_water.pxml</applicant-file-name> 2
141    1 <epo-file-name>application-body.xml</epo-file-name>
142  </ep-electronic-files>
143  <ep-electronic-files doc-type="BIOMRECEIPT">
147  <ep-electronic-files doc-type="BIOMAUTH">
151  <ep-electronic-files doc-type="BIOMWAIV">
155  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
397  </ep-office-specific-data>
398  </ep-request>

```

Figure 84: Documents XML: application-body.xml file contains patent specification

XML application-body.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE application-body SYSTEM "application-body-v1-1.dtd">
3  <application-body country="EP" dtd-version="ST???.DTD Version " file="patent597.pxml" id="pxmlpatent7" lang="de" status
   = "N">
4      <description id="desc"> 6
99      <claims id="claim"> 7
100         <claim id="c01" num="001">
103         <claim id="c02" num="002">
106         <claim id="c03" num="003">
109         <claim id="c04" num="004">
112         <claim id="c05" num="005">
115         <claim id="c06" num="006">
118         <claim id="c07" num="007">
122         <claim id="c08" num="008">
125         <claim id="c09" num="009">
128         <claim id="c10" num="010">
131         <claim id="c11" num="011">
134         <claim id="c12" num="012">
138         <claim id="c13" num="013"> 4
141     </claims>
142     <abstract id="abst"> 8
148     <drawings id="draw">
149         <figure id="f01" num="001">
150             <img id="i02" wi="104" he="74" img-content="drawing" img-format="tif" orientation="portrait" file="img0002.tif"/> 9
151         </figure>
152         <figure id="f02" num="002">
153             <img id="i03" wi="124" he="65" img-content="drawing" img-format="tif" orientation="portrait" file="img0003.tif"/> 10
154         </figure>
155         <figure id="f03" num="003"> 5
156             <img id="i04" wi="131" he="71" img-content="drawing" img-format="tif" orientation="portrait" file="img0004.tif"/> 11
157         </figure>
158     </drawings>
159 </application-body>

```

Figure 85: Documents XML: application-body.xml file originally produced by PatXML

PDF ep-request.pdf

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

Figure 86: Document PDF: technical documents listed in form

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

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

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

EPO Online Filing - EP(1001E2K) - 1001_XML_IT/FR

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001_XML_IT/FR Last saved on 21.05.2010

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

Specification Sequence Listings Additional Documents

Original File Name: Acqua instantanea.pdf

This file contains:

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

Number of Claims: 21

Number of figures: 10

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

Original in Italian

- 1 SPECNONEPO.pdf
- 2 Acqua instantanea.pdf

Translation(s) of technical...

- 4 SPECTRANEPO-1.pdf
- 5 Eau instantanée.pdf
- 6 SPECTRANEPO-2.pdf
- 7 Eau instantanée dessin.p

Drawings in Italian

- 8 DRAWNONEPO.pdf
- 9 Acqua instantanea disegni

Figure 87: Documents GUI: technical documents and drawings in Italian are attached

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

Specification Sequence Listings Additional Documents

Original File Name: Eau instantanée.pdf **Number of Pages:** 8

This file contains:

12 ☒ Description From page: 1 to 6

15 ☒ Claims From page: 7 to 7

18 ☒ Abstract From page: 8 to 8

21 ☐ Drawings From page: to

Original in Italian

- 12 SPECNONEPO.pdf
- * Acqua instantanea.pdf

Translation(s) of technical...

- 15 SPECTRANEPO-1.pdf
- * Eau instantanée.pdf
- SPECTRANEPO-2.pdf
- * Eau instantanée dessin.p

Drawings in Italian

- 18 DRAWNONEPO.pdf
- * Acqua instantanea disegni

Figure 88: Documents GUI: Translations into French are specified

Element list

- (1)** EPO file name for specification in non-EPO language
- (2)** Original file name for technical documents
- (3)** Number of claims in original document
- (4)** EPO file name for translation of 1st attached document containing translation of specification into EPO language
- (5)** Original file name for translated specification
- (6)** EPO file name for translation of 2nd attached document containing translation of specification into EPO language
- (7)** Original file name for translated drawings
- (8)** EPO file name for drawings in non-EPO language
- (9)** Original file name for drawings in non-EPO language
- (10)** Number of figures in drawings in non-EPO language
- (11)** Figure to be published with abstract in original document
- (12)** Description
- (13)** First page of description in translation document
- (14)** Last page of description in translation document
- (15)** Claims
- (16)** First page of claims in translation document
- (17)** Last page of claims in translation document
- (18)** Abstract
- (19)** First page of abstract in translation document
- (20)** Last page of abstract in translation document
- (21)** Drawings
- (22)** First page of drawings in translation document
- (23)** Last page of drawings in translation document

XML ep-request.xml

43	<check-list>	
44	<cl-request/>	
45	12 <cl-description page-count="6" ppf="1" ppl="6"/>	13 14
46	15 <cl-claims page-count="1" ppi="7" ppl="7" number-of-claims="21"/>	16 17 3
47	18 <cl-abstract page-count="1" ppi="8" ppl="8"/>	19 20
48	21 <cl-drawings page-count="1" ppi="1" ppl="1" fig-count=""/>	22 23 10
49	<cl-sequence-listing quantity="0" page-count="0"/>	
50	<cl-other-document>Translation of priority documents</cl-other-document>	
51	</check-list>	
52	<figure-to-publish>	
53	11 <fig-number>2</fig-number>	
54	</figure-to-publish>	
55	<ep-language-of-filing lang-code="non-epo">it</ep-language-of-filing>	
56	<ep-language-of-filing lang-code="translation">fr</ep-language-of-filing>	
57	<ep-office-specific-data office="EP" lang="fr">	
58	<ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">	
64	<ep-request-for-exam-art94 lang="it"/>	
65	<ep-declarations>	
68	<ep-electronic-files doc-type="1001">	
72	<ep-electronic-files doc-type="SPECNONEPO">	
73	<applicant-file-name>Acqua instantanea.pdf</applicant-file-name>	2
74	1 <epo-file-name>SPECNONEPO.pdf</epo-file-name>	
75	</ep-electronic-files>	
76	<ep-electronic-files doc-type="SPECTRANEPO">	
77	<applicant-file-name>Eau instantanée.pdf</applicant-file-name>	5
78	4 <epo-file-name>SPECTRANEPO-1.pdf</epo-file-name>	
79	</ep-electronic-files>	
80	<ep-electronic-files doc-type="SPECTRANEPO">	
81	<applicant-file-name>Eau instantanée dessin.pdf</applicant-file-name>	7
82	6 <epo-file-name>SPECTRANEPO-2.pdf</epo-file-name>	
83	</ep-electronic-files>	
84	<ep-electronic-files doc-type="DRAWNONEPO">	
85	<applicant-file-name>Acqua instantanea disegno.pdf</applicant-file-name>	9
86	8 <epo-file-name>DRAWNONEPO.pdf</epo-file-name>	
87	</ep-electronic-files>	
88	<ep-electronic-files doc-type="SEQL">	
92	<ep-electronic-files doc-type="SEQLTXT">	
96	<ep-electronic-files doc-type="PRIOTRAN">	
100	<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">	
341	</ep-office-specific-data>	
342	</ep-request>	

Figure 89: Documents XML: data and file references in ep-request.xml file

XML application-body.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
3  <application-body lang="fr" dtd-version="1.6" country="EP">
4  12 <description> 4 13 14
5      <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="1" ppl="6" pp="6"/>
6  </description>
7  15 <claims> 4 16 17
8      <doc-page id="CLMS1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="7" ppl="7" pp="1"/>
9  </claims>
10 18 <abstract> 4 19 20
11      <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="8" ppl="8" pp="1"/>
12  </abstract>
13 21 <drawings> 6 22 23
14      <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" ppf="1" ppl="1" pp="1"/>
15  </drawings>
16  </application-body>

```

Figure 90: Documents XML: references to translations into EPO language in application-body.xml file

PDF ep-request.pdf

44-B Documents techniques		Nom du fichier original :	Fichier électronique :
B-1	Documents dans la langue non-officielle autorisée	Acqua instantanea.pdf 21 revendicationsdessin(s)	SPECNONEPO.pdf
B-2	Dessins / Traduction du texte des dessins	Acqua instantanea disegno.pdf dessin(s)	DRAWNONEPO.pdf
B-3	Listages de séquences, PDF	Instant water sequence listings.pdf	SEQLPDF.pdf
B-4	Listages de séquences, ASCII	sequence_listings.app	SEQLTXT.app
B-5	Traduction des documents techniques	Eau instantanée.pdf Figure(s) à publier avec l'abrégié : abrégé; 2	SPECTRANEPO-1.pdf
B-6	Traduction des documents techniques	Eau instantanée dessin.pdf Figure(s) à publier avec l'abrégié : abrégé; 2	SPECTRANEPO-2.pdf

Figure 91: Documents PDF: technical documents in Italian and French listed in form in French

5.8.5 Sequence listings in computer-readable format

If you file a sequence listing with an application using form EP(1001E2K), the sequence listing file must always be attached in computer-readable format in accordance with WIPO Standard ST.25. If the computer-readable format is not available, you can attach the sequence listing in PDF format and file the computer-readable file later, see **Sequence listings in PDF format** (p. 81). 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. 138) in the section about form Euro-PCT(1200E2K).

Figure 92: Documents GUI: computer-readable sequence listing has been attached

Element list

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

XML ep-request.xml

```

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

```

Figure 93: Documents XML: sequence listing referenced in ep-request.xml file

PDF ep-request.pdf

38 Nucleotide and amino acid sequences

The European patent application contains a sequence listing as part of the description ☒ 1

The sequence listing is attached in computer-readable format in accordance with WIPO Standard ST.25 ☒ 2

The sequence listing is attached in PDF format ☐

Further indications

Figure 94: Documents PDF: the type of sequence listing is indicated

[...]

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

Figure 95: Documents PDF: sequence listing file listed under technical documents

5.8.6 Sequence listings in PDF format

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

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

The sequence listing has been attached in PDF format.

Figure 96: Documents GUI: sequence listing has been attached as PDF file

Element list

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

XML ep-request.xml

```

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

```

Figure 97: Documents XML: sequence listing PDF file referenced in ep-request.xml file

PDF ep-request.pdf

38	Nucleotide and amino acid sequences	
1	The European patent application contains a sequence listing as part of the description	☒
	The sequence listing is attached in computer-readable format in accordance with WIPO Standard ST.25	☐
3	The sequence listing is attached in PDF format	☒

Figure 98: Documents PDF: the type of sequence listing is indicated

[...]

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

Figure 99: 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.

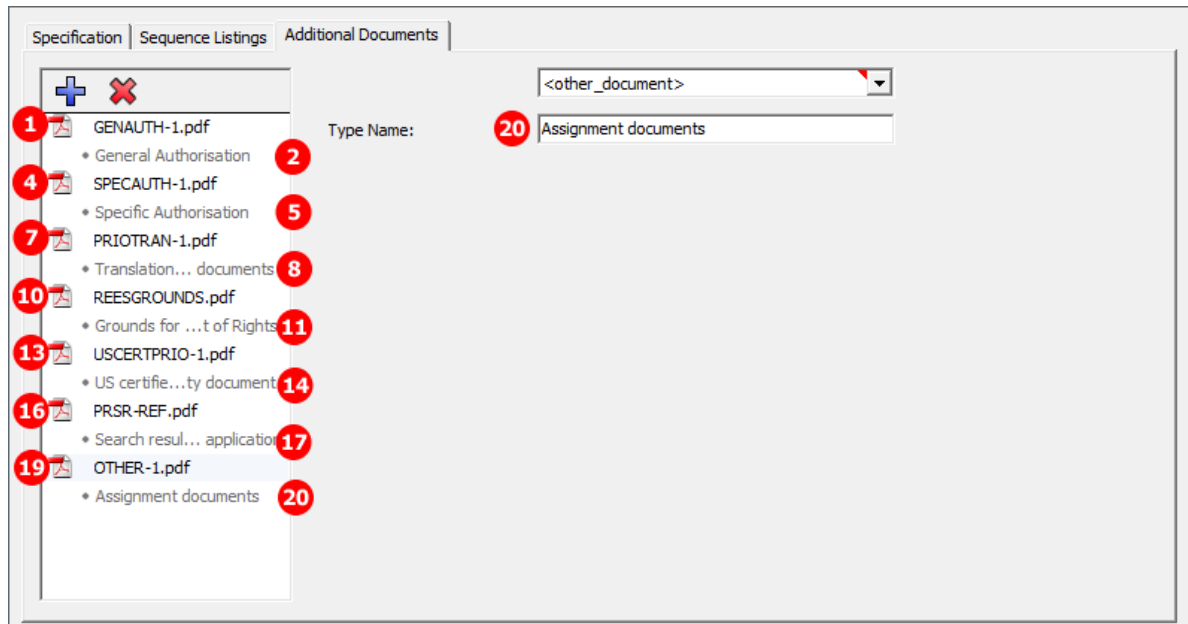


Figure 100: Documents GUI: additional documents attached

Element list

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

XML ep-request.xml

```

50 <cl-request/>
51 <cl-abstract page-count="2" ppf="1" ppl="2"/>
52 2 <cl-other-document>General authorisation</cl-other-document>
53 <cl-other-document>Specific Authorisation</cl-other-document> 5
54 8 <cl-other-document>Translation of priority documents</cl-other-document>
55 <cl-other-document>Grounds for Re-establishment of Rights</cl-other-document> 11
56 14 <cl-other-document>US priority document in electronic format</cl-other-document>
57 <cl-other-document>Search results required under Rule 141(17)PC for previously filed application</cl-other-document>
58 20 <cl-other-document>Assignment documents</cl-other-document>
59 </check-list>
60 <figure-to-publish>
63 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
64 <ep-office-specific-data office="EP" lang="en">
65 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
71 <ep-declarations/>
72 <ep-electronic-files doc-type="1001">
76 <ep-electronic-files doc-type="SPECEPO">
80 <ep-electronic-files doc-type="1004">
81 <applicant-file-name>Authorisation Portland.pdf</applicant-file-name> 3
82 1 <epo-file-name>GENAUTH-1.pdf</epo-file-name>
83 </ep-electronic-files>
84 <ep-electronic-files doc-type="1003">
85 <applicant-file-name>Authorization Nano.pdf</applicant-file-name> 6
86 4 <epo-file-name>SPECAUTH-1.pdf</epo-file-name>
87 </ep-electronic-files>
88 <ep-electronic-files doc-type="PRIOTRAN">
89 <applicant-file-name>Translation priority.pdf</applicant-file-name> 9
90 7 <epo-file-name>PRIOTRAN-1.pdf</epo-file-name>
91 </ep-electronic-files>
92 <ep-electronic-files doc-type="REESGROUNDS">
93 <applicant-file-name>Grounds reestablishment.pdf</applicant-file-name> 12
94 10 <epo-file-name>REESGROUNDS.pdf</epo-file-name>
95 </ep-electronic-files>
96 <ep-electronic-files doc-type="USCERTPRIO">
97 <applicant-file-name>USCERTPRIO_2011-123456.pdf</applicant-file-name> 15
98 13 <epo-file-name>USCERTPRIO-1.pdf</epo-file-name>
99 </ep-electronic-files>
100 <ep-electronic-files doc-type="PRSR-REF">
101 <applicant-file-name>Search results.pdf</applicant-file-name> 18
102 16 <epo-file-name>PRSR-REF.pdf</epo-file-name>
103 </ep-electronic-files>
104 <ep-electronic-files doc-type="OTHERPDF">
105 <applicant-file-name>Assignment documents.pdf</applicant-file-name> 21
106 19 <epo-file-name>OTHER-1.pdf</epo-file-name>
107 </ep-electronic-files>
108 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
355 </ep-office-specific-data>
356 </ep-request>

```

Figure 101: Documents XML: data for additional documents in ep-request.xml file

PDF ep-request.pdf

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

Figure 102: Document PDF: other documents listed in form with original file names

5.9 EP(1001E2K) Fee Payment

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

① You can retrieve the most recent fee schedule in the Online Filing File Manager under **Tools > Fee Management** or from the EPO's Online Services website under **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.

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

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001_XML Last saved on 15.12.2011

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

Payment Details Fee selection

Mode of Payment: 1 Debit from deposit account Currency: EUR 2

The European Patent Office is hereby authorised, to debit from the following deposit account with the EPO any fees and costs indicated in the fee selection:

Deposit account number: 3 28123456__

Account holder: 4 Salvatore Manzoni

5 ☒ Only required if different from above - Reimbursement, if any, to be made to deposit account with the EPO: 6 28100346__

Account holder: 7 Luigi Manzoni

8 ☒ Refund of search fee (Art. 9 RFees) is requested on the basis of the earlier search report: 9 SR-EP0933478

☒ Additional copies of the documents cited in the European search report: 10 3 Copies

Logged in as Administrator

Figure 103: Fee Payment GUI: payment details

Element list

- (1) Mode of payment
- (2) Currency: default is EUR
- (3) EPO account number
- (4) Account holder
- (5) Reimbursement option
- (6) EPO account number for reimbursement: is inferred from (3) by default, but can be modified
- (7) Account holder for reimbursement: is inferred from (4) by default, but can be modified
- (8) Refund of search fee requested based on earlier search report
- (9) Document number of earlier search report
- (10) Number of additional copies of documents cited in European search report

XML ep-request.xml

```

71  <ep-office-specific-data office="EP" lang="en">
72  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
85  <ep-declarations>
101  <ep-biological-material id="bio1" num="CBS" dnum="XML-bio-080227">
122  <ep-biological-material id="bio2" num="ECACC" dnum="EUR-bio-080227">
135  <ep-electronic-files doc-type="1001">
139  <ep-electronic-files doc-type="APPBODYXML">
143  <ep-electronic-files doc-type="BIOMRECEIPT">
147  <ep-electronic-files doc-type="BIOMAUTH">
151  <ep-electronic-files doc-type="BIOMWAIV">
155  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
156  | | <mode-of-payment accno="28123456" mode-type="deposit" currency="EUR">Salvatore Manzoni</
mode-of-payment>
157  | | <reimbursement accno="28100346">Luigi Manzoni</reimbursement>
158  | | <sr-refund>SR-EP0933478</sr-refund>
159  | | <addcopies>3</addcopies>
160  | | <fees date="20100401">
399  | </ep-financial-data>
400  </ep-office-specific-data>
401  </ep-request>

```

Figure 104: Fee Payment XML: payment details in ep-request.xml file

PDF ep-request.pdf

Further indications	
39	Additional copies of the documents cited in the European search report are requested
Number of additional sets of copies: 10 3	
40	Refund of the search fee under to Article 9 of the Rules relating to Fees is requested
☒ 8	
Application or publication number of earlier search report: 9 SR-EP0933478	
41	A copy of the search report is attached
☐	
42	Payment
Mode of payment	
1 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 on the fees section below.	
Currency: 2 EUR	
Deposit account number: 3 28123456	
43	Refunds 5
Account holder: 4 Salvatore Manzoni	
Any refunds should be made to EPO deposit account: 6 28100346	
Account holder: 7 Luigi Manzoni	

Figure 105: Fee Payment PDF: payment details in form

5.9.2 Fee selection

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

Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
001	Filing fee - EP direct - online	105,00	none	1	105,00
002	Fee for a European search - Applications filed on/after 01.07.2005	1 105,00	----	1	1 105,00
005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	525,00	----	1	525,00
055	Add. copy of docs cited in search report	35,00	----	3	105,00

☐ Edit fee amounts (no automatic fee correction will be done by the office)
 Fee schedule for EUR valid as of: 01.04.2010
Total: (4 Fees) EUR 1 840,00

Figure 106: Fee Payment GUI: selected fees only displayed

Element list

- (1) Fee selected
- (2) Fee code
- (3) Fee description (not stored in XML file)
- (4) Fee schedule = one fee
- (5) Fee factor: if there is a reduction, the number of fees as indicated in the GUI is multiplied by the reduction factor
- (6) Fee amount to pay = fee schedule x fee factor
- (7) Date of fee schedule validity
- (8) Fees unlocked for editing by user
see **Unlocking fee amounts or automatic correction by the EPO** (p. 93)
- (9) Total sum of fees in EUR

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

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.

155	<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">	7
156	<mode-of-payment accno="28123456" mode-type="deposit" currency="EUR">Salvatore Manzoni</mode-of-payment>	
157	<reimbursement accno="28100346">Luigi Manzoni</reimbursement>	
158	<sr-refund>SR-EP0933478</sr-refund>	
159	<addcopies>3</addcopies>	
160	<fees date="20100401">	8
161	<standard-fee>	2
162	<fee index="1" topay="yes">	1
163	<type-of-fee>standard</type-of-fee>	
164	<fee-factor>1</fee-factor>	4
165	<fee-schedule>105</fee-schedule>	5
166	<fee-sub-amount>105</fee-sub-amount>	6
167	</fee>	
168	<fee index="2" topay="yes">	
169	<type-of-fee>standard</type-of-fee>	
170	<fee-factor>1</fee-factor>	
171	<fee-schedule>1105</fee-schedule>	
172	<fee-sub-amount>1105</fee-sub-amount>	
173	</fee>	
174	<fee index="5" topay="no">	
175	<type-of-fee>standard</type-of-fee>	
176	<fee-factor>0</fee-factor>	
177	<fee-schedule>0</fee-schedule>	
178	<fee-sub-amount>90</fee-sub-amount>	
179	</fee>	
180	<fee index="5e" topay="yes">	
181	<type-of-fee>standard</type-of-fee>	
182	<fee-factor>1</fee-factor>	
183	<fee-schedule>525</fee-schedule>	
184	<fee-sub-amount>525</fee-sub-amount>	
185	</fee>	
186	<fee index="6" topay="no">	
192	<fee index="13" topay="no">	
390	<fee index="501" topay="no">	
396	</standard-fee>	
397	<fee-total-amount>1840</fee-total-amount>	9
398	</fees>	
399	</ep-financial-data>	

Figure 107: Fee Payment XML: fees list

PDF ep-request.pdf

Fees			Factor applied	Fee schedule	Amount to be paid
1	2	001 Filing fee - EP direct - online	4	1	5
				105.00	6
		002 Fee for a European search - Applications filed on/after 01.07.2005	1	1	105.00
		005e Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	1	525.00	525.00
		055 Additional copy	3	35.00	105.00
Total:			EUR		1 840.00
					9

Figure 108: Fee Payment PDF: selected fees are listed in form

5.9.3 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 list all **<fee>** elements with their child elements in the XML file. Only the fees to be paid must be included in the XML file with the respective **id** attribute and the attribute value **topay="yes"**.

In the example below, only the fees 001, 002, and 033 shall be paid. In the XML file to be imported, there are three **<fee>** elements with empty **<type-of-fee/>**, **<fee-factor/>**, **<fee-schedule/>** and **<fee-sub-amount/>** child elements.

- (1) Fee 001 selected for payment
- (2) Fee 002 selected for payment
- (3) Fee 033 selected for payment
- (4) Type of fee
- (5) Fee factor: quantity
- (6) Fee schedule: Amount EUR for one fee
- (7) Fee sub amount: Amount to pay EUR for the selected quantity of fees
- (8) Date of fee schedule

① The **date** attribute in the **<fees>** element could alternatively be left empty, since it is going to be ignored and replaced during import.

- (9) Total amount

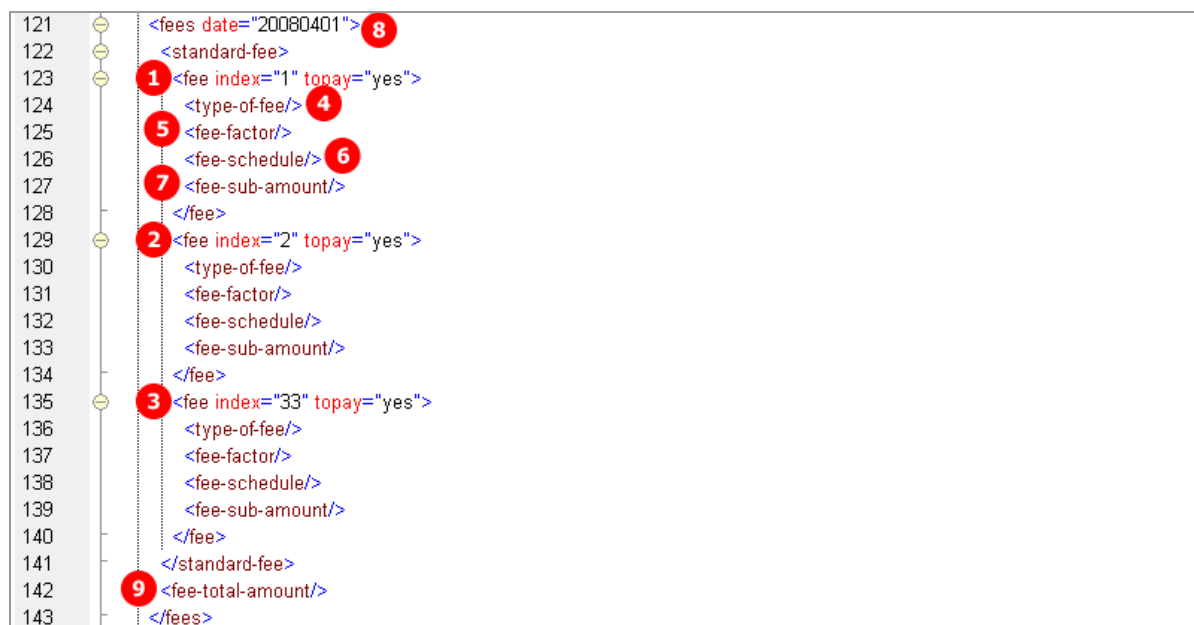


Figure 109: XML file prepared for import: only fees to be paid are listed

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.

```

121 <fees date="20100401"> 8
122 <standard-fee>
123 1 <fee index="1" topay="yes">
124 <type-of-fee>standard</type-of-fee> 4
125 5 <fee-factor>1</fee-factor>
126 <fee-schedule>105</fee-schedule> 6
127 7 <fee-sub-amount>105</fee-sub-amount>
128 </fee>
129 2 <fee index="2" topay="yes">
130 <type-of-fee>standard</type-of-fee>
131 <fee-factor>1</fee-factor>
132 <fee-schedule>1105</fee-schedule>
133 <fee-sub-amount>1105</fee-sub-amount>
134 </fee>
135 3 <fee index="5" topay="no">
141 <fee index="5e" topay="no">
147 <fee index="6" topay="no">
153 <fee index="13" topay="no">
159 <fee index="15" topay="no">
165 <fee index="15e" topay="no">
171 <fee index="22" topay="no">
177 <fee index="29" topay="no">
183 9 <fee index="33" topay="yes">
184 <type-of-fee>standard</type-of-fee>
185 <fee-factor>1</fee-factor>
186 <fee-schedule>420</fee-schedule>
187 <fee-sub-amount>420</fee-sub-amount>
188 </fee>
189 <fee index="34" topay="no">

```

Figure 110: XML code after importing: the fee information and all fee codes are completed

5.9.4 Unlocking fee amounts vs. automatic correction by the EPO

With the EPO fee reform of 1 April 2009 a check-box labelled **Edit fee amounts** has been introduced in the **Fee selection** sub-tab. If checked, the preset fee amounts are unlocked and can be edited in the Online Filing software.

The value is stored in an optional attribute **fee-amounts-unlocked-by-user**. These options are possible:

- ♦ **"no"** indicates the fee amounts are not unlocked and may therefore be subject to automatic correction by the EPO.
- ♦ **"yes"** indicates that the user has intentionally unlocked the fee amounts and the EPO will not correct any values in this case.
- ♦ Non-existence of this attribute in the import XML will result in **fee-amounts-unlocked-by-user="yes"**.

The unlocking and automatic correction only relates to the amounts stored in the **<fee-sub-amount>** elements, not to any other parameters like reductions and quantities.

5.10 EP(1001E2K) Annotations

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

GUI EP(1001E2K) Annotations

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

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001_XML Last saved on 27.05.2010

Request Names States Priority Biological Material Documents Fee Payment Annotations

1 Account information Salvatore Manzoni, 27.05.2010

2 Author: Salvatore Manzoni

3 Subject: Account information

5 Note: Payment details may be modified at a later date, since we are going shift the account with the EPO to my successor, Luigi Manzoni.

Logged in as Administrator

Figure 111: Annotations GUI: note to EPO entered

Element list

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

XML ep-request.xml

```

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

```

Figure 112: Annotations XML: note to EPO

PDF ep-request.pdf

44-C Other documents	Original file name:	System file name:
Annotations 1 1Note (for EPO) 5 Payment details may be modified at a later date, since we are going shift the account with the EPO to my successor, Luigi Manzoni.	Title (Author): 3 Account information (Salvatore Manzoni)	2
2Note (for EPO) General Authorisation (Luigi Manzoni) 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.		

Figure 113: Annotations PDF: note to EPO in form

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

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

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

File name	DTD	Description
pkgheader.xml	pkgheader.dtd	Indicates selected procedure and other data for transmission to receiving office.
package-data.xml	package-data.dtd	References attached documents, except those already referenced in application-body.xml file.
application-body.xml	application-body-v1-6.dtd	References attached documents as part of patent specification (amendments or translations of technical documents).
ep-euro-pct.xml	ep-euro-pct-v1-06.dtd	Application data as entered in Form Euro-PCT(1200E2K), references other attached documents.

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

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

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

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

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

Document code	EPO file name *)	Description
Request		
APPBODYXML	application-body.xml	Application body, see Structure of XML files for Euro-PCT(1200E2K) (p. 96)
EP1200XML	ep-euro-pct.xml	Application data, see Structure of XML files for Euro-PCT(1200E2K) (p. 96)
Amendments		
AMSPECEPO	AMSPECEPO-1.pdf	Amended specification (contains at least description and abstract)
CLMS-HWA	CLMS-HWA-1	Amended claims with annotations
DESC-HWA	DESC-HWA	Amended description with annotations
DRAW-HWA	DRAW-HWA-1	Amended drawings with annotations

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

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

6.3 Euro-PCT(1200E2K) EP Phase

6.3.1 EP Phase - Example 1: EPO as designated office

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

GUI EP(1200E2K) EP Phase

The screenshot shows the EPO Online Filing GUI for the EP Phase. The window title is "EPO Online Filing - Euro-PCT(1200E2K) - 1200_designated". The menu bar includes File, Edit, View, Tools, Windows, and Help. The toolbar has icons for saving, undo, redo, and help. The main area is titled "Euro-PCT(1200E2K) - Draft - 1200_designated" with a status bar indicating "Last saved on 23.11.2011". The "EP Phase" tab is active, showing options for "EPO as designated office" (selected) and "EPO as elected office". Below this, there are checkboxes for "Examination of the application under Article 94 EPC" (checked) and "Request for examination in an admissible non-EPO language". The "Past Record" section shows the language of the international publication as "English". The "International Searching Authority (ISA)" is set to "EP - European Patent Office (EPO)". The "International Preliminary Examining Authority (IPEA)" is set to "IPEA is EPO". The bottom status bar shows "Logged in as Administrator" and a notification area with 2 errors, 1 warning, and 5 information messages.

Figure 114: EP Phase GUI: EPO as designated office

Element list

- (1) User reference
- (2) EPO as designated office
- (3) Examination under Art. 94 EPC requested
- (4) Language of the international publication
 - ① 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.
- (5) PCT application number
- (6) PCT publication number
- (7) EP application number
- (8) International filing date (refers to PCT application number)
- (9) International Searching Authority (ISA)
- (10) IPEA is EPO is inferred; can only be modified if **EPO as elected office** is selected
- (11) Waiver, Rules 161(1) or (2) and 162 EPC

XML ep-euro-pct.xml

```

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

```

Figure 115: EP Phase XML: general data and priority claims

PDF epf1200.pdf

		Entry into the European phase (EPO as designated or elected Office) To the European Patent Office	
European application number	7	EP11080400.2	
PCT application number		PCT/US2011/123456	5
PCT publication number	6	WO2011123456	
Applicant's or representative's reference		1200_designated	1
International Filing Date	8	05.07.2011	
International Searching Authority (ISA)		EP	9
International Preliminary Examining Authority (IPEA)	10	not applicable	
1. Applicant			

Figure 116: 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.	☒ 3 ☐ ☐

Figure 117: EP Phase PDF: request for examination

[...]

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.	☐ ☒ 11

Figure 118: EP Phase PDF: waiver for communication Rule 161/162 EPC

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

GUI EP(1200E2K) EP Phase

EPO Online Filing - Euro-PCT(1200E2K) - 1200_elected

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - 1200_elected 1 Last saved on 23.11.2011

EP Phase Names States Biological Material Documents Fee Payment Annotations

Entry into the European Phase

☐ EPO as designated office

☒ 2 EPO as elected office

Examination of the application under Article 94 EPC is hereby requested. The examination fee is being (has been, will be) paid. 3

☒ 4 Request for examination in an admissible non-EPO language 5 Spanish

Se solicita el examen de la solicitud según el artículo 94. 4

☒ 6 The applicant waives his right to be asked under Rule 70(2) EPC whether he wishes to proceed further with the application. 6

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

Past Record

The language of the international publication is: 7 Spanish

PCT Application Number: PCT/ES2011/987654

PCT Publication Number: WO2011987654

EP Application Number: EP11200302.5

International Filing Date: 3 August 2011 15

International Searching Authority (ISA)

8 ES Spanish Patent and Trademark Office

International Preliminary Examining Authority (IPEA)

9 ☐ IPEA other than EPO

☒ IPEA is EPO

Logged in as Administrator 2 1 6

Figure 119: 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) Waiver under Rule 70(2) EPC
- (7) Language of the international publication

① 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.

- (8) International Searching Authority (ISA)
- (9) International Preliminary Examining Authority (IPEA)

XML ep-euro-pct.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-euro-pct SYSTEM "ep-euro-pct-v1-06.dtd">
3  <ep-euro-pct lang="en" dtd-version="1.0" ro="EP" produced-by="applicant" date-produced="20111123 11:41:41"
   regional-phase-office="elected" amendments-enclosed="no">
4    <!--software_name eO 2-->
5    <!--software_version FMMNGR5072, EP122K5072, FM_FOP0205-->
6    <!--stylesheet_version 3-->
7    <!--fop_version Version 0.20.5-->
8    1 <file-reference-id>1200_elected</file-reference-id>
9    <request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby requested.</request-petition> 3
10   <parties>
11   <priority-claims>
12   <search-authority>
13   <isa>
14   8 <country>ES</country>
15   </isa>
16   </search-authority>
17   <check-list total-page-count="1">
18   <cl-request/>
19   <cl-claims number-of-claims=""/>
20   </check-list>
21   <ep-language-of-filing lang-code="es">en</ep-language-of-filing>
22   <ep-office-specific-data office="EP" lang="en">
23   5 <ep-request-for-exam-art94 lang="es"/>
24   <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
25   <ep-declarations>
26   6 <waiver-to-indicate-further-processing/>
27   </ep-declarations>
28   <translation-info>
29   <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
30   <fees date="20100401">
31   <standard-fee>
32   <fee-calc-info>
33   <search-region region="EP"/>
34   9 <IPEA ipea="other"/>
35   </fee-calc-info>
36   <fee-total-amount>2399</fee-total-amount>
37   </fees>
38   </ep-financial-data>
39   <ep-electronic-files doc-type="1001">
40   </ep-office-specific-data>
41   </ep-euro-pct>

```

Figure 120: EP Phase XML: general data, request in Spanish

PDF epf1200.pdf

European application number	EP11200302.5
PCT application number	PCT/ES2011/987654
PCT publication number	WO2011987654
Applicant's or representative's reference	1200_elected
International Filing Date	03.08.2011
International Searching Authority (ISA)	ES
International Preliminary Examining Authority (IPEA)	Other
1. Applicant	

Figure 121: EP Phase PDF: general data

[...]

4. Request for examination	
Examination of the application under Art. 94 EPC is hereby requested. The examination fee is being (has been, will be) paid.	☒
Request for examination in an admissible non-EPO language:	☒
	Se solicita el examen de la solicitud según el artículo 94.
The applicant waives his right to be asked under Rule 70(2) EPC whether he wishes to proceed further with the application.	☒

Figure 122: EP Phase PDF: request for examination in Spanish

6.4 Euro-PCT(1200E2K) Names

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

The **<parties>** element can contain **<applicants>** and **<agents>** (representative) elements, each with multiple **<applicant>** and **<ep-agent>** sub-elements - see also **Example 2** ("Names - Example 2: two applicants, two representatives, one inventor" p. 40) in the Names section for Form EP(1001E2K).

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

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

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

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

The screenshot shows the 'Names' tab in the EPO Online Filing application. The window title is 'EPO Online Filing - Euro-PCT(1200E2K) - 1200_employee'. The main area displays the 'Draft - 1200_employee' form. The 'Names' tab is selected, showing a list of applicants on the left and detailed data on the right. The applicant list includes 'TechInvent SA' (1) and 'Address for Correspondence' (2). The detailed data includes: Company (3) TechInvent SA, Department (4) Brevets, Country (6) FR France, Address (7) 34, place de la république, Telephone (11) +33 4 2568 10, Fax (12) +33 4 2568 97, e-mail (13) info@techinvent.fr, Postal code (8) 69008, City (9) Lyon, Region (10), and Residence (14) FR France. There are also checkboxes for 'Address for correspondence' (15) and 'TechInvent SA is represented by the following employee acting pursuant to Art. 133(3) EPC:' (16). The employee data includes Last name (17) Vallonier, Title (19) Ms, First name (18) Monique, and General authorisation (20) 11-VM6785. The status bar at the bottom shows 'Logged in as Administrator' and a notification area with 2 warnings, 1 error, and 5 information icons.

Figure 123: Names GUI: applicant and employee data

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

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

+ × 📄 📄 Applicants 🏢 TechInvent SA Address for Correspondence 15 🏢 TechInvent SA	Company:	3	TechInvent SA
	Department:	21	Affaires légales
	Country:	26	FR France
	Address:	22	B.p. 201
	Postal code:	25	69015
	City:	23	Lyon
	Region:	24	

Figure 124: 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) Registration number (not required)
- (6) Country
- (7) Street
- (8) Postal code
- (9) City
- (10) State, county or province (if applicable for selected country)
- (11) Telephone
- (12) Fax
- (13) E-mail
- (14) Country of residence
- (15) Address for correspondence is connected with the applicant 1
- (16) Applicant 1 - employee
- (17) Last name of employee
- (18) First name of employee
- (19) Title of employee
- (20) General authorisation of employee
- (21) Address for correspondence of applicant 1: department
- (22) Street
- (23) City
- (24) State, county or province (if applicable for selected country)
- (25) Postal code
- (26) Country (must be an EPC contracting state)

XML ep-euro-pct.xml

```

8      <file-reference-id>1200_employee</file-reference-id>
9      <request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby requested.</request-petition>
10     <parties>
11     1 <applicants>
12     2 <applicant sequence="1" designation="as-indicated" app-type="applicant">
13     <addressbook lang="en">
14     3 <name name-type="legal">TechInvent SA</name>
15     <registered-number>445577889</registered-number> 5
16     <address>
17     4 <address-2>Brevets</address-2>
18     <street>34, place de la r#233;publique</street> 7
19     9 <city>Lyon</city>
20     <state></state> 10
21     8 <postcode>69008</postcode>
22     <country>FR</country> 6
23     </address>
24     11 <phone>+33 4 2568 10</phone>
25     <fax>+33 4 2568 97</fax> 12
26     13 <email>info@techninvent.fr</email>
27     </addressbook>
28     <nationality>
31     <residence>
32     14 <country>FR</country>
33     </residence>
34     </applicant>
35     16 <applicant sequence="1" app-type="employee" designation="as-indicated">
36     <addressbook lang="en">
37     <prefix>Ms</prefix> 19
38     17 <last-name>Vallonier</last-name>
39     <first-name>Monique</first-name> 18
40     20 <iid>11-VM6785</iid>
41     <address>
42     <postcode/>
43     <country/>
44     </address>
45     </addressbook>
46     <nationality>
47     <country>EP</country>
48     </nationality>
49     <residence>
50     <country>EP</country>
51     </residence>
52     </applicant>
53     </applicants>
54     <correspondence-address>

```

Figure 125: Names XML: data for applicant and employee

$$[\dots]$$

```

53 </applicants>
54 15 <correspondence-address>
55  <addressbook lang="en">
56    <name name-type="legal"/>
57    <registered-number/>
58    <address>
59      3 <address-1>TechInvent SA</address-1>
60      <address-2>Affaires l&#233;gales</address-2> 21
61      22 <street>B.p. 201</street>
62      <city>Lyon</city> 23
63      24 <state></state>
64      <postcode>69015</postcode> 25
65      26 <country>FR</country>
66    </address>
67  </addressbook>
68 </correspondence-address>
69 </parties>
70 <priority-claims>

```

Figure 126: Names XML: address for correspondence data

PDF epf1200.pdf

1. Applicant

Indications concerning the applicant(s) are contained in the international publication or were recorded by the International Bureau after the international publication.

1 Changes which have not yet been recorded by the International Bureau are set out here:

2 Applicant 1

Name: TechInvent SA 3

Department: Brevets 4

Address: 34, place de la république 7

69008 Lyon 8

France 6

Telephone: +33 4 2568 10 11

Fax: +33 4 2568 97 12

e-mail: info@techinvent.fr 13

Name: Vallonier, M^{me} Monique 17 19 18

Authorisation: 11-VM6785 20

Address: TechInvent SA 3

21 Affaires légales

22 B.p. 201

69015 Lyon 25

France 26

Figure 127: Names PDF: applicant, employee and address for correspondence

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

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

EPO Online Filing - Euro-PCT(1200E2K) - 1200_XML

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - 1200_XML Last saved on 23.11.2011

EP Phase ③ Names States ③ Biological Material Documents Documents Fee Payment ⚠ Annotations

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

Applicants

- 1 TechInvent SA
- 2 Representatives
- 3 IP Partners

Name and address | Authorisation

Company: 4 IP Partners

Department: 5 European Patents Association: 7 15

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

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

Postal code: 10 CB2 1AB e-mail: 15 office@ip-partners.co.uk

City: 11 Cambridge

GB County: 12 Greater London

Logged in as Administrator

Figure 128: Names GUI: details of representative 1

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

Name and address | Authorisation

☒ General Authorisation

☐ An individual authorisation is attached.

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

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

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

Figure 129: Names GUI: authorisation for representative 1

Element list

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

XML ep-euro-pct.xml

```

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

```

Figure 130: Names XML: data for representative 1 (agent)

PDF epf1200.pdf

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

Figure 131: Names PDF: representative and authorisation

6.5 Euro-PCT(1200E2K) States

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

The latest version of the EPC can be found on the EPO website under **Law & practice > Legal texts > European Patent Convention** (<http://www.epo.org/law-practice/legal-texts/epc.html>).

- ◆ All designation states are automatically selected; it is not possible to exclude individual states.
- ◆ The extension states can be selected individually, see also **EP(1001E2K) States** (p. 49) for further details.

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

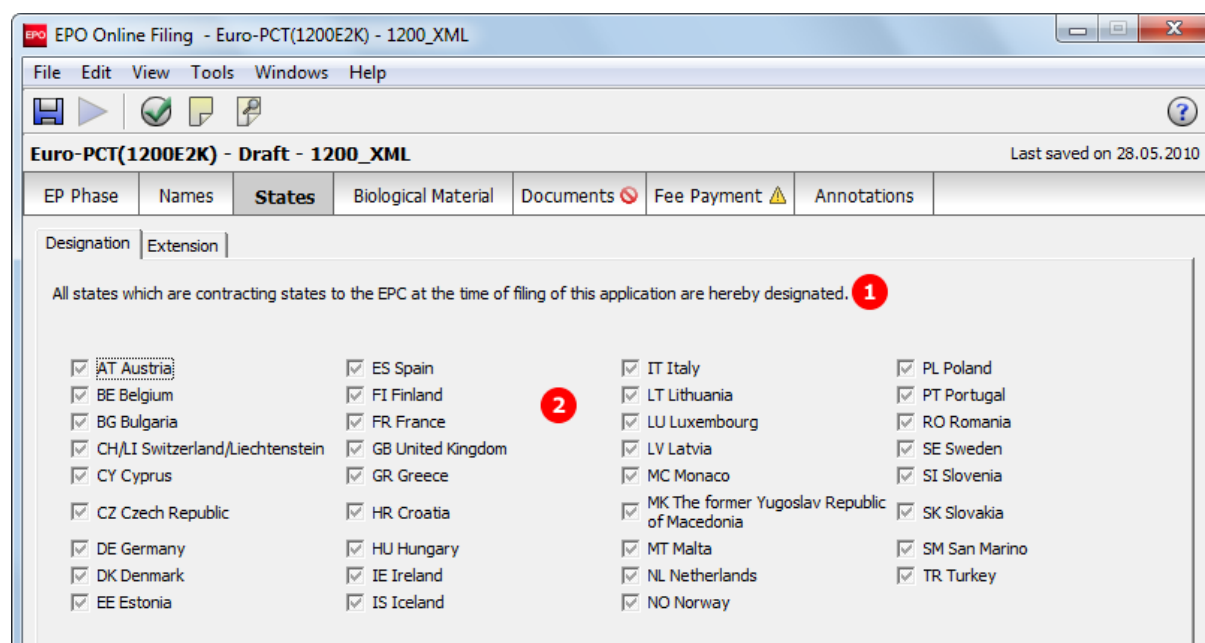


Figure 132: States GUI: all contracting states designated

Element list

- (1) All states are designated
- (2) Country list corresponding to the international filing date
 - ① **NOTE:** In the GUI, CH and LI are considered to be one state, but in the XML code and the PDF form, they are two separate **<country>** elements.
- (3) Designation of extension states
- (4) Country
- (5) Country
- (6) Country

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

EPO Online Filing - Euro-PCT(1200E2K) - 1200_XML

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - 1200_XML Last saved on 28.05.2010

EP Phase Names States **Biological Material** Documents Fee Payment Annotations

1 09-Inst3412

The invention uses and/or relates to biological material which has been deposited under Rule 31.

Deposit details Further details

Identification reference: 2 09-Inst3412

Depository institution: 3 Collection nationale de cultures de micro-organismes

Name and address: 4 Institut Pasteur, 28, rue du Dr Roux, 75724 Paris Cedex 15, France

Accession number: 5 CNCM

6 ☒ The particulars referred to in Rule 31(1)(c) (if not yet known, the deposit institution and the identification reference(s) [number, symbols, etc.] of the depositor) are given in the international publication or in the translation submitted on

Page(s) 7 14 Line(s) 8 1200-1250

Logged in as Administrator

Figure 135: Biological Material GUI: Deposit details

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

The invention uses and/or relates to biological material which has been deposited under Rule 31.

Deposit details Further details

A copy of the receipt(s) of deposit issued by the depository institution:

9 ☒ is attached 10 BIOM-RECEIPT-1.pdf

☐ will be filed at a later date

11 Waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC attached.

12 BIOM-WAIV-1.pdf

Figure 136: Biological Material GUI: Further details

Element list

- (1) Deposit 1
- (2) Identification reference
- (3) Depositary institution (full name in GUI is retrieved from OLF database)
- (4) Depositary 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

84	<ep-office-specific-data office="EP" lang="en">
85	<ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
134	<ep-biological-material id="bio1" num="CNCM" dnum="09-Inst3412">
135	(2) <depositary>CNCM (1) (3)
136	<address>
137	(4) <address-1>Institut Pasteur, 28, rue du Dr Roux, 75724 Paris Cedex 15, France</address-1>
138	<postcode/>
139	<country/>
140	</address>
141	</depositary>
142	<bio-accno>CNCM</bio-accno> (5)
143	(9) <bio-receipt>BIOM-RECEIPT-1.pdf</bio-receipt>
144	<bio-waiver>BIOM-WAIV-1.pdf</bio-waiver> (11)
145	(6) <ep-biological-material-reference>
146	<ep-bio-references-page>14</ep-bio-references-page> (7)
147	<ep-bio-references-lines>1200-1250</ep-bio-references-lines> (8)
148	</ep-biological-material-reference>
149	</ep-biological-material>
150	<translation-info>
157	<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
360	<ep-electronic-files doc-type="1001">
364	<ep-electronic-files doc-type="BIOMRECEIPT"> (13)
365	<applicant-file-name>bio_receipt.pdf</applicant-file-name> (14)
366	(10) <epo-file-name>BIOM-RECEIPT-1.pdf</epo-file-name>
367	</ep-electronic-files>
368	<ep-electronic-files doc-type="BIOMWAIV"> (15)
369	<applicant-file-name>bio_waiver.pdf</applicant-file-name> (16)
370	(12) <epo-file-name>BIOM-WAIV-1.pdf</epo-file-name>
371	</ep-electronic-files>
372	</ep-office-specific-data>
373	</ep-euro-pct>

Figure 137: Biological Material XML: deposit details and documents

PDF epf1200.pdf

8. Biological material 1 Deposit 1 The invention uses and/or relates to biological material deposited under Rule 31 EPC. The particulars referred to in Rule 31(1)(c) EPC (if not yet known, the depository institution and the identification reference(s)) [number, symbols, etc.] of the depositor) are given in the international publication or in the translation submitted in Section 7 on: page(s) / line(s) The receipt(s) of deposit issued by the depository institution is (are) enclosed. will be filed later. Waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC attached.	☒ 6 7 8 page(s): 14, line(s): 1200-1250 ☒ 9 ☐ ☒ 11

Figure 138: Biological Material PDF: details for deposit 1

[...]

12. List of enclosed documents			
	Description of document	Original file name	Assigned file name
9	1 A copy of the receipt(s) of deposit issued by the depository institution:	14 bio_receipt.pdf	10 BIOM-RECEIPT-1.pdf
11	2 A waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC is attached.	16 bio_waiver.pdf	12 BIOM-WAIV-1.pdf

Figure 139: Biological Material PDF: enclosed documents

6.7 Euro-PCT(1200E2K) Documents

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

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

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

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

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

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

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

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

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

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

For naming conventions, see the list of document names required by the EPO in **Document codes and file types for Euro-PCT(1200E2K)** (p. 96).

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's website under **Online services > Online filing > Download documentation** (<http://www.epo.org/applying/online-services/online-filing/documentation.html>).

6.7.1 Proceedings

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

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

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

EPO Online Filing - Euro-PCT(1200E2K) - 1200_elected

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - 1200_elected Last saved on 23.11.2011

EP Phase Names States Biological Material Documents Fee Payment Annotations

Proceedings Amendments and Translations Document Overview Sequence Listings Additional Documents

Documents to be used in proceedings before the EPO

Proceedings before the EPO as elected Office (PCT II) are to be based on:

The documents on which the international preliminary examination report is based, including any annexes

☒ Enclosed amendments

Declaration

Priority Document(s):

☒ It is hereby declared that the international application as originally filed is a complete translation of the previous application (Rule 53(3) EPC)

Use of test reports

☒ 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.

Logged in as Administrator

Figure 140: Documents GUI: general settings in Proceedings sub-tab

Element list

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

XML ep-euro-pct.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-euro-pct SYSTEM "ep-euro-pct-v1-06.dtd">
3  <ep-euro-pct lang="en" dtd-version="1.0" ro="EP" produced-by="applicant" date-produced="20111123 16:21:10"
    regional-phase-office="elected" amendments-enclosed="yes">
4      <!--software_name eOLF-->
5      <!--software_version FMMNGR5072, EP122K5072, FM_FOP0205-->
6      <!--stylesheet_version 3-->
7      <!--fop_version Version 0.20.5-->
8      <file-reference-id>1200_elected</file-reference-id>
9      <request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby requested.</request-petition>
10     <parties>
11     <priority-claims>
12     <search-authority>
13     <check-list total-page-count="1">
14     <ep-language-of-filing lang-code="ko">en</ep-language-of-filing>
15     <ep-office-specific-data office="EP" lang="en">
16     <ep-request-for-exam-art94 lang="es"/>
17     <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
18     <ep-declarations>
19     <translation-info>
20         <tr-inter-appl>0</tr-inter-appl>
21         <tr-prio-appl>0</tr-prio-appl>
22         <tr-originally-filed>1</tr-originally-filed>
23         <tr-amended-claims>0</tr-amended-claims>
24         <tr-annexes>0</tr-annexes>
25     </translation-info>
26     <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
27         <fees date="20100401">
28             <standard-fee>
29             <fee-calc-info>
30             <search-region region="EP"/>
31             <IPEA ipea="EP"/>
32             </fee-calc-info>
33             <fee-total-amount>1807</fee-total-amount>
34         </fees>
35     </ep-financial-data>
36     <ep-electronic-files doc-type="1001">
37     </ep-office-specific-data>
38 </ep-euro-pct>

```

Figure 141: Documents XML: options for proceedings

PDF epf1200.pdf

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. <i>Where necessary, clarifications should be attached as 'Other documents'</i> 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. <i>Where necessary, clarifications should be attached as 'Other documents'</i> If the EPO as International Preliminary Examining Authority has been supplied with test reports, these may be used as the basis of proceedings before the EPO. 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.	☐ ☐ ☐ ☒ 1 ☒ 3 ☐ ☐
7. Translations Translations in one of the official languages of the EPO (English, French, German) are attached as crossed below: <i>* In proceedings before the EPO as designated or elected Office (PCT I + II):</i> Translation of the international application (description, claims, any text in the drawings) as originally filed, of the abstract as published and of any indication under Rule 13bis.3 and 13bis.4 PCT regarding biological material Translation of the priority application(s) (to be filed only at the EPO's request, Rule 53(3) EPC) It is hereby declared that the international application as originally filed is a complete translation of the previous application (Rule 53(3) EPC) <i>* In addition, in proceedings before the EPO as designated Office (PCT I):</i> Translation of amended claims and any statement under Art. 19 PCT, if the claims as amended are to form the basis for the proceedings before the EPO (see Section 6). <i>* In addition, in proceedings before the EPO as elected Office (PCT II):</i> Translation of annexes to the international preliminary examination report	☒ 4 ☐ ☐ ☒ 2 ☐ ☐

Figure 142: Documents PDF: documents for proceedings and translations

6.7.2 Documents - Example 1: Amendments

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

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

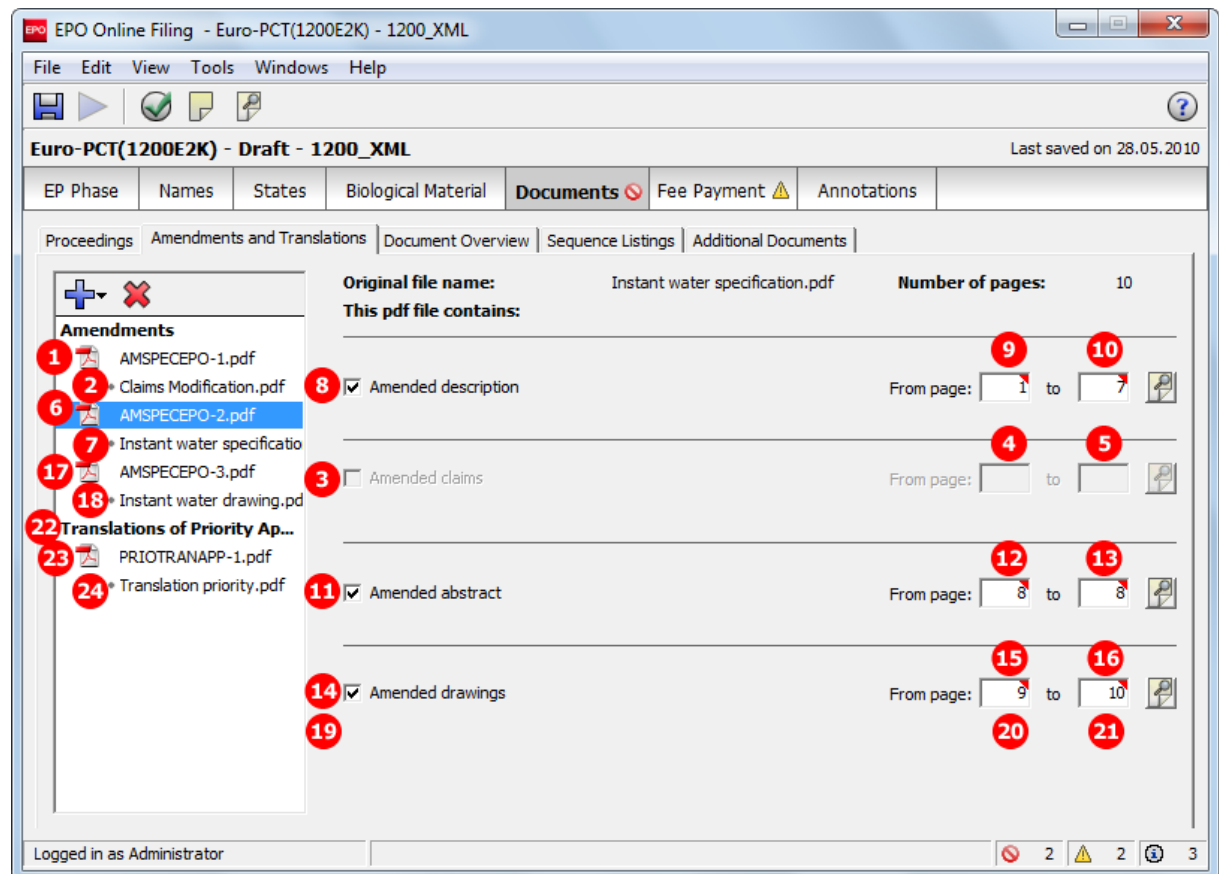


Figure 143: Documents GUI: amendments attached

Element list

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

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

XML ep-euro-pct.xml

57	<priority-claims>	
74	<search-authority>	
79	<check-list total-page-count="1">	
80	<cl-request/>	
81	<cl-claims number-of-claims=""/>	12 13 6
82	<cl-abstract page-count="1" ppf="8" ppl="8">AMSPECEPO-2.pdf</cl-abstract>	11
83	</check-list>	
84	<ep-language-of-filing lang-code="en">en</ep-language-of-filing>	
85	<ep-office-specific-data office="EP" lang="en">	
86	<ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">	
135	<ep-biological-material id="bio1" num="CNCM" dnum="09-Inst3412">	
151	<translation-info>	
152	<tr-inter-appl>0</tr-inter-appl>	
153	<tr-prio-appl>1</tr-prio-appl>	22
154	<tr-originally-filed>0</tr-originally-filed>	
155	<tr-amended-claims>0</tr-amended-claims>	
156	<tr-annexes>0</tr-annexes>	
157	</translation-info>	
158	<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">	
159	<fees date="20100401">	
360	</ep-financial-data>	
361	<ep-electronic-files doc-type="1001">	
365	<ep-electronic-files doc-type="AMSPECEPO">	
366	<applicant-file-name>Claims Modification.pdf</applicant-file-name>	2
367	<epo-file-name>AMSPECEPO-1.pdf</epo-file-name>	1
368	</ep-electronic-files>	
369	<ep-electronic-files doc-type="AMSPECEPO">	
370	<applicant-file-name>Instant water specification.pdf</applicant-file-name>	7
371	<epo-file-name>AMSPECEPO-2.pdf</epo-file-name>	6
372	</ep-electronic-files>	
373	<ep-electronic-files doc-type="AMSPECEPO">	
374	<applicant-file-name>Instant water drawing.pdf</applicant-file-name>	18
375	<epo-file-name>AMSPECEPO-3.pdf</epo-file-name>	17
376	</ep-electronic-files>	
377	<ep-electronic-files doc-type="PRIOTRANAPP">	
378	<applicant-file-name>Translation priority.pdf</applicant-file-name>	24
379	<epo-file-name>PRIOTRANAPP-1.pdf</epo-file-name>	23
380	</ep-electronic-files>	
381	<ep-electronic-files doc-type="BIOMRECEIPT">	
385	<ep-electronic-files doc-type="BIOMWAIV">	
389	</ep-office-specific-data>	
390	</ep-euro-pct>	

Figure 144: Documents XML: amendments and translation of priority application

```

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

```

12. List of enclosed documents		Original file name	Assigned file name
1	Combined Amendments	2 Claims Modification.pdf	1 AMSPECEPO-1.pdf
2	Combined Amendments	7 Instant water specification.pdf	6 AMSPECEPO-2.pdf
3	Combined Amendments	18 Instant water drawing.pdf	17 AMSPECEPO-3.pdf
4	Translation of the priority application(s)	24 Translation priority.pdf	23 PRIOTRANAPP-1.pdf
5	A copy of the receipt(s) of deposit issued by the depository institution:	bio_receipt.pdf	BIOM-RECEIPT-1.pdf
6	A waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC is attached.	bio_waiver.pdf	BIOM-WAIV-1.pdf

6.7.3 Documents - Example 2: Translations

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

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

The screenshot shows the EPO Online Filing GUI for Euro-PCT(1200E2K) - Draft - 1200_elected. The 'Documents' sub-tab is active. On the left, a list of files is shown: 'SPECTRANEO-1.pdf' (1), 'Instant water.pdf' (2), 'IPERTRAN.pdf' (15), and 'Translation Annex.pdf' (16). The right panel displays details for 'Instant water.pdf' (3), including its original file name (4), number of pages (5), and a list of translations (6-14) with checkboxes and page ranges (7-14). The status bar at the bottom indicates 'Logged in as Administrator' and shows 2 errors, 2 warnings, and 4 information messages.

Figure 147: Documents GUI: translations of documents attached

Element list

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

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

XML ep-euro-pct.xml

```

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

```

Figure 148: Documents XML: files, file names and document types listed

XML application-body.xml

```

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

```

Figure 149: Documents XML: Translations of original application attached

PDF epf1200.pdf

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

Figure 150: 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: <i>* In proceedings before the EPO as designated or elected Office (PCT I + II):</i> Translation of the international application (description, claims, any text in the drawings) as originally filed, of the abstract as published and of any indication under Rule 13bis.3 and 13bis.4 PCT regarding biological material ☒ 17 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) ☒ <i>* In addition, in proceedings before the EPO as designated Office (PCT I):</i> Translation of amended claims and any statement under Art. 19 PCT, if the claims as amended are to form the basis for the proceedings before the EPO (see Section 6). ☐ <i>* In addition, in proceedings before the EPO as elected Office (PCT II):</i> Translation of annexes to the international preliminary examination report ☒ 18	

Figure 151: Documents PDF: checklist for translations

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

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

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

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

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

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

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

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

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

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

Overview | Description | Claims | Drawings

Total number of pages - description:	15
Total number of pages - claims: +	4
Total number of pages - drawings: +	3
default one page - abstract: +	1 1
Total number of pages:	23 2

Figure 152: Documents GUI: document overview with total number of pages

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

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

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

Please note:

- ◆ If the language of the international publication (indicated in the **EP Phase** tab) is either English, German or French, the option for translation 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.

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

Overview | Description | Claims | Drawings

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

Part	Pages from...to...	Number of pages
☒ International application as published	1-8	8
☐ Translation of international application as published		
☐ Art. 34 PCT amendments		
☒ Amendments on entry into the European phase	1-7	7
Total number of pages - description:		15

Figure 153: Document overview GUI: documents comprising the description

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

The number of claims (12) on entry into the European phase is entered here.

Please note:

- ◆ If the language of the international publication (indicated in the **EP Phase** tab) is either English, German or French, the option for translation 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.
- ◆ Selection of the option **Amendments on entry into the European** phase disables all remaining options.

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

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

Overview | Description | Claims | Drawings

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

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

Part	Pages from...to...	Number of pages
☐ International application as published		
☐ Translation of international application as published		
☐ Art. 19 PCT amendments		
☐ Art. 34 PCT amendments		
10 ☒ Amendments on entry into the European phase	11 1-4	4 9
Total number of pages - claims:		4

Figure 154: Document overview GUI: documents comprising the claims

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

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

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

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

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

Overview | Description | Claims | Drawings

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

Part	Pages from...to...	Number of pages
14 ☒ International application as published	15 13-15	2 13
☐ Translation of international application as published		
☐ Art. 34 PCT amendments		
17 ☒ Amendments on entry into the European phase	18 1-1	1 16
Total number of pages - drawings:		3

Figure 155: 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) Page count of drawings: International application as published
- (14) Drawings: International application as published
- (15) Page range of (14)
- (16) Page count of drawings: Amendments on entry into the European phase
- (17) Drawings: Amendments on entry into the European phase
- (18) Page range of (17)
- (19) Number of pages to be paid
- (20) Fee schedule for fee 520
- (21) 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-claim>** and **<cl-drawing>**. 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. 303).

Please note:

- ◆ The number of claims can be found in the **number-of-claims** attribute (12) in a separate **<cl-claim>** element.
- ◆ The check-list also contains the page count of the amended abstract attached under **Amendments and Translations** (line 65 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.

54	<search-authority>	
59	<check-list total-page-count="23">	2
60	<cl-request/>	
61	<cl-description page-count="8" phase="international-application-as-filed" application-pages="1-8"/>	3 4 5
62	<cl-description page-count="7" phase="entry-into-regional-phase" application-pages="1-7"/>	6 7 8
63	<cl-claims page-count="4" phase="entry-into-regional-phase" application-pages="1-4"/>	9 10 11
64	<cl-claims number-of-claims="20"/>	12
65	<cl-abstract page-count="2" ppf="1" ppl="2">AMSPECEPO-3.pdf</cl-abstract>	13 14
66	<cl-drawings page-count="2" phase="international-application-as-filed" application-pages="13-15"/>	15 16 17 18
67	<cl-drawings page-count="1" phase="entry-into-regional-phase" application-pages="1-1"/>	
68	</check-list>	
69	<ep-language-of-filing lang-code="en">en</ep-language-of-filing>	
70	<ep-office-specific-data office="EP" lang="en">	
71	<ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">	
115	<ep-declarations>	
118	<translation-info>	
125	<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">	
328	<ep-electronic-files doc-type="1001">	
332	<ep-electronic-files doc-type="AMSPECEPO">	
336	<ep-electronic-files doc-type="AMSPECEPO">	
340	<ep-electronic-files doc-type="AMSPECEPO">	
344	<ep-electronic-files doc-type="AMSPECEPO">	

Figure 156: 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. The **user-input** attribute is not used anymore since the April 1 2010 update.

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.

314	<fee index="520" topay="yes">	
315	<type-of-fee>standard</type-of-fee>	
316	<fee-factor user-input="">0</fee-factor>	19
317	<fee-schedule>0</fee-schedule>	20
318	<fee-sub-amount>13</fee-sub-amount>	21
319	</fee>	
320	</standard-fee>	

Figure 157: Fees XML: fee factor and fee-sub-amount calculated from the document overview

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

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

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

Figure 158: Document overview PDF: separate table listing all documents intended for proceedings with relevant page numbers

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

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

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

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

Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):	
Overview Description Claims Drawings	
Total number of pages - description:	18
Total number of pages - claims: +	10
Total number of pages - drawings: +	8
default one page - abstract: +	1 1
Total number of pages:	37 2

Figure 159: Documents GUI: document overview with total number of pages

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

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

Please note:

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

Part	Pages from...to...	Number of pages
☐ International application as published		
☒ Translation of international application as published	1-15	15
☒ Translation of Art. 34 PCT amendments	1-3	3
☐ Amendments on entry into the European phase		
Total number of pages - description:		18

Figure 160: Document overview GUI: documents comprising the description

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

The number of claims (9) on entry into the European phase is entered here. The translation of the international application, also containing the translated claims, has been attached under **Amendments and Translations**.

Please note:

- ◆ The number of pages of the translation of the international application (10) is not accounted for the filing fee, but the relevant number of pages containing the claims in the original application has to be indicated; even if these are less or more pages than the translation.
- ◆ The option **Amendments on entry into the European phase** is only possible if none of the other four options has been checked.

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

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

Overview | Description | Claims | Drawings

Number of claims on entry into the European phase: **9**

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

Part	Pages from...to... of translated documents	Number of pages as published by WIPO or other amendments
☐ International application as published		
12 ☒ Translation of international application as published	11 16-20	
14 ☒ Art. 19 PCT amendments	15	5 13
17 ☒ Art. 34 PCT amendments	18	5 16
☐ Amendments on entry into the European phase		
Total number of pages - claims:		10

Figure 161: Document overview GUI: documents comprising the claims

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

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

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

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

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

Overview | Description | Claims | Drawings

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

Part	Pages from...to...	Number of pages
☐ International application as published		
20 ☒ Translation of international application as published	21 21-24	4 19
22 ☒ Translation of Art. 34 PCT amendments	23 1-4	4 24
☐ Amendments on entry into the European phase		
Total number of pages - drawings:		8

Figure 162: 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: Translation of international application as published
- (4) Description: Translation of international application as published
- (5) Page range of (4)
- (6) Page count of description: Translation of Art. 34 PCT amendments
- (7) Description: Translation of Art. 34 PCT amendments
- (8) Page range of (7)
- (9) Number of claims on entry into the European phase
- (10) Page count of claims: Translation of international application as published
- (11) Claims: Translation of international application as published
- (12) Page range of (10)
- (13) Page count of claims: Art. 19 PCT amendments
- (14) Claims: Art. 19 PCT amendments
- (15) Page range of (14)
- (16) Page count of claims: Art. 34 PCT amendments
- (17) Claims: Art. 34 PCT amendments
- (18) Page range of (17)
- (19) Page count of drawings: Translation of international application as published
- (20) Drawings: Translation of international application as published
- (21) Page range of (20)
- (22) Page count of drawings: Translation of Art. 34 PCT amendments
- (23) Drawings: Translation of Art. 34 PCT amendments
- (24) Page range of (23)
- (25) Number of pages to be paid
- (26) Fee schedule for fee 520
- (27) 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-claim>** and **<cl-drawing>**. 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. 303).

Please note:

- ♦ The number of claims can be found in the **number-of-claims** attribute (9) in a separate **<cl-claim>** element.
- ♦ The **phase** attribute value for Art. 19 PCT amendments is **amendments-after-international-srep** (17).
- ♦ The **phase** attribute value for Art. 34 PCT amendments is **amendments-during-international-exam** (14).
- ♦ The **phase** attribute value for translation of Art. 34 PCT amendments is **translation-of-amendments-during-international-exam** (4, 23).

- ◆ The check-list also contains the page count of the translated abstract attached under **Amendments and Translations** (line 88 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.

58	<priority-claims>	
75	<search-authority>	
80	<check-list total-page-count="37">	2
81	<cl-request/>	3
82	<cl-description page-count="3" phase="translation-of-amendments-during-international-exam" application-pages="1-3"/>	4 5
83	<cl-description page-count="15" phase="translation-of-international-application" application-pages="1-15"/>	6 7 8
84	<cl-claims page-count="" phase="translation-of-international-application" application-pages="16-20"/>	10 11 12
85	<cl-claims page-count="5" phase="amendments-during-international-exam" application-pages="1-5"/>	13 14 15
86	<cl-claims page-count="5" phase="amendments-after-international-srep" application-pages="1-5"/>	16 17 18
87	<cl-claims number-of-claims="25"/>	9
88	<cl-abstract page-count="1" ppf="9" ppl="9">SPECTRANEPO-1.pdf</cl-abstract>	19 20 21
89	<cl-drawings page-count="4" phase="translation-of-international-application" application-pages="21-24"/>	22 23 24
90	<cl-drawings page-count="4" phase="translation-of-amendments-during-international-exam" application-pages="1-4"/>	
91	</check-list>	
92	<ep-language-of-filing lang-code="es">en</ep-language-of-filing>	
93	<ep-office-specific-data office="EP" lang="en">	
94	<ep-request-for-exam-art94 lang="es"/>	
95	<ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">	
139	<ep-declarations>	
143	<translation-info>	
150	<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">	
354	<ep-electronic-files doc-type="1001">	
358	<ep-electronic-files doc-type="SPECTRANEPO">	
362	<ep-electronic-files doc-type="PRIOTRANAPP">	
366	<ep-electronic-files doc-type="IPERTRAN">	
370	<ep-electronic-files doc-type="OLF-ARCHIVE">	
374	</ep-office-specific-data>	
375	</ep-euro-pct>	

Figure 163: 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. The **user-input** attribute is not used anymore since the April 1 2010 update and can be omitted.

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.

314	<fee index="520" topay="yes">	
315	<type-of-fee>standard</type-of-fee>	
316	<fee-factor user-input="">0</fee-factor>	25
317	<fee-schedule>0</fee-schedule>	26
318	<fee-sub-amount>13</fee-sub-amount>	27
319	</fee>	
320	</standard-fee>	

Figure 164: Fees XML: fee factor and fee-sub-amount calculated from the document overview

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

The document pages are compiled on a separate page in the PDF form. The **total amount payable** (26) is calculated from the **total number of pages** (2) minus 35 **fee-exempt pages** multiplied by the current fee for one exceed page (27).

Table for section 6 of Form 1200.3			
In accordance with the Notice from the European Patent Office dated 26 January 2009 concerning the 2009 fee structure (OJ EPO 2009, 118, and Guidelines for Examination in the EPO, April 2009, A-III, 13.2), the amount of the additional fee (Art. 2, item 1a, Rules relating to Fees) for the pages of this European patent application is calculated as follows:			
Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):			
Description:		Page(s) from ... to ...	Number of pages
4 Translation of international application as published		1-15 5	15 3
7 Amendments under Art. 34 PCT		1-3 8	3 6
Claims:			
12 Translation of international application as published		16-20 11	10
15 Amendments under Art. 19 PCT		1-5 14	5 13
17 Amendments under Art. 34 PCT		1-5 18	5 16
Drawings:			
20 Translation of international application as published		21-24 21	4 19
23 Amendments under Art. 34 PCT		1-4 24	4 22
Abstract:	Default count: one page		1 1
Total number of pages			37 2
Fee-exempt pages (Art. 2, item 1a, RFees)			-35
Number of pages to be paid for			2 25
			27 (x 13 EUR per page)
Total amount payable	EUR		26 26

Figure 165: 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. 140). 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. 80) in the section about form EP(1001E2K).

The screenshot shows the 'Sequence Listings' sub-tab in the EPO Online Filing GUI. It contains a series of steps to attach a sequence listing:

- 1. ☒ The international application contains a sequence listing as part of the description.
- 2. ☒ The sequence listing is attached:
 - 3. ☒ In computer-readable format in accordance with WIPO Standard ST.25
 - WIPO ST.25 file: SEQLTXT.zip
 - ☐ In PDF format
 - PDF file: No file selected
- 6. ☒ Declaration: The sequence listing does not include matter that goes beyond the content of the application as filed.

Figure 166: Documents GUI: sequence listing in computer-readable format is attached

Element list

- (1) International application contains sequence listings as part of description
- (2) Sequence listing is attached
- (3) Sequence listing is attached in computer-readable format
- (4) Original file name of sequence listing in ZIP format (not displayed in GUI)
- (5) EPO file name for sequence listings in ZIP format
- (6) Sequence listing does not include matter that goes beyond content of application as filed

XML ep-euro-pct.xml

```

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

```

Figure 167: Documents XML: data of sequence listing attached

PDF epf1200.pdf

9. Nucleotide and amino acid sequences The international application contains a sequence listing as part of the description 9.1 The sequence listing was filed under Rule 5.2(a) PCT, or furnished to the EPO as ISA under Rule 13ter.1(a) PCT, or is otherwise available to the EPO, in computer-readable format in accordance with WIPO ST.25. 9.2 The sequence listing is attached in computer-readable format in accordance with WIPO Standard ST.25 The sequence listing is attached in PDF format. The sequence listing does not include matter which goes beyond the content of the application as filed.	☒ 1 ☐ ☒ 2 ☐ ☒ 6

Figure 168: Documents PDF: details of nucleotide and amino acid sequences

[...]

12. List of enclosed documents			
	Description of document	Original file name	Assigned file name
1	Combined Amendments	Filtro motore disegno_DE.pdf	AMSPCEPO-1.pdf
2	SEQLZIP 3	SEQUENCES_SAMPLE.zip 4	SEQLTXT.zip 5
3	Reply to written opinion on IPER	Reply.pdf	REPLYWO-1.pdf
4	General authorisation	Authorization Nano.pdf	GENAUTH-1.pdf
13. Mode of payment: Not specified			

Figure 169: Documents PDF: list of enclosed documents with sequence listing

6.7.7 Sequence listings in PDF format

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

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

Figure 170: Documents GUI: sequence listing has been attached as PDF file

Element list

- (1) International application contains sequence listings as part of description
- (2) Sequence listing as part of description is attached
- (3) Document code for sequence listing in PDF format
- (4) EPO file name for sequence listings in PDF format
- (5) Original file name of sequence listing in PDF format (not displayed in GUI)

XML ep-euro-pct.xml

```

80  <check-list total-page-count="34">
81    <cl-request/>
82    <cl-description page-count="20" phase="international-application-as-filed" application-pages="1-20"/>
83    <cl-claims page-count="7" phase="international-application-as-filed" application-pages="21-27"/>
84    <cl-claims number-of-claims="26"/>
85    <cl-drawings page-count="6" phase="entry-into-regional-phase" application-pages="1-6"/>
86    <cl-sequence-listing quantity="1" page-count="4" seq-type="pdf">SEQLPDF.pdf</cl-sequence-listing>
87  </check-list>
88  <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
89  <ep-office-specific-data office="EP" lang="en">
90    <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
134  <ep-declarations>
135    <1>declaration-application-contains-sequence-listing furnishment-of-sequence-listing="attached">
136  </ep-declarations>
137  <translation-info>
144  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
347  <ep-electronic-files doc-type="1001">
351  <ep-electronic-files doc-type="AMSPECEPO">
355  <ep-electronic-files doc-type="SEQL">3
356  <4>applicant-file-name>sequence listings.pdf</applicant-file-name>
357  <epo-file-name>SEQLPDF.pdf</epo-file-name> 5
358  </ep-electronic-files>
359  <ep-electronic-files doc-type="DRAW-HWA">
363  </ep-office-specific-data>
364  </ep-euro-pct>

```

Figure 171: Documents XML: sequence listing PDF file referenced in ep-request.xml file

PDF epf1200.pdf

9. Nucleotide and amino acid sequences The international application contains a sequence listing as part of the description 9.1 The sequence listing was filed under Rule 5.2(a) PCT, or furnished to the EPO as ISA under Rule 13ter.1(a) PCT, or is otherwise available to the EPO, in computer-readable format in accordance with WIPO ST.25. 9.2 The sequence listing is attached in computer-readable format in accordance with WIPO Standard ST.25 The sequence listing is attached in PDF format. The sequence listing does not include matter which goes beyond the content of the application as filed.	☒ 1 ☐ ☐ ☒ 2 ☐

Figure 172: Documents PDF: the type of sequence listing is indicated

[...]

12. List of enclosed documents			
	Description of document	Original file name	Assigned file name
1	Combined Amendments	Filtro motore disegno_DE.pdf	AMSPECEPO-1.pdf
2	The sequence listing as part of the description is attached: In PDF format 3	sequence listings.pdf 4	SEQLPDF.pdf 5
3	Amended drawings with annotations	Drawings amended annotations.pdf	DRAW-HWA.pdf

Figure 173: Documents PDF: sequence listing PDF file indicated under list of enclosed documents

6.7.8 Sequence listings available to the EPO

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

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

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

☒ **1** The international application contains a sequence listing as part of the description.

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

☐ The sequence listing is attached:

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

☐ In PDF format
 PDF file: No file selected

Figure 174: Documents GUI: The sequence listing is available to the EPO in computer-readable format

Element list

- (1) The description contains a sequence listing a part of the description
- (2) The sequence listing is available to the EPO in computer-readable format

XML ep-euro-pct.xml

```

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

```

Figure 175: Documents XML: sequence listing has been furnished, no file is attached

PDF ep-request.pdf

9. Nucleotide and amino acid sequences The international application contains a sequence listing as part of the description 9.1 The sequence listing was filed under Rule 5.2(a) PCT, or furnished to the EPO as ISA under Rule 13ter.1(a) PCT, or is otherwise available to the EPO, in computer-readable format in accordance with WIPO ST.25. 9.2 The sequence listing is attached in computer-readable format in accordance with WIPO Standard ST.25 The sequence listing is attached in PDF format. The sequence listing does not include matter which goes beyond the content of the application as filed.	☒ 1 ☒ 2 ☐ ☐ ☐

Figure 176: Documents PDF: the sequence listing is available to the EPO, a file is not attached

6.7.9 Additional documents

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

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

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

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

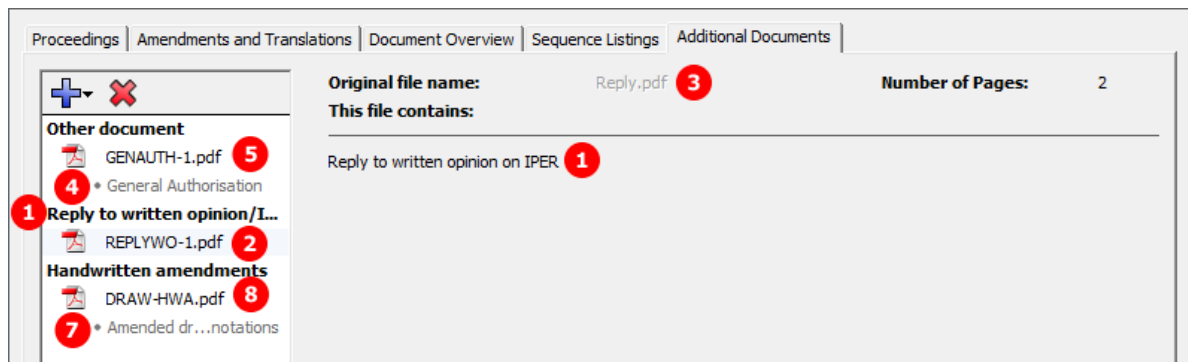


Figure 177: Documents GUI: additional documents attached

Element list

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

XML ep-euro-pct.xml

```

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

```

Figure 178: 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. 84) for further details.

PDF epf1200.pdf

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

Figure 179: Documents PDF: reply to written opinion of ISA and general authorisation attached

6.8 Euro-PCT(1200E2K) Fee Payment

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

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

6.8.1 Payment details

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

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

Figure 180: Fee Payment GUI: payment details entered

Element list

- (1) Mode of payment
- (2) Currency: default is EUR
- (3) National Bank with an account registered for the EPO: e.g. FR for France
- (4) Bank account number of the EPO
- (5) EPO account number for reimbursement
- (6) Account holder for reimbursement

XML ep-euro-pct.xml

```

144 <translation-info>
151 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
152   <mode-of-payment accno="30004 00567 00020020463 29 (RIB)" mode-type="bank" currency="EUR">FR</
mode-of-payment>
153   <reimbursement accno="28330000">TechInvent SA</reimbursement>
154   <fees date="20100401">

```

Figure 181: Fee Payment XML: payment and account data

PDF epf1200.pdf

13. Mode of payment: Bank transfer Currency The fees and costs indicated on the fees page will be paid by transfer to the following bank account held by the office: Bank Bank account	☒ EUR Banque Nationale de Paris 30004 00567 00020020463 29 (RIB)
14. Any refunds should be made to the following EPO deposit account: Number and account holder	☒ TechInvent SA, 28330000

Figure 182: Fee Payment PDF: mode of payment and account data

6.8.2 Fee selection

The example below shows an application with the EPO as elected office, with 25 claims, the translations and amended documents totalling to a page count of 38, and other information relevant for fee calculation.

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

Payment Details Fee selection

Show: Selected fees only Code

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
1	2	002 Fee for a European search - Applications filed on/after 01.07.2005	3	1 105,00 940 €	4	1 165,00
6	7	005e Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	8	525,00 ----	9	1 525,00
11	12	006 Examination fee - For applications filed on/after 01.07.2005	13	1 480,00 60%	14	1 592,00
		015 Claims fee for 16th up to 50th claim		210,00 ----	10	2 100,00
		020 Filing fee - entry EP phase - online		105,00 ----	1	105,00
		033 Renewal fee for the 3rd year		420,00 ----	1	420,00
16	17	520 Additional filing fee for the 36th and each subsequent page - entry into EP phase	18	13,00 ----	19	3 39,00
			Total:		(7 Fees) EUR 3 946,00	

☐ Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 21 01.04.2010

Logged in as Administrator

Figure 183: Fee Payment GUI: selected fees and total amount to pay

Element list

- (1) Fee selected
- (2) Fee code 002
- (3) Fee schedule = one fee
- (4) Fee factor is a combination from reduction and quantity: here, the reduction is -940 EUR
- (5) Fee amount to pay: fee schedule - fee factor
- (6) Fee selected
- (7) Fee code 005e
- (8) Fee schedule = one fee
- (9) Fee factor: 005e is a flat fee and is to be paid once only
- (10) Fee amount to pay = fee schedule * fee factor
- (11) Fee selected
- (12) Fee code 015
- (13) Fee schedule = one fee
- (14) Fee factor: the reduction is 60%, this means that the fee to be paid is 40% = 0.4
- (15) Fee amount to pay = fee schedule * fee factor

- (16) Fee selected
- (17) Fee code 520
- (18) Fee schedule = one fee
- (19) Fee factor: number of pages calculated from the check-list = total number of pages - 35
- (20) Fee amount to pay = fee schedule * fee factor
- (21) Date of fee schedule validity
- (22) Total amount of fees in EUR

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

See the information on importing fee data from XML files in the EP(1001E2K) section, chapter **Importing the correct fee amounts depending on the date of filing** (p. 92).

XML ep-euro-pct.xml

154	<fees date="20100401">	21
155	<standard-fee>	
156	<fee index="2" topay="yes">	1
157	<type-of-fee>standard</type-of-fee>	
158	<fee-factor>940</fee-factor>	3
159	<fee-schedule>165</fee-schedule>	5
160	<fee-sub-amount>1105</fee-sub-amount>	4
161	</fee>	
162	<fee index="2e" topay="no">	
168	<fee index="5" topay="no">	
174	<fee index="5e" topay="yes">	6
175	<type-of-fee>standard</type-of-fee>	
176	<fee-factor>1</fee-factor>	8
177	<fee-schedule>525</fee-schedule>	10
178	<fee-sub-amount>525</fee-sub-amount>	9
179	</fee>	
180	<fee index="6" topay="yes">	11
181	<type-of-fee>standard</type-of-fee>	
182	<fee-factor>0.4</fee-factor>	13
183	<fee-schedule>592</fee-schedule>	15
184	<fee-sub-amount>1480</fee-sub-amount>	14
185	</fee>	
186	<fee index="6e" topay="no">	
192	<fee index="13" topay="no">	
198	<fee index="15" topay="yes">	
204	<fee index="15e" topay="no">	
210	<fee index="20" topay="yes">	
216	<fee index="22" topay="no">	
222	<fee index="33" topay="yes">	
228	<fee index="34" topay="no">	
342	<fee index="520" topay="yes">	16
343	<type-of-fee>standard</type-of-fee>	
344	<fee-factor user-input="">3</fee-factor>	18
345	<fee-schedule>39</fee-schedule>	20
346	<fee-sub-amount>13</fee-sub-amount>	19
347	</fee>	
348	</standard-fee>	
349	<fee-calc-info>	22
353	<fee-total-amount>3946</fee-total-amount>	
354	</fees>	
355	</ep-financial-data>	

Figure 184: Fee Payment XML: fees listed

PDF epf1200.pdf

15. Fees		Factor/reducti on applied	Fee schedule		Amount to be paid	
15-1	2 002 Fee for a European search - Applications filed on/after 01.07.2005	3 -940	4 1 105.00	5 165.00		
15-2	7 005e Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	8 1	9 525.00	10 525.00		
15-3	12 006 Examination fee - For applications filed on/after 01.07.2005	13 0.4	14 1 480.00	15 592.00		
15-4	015 Claims fee - For the 16th to the 50th claim	10	210.00			2 100.00
15-5	020 Filing fee - entry EP phase - online	1	105.00			105.00
15-6	033 Renewal fee for the 3rd year	1	420.00			420.00
15-7	17 520 Additional filing fee for the 36th and each subsequent page - entry into EP phase	18 3	19 13.00	20 39.00		
Total:			EUR	22 3 946.00		

Figure 185: Fee Payment PDF: fees listed with total amount to pay

6.9 Euro-PCT(1200E2K) Annotations

GUI Euro-PCT(1200E2K) Annotations

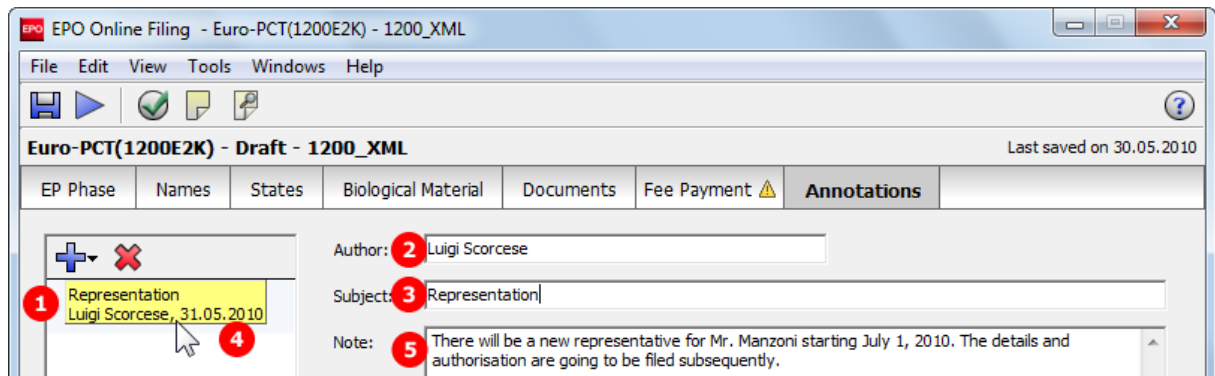


Figure 186: Annotations GUI: note for EPO entered

Element list

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

XML ep-euro-pct.xml

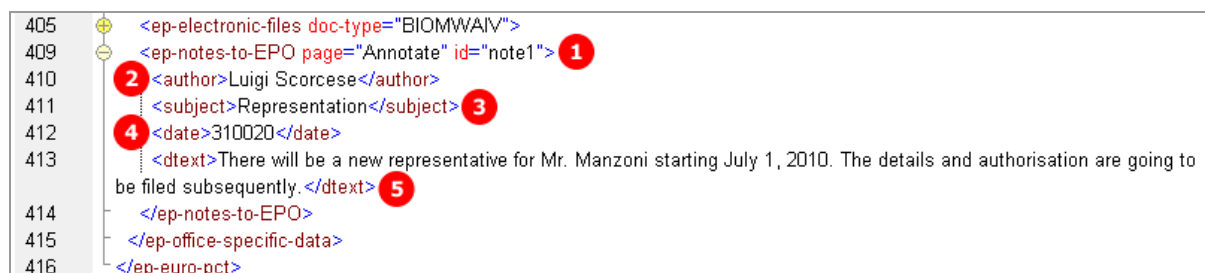


Figure 187: Annotations XML: note for EPO

PDF epf1200.pdf



Figure 188: Annotations PDF: note for EPO

7 Form EP(1038E) - Subsequently filed documents

7.1 XML files for an EP(1038E) application

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

File name	DTD	Description
pkgheader.xml	pkgheader.dtd	Indicates selected procedure and other data for transmission to filing office.
package-data.xml	package-data.dtd	References attached documents including ep-sfd-request.xml file.
ep-sfd-request.xml	ep-sfd-request-v2-2.dtd	Application data as entered in Form EP(1038E), references attached documents.

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

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

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

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

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

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

Document code	EPO file name *)	Description
APPEAL-LETT	APPEAL-LETT-1	Letter relating to Appeal procedure
APPEALR-LETT	APPEALR-LETT-1	Letter relating to the review procedure
APPEALR-ANX	APPEALR-ANX-1	Annexes (other than cited documents) regarding review procedure
APPRASSI	APPRASSI-1	Request for assignment
APPRCHOA	APPRCHOA-1	Request for change of address
APPRCHON	APPRCHON-1	Request for change of name
APPRMISC	APPRMISC-1	Document concerning the applicant
BIOM	BIOM-1	Document concerning micro-organisms and medical inventions
CLMS	CLMS-1	Claims
CLMS-HWA	CLMS-HWA-1	Amended claims with annotations
CLMSPADMD	CLMS-1	Amended claims (clean copy)
CLMSTRAN	CLMSTRAN-1	Translation of claims
CORI	CORI-1	Request for correction/amendment of the text proposed for grant sent until 31.03.2012
DECA	DECA-1	Automatic debiting
DESC-HWA	DESC-HWA-1	Amended description with annotations
DESCNEW	DESCNEW-1	Missing parts of the description
DESCPADMD	DESC-1	Amended description (clean copy)
DEST	DEST-1	Document concerning the designation and extension of states
DRAW	DRAW-1	Drawings
DRAW-HWA	DRAW-HWA-1	Amended drawings with annotations
DRAWNEW	DRAWNEW-1	Missing parts of the drawings
DRAWPADMD	DRAW-1	Amended drawings (clean copy)
ENQUIRY	ENQUIRY-1	General enquiry
EPLETT	EPLETT-1	Letter relating to the search and examination procedure
EUCLWAIVER	EUCLWAIVER-1	Waiver in respect of communication under Rule 161/162 EPC
EXAM	EXAM-1	Document filed during examination procedure earlier than EXRE1
EXAMREQ	EXAMREQ-1	Request for examination
EXRE3	EXRE3-1	Reply to examination report
EXRE92	EXRE92-1	Request for extension of time limit during examination procedure
F1002	F1002-1	Designation of inventor
FEES	FEES-1	Document concerning fees and payments
FICO	FICO-1	Request for certified copies of application

Document code	EPO file name *)	Description
FICO	FICO	Request for certified copies of application (non-public)
FISP	FISP	Request for inspection of file (non-public)
FREP	FREP-1	Document concerning representation
IGRA	IGRA-1	Reply to communication under Rule 71(3) EPC
IGRE	IGRE-1	Request for correction/amendment of the text proposed for grant sent from 01.04.2012
INVT	INVT-1	Document concerning the inventorship
IPERTRAN	IPERTRAN-1	Translation of international preliminary examination report
LIMDOC	LIMDOC-1	Citation for the limitation procedure
LIMLETT	LIMLETT-1	Letter/request relating to the limitation procedure
LIMWDRA	LIMWDRA	Withdrawal of limitation request
LIRE3	LIRE3-1	Reply to the limitation report
MEDA	MEDA-1	Medical certificate (non-public)
MEPA	MEPA-1	Maintenance of the application
ORAL	ORAL-1	Letter dealing with oral proceedings
ORALWDRA	ORALWDRA-1	Withdrawal of request for oral proceedings
PPH-EXAM	PPH-EXAM-1	PPH: documents for examination
PPH-SRCH	PPH-SRCH-1	PPH: documents for search
PRIO	PRIO-1	Document concerning the priority claims
PRIOTRAN	PRIOTRAN-1	Translation of priority documents
PRSR	PRSR-1	Search results required under Rule 141(1) EPC
PRSR-NON	PRSR-NON-1	Statement of non-availability of search results required under Rule 141(1) EPC
PRSR-REPLY	PRSR-REPLY-1	Reply to the communication under rule 70b EPC
R88	R139-1	Request for correction of the documents (Rule 139 EPC)
RALL2	RALL2-1	Letter regarding the translation of the limited claims
RDEC	RDEC-1	Request for a decision
REES	REES-1	Request for re-establishment of rights/restitutio in integrum
REESGROUNDS	REESGROUNDS-1	Grounds for re-establishment of rights/restitutio in integrum
REPTORCLAR	REPTORCLAR-1	Reply to request for clarification
REVLETT	REVLETT-1	Letter/request relating to the revocation procedure
REVOREQ	REVOREQ	Request for revocation of patent
RFPR	RFPR-1	Request for further processing

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

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

7.3 EP(1038E) Application number

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

GUI EP(1038E) Application No

The screenshot shows a web application window titled "EPO Online Filing - EP(1038E) - 1038_XML". The window has a menu bar with "File", "Edit", "View", "Tools", "Windows", and "Help". Below the menu bar is a toolbar with icons for file operations. The main content area has a tabbed interface with tabs labeled "Application No", "Names", "Documents", "Fee Payment", and "Annotations". The "Application No" tab is selected. In the center of the main area, there is a label "EP Application number:" followed by a text input field containing "EP10654321.8". A red circle with the number "2" is placed over the input field. At the top of the main area, there is a status bar that says "EP(1038E) - Draft - 1038_XML" and "Last saved on 31.05.2010". A red circle with the number "1" is placed over the status bar. At the bottom of the window, there is a footer bar that says "Logged in as Administrator" and a status bar with icons and numbers.

Application No	Names	Documents	Fee Payment	Annotations
EP Application number: EP10654321.8				

Figure 189: Application number GUI

Element list

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

XML ep-sfd-request.xml

```

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

```

Figure 190: Application XML: EP application number and file reference

PDF epf1038.pdf

		Letter accompanying subsequently filed items	
Sender: Mr. David Kilburn IP Partners European Patents 14 Cambridge Science Park 100 Red Lion Square Cambridge Cambridgeshire CB2 1AB United Kingdom Phone: +44 1223 351689 Fax: +44 1223 351690 E-mail: kilburn@ip-partners.co.uk		80298 Munich Germany Tel. +49(0)89 2399-0 Fax -4465 P.O. Box 5818 NL-2280 HV Rijswijk Netherlands Tel. +31(0)70 340-2040 Fax -3016 10958 Berlin Germany Tel. +49(0)30 25901-0 Fax -840	
The document(s) listed below is (are) subsequently filed documents pertaining to the following application:			
Application number		2	10654321.8
Applicant's or representative's reference		1	1038_XML

Figure 191: Application in PDF format: header

7.4 EP(1038E) Names

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

The XML structures of the **<agent>** element and the **<applicant>** element are the same as in EP(1001E2K) (see "Names - Example 1: applicant is natural person and also inventor" p. 36).

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

GUI EP(1038E) Names

The screenshot shows the EPO Online Filing GUI for EP(1038E) - Draft - 1038_XML. The window has a menu bar (File, Edit, View, Tools, Windows, Help) and a toolbar. The main area is divided into a left sidebar and a right form area. The sidebar shows a list of representatives, with 'Kilburn, David' selected. The right form area contains fields for personal and contact information, numbered 1 through 17. The fields are: 1. Representative name (Kilburn, David), 2. Last name (Kilburn), 3. First name (David), 4. Title (Mr.), 5. Company (IP Partners), 6. Department (European Patents), 7. Association (14), 8. Country (GB), 9. Address (Cambridge Science Park, 100 Red Lion Square), 10. Telephone (+44 1223 351689), 11. Fax (+44 1223 351690), 12. Postal code (CB2 1AB), 13. City (Cambridge), 14. GB County (Cambridgeshire), 15. e-mail (kilburn@ip-partners.co.uk). The status bar at the bottom indicates 'Logged in as Administrator' and shows a warning icon.

Figure 192: Names GUI: representative added

Element list

- (1) Representatives
- (2) Representative 1 - natural person
- (3) Last name
- (4) First name
- (5) Title
- (6) EP registration number (not required)
- (7) EP association number (if applicable)
- (8) Company
- (9) Department
- (10) Country
- (11) Street

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

XML ep-sfd-request.xml

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

Figure 193: Names XML: data for representative 1

PDF epf1038.pdf

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

Figure 194: Names PDF: representative's address

7.5 EP(1038E) Documents

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

1. All documents
2. Amendments
3. Appeal
4. Applicant-Representative-Inventor
5. Biology
6. Fees
7. Filing
8. Forms
9. Legal remedies
10. Limitation and revocation
11. Non public
12. Other
13. Priorities
14. Replies
15. Request
16. Third Party Observations
17. Withdrawals

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

GUI EP(1038E) Documents

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

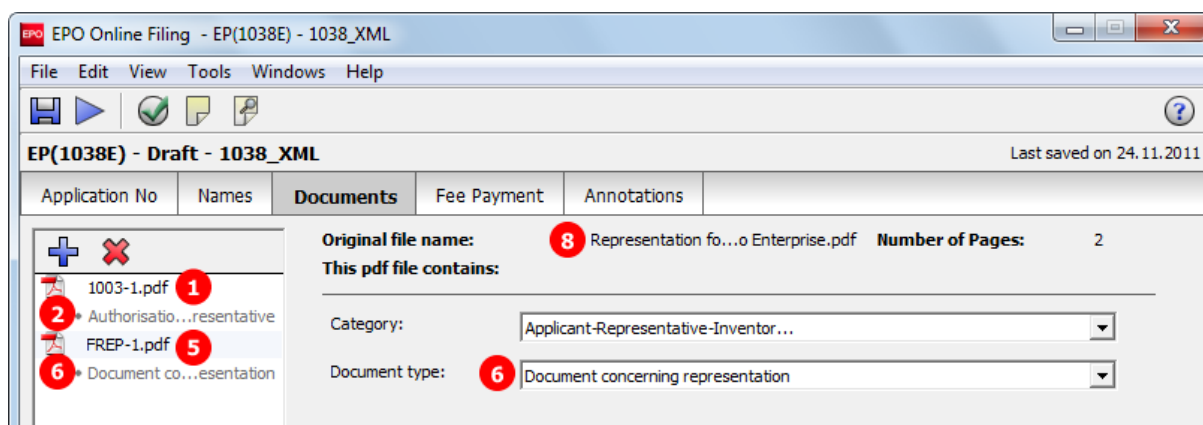


Figure 195: Documents GUI: individual files attached

Element list

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

XML ep-sfd-request.xml

```

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

```

Figure 196: Documents XML: list of documents

PDF epf1038.pdf

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

Figure 197: Documents PDF: list of attached documents

7.6 EP(1038E) Fee Payment

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

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

Filing non-public documents and paying fees

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

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

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

Selecting the correct fee schedule

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

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

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

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

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

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

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

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

7.6.1 Payment details - Example 1: Date of filing on or after 01.04.2009

The date of filing or entry into regional phase is on or after 01.04.2009. The **Designation states** sub-tab is not visible.

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

EPO Online Filing - EP(1038E) - 1038_XML

File Edit View Tools Windows Help

EP(1038E) - Draft - 1038_XML Last saved on 15.12.2011

Application No Names Documents **Fee Payment** Annotations

Payment details Fee selection

Mode of payment: 1 Debit from deposit account Currency: EUR 2

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.

Deposit account number: 3 2800300

Account holder: 4 IP Partners

Fee schedule:

5 ☒ Date of filing or entry into regional phase on or after 01.04.2009

☐ Date of filing or entry into regional phase before 01.04.2009

European divisional application received before 01.04.2009 or

European patent application filed before 01.04.2009 or

Euro-PCT application validly entering the regional phase before 01.04.2009 or

Euro-PCT application with date of filing or earliest priority before 01.09.2006

☒ Only required if different from above - Reimbursement, if any, to be made to deposit account with the EPO: 6 28123456

Account holder: 7 Salvatore Manzoni

Logged in as Administrator 2 0 0

Figure 198: Fee Payment GUI: payment details

Element list

- (1) Mode of payment
- (2) Currency: default is EUR
- (3) EPO account number
- (4) Account holder
- (5) Fee schedule: on/after 01.04.2009
- (6) EPO account number for reimbursement: is inferred from (3) by default, but can be modified
- (7) Account holder for reimbursement: is inferred from (4) by default, but can be modified

XML ep-sfd-request.xml

75	<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
76	<mode-of-payment currency="EUR" accno="28003300" mode-type="deposit">IP Partners</mode-of-payment>
77	<reimbursement accno="28123456">Salvatore Manzoni</reimbursement>
78	<fees date="20100401">
79	<standard-fee>
694	<fee-total-amount>630</fee-total-amount>
695	</fees>
696	</ep-financial-data>

Figure 199: Fee payment XML: payment details

PDF epf1038.pdf

Payment		
1	Mode of payment	Debit from deposit account
	Currency:	EUR
	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.	
	Deposit account number:	28003300
	Account holder:	IP Partners
2	Refund/Reimbursement	
	Reimbursement (if any) to be made to EPO deposit account:	28123456
	Account holder:	Salvatore Manzoni

Figure 200: Fee Payment PDF: data for mode of payment and refund

7.6.2 Fee selection - Example 1: Date of filing on or after 01.04.2009

For the designation of states a flat fee (code 005e) is applied. The listing of all selected countries within the corresponding **<fee>** element is not required.

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

	Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☒	001	Filing fee - EP direct - online	105,00	----	1	105,00
☐	001e	Filing fee - EP direct - not online	190,00	----	1	0,00
☐	002	Fee for a European search - Applications filed on/after 01.07.2005	1 105,00	----	1	0,00
☐	002e	Fee for a European search - Supplementary search for applications filed before 01.07.2005	800,00	----	1	0,00
☒	005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	525,00	----	1	525,00
☐	006	Examination fee - For applications filed on/after 01.07.2005	1 480,00	----	1	0,00
☐	006e	Examination fee - For applications filed before 01.07.2005 and for international applications	1 645,00	----	1	0,00

☐ Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2010

Total: (2 Fees) EUR 630,00

Logged in as Administrator

Figure 201: Fee Payment GUI: selected fees

Element list

- (1) Fee selected
- (2) Fee code 001
- (3) Fee schedule = one fee
- (4) Fee factor (quantity): quantity of fees as indicated in GUI is multiplied by fee schedule
- (5) Fee amount to pay = fee schedule x fee factor
- (6) Fee selected
- (7) Fee code 005e
- (8) Fee schedule = one fee
- (9) Fee factor (quantity): quantity of fees as indicated in GUI is multiplied by fee schedule
- (10) Fee amount to pay = fee schedule x fee factor
- (11) Fees are not unlocked by user
- (12) Date of fee schedule validity
- (13) Total amount of fees to pay

XML ep-sfd-request.xml

71	<ep-electronic-files doc-type="FREP">	11
75	<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">	
76	<mode-of-payment currency="EUR" accno="28003300" mode-type="deposit">IP Partners</mode-of-payment>	
77	<reimbursement cno="28123456">Salvatore Manzoni</reimbursement>	12
78	<fees date="20100401">	
79	<standard-fee	2
80	<fee index="1" topay="yes">	1
81	<type-of-fee>standard</type-of-fee>	
82	<fee-factor user-input="1">1</fee-factor>	4
83	<fee-schedule>105</fee-schedule>	5
84	<fee-sub-amount>105</fee-sub-amount>	3
85	</fee>	
86	<fee index="1e" topay="no">	
92	<fee index="2" topay="no">	
98	<fee index="2e" topay="no">	
104	<fee index="6" topay="no">	7
147	<fee index="5e" topay="yes">	
148	<type-of-fee>standard</type-of-fee>	
149	<fee-factor user-input="1">1</fee-factor>	9
150	<fee-schedule>525</fee-schedule>	10
151	<fee-sub-amount>525</fee-sub-amount>	8
152	</fee>	
153	<fee index="6" topay="no">	
159	<fee index="6e" topay="no">	
681	<fee index="501" topay="no">	
687	<fee index="520" topay="no">	
693	</standard-fee>	
694	<fee-total-amount>630</fee-total-amount>	13
695	</fees>	
696	</ep-financial-data>	

Figure 202: Fee Payment XML: selected fees and designated states

PDF epf1038.pdf

	Fees	Factor applied	Fee schedule	Amount to be paid
1	15-2 001 Filing fee - EP direct - online	4 1	3 105.00	5 105.00
6	15-2 005e Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	9 1	8 525.00	10 525.00
	Total:		EUR	13 630.00

Figure 203: Fees PDF: selected fees and designated states

7.6.3 Designation states - Example 2: Date of filing before 01.04.2009

The **Designation states** sub-tab is only available if the fee schedule for **Date of filing or entry into regional phase before 01.04.2009** has been selected in the **Fee selection** tab and **Fee 005 - Designation fee** has been checked in the **Fee selection** sub-tab.

Either all designation states are selected or fewer than seven, allowing for specifying individual states. All selected states must be listed in the XML file for import. The corresponding fee factor is then applied for the Fee code 005.

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

Fee schedule:

- ☐ Date of filing or entry into regional phase on or after 01.04.2009
- 1** ☒ **Date of filing or entry into regional phase before 01.04.2009**
 - European divisional application received before 01.04.2009 or
 - European patent application filed before 01.04.2009 or
 - Euro-PCT application validly entering the regional phase before 01.04.2009 or
 - Euro-PCT application with date of filing or earliest priority before 01.09.2006

Figure 204: Payment Details GUI: fee schedule before 01.04.2009 selected

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

The quantity for fee 005 is 7 by default when ticked for the first time (7). Doing this lets the **Designation states** sub-tab become visible. The quantity (10) for fee 005 is then updated according to the number of countries selected in the **Designation states** sub-tab, see below.

The fee schedule valid as of is indicated to be the 01.04.2010 (12), because in this example the application was created at a system date later than the 01.04.2010. Therefore, the present fee schedule applies for all fee amounts, including those relevant for applications with a date of filing before 01.04.2009.

	Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☒	001	Filing fee - EP direct - online	105,00	----	1	105,00
☐	001e	Filing fee - EP direct - not online	190,00	----	1	0,00
☐	002	Fee for a European search - Applications filed on/after 01.07.2005	1 105,00	----	1	0,00
☐	002e	Fee for a European search - Supplementary search for applications filed before 01.07.2005	800,00	----	1	0,00
☒	005	Designation fee for each state designated (max. 7x)	90,00	----	4	360,00
☐	006	Examination fee - For applications filed on/after 01.07.2005	1 480,00	----	1	0,00
☐	006e	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without	1 645,00	----	1	0,00

☐ Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2010

Total: (2 Fees) EUR 465,00

Figure 205: Fee selection GUI: filing fee and designation fee selected

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

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

Figure 206: Fee Payment GUI: designated states

Element list

- (1) Fee schedule as of 01.04.2008 to be applied
- (2) Fee selected
- (3) Fee code 001
- (4) Fee schedule = one fee
- (5) Fee factor (quantity): quantity of fees as indicated in GUI is multiplied by fee schedule
- (6) Fee amount to pay = fee schedule x fee factor
- (7) Fee is selected
- (8) Fee code 005
- (9) Fee schedule = one fee
- (10) Fee factor (quantity): quantity of fees as indicated in GUI is multiplied by fee schedule
- (11) Fee amount to pay = fee schedule x fee factors
- (12) Fee schedule valid as of relates to the date of producing the application
- (13) Total amount of fees to pay
- (14) 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.

- (15) Country 1 (designated state)
- (16) Country 2 (designated state)
- (17) Country 3 (designated state)
- (18) Country 4 (designated state)

XML ep-sfd-request.xml

Note that the **date** attribute for **<fees>** is set to "20080401" in order to specify the correct fee schedule.

3	<ep-sfd-request lang="en" dtd-version="2.0" ro="EP" produced-by="applicant" date-produced="20100609 20:30:59">	12
4	<!--software_name eOLF-->	
5	<!--software_version FMMNGR5027, EP10385027, FM_FOP0205-->	
6	<!--stylesheet_version 3-->	
7	<!--fop_version Version 0.20.5-->	
8	<document-id lang="en">	
12	<file-reference-id>1038_fees_design</file-reference-id>	
13	<request-petition/>	
14	<parties>	
57	<check-list>	
60	<office-specific-data office="EP" lang="en">	
61	<ep-electronic-files doc-type="1038">	
65	<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">	
66	<mode-of-payment currency="EUR" accno="28123456" mode-type="deposit">Borghese S.A.</mode-of-payment>	
67	<fees date="20080401">	1
68	<standard-fee>	3
69	<fee index="1" topay="yes">	2
70	<type-of-fee>standard</type-of-fee>	
71	<fee-factor user-input="1">1</fee-factor>	5
72	<fee-schedule>105</fee-schedule>	6
73	<fee-sub-amount>105</fee-sub-amount>	4
74	</fee>	
75	<fee index="1e" topay="no">	
81	<fee index="2" topay="no">	
87	<fee index="2e" topay="no">	
93	<fee index="5" topay="yes">	7
94	<type-of-fee>standard</type-of-fee>	
95	<fee-factor user-input="4">4</fee-factor>	10
96	<fee-schedule>360</fee-schedule>	11
97	<fee-sub-amount>90</fee-sub-amount>	9
98	<country>DK</country>	15
99	<country>FI</country>	16
100	<country>NO</country>	17
101	<country>SE</country>	18
102	</fee>	
103	<fee index="5e" topay="no">	
109	<fee index="6" topay="no">	
637	<fee index="501" topay="no">	
643	<fee index="520" topay="no">	
649	</standard-fee>	
650	<fee-total-amount>465</fee-total-amount>	13
651	</fees>	

Figure 207: Fee Payment XML: designated states

PDF epf1038.pdf

Fees		Factor applied	Fee schedule	Amount to be paid
15-1	001 Filing fee - EP direct - online	1	105.00	105.00
15-2	005 Designation fee - For each State designated (max. 7x) for applications filed before 01.04.2009 Designated states: DK, FI, NO, SE	4	90.00	360.00
Total:			EUR	465.00

Figure 208: Fee Payment PDF: designation fee for designated states

7.7 EP(1038E) Annotations

GUI EP(1038E) Annotations

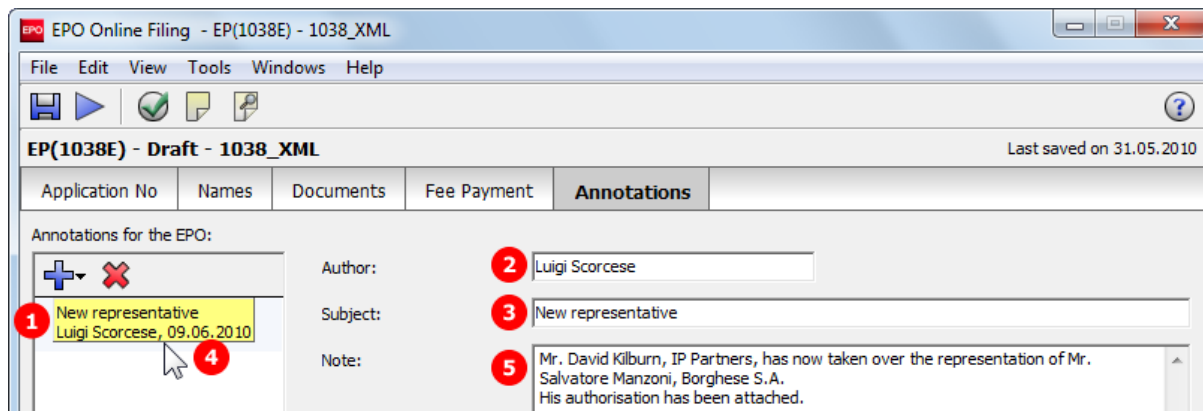


Figure 209: Annotations GUI: note to EPO

Element list

- (1) Note 1
- (2) Author
- (3) Subject
- (4) Date created
- (5) Text

XML ep-sfd-request.xml

```

75  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
697  1 <ep-notes-to-EPO page="Annotate" id="note1">
698      <author>Luigi Scorsese</author> 2
699      3 <subject>New representative</subject>
700      <date>090020</date> 4
701      5 <dtext>Mr. David Kilburn, IP Partners, has now taken over the representation of Mr. Salvatore Manzoni, Borghese S.A.
702      His authorisation has been attached.</dtext>
703  </ep-notes-to-EPO>
704  </office-specific-data>

```

Figure 210: Annotations XML: note 1, entered by Luigi Scorsese

PDF epf1038.pdf

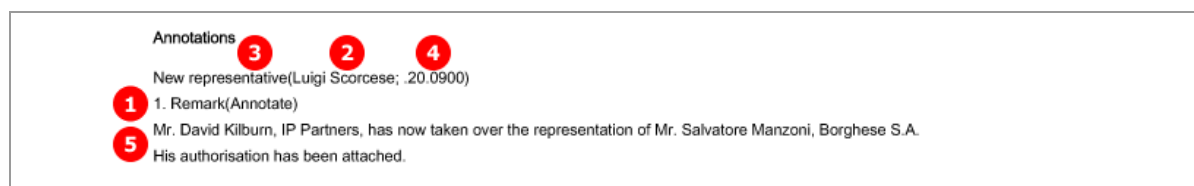


Figure 211: Annotations PDF: Remark 1 (note to EPO)

8 Form EP(Oppo) - EP opposition procedure

Form EP(Oppo) is used for filing an opposition to a European patent (first communication) or for subsequently filing additional information and documents on an opposition already filed (second communication). Depending on the purpose of the filing, various options are possible:

First communication - filing the notice of opposition or intervention

- ◆ All natural or legal persons can use Form EP(Oppo) to file an opposition to a patent with the EPO, provided they have their residence or corporate headquarters in a contracting state to the EPC. **Opponents** may be represented by one of their employees (example 1).
- ◆ Further parties can join ongoing opposition proceeding as **interveners** and designate any representatives they may have. Both opponents and interveners can designate other persons as **witnesses** (example 2).
- ◆ Persons who do not have their residence in a contracting state to the EPC must authorise a professional **representative** or a legal practitioner entitled to act as a professional representative.

Second communication - requests, submission of documents, payments, third-party observations

- ◆ **Proprietors** of an opposed patent can use Form EP(Oppo) to respond to the opposition and designate their own witnesses and submit documents (example 3).
- ◆ **Third parties** can lodge further objections (example 4).
- ◆ All persons involved in these proceedings can use the form to designate other representatives, submit requests and documents, pay fees or write annotations for the EPO.

In the following chapters, the different options are going to be illustrated by these four examples:

- ◆ Example 1: An opposition is filed by multiple opponents, represented by an employee and designating a witness
- ◆ Example 2: An intervener with representative files an opposition and designates a witness
- ◆ Example 3: The proprietor of a patent and her representative respond to the opposition filed against her patent and nominate a witness
- ◆ Example 4: A third party and her representative file evidence

8.1 XML files for an EP(Oppo) application

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

Unlike in EP(1001E2K) and Euro-PCT(1200E2K), there is no **application-body.xml** file.

File name	DTD	Description
pkgheader.xml	pkgheader.dtd	Indicates selected procedure and other data for transmission to filing office.
package-data.xml	package-data.dtd	References attached documents including ep-opposition-data.xml file.
ep-opposition-data.xml	ep-xmit-opposition-data-v1.1.dtd	Application data as entered in Form EP(Oppo), references attached documents.

8.2 Document codes and file types for EP(Oppo)

The receiving server at the EPO requires the values listed in the table below for importing the application (leading document) and the attachments for an EP Opposition procedure.

In the **package-data.xml** file:

- ◆ **Document code** to be filled into **<document-name>** element
- ◆ **EPO file name** for **file** attribute of **<other-doc>** element

In the **ep-opposition-data.xml** file:

- ◆ **Document code** for **doc-type** attribute of **<ep-electronic-files>** element
- ◆ **EPO file name** to be filled into **<epo-file-name>** element

Document code	EPO file name *)	Description
Leading Document		
2300E	ep-oppo.pdf	Notice of Opposition or Notice of Intervention (depending on party selected in the Names section)
ORALLET	ep-oppo.pdf	Submission in opposition proceedings - after a summons to oral proceedings
OPPOLETT	ep-oppo.pdf	Submission in opposition proceedings - before or unrelated to summons to oral proceedings
TIPA1	ep-oppo.pdf	Third party observation
REQXML	ep-opposition-data.xml	XML file of data elements
Main attachments		
FACTS_ARGMTS	OPPO.pdf	Facts and arguments
OBSO3	OBSO3.pdf	Reply of the patent proprietor to the notice(s) of opposition
OPEX4	OPEX4.pdf	Reply to the communication concerning admissibility of an opposition
OREX3	OREX3.pdf	Reply to an examination report in opposition proceedings
DOBS3	DOBS3.pdf	Reply from the opponent to submission of proprietor
OPPOANNEX	OTHER-1.pdf	Any annexes (other than citation) to an opposition letter
TDOC	TDOC.pdf *)	Citation filed by a third party *) more than one file can be attached, to be named TDOC-1.pdf etc.
Evidence		
PATENT	Published-Evidence-1.pdf	Patent document
ARTICLE	Published-Evidence-1.pdf	Non-patent literature - article
BOOK	Published-Evidence-1.pdf	Non-patent literature - book
DATABASE	Published-Evidence-1.pdf	Non-patent literature - database
INTERNET	Published-Evidence-1.pdf	Non-patent literature - internet
MODEL	Model-Reference-1.pdf	Cover letter for a non-scannable object
AFFIDAVIT	Affidavit-1.pdf	Affidavit
IMAGE	evidence-image-1.pdf	Image or photo (PDF)

Document code	EPO file name *)	Description
EVDNCE_TRAN	Evidence-Tran-1.pdf	Translation of a citation
EVDNCE_OTHER	Other-evidence-1.pdf	Other evidence
Optional additional files		
1004	SPECAUTH-1.pdf	Specific authorisation
1003	GENAUTH-1.pdf	General authorisation
2936	ADVOFDELIVERY.pdf	Acknowledgement
MAINREQ-O	MAINREQ-1.pdf	Main request in opposition
AUXREQ-O	AUXREQ-1.pdf	Auxiliary request in opposition
CD-FREP	CD-FREP-1.pdf	Document containing information about further representatives
CDAPPR-CHOA	CDAPPR-CHOA-1.pdf	Request for change of address - proprietor
CDAPPR-CHON	CDAPPR-CHON-1.pdf	Request for change of name - proprietor
CDAPPR-CHOR	CDAPPR-CHOR-1.pdf	Request for change of proprietor's representative
CDAPPR-TOR	CDAPPR-TOR-1.pdf	Request for transfer of rights - proprietor
CDOPPO-CHOA	CDOPPO-CHOA-1.pdf	Request for a change of address - opponent
CDOPPO-CHON	CDOPPO-CHON-1.pdf	Request for change of name - opponent
CDOPPO-CHOR	CDOPPO-CHOR-1.pdf	Request for change of opponent's representative
CDOPPO-TOR	CDOPPO-TOR-1.pdf	Request for transfer of rights - opponent
CLMSTRAN-DE	CLMSTRAN-DE-1.pdf	German translation of claims
CLMSTRAN-EN	CLMSTRAN-EN-1.pdf	English translation of claims
CLMSTRAN-FR	CLMSTRAN-FR-1.pdf	French translation of claims

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

8.3 EP(Oppo) Opposition

The basic data on the patent opposed is entered in the **Opposition** tab. This data is structured in the same way for all cases and is explained in Example 1.

The key factor is the first option in the beginning of the electronic form, determining most of the other options in the subsequent sections.

- ♦ **Notice of opposition or intervention** allows for adding opponents or interveners in the **Names** tab and results in an **EPO Form 2300 E**.
- ♦ **Other action** allows for adding proprietors or third parties in the **Names** tab and results in a **Submission in opposition proceedings** form or a **Third party observation** form, both similar to the printed EP(1038E) form for subsequent filing.

8.3.1 Reference - Example 1: Notice of opposition or intervention

The example shows a notice of opposition with opponents added in the Names tab.

GUI EP(Oppo) Opposition, Reference sub-tab

The screenshot displays the EPO Online Filing - EP(Oppo) - Oppo_1st_oppon window. The title bar indicates the current draft is 'EP(Oppo) - Draft - Oppo_1st_oppon'. The interface includes a menu bar (File, Edit, View, Tools, Windows, Help) and a toolbar with icons for saving, undo, redo, and help. The main area is divided into tabs: Opposition, Names, Requests, Documents, Fee Payment, and Annotations. The 'Opposition' tab is active, showing the 'Notice of opposition or intervention' section. This section has two radio buttons: 'Other action (request, submission, payment, third-party observation)' (selected) and 'following summons to oral proceedings'. Below these are two sub-tabs: 'Reference' and 'Grounds'. The 'Reference' sub-tab contains several input fields: 'Patent No.' (EP7898724), 'Application No.' (EP10654321.8), 'Date of mention of the grant in the European Patent Bulletin (Art. 97(3), 99(1) EPC)' (1 June 2010), 'Title of invention' (Instant Water), and 'Proprietor of the patent' (first named in the patent specification: Manzoni, Salvatore). The status bar at the bottom shows 'Logged in as Administrator' and a progress indicator with 3 red, 0 yellow, and 0 blue icons.

Figure 212: Opposition GUI, Reference sub-tab for notice of opposition or intervention

Element list

- (1) User's reference (opponent, intervener or representative)
- (2) Creation date
- (3) Notice of opposition or intervention, determined by the **<ep-opposition-notice>** element
- (4) Patent number of the European patent opposed (**<country>EP</country>** implied)
- (5) Application number of the European patent opposed (**<country>EP</country>** implied)
- (6) Date of mention of the grant in the European Patent Bulletin
- (7) Title of invention
- (8) Proprietor of the patent (first named)
- (9) Opponent selected as external party, see **Names** (see "**Names - Example 1: Opposition by multiple opponents, first-named opponent is represented by employee and has separate address for correspondence**" p. 180)
- (10) Document type for notice of opposition or intervention, determined by (3)
- (11) Language of filing (selected when creating a new application)

XML ep-opposition-data.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <DOCTYPE ep-xmit-opposition-data SYSTEM "ep-xmit-opposition-data-v1.0.dtd">
3  <ep-xmit-opposition-data lang="en" dtd-version="1.0" date-produced="20100621 17:20:13">
4    <!--software_name eOLF-->
5    <!--software_version FMMNGR5027, EPOPP05027, FM_FOP0205-->
6    <!--stylesheet_version 1-->
7    <!--fop_version Version 0.20.5-->
8    <file-reference-id>Oppo_1st_oppon</file-reference-id>
9    <publication-reference>
10     <document-id lang="en">
11       <country>EP</country>
12       <doc-number>EP7898724</doc-number>
13     </document-id>
14   </publication-reference>
15   <application-reference>
16     <document-id lang="en">
17       <country>EP</country>
18       <doc-number>EP10654321.8</doc-number>
19     </document-id>
20   </application-reference>
21   <gazette-reference>
22     <gazette-num/>
23     <date>20100601</date>
24   </gazette-reference>
25   <invention-title>Instant Water</invention-title>
26   <assignees>
27     <assignee>
28       <name>Manzoni, Salvatore</name>
29     </assignee>
30   </assignees>
31   <ep-opposition-external-party external-party-role="opponent">
136  <ep-opposition-notice>
174  <ep-electronic-files doc-type="2300E">
178  <ep-financial-data cur="EUR">
215 </ep-xmit-opposition-data>

```

Figure 213: Opposition XML: data for reference to the patent opposed

PDF ep-oppo.pdf

	
3 Notice of opposition to a European patent	
I. Patent opposed	
Patent No.	4 EP7898724
Application No.	5 EP10654321.8
Date of mention of the grant in the European Patent Bulletin (Art. 97(3), Art. 99(1) EPC)	6 01 June 2010
Title of the invention	7 Instant Water
II. Proprietor of the patent	
first named in the patent specification	8 Manzoni, Salvatore
Opponent's or representative's reference	1 Oppo_1st_oppon
9 III. Opponent	
Name	Micro York

Figure 214: Opposition PDF: Notice of opposition

8.3.2 Reference - Example 3: Other action

The example shows the reply to a notice of opposition issued by the proprietor of the patent, the person being added in the Names tab.

GUI EP(Oppo) Opposition, Reference sub-tab

Figure 215: Opposition GUI: other action selected

Element list

- (1) Other action, determined by the **<ep-opposition-submission>** element
- (2) Action follows summons to oral proceedings
- (3) Proprietor role selected
- (4) Document type for submissions in the opposition procedure after summons to oral proceedings, determined by (1) and (2), see also **Document codes and file types for EP(Oppo)** (p. 171).

XML ep-opposition-data.xml

```

27  <assignee>
28    <name>Manzoni, Salvatore</name>
29  </assignee>
30 </assignees>
31 <ep-opposition-proprietor> 3
88 <ep-opposition-submission after-summons-to-op="yes"> 2
112 <ep-electronic-files doc-type="ORALLETT"> 4
116 <ep-financial-data curr="EUR">
153 </ep-xmit-opposition-data>

```

Figure 216: XML data for submission of a document by the patent proprietor

PDF ep-oppo.pdf

Figure 217: PDF form for submission in opposition proceedings, proprietor is represented by an attorney firm

8.3.3 Grounds - Example 1: Notice of opposition or intervention

The example shows the grounds for the notice of opposition issued by the opponents. An extra example illustrates the opposition filed against specific claims of the patent, issued by an intervener.

GUI EP(Oppo) Opposition, Grounds sub-tab

Figure 218: Opposition GUI: Grounds for opposition

Opposition filed against specific claims

Figure 219: Opposition against specific claims

Element list

- (1) Opposition is filed against the entire patent
- (2) The subject-matter of the patent opposed is not patentable (Art. 100(a) EPC)
- (3) Not new (Art. 52(1), 54 EPC)
- (4) No incentive step (Art. 52(1), 56 EPC)
- (5) Other grounds
- (6) Not sufficiently clear (Art. 100(b) EPC, see Art. 83 EPC)
- (7) Extends beyond the content of the application (Art. 100(c) EPC, see Art. 123(2) EPC)
- (8) Opposition is filed against claims No.

XML ep-opposition-data.xml, opposition filed against the patent as a whole

31	<ep-opposition-external-party external-party-role="opponent">
136	<ep-opposition-notice>
137	<opposition-expert-witness>
156	<opposition-filed-against>
157	1 <entire-patent/>
158	</opposition-filed-against>
159	<grounds-for-opposition>
160	2 <opposition-subject-matter>
161	<novelty-not-valid/> 3
162	4 <inventive-step-not-valid/>
163	<not-valid-other-ground/> 5
164	6 <article-num>53(c)</article-num>
165	</not-valid-other-ground/>
166	</opposition-subject-matter>
167	7 <opposition-clarity/>
168	<opposition-subject-matter-extension/> 8
169	</grounds-for-opposition>
170	<ep-submission-requests>
173	</ep-opposition-notice>
174	<ep-electronic-files doc-type="2300E">
178	<ep-financial-data curr="EUR">
215	</ep-xmit-opposition-data>

Figure 220: XML data: grounds for opposition

Opposition filed against specific claims

31	<ep-opposition-external-party external-party-role="intervener">
84	<ep-opposition-notice>
85	<opposition-expert-witness to-be-summoned-via="party">
95	<opposition-filed-against>
96	9 <claim-num>12,13,14,15</claim-num>
97	</opposition-filed-against>
98	<grounds-for-opposition>
103	<ep-submission-requests>
106	</ep-opposition-notice>

Figure 221: XML data: opposition is filed against the claims specified

PDF ep-oppo.pdf

V. Opposition is filed against

the patent as a whole 1 ☐

claim(s) No(s). 9

VI. Grounds for opposition:

Opposition is based on the following grounds:

2 (a) the subject-matter of the European patent opposed is not patentable (Art. 100(a) EPC) because:

- it is not new (Art. 52(1); Art. 54 EPC) 3 ☐
- it does not involve an inventive step (Art. 52(1); Art. 56 EPC) 4 ☐
- patentability is excluded on other grounds, namely articles 5 ☐ 6

(b) the patent opposed does not disclose the invention in a manner sufficiently clear and complete for it to be carried out by a person skilled in the art (Art. 100(b) EPC; see Art. 83 EPC). ☐ 7

(c) the subject-matter of the patent opposed extends beyond the content of the application/of the earlier application as filed (Art. 100(c) EPC, see Art. 123(2) EPC). ☐ 8

Figure 222: Opposition PDF: grounds for opposition

8.4 EP(Oppo) Names

8.4.1 Names - Example 1: Opposition by multiple opponents, first-named opponent is represented by employee and has separate address for correspondence

The example shows the data for three opponents, the first opponent being a legal person and represented by an employee. In addition, there is a separate address for correspondence connected with the first-named opponent.

GUI EP(Oppo) Opposition, Names tab

EPO Online Filing - EP(Oppo) - Oppo_1st_oppon

File Edit View Tools Windows Help

EP(Oppo) - Draft - Oppo_1st_oppon Last saved on 24.11.2011

Opposition **Names** Requests Documents Fee Payment Annotations

1 Opponents

- 2** Micro York
- 14** Parker & Partners
- 15** Kennecott, James
- Witnesses
- Address for correspondence
- 16** Micro York

Company: **3** Micro York

Department: **4** Patents

Country: **5** GB United Kingdom Telephone: **10** +44 1904 660345

Address: **6** 38, Fullerton St. Telefax: **11** +44 1904 660480

E-mail: **12** info@micro-york.co.uk

Postal code: **7** YO1 9QN

City: **8** York

GB County: **9** Yorkshire Residence: **13** GB United Kingdom

16 ☒ Address for correspondence

17 ☒ Micro York is represented by the following employee acting pursuant to Art. 133(3) EPC:

Last Name: **18** Scott General Authorisation: MIC-10234-C **21**

First Name: **19** Jessica

Title: **20** Ms

Logged in as Administrator

Figure 223: Names GUI: First opponent represented by employee

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

The screenshot shows the 'Names' tab in the EP(Oppo) Opposition GUI. On the left, there is a list of opponents and witnesses. On the right, there is a form for address data. Red circles with numbers 1 through 27 highlight specific elements:

- 1: Opponents list
- 2: Micro York (first opponent)
- 3: Company name (Micro York)
- 4: Department (Legal Affairs)
- 5: Country (GB)
- 6: Address (P.O. Box 8900)
- 7: Postal code (YO2 9QT)
- 8: City (York)
- 9: County (Yorkshire)
- 10: Parker & Partners (second opponent)
- 11: Kennecott, James (third opponent)
- 12: Address for correspondence list
- 13: Micro York (first address for correspondence)
- 14: Address for correspondence (P.O. Box 8900)
- 15: Address for correspondence (P.O. Box 8900)
- 16: Address for correspondence (P.O. Box 8900)
- 17: Address for correspondence (P.O. Box 8900)
- 18: Address for correspondence (P.O. Box 8900)
- 19: Address for correspondence (P.O. Box 8900)
- 20: Address for correspondence (P.O. Box 8900)
- 21: Address for correspondence (P.O. Box 8900)
- 22: Address for correspondence (P.O. Box 8900)
- 23: Address for correspondence (P.O. Box 8900)
- 24: Address for correspondence (P.O. Box 8900)
- 25: Address for correspondence (P.O. Box 8900)
- 26: Address for correspondence (P.O. Box 8900)
- 27: Address for correspondence (P.O. Box 8900)

Figure 224: Names GUI: Address for correspondence connected with the first-named opponent

Element list

All names are contained in the **<ep-opposition-external-party>** element. The **external-party-role** attribute indicates the persons' role, i.e. the value is **opponents** in this example.

① The registration number is not required for filings to the EPO. However, the **<registered-number>** element is still contained in the XML code.

- (1) Role of the external party is opponent
- (2) Opponent 1
- (3) Company name, legal person
- (4) Department
- (5) Country
- (6) Address
- (7) Postal code
- (8) City
- (9) County (for addresses in GB)
- (10) Telephone
- (11) Telefax
- (12) e-Mail
- (13) Residence
- (14) Opponent 2
- (15) Opponent 3
- (16) Address for correspondence is address of opponent 1
- (17) Opponent 1 represented by an employee
- (18) Last name of employee
- (19) First name of employee
- (20) Title of employee
- (21) Number of General Authorisation registered with the EPO
- (22) Address for correspondence: department of opponent 1
- (23) Address for correspondence: country of opponent 1
- (24) Address for correspondence: street and number of opponent 1
- (25) Address for correspondence: postal code of opponent 1
- (26) Address for correspondence: city of opponent 1
- (27) Address for correspondence: county of opponent 1 (for addresses in GB)

XML ep-opposition-data.xml, multiple opponents

25	<invention-title>Instant Water</invention-title>
26	<assignees>
31	<ep-opposition-external-party external-party-role="opponent">
32	<ep-external-party-participants>
33	<ep-external-party-participant sequence="1">
34	<addressbook>
35	<name name-type="legal">Micro York</name>
36	<registered-number>0.0</registered-number>
37	<address>
38	<address-2>Patents</address-2>
39	<street>38, Fullerton St.</street>
40	<city>York</city>
41	<state>Yorkshire</state>
42	<postcode>YO1 9QN</postcode>
43	<country>GB</country>
44	</address>
45	<phone>+44 1904 660345</phone>
46	<fax>+44 1904 660480</fax>
47	<email>info@micro-york.co.uk</email>
48	</addressbook>
49	<nationality>
50	<country/>
51	</nationality>
52	<residence>
53	<country>GB</country>
54	</residence>
55	</ep-external-party-participant>
56	<ep-external-party-participant sequence="2">
79	<ep-external-party-participant sequence="3">
105	</ep-external-party-participants>
106	<correspondence-address>
119	<ep-agents>
120	<ep-agent sequence="0" rep-type="employee">
121	<addressbook>
122	<prefix>Ms</prefix>
123	<last-name>Scott</last-name>
124	<first-name>Jessica</first-name>
125	<address>
126	<postcode/>
127	<country/>
128	</address>
129	</addressbook>
130	<ep-authorisations>
131	<ep-authorisation-number>MIC-10234-C</ep-authorisation-number>
132	</ep-authorisations>
133	</ep-agent>
134	</ep-agents>
135	</ep-opposition-external-party>
136	</ep-opposition-notice>

Figure 225: XML data for multiple opponents, represented by employee

```

31 1 <ep-opposition-external-party external-party-role="opponent">
32   <ep-external-party-participants>
33   2 <ep-external-party-participant sequence="1">
56   <ep-external-party-participant sequence="2"> 14
79   15 <ep-external-party-participant sequence="3">
105  </ep-external-party-participants>
106 16 <correspondence-address>
107   <addressbook>
108   3 <name name-type="legal">Micro York</name>
109   <address>
110   22 <address-2>Legal Affairs</address-2>
111   <street>P.O. Box 8900</street> 24
112   26 <city>York</city>
113   <state>Yorkshire</state> 27
114   25 <postcode>YO2 9QT</postcode>
115   <country>GB</country> 23
116   </address>
117   </addressbook>
118   </correspondence-address>
119   <ep-agents>
135  </ep-opposition-external-party>

```

Figure 226: XML data for address for correspondence connected with the first-named applicant

PDF ep-oppo.pdf, Form 2300E

Names and addresses of further opponents (14, 15) are listed on the additional sheet to EPO Form 2300E.

1 III. Opponent 2

Name 3 Micro York

4 Patents

Address: 6 38, Fullerton St.
8 York Yorkshire YO1 9QN 7
5 United Kingdom

State of residence or of principal place of business 13 United Kingdom

Telephone/Fax 10 +44 1904 660345 11 +44 1904 660480

e-mail: 12 info@micro-york.co.uk

Address for correspondence 16 Micro York

Address: 22 Legal Affairs
24 P.O. Box 8900
26 York Yorkshire YO2 9QT 25
23 United Kingdom

Multiple opponents (see additional sheet) ☒ 14 15

IV. Authorisation

17 2. Name(s) of employee(s) of the opponent authorised to act in these opposition proceedings under Art. 133(3) EPC

Authorisation(s)

is/are enclosed ☐

has/have been registered under No. 21 ☒ MIC-10234-C

18 20 19 Scott, Ms Jessica

8.4.2 Names - Example 2: Opposition by intervener

The example shows each one intervener, representative and witness.

GUI EP(Oppo) Opposition, Names tab

EPO Online Filing - EP(Oppo) - Oppo_1st_interv

File Edit View Tools Windows Help

EP(Oppo) - Draft - Oppo_1st_interv Last saved on 21.06.2010

Opposition **Names** Requests Documents Fee Payment Annotations

18 Representatives
19 Kilburn, David
1 Interveners
2 Burton, Peter
Witnesses
Harper, Malcolm

Last Name: 3 Burton
First Name: 4 Peter
Title: 5
Company: 6
Department: 7
Country: 8 GB United Kingdom
Telephone: 13 +44 161 434 1234
Address: 9 20, London Road
Telefax: 14 +44 161 434 5678
E-mail: 15 info@peter-burton.co.uk
Postal code: 10 M1 1AB
City: 11 Manchester
Nationality: 16 GB United Kingdom
GB County: 12 Greater Manchester
Residence: 17 GB United Kingdom
☐ Address for correspondence

Logged in as Administrator

Figure 227: Names GUI: Intervener's data

Element list

Interveners and representatives are contained in the **<ep-opposition-external-party>** element. The data on the witnesses, however, is contained in (multiple) **<opposition-expert-witness>** elements as child elements of the **<ep-opposition-notice>** element.

- (1) Role of the external party is intervener
- (2) Intervener 1
- (3) Last name, natural person
- (4) First name
- (5) Title
- (6) Company name (if intervener is working in a company)
- (7) Department
- (8) Country
- (9) Address
- (10) Postal code
- (11) City
- (12) County (for addresses in GB)
- (13) Telephone

- (14) Telefax
- (15) e-Mail
- (16) Nationality (not required for legal persons)
- (17) Residence
- (18) Representatives
- (19) Representative 1 (with address data)
- (20) Witness (only natural persons allowed)
- (21) Last name
- (22) First name
- (23) Title
- (24) Witness to be summoned via opponent
- (25) Witness' address data (alternative to 24)

XML ep-opposition-data.xml, intervener and witness

31	<ep-opposition-external-party external-party-role="intervener">	1
32	<ep-external-party-participants>	
33	<ep-external-party-participant sequence="1">	2
34	<addressbook>	
35	<prefix></prefix>	5
36	<last-name>Burton</last-name>	3
37	<first-name>Peter</first-name>	4
38	<orgname></orgname>	6
39	<department></department>	7
40	<registered-number>0.0</registered-number>	
41	<address>	
42	<street>20, London Road</street>	9
43	<city>Manchester</city>	11
44	<state>Greater Manchester</state>	12
45	<postcode>M1 1AB</postcode>	10
46	<country>GB</country>	8
47	</address>	
48	<phone>+44 161 434 1234</phone>	13
49	<fax>+44 161 434 5678</fax>	14
50	<email>info@peter-burton.co.uk</email>	15
51	</addressbook>	
52	<nationality>	
53	<country>GB</country>	16
54	</nationality>	
55	<residence>	
56	<country>GB</country>	17
57	</residence>	
58	</ep-external-party-participant>	
59	</ep-external-party-participants>	
60	<ep-agents>	18
61	<ep-agent sequence="1" rep-type="agent">	19
62	</ep-agents>	
63	</ep-opposition-external-party>	
64	<ep-opposition-notice>	24
65	<opposition-expert-witness to-be-summoned-via="party">	20
66	<addressbook>	
67	<prefix>Mr</prefix>	23
68	<last-name>Harper</last-name>	21
69	<first-name>Malcolm</first-name>	22
70	<address>	25
71	</addressbook>	
72	</opposition-expert-witness>	
73	</opposition-filed-against>	

Figure 228: Names XML: intervener's data and witness

PDF ep-oppo.pdf, intervener

1 III. Intervener 2	
Name	3 Burton Peter 4
Address:	9 20, London Road 12 10
	11 Manchester Greater Manchester M1 1AB
	8 United Kingdom
State of residence or of principal place of business	16 United Kingdom
Country of nationality	17 United Kingdom
Telephone/Fax	13 +44 161 434 1234 14 +44 161 434 5678
e-mail:	15 info@peter-burton.co.uk
Multiple interveners (see additional sheet)	☐
IV. Authorisation	
18 1. Representative	19 Kilburn, Mr. David
Registration No.:	123456789
Company:	IP Partners
Department:	European Patents
Address of place of business	Cambridge Science Park 100 Red Lion Square Cambridge Cambridgeshire CB2 1AB

Figure 229: Form 2300E PDF: intervener

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

Additional Sheet(s) to Form EP2300E	
Opponent's or representative's reference	Oppo_1st_interv
Witness(es)	
20 1. Witness	22 23 21 Harper, Mr Malcolm
to be summoned via:	Opponent 24

Figure 230: Additional Sheet for EPO Form 2300E: Witness(es)

8.4.3 Names - Example 3: Proprietor responds to the opposition

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

GUI EP(Oppo) Opposition, Names tab

The screenshot shows the 'Names' tab in the 'EP(Oppo) - Draft - Oppo_2nd_prop' window. The left sidebar contains a list of names with icons and red circles 1 through 6. The main form contains various input fields with red circles 7 through 19 highlighting specific data points.

Field	Value	Red Circle Number
Company	Associés Lefèvre	7
Department	Brevets et marques déposées	8
Association	25	9
Country	FR France	11
Address	10, place de la concorde	12
Postal code	69003	13
City	Lyon	14
Region		15
Telephone	+33 4 7812 3456	16
Telefax	+33 4 7812 3457	17
E-mail	lacroix@lefevre-associes.fr	18
Authorisation(s)	☒ has/have been registered under No. AS-2390/4567	19

Figure 231: Names GUI: representative's data

Element list

Proprietors and representatives are contained in the **<ep-opposition-proprietor>** element. The data on the witnesses is contained in (multiple) **<opposition-expert-witness>** elements as child elements of the **<ep-opposition-submission>** element.

- (1) Patent proprietor(s)
- (2) Proprietor 1
- (3) Representative(s)
- (4) Representative 1
- (5) Witness
- (6) Witness' name and address
- (7) Company name, legal person
- (8) Department
- (9) Association (if applicable)
- (10) Registration number (not required, but still contained in the XML code)
- (11) Country
- (12) Address
- (13) Postal code

- (14) City
- (15) Region (not applicable for addresses in FR)
- (16) Telephone
- (17) Telefax
- (18) E-mail
- (19) Authorisation number
- (20) Request for the taking of evidence by the hearing of a witness

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



Figure 232: Names XML: representative's data

PDF ep-oppo.pdf, representative and proprietor

 Europäisches Patentamt European Patent Office Office européen des brevets		Submission in opposition proceedings	
Sender: 7 Associés Lefèvre Brevets et marques déposées 8 12 10, place de la concorde 13 69003 Lyon 14 11 France 16 Phone: +33 4 7812 3456 17 Fax: +33 4 7812 3457 18 E-mail: lacroix@lefevre-associes.fr		80298 Munich Germany Tel. +49(0)89 2399-0 Fax -4465 P.O. Box 5818 NL-2280 HV Rijswijk Netherlands Tel. +31(0)70 340-2040 Fax -3016 10958 Berlin Germany Tel. +49(0)30 25901-0 Fax -840	
- representing the proprietor(s):		2 Mr. Salvatore Manzoni	

Figure 233: Submission form PDF: representative's address used for communication

PDF ep-oppo.pdf, witness

The request for the taking of evidence by the hearing of a witness (20) is always selected once a witness has been added to the application.

Requests:	
20 • The taking of evidence in the form of the hearing of a witness is hereby requested.	
5 Witness(es)	
1. Witness:	6 Lavail, M. Thierry 120 Avenue des Pyrénées 31200 Toulouse France
to be summoned via:	
Telephone/Fax	+33 55 123456 +33 55 123457

Figure 234: Submission form PDF: Request for hearing of a witness and witness' address

8.4.4 Names - Example 4: Third party files evidence

The example shows the third party's data and her representative.

GUI EP(Oppo) Opposition, Names tab

Figure 235: Names GUI: third party and representative

Element list

Third parties and representatives are contained in the **<ep-opposition-external-party>** element with **third-party** as the value of the **external-party-role** attribute. Like the data on the intervener (see **Names - Example 3: Proprietor responds to the opposition** (p. 187)), the data on the third party is not visible in the PDF form if a representative has been added, but the data is nevertheless contained in the XML file.

- (1) Representative(s)
- (2) Representative 1
- (3) Third party(parties)
- (4) Third party 1
- (5) Company name, legal person
- (6) Department
- (7) Country
- (8) Address
- (9) Postal code
- (10) City
- (11) Region (applicable for counties in GB)

XML ep-opposition-data.xml, third party and representative

```

26  <assignees>
31  3 <ep-opposition-external-party external-party-role="third-party">
32    <ep-external-party-participants>
33    4 <ep-external-party-participant sequence="1">
34      <addressbook>
35      5 <name name-type="legal">Parker & Partners</name>
36        <registered-number></registered-number>
37      <address>
38      6 <address-2>Nanotechnology</address-2>
39        <street>267, Harbour Road</street> 8
40      10 <city>Dover</city>
41        <state>Kent</state> 11
42        <postcode>CT16 3PJ</postcode> 9
43      7 <country>GB</country>
44      </address>
45      <phone></phone>
46      <fax></fax>
47      <email></email>
48      </addressbook>
49      <nationality>
50        <country/>
51      </nationality>
52      <residence>
53        <country></country>
54      </residence>
55    </ep-external-party-participant>
56  </ep-external-party-participants>
57  <ep-agents>
58  1 <ep-agent sequence="1" rep-type="attorney">
59    2 <addressbook>
78    </ep-agent>
79  </ep-agents>
80 </ep-opposition-external-party>

```

Figure 236: Names XML: data on third party

PDF ep-oppo.pdf, representative and third party

		Observations by third parties (Art. 115 EPC)	
Sender: 2 Ms Christina Portland IP Partners Patents and Trademarks 123 City Street London Greater London W1A B2C United Kingdom Phone: +44 20 123 4567 Fax: +44 20 123 6789 E-mail: c.portland@ip-partners.co.uk		80298 Munich Germany Tel. +49(0)89 2399-0 Fax -4465 P.O. Box 5818 NL-2280 HV Rijswijk Netherlands Tel. +31(0)70 340-2040 Fax -3016 10958 Berlin Germany Tel. +49(0)30 25901-0 Fax -840	
3 - for the third party/parties:		4 Parker & Partners	

Figure 237: PDF Observation by third parties (Art. 115 EPC): representative's address and third party's name

8.5 EP(Oppo) Requests

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

! *Note: Third parties cannot file any requests.*

For example, request of withdrawal of opposition can only be made by opponents in the second communication, or, request of revocations of the patent can only be submitted by the proprietor of the patent, both excluding all other options in the **Requests** tab.

The following examples illustrate most of the possible combinations.

8.5.1 Requests - Example 1: Opponents request for oral proceedings

A request for the taking of evidence by the hearing of a witness must always be indicated if one or more witnesses have been nominated in the **Names** section.

In addition, this example shows the filing of more requests by the opponents: request for oral proceedings with auxiliary option, request for interpreting, request for accelerated processing and an other request.

① The same options are available for the interveners in case of notice of intervention.

GUI EP(Oppo), Requests tab

The screenshot shows the 'Requests' tab in the EPO Online Filing software. The window title is 'EPO Online Filing - EP(Oppo) - Oppo_1st_oppon'. The menu bar includes File, Edit, View, Tools, Windows, and Help. The toolbar contains icons for saving, undo, redo, and help. The main area is titled 'EP(Oppo) - Draft - Oppo_1st_oppon' and 'Last saved on 21.06.2010'. The 'Requests' tab is selected, showing several sections:

- Withdrawal/revocation:** Two checkboxes are present: 'Withdrawal of opposition' and 'Request for revocation of the patent'.
- Oral proceedings:**
 - 1. 'Request for oral proceedings' is checked.
 - 2. 'auxiliary' is checked.
 - 3. 'Request for interpreting' is checked.
 - 4. 'listening in' is set to 'French'.
 - 5. 'speaking in' is set to 'French'.
 - 'Withdrawal of request for oral proceedings' is unchecked.
- Extension of time limit:**
 - 'Request for extension of time limit of' is unchecked.
 - The time limit is set to '2 month(s)'.
 - A 'Reason:' text box is present.
- Other:**
 - 6. 'Request for the taking of evidence by the hearing of a witness' is checked.
 - 7. 'Request for accelerated processing' is checked.
 - 8. 'Other requests:' is checked.
 - 9. The text box for 'Other requests' contains 'We request access for file inspection.'

The status bar at the bottom shows 'Logged in as Administrator' and a notification area with icons for errors, warnings, and information.

Figure 238: Requests GUI: Requests submitted by the opponents

Element list

- (1) Request for oral proceedings
- (2) Auxiliary request
- (3) Request for interpreting
- (4) Listening language
- (5) Speaking language
- (6) Request for the taking of evidence by the hearing of a witness
- (7) Request for accelerated processing
- (8) Other requests
- (9) Other request No. 1 - more requests can be added and enumerated consecutively
- (10) Notice of opposition selected
- (11) Opponents listed

XML ep-opposition-data.xml

Figure 239: XML data: Requests by opponent

PDF ep-oppo.pdf

VIII. Other requests:

- 1 • Oral proceedings are hereby requested auxilarily.
- 2
- 3 • Interpreting is requested in the following languages:
 - listening in: French 4
 - speaking in: French 5
- 6 • The taking of evidence in the form of the hearing of a witness is hereby requested.
For witness details see additional sheet.
- 7 • Accelerated processing is hereby requested.
- 8 • We request access for file inspection. 9

Figure 240: PDF notice of opposition: Other requests

8.5.2 Requests - Example 2: Opponent withdraws opposition

The example shows the second communication filed by an opponent, thus, **other action** is selected in the **Opposition** tab. Only one opponent can be added in the **Names** section in this case.

Selecting the option **Withdrawal of opposition** deactivates the other options in the GUI, except request for accelerated processing and other requests.

GUI EP(Oppo), Requests tab

Withdrawal/revocation

☒ Withdrawal of opposition 1 ☐ Request for revocation of the patent

Oral proceedings

☐ Request for oral proceedings ☐ Request for interpreting

Figure 241: Request GUI: Withdrawal of opposition

Element list

- (1) Request for withdrawal of opposition
- (2) Submission in opposition proceedings selected
- (3) Opponent is named

XML ep-opposition-data.xml

```

26 <assignees>
31 3 <ep-opposition-external-party external-party-role="opponent">
32 <ep-external-party-participants>
33 <ep-external-party-participant sequence="1">
56 </ep-external-party-participants>
57 </ep-opposition-external-party>
58 2 <ep-opposition-submission after-summons-to-op="no">
59 <ep-submission-requests>
60 1 <ep-submission-request request-type="opposition-withdrawn"/>
61 </ep-submission-requests>
62 </ep-opposition-submission>

```

Figure 242: XML data: Request for withdrawal of opposition

PDF ep-oppo.pdf

Figure 243: PDF form: Requests

8.5.3 Requests - Example 3: Proprietor withdraws request for oral proceedings

The example shows the **withdrawal of request for oral proceedings** by the proprietor, requesting for **extension of time limit** at the same time.

GUI EP(Oppo), Requests tab

Figure 244: Requests GUI: Requests by proprietor

Element list

- (1) Withdrawal of request for oral proceedings
- (2) Request for extension of time limit
- (3) Number of months requested for extension
- (4) Reason for the extension
- (5) Request for hearing of a witness

XML ep-opposition-data.xml

26	<assignees>
31	6 <ep-opposition-proprietor>
32	<file-reference-id/>
33	<ep-parties>
34	<applicants>
35	7 <applicant sequence="1" designation="as-indicated" app-type="applicant">
61	</applicant>
62	</applicants>
62	<ep-agents>
86	</ep-agents>
86	</ep-parties>
87	</ep-opposition-proprietor>
88	<ep-opposition-submission after-summons-to-op="yes">
89	<opposition-expert-witness>
108	<ep-submission-requests>
109	1 <ep-submission-request request-type="oral-proceedings-withdrawn"/>
110	<ep-submission-request request-type="hearing-of-witness"/> 5
111	2 <ep-submission-request request-type="extension-time-limit">
112	<time-limit time-units="months">2</time-limit> 3
113	<ep-submission-request-comment>
114	4 <p num="0001">The proprietor of the patent cannot take part in oral proceedings due to serious illness.</p>
115	</ep-submission-request-comment>
116	</ep-submission-request>
117	</ep-submission-requests>
118	</ep-opposition-submission>

Figure 245: Requests XML: Proprietor's requests

PDF ep-oppo.pdf

Requests:	
1	• The request for oral proceedings is hereby withdrawn.
5	• The taking of evidence in the form of 3 the hearing of a witness is hereby requested.
2	• An extension of the time limit of 2 month(s) is hereby requested.
4	Reason: The proprietor of the patent cannot take part in oral proceedings due to serious illness.
Witness(es)	

Figure 246: Requests PDF: Proprietor's requests

8.5.4 Requests - Example 4: Proprietor requests for revocation of the patent

Following the notice of opposition by an external party, this example shows the **request for revocation of the patent** by the proprietor, represented by an attorney. Selecting this option excludes all other requests except request for accelerated processing and other requests.

GUI EP(Oppo), Requests tab

Withdrawal/revocation

☐ Withdrawal of opposition 1 ☒ Request for revocation of the patent

Oral proceedings

☐ Request for oral proceedings ☐ Request for interpreting

Figure 247: Requests tab: Revocation of the patent

Element list

- (1) Request for revocation of the patent by proprietor
- (2) Submission in opposition procedure selected
- (3) Proprietor added
- (4) Only one applicant (i.e., the proprietor) can be named

XML ep-opposition-data.xml

```

26  <assignees>
31  3 <ep-opposition-proprietor>
32    <file-reference-id/>
33  <ep-parties>
34    <applicants>
35    4 <applicant sequence="1" designation="as-indicated" app-type="applicant">
61    </applicants>
62    <ep-agents>
86  </ep-parties>
87  </ep-opposition-proprietor>
88  2 <ep-opposition-submission after-summons-to-op="yes">
89    <opposition-expert-witness>
108  <ep-submission-requests>
109  1 <ep-submission-request request-type="revocation"/>
110  </ep-submission-requests>
111  </ep-opposition-submission>
  
```

Figure 248: Requests XML: Proprietor requests for revocation of the patent

PDF ep-oppo.pdf

Requests:

1 • Revocation of the patent is hereby requested.

Witness(es)

Figure 249: Requests PDF: Revocation of the patent by the proprietor

8.6 EP(Oppo) Documents

Various documents may be attached to the EP(Oppo) form in the **Documents** tab. As a basic principle, the choices depend on the kind of communication selected (notice of opposition or other action) and the persons listed. See the complete list in chapter **Document codes and file types for EP(Oppo)** (p. 171).

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. 198)

Documents - Example 2: Second communication by opponent (p. 201)

Documents - Example 3: Reply to opposition by proprietor (p. 203)

Documents - Example 4: Third party observations (p. 206)

The options in the **Evidence - publications** (p. 208) and **Evidence - other** (p. 219) sub-tabs are identical for all cases of communication and persons.

8.6.1 Documents - Example 1: Opponents files documents for opposition

The example shows the attachment of the mandatory **facts and arguments** and of a document containing information about further representatives, issued by the opponent (or intervener) in 1st communication.

The options for **other documents** are:

- ◆ General authorisation
- ◆ Specific authorisation
- ◆ Document containing information on further representatives
- ◆ Request for change of address
- ◆ Request for change of name
- ◆ Request for change of representative
- ◆ Request for transfer of rights
- ◆ <other document>

EP(Oppo) Documents GUI, Documents sub-tab

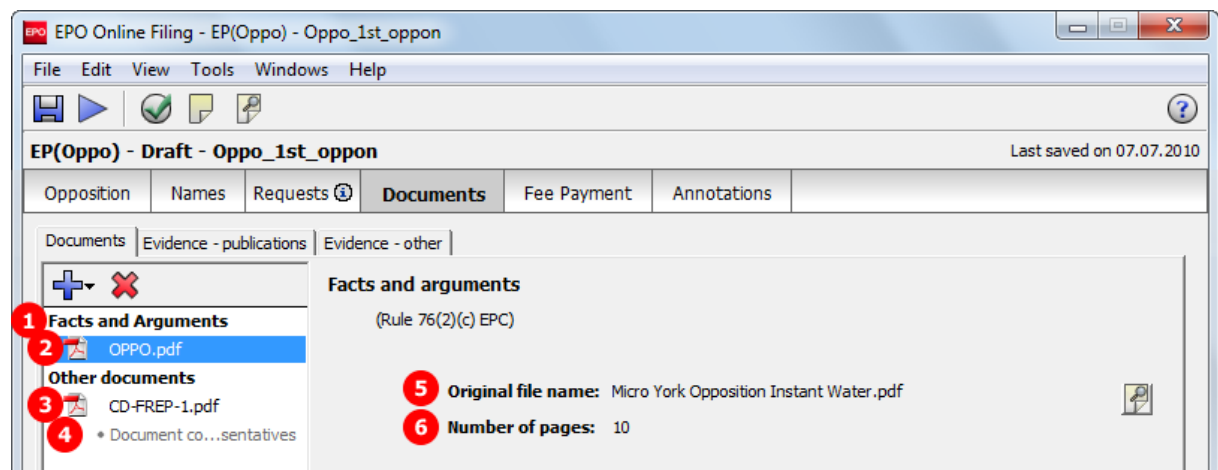


Figure 250: Documents GUI: Opponent files facts and arguments and another document

Element list

- (1) Document type **Facts and Arguments**
- (2) EPO file name for Facts and Arguments
- (3) EPO file name for information on further representatives
- (4) Document type **Document concerning information on further representatives**
- (5) Original file name of Facts and Arguments
- (6) Number of pages (does not appear in XML file or in PDF form)
- (7) Original file name of document concerning information on further representatives
- (8) Document type **Notice of opposition**, Form 2300E
- (9) EPO file name for notice of opposition
- (10) Document type XML for notice of opposition
- (11) EPO file name for notice of opposition

XML ep-opposition-data.xml

Like in other electronic EP filing procedures, the attached documents are referenced both in the XML request file (**ep-opposition-data.xml**) and in the **package-data.xml** file. There is no **application-body.xml** file.

8	<file-reference-id>Oppo_1st_oppon</file-reference-id>
9	<publication-reference>
15	<application-reference>
21	<gazette-reference>
25	<invention-title>Instant Water</invention-title>
26	<assignees>
31	<ep-opposition-external-party external-party-role="opponent">
123	<ep-opposition-notice>
171	<ep-opposition-evidence party-reference="B04">
184	<ep-opposition-evidence party-reference="B01">
206	<ep-opposition-evidence party-reference="B06">
229	<ep-opposition-evidence party-reference="B07">
247	<ep-opposition-evidence party-reference="B02">
266	8 <ep-electronic-files doc-type="2300E">
267	<applicant-file-name/>
268	9 <epo-file-name>ep-oppo.pdf</epo-file-name>
269	</ep-electronic-files>
270	1 <ep-electronic-files doc-type="FACTS_ARGMTS">
271	<applicant-file-name>Micro York Opposition Instant Water.pdf</applicant-file-name> 5
272	2 <epo-file-name>OPPO.pdf</epo-file-name>
273	</ep-electronic-files>
274	3 <ep-electronic-files doc-type="CD-FREP">
275	<applicant-file-name>Micro York Representative Info.pdf</applicant-file-name> 7
276	4 <epo-file-name>CD-FREP-1.pdf</epo-file-name>
277	</ep-electronic-files>
278	<ep-electronic-files doc-type="PATENT">
282	<ep-electronic-files doc-type="ARTICLE">
286	<ep-electronic-files doc-type="BOOK">
290	<ep-electronic-files doc-type="DATABASE">
294	<ep-electronic-files doc-type="INTERNET">
298	<ep-financial-data curr="EUR">
335	</ep-xmit-opposition-data>

Figure 251: Documents data in XML file

XML package-data.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE package-data SYSTEM "package-data.dtd">
3  <package-data lang="en" dtd-version="1.0" produced-by="applicant">
4    <transmittal-info>
11   <signatories>
21   <application-request file="ep-opposition-data.xml"/>
22   <other-documents>
23     <other-doc file="ep-oppo.pdf" file-type="pdf"> 9
24       <document-name>2300E</document-name>
25       <dtext/>
26     </other-doc>
27     <other-doc file="ep-opposition-data.xml" file-type="xml"> 11
28       <document-name>REQXML</document-name>
29       <dtext/>
30     </other-doc>
31     <other-doc file="OPPO.pdf" file-type="pdf"> 2
32     <1> <document-name>FACTS_ARGMTS</document-name>
33       <dtext>Facts_and_Arguments_in_Opposition</dtext>
34     </other-doc>
35     <other-doc file="CD-FREP-1.pdf" file-type="pdf"> 4
36     <3> <document-name>CD-FREP</document-name>
37       <dtext>Document containing information about further representatives</dtext>
38     </other-doc>
39     <other-doc file="Published-Evidence-1.pdf" file-type="pdf">
43     <other-doc file="Published-Evidence-2.pdf" file-type="pdf">
47     <other-doc file="Published-Evidence-3.pdf" file-type="pdf">
51     <other-doc file="Published-Evidence-4.pdf" file-type="pdf">
55     <other-doc file="Published-Evidence-5.pdf" file-type="pdf">
59   </other-documents>
60 </package-data>

```

Figure 252: References to attached files in package-data.xml

PDF ep-oppo.pdf

B Attached document files		Original file name:	System file name:
B-1	1 1. Facts and arguments	5 Micro York Opposition Instant Water.pdf	OPPO.pdf 2
B-2	4 1. Document containing information about further representatives	7 Micro York Representative Info.pdf	CD-FREP-1.pdf 3

Figure 253: Documents PDF: files attached by opponent

8.6.2 Documents - Example 2: Second communication by opponent

The following combination of documents can be attached in the 2nd communication of an opponent (or intervener):

- ◆ Facts and Arguments
 - OR-
 - Reply to the communication concerning admissibility of an opposition
 - AND-
 - Reply to observations made by the patent proprietor(s)
 - OR-
 - Reply to an examination report in opposition proceedings
 - AND-
- ◆ Other documents (same options like in first communication)

The example below shows two attachments filed by the opponent.

EP(Oppo) Documents GUI, Documents sub-tab

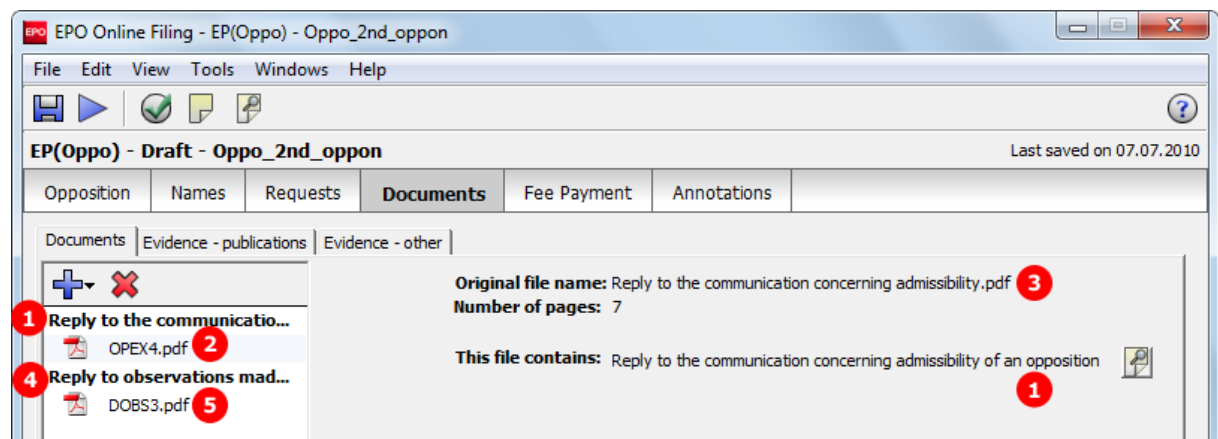


Figure 254: Documents GUI: Opponent files documents in second communication

Element list

- (1) Document type **Reply to the communication concerning admissibility of an opposition**
- (2) EPO file name for OPEX4
- (3) Original file name
- (4) Document type **Reply to observations made by the patent proprietor(s)**
- (5) EPO file name for DOBS3
- (6) Original file name
- (7) Document type **Submission in opposition procedure**, filed by opponent
- (8) EP(Oppo) PDF form

XML ep-opposition-data.xml

① Note that the document code for the EP(Oppo) form is **OPPOLETT** in the case of 2nd communication before or unrelated to summons to oral proceedings.

```

31  <ep-opposition-external-party external-party-role="opponent">
58  <ep-opposition-submission after-summons-to-op="no">
63  <ep-electronic-files doc-type="OPPOLETT"> 7
64    <applicant-file-name/>
65    <epo-file-name>ep-oppo.pdf</epo-file-name> 8
66  </ep-electronic-files>
67  <ep-electronic-files doc-type="OPEX4"> 1
68    3 <applicant-file-name>Reply to the communication concerning admissibility.pdf</applicant-file-name>
69    <epo-file-name>OPEX4.pdf</epo-file-name> 2
70  </ep-electronic-files>
71  <ep-electronic-files doc-type="DOBS3"> 4
72    6 <applicant-file-name>Reply to observations made by the patent proprietor.pdf</applicant-file-name>
73    <epo-file-name>DOBS3.pdf</epo-file-name> 5
74  </ep-electronic-files>
75  <ep-financial-data curr="EUR">
112 </ep-xmit-opposition-data>

```

Figure 255: Documents XML: attachments by opponent in 2nd communication

PDF ep-oppo.pdf

Documents attached:			
	Description of document	Original file name	Assigned file name
1	Reply to the communication concerning admissibility of an opposition 1	Reply to the communication concerning admissibility.pdf 3	2 OPEX4.pdf
2	Reply from the opponent to submission of proprietor 4	Reply to observations made by the patent proprietor.pdf 6	5 DOBS3.pdf

Figure 256: Documents PDF: attachments by opponent in reply

8.6.3 Documents - Example 3: Reply to opposition by proprietor

The 2nd communication by the proprietor allows for attaching the following documents:

- ♦ Reply to notice(s) of opposition
- ♦ Reply to an examination report in opposition proceedings
- ♦ Main request document
- ♦ Separate auxiliary request document
- ♦ Acknowledgement
- ♦ Other documents
 - General authorisation
 - Specific authorisation
 - Document containing information about further representatives
 - German translation of claims
 - English translation of claims
 - French translation of claims
 - Request for change of address
 - Request for change of name
 - Request for change of representative
 - Request for transfer of rights
 - <other document>

The example illustrates some documents filed by the proprietor of the patent.

EP(Oppo) Documents GUI, Documents sub-tab

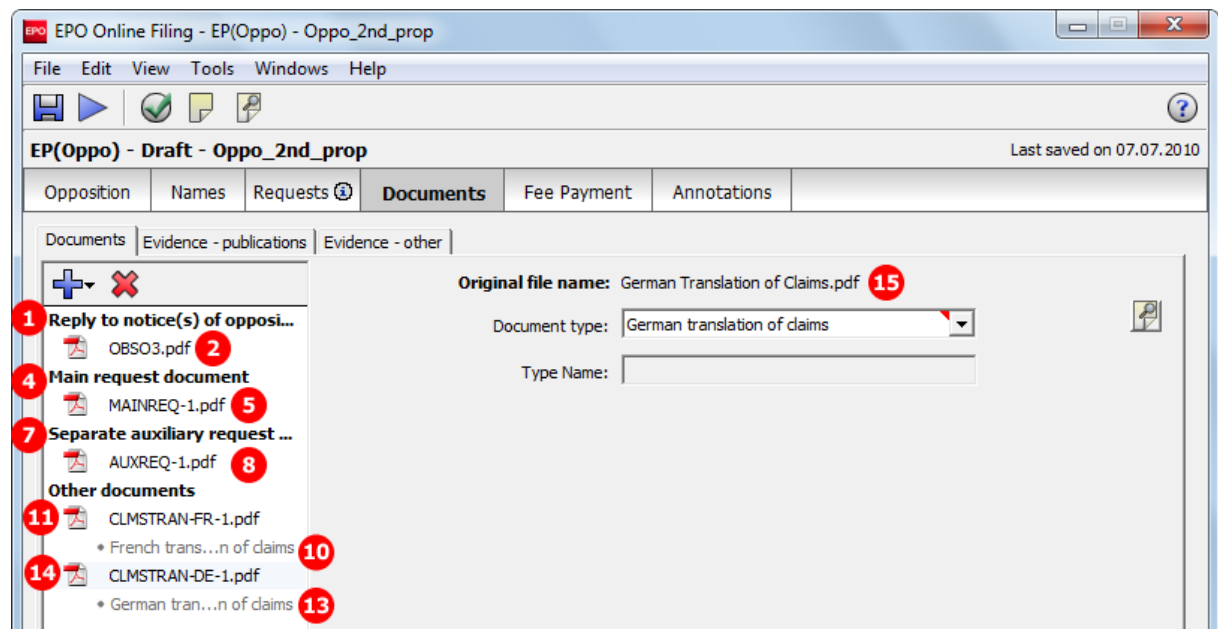


Figure 257: Documents GUI: Proprietor files document in reply to the opposition

Element list

- (1) Document type ***Reply to notice(s) of opposition***
- (2) EPO file name for OBSO3
- (3) Original file name
- (4) Document type ***Main request document***
- (5) EPO file name for MAINREQ-O
- (6) Original file name
- (7) Document type ***Separate auxiliary request document***
- (8) EPO file name for AUXREQ-O
- (9) Original file name
- (10) Document type ***French translation of claims***
- (11) EPO file name for CLMSTRAN-FR
- (12) Original file name
- (13) Document type ***German translation of claims***
- (14) EPO file name for CLMSTRAN-DE
- (15) Original file name
- (16) Document type for ***Submission in Opposition***, following summons to oral proceedings
- (17) EP(Oppo) PDF form
- (18) Summons to oral proceedings indicated

XML ep-opposition-data.xml

① Note that the document code for the EP(Oppo) form is **ORALLETT** in the case of 2nd communication after summons to oral proceedings.

```

31  <ep-opposition-propriotor>
88  <ep-opposition-submission after-summons-to-op="yes">
119 16 <ep-electronic-files doc-type="ORALLETT">18
120    <applicant-file-name/>
121 17 <epo-file-name>ep-oppo.pdf</epo-file-name>
122    </ep-electronic-files>
123 1 <ep-electronic-files doc-type="OBSO3">
124    <applicant-file-name>Reply to notice of opposition.pdf</applicant-file-name> 3
125    2 <epo-file-name>OBSO3.pdf</epo-file-name>
126    </ep-electronic-files>
127 7 <ep-electronic-files doc-type="AUXREQ-O">
128    <applicant-file-name>Auxiliary Request Document.pdf</applicant-file-name> 9
129    8 <epo-file-name>AUXREQ-1.pdf</epo-file-name>
130    </ep-electronic-files>
131 4 <ep-electronic-files doc-type="MAINREQ-O">
132    <applicant-file-name>Main Request Document.pdf</applicant-file-name> 6
133    5 <epo-file-name>MAINREQ-1.pdf</epo-file-name>
134    </ep-electronic-files>
135 10 <ep-electronic-files doc-type="CLMSTRAN-FR">
136    <applicant-file-name>FrenchTranslation of Claims.pdf</applicant-file-name> 12
137    11 <epo-file-name>CLMSTRAN-FR-1.pdf</epo-file-name>
138    </ep-electronic-files>
139 13 <ep-electronic-files doc-type="CLMSTRAN-DE">
140    <applicant-file-name>German Translation of Claims.pdf</applicant-file-name> 15
141    14 <epo-file-name>CLMSTRAN-DE-1.pdf</epo-file-name>
142    </ep-electronic-files>
143  <ep-financial-data curr="EUR">
180  </ep-xmit-opposition-data>

```

Figure 258: Documents XML: attached documents in 2nd communication by proprietor

PDF ep-oppo.pdf

Documents attached:			
	Description of document	Original file name	Assigned file name
1	Reply of the patent proprietor to the notice(s) of opposition 1	Reply to notice of opposition.pdf 3	OBSO3.pdf 2
2	Main request in opposition 4	Main Request Document.pdf 5	MAINREQ-1.pdf 6
3	Auxiliary request in opposition 7	Auxiliary Request Document.pdf 8	AUXREQ-1.pdf 9
4	German translation of claims 13	German Translation of Claims.pdf 14	CLMSTRAN-DE-1.pdf 15
5	French translation of claims 10	FrenchTranslation of Claims.pdf 11	CLMSTRAN-FR-1.pdf 12

Figure 259: Documents XML: attachments for submission in opposition proceedings

8.6.4 Documents - Example 4: Third party observations

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

EP(Oppo) Documents GUI, Documents sub-tab

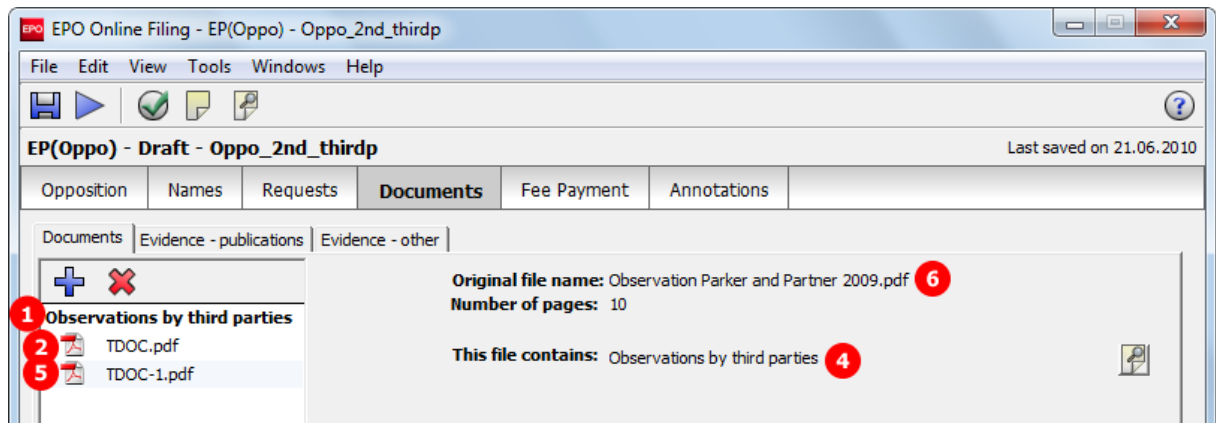


Figure 260: Documents GUI: Third party files observations

Element list

- (1) Document type **Observations by third parties**
- (2) EPO file name
- (3) Original file name
- (4) Document type **Observations by third parties**
- (5) EPO file name
- (6) Original file name
- (7) Document type **Third Party Observation**
- (8) EP(Oppo) PDF form

XML ep-opposition-data.xml

① Note that the document code for the EP(Oppo) form is **TIPA1** for all communication by third parties.

```

31  <ep-opposition-external-party external-party-role="third-party">
80  <ep-opposition-submission after-summons-to-op="no"/>
81  7 <ep-electronic-files doc-type="TIPA1">
82    <applicant-file-name/>
83    8 <epo-file-name>ep-oppo.pdf</epo-file-name>
84  </ep-electronic-files>
85  1 <ep-electronic-files doc-type="TDOC">
86    <applicant-file-name>Observation Parker and Partner.pdf</applicant-file-name> 3
87    2 <epo-file-name>TDOC.pdf</epo-file-name>
88  </ep-electronic-files>
89  4 <ep-electronic-files doc-type="TDOC">
90    <applicant-file-name>Observation Parker and Partner 2009.pdf</applicant-file-name> 6
91    5 <epo-file-name>TDOC-1.pdf</epo-file-name>
92  </ep-electronic-files>
93  <ep-financial-data cur="EUR">
130 </ep-xmit-opposition-data>

```

Figure 261: Documents XML: references to files attached by third party

PDF ep-oppo.pdf

Documents attached:			
	Description of document	Original file name	Assigned file name
1	Citation filed by a third party 1	Observation Parker and Partner.pdf 2	TDOC.pdf 3
2	Citation filed by a third party 4	Observation Parker and Partner 2009.pdf 5	TDOC-1.pdf 6

Figure 262: Documents PDF: observations filed by third party

8.6.5 Evidence - publications

Data related to published evidences figure both as XML elements with various child elements and as PDF documents. The example shows the five different options for citing publications:

- ◆ Patents
- ◆ Articles
- ◆ Books
- ◆ Database
- ◆ Internet publications

It is important to provide accurate data for the evidences, following the system also used for scientific bibliographies. The number of evidences is unlimited. Each evidence, **<patcit>** for patent literature or **<nplit>** for non-patent literature, is enclosed in an **<ep-opposition-evidence>** element and is numbered consecutively.

XML ep-opposition-data.xml: references to applicant's files

① Note that the references to all attached files for evidence publications are listed below the bibliographic data for the evidences. The original file name assigned by the applicant is contained in the usual **<applicant-file-name>** element.

```

31  <ep-opposition-external-party external-party-role="opponent">
123  <ep-opposition-notice>
171  <ep-opposition-evidence party-reference="B04">
184  <ep-opposition-evidence party-reference="B01">
206  <ep-opposition-evidence party-reference="B06">
229  <ep-opposition-evidence party-reference="B07">
247  <ep-opposition-evidence party-reference="B02">
266  <ep-electronic-files doc-type="2300E">
270  <ep-electronic-files doc-type="FACTS_ARGMTS">
274  <ep-electronic-files doc-type="CD-FREP">
278  <ep-electronic-files doc-type="PATENT">
279    <applicant-file-name>B04_pulverisiertes_wasser_patent.pdf</applicant-file-name>
280    <epo-file-name>Published-Evidence-1.pdf</epo-file-name>
281  </ep-electronic-files>
282  <ep-electronic-files doc-type="ARTICLE">
283    <applicant-file-name>B01_Article_Nanotechnology_Aug_2008.pdf</applicant-file-name>
284    <epo-file-name>Published-Evidence-2.pdf</epo-file-name>
285  </ep-electronic-files>
286  <ep-electronic-files doc-type="BOOK">
287    <applicant-file-name>B06_Surface_Technology.pdf</applicant-file-name>
288    <epo-file-name>Published-Evidence-3.pdf</epo-file-name>
289  </ep-electronic-files>
290  <ep-electronic-files doc-type="DATABASE">
291    <applicant-file-name>B07_Database_Polymer_Institute.pdf</applicant-file-name>
292    <epo-file-name>Published-Evidence-4.pdf</epo-file-name>
293  </ep-electronic-files>
294  <ep-electronic-files doc-type="INTERNET">
295    <applicant-file-name>B02_Internet_Nanotechnology.pdf</applicant-file-name>
296    <epo-file-name>Published-Evidence-5.pdf</epo-file-name>
297  </ep-electronic-files>
298  <ep-financial-data cur="EUR">
335  </ep-xmit-opposition-data>

```

Figure 263: Documents XML: all attachments listed with document type, applicant's file name and EPO file name

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

EPO Online Filing - EP(Oppo) - Oppo_1st_oppon

File Edit View Tools Windows Help

EP(Oppo) - Draft - Oppo_1st_oppon Last saved on 07.07.2010

Opposition Names Requests **Documents** Fee Payment Annotations

Documents Evidence - publications Evidence - other

Patent publication

Original file name: **3** B04_pulverisiert...asser_patent.pdf **Number of pages:** 7

Reference: **4** B04 e.g. D01, E02, etc.

Patent office: **5** DE Germany

Publication number: **6** DE 1070040

Publication kind: **7** C2 e.g. A1, B3, etc.

Publication date: **8** 29 July 2009 15

Particular relevance (page, column, line, fig.): **9** page 4, lines 18-29

Logged in as Administrator 0 0 1

Figure 264: Documents GUI: Data of a patent as evidence

Element list

- (1) Citation type **Patent**
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) Patent office (country)
- (6) Publication number
- (7) Publication kind
- (8) Publication date
- (9) Passages of particular relevance

XML ep-opposition-data.xml, data for patent publication

```

123 <ep-opposition-notice>
171 <ep-opposition-evidence party-reference="B04"> (4)
172 (1) <patcit num="1" file="Published-Evidence-1.pdf"> (2)
173 <document-id lang="en">
174 (5) <country>DE</country>
175 <doc-number>DE 1070040</doc-number> (6)
176 (7) <kind>C2</kind>
177 <date>20090729</date> (8)
178 </document-id>
179 <rel-passage>
180 (9) <text>page 4, lines 18-29</text>
181 </rel-passage>
182 </patcit>
183 </ep-opposition-evidence>

```

Figure 265: XML data for citation of a patent

PDF ep-oppo.pdf, Evidence section: patent

(4) B04 Patent document (1)	(5) (6) (7) (8) DEDE 1070040 (C2) , 29.07.2009 particular relevance: page 4, lines 18-29 (9) original file name: B04_pulverisiertes_wasser_patent.pdf (3) attached as: Published-Evidence-1.pdf (2)

Figure 266: Evidence PDF: patent

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

EPO Online Filing - EP(Oppo) - Oppo_1st_oppon

File Edit View Tools Windows Help

EP(Oppo) - Draft - Oppo_1st_oppon Last saved on 07.07.2010

Opposition Names Requests **Documents** Fee Payment Annotations

Documents Evidence - publications Evidence - other

Articles

Published-Evidence-1.pdf

Published-Evidence-2.pdf

Published-Evidence-3.pdf

Published-Evidence-4.pdf

Published-Evidence-5.pdf

Article in Serial/Journal/Periodical

Original file name: **3** B01 Article Nano...gy Aug 2008.pdf Number of pages: 10

Reference: **4** B01 e.g. D01, E02, etc.

Author's surname: **5** Foster

Author's first name: **6** Joseph **7** ☒ et al.

Title (Article): **8** Process of humidification of surfaces using powdered water

Periodical name: **9** Nanotechnology - Progress in surface treatments

Volume number: **10** 3 Article No.: **11** 15

Publication date: **12** ☒ 19 August 2008 ☐ Year: Month:

ISBN: **13** 977-3-1234-5678-3

Particular relevance (page, column, line, fig.): **14** page 35, fig. 5

Logged in as Administrator

Figure 267: Documents GUI: Data of an article as evidence

Element list

- (1) Citation type **Article** (non-patent literature)
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) Author's last name
- (6) Author's first name
- (7) Author's suffix
- (8) Article title
- (9) Periodical name
- (10) Volume number
- (11) Article number
- (12) Publication date
- (13) ISSN number
- (14) Passages of particular relevance

XML ep-opposition-data.xml, data for article publication

184	<ep-opposition-evidence party-reference="B01">	4
185	<nplcit num="2" file="Published-Evidence-2.pdf">	2
186	<article>	1
187	<author>	
188	<last-name>Foster</last-name>	5
189	<first-name>Joseph</first-name>	6
190	<suffix>et al.</suffix>	7
191	</author>	
192	<atl>Process of humidification of surfaces using powdered water</atl>	8
193	<serial>	
194	<seritle>Nanotechnology - Progress in surface treatments</seritle>	9
195	<pubdate>20080819</pubdate>	12
196	<vid>3</vid>	10
197	<issn>977-3-1234-5678-3</issn>	13
198	</serial>	
199	<artid>15</artid>	11
200	</article>	
201	<rel-passage>	
202	<text>page 35, fig. 5</text>	14
203	</rel-passage>	
204	</nplcit>	
205	</ep-opposition-evidence>	

Figure 268: XML data for citation of an article

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

IX. Evidence presented	
4 B01 Non-patent literature - article	
1	
5 Foster, Joseph et al., "Process of humidification of surfaces using powdered water"	
6 Nanotechnology - Progress in surface treatments, Vol. 3, No. 15, 19 August 2008	
7 ISSN: 977-3-1234-5678-3	
8 particular relevance: page 35, fig. 5	
9 original file name: B01 Article Nanotechnology Aug 2008.pdf	
10 attached as: Published-Evidence-2.pdf	
11	
12	
13	
14	
2	

Figure 269: Evidence PDF: article

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

The screenshot shows the 'EP(Oppo) - Draft - Oppo_1st_oppon' window. The 'Documents' tab is active, and the 'Evidence - publications' sub-tab is selected. The 'Books' category is chosen in the left sidebar. The form fields are as follows:

- 1**: Citation type **Book** (non-patent literature)
- 2**: EPO file name (Published-Evidence-3.pdf)
- 3**: Original file name: B06_Surface_Technology.pdf
- 4**: Applicant's reference: B06
- 5**: Author's last name: Kensington
- 6**: Author's first name: Harold
- 7**: Book title: Best Practices of Modern Surface Coating Technology
- 8**: Publication date / year: 2009
- 9**: Publisher: Blackwater House Publishers
- 10**: Place of publication: Singapore
- 11**: ISBN number: 978-2-4321-8765-3
- 12**: Edition number: 3rd
- 13**: Passages of particular relevance: (page, column, line, fig.): pages 345-356

Figure 270: Documents GUI: Data of a book as evidence

Element list

- (1) Citation type **Book** (non-patent literature)
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) Author's last name
- (6) Author's first name
- (7) Book title
- (8) Publication date / year
- (9) Publisher
- (10) Place of publication
- (11) ISBN number
- (12) Edition number
- (13) Passages of particular relevance

XML ep-opposition-data.xml, data for book publication

```

206 <ep-opposition-evidence party-reference="B06">
207   <nplcit num="3" file="Published-Evidence-3.pdf">
208     <book>
209       <author>
210         <last-name>Kensington</last-name>
211         <first-name>Harold</first-name>
212       </author>
213       <book-title>Best Practices of Modern Surface Coating Technology</book-title>
214       <edition>3rd</edition>
215       <imprint>
216         <address>
217           <text>Singapore</text>
218         </address>
219         <name>Blackwater House Publishers</name>
220         <pubdate>2009</pubdate>
221       </imprint>
222       <isbn>978-2-4321-8765-3</isbn>
223     </book>
224     <rel-passage>
225       <text>pages 345-356</text>
226     </rel-passage>
227   </nplcit>
228 </ep-opposition-evidence>

```

Figure 271: XML data for citation of a book

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

B06 Non-patent literature - book
 Kensington, Harold, "Best Practices of Modern Surface Coating Technology"
 Singapore: Blackwater House Publishers, 2009, Ed. 3rd
 ISBN: 978-2-4321-8765-3
 particular relevance: pages 345-356
 original file name: B06_Surface_Technology.pdf
 attached as: Published-Evidence-3.pdf

Figure 272: Evidence PDF: book

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

EPO Online Filing - EP(Oppo) - Oppo_1st_oppon

File Edit View Tools Windows Help

EP(Oppo) - Draft - Oppo_1st_oppon Last saved on 07.07.2010

Opposition Names Requests **Documents** Fee Payment Annotations

Documents Evidence - publications Evidence - other

Database

Original file name: **3** B07_Database_Pol...r_Institute.pdf Number of pages: 2

Reference: **4** B07 e.g. D01, E02, etc.

Author: **5** ☒ Company: Institute of Polymer Research
☐ Surname:
First name: ☐ et al.

Title: **6** Research Database of the Institute of Polymer Research

Host/database name: **7** Polymer Database

Publication date: **8** 29 October 2009

Host/DB accession No.: **9** 2345.9090 Abst./Accession No.: **10** 345

Owner/service/url: **11** http://www.polymer.org/research/database.php

Date of search: **12** 4 May 2010

Logged in as Administrator

Figure 273: Documents GUI: Data of a book as evidence

Element list

- (1) Citation type **Database** (non-patent literature)
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) Name of publishing organisation
- (6) Title of database
- (7) Host / database name
- (8) Publication date
- (9) Host / database accession number
- (10) Abstract / accession number
- (11) Owner / service / url
- (12) Date of search

XML ep-opposition-data.xml, data for database publication

```

228 </ep-opposition-evidence>
229 <ep-opposition-evidence party-reference="B07"> 4
230 <nplcit num="4" file="Published-Evidence-4.pdf"> 2
231 <online> 1
232 <author>
233 <orgname>Institute of Polymer Research</orgname> 5
234 </author>
235 <online-title>Research Database of the Institute of Polymer Research</online-title> 6
236 <hosttitle>Polymer Database</hosttitle> 7
237 <pubdate>20091029</pubdate> 8
238 <hostno>2345.9090</hostno> 9
239 <absno>345</absno> 10
240 <avail>http://www.polymer.org/research/database.php</avail> 11
241 <srchdate>
242 <date>20100504</date> 12
243 </srchdate>
244 </online>
245 </nplcit>
246 </ep-opposition-evidence>

```

Figure 274: XML data for citation of database

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

4 B07 Non-patent literature - database 1

5 Institute of Polymer Research, "Research Database of the Institute of Polymer Research" 6

7 Host: Polymer Database, No. 2345.9090, accession: 345 9 10

8 29.10.2009, 04.05.2010 12

Available from: [http://www.polymer.org/research/database.php] 11

original file name: B07_Database_Polymer_Institute.pdf 3

attached as: Published-Evidence-4.pdf 2

Figure 275: Evidence PDF: database

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

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Oppo_1st_oppon' window. The 'Documents' tab is active, and the 'Evidence - publications' sub-tab is selected. In the left sidebar, 'Internet publications' is highlighted (1), and 'Published-Evidence-5.pdf' is selected (2). The main form is titled 'Internet' and contains the following fields:

- Original file name:** B02 Internet Nanotechnology.pdf (3)
- Number of pages:** 2
- Reference:** B02 (4), with a hint 'e.g. D01, E02, etc.'
- URL:** www.nanotechnology.info/publish/articles/091123WaterPowder.html (5)
- Title:** World of molecules - Novelty water powder successfully tested for surface coating (6)
- Publication date:** 1 September 2009 (7)
- Retrieval date:** 6 April 2010 (8)
- Author:** Surname: Foster (9), First name: Joseph (10). There is an 'et al.' checkbox.
- Particular relevance (page, column, line, fig.):** lines 245-280 (11)

The status bar at the bottom indicates 'Logged in as Administrator' and shows a progress indicator with 1 item.

Figure 276: Documents GUI: Data of an internet publication as evidence

Element list

- (1) Citation type **Internet** (non-patent literature)
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) URL of Internet publication
- (6) Title of Internet publication
- (7) Publication date
- (8) Retrieval date
- (9) Author's last name
- (10) Author's first name
- (11) Passages of particular relevance

XML ep-opposition-data.xml, data for Internet publication

```

247 <ep-opposition-evidence party-reference="B02">
248   <nplcit num="5" file="Published-Evidence-5.pdf">
249     <online>
250       <author>
251         <last-name>Foster</last-name>
252         <first-name>Joseph</first-name>
253       </author>
254       <online-title>World of molecules - Novelty water powder successfully tested for surface coating</online-title>
255       <pubdate>20090901</pubdate>
256       <avail>www.nanotechnology.info/publish/articles/091123WaterPowder.html</avail>
257       <datecit>
258         <date>20100406</date>
259       </datecit>
260     </online>
261     <rel-passage>
262       <text>lines 245-280</text>
263     </rel-passage>
264   </nplcit>
265 </ep-opposition-evidence>

```

Figure 277: XML data for citation of Internet publication

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

B02 Non-patent literature - internet
 Foster, Joseph, "World of molecules - Novelty water powder successfully tested for surface coating"
 01.09.2009, [cited 06.04.2010]
 Available from:
 [www.nanotechnology.info/publish/articles/091123WaterPowder.html]
 particular relevance: lines 245-280
 original file name: B02 Internet Nanotechnology.pdf
 attached as: Published-Evidence-5.pdf

Figure 278: Evidence PDF: internet publication

8.6.6 Evidence - other

The options for attaching files under **Evidence - other** are the same for all categories of persons and communication:

- ◆ Affidavit
- ◆ Image or photo (PDF)
- ◆ Cover letter for non-scannable object
- ◆ Other evidence
- ◆ Translation of evidence

The example shows an opponent filing other evidences in 2nd communication.

EP(Oppo) Documents GUI, Evidence - other sub-tab

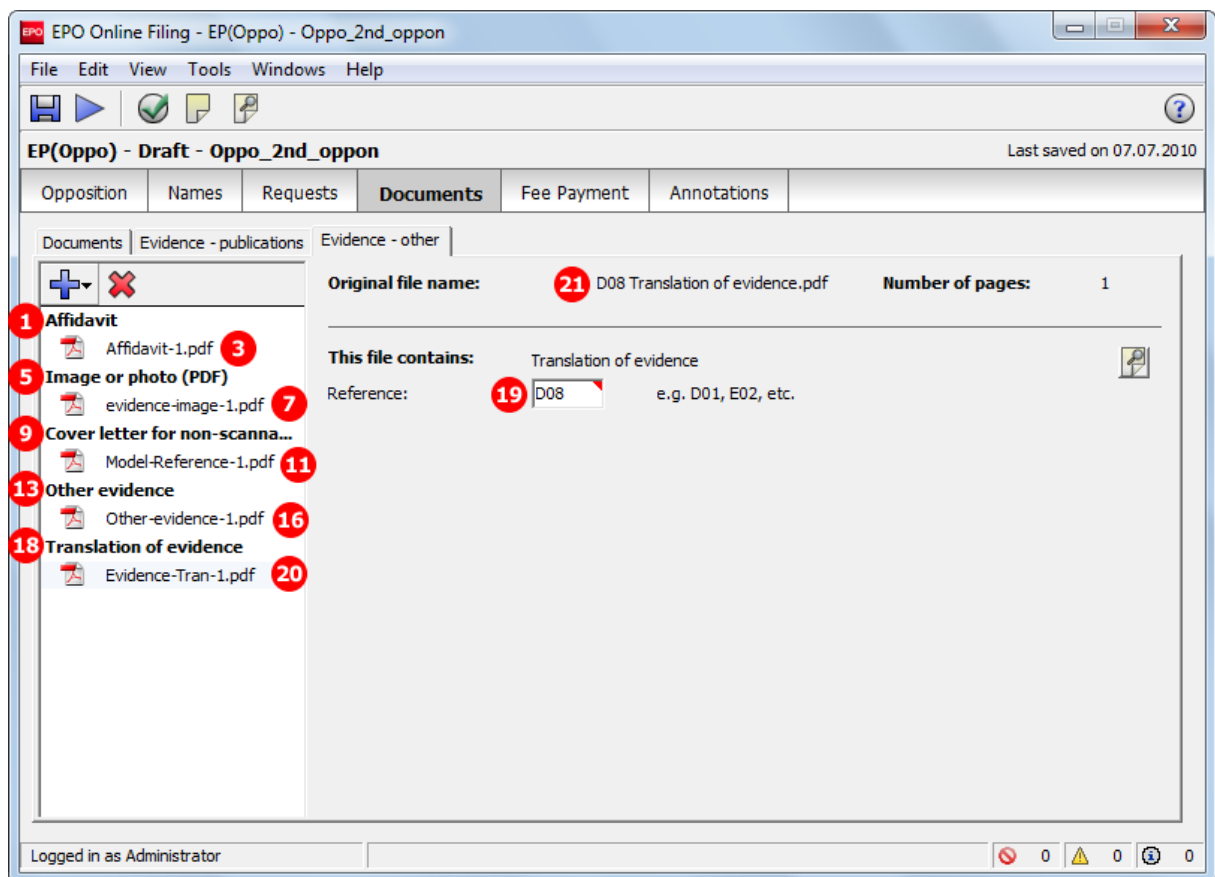


Figure 279: Documents GUI: Other evidence filed by opponent

Element list

- (1) Document type **Affidavit**
- (2) Applicant's reference
- (3) EPO file name
- (4) Original file name
- (5) Document type **Image or Photo**
- (6) Applicant's reference
- (7) EPO file name
- (8) Original file name
- (9) Document type **Cover letter for non scannable object**
- (10) Applicant's reference
- (11) EPO file name
- (12) Original file name
- (13) Document type **Other evidence**
- (14) Applicant's reference
- (15) Description of other evidence
- (16) EPO file name
- (17) Original file name
- (18) Document type **Translation of evidence**
- (19) Applicant's reference
- (20) EPO file name
- (21) Original file name

PDF ep-oppo.pdf

Evidence filed subsequently:			
10	D04	Other evidence	original file name: D04 Miller Reference Sheet.pdf 12 attached as: Model-Reference-1.pdf 11
6	D06	Other evidence	original file name: Instant Water Photo.pdf 8 attached as: evidence-image-1.pdf 7
2	D07	Other evidence	original file name: D07 Miller Affidavit.pdf 4 attached as: Affidavit-1.pdf 3
19	D08	Other evidence	original file name: D08 Translation of evidence.pdf 21 attached as: Evidence-Tran-1.pdf 20
14	D12	Other evidence	Draft of a research paper by the Institute of Polymers 15 original file name: Institute of Polymers Paper.pdf 17 attached as: Other-evidence-1.pdf 16

Figure 280: Documents PDF: Evidence filed subsequently by opponent

XML ep-opposition-data.xml

```

31  <ep-opposition-external-party external-party-role="opponent">
58  <ep-opposition-submission after-summons-to-op="no">
63  <ep-opposition-evidence party-reference="D07"> 2
64  <opposition-evidence-other-file>
65  3 <doc-page file="Affidavit-1.pdf" wi="" he="" type="pdf"/>
66  </opposition-evidence-other-file>
67  </ep-opposition-evidence>
68  <ep-opposition-evidence party-reference="D06"> 6
69  <opposition-evidence-other-file>
70  7 <doc-page file="evidence-image-1.pdf" wi="" he="" type="pdf"/>
71  </opposition-evidence-other-file>
72  </ep-opposition-evidence>
73  <ep-opposition-evidence party-reference="D04"> 10
74  <opposition-evidence-other-file>
75  11 <doc-page file="Model-Reference-1.pdf" wi="" he="" type="pdf"/>
76  </opposition-evidence-other-file>
77  </ep-opposition-evidence>
78  <ep-opposition-evidence party-reference="D12"> 14
79  15 <ep-opposition-evidence-title>Draft of a research paper by the Institute of Polymers</ep-opposition-evidence-title>
80  <opposition-evidence-other-file>
81  16 <doc-page file="Other-evidence-1.pdf" wi="" he="" type="pdf"/>
82  </opposition-evidence-other-file>
83  </ep-opposition-evidence>
84  <ep-opposition-evidence party-reference="D08"> 19
85  <opposition-evidence-other-file>
86  20 <doc-page file="Evidence-Tran-1.pdf" wi="" he="" type="pdf"/>
87  </opposition-evidence-other-file>
88  </ep-opposition-evidence>
89  <ep-electronic-files doc-type="OPPOLETT">
93  <ep-electronic-files doc-type="OPEX4">
97  <ep-electronic-files doc-type="DOBS3">
101  1 <ep-electronic-files doc-type="AFFIDAVIT">
102  <applicant-file-name>D07 Miller Affidavit.pdf</applicant-file-name> 4
103  3 <epo-file-name>Affidavit-1.pdf</epo-file-name>
104  </ep-electronic-files>
105  5 <ep-electronic-files doc-type="IMAGE">
106  <applicant-file-name>Instant Water Photo.pdf</applicant-file-name> 8
107  7 <epo-file-name>evidence-image-1.pdf</epo-file-name>
108  </ep-electronic-files>
109  9 <ep-electronic-files doc-type="MODEL">
110  <applicant-file-name>D04 Miller Reference Sheet.pdf</applicant-file-name> 12
111  11 <epo-file-name>Model-Reference-1.pdf</epo-file-name>
112  </ep-electronic-files>
113  13 <ep-electronic-files doc-type="EVDNCE_OTHER">
114  <applicant-file-name>Institute of Polymers Paper.pdf</applicant-file-name> 17
115  16 <epo-file-name>Other-evidence-1.pdf</epo-file-name>
116  </ep-electronic-files>
117  18 <ep-electronic-files doc-type="EVDNCE_TRAN">
118  <applicant-file-name>D08 Translation of evidence.pdf</applicant-file-name> 21
119  20 <epo-file-name>Evidence-Tran-1.pdf</epo-file-name>
120  </ep-electronic-files>

```

Figure 281: XML data for other evidence: details and file references

8.7 EP(Oppo) Fee Payment

In EP(Oppo), there are only five different fees to be selected:

- ♦ Fee 010, 017 and 018 are available for opponents and interveners both in 1st and in 2nd communication.
- ♦ Fee 009, 017, 018 and 056 are available for the proprietor, i.e. in 2nd communication.
- ♦ Third parties do not have to pay any fees.

The reduction and the fee amount can be modified in the GUI. For the data in the XML file, however, this is not significant, because the **<fee-sub-amount>**, **<fee-factor>** and **<fee-schedule>** elements just have to be filled using the appropriate values.

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

① You can retrieve the most recent fee schedule in the Online Filing File Manager under **Tools > Fee Management** or from the EPO's Online Services website under **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 282: Payment details GUI

Element list

- (1) Mode of payment
- (2) Currency (EUR as default)
- (3) Account number for debit from deposit account
- (4) Account holder's name
- (5) Reimbursement information - if applicable
- (6) Account number for reimbursement
- (7) Account holder's name for reimbursement

XML ep-opposition-data.xml

```

290 <ep-electronic-files doc-type="DATABASE">
294 <ep-electronic-files doc-type="INTERNET">
298 <ep-financial-data cur="EUR"> (3)
299 <mode-of-payment accno="28123456" mode-type="deposit" currency="EUR">Micro York</mode-of-payment> (1) (2) (4)
300 (5) <reimbursement accno="28123000">Kennecott, James</reimbursement>
301 <fees date="20100401"> (6) (7)
302 <standard-fee>

```

Figure 283: Fee Payment XML data for payment details

PDF ep-oppo.pdf

X. Payment

Mode of payment: (1) 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: (2) EUR

Deposit account number: (3) 28123456

Account holder: (4) Micro York

(5) Refunds

Any refunds should be made to EPO deposit account: (6) 28123000

Account holder: (7) Kennecott, James

Figure 284: Payment details PDF, mode of payment

8.7.2 Fee selection - Example 1: Opponent

The example below shows fees selected by the opponent.

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

EP(Oppo) - Draft - Oppo_1st_oppon Last saved on 07.07.2010

Opposition Names Requests Documents **Fee Payment** Annotations

Payment details Fee selection

Show: All fees Code

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☐	009	Fee for publishing a new specification of the European patent	65,00	none	1	0,00
☒	010	Opposition fee	705,00	----	1	705,00
☒	017	Fee for the awarding of costs	65,00	----	1	65,00
☒	018	Fee for the conservation of evidence	65,00	----	1	65,00
☐	056	Surcharge fee for printing (R.82(3), R.95(3))	105,00	none	1	0,00

Fee schedule for EUR valid as of: 01.04.2010

Total: (3 Fees) EUR 835,00

Logged in as Administrator

Figure 285: Fee selection by opponent

Element list

- (1) Opposition fee selected
- (2) Fee code 010
- (3) Fee schedule = one fee
- (4) Fee factor (quantity): quantity of fees as indicated in GUI is multiplied by fee schedule
- (5) Fee amount to pay = fee schedule x fee factor
- (6) Fee for the awarding of costs selected
- (7) Fee code 017
- (8) Fee schedule = one fee
- (9) Fee factor
- (10) Fee amount to pay = fee schedule x fee factor
- (11) Fee for the conservation of evidence selected
- (12) Fee code 018
- (13) Fee schedule = one fee
- (14) Fee factor
- (15) Fee amount to pay = fee schedule x fee factor

- (16) Currency
 (17) Date of fee schedule validity
 (18) Total amount of fees to pay

XML ep-opposition-data.xml

```

294 <ep-electronic-files doc-type="INTERNET">
298 <ep-financial-data curr="EUR"> 16
299 <mode-of-payment accno="28123456" mode-type="deposit" currency="EUR">Micro York</mode-of-payment>
300 <reimbursement accno="28123000">Kennecott, James</reimbursement>
301 <fees date="20100401"> 17
302 <standard-fee>
303 <fee index="9" topay="no">
309 <fee index="10" topay="yes"> 1
310 <type-of-fee>standard</type-of-fee>
311 <fee-factor>1</fee-factor>
312 <fee-schedule>705</fee-schedule> 5
313 <fee-sub-amount>705</fee-sub-amount>
314 </fee>
315 <fee index="17" topay="yes"> 6
316 <type-of-fee>standard</type-of-fee>
317 <fee-factor>1</fee-factor>
318 <fee-schedule>65</fee-schedule> 10
319 <fee-sub-amount>65</fee-sub-amount>
320 </fee>
321 <fee index="18" topay="yes"> 11
322 <type-of-fee>standard</type-of-fee>
323 <fee-factor>1</fee-factor>
324 <fee-schedule>65</fee-schedule> 15
325 <fee-sub-amount>65</fee-sub-amount>
326 </fee>
327 <fee index="56" topay="no">
333 </standard-fee>
334 <fee-total-amount>835</fee-total-amount>
335 </fees>
336 </ep-financial-data>
337 </ep-xmit-opposition-data>
  
```

Figure 286: Fee selection XML data

PDF ep-oppo.pdf

Fees		Factor applied	Fee schedule	Amount to be paid
1	2	4	3	5
	10 Opposition fee	1	705.00	705.00
6	7	9	8	10
	17 Fee for the awarding of costs	1	65.00	65.00
11	12	14	13	15
	18 Fee for the conservation of evidence	1	65.00	65.00
Total:		17	EUR	835.00
				18

Figure 287: Fees in PDF form

8.7.3 Fee selection - Example 2: Proprietor

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

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

EP(Oppo) - Draft - Oppo_2nd_prop Last saved on 07.07.2010

Opposition Names Requests Documents **Fee Payment** Annotations

Payment details Fee selection

Show: All fees Code

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☒	009	Fee for publishing a new specification of the European patent	65,00	----	1	65,00
☐	010	Opposition fee	705,00	none	1	0,00
☐	017	Fee for the awarding of costs	65,00	----	1	0,00
☐	018	Fee for the conservation of evidence	65,00	----	1	0,00
☒	056	Surcharge fee for printing (R.82(3), R.95(3))	105,00	----	1	105,00

Fee schedule for EUR valid as of: 01.04.2010

Total: (2 Fees) EUR 170,00

Logged in as Administrator

Figure 288: Fee Payment GUI: fee selection by proprietor of the patent

Element list

- (1) Fee for publishing a new specification of the European patent selected
- (2) Fee code 009
- (3) Fee schedule = one fee
- (4) Fee factor (quantity): quantity of fees as indicated in GUI is multiplied by fee schedule
- (5) Fee amount to pay = fee schedule x fee factor
- (6) Surcharge fee for printing selected
- (7) Fee code 056
- (8) Fee schedule = one fee
- (9) Fee factor
- (10) Fee amount to pay = fee schedule x fee factor
- (11) Currency
- (12) Date of fee schedule validity
- (13) Total amount of fees to pay

XML ep-opposition-data.xml

```

139 <ep-electronic-files doc-type="CLMSTRAN-DE">
143 <ep-financial-data cur="EUR">(11)
144 <mode-of-payment accno="936832 01 94" mode-type="bank" currency="EUR">IT</mode-of-payment>
145 <fees date="20100401">(12)
146 <standard-fee>
147 <fee index="9" topay="yes">(1)
148 <type-of-fee>standard</type-of-fee>
149 <fee-factor>1</fee-factor>
150 <fee-schedule>65</fee-schedule>(5)
151 <fee-sub-amount>65</fee-sub-amount>
152 </fee>
153 <fee index="10" topay="no">
159 <fee index="17" topay="no">
165 <fee index="18" topay="no">
171 <fee index="56" topay="yes">(6)
172 <type-of-fee>standard</type-of-fee>
173 <fee-factor>1</fee-factor>
174 <fee-schedule>105</fee-schedule>(10)
175 <fee-sub-amount>105</fee-sub-amount>
176 </fee>
177 </standard-fee>
178 <fee-total-amount>170</fee-total-amount>
179 </fees>
180 </ep-financial-data>

```

Figure 289: Fee Payment XML: data for fees selected by proprietor

PDF ep-oppo.pdf

Fees				
	Fees	Factor applied	Fee schedule	Amount to be paid
(1)	1 (2) 009 Fee for publishing a new specification of the European patent	(4) 1	(3) 65.00	(5) 65.00
(6)	2 (7) 056 Surcharge fee for printing (R. 82(3), R. 95(3))	(8) 1	(9) 105.00	(10) 105.00
	Total:		(11) EUR	(13) 170.00

Figure 290: Fees section in PDF form

8.8 EP(Oppo) Annotations

GUI EP(Oppo) Annotations

Figure 291: Annotations GUI: note to EPO

Element list

- (1) Note 1
- (2) Author
- (3) Subject
- (4) Date created
- (5) Text

XML ep-opposition-data.xml

```

181 <ep-notes-to-EPO page="Annotate" id="note1">
182   <author>
183     <name>Berger, Marc</name>
184   </author>
185   <subject>Representation</subject>
186   <date>160020</date>
187   <dtxt>Sophie Bresson, my successor at Associés Lefèvre, is going to take over her duties starting August 4,
188   </ep-notes-to-EPO>

```

Figure 292: Annotations XML: note 1

PDF ep-oppo.pdf

Figure 293: Annotations PDF: Remark 1 (note to EPO)

9 Form PCT/RO/101 - PCT/RO/101 request

9.1 Structure of XML files for PCT/RO/101

The applicable DTDs for the most recent version of PCT/RO/101 can be found in a sub-folder of the **\\EPO_OLF5\pct\dtd** folder (the folder with the highest version number). For example, at the time of writing the most recent version of the sub-folder was **1.9**.

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

File name	DTD	Description
Mandatory files		
pkgheader.xml	pkgheader-v1-4.dtd	Indicates selected procedure and other data for transmission to receiving office.
package-data.xml	package-data-v1-6.dtd	References attached documents, except those already referenced in application-body.xml or other XML files.
application-body.xml	application-body-v1-6.dtd	(a) References attached documents as part of international application. (b) Contains complete text of patent specification with referenced files for drawings.
request.xml	request-v1-7.dtd	Application data as entered in Form PCT/RO/101, references other attached documents.
fee-sheet.xml	fee-sheet-v1-5.dtd	Lists all selected fees and contains details of mode of payment.
Optional files		
declaration.xml	declaration-v1-5.dtd	Contains details and/or full text of declarations (five standard declarations possible).
indication-bio-deposit.xml	indication-bio-deposit-v1-3.dtd	Contains details of biological materials as indicated in application.
power-of-attorney.xml	power-of-attorney-v1-5.dtd	(a) Contains details of attorney and signature of applicant. (b) References attached document containing general or separate power of attorney.
Internal files (not to be imported)		
validation-log.xml	validation-log-v0-1.dtd	Lists Online Filing validation messages.

- ◆ The XML structure of the **application-body.xml** file is similar to **EP(1001E2K) applications** (see "References from XML files to other files" p. 14). Examples for PCT/RO/101 are given in the sections below.
- ◆ All details of the XML structure of the **request.xml** file can be found in the following sections.
- ◆ Code examples explaining some elements of the **package-data.xml** file are included in the **PCT/RO/101 Contents** (p. 266) section.
- ◆ The **fee-sheet.xml** file is always part of the package.
- ◆ The **declaration.xml**, **power-of-attorney.xml** and **indication-bio-deposit.xml** files are only part of the package if there are data concerning declarations, authorisations or biological materials in the application.
- ◆ The **validation-log.xml** file is not necessary for importing an application. It is created internally by Online Filing.

General information on the package - pkgheader.xml file

The **pkgheader.xml** file contains basic information about the transmission and details of the software used to prepare and send the application.

① The complete **<transmittal-info>** element is contained in the **package-data.xml** file in identical form.



Figure 294: XML structure of sample pkgheader.xml file

Element list

- (1) Filing language
- (2) Type of application (in this example: new application)
- (3) Title of invention
- (4) First named applicant
- (5) First applicant's name
- (6) User reference for this application
- (7) List of documents included in submission package: document code must match EPO standard document names
- (8) Receiving office
- (9) Kind of IP type
- (10) Name of software used to prepare application
- (11) Version of software
- (12) Name of plug-in used by software
- (13) Type of transmission
- (14) WAD message must not contain any data

9.2 Document codes and file types for PCT/RO/101

The table lists the values for the **<document-code>** elements inside the **<transmittal-info>** element in the **pkgheader.xml** and **package-data.xml** files. The same values apply for the **<document-name>** elements inside the **<other-doc>** elements in the **package-data.xml** file.

In most cases, the EPO file takes the original file name allocated by the user.

Without the correct document code, the receiving server at the EPO will not accept the files. There is no error message, however.

Document code	EPO file name	File type	Description
2018	application-body	XML	Application body XML: additional <document-code>2018</document-code> element is required in <other-doc> element in package-data.xml file; see Contents - Example 2: Specification attached in XML format (p. 271)
ABST	<original filename>	PDF	Abstract
APPBODYXML	application-body	XML	Application body XML file
BIODEPXML	indication-bio-deposit	XML	Indication bio deposit XML file
CLMS	<original filename>	PDF	Claims
COPPOAPDF	<original filename>	PDF	Copy of general power of attorney
COPPOAXML	eolf-poat-000001 power-of-attorney *)	XML	Copy of general power of attorney
COPPOAJPG	<original filename>	JPG	Copy of general power of attorney
DESC	<original filename>	PDF	Description
DRAW	<original filename>	PDF	Drawings
FEESHEETXML	fee-sheet	XML	Fee sheet XML file
GENPOAPDF	<original filename>	PDF	Original general power of attorney
GENPOAXML	eolf-poat-000001 power-of-attorney*	XML	Original general power of attorney
INTTRANPDF	<original filename>	PDF	Translation of international application in PDF format
LACKSIGNPDF	<original filename>	PDF	Statement explaining lack of signature
MICROORGPDF	<original filename>	PDF	Separate indication concerning deposited micro-organisms
OLF-ARCHIVE	<original filename>	ZIP	Pre-conversion archive
OTHERJPG	<original filename>	JPG	Other (optional) JPEG document
OTHERPDF	<original filename>	PDF	Other (optional) PDF document
OTHERTIF	<original filename>	TIFF	Other (optional) TIFF document
OTHERXML	<original filename>	XML	Other (optional) XML document
PACKDATAXML	package-data	XML	Package data XML message
PCTDECLXML	declaration	XML	Declaration
REQUESTXML	request	XML	Request XML file
SEPPOAPDF	<original filename>	PDF	Original separate power of attorney

Document code	EPO file name	File type	Description
SEPPOAXML	eolf-poat-000001 power-of-attorney*	XML	Original separate power of attorney
SEPPOATXT	<original filename>	TXT	Original separate power of attorney
SEQLAPP	<original filename>	APP	Sequence listing in APP format
SEQLPDF	<original filename>	PDF	Sequence listing in PDF format
SEQLTXT	<original filename>	TXT	Sequence listing in TXT format
SEQLSAPP	<original filename>	APP	Sequence listing for international search (APP)
SEQLSPDF	<original filename>	PDF	Sequence listing for international search (PDF)
SEQLSTXT	<original filename>	TXT	Sequence listing for international search (TXT)
SEQLSTABPDF	<original filename>	PDF	Tables related to sequence listing for international search (PDF)
SEQLTABPDF	<original filename>	PDF	Tables related to sequence listing (PDF)
SPEC	<original filename>	PDF	Single file specification in EPO language or language of translation
Internal files created by Online Filing (not to be imported)			
ABSTTXT	abst	TXT	Abstract as a text file possibly used by WIPO
FEESHEETPDF	Fees	PDF	Fee sheet PDF file
REQPDF	Pct101	PDF	Request PDF file
VALLOGPDF	ValidLog	PDF	Client validation log file in PDF format
VALLOGXML	validation-log	XML	Client validation log file in XML format

*) If there is more than one XML file (for different power of attorney documents), these must be numbered consecutively.

9.3 PCT/RO/101 Request

GUI PCT/RO/101 Request

The screenshot shows the 'PCT-RO-101 Electronic Request - pct_XML_1' window. On the left is a sidebar with icons for Request, States, Names, Priority, Biology, Declarations, Contents, Fees, Payment, Annotate, and a status section with 'filing not possible', 'filing possible', and 'ready for filing'. The main area contains the following fields:

- Receiving Office:** EP European Patent Office (EPO)
- International Searching Authority:** EP European Patent Office (EPO)
- Language of filing of the international application:** English
- Title of invention:** INSTANT WATER
- Request to use results of earlier search:** ☒

Below the checkbox is a table with search results:

No.	Country (or regional Office)	Date	Number
1	European Patent Office (EPO)	4 May 2010	1065321.8
2	European Patent Office (EPO)	22 Dec 2009	09000123.1
+	Open to add reference to earlier search		

An 'Open' button is located at the bottom right of the table area.

Figure 295: Request GUI: general data and request to use search results

Element list

- (1) User reference
- (2) Receiving Office
- (3) International Searching Authority
- (4) Filing language
- (5) Title of invention
- (6) Request to use results of earlier search
- (7) Reference to search report 1
- (8) Country/regional office
- (9) Search report number
- (10) Date
- (11) International application is the same, or substantially the same, as the application of which the earlier search was carried out
- (12) Documents available to the ISA (example shows all possible options)
- (13) Reference to search report 2
- (14) Country/regional office

- (15) Search report number
- (16) Date
- (17) Documents to be prepared and transmitted to the ISA (example shows all possible options)
- (18) Request petition (not displayed in GUI)
- (19) Technical information on electronic request

XML request.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE request SYSTEM "request-v1-7.dtd" >
3  <?software_name PCT Online Filing?>
4  <?software_version Version 3.5.000.221 MT/FOP 20020701/0.20.5.9?>
5  <?stylesheet_version Version 2.00?>
6  <?fop_version Version 0.20.5.9?>
7  <?fop_fontconf common.xml?>
8  <request lang="en" dtd-version="1.7" produced-by="applicant" status="new" ro="EP">
9    <file-reference-id>pct_XML_1</file-reference-id>
10   <request-petition>The undersigned requests that the present international application be processed according to the Patent
11     Cooperation Treaty</request-petition>
12   <invention-title lang="en">INSTANT WATER</invention-title>
13   <parties>
14   <designation-of-states>
15   <search-authority>
16     <isa>
17       <country>EP</country>
18     </isa>
19     <earlier-search-request>
20       <document-id>
21         <country>EP</country>
22         <doc-number>10654321.8</doc-number>
23         <date>20100504</date>
24       </document-id>
25       <substantially-equivalent>
26       <earlier-search-documents results-of-earlier-search="yes" earlier-application="yes" translation-of-earlier-application="yes"
27         translation-of-results-of-earlier-search="yes" documents-cited-in-earlier-search-results="yes" available-at-isa="yes"
28         request-ro-to-transmit-to-isa="no"/>
29       <document-id>
30         <country>EP</country>
31         <doc-number>09000123.1</doc-number>
32         <date>20091222</date>
33       </document-id>
34       <earlier-search-documents results-of-earlier-search="yes" earlier-application="yes"
35         documents-cited-in-earlier-search-results="yes" available-at-isa="no" request-ro-to-transmit-to-isa="yes"/>
36     </earlier-search-request>
37   </search-authority>
38   <check-list>
39   <language-of-filing>en</language-of-filing>
40   <signatories>
41 </request>

```

Figure 296: Request XML: general data, earlier search request

PDF Pct101.PDF

0-4	Form PCT/RO/101 PCT Request	
0-4-1	Prepared Using	PCT Online Filing Version 3.5.000.221 MT/FOP 19 20020701/0.20.5.9
0-5	Petition	
	The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty	
0-6	Receiving Office (specified by the applicant)	European Patent Office (EPO) (RO/EP) 2
0-7	Applicant's or agent's file reference	pct XML 1 1
I	Title of Invention	INSTANT WATER 5
V	DESIGNATIONS	
V-1	The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents.	
VI-1	Priority Claim	NONE
VII-1	International Searching Authority Chosen	European Patent Office (EPO) (ISA/EP) 3
7 VII-2	Request to use results of earlier search; reference to that search	
VII-2-1	Filing date	10 04 May 2010 (04.05.2010)
VII-2-2	Application Number	9 10654321.8
VII-2-3	Country (or regional Office)	8 EP
11 VII-2-4	Statement (Rule 4.12(ii)):	This international application is the same, or substantially the same, as the application in respect of which the earlier search was carried out, except, where applicable, that it is filed in a different language.
12 VII-2-5	Documents are available to the ISA in a form and manner acceptable to it and therefore do not need to be submitted by the applicant to the ISA (Rule 12bis.1(f)):	A copy of the results of the earlier search A copy of the earlier application A translation of the earlier application into a language which is accepted by the ISA A translation of the results of the earlier search into a language which is accepted by the ISA A copy of any document cited in the results of the earlier search
13 VII-3	Request to use results of earlier search; reference to that search	
VII-3-1	Filing date	16 22 December 2009 (22.12.2009)
VII-3-2	Application Number	15 09000123.1
VII-3-3	Country (or regional Office)	14 EP
17 VII-3-6	The receiving Office is requested to prepare and transmit to the ISA (Rule 12bis.1(c)):	A copy of the results of the earlier search A copy of the earlier application A copy of any document cited in the results of the earlier search
VIII	Declarations	Number of declarations

Figure 297: Request PDF: General data, title of invention, International Searching Authority, request for search results

9.4 PCT/RO/101 States

9.4.1 States - Example 1: Designations with exclusions

In this example, Germany has been excluded from the national designations. If JP, KR or RU is selected, a priority declaration for each selected state must be made (may be filed subsequently).

GUI PCT/RO/101 States

PCT-RO-101 Electronic Request - pct_XML_1

File Edit View Tools Help

Request States Names Priority Biology Declarations Contents Fees Payment Annotate

☐ filing not possible
☐ filing possible
☒ ready for filing

Designations

The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents. **(1)**

However,

(2) ☒ DE Germany is not designated for any kind of national protection

☐ JP Japan is not designated for any kind of national protection

☐ KR Republic of Korea is not designated for any kind of national protection

(The check-boxes above may only be used to exclude (irrevocably) the designations concerned if, at the time of filing or subsequently under Rule 26bis.1, the international application contains a priority claim to an earlier national application filed in the particular State concerned, in order to avoid the ceasing of the effect, under the national law, of this earlier national application. For details see the PCT Applicant's Guide, in the relevant Annex B1.)

☐ Reference to parent application or grant

Please follow the internet link below for the current list of PCT Contracting States:

<http://www.wipo.int/treaties/en/documents/pdf/pct.pdf>

Figure 298: States GUI: designations, with one exclusion

Element list

- (1) All contracting states under the PCT are designated
- (2) Country excluded from designation

XML request.xml

37		<designation-of-states>
38		<designation-pct>
245		<exclusion-from-designation>
246		<national>
247		2 <country>DE</country>
248		</national>
249		</exclusion-from-designation>
250		</designation-of-states>
251		<priority-claims>

Figure 299: States XML: designation excluded

PDF Pct101.PDF

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.	
1		
V-2	Item V-2 may only be used to exclude (irrevocably) the designations concerned if, at the time of filing, the international application contains a priority claim to an earlier national application filed in the particular State concerned, in order to avoid the ceasing of the effect, under the national law, of this earlier national application. As to the consequences of such national law provisions in these States, see the PCT Applicant's Guide, Volume I/A, in the relevant Annex B1.	DE 2

Figure 300: States PDF: Designations

9.4.2 States - Example 2: References to parent application or grant - Regional designation in OAPI states

GUI PCT/RO/101 States, sub-window Reference to OAPI parent application or grant

The data for a parent application or grant are automatically applied for all countries of the OAPI. The countries are individually listed in the XML, but not in the GUI and the PDF. For a current list of states see the **OAPI website** (<http://www.oapi.wipo.net/en/OAPI/index.htm>).

Figure 301: States GUI - reference to OAPI parent application or grant

Element list

- (1) Region OAPI selected
- (2) Country 1 of OAPI list
- (3) Protection request for country 1
- (4) Kind of protection request
- (5) Document reference to parent application or grant
- (6) Country 1
- (7) Document number
- (8) Date of parent application or grant
- (9) Country 2 of OAPI list
- (10) Protection request for country 2
- (11) Country 3 of OAPI list
- (12) Protection request for country 3

XML request.xml

Regional designations: all OAPI states are listed with the same protection request.

37	<designation-of-states>
38	<designation-pct>
39	<regional>
40	<region>
41	1 <country>OA</country>
42	</region>
43	2 <country>BF</country>
44	<protection-request> 3
45	4 <kind-of-protection>certificate of addition</kind-of-protection>
46	<document-id> 5
47	6 <country>BF</country>
48	<doc-number>EP07000040.5</doc-number> 7
49	8 <date>20071106</date>
50	</document-id>
51	</protection-request>
52	9 <country>BJ</country>
53	<protection-request> 10
61	11 <country>CF</country>
62	<protection-request> 12
70	<country>CG</country>
71	<protection-request>
79	<country>CI</country>
80	<protection-request>
88	<country>CM</country>
89	<protection-request>
97	<country>GA</country>
98	<protection-request>
106	<country>GN</country>
107	<protection-request>
115	<country>GQ</country>
116	<protection-request>
124	<country>GW</country>
125	<protection-request>
133	<country>ML</country>
134	<protection-request>
142	<country>MR</country>
143	<protection-request>
151	<country>NE</country>
152	<protection-request>
160	<country>SN</country>
161	<protection-request>
169	<country>TD</country>
170	<protection-request>
178	<country>TG</country>
179	<protection-request>
187	</regional>

Figure 302: States XML: regional designation of protection request for OAPI states

PDF Pct101.PDF

V-3	Identification of parent application or patent grant	
V-3-1	Designation	OA 1
V-3-1-1	Kind of parent application or grant	certificate of addition 4
V-3-1-2	Parent application or grant No.	EP07000040.5 7
V-3-1-3	Parent application or grant date	06 November 2007 (06.11.2007) 8

Figure 303: States PDF: designation of OAPI for parent application or patent grant

9.4.3 States - Example 3: References to parent application or grant - National designation

In this example, individual states are selected for national parent applications or grants. The current list of all PCT contracting states is available for download from the **WIPO website** (<http://www.wipo.int>).

① 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

AE -	United Arab Emirates	"..."	MK	The former Yugoslav Republ..."
AT	Austria	poa	MW	Malawi
AU	Australia	"..."	NZ	New Zealand
BA	Bosnia and Herzegovina	"..."	PL	Poland
BR	Brazil	"..."	RS	Republic of Serbia
CU	Cuba	ica	SY	Syrian Arab Republic
DZ	Algeria	"..."	TR	Turkey
ES	Spain	poa	UG	Uganda
IL	Israel	"..."	US	United States of America
IN	India	"..."	ZA	South Africa
MA	Morocco	coa	ZM	Zambia
MG	Madagascar	"..."	ZW	Zimbabwe

Figure 304: States GUI - countries selected for national parent application or grant

National parent application or grant

Figure 305: National parent application or grant, example for Spain

Element list

- (1) National parent application or grant
- (2) Country 1 of designated states
- (3) Protection request for country 1
- (4) Kind of protection request
- (5) Document number of parent application or grant
- (6) Date of parent application or grant
- (7) Country 2 of designated states
- (8) Protection request for country 2
- (9) Kind of protection request
- (10) Document number of parent application or grant
- (11) Date of parent application or grant
- (12) Country 3 of designated states
- (13) Protection request for country 3
- (14) Kind of protection request
- (15) Document number of parent application or grant
- (16) Date of parent application or grant
- (17) Country 4
- (18) Country 5
- (19) Country 6

XML request.xml



Figure 306: States XML: national designations with protection requests

PDF Pct101.PDF

V-3	Identification of parent application or patent grant	
V-3-2	Designation	2 AT
V-3-2-1	Kind of parent application or grant	patent of addition 4
V-3-2-2	Parent application or grant No.	AT-222333 5
V-3-2-3	Parent application or grant date	06 February 2008 (06.02.2008) 6
V-3	Identification of parent application or patent grant	
V-3-3	Designation	7 CU
V-3-3-1	Kind of parent application or grant	inventor's certificate of addition 9
V-3-3-2	Parent application or grant No.	CU-08337788 10
V-3-3-3	Parent application or grant date	13 February 2008 (13.02.2008) 11
V-3	Identification of parent application or patent grant	
V-3-4	Designation	12 ES
V-3-4-1	Kind of parent application or grant	patent of addition 14
V-3-4-2	Parent application or grant No.	ES-08334455 15
V-3-4-3	Parent application or grant date	26 February 2008 (26.02.2008) 16

Figure 307: States PDF: parent application or patent grant, national designations

9.5 PCT/RO/101 Names

9.5.1 Names - Example 1: Applicant is also inventor

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

Function	Name	Val.
1. Applicant	MANZONI Salvatore	
+ Applicant	Open to add applicant or applicant/inventor	

Figure 308: Names GUI: Applicant 1

Applicant details

☐ Legal entity
 ☒ Natural person
 ☒ This person is also inventor

Name: MANZONI
 First Name: Salvatore
 Country or territory: IT Italy
 Address: Via Roma 8
 City: Milano
 Region:
 Postal code: 20100
 Telephone: +39 2 5056 10
 Facsimile: +39 2 5056 89
 e-mail: smanzoni@borgnese.it
 State of Nationality: IT Italy
 State of Residence: IT Italy

The person is applicant for:

☒ All designated States

☐ All designated States except US

☐ the United States of America only

☐ Certain designated States only

select/modify

OK Cancel

Figure 309: 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)
- (6) Country
- (7) Address
- (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) Nationality
- (15) Residence

XML request.xml

```

10 <invention-title lang="en">INSTANT WATER</invention-title>
11 <parties>
12 <applicants>
13   1 <applicant sequence="1" app-type="applicant-inventor" designation="all">
14     3 <addressbook lang="en">
15       3 <last-name>MANZONI</last-name>
16       4 <first-name>Salvatore</first-name>
17       5 <registered-number>778800223</registered-number>
18       <address>
19         7 <street>Via Roma 8</street>
20         <city>Milano</city> 8
21         10 <postcode>20100</postcode>
22         <country>IT</country> 6
23       </address>
24       11 <phone>+39 2 5056 10</phone>
25       <fax>+39 2 5056 89</fax> 12
26       13 <email>smanzoni@borghese.it</email>
27     </addressbook>
28     <nationality>
29       14 <country>IT</country>
30     </nationality>
31     <residence>
32       15 <country>IT</country>
33     </residence>
34   </applicant>
35 </applicants>
36 </parties>
37 <designation-of-states>
  
```

The XML snippet shows the structure for applicant 1. Red circles with numbers 1 through 16 point to specific elements in the XML code, corresponding to the element list provided above. The XML is for an invention titled 'INSTANT WATER' and lists applicant Salvatore Manzoni with various contact and identification details.

Figure 310: Names XML: applicant 1

PDF Pct101.PDF

II	Applicant 1	
II-1	This person is	2 applicant and inventor
II-2	Applicant for	all designated States 16
II-4	Name (LAST, First)	3 MANZONI, Salvatore 4
II-5	Address	Via Roma 8 20100 Milano 10 Italy 6
II-6	State of nationality	14 IT
II-7	State of residence	IT 15
II-8	Telephone No.	11 +39 2 5056 10
II-9	Facsimile No.	+39 2 5056 89 12
II-10	e-mail	13 smanzoni@borghese.it
II-11	Applicant's registration No. with the Office	778800223 5

Figure 311: Names PDF: details for applicant 1

9.5.2 Names - Example 2: Two applicants with different designations, one deceased inventor

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

Details concerning Applicant or Applicant/inventor

2 ☒ Legal entity ☐ Natural person ☐ This person is also inventor

1 1. App. **16** 2. App. **16**

3 Name: TECHINVENT SA **4** Registration No. 22012456

First Name:

Country or territory: FR **5** France **5** Telephone: +33 4 2568 10 **10**

Address: **6** 34, place de la république **6** Facsimile: +33 4 2568 97 **11**

City: Lyon **7** e-mail: info@techninvent.fr **12**

Region: **8** State of Nationality: FR **13** France **13**

Postal code: 69008 **9** State of Residence: FR **14** France **14**

The person is applicant for:

15 ☐ All designated States ☐ All designated States except US **17**

☒ the United States of America only **15** ☐ Certain designated States only

select/modify

OK Cancel

Figure 312: Names GUI: details for applicant 1, legal entity

Details for deceased inventor

Details concerning Inventor Only

Name: MORETTI **19** **21** ☒ Deceased

First Name: Francesco **20**

22 The following person(s) is (are) successor(s) to the rights of the deceased inventor for the purposes of the designation of the United States of America:

	Applicant	Name	Capacity
23 ☒	1. Applicant	TECHINVENT SA	executor 24

1. App.
2. App.
+ App.
1. Inv. **18**
+ Inv.
1. Agt.
2. Agt.
+ Agt.

Figure 313: Names GUI: inventor, deceased, with successor to rights indicated

Element list

- (1) Applicant 1
- (2) Name is a legal person
- (3) Company name
- (4) Registration number (PCT)
- (5) Country
- (6) Address
- (7) City
- (8) Region: only applicable in case of US states, GB counties, etc.
- (9) Postal code
- (10) Telephone
- (11) Fax
- (12) E-mail
- (13) Nationality
- (14) Residence
- (15) Applicant 1 is designated for US only
- (16) Applicant 2
- (17) Applicant 2 is designated for all states except US (selected in GUI for applicant 2)
- (18) Inventor 1
- (19) Last name
- (20) First name
- (21) Inventor deceased
- (22) This person is successor to rights of deceased inventor
- (23) Applicant 1 is successor to rights for US
- (24) Applicant 1 acts as executor

XML request.xml

```

10 <invention-title lang="en">INSTANT WATER</invention-title>
11 <parties>
12 <applicants>
13 1 <applicant sequence="1" app-type="applicant" designation="us-only">
14 <addressbook lang="en">
15 2 <name name-type="legal">TECHINVENT SA</name>
16 4 <registered-number>22012456</registered-number>
17 <address>
18 6 <street>34, place de la république</street>
19 <city>Lyon</city>
20 7 <postcode>69008</postcode>
21 9 <country>FR</country>
22 </address>
23 10 <phone>+33 4 2568 10</phone>
24 <fax>+33 4 2568 97</fax>
25 11 <email>info@techninvent.fr</email>
26 </addressbook>
27 <nationality>
28 13 <country>FR</country>
29 </nationality>
30 <residence>
31 14 <country>FR</country>
32 </residence>
33 23 <us-rights to-dead-inventor="MORETTI Francesco" kind="executor">This person is successor to the rights of
the deceased inventor for the purposes of the designation of the United States of America</us-rights>
34 </applicant>
35 16 <applicant sequence="2" app-type="applicant" designation="all-except-us">
54 </applicants>
55 <inventors>
56 21 <deceased-inventor sequence="1" lang="en">
57 19 <last-name>MORETTI</last-name>
58 <first-name>Francesco</first-name>
59 </deceased-inventor>
60 </inventors>
61 </parties>
62 <designation-of-states>

```

Figure 314: Names XML: data for applicant 1, applicant 2 and deceased inventor

PDF Pct101.PDF

1	II	Applicant	
	II-1	This person is	applicant only 19 20
			24 executor of MORETTI Francesco (deceased) 23
	II-2	Applicant for	15 US only
	II-4	Name	TECHINVENT SA 3
	II-5	Address	34, place de la république 6
			9 69008 Lyon 7
			France 5
	II-6	State of nationality	13 FR
	II-7	State of residence	FR 14
	II-8	Telephone No.	10 +33 4 2568 10
	II-9	Facsimile No.	+33 4 2568 97 11
	II-10	e-mail	12 info@techinvent.fr
	II-11	Applicant's registration No. with the Office	22012456 4
16	III-1	Applicant and/or inventor	
	III-1-1	This person is	applicant only
	III-1-2	Applicant for	17 all designated States except US
	III-1-4	Name (LAST, First)	MANZONI, Salvatore
	III-1-5	Address	Via Roma 8
			20100 Milano
			Italy
	III-1-6	State of nationality	IT
	III-1-7	State of residence	IT
	III-1-11	Applicant's registration No. with the Office	778800223
	III-2	Applicant and/or inventor	
	III-2-1	This person is	21 inventor only (deceased)
	III-2-4	Name (LAST, First)	MORETTI, Francesco
			19 20

Figure 315: Names PDF: details of applicants 1 and 2 and inventor

9.5.3 Names - Example 3: Two agents with the same address

In this example, two applicants have been indicated: a legal entity and a natural person as applicant/inventor. The structure of these names is the same as in example 2 above.

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

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

Details concerning Agent

1. App.
2. App.
+ App.
+ Inv.
1. Agt. **1**
2. Agt.
+ Agt.

☐ Legal entity ☒ Natural person

Name: KILBURN **2** Registration No. 456789012 **4**

First Name: David **3**

Country or territory: GB United Kingdom **5** Telephone: +44 1223 351689 **10**

Address: **6** Facsimile: +44 1223 351690 **11**

Cambridge Science Park **6** e-mail: kilburn@ip-partners.co **12**

City: Cambridge **7**

GB County: Cambridgeshire **8**

Postal code: CB2 1AB **9**

☐ Same address as the first-named agent

OK Cancel

Figure 316: Names GUI: details of agent 1

Agent 2 with the same address

Details concerning Agent

1. App.
2. App.
+ App.
+ Inv.
1. Agt.
2. Agt. **13**
+ Agt.

☐ Legal entity ☒ Natural person

Name: MILLER **14** Registration No. 55887744 **16**

First Name: Louise **15**

☒ Same address as the first-named agent **17**

Figure 317: 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)
- (5) Country
- (6) Address
- (7) City
- (8) State: GB county
- (9) Postal code
- (10) Telephone
- (11) Fax
- (12) E-mail
- (13) Agent 2
- (14) Last name
- (15) First name
- (16) Registration number (PCT)
- (17) Address for agent 2 is same as for agent 1: all address elements for agent 2 are inferred from agent 1

PDF Pct101.PDF

IV-1	Agent or common representative; or address for correspondence The person identified below is hereby/ has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:	agent 1
IV-1-1	Name (LAST, First)	2 3 KILBURN, David
IV-1-2	Address	6 Cambridge Science Park 7 Cambridge 8 Cambridgeshire 9 CB2 1AB 5 United Kingdom
IV-1-3	Telephone No.	+44 1223 351689 10
IV-1-4	Facsimile No.	+44 1223 351690 11
IV-1-5	e-mail	kilburn@ip-partners.co.uk 12
IV-1-6	Agent's registration No.	4 456789012
IV-2	Additional agent(s)	13 17 additional agent(s) with same address as first named agent
IV-2-1	Name(s)	14 15 16 MILLER, Louise (55887744)

Figure 318: Names PDF: agent and additional agent

XML request.xml

11	<parties>
12	<applicants>
53	<agents>
54	1 <agent sequence="1" rep-type="agent">
55	<addressbook lang="en">
56	2 <last-name>KILBURN</last-name>
57	<first-name>David</first-name> 3
58	4 <registered-number>456789012</registered-number>
59	<address>
60	6 <street>Cambridge Science Park</street>
61	<city>Cambridge</city> 7
62	8 <state>Cambridgeshire</state>
63	<postcode>CB2 1AB</postcode> 9
64	5 <country>GB</country>
65	</address>
66	10 <phone>+44 1223 351689</phone>
67	<fax>+44 1223 351690</fax> 11
68	12 <email>kilburn@ip-partners.co.uk</email>
69	</addressbook>
70	</agent>
71	13 <agent sequence="2" rep-type="agent">
72	<addressbook lang="en">
73	14 <last-name>MILLER</last-name>
74	<first-name>Louise</first-name> 15
75	16 <registered-number>55887744</registered-number>
76	<address>
77	6 <street>Cambridge Science Park</street>
78	<city>Cambridge</city> 7
79	8 <state>Cambridgeshire</state>
80	<postcode>CB2 1AB</postcode> 9
81	5 <country>GB</country>
82	</address>
83	10 <phone>+44 1223 351689</phone>
84	<fax>+44 1223 351690</fax> 11
85	12 <email>kilburn@ip-partners.co.uk</email>
86	</addressbook>
87	</agent>
88	</agents>
89	</parties>

Figure 319: Names XML: data for agent 1 and agent 2

9.5.4 Power of attorney

An applicant/inventor and an agent are indicated in the **Names** GUI. The applicant has signed a separate power of attorney for his agent, which is attached as an XML file named **eofl-poat-00001.xml**. In the Online Filing GUI, this special file appears as **original separate power of attorney** in the **Accompanying items** sub-tab of the **Contents** screen, right after the signature has been applied within the **Names** GUI.

The reference to the power of attorney file is described in **Contents - Example 2: Specification attached in XML format** (p. 271).

① 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

Power of Attorney

Select applicant(s) giving power of attorney

	Name	Name of Signatory	Capacity
☒	MANZONI, Salvatore		

Select agent(s)/common representative to whom power of attorney is given

	Name
☒	KILBURN, David

representing the applicant(s) before

all the competent International Authorities

all the competent International Authorities

the International Searching Authority only

the International Preliminary Examining Authority only

Sign Save As File Preview... Cancel

Figure 320: Names GUI: selection of role for agent

Element list

- (1) Applicant
- (2) Agent/representative
- (3) Representing applicant before ...

XML eolf-poat-000001.xml

The XML file contains personal information about the agent and includes the applicant's signature.

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <DOCTYPE power-of-attorney SYSTEM "power-of-attorney-v1-5.dtd" >
3  <?software_name PCT Online Filing?>
4  <?software_version Version 3.5.000.221 MT/FOP 20020701/0.20.5.9?>
5  <?stylesheet_version Version 1.42?>
6  <?fop_version Version 0.20.5.9?>
7  <?fop_fontconf common.xml?>
8  <power-of-attorney lang="en" dtd-version="1.5" status="new" title="power-of-attorney">
9  <attorney-or-agent rep-type="agent">
10 <addressbook lang="en">
11 <last-name>KILBURN</last-name>
12 <first-name>David</first-name>
13 <address>
14 <street>Cambridge Science Park, 100 Red Lion Square</street>
15 <city>Cambridge</city>
16 <state>Cambridgeshire</state>
17 <postcode>CB2 1AB</postcode>
18 <country>GB</country>
19 </address>
20 <phone>+44 1223 351689</phone>
21 <fax>+44 1223 351690</fax>
22 <email email-purpose="informal">kilburn@ip-partners.co.uk</email>
23 </addressbook>
24 </attorney-or-agent>
25 <represent-before>
26 <all-authorities/>
27 </represent-before>
28 <invention-title lang="en">INSTANT WATER</invention-title>
29 <file-reference-id>pct_XML_1</file-reference-id>
30 <ro>
33 <payor role="yes"/>
34 <signatories>
35 <signatory>
36 <name name-type="natural">MANZONI, Salvatore</name>
37 <electronic-signature date="20100719">
38 <basic-signature>
39 <text-string>/Salvatore Manzoni/</text-string>
40 </basic-signature>
41 </electronic-signature>
42 <signatory-capacity></signatory-capacity>
43 </signatory>
44 </signatories>
45 </ro>
46 </power-of-attorney>

```

Figure 321: Power of attorney - details of agent and signatory in power-of-attorney.xml file

PDF Attorney.PDF

This PDF file is generated by Online Filing from the data in the ***ewolf-poat-000001.xml*** file and must not be imported.

pct_XML_1		1/1
PCT POWER OF ATTORNEY		
Print Out (Original in Electronic Form)		
(This sheet is not part of and does not count as a sheet of the international application)		
0-1	PCT Power of Attorney (for an international application filed under the Patent Cooperation Treaty) (PCT Rule 90.4)	
0-1-1	Prepared Using	PCT Online Filing Version 3.5.000.221 MT/FOP 20020701/0.20.5.9
1	The undersigned applicant(s)	1 MANZONI, Salvatore
1-1-1	hereby appoints (appoint) the following person	2 KILBURN, David Cambridge Science Park 100 Red Lion Square Cambridge Cambridgeshire CB2 1AB United Kingdom
1-2	as	Agent
1-3	to represent the undersigned before	3 all the competent International Authorities
1-4	in connection with the international application identified below:	
1-4-1	Title of Invention	INSTANT WATER
1-4-2	Applicant's or agent's file reference	pct_XML_1
1-4-3	International application number (if already available)	
1-4-4	filed with the following Office as receiving Office	European Patent Office (EPO) (RO/EP)
1-5	and to make or receive payments on behalf of the undersigned	
2-1	Signature of applicant, agent or common representative	/Salvatore Manzoni/
2-1-1	Name (LAST, First)	MANZONI, Salvatore
2-1-2	Name of signatory	
2-1-3	Capacity	
3	Date	19 July 2010 (19.07.2010)

Figure 322: 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 national priority are claimed. The EPO as the receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the above-identified earlier application.

GUI PCT/RO/101 Priority

No.	State	Date	Application No.	Req.	Rest.	Val.
1	EP European Patent	4 Dec 2007	07400003.5	☒		
2	IT Italy	18 Dec 2007	cc-4567890			
+	Add Priority Claim					

Figure 323: Priority GUI: priority claims for EP and IT

Details of Priority Claim of Earlier Application

☐ National ☒ Regional ☐ International (PCT)

Regional Office: EP European Patent Office

Filing date: 4 December 2007

Number: 07400003.5

Country Party to Paris Convention for Protection of Industrial Property or Member of the World Trade Organization for which earlier application was filed:

☒ The receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the above-identified earlier application.

☐ The receiving Office is requested to restore the right of priority

OK Cancel

Figure 324: Details of priority claim of earlier regional application (EP)

Element list

- (1) Priority claim 1
- (2) Regional priority claim
- (3) Receiving Office for priority claim 1
- (4) Filing date
- (5) Application number
- (6) Request to receiving Office for certified copy [...]
- (7) Priority claim 2
- (8) National priority claim
- (9) Receiving Office for priority claim 2
- (10) Filing date
- (11) Application number

XML request.xml

```

38 <designation-of-states>
41 <priority-claims>
42   (1) <priority-claim sequence="1" kind="regional"> (2)
43     (3) <country>EP</country>
44     <doc-number>07400003.5</doc-number> (5)
45     (4) <date>20071204</date>
46     <priority-doc-requested/> (6)
47   </priority-claim>
48   (7) <priority-claim sequence="2" kind="national"> (8)
49     (9) <country>IT</country>
50     <doc-number>cc-4567890</doc-number> (11)
51     (10) <date>20071218</date>
52   </priority-claim>
53 </priority-claims>
54 <search-authority>

```

Figure 325: Priority XML: regional and national priority claim

PDF Pct101.PDF

(1)	VI-1	Priority claim of earlier regional application	
	VI-1-1	Filing date	(2) 04 December 2007 (04.12.2007) (5)
	VI-1-2	Number	07400003.5 (4)
	VI-1-3	Regional Office	(3) EP
(7)	VI-2	Priority claim of earlier national application	
	VI-2-1	Filing date	(8) 18 December 2007 (18.12.2007) (10)
	VI-2-2	Number	cc-4567890 (11)
	VI-2-3	Country	(9) IT
	VI-3	Priority document request	
		The receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the earlier application(s) identified above as item(s):	VI-1 (6)

Figure 326: Priority PDF: priority claims of earlier regional and national application

9.7 PCT/RO/101 Biology

The data on deposited microorganisms/biological material is contained in the separate *indication-bio-deposit.xml* file. This XML file is referenced by the **<biological-material>** element in the *package-data.xml* file.

❗ Please note: It is no longer necessary to reference the *indication-bio-deposit.xml* once again in an **<other-doc>** element; the latter is only produced by the Online Filing Software for legacy purposes

The number of biological materials is indicated by the **<cl-biological-material>** element within the **<check-list>** element in the *request.xml* file. The number of sequence listings are indicated by the **<cl-sequence-listing>** elements.

The files containing sequence listings are attached in the **Contents** GUI. However, these options are only available there if the check-box (12) has been ticked in the **Biology** GUI. The attachments are also referenced in the *request.xml* and *package-data.xml* files.

In the example below, one biological material item has been added to the application. A sequence listing in PDF format has been attached additionally.

GUI PCT/RO/101 Biology

The screenshot shows the 'Biology' tab in the 'PCT-RO-101 Electronic Request - pct_XML_1' application. The left sidebar contains a list of tabs: Request, States, Names, Priority, Biology (selected), Declarations, Contents, Fees, Payment, and Annotate. Below these are three status icons: 'filing not possible' (red), 'filing possible' (yellow), and 'ready for filing' (green).

The main area is titled 'Indications Relating to Deposited Microorganism or Other Biological Material'. It contains a table with the following data:

No.	Depository Institution	Date of Deposit	Accession No.	Val.
1	ABC	30 Jan 2008	08-4556633	
+ Open to add new item				

Below the table is a large empty box and an 'Open' button. At the bottom, there is a section titled 'Nucleotide and/or amino acid sequence listing' with a checkbox (12) labeled 'The description contains a sequence listing', which is currently checked.

Figure 327: Biology GUI - item for biological material/deposited microorganisms

GUI Details concerning Indications Relating to a Deposited Microorganism

The indications made below relate to the deposited microorganism or other biological material referred to in the description:

on page or (please leave this field empty if you indicate paragraph number in the left field)

in paragraph number:

Depository institution:

Address:

Accession Number:

Date of deposit:

Additional Indications:

Separate Furnishing of Indications:

Designated States for Which Indications Are Made

☐ All Designated States

☒ Certain Designated States only

Figure 328: Biology GUI - details of biological material

Element list

- (1) Bio deposit number 1
- (2) Page number in description referring to bio deposit
- (3) Line number in description
- (4) Depository institution
- (5) Address of depository institution (retrieved from Online Filing database)
- (6) Accession number prefix of depository institution
- (7) Accession number of bio deposit
- (8) Date of deposit
- (9) Additional indications
- (10) Separate furnishing of indications
- (11) List of designated states
- (12) Filing includes sequence listing(s)
- (13) User reference
- (14) Reference to indication-bio-deposit.xml file
- (15) Reference to sequence listing file in PDF format
- (16) Original file name of sequence listing file in PDF format
- (17) Included for legacy purposes: Reference to indication-bio-deposit.xml file
- (18) Included for legacy purposes: Reference to sequence listing in PDF format
- (19) Included for legacy purposes: Reference to sequence listing in PDF format

XML indication-bio-deposit.xml

The **<designated-states>** list (11) is grouped into multiple blocks, depending on which states are selected and which regions these states belong to. Each **<country>** element is listed twice: first as an individual state and once again under the respective **<region>** element.

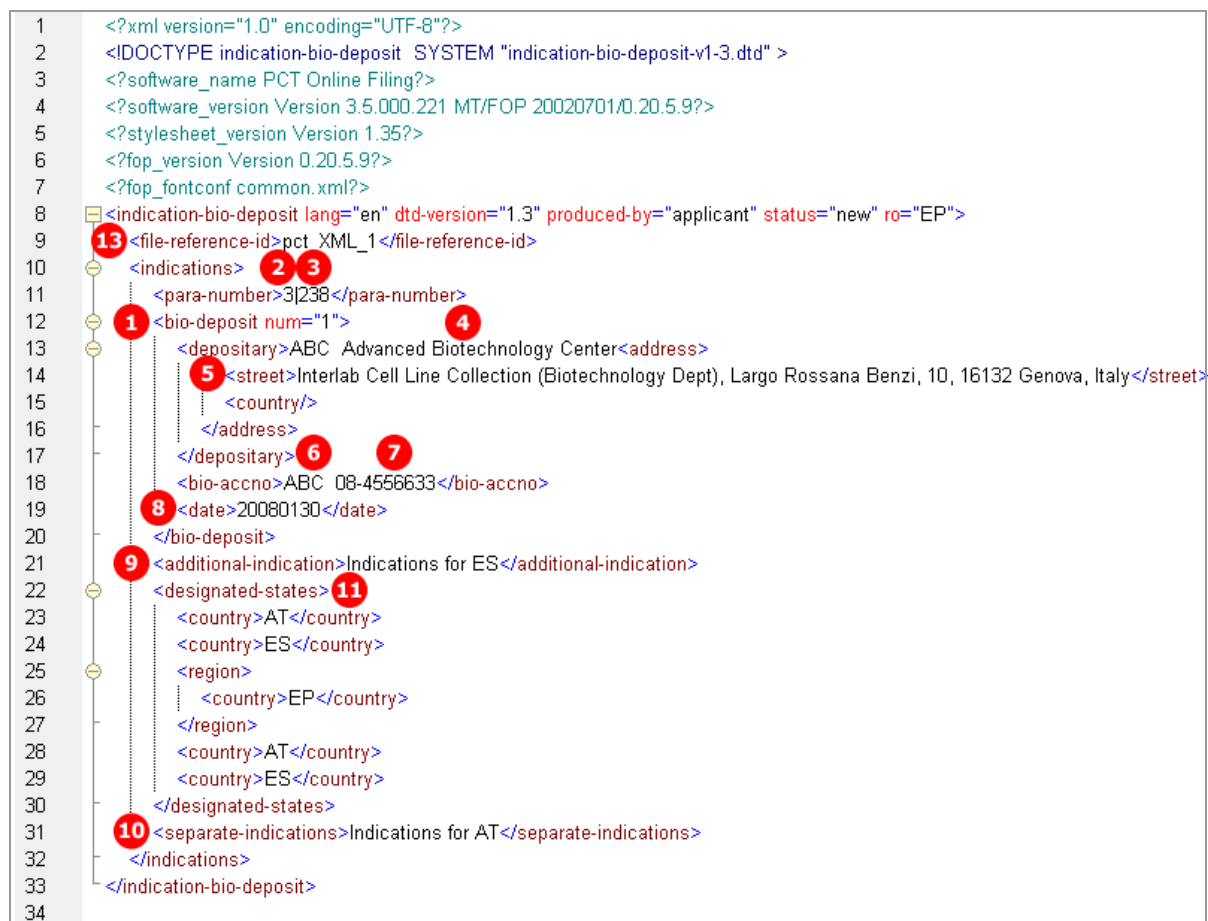


Figure 329: Biology XML: details of biological material item in indication-bio-deposit.xml file

References in request.xml file

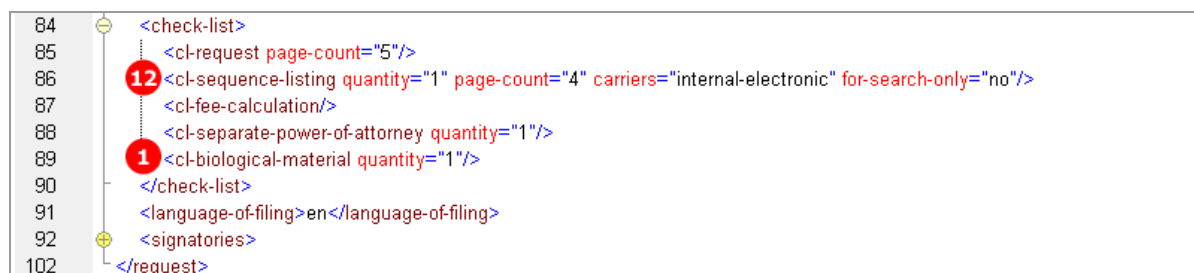


Figure 330: Request XML - reference to sequence listing and biological material

References in package-data.xml file

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE package-data SYSTEM "package-data-v1-6.dtd" >
3  <?software_name PCT Online Filing?>
4  <?software_version Version 3.5.000.221 MT/FOP 20020701/0.20.5.9?>
5  <package-data lang="en" dtd-version="1.6" produced-by="applicant" status="new" country="EP">
6      <transmittal-info>
29      <signatories>
39      <application-body-doc file="application-body.xml" lang="en"/>
40      14 <biological-material file="indication-bio-deposit.xml" lang="en"/>
41      <application-request file="request.xml" lang="en"/> 16
42      15 <sequence-list file="instant water sequence listings.pdf" lang="en" seq-file-type="ST.25" carriers="internal-electronic"
         electronic-format-type="other" part-of-application="yes"/>
43      <fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
44      <separate-power-of-attorney file="eolf-poat-000001.xml" lang="en"/>
45      <other-documents>
46          <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new">
49          <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="application-body.xml" file-type="
xml"/>
53          <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="request.xml" file-type="xml">
56          <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="fee-sheet.xml" file-type="xml">
59          <!--included here, while referenced in another entity, for legacy purposes--> 17 <other-doc file="indication-bio-deposit.xml"
file-type="xml">
60              <document-name>BIODEPXML</document-name>
61          </other-doc>
62          <!--Client Preview, generated from XML original--> <other-doc file="Pct101.PDF" file-type="pdf">
65          <!--included here, while referenced in another entity, for legacy purposes--> 18 <other-doc file="instant water sequence
listings.pdf" file-type="pdf">
66              <document-name>SEQLPDF</document-name>
67          </other-doc>
68          <!--included here, while referenced in another entity, for legacy purposes--> 19 <other-doc file="instant water sequence
listings.pdf" file-type="pdf">
69              <document-name>SEQLSPDF</document-name>
70          </other-doc>
71          <!--Client Preview, generated from XML original--> <other-doc file="Fees.PDF" file-type="pdf">
74          <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="eolf-poat-000001.xml" file-type="
xml">
77      </other-documents>
78  </package-data>
79

```

Figure 331: Biology XML - references to sequence listing files and indication-bio-deposit.xml file in package-data.xml file

PDF Micro.PDF

Online Filing converts the data from the **indication-bio-deposit.xml** file into a PDF file for the applicant's reference. This PDF file is not part of the submission to the EPO.

pct_XML_1		1/1	
PCT		Print Out (Original in Electronic Form)	
0-1	Form PCT/RO/134 (SAFE) Indications Relating to Deposited Microorganism(s) or Other Biological Material (PCT Rule 13bis)		
0-1-1	Prepared Using	PCT Online Filing Version 3.5.000.221 MT/FOP 20020701/0.20.5.9	
0-2	International Application No.		
0-3	Applicant's or agent's file reference	pct_XML_1 13	
1	The indications made below relate to the deposited microorganism(s) or other biological material referred to in the description on:		
1-1	page	2	3
1-2	line	3	238 11 12
1-3	Identification of deposit		
1-3-1	Name of depositary institution	4	ABC Advanced Biotechnology Center
1-3-2	Address of depositary institution	5	Interlab Cell Line Collection (Biotechnology Dept), Largo Rossana Benzi, 10, 16132 Genova, Italy
1-3-3	Date of deposit	8	30 January 2008 (30.01.2008)
1-3-4	Accession Number	6	ABC 08-4556633 7
1-4	Additional Indications	9	Indications for ES
1-5	Designated States for Which Indications are Made	11	EP: (AT ES) AT ES
1-6	Separate Furnishing of Indications These indications will be submitted to the International Bureau later	10	Indications for AT

Figure 332: Biology PDF - details of biological material in Micro.PDF file

9.8 PCT/RO/101 Declarations

PCT/RO/101 offers five different declarations. Each declaration can be made more than once:

1. Declaration as to identity of inventor
2. Declaration as to applicant's entitlement to apply for and be granted a patent
3. Declaration as to applicant's entitlement to claim priority of earlier application
4. Declaration of inventorship (for the purposes of the USA only)
5. Declaration as to non-prejudicial disclosures or exceptions to lack of novelty

The data for the declarations is contained in the separate **declarations.xml** file, which is referenced by the **<declaration-doc>** element. The document code is **PCTDECLXML** and is referenced in the **pkgheader.xml** file.

❗ The **<other-doc>** element in the **package-data.xml** file is only referenced for legacy purposes.

The number of declarations is indicated by the **quantity** attribute in each of the **<declaration1>** to **<declaration5>** elements within the **<declarations>** element in the **request.xml** file.

GUI PCT/RO/101 Declarations

PCT-RO-101 Electronic Request - pct_XML_2

File Edit View Tools Help

Declarations

Add

No.	Type	Applicant	Val.
1	Declaration of inventorship (only for	<all applicant/inventors for the US>	
2	Declaration as to applicant's entitlement	TECHINVENT SA	
3	Declaration as to identity of the inven	LAVAIL, Thierry	

Print declarations Open

filing not possible
filing possible
ready for filing

Figure 333: Declarations GUI: three different declarations are made

Element list

- (1) Declaration quantity 1
- (2) Declaration of Inventorship (declaration 4)
- (3) Declaration quantity 1
- (4) Declaration as to the applicant's entitlement [...] to apply for and be granted a patent (declaration 2)
- (5) Declaration quantity 1
- (6) Declaration as to the identity of the inventor (declaration 1)
- (7) Inventor's last name
- (8) Inventor's first name
- (9) Inventor's address: street
- (10) Inventor's address: city
- (11) Inventor's address: postcode
- (12) Inventor's residence
- (13) Reference to declaration.xml file
- (14) Included for legacy purposes: reference to declaration.xml file
- (15) Included for legacy purposes: document code for declaration.xml file

Reference in request.xml file

```

95  <search-authority>
115  <declarations>
116    6 <declaration1 quantity="1"/> 5
117    4 <declaration2 quantity="1"/> 3
118    2 <declaration4 quantity="1"/> 1
119  </declarations>
120  <check-list>
  
```

Figure 334: Declarations XML: declarations 1, 3 and 4 are indicated in request.xml file

XML declaration.xml

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

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE declaration SYSTEM "declaration-v1-5.dtd" >
3  <?software_name PCT Online Filing?>
4  <?software_version Version 3.5.000.221 MT/FOP 20020701/0.20.5.9?>
5  <?stylesheet_version Version 1.51?>
6  <?fop_version Version 0.20.5.9?>
7  <?fop_fontconf common.xml?>
8  <declaration lang="en" dtd-version="1.5" status="new">
9    1 <inventorship sequence="1" lang="en">
47  2 <entitlement-to-be-granted-patent sequence="1" lang="en"> 3
59  4 <identity-of-inventor sequence="1" lang="en">
60  5 <identity-of-inventor sequence="1" lang="en">
61    <addressbook lang="en">
62      7 <last-name>LAVAIL</last-name>
63      <first-name>Thierry</first-name> 8
64      <address>
65        9 <street>120 Avenue des Pyrénées</street>
66        <city>Toulouse</city> 10
67        11 <postcode>31200</postcode>
68        <country>FR</country> 12
69      </address>
70    </addressbook>
71    <all-designations/>
72  </identity-of-inventor>
  </declaration>
  
```

Figure 335: Details of a declaration in declaration.xml file

Reference in package-data.xml file

```

40 <application-body-doc file="application-body.xml" lang="en"/>
41 13 <declaration-doc file="declaration.xml" lang="en" dec-type="combined"/>
42 <biological-material file="indication-bio-deposit.xml" lang="en"/>
43 <application-request file="request.xml" lang="en"/>
44 <sequence-list file="instant water sequence listings.pdf" lang="en" seq-file-type="ST.25" carriers="internal-electronic"
    electronic-format-type="other" part-of-application="yes"/>
45 <fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
46 <separate-power-of-attorney file="eolf-poat-000001.xml" lang="en"/>
47 <other-documents>
48 <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new">
51 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="application-body.xml" file-type="
    xml"/>
55 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="request.xml" file-type="xml">
58 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="fee-sheet.xml" file-type="xml">
61 <!--included here, while referenced in another entity, for legacy purposes--> 14 <other-doc file="declaration.xml" file-type="xml">
62 15 <document-name>PCTDECLXML</document-name>
63 </other-doc>

```

Figure 336: References to declaration.xml file in package-data.xml file

PDF Pct101.PDF

VIII		Declarations		Number of declarations	
6	VIII-1	Declaration as to the identity of the inventor	1	5	
4	VIII-2	Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent	1	3	
	VIII-3	Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application	–		
2	VIII-4	Declaration of inventorship (only for the purposes of the designation of the United States of America)	1	1	
	VIII-5	Declaration as to non-prejudicial disclosures or exceptions to lack of novelty	–		

Figure 337: Declarations indicated in PDF request

The text of each declaration is printed on a new page within the PDF form. The figure below shows only the first example for the declaration type **Identity of inventor**.

VIII-1-1	Declaration: Identity of the Inventor	6
5	Declaration as to the identity of the inventor (Rules 4.17(i) and 51bis.1(a)(i))	in relation to this international application 8
	Name (LAST, First)	7 LAVAIL, Thierry of
	Address	11 120 Av. des Pyrénées 9 31200 Toulouse 10 France 12
		is the inventor of the subject matter for which protection is sought by way of this international application

Figure 338: Details of "Identity of the Inventor" declaration

9.9 PCT/RO/101 Contents

The **Contents** screen of PCT/RO/101 provides three different modes of attaching specification documents:

1. **XML attachments**
2. **PDF attachments** - multiple PDF files for description, claims and abstract, PDF/TIFF/JPG files for the drawings
3. **PDF attachment - single specification file** - description, claims and abstract are contained in one text document, separate PDF/TIFF/JPG files for the drawings

The **Accompanying items** sub-tab offers the following options:

- ◆ Original separate power of attorney
- ◆ Original general power of attorney
- ◆ Copy of general power of attorney
- ◆ Statement explaining lack of signature
- ◆ Translation of international application into...
- ◆ Separate indications concerning deposited microorganisms or other biological material
- ◆ Statement confirming that "the information in Annex c/St.25 text format submitted under Rule 13ter is identical to the sequence listings as contained in the international application"
- ◆ OTHER (type of document indicated by user)

The file format for all attachments is PDF: Some extra options are available depending on the type of attachment.

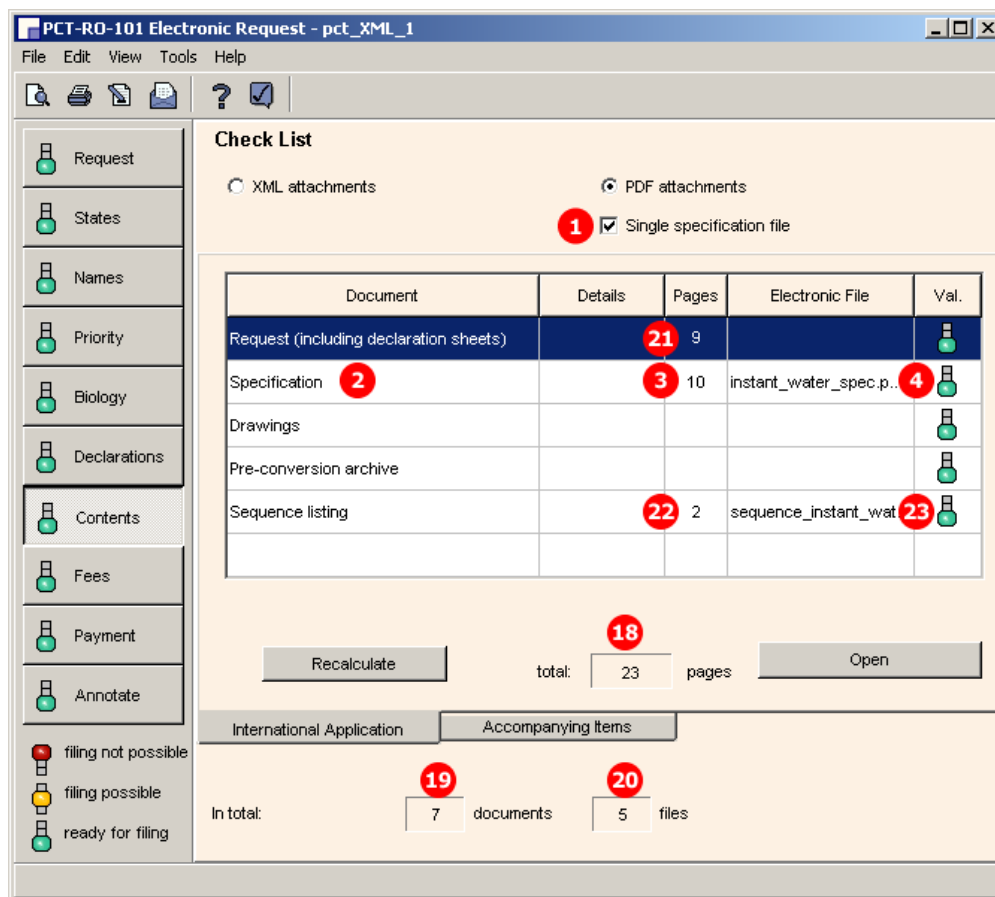
A **pre-conversion archive** (ZIP archive containing the original documents prior to conversion into PDF files) can be attached additionally, regardless of what other files are included. The pre-conversion archive is not accounted for in the total number of sheets in the submission.

① For a list of the standard document names required by the EPO see **Document codes and file types for PCT/RO/101** (p. 231).

9.9.1 Contents - Example 1: Specification in one combined PDF file

This example shows an application with the specification in one PDF file, a sequence listing file and a table related to sequence listings. For more details of biological material and sequence listings, see **PCT/RO/101 Biology** (p. 258).

GUI PCT/RO/101 Contents



PCT-RO-101 Electronic Request - pct_XML_1

File Edit View Tools Help

Request States Names Priority Biology Declarations Contents Fees Payment Annotate

filing not possible
filing possible
ready for filing

Check List

☐ XML attachments ☒ PDF attachments

1 ☒ Single specification file

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)	21	9		
Specification 2	3	10	instant_water_spec.p... 4	
Drawings				
Pre-conversion archive				
Sequence listing	22	2	sequence_instant_wat... 23	

18 Recalculate total: 23 pages Open

International Application Accompanying Items

In total: 19 7 documents 20 5 files

Figure 339: Contents GUI - single specification file and sequence listing attached

GUI Content Details for specification file

Figure 340: Content details - page numbers for sections in specification document

Element list

- (1) Specification is attached as single PDF file
- (2) Specification as originally attached
- (3) Number of pages in original specification PDF file
- (4) Original file name of 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) Total number of pages in checklist (only displayed in GUI)
- (19) Total number of documents in checklist (only displayed in GUI)
- (20) Total number of files in checklist (only displayed in GUI, counts files attached by user)
- (21) Number of pages in request Pct101.PDF
- (22) Number of pages in sequence listing file
- (23) Sequence listing file attached

XML request.xml

```

106 <check-list>
107   <cl-request page-count="9"/> 21
108   6 <cl-description page-count="6"/> 9
109   10 <cl-claims page-count="2"/> 13
110   14 <cl-abstract page-count="2"/> 17
111   23 <cl-sequence-listing quantity="2" with-identifying-statement="yes" page-count="4" carriers="internal-electronic"
      for-search-only="no"/> 22
112   <cl-fee-calculation/>
113   <cl-separate-power-of-attorney quantity="1"/>
114   <cl-biological-material quantity="1"/>
115 </check-list>

```

Figure 341: Request XML: checklist of attached files

Reference in package-data.xml file

The reference to the specification document in the **package-data.xml** file is included for legacy purposes; the **<document-name>** element being contained as **<document-code>** in the **pkgheader.xml** file and the original file name in the **application-body.xml** file.

```

69 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="indication-bio-deposit.xml"
    file-type="xml">
72 <!--Client Preview, generated from XML original--> <other-doc file="Pct101.PDF" file-type="pdf"> 4
75 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="instant water.pdf" file-type="
    pdf"> 1
76   <document-name>SPEC</document-name>
77 </other-doc>
78 <other-doc file="abst.txt" file-type="txt">

```

Figure 342: Reference to specification file in package-data.xml file

XML application-body.xml

```

1 <?xml version="1.0" encoding="UTF-8"?>
2 <!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd" >
3 <?software_name PCT Online Filing?>
4 <?software_version Version 3.5.000.221 MT/FOP 20020701/0.20.5.9?>
5 <?stylesheet_version Version EP1.6?>
6 <?fop_version Version 0.20.5.9?>
7 <?fop_fontconf EP1001config.xml?>
8 <application-body lang="en" status="new" country="EP" dtd-version="1.6">
9   <description> 6 9 7 8 4
10     <doc-page id="DESC" he="1" wi="1" type="pdf" pp="6" ppf="1" ppl="6" file="instant water.pdf"/>
11   </description>
12   <claims> 10 13 11 12 4
13     <doc-page id="CLMS" he="1" wi="1" type="pdf" pp="2" ppf="7" ppl="8" file="instant water.pdf"/>
14   </claims> 5
15   <abstract lang="en"> 4
16     <doc-page id="ABST" he="1" wi="1" type="pdf" pp="2" ppf="9" ppl="10" file="instant water.pdf"/>
17   </abstract> 14 17 15 16
18 </application-body>

```

Figure 343: Page ranges of sections within specification file in application-body.xml file

Reference in pkgheader.xml file



Figure 344: Reference to specification file in pkgheader.xml file

PDF Pct101.PDF

IX	Check list	Number of sheets	Electronic file(s) attached
IX-1	Request (including declaration sheets)	21 9	✓
IX-2	Description (excluding sequence listing part)	9 6	✓ 6
IX-3	Claims	13 2	✓ 10
IX-4	Abstract	17 2	✓ 14
IX-5	Drawings	0	-
IX-7a	Sub-total number of sheets	19	
IX-6	Sequence listing part of the description	22 4	✓ 23
IX-7	TOTAL	18 23	

Figure 345: Checklist in request PDF: page numbers of attached electronic files

- (11) Figure number 2
- (12) Reference to TIF graphic file for figure 2
- (13) Figure number 3
- (14) Reference to TIF graphic file for figure 3
- (15) Total number of pages in application (only displayed in GUI and PDF)
- (16) Reference to **application-body.xml** file in **package-data.xml** file
- (17) Additional **<document-code>** element for **APPBODYXML** file
- (18) Document code for XML file in **pkgheader.xml** file
- (19) Document code for PDF file

XML request.xml

```

33 <check-list>
34 3 <cl-request page-count="2"/>
35 <cl-description page-count="8"/> 4
36 5 <cl-claims page-count="3"/>
37 <cl-abstract page-count="1"/> 6
38 7 <cl-drawings page-count="1"/>
39 <cl-fee-calculation/>
40 </check-list>
41 <figure-to-publish>
42 8 <fig-number>2b</fig-number>
43 </figure-to-publish>

```

Figure 347: Request XML: checklist with page numbers

Reference in package-data.xml file

```

5 <package-data lang="en" dtd-version="1.6" produced-by="applicant" status="new" country="">
6 <transmittal-info>
24 <signatories>
34 <application-body-doc file="application-body.xml" lang="en"/> 2
35 <application-request file="request.xml" lang="en"/>
36 <fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
37 <other-documents>
38 <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new">
41 <!-- included here, while referenced in another entity, for legacy purposes--> 2 <other-doc file="application-body.xml" file-type="xml"/>
42 16 <document-name>APPBODYXML</document-name>
43 <document-code>2018</document-code> 17
44 </other-doc>
45 <!-- included here, while referenced in another entity, for legacy purposes--> <other-doc file="request.xml" file-type="xml">
48 <!-- included here, while referenced in another entity, for legacy purposes--> <other-doc file="fee-sheet.xml" file-type="xml">
51 <!-- Client Preview, generated from XML original--> <other-doc file="Pct101.PDF" file-type="pdf">
54 <!-- Client Preview, generated from XML original--> <other-doc file="Fees.PDF" file-type="pdf">
57 </other-documents>
58 </package-data>

```

Figure 348: Reference to the application-body.xml file

Reference in pkgheader.xml file

```

14 <!-- included here for legacy purposes--> <document-code>VALLOGXML</document-code>
15 18 <document-code>APPBODYXML</document-code>
16 <document-code>REQUESTXML</document-code>
17 <document-code>FEESHEETXML</document-code>
18 19 <document-code>REQPDF</document-code>
19 <document-code>FEESHEETPDF</document-code>

```

Figure 349: Document codes in pkgheader.xml file

XML application-body.xml

Note: the full content of the description, claims and abstract is hidden in this XML example for legibility reasons.

```

7  <application-body country="EP" dtd-version="1.6" file="patent597.px.xml" id="pxmlpatent7" lang="de" status="N">
8    <description id="desc"> 4
103  <claims id="claim"> 5
146  <abstract id="abst" lang="de"> 6
152  <drawings id="draw"> 7
153    <figure id="f01" num="001"> 9
154      <img id="i02" wi="104" he="74" img-content="drawing" img-format="tif" orientation="portrait" file="img0002.tif"/> 10
155    </figure>
156    <figure id="f02" num="002"> 11
157      <img id="i03" wi="124" he="65" img-content="drawing" img-format="tif" orientation="portrait" file="img0003.tif"/> 12
158    </figure>
159    <figure id="f03" num="003"> 13
160      <img id="i04" wi="131" he="71" img-content="drawing" img-format="tif" orientation="portrait" file="img0004.tif"/> 14
161    </figure>
162  </drawings>
163 </application-body>

```

Figure 350: Application body XML: sections and figures

PDF Pct101.PDF

IX	Check list	number of sheets		electronic file(s) attached
IX-1	Request (including declaration sheets)	3	2	✓
IX-2	Description	4	8	✓
IX-3	Claims	5	3	✓
IX-4	Abstract	6	1	✓
IX-5	Drawings	7	1	✓
IX-7	TOTAL		15	
Accompanying Items		paper document(s) attached		electronic file(s) attached
IX-8	Fee calculation sheet		-	✓
IX-17	PCT-SAFE physical media		-	-
IX-19	Figure of the drawings which should accompany the abstract	2b	8	

Figure 351: Request PDF: checklist with number of sheets and figure to be published with abstract

9.9.3 Contents - Example 3: Specification in multiple PDF files with accompanying items

In this example, the patent specification is attached in four separate files: description, claims, abstract and drawings. In the **Contents** GUI, these files are listed in the **International Application** sub-tab.

GUI PCT/RO/101 Contents, International Application sub-tab

PCT-RO-101 Electronic Request - pct_XML_4

File Edit View Tools Help

Check List

☐ XML attachments ☒ PDF attachments ☐ Single specification file

Document	Details	Pages	Electronic File	Val.
1 Request (including declaration sheets)		2 3		
3 Description		4 7	instant water descriptio...	5
6 Claims		7 4	instant water claims.p...	8
9 Abstract		10 2	instant water abstract...	11
12 Drawings	13 Fig. No. 1a	14 1	instant water drawing...	15
Pre-conversion archive				

Recalculate total: 17 pages Open

International Application Accompanying Items

In total: 8 documents 6 files

☒ filing not possible
☐ filing possible
☒ ready for filing

Figure 352: Contents GUI: specification attached in multiple PDF files

To demonstrate some of the other options in the **Accompanying items** sub-tab, the following additional files are attached:

- ◆ Translation of international application (PDF)
- ◆ OTHER: Drawing (TIFF)
- ◆ OTHER: Translation of text in drawing (PDF)

GUI PCT/RO/101 Contents, Accompanying items sub-tab

PCT-RO-101 Electronic Request - pct_XML_4

File Edit View Tools Help

Request States Names Priority Biology Declarations Contents Fees Payment Annotate

filling not possible
filling possible
ready for filing

Check List

☐ XML attachments ☒ PDF attachments ☐ Single specification file

Add

Document	Details	Pages	Electronic File	Val.
16 fee calculation sheet		17 1		
18 translation of international application int...	FRENCH 19	10	traduction de la deman.	20
21 OTHER:Drawing		22 1	img0004.tif	23
24 OTHER:translation of text in the drawings		25 1	translation of drawings	26

Open

International Application Accompanying Items

In total: 8 documents 6 files

Figure 353: Contents GUI - different documents attached as accompanying items

Element list

- (1) Request document code
- (2) Request page count
- (3) Description document code
- (4) Description page count
- (5) Description original file name
- (6) Claims document code
- (7) Claims page count
- (8) Claims original file name
- (9) Abstract document code
- (10) Abstract page count
- (11) Abstract original file name
- (12) Drawings document code
- (13) Figure to be published with Abstract
- (14) Drawings page count
- (15) Drawings original file name
- (16) Fee sheet document code
- (17) Fee sheet page count
- (18) Translation of international application document code
- (19) Language of translation of international application

- (20) Translation of international application original file name
- (21) Other document code (TIF)
- (22) Other document, description
- (23) Other document, page count
- (24) Original file name of other document (TIF)
- (25) Other document code (PDF)
- (26) Other document, description
- (27) Other document, page count
- (28) Original file name of other document (PDF)

XML request.xml

61	<check-list>
62	2 <cl-request page-count="3"/>
63	<cl-description page-count="7"/> 4
64	7 <cl-claims page-count="4"/>
65	<cl-abstract page-count="2"/> 10
66	<cl-fee-calculation/>
67	<cl-translation-of-application quantity="1" lang="fr"/> 19
68	23 <cl-other-document page-count="1">Drawing</cl-other-document> 22
69	27 <cl-other-document page-count="1">Translation of text in drawing</cl-other-document> 26
70	</check-list>
71	<figure-to-publish>
72	14 <fig-number>1a</fig-number>
73	</figure-to-publish>
74	<language-of-filing>en</language-of-filing>
75	<signatories>
85	</request>

Figure 354: Checklist for attached documents in request.xml file

Reference in package-data.xml

42	<application-body-doc file="application-body.xml" lang="en"/>	
43	<application-request file="request.xml" lang="en"/>	
44	<fee-calculation-sheet file="fee-sheet.xml" lang="en"/>	20 19
45	<translation-of-application file="traduction de la demande internationale.pdf" lang="fr"/>	
46	<other-documents>	
47	<other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new">	
50	<!--included here, while referenced in another entity, for legacy purposes-->	<other-doc file="application-body.xml" file-type="xml">
54	<!--included here, while referenced in another entity, for legacy purposes-->	<other-doc file="request.xml" file-type="xml">
57	<!--included here, while referenced in another entity, for legacy purposes-->	<other-doc file="fee-sheet.xml" file-type="xml">
58	<document-name>FEESHEETXML</document-name>	
59	</other-doc>	
60	<!--Client Preview, generated from XML original-->	<other-doc file="Pct101.PDF" file-type="pdf">
63	<!--included here, while referenced in another entity, for legacy purposes-->	5 <other-doc file="instant water description.pdf" file-type="pdf">
64	3 <document-name>DESC</document-name>	
65	</other-doc>	
66	<!--included here, while referenced in another entity, for legacy purposes-->	8 <other-doc file="instant water claims.pdf" file-type="pdf">
67	6 <document-name>CLMS</document-name>	
68	</other-doc>	
69	<!--included here, while referenced in another entity, for legacy purposes-->	11 <other-doc file="instant water abstract.pdf" file-type="pdf">
70	9 <document-name>ABST</document-name>	
71	</other-doc>	
72	<other-doc file="abst.txt" file-type="txt">	
73	<document-name>ABSTTXT</document-name>	
74	</other-doc>	
75	<!--Client Preview, generated from XML original-->	<other-doc file="Fees.PDF" file-type="pdf">
76	<document-name>FEESHEETPDF</document-name>	
77	</other-doc>	
78	<!--included here, while referenced in another entity, for legacy purposes-->	20 <other-doc file="traduction de la demande internationale.pdf" file-type="pdf">
79	18 <document-name>INTRANPDF</document-name>	
80	</other-doc>	
81	<other-doc file="img0004.tif" file-type="tif">	24
82	21 <document-name>OTHERTIF</document-name>	
83	</other-doc>	
84	<other-doc file="translation of drawings.pdf" file-type="pdf">	28
85	25 <document-name>OTHERPDF</document-name>	
86	</other-doc>	
87	</other-documents>	
88	</package-data>	

Figure 355: Reference to XML files and PDF attachment with document code and original file names

Reference in pkgheader.xml file

16	<document-code>APPBODYXML</document-code>	
17	<document-code>REQUESTXML</document-code>	1
18	16 <document-code>FEESHEETXML</document-code>	
19	<document-code>REQPDF</document-code>	
20	3 <document-code>DESC</document-code>	
21	<document-code>CLMS</document-code>	6
22	9 <document-code>ABST</document-code>	
23	<document-code>ABSTTXT</document-code>	
24	<document-code>FEESHEETPDF</document-code>	
25	18 <document-code>INTRANPDF</document-code>	
26	<document-code>OTHERTIF</document-code>	21
27	25 <document-code>OTHERPDF</document-code>	

Figure 356: Document codes for attached files in pkgheader.xml

XML application-body.xml

```

8  <application-body lang="en" status="new" country="EP" dtd-version="1.6">
9    <description>
10     3 <doc-page id="DESC" he="1" wi="1" type="pdf" file="instant water description.pdf"/> 5
11    </description>
12    <claims>
13     6 <doc-page id="CLMS" he="1" wi="1" type="pdf" file="instant water claims.pdf"/> 8
14    </claims>
15    <abstract lang="en">
16     9 <doc-page id="ABST" he="1" wi="1" type="pdf" file="instant water abstract.pdf"/> 11
17    </abstract>
18  </application-body>

```

Figure 357: Reference to file names and document codes in application-body.xml file

PDF Pct101.PDF

IX	Check list	Number of sheets		Electronic file(s) attached
IX-1	Request (including declaration sheets)	2	3	✓
IX-2	Description	4	7	✓
IX-3	Claims	7	4	✓
IX-4	Abstract	10	2	✓
IX-5	Drawings	14	0	–
IX-7	TOTAL	16		
Accompanying Items		Paper document(s) attached		Electronic file(s) attached
IX-8	Fee calculation sheet	–		✓
IX-14	Translation of international application into French	–		✓
IX-18	PCT-SAFE physical media	–		–
IX-19	Other	22	Drawing	✓
IX-19	Other	26	Translation of text in drawing	✓
IX-20	Figure of the drawings which should accompany the abstract	1a	13	
IX-21	Language of filing of the international application	English		

Figure 358: 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 `<cl-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.

PCT-RO-101 Electronic Request - pct_XML_2

File Edit View Tools Help

Request States Names Priority Biology Declarations Contents Fees Payment Annotate

Fee Calculation

Currency: **EUR** (1) Fee schedule valid from: **01.04.2010** (2)

Fee	Currency	Amount	X	Total
Transmittal fee (3)	EUR	115	1	115 (4)
Search fee (5)	EUR	1.785	1	1.785 (6)
International Filing Fee (7)	EUR	878 (8)	1	878 (9)
Supplement per sheet over 30 (10)	EUR	10	0	0
Electronic Filing reduction (Image) (11)	EUR	-132	1	-132 (12)
Fee for priority document (14)	EUR	45	0	0
Fee for restoration of right of priority (15)	EUR	580	0	0
Total Fees Payable				EUR 2.646 (16)

Update fee schedule

filing not possible
filing possible
ready for filing

Figure 359: Fees GUI: payable fees listed

Element list

- (1) Currency: default is EUR (this is repeated by the **currency** attribute in each fee element)
- (2) Date for fee schedule validity
- (3) Transmittal fee
- (4) Total amount for transmittal fee (mandatory)
- (5) Search fee
- (6) Total amount for search fee (mandatory)
- (7) International filing fee
- (8) Amount for one international search
- (9) Total amount for search fee
- (10) Page number of application (displayed in **Contents** GUI): if there are more than 30 sheets, a supplementary fee has to be paid
- (11) Reduction fee for electronic online filing
- (12) Amount for reduction
- (13) Total amount for international filing fee = (8) + (11) (not displayed in GUI)
- (14) Fee for priority document
- (15) Total amount for priority documents
- (16) Total amount fees payable
- (17) International Searching Authority (as entered in **Request** GUI)
- (18) Payment mode: this element must be identically contained in each fee element
- (19) Selected mode: this child element depends on selection in the **Payment** GUI, e.g. **<charge/>** for automatic charge from deposit account
- (20) Fee sheet is indicated in **request.xml** checklist
- (21) Reference to **fee-sheet.xml** file
- (22) Document code for fee sheet XML file (same element exists in **pkgheader.xml** file)

XML fee-sheet.xml

2	<!DOCTYPE fee-sheet SYSTEM "fee-sheet-v1-6.dtd" >
3	<?software_name PCT Online Filing?>
4	<?software_version Version 3.5.000.221 MT/FOP 20020701/0.20.5.9?>
5	<?stylesheet_version Version 1.53?>
6	<?fop_version Version 0.20.5.9?>
7	<?fop_fontconf common.xml?>
8	<fee-sheet lang="en" dtd-version="1.6" produced-by="applicant" status="new" ro="EP" date-produced="20100401">
9	<file-reference-id>pct_XML_4</file-reference-id>
10	<applicant-name>
14	<prescribed-fees>
15	<transmittal-fee currency="EUR">
16	<amount-total>115</amount-total>
17	<payment-mode>
18	<charge/>
19	</payment-mode>
20	</transmittal-fee>
21	<search-fee currency="EUR">
22	<amount-total>1785</amount-total>
23	<payment-mode>
24	<charge/>
25	</payment-mode>
26	<isa>
27	<country>EP</country>
28	</isa>
29	</search-fee>
30	<international-fee currency="EUR">
31	<basic-fee>
32	<amount-each>878</amount-each>
33	<amount-total>878</amount-total>
34	</basic-fee>
35	<fee-reduction reduction-type="PCT-SAFE reduction (image)">
36	<amount-each>-132</amount-each>
37	</fee-reduction>
38	<amount-total>746</amount-total>
39	<payment-mode>
42	</international-fee>
43	<pdcc-fee currency="EUR">
51	<restoration-fee currency="EUR">
58	</prescribed-fees>
59	<amount-grand-total currency="EUR">2646</amount-grand-total>
60	<deposit-account>
85	</fee-sheet>
86	

Figure 360: Fees XML: individual fees and fee amounts

Reference in request.xml file

61	<check-list>
62	<cl-request page-count="3"/>
63	<cl-description page-count="7"/>
64	<cl-claims page-count="4"/>
65	<cl-abstract page-count="2"/>
66	<cl-fee-calculation/>
67	<cl-translation-of-application quantity="1" lang="fr"/>
68	<cl-other-document page-count="1">Drawing</cl-other-document>
69	<cl-other-document page-count="1">Translation of text in drawing</cl-other-document>
70	</check-list>

Figure 361: Request XML: fee sheet is indicated

Reference in package-data.xml file

```

42 <application-body-doc file="application-body.xml" lang="en"/>
43 <application-request file="request.xml" lang="en"/>
44 21 <fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
45 <translation-of-application file="traduction de la demande internationale.pdf" lang="fr"/>
46 <other-documents>
47 <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new">
50 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="application-body.xml" file-type="
xml">
54 <!--included here, while referenced in another entity, for legacy purposes--> <other-doc file="request.xml" file-type="xml">
57 <!--included here, while referenced in another entity, for legacy purposes--> 21 <other-doc file="fee-sheet.xml" file-type="xml">
58 22 <document-name>FEESHEETXML</document-name>
59 </other-doc>

```

Figure 362: References to fee sheet XML and PDF file in package-data.xml file

PDF Fees.PDF

0-4	Form PCT/RO/101 (Annex) PCT Fee Calculation Sheet Prepared Using	PCT Online Filing Version 3.5.000.221 MT/FOP 20020701/0.20.5.9		
0-4-1				
0-9	Applicant's or agent's file reference	pct_XML_4		
2	Applicant	NANO ENTERPRISE LTD. 1		
12	Calculation of prescribed fees	Fee amount/multiplier	Total amounts (EUR)	
12-1	Transmittal fee 3 T	↔	115 4	
12-2-1	Search fee 5 S	↔	1785 6	
12-2-2	International search to be carried out by	EP 17		
12-3	International filing fee (first 30 sheets) 7 i1	878 9		
12-4	Remaining sheets 0 10			
12-5	Additional amount (X) 0			
12-6	Total additional amount i2 0			
12-7	i1 + i2 = i 878			
12-11	Electronic Filing reduction (Image) R	-132 12		
12-13	Total International filing fee (i-R) I	↔	746 13	
12-14	Fee for priority document 14			
	Number of priority documents requested 0			
12-15	Fee per document (X) 45			
12-16	Total priority document fee: P	↔		
12-17	Fee for restoration of priority rights RP			
	Number of requests for restoration of priority rights 0 15			
	Total amount of fees for restoration of priority rights			
12-19	TOTAL FEES PAYABLE (T+S+I+P+RP)	↔	2646 16	

Figure 363: Fees PDF: calculation of prescribed fees and total fees payable

9.11 PCT/RO/101 Payment

The indications made for the payment are included in the **fee-sheet.xml** file and are printed on the second page of the **Fees.PDF** file.

PCT/RO/101 Payment GUI

PCT-RO-101 Electronic Request - pct_XML_2

File Edit View Tools Help

Request States Names Priority Biology Declarations Contents Fees Payment Annotate

Payment

(1) Mode of Payment: authorization to charge deposit account

(2) The receiving Office (RO/EP) is authorized to charge:

(3) ☒ the total fees to my deposit account.

(4) ☒ any deficiency or credit any overpayment in the total fees to my deposit account.

(5) ☒ the fees for preparation and transmittal of the priority document to the International Bureau of WIPO to my deposit account.

Deposit Account Number: 28123456 (6)

Authorized User Name: TechInvent SA (7)

Sign (8)

filing not possible
filing possible
ready for filing

Figure 364: Payment GUI: mode of payment, authorisation and details

Element list

- (1) Selected mode of payment
- (2) Receiving Office/country
- (3) Authorisation to charge total fees [...]
- (4) Authorisation to charge any deficiency [...]
- (5) Authorisation to charge fees [...] for priority document [...]
- (6) Deposit account number
- (7) Authorised user of deposit account (natural person)
- (8) Signature (must be applied in a separate GUI window)
- (9) Name of signatory
- (10) Date of signature (system date)
- (11) Signature (in this example alphanumeric)

XML fee-sheet.xml

11	<prescribed-fees>
49	<amount-grand-total currency="EUR">2447</amount-grand-total>
50	1 <deposit-account>
51	<authorization>
52	3 <total-fee/>
53	<deficiency-credit/> 4
54	5 <fee-for-pdoc/>
55	</authorization>
56	<ro>
57	2 <country>EP</country>
58	</ro>
59	6 <account-no>28123456</account-no>
60	<date>20080411</date> 10
61	7 <last-name>Veronique Maronnier</last-name>
62	<first-name/>
63	<signatories>
64	8 <signatory>
65	9 <name name-type="natural">Veronique Maronnier</name>
66	<electronic-signature date="20080411"> 10
67	<basic-signature>
68	11 <text-string>/Veronique Maronnier/</text-string>
69	</basic-signature>
70	</electronic-signature>
71	<signatory-capacity/>
72	</signatory>
73	</signatories>
74	</deposit-account>
75	</fee-sheet>

Figure 365: Payment details in fee-sheet.xml file

PDF Fees.PDF

12-20	Mode of payment	1 authorization to charge deposit account
12-21	Deposit account instructions	
	The receiving Office	2 European Patent Office (EPO) (RO/EP)
12-21-1	Authorization to charge the total fees indicated above	✓ 3
12-21-2	Authorization to charge any deficiency or credit any overpayment in the total fees indicated above	✓ 4
12-21-3	Authorization to charge the fee for priority document	✓ 5
12-22	Deposit account No.	6 28123456
12-23	Date	10 11 April 2008 (11.04.2008)
12-24	Name and signature	7 Maronnier, Veronique
		11 /Maronnier, Veronique/

Figure 366: Payment details in Fees.PDF file

9.12 PCT/RO/101 Annotate

Three types of annotation or remark are available in the **Annotate** GUI:

1. Remark (note to EPO)
2. Private remark (neither stored in XML files nor transmitted to EPO)
3. Inventor(s) for certain designated states only

The remark is represented by a simple text string in a **<dttext>** 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

Type of Annotation	Entity	Details
1. Remark 1	Annotate	The applicant wishes to appoint a new agent 2
Inv. for certain des. St. 3	Inventor(s) 4	
Validation Log	Annotate	

Figure 367: Annotate GUI: remark, designated states for inventor

Element list

- (1) Remark
- (2) Text for applicants remark
- (3) Designated states for inventor
- (4) Inventor

XML request.xml

The **<designated-states>** list (3) is grouped into multiple blocks, depending on which states are selected and which regions these states belong to. Each **<country>** element is listed twice: first as an individual state and once again under the respective **<region>** element. In the example below, the selected countries belong to the regions Africa (AP) and Europe (EP).

11	<parties>
12	<applicants>
13	<applicant sequence="1" app-type="applicant" designation="all-except-us">
34	<applicant sequence="2" app-type="applicant-inventor" designation="us-only">
35	<addressbook lang="en">
45	<nationality>
48	<residence>
51	<designated-states-as-inventor>
52	<country>AU</country>
53	<country>BG</country>
54	<country>GB</country>
55	<country>JP</country>
56	<country>KE</country>
57	<country>NA</country>
58	<region>
59	<country>AP</country>
60	</region>
61	<country>KE</country>
62	<country>NA</country>
63	<region>
64	<country>EP</country>
65	</region>
66	<country>BG</country>
67	<country>GB</country>
68	</designated-states-as-inventor>
69	</applicant>
70	</applicants>
71	</parties>
72	<designation-of-states>
75	<search-authority>
80	<declarations>
85	<check-list>
92	<language-of-filing>en</language-of-filing>
93	<signatories>
103	<dtxt>The applicant wishes to appoint a new agent starting May 10, 2008.</dtxt>
104	</request>

Figure 368: Annotate XML: designated states for inventor and remark text

PDF Pct101.PDF

III-1	Applicant and/or inventor	
III-1-1	This person is	applicant and inventor
III-1-2	Applicant for	US only
III-1-3	Inventor for	AP: (KE NA); EP: (BG GB); AU BG GB JP KE NA
III-1-4	Name (LAST, First)	LAVAIL, Thierry
III-1-5	Address	120 Av. des Pyrénées 31200 Toulouse France
III-1-6	State of nationality	FR
III-1-7	State of residence	FR

Figure 369: Annotate PDF: details of inventor

PDF ValidLog.PDF

13-1-1	Applicant Remarks		The applicant wishes to appoint a new agent starting May 10, 2008.

Figure 370: Applicant remark in Validation Log PDF

10 Annex

10.1 Abbreviations

EPO = European Patent Office

DPMA = *Deutsches Patent- und Markenamt* (German Trade Mark and Patent Office)

GUI = Graphical User Interface

BO = Business Object

FOP = Formatting Objects Processor

PMS = Patent Management System

OLF = Electronic Online Filing

10.2 International standards for PCT

XML data and structures in Online Filing follow the standards set by the **Patent Cooperation Treaty (PCT)** as of July 1, 2010.

PCT standards, rules and regulations are published by the **World Intellectual Property Organization** (WIPO).

The following sections of the **WIPO website** (<http://www.wipo.int>) may be of interest to developers looking for more information on PCT standards and rules for XML documents:

- ◆ **PCT Resources** (<http://www.wipo.int/pct/en/>)
- ◆ **PCT Treaty, Regulations and Administrative Instructions** (<http://www.wipo.int/pct/en/texts/>) (including the Annex F)
- ◆ **Electronic Filing (PCT-SAFE)** (<http://www.wipo.int/pct-safe/en/>)
- ◆ **List of WIPO Standards, Recommendations and Guidelines** (http://www.wipo.int/standards/en/part_03_standards.html), Part 3 of the WIPO Handbook on Industrial Property Information and Documentation
- ◆ **XML Library** (<http://www.wipo.int/pct-safe/en/resources/index.html>) (including DTDs)

10.3 Annex F rules for documents and files

The European Patent Office can only accept electronic documents which are compliant with **Annex F - Standard for the filing and processing in electronic form of international applications**.

A full version of Annex F in English can be found on the **WIPO website** (<http://www.wipo.int>) under <http://www.wipo.int/pct/en/texts/> and also for **download in PDF format** (http://www.wipo.int/pct/en/texts/pdf/ai_anf.pdf).

Rules for Annex F-compliant PDF files

The PDF file format is suitable for all documents containing text or images. For example, you can store additional descriptions and notes relating to your application in PDF format or scan original documents not available in electronic form and convert them into PDF files. See section 3.1.2 of Annex F for full details.

- ◆ PDF files must be compatible with Adobe PDF version 1.4 or higher.
- ◆ PDF files must not be encrypted.
- ◆ PDF files must not contain any embedded OLE objects.
- ◆ The text in PDF files must not be compressed.
- ◆ With the exception of the 11 standard Windows fonts, any fonts used in the PDF file must be embedded.

Rules for Annex F-compliant images

See section 3.1.3 of Annex F for the full details.

- ◆ **TIFF** (file type **.tif**)
 - Only black and white images are allowed
 - When saving an image as TIFF the following settings should be selected: TIFF V6.0 with Group 4 compression, single strip, Intel encoded (i.e. for IBM PC format, NOT MacIntosh).
 - Image resolution must be 300 or 400 dpi.
 - The recommended maximum page size is 255 mm x 170 mm.
- ◆ **JPEG** (file type **.jpg**)
 - Image resolution must be 300 or 400 dpi.
 - The recommended maximum page size is 255 mm x 170 mm.

10.4 Document naming conventions

The file naming convention established by the PCT lists several rules for the naming of documents, referenced files and other files. See section 4.3 of **Annex F** (http://www.wipo.int/pct/en/texts/pdf/ai_anf.pdf) for the full details.

The basic rules are:

- ◆ Only the following characters may be used for file names:
 - ABCDEFGHIJKLMNOPQRSTUVWXYZ
 - abcdefghijklmnopqrstuvwxyz
 - 0123456789
- ◆ File names are case-sensitive.
- ◆ The separator must be a period (.), followed by the file type.
- ◆ Accepted file name extensions are: txt, xml, tif, jpg, pdf, app, zip (use lower-case characters).
- ◆ File names must not exceed 128 positions altogether. The tables and examples in Annex F demonstrate how to assemble the different elements of the file names. These elements are separated by dashes (-).
- ◆ The different document and package types for initial ePCT filing must follow the codes in Table 6.
- ❗ Please note that other receiving Offices may issue their own file naming rules.

10.5 XML element list

All elements for XML files for the four procedures EP(1001E2K), Euro-PCT(1200E2K), EP(1038E), EP(Oppo) and PCT/RO/101 are listed in the element table below. Refer to the respective DTD file to see the structural rules for the elements. The attributes for each procedure are listed in the **XML attribute lists** (p. 300) section of the Annex.

1001 = ep-request.xml / ep-request-v1-9.dtd

1200 = ep-euro-pct.xml / ep-euro-pct-v1-06.dtd

1038 = ep-sfd-request.xml / ep-sfd-request-v2-2.dtd

Oppo = ep-opposition-data.xml / ep-xmit-opposition-data-v1-1.dtd

PCT = request.xml / request-v1-7.dtd

An **x** in one of the four columns indicates that this element is part of the XML structure for one of the XML files used in the specific procedure.

Element	1001	1200	1038	Oppo	PCT
absno				x	
accepted				x	
addcopies	x	x	x	x	
additional-fee	x	x	x	x	
address	x	x	x	x	x
address-1	x	x	x	x	x
address-2	x	x	x	x	x
address-3	x	x	x	x	x
address-4					x
address-5					x
address-floor	x	x	x	x	x
addressbook	x	x	x	x	x
agent			x		x
agents	x	x	x		x
alttitle				x	
any-other-state	x	x	x		x
applicant	x	x	x	x	x
applicant-file-name	x	x	x	x	
applicants	x	x	x	x	x
application-reference	x			x	
article				x	
article-num				x	
artid				x	
assignee				x	
assignees				x	
atl				x	

Element	1001	1200	1038	Oppo	PCT
author	x	x	x	x	
avail				x	
b	x	x	x	x	x
basic-signature	x	x	x	x	x
bio-accno	x	x		x	
bio-authorization	x	x			
bio-deposit				x	
bio-other-deposant	x	x			
bio-receipt	x	x			
bio-restriction-to-expert	x	x			
bio-waiver	x	x			
book				x	
book-title				x	
bookno				x	
br			x	x	
building	x	x	x	x	x
category				x	
check-list	x	x	x		x
cheque-info	x	x	x		
city	x	x	x	x	x
chapter				x	
chem				x	
chemistry				x	
cl-abstract	x	x	x		x
cl-biological-material	x	x	x		x
cl-claims	x	x	x		x
cl-copy-general-power-of-attorney	x	x	x		x
cl-declaration1					x
cl-declaration2					x
cl-declaration3					x
cl-declaration4					x
cl-declaration5					x
cl-description	x	x	x		x
cl-drawings	x	x	x		x
cl-earlier-search-document					x
cl-fee-calculation	x	x	x		x
cl-general-power-of-attorney	x	x	x		x

Element	1001	1200	1038	Oppo	PCT
cl-lack-of-signature	x	x	x		x
cl-other-document	x	x	x		x
cl-priority-document	x	x	x		x
cl-request	x	x	x		x
cl-restore-rights-reason					x
cl-separate-power-of-attorney	x	x	x		x
cl-sequence-listing	x	x	x		x
cl-sequence-listing-table					x
cl-translation-of-application	x	x	x		x
class				x	
claim-num				x	
click-wrap	x	x	x	x	x
colf				x	
coll				x	
column				x	
confdate				x	
conference				x	
confno				x	
confplace				x	
confsponsor				x	
conftitle				x	
correspondence-address	x	x	x	x	x
country	x	x	x	x	x
county	x	x	x	x	x
cpyrt				x	
crossref				x	
customer-number	x	x	x	x	x
date	x	x	x	x	x
date-search-completed	x				
datecit				x	
dd				x	
deceased-inventor	x	x	x	x	x
declaration-application-contains-sequence-listing		x			
declaration-complete-translation-of-priority	x				
declaration-no-intention-to-file-further-priority	x				
declaration-intention-to-file-claims-later	x				
declaration-translation-filed-later	x				

Element	1001	1200	1038	Oppo	PCT
declaration1	x	x	x		x
declaration2	x	x	x		x
declaration3	x	x	x		x
declaration4	x	x	x		x
declaration5	x	x	x		x
declarations	x	x	x		x
department	x	x	x	x	x
depository	x	x		x	
descrip				x	
designated-states	x	x	x	x	x
designated-states-as-inventor	x	x	x	x	x
designation-of-states	x	x	x		x
designation-pct	x	x	x		x
dl				x	
doc-number	x	x	x	x	x
doc-page	x	x	x	x	x
document-id	x	x	x	x	x
doi				x	
dt				x	
dtext	x	x	x	x	x
ead	x	x	x	x	x
earlier-search	x				
earlier-search-documents					x
earlier-search-request	x	x	x		x
earlier-searches	x				
edate				x	
edition				x	
electronic-signature	x	x	x	x	x
email	x	x	x	x	x
enhanced-signature	x	x	x	x	x
entire-patent				x	
ep-agent	x	x		x	
ep-agents				x	
ep-authorisations				x	
ep-authorisation-number				x	
ep-art61-appl	x				
ep-bio-references-lines	x	x			

Element	1001	1200	1038	Oppo	PCT
ep-bio-references-page	x	x			
ep-biological-material	x	x			
ep-biological-material-reference	x	x			
ep-declarations	x	x			
ep-designated-states	x	x			
ep-divisional-appl	x				
ep-earliest-doc	x				
ep-electronic-files	x	x	x	x	
ep-euro-pct		x			
ep-external-party-participant				x	
ep-external-party-participants				x	
ep-fax	x				
ep-file-name			x		
ep-financial-data	x	x	x	x	
ep-first-communication	x				
ep-first-communication-raising-lack-of-unity	x				
ep-inventor	x	x			
ep-language-of-filing	x	x			
ep-no-communication	x				
ep-notes-to-EPO	x	x	x	x	
ep-office-specific-data	x	x			
epo-file-name	x	x			
ep-opposition-evidence				x	
ep-opposition-evidence				x	
ep-opposition-evidence-title				x	
ep-opposition-external-party				x	
ep-opposition-notice				x	
ep-opposition-proprietor				x	
ep-opposition-submission				x	
ep-parties				x	
ep-previously-filed-application	x				
ep-priority-claim	x	x			
ep-request	x				
ep-request-for-exam-art94	x	x			
ep-sfd-request			x		
ep-submission-request				x	
ep-submission-request-comment				x	

Element	1001	1200	1038	Oppo	PCT
ep-submission-requests				x	
ep-xmit-opposition-data				x	
epo-file-name				x	
exclusion-from-designation	x	x	x		x
extension-states	x	x			
fax	x	x	x	x	x
fax-image	x	x	x	x	x
fee	x	x	x	x	
fee-calc-info	x	x	x	x	
fee-factor	x	x	x	x	
fee-reduction-amount	x	x	x	x	
fee-reduction-factor	x	x	x	x	
fee-schedule	x	x	x	x	
fee-sub-amount	x	x	x	x	
fee-total-amount	x	x	x	x	
fees	x	x	x	x	
fig-number	x	x	x		x
figref				x	
figure-to-publish	x	x	x		x
file-reference-id	x	x	x	x	x
first-name	x	x	x	x	x
formula-text				x	
gazette-num				x	
gazette-reference				x	
grounds-for-opposition				x	
heading				x	
history				x	
hostno				x	
hosttitle				x	
i	x	x	x	x	x
iid	x	x	x	x	x
img				x	
imprint				x	
incorporation-by-reference					x
ino				x	
interpretation-oral-proceedings				x	
invention-title	x	x	x	x	x

Element	1001	1200	1038	Oppo	PCT
inventive-step-not-valid				x	
inventor			x	x	x
inventors	x	x	x	x	x
IPEA	x	x	x	x	
IPER	x	x	x	x	
isa	x	x	x		x
isbn				x	
issn				x	
issue				x	
keyword				x	
kind	x	x	x	x	x
kind-of-protection	x	x	x		x
language-of-filing			x		x
last-name	x	x	x	x	x
li				x	
line				x	
linef				x	
linel				x	
location				x	
mailcode	x	x	x	x	x
maths (more child elements see DTD, lines 2351 to 4770)				x	
middle-name	x	x	x	x	x
mode-of-payment	x	x	x	x	
name	x	x	x	x	x
national	x	x	x		x
nationality	x	x	x	x	x
new-designation-country	x	x	x		x
none				x	
not-valid-other-grounds				x	
notes				x	
novelty-not-valid				x	
nplcit				x	
o				x	x
office-of-filing	x	x	x		x
office-specific-data			x		x
ol				x	

Element	1001	1200	1038	Oppo	PCT
online				x	
online-title				x	
opposition-clarity				x	
opposition-evidence-other-file				x	
opposition-expert-witness				x	
opposition-filed-against				x	
opposition-subject-matter				x	
opposition-subject-matter-extension				x	
orgname	x	x	x	x	x
other-fee	x	x	x	x	
othercit				x	
p				x	
para				x	
paraf				x	
paral				x	
parent-doc	x				
parties	x	x	x		x
passage				x	
patcit				x	
phone	x	x	x	x	x
pkcs7	x	x	x	x	x
pp				x	
ppf				x	
ppl				x	
pobox	x	x	x	x	x
postcode	x	x	x	x	x
pre				x	
precautionary-designation-statement	x	x	x		x
prefix	x	x	x	x	x
priority-claim			x		x
priority-claims	x	x	x		x
priority-doc-attached	x	x	x		x
priority-doc-from-library					x
priority-doc-requested	x	x	x		x
protection-request	x	x	x		x
pubdate				x	
pubid				x	

Element	1001	1200	1038	Oppo	PCT
publication-reference				x	
received				x	
ref-number	x	x	x		x
refno				x	
region	x	x	x	x	x
regional	x	x	x		x
registered-number	x	x	x	x	x
reimbursement	x	x	x	x	
rel-claims				x	
rel-passage				x	
request					x
request-petition	x	x	x		x
request-re-establishment	x				
residence	x	x	x	x	x
restore-rights					x
revised				x	
role	x	x	x	x	x
room	x	x	x	x	x
sdate				x	
search-authority	x	x	x		x
search-region	x	x	x	x	
sequence-number	x	x	x		x
serial				x	
series				x	
serpart				x	
sersect				x	
sertitle				x	
signatories	x	x	x	x	x
signatory	x	x	x	x	x
signatory-capacity	x	x	x	x	x
smallcaps	x	x	x	x	x
sr-refund	x	x	x	x	
srchdate				x	
srchtearm				x	
standard-fee	x	x	x	x	
state	x	x	x	x	x
store-in-digital-library					x

Element	1001	1200	1038	Oppo	PCT
street	x	x	x	x	x
sub	x	x	x	x	x
sub2				x	x
subject	x	x	x	x	
subname				x	
subtitle				x	
substantially-equivalent					x
suffix	x	x	x	x	x
sup	x	x	x	x	x
sup2				x	x
synonym	x	x	x	x	x
tables (more child elements see DTD, lines 1453 to 1519)				x	
table-external-doc				x	
term				x	
text	x	x	x	x	x
text-string	x	x	x	x	x
time				x	
time-limit				x	
translation-info		x			
tr-inter-appl		x			
tr-prio-appl		x			
tr-originally-filed		x			
tr-amended-claims		x			
tr-annexes		x			
type-of-fee	x	x	x	x	
u	x	x	x	x	x
ul				x	
url	x	x	x	x	x
us-rights	x	x	x	x	x
validation-states	x	x			
vid				x	
waiver-communication-and-processing-of-non-designated -states	x	x			
waiver-for-communication		x			
waiver-to-indicate-further-processing	x	x			

10.6 XML attribute lists

10.6.1 Attributes in ep-request.xml file - EP(1001E2K)

The list relates to ep-request-v1-9.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
alt	CDATA #IMPLIED	doc-page
app-type	(applicant applicant-inventor employee) #REQUIRED	applicant
appl-type	CDATA #IMPLIED	application-reference
bio-info	(1) #IMPLIED	ep-biological-material
certified-copy	(attached later available) #IMPLIED	referenced-application
color	(color bw) #IMPLIED	doc-page
contains-sequence-listing	(yes no) #REQUIRED	referenced-application
curr	CDATA #REQUIRED	ep-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
date-produced	CDATA #IMPLIED	ep-request
declaration-of-no-search	(yes no not-determined) #REQUIRED	earlier-search
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
designation	(all all-except-us us-only as-indicated) #IMPLIED	ep-inventor
dnum	CDATA #IMPLIED	ep-biological-material
doc-type	CDATA #REQUIRED	ep-electronic-files
dtd-version	CDATA #IMPLIED	ep-request
ep-association-number	CDATA #IMPLIED	ep-agent
ep-authorisation	(filed-not-yet-registered registered attached) #IMPLIED	ep-agent
ep-document-type	(patent provisional utility PCT) #REQUIRED	referenced-application, ep-priority-claim
fee-amounts-unlocked-by-user	(yes no) #IMPLIED	ep-financial-data
fig-count	CDATA #IMPLIED	cl-drawings
file	CDATA #IMPLIED	ep-request, ep-office-specific-data
file	CDATA #REQUIRED	fax-image, doc-page
filing-date	CDATA #REQUIRED	referenced-application
general_authorisation_number	CDATA #IMPLIED	ep-agent
he	NMTOKEN #REQUIRED	doc-page

ATTRIBUTE	VALUES	Applicable to ELEMENTS
id	ID #IMPLIED	invention-title, ep-biological-material, ep-notes-to-EPO, doc-page, earlier-search, application-reference
id	CDATA #IMPLIED	ep-office-specific-data
index	CDATA #REQUIRED	fee
inv-rights	(employee successor under-agreement) #IMPLIED	ep-inventor
inv-rights-date	CDATA #IMPLIED	ep-inventor
is-also-priority	(yes no) #REQUIRED	referenced-application
kind	(national regional international) #REQUIRED	ep-priority-claim
lang	CDATA #REQUIRED	ep-request, invention-title, addressbook, document-id, ep-office-specific-data, ep-request-for-exam-art94
lang-code	CDATA #IMPLIED	ep-language-of-filing
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
name-type	(legal natural) #IMPLIED	name
num	CDATA #IMPLIED	ep-biological-material
number-of-claims	CDATA #IMPLIED	referenced-application, cl-claims
office	CDATA #REQUIRED	ep-office-specific-data, earlier-search
office-dtd	CDATA #IMPLIED	ep-office-specific-data
orientation	(portrait landscape) "portrait"	doc-page
page	CDATA #REQUIRED	ep-notes-to-EPO
page-count	CDATA #IMPLIED	cl-request, cl-description, cl-claims, cl-abstract, cl-drawings, cl-sequence-listing, cl-other-document
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
ppl	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
produced-by	(applicant RO ISA IPEA IB DO EO) #REQUIRED	ep-request
quantity	CDATA #REQUIRED	cl-sequence-listing
renunciation	CDATA #IMPLIED	ep-inventor
replaces-claims	(yes no) #REQUIRED	referenced-application

ATTRIBUTE	VALUES	Applicable to ELEMENTS
rep-type	(agent attorney common-representative) #REQUIRED	ep-agent
ro	CDATA #REQUIRED	ep-request
search-type	(international-type isr sirs national national-supplementary) #REQUIRED	earlier-search
sequence	CDATA #REQUIRED	applicant, ep-inventor, ep-agent, ep-priority-claim
status	CDATA #IMPLIED	ep-request, ep-office-specific-data
topay	(yes no) #REQUIRED	fee
total-page-count	CDATA #IMPLIED	check-list
translation	CDATA #IMPLIED	ep-priority-claim
type	(jpg pdf tif) #REQUIRED	doc-page
url	CDATA #IMPLIED	ep-biological-material
user-input	CDATA #IMPLIED	fee-factor, fee-reduction-factor, fee-reduction-amount
waiver	CDATA #IMPLIED	ep-inventor
waiver-communication-and-processing-of-non-designated-states	(yes no) #REQUIRED	ep-designated-states
wi	NMTOKEN #REQUIRED	doc-page
will-be-filed-later	(yes no) "no"	bio-receipt, bio-authorization

10.6.2 Attributes in ep-euro-pct.xml file - Euro-PCT(1200E2K)

The list relates to ep-euro-pct-v1-06.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
alt	CDATA #IMPLIED	doc-page
amendments-enclosed	(yes no) #REQUIRED	ep-euro-pct
app-type	(applicant applicant-inventor employee) #REQUIRED	applicant
application-pages	CDATA #IMPLIED	cl-description, cl-claims, cl-drawings
bio-info	(1) #IMPLIED	ep-biological-material
color	(color bw) #IMPLIED	doc-page
curr	CDATA #REQUIRED	ep-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
date-produced	CDATA #IMPLIED	ep-euro-pct
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
designation	(all all-except-us us-only as-indicated) #IMPLIED	ep-inventor
dnum	CDATA #IMPLIED	ep-biological-material
doc-type	CDATA #REQUIRED	ep-electronic-files
dtd-version	CDATA #IMPLIED	ep-euro-pct
ep-association-number	CDATA #IMPLIED	ep-agent
ep-authorisation	(includes-ep-phase filed-not-yet-registered registered attached) #IMPLIED	ep-agent
fee-amounts-unlocked-by-user	(yes no) #IMPLIED	ep-financial-data
fig-count	CDATA #IMPLIED	cl-drawings
file	CDATA #IMPLIED	ep-euro-pct, ep-office-specific-data
file	CDATA #REQUIRED	fax-image, doc-page
furnishment-of-sequence-listing	(already attached) #REQUIRED	declaration-application-contains-sequence-listing
general_authorisation_number	CDATA #IMPLIED	ep-agent
he	NMTOKEN #REQUIRED	doc-page
id	ID #IMPLIED	ep-biological-material, ep-notes-to-EPO, doc-page
id	CDATA #IMPLIED	ep-office-specific-data
index	CDATA #REQUIRED	fee
ipea	(EP other) #REQUIRED	IPEA
iper-type	(rational detailed) #REQUIRED	IPER

ATTRIBUTE	VALUES	Applicable to ELEMENTS
kind	(national regional international) #REQUIRED	ep-priority-claim
lang	CDATA #REQUIRED	ep-euro-pct, addressbook, document-id, ep-office-specific-data, ep-request-for-exam-art94
lang-code	CDATA #IMPLIED	ep-language-of-filing
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
name-type	(legal natural) #IMPLIED	name
not-including-matter-beyond-original-application	(yes no) #IMPLIED	declaration-application-contains-sequence-listing
num	CDATA #IMPLIED	ep-biological-material
number-of-claims	CDATA #IMPLIED	cl-claims
office	CDATA #REQUIRED	ep-office-specific-data
office-dtd	CDATA #IMPLIED	ep-office-specific-data
orientation	(portrait landscape) "portrait"	doc-page
other-type	CDATA #IMPLIED	cl-other-document
page	CDATA #REQUIRED	ep-notes-to-EPO
page-count	CDATA #IMPLIED	cl-request, cl-description, cl-claims, cl-abstract, cl-drawings, cl-sequence-listing, cl-other-document
phase	international-application-as-filed translation-of-international-application amendments-after-international-srep translation-of-amendments-after-international-srep amendments-during-international-exam translation-of-amendments-during-international-exam entry-into-regional-phase	cl-claims
phase	international-application-as-filed translation-of-international-application amendments-during-international-exam translation-of-amendments-during-international-exam entry-into-regional-phase	cl-description
phase	international-application-as-filed translation-of-international-application amendments-during-international-exam translation-of-amendments-during-international-exam entry-into-regional-phase	cl-drawings
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
ppl	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page

ATTRIBUTE	VALUES	Applicable to ELEMENTS
produced-by	(applicant RO ISA IPEA IB DO EO) #REQUIRED	ep-euro-pct
quantity	CDATA #REQUIRED	cl-sequence-listing
region	(Other EP) "EP"	search-region
regional-phase-office	(designated elected) #REQUIRED	ep-euro-pct
renunciation	CDATA #IMPLIED	ep-inventor
rep-type	(agent attorney common-representative) #REQUIRED	ep-agent
replace-in-full	(yes no) #IMPLIED	cl-claims
ro	CDATA #REQUIRED	ep-euro-pct
sequence	CDATA #REQUIRED	applicant, ep-inventor, ep-agent, ep-priority-claim
sequence-listing-in-st25-identical-to-pdf	(yes no) #IMPLIED	declaration-application-contains-sequence-listing
seq-type	(pdf tif jpg app txt zip) #IMPLIED	cl-sequence-listing
st25	(yes no) #IMPLIED	cl-sequence-listing
status	CDATA #IMPLIED	ep-euro-pct, ep-office-specific-data
topay	(yes no) #REQUIRED	fee
total-page-count	CDATA #IMPLIED	check-list
translation	CDATA #IMPLIED	ep-priority-claim
type	(jpg pdf tif) #REQUIRED	doc-page
url	CDATA #IMPLIED	ep-biological-material
user-input	CDATA #IMPLIED	fee-factor, fee-reduction-factor, fee-reduction-amount
waiver	CDATA #IMPLIED	ep-inventor
waiver-communication-and-processing-of-non-designated-states	(yes no) #REQUIRED	ep-designated-states
wi	NMTOKEN #REQUIRED	doc-page
will-be-filed-later	(yes no) "no"	bio-receipt, bio-authorization

10.6.3 Attributes in ep-sfd-request.xml file - EP(1038E)

The list relates to ep-sfd-request-v2-2.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
alt	CDATA #IMPLIED	doc-page
app-type	(applicant applicant-inventor employee) #REQUIRED	applicant
color	(color bw) #IMPLIED	doc-page
curr	CDATA #REQUIRED	ep-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
doc-type	CDATA #REQUIRED	ep-electronic-files
fee-amounts-unlocked-by-user	(yes no) #IMPLIED	ep-financial-data
fig-count	CDATA #IMPLIED	cl-drawings
file	CDATA #REQUIRED	fax-image, doc-page
he	NMTOKEN #REQUIRED	doc-page
id	ID #IMPLIED	ep-notes-to-EPO, doc-page
index	CDATA #REQUIRED	fee
lang	CDATA #REQUIRED	addressbook, document-id
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
name-type	(legal natural) #IMPLIED	name
number-of-claims	CDATA #IMPLIED	cl-claims
orientation	(portrait landscape) "portrait"	doc-page
other-type	CDATA #IMPLIED	cl-other-document
page	CDATA #REQUIRED	ep-notes-to-EPO
page-count	CDATA #IMPLIED	cl-request, cl-description, cl-claims, cl-abstract, cl-drawings, cl-other-document
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
ppl	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
sequence	CDATA #REQUIRED	applicant
topay	(yes no) #REQUIRED	fee
total-page-count	CDATA #IMPLIED	check-list

ATTRIBUTE	VALUES	Applicable to ELEMENTS
type	(jpg pdf tif) #REQUIRED	doc-page
user-input	CDATA #IMPLIED	fee-factor, fee-reduction-factor, fee-reduction-amount
wi	NMTOKEN #REQUIRED	doc-page

10.6.4 Attributes in ep-opposition-data.xml file - EP(Oppo)

The list relates to ep-xmit-opposition-data-v1-1.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
after-summons-to-op	(yes no) #IMPLIED	ep-opposition-submission
alt	CDATA #IMPLIED	doc-page, img
align	(left right center justify char) #IMPLIED	tgroup, colspec, entry
app-type	(applicant applicant-inventor) #REQUIRED	applicant
appeal-type	CDATA #IMPLIED	ep-xmit-opposition-data
appl-type	CDATA #IMPLIED	application-reference
auxiliary-request	(yes no) #IMPLIED	ep-submission-request
carriers	(internal-electronic external-electronic paper) #IMPLIED	table-external-doc
char	CDATA #IMPLIED	colspec, entry
charoff	NMTOKEN #IMPLIED	colspec, entry
chem-type	CDATA #IMPLIED	chem
class-type	CDATA #IMPLIED	class
colname	NMTOKEN #IMPLIED	colspec, entry
colnum	NMTOKEN #IMPLIED	colspec
color	(color bw) #IMPLIED	doc-page
cols	NMTOKEN #REQUIRED	tgroup
colsep	NMTOKEN #IMPLIED	table, tgroup, colspec, entry
colwidth	CDATA #IMPLIED	colspec
convention	CDATA #IMPLIED	not-valid-other-grounds
curr	CDATA #REQUIRED	ep-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
date-produced	CDATA #IMPLIED	ep-xmit-opposition-data
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
designation	(all all-except-us us-only as-indicated) #IMPLIED	inventor
division-reference	CDATA #IMPLIED	ep-opposition-evidence
dnum	CDATA #IMPLIED	bio-deposit, patcit
dnum-type	CDATA #IMPLIED	patcit
doc-type	CDATA #REQUIRED	ep-electronic-files
doc-version		ep-xmit-opposition-data

ATTRIBUTE	VALUES	Applicable to ELEMENTS
dtd-version	CDATA #IMPLIED	ep-xmit-opposition-data
external-party-role	(opponent intervener third-party) #REQUIRED	ep-opposition-external-party
external-type	(math chemistry program-listing other) #IMPLIED	table-external-doc
file	CDATA #IMPLIED	patcit, nplcit
file	CDATA #REQUIRED	fax-image, doc-page, img, chem, table-external-doc
frame	(top bottom topbot all sides none) #IMPLIED	table
he	CDATA #REQUIRED	doc-page, img
id	ID #IMPLIED	invention-title, ep-notes-to-EPO, doc-page, ep-xmit-opposition-data, ep-opposition-propriator, ep-opposition-external-party, opposition-evidence-other-file, p, ul, ol, dt, dl, img, bio-deposit, addressbook, chemistry, chem, tables, patcit, nplcit, author, application-reference, publication-reference, pre, table-external-doc
idref	IDREFS #IMPLIED	figref
idref	IDREF #IMPLIED	crossref
img-content	(drawing photograph character dna undefined chem table math program-listing graph flowchart) "drawing"	img
img-format	(jpg tif st33 st35) #REQUIRED	img
index	CDATA #REQUIRED	fee
inline	(yes no) "no"	img
ipea	(EP other) "EP"	IPEA
iper-type	(rational detailed) #REQUIRED	IPER
kind	(heir heiress executor executrix estate legal-representative administrator administratrix legal-representatives heirs executors legal-heirs) #REQUIRED	us-rights
lang	CDATA #IMPLIED	document-id, invention-title, addressbook, nplcit, deceased-inventor, table-external-doc
lang	CDATA #REQUIRED	ep-xmit-opposition-data
lang-listening	NMTOKEN #REQUIRED	interpretation-oral-proceedings
lang-speaking	NMTOKEN #REQUIRED	interpretation-oral-proceedings
listing-type	(sequence program-listing other) #REQUIRED	pre
medium	CDATA #IMPLIED	nplcit

ATTRIBUTE	VALUES	Applicable to ELEMENTS
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
morerows	NMTOKEN #IMPLIED	entry
name-type	(legal natural) #IMPLIED	name
nameend	NMTOKEN #IMPLIED	entry
namest	NMTOKEN #IMPLIED	entry
npl-type	CDATA #IMPLIED	nplcit
num	CDATA #REQUIRED	p, bio-deposit, chemistry, tables
num	CDATA #IMPLIED	figref, patcit, nplcit
ocr	CDATA #IMPLIED	doc-page
orientation	(portrait landscape) "portrait"	img
ostyle	(single double dash dots leftarrow rightarrow leftrightarrow)	o
page	CDATA #REQUIRED	ep-notes-to-EPO
party-id	IDREF #IMPLIED	ep-opposition-notice, ep-opposition-submission, ep-opposition-evidence
party-reference		ep-opposition-evidence
pgwide	NMTOKEN #IMPLIED	table
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	doc-page
ppl	CDATA #IMPLIED	doc-page
region	(Other EP) "EP"	search-region
rep-address	(yes no) #IMPLIED	ep-agent
rep-type	(agent attorney common-representative) #REQUIRED	ep-agent
request-type	(oral-proceedings oral-proceedings-withdrawn opposition-withdrawn revocation acceleration-proceedings hearing-of-witness extension-time-limit interpretation-oral-proceedings other) #REQUIRED	ep-submission-request
rowsep	NMTOKEN #IMPLIED	table, tgroup, colspec, row, entry
sequence	CDATA #REQUIRED	ep-external-party-participant, applicant, inventor, deceased-inventor
status	CDATA #IMPLIED	table-external-doc
style	(single double dash dots) "single"	u
subname-type	(editor translator other-subname-type) "editor"	subname
time-units	(days months years weeks) #REQUIRED	time-limit

ATTRIBUTE	VALUES	Applicable to ELEMENTS
to-be-summoned-via	(party agent) #IMPLIED	opposition-expert-witness
to-dead-inventor	CDATA #REQUIRED	us-rights
topay	(yes no) #REQUIRED	fee
type	(jpg pdf tif) #REQUIRED	doc-page
type	CDATA #IMPLIED	opposition-evidence-other-file
url	CDATA #IMPLIED	bio-deposit, nplcit
user-input	CDATA #IMPLIED	fee-reduction-factor, fee-reduction-amount
valign	(top middle bottom) #IMPLIED	thead, row, entry, tbody
wi	CDATA #REQUIRED	img
xml:space	(preserve default) #IMPLIED	pre

10.6.5 Attributes in request.xml file - PCT/RO/101

The list relates to request-v1-7.dtd.

ATTRIBUTE	VALUES	Applicable for ELEMENTS
action-by	CDATA #IMPLIED	priority-doc-from-library
additional-copies-including-search-copy	(yes no) #IMPLIED	cl-sequence-listing-table, cl-sequence-listing
alt	CDATA #IMPLIED	doc-page
app-type	(applicant applicant-inventor) #REQUIRED	applicant
available-at-isa	(yes no) #IMPLIED	earlier-search-documents
carriers	(internal-electronic external-electronic paper) #IMPLIED	cl-sequence-listing-table, cl-sequence-listing
carriers-type	(FD CD BD DVD other) #IMPLIED	cl-sequence-listing
carriers-quantity	CDATA #IMPLIED	cl-sequence-listing
certified-copy	(attached later available) #IMPLIED	referenced-application
color	(color bw) #IMPLIED	doc-page
date	CDATA #REQUIRED	electronic-signature
date-produced	CDATA #IMPLIED	request
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
designation	(all all-except-us us-only as-indicated) #IMPLIED	inventor
documents-cited-in-earlier-search-results	(yes no) #IMPLIED	earlier-search-documents
dtd-version	CDATA #IMPLIED	request
earlier-application	(yes no) #IMPLIED	earlier-search-documents
email-purpose	(informal general advance main)	email
fig-count	CDATA #IMPLIED	cl-drawings
file	CDATA #IMPLIED	request
file	CDATA #REQUIRED	fax-image, doc-page, office-specific-data
for-search-only	(yes no) #IMPLIED	cl-sequence-listing-table, cl-sequence-listing
he	CDATA #REQUIRED	doc-page
id	ID #IMPLIED	office-specific-data, priority-claim, addressbook, invention-title, doc-page, store-in-digital-library
kind	(heir heiress executor executrix estate legal-representative administrator administratrix legal-representatives heirs executors legal-heirs) #REQUIRED	us-rights

ATTRIBUTE	VALUES	Applicable for ELEMENTS
kind	(national regional international) #REQUIRED	priority-claim
lang	CDATA #IMPLIED	deceased-inventor, addressbook, invention-title, office-specific-data, cl-translation-of-application, document-id
lang	CDATA #REQUIRED	request
library-identifier	CDATA #IMPLIED	priority-doc-from-library
name-type	(legal natural) #IMPLIED	name
ocr	CDATA #IMPLIED	doc-page
office	CDATA #REQUIRED	office-specific-data
office-dtd	CDATA #REQUIRED	office-specific-data
orientation	(portrait landscape) 'portrait'	doc-page
page-count	CDATA #IMPLIED	cl-request, cl-description, cl-claims, cl-abstract, cl-drawings, cl-sequence-listing, cl-sequence-listing-table, cl-other-document
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, doc-page
ppl	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, doc-page
produced-by	(applicant RO ISA IPEA IB DO EO national-office regional-office) #REQUIRED	request
quantity	CDATA #REQUIRED	cl-restore-rights-reason, declaration1, declaration2, declaration3, declaration4, declaration5, cl-sequence-listing, cl-sequence-listing-table, cl-separate-power-of-attorney, cl-general-power-of-attorney, cl-copy-general-power-of-attorney, cl-lack-of-signature, cl-priority-document, cl-translation-of-application, cl-biological-material, cl-earlier-search-document
rep-type	(agent attorney common-representative) #REQUIRED	agent
request-ro-to-transmit-to-isa	(yes no) #IMPLIED	earlier-search-documents
results-of-earlier-search	(yes no) #IMPLIED	earlier-search-documents
ro	CDATA #REQUIRED	request
sequence	CDATA #IMPLIED	deceased-inventor
sequence	CDATA #REQUIRED	applicant, inventor, agent, priority-claim

ATTRIBUTE	VALUES	Applicable for ELEMENTS
size	CDATA #IMPLIED	cl-sequence-listing
status	CDATA #IMPLIED	request, office-specific-data
style	(single double dash dots) 'single'	u
style	(single double dash dots leftarrow rightarrow leftrightarrow) 'single'	o
subset	(yes no) #IMPLIED	protection-request
to-dead-inventor	CDATA #REQUIRED	us-rights
total-page-count	CDATA #IMPLIED	check-list
translation-of-earlier-application	(yes no) #IMPLIED	earlier-search-documents
translation-of-results-of-earlier-search	(yes no) #IMPLIED	earlier-search-documents
type	(jpg pdf tif) #REQUIRED	doc-page
wi	CDATA #REQUIRED	doc-page
with-identifying-statement	(yes no) #IMPLIED	cl-sequence-listing-table, cl-sequence-listing

10.7 Data length restrictions

The maximal data length for some text fields is limited. See all details for affected elements and attributes in the table below. An **x** in a column means that this element is applicable for the specific procedure.

ELEMENT	1001	1200	1038	PCT	Max. data length
addcopies	x	x	x		2
address	x	x	x	x	247
bio-accno	x	x			64
bio-other-deposant	x	x			249
city	x	x	x	x	64
department	x	x	x	x	63
doc-number	x	x	x	x	10-17 depending on parent element
email	x	x	x	x	64
fax	x	x	x	x	25
figure-to-publish	x	x	x	x	16
first-name	x	x	x	x	64
iid	x	x	x	x	16
invention-title	x			x	590
last-name	x	x	x	x	128
mode-of-payment	x	x	x		64
name	x	x	x	x	128
orgname	x	x	x	x	63
phone	x	x	x	x	25
postcode	x	x	x	x	15
reimbursement	x	x	x		64
sr-refund	x				12
suffix	x	x	x	x	64

ATTRIBUTE	VALUES	PROCEDURES	Max. data length
accno	CDATA #REQUIRED	1001, 1200	8
dnum	CDATA #IMPLIED	1001	64
general_authorisation_number	CDATA #IMPLIED	1200	6
number-of-claims	CDATA #IMPLIED	1001	4

11 Index

A

abstract • 67, 70, 120, 123, 267, 271, 274
 accelerated processing • 192
 accession number • 60, 208
 account number • 87, 145, 162, 222, 283
 acknowledgement • 151, 203
 address for correspondence • 36, 104, 180
 admissibility • 171, 201
 admissible non-EPO language • 101
 affidavit • 171, 219
 agent • 250, 253
 amendments • 96, 120, 159
 amino acids • 80, 138
 amount to pay • 90
 Annex F • 10, 289
 annotation • 94, 150, 169, 228
 APP • 80, 138, 258, 289
 appeal • 159
 applicant • 36, 40, 46, 104, 108, 157, 244, 246
 application number • 33, 55, 173, 256
 application-body.xml • 11, 13, 14, 18, 66, 67, 70, 73, 76, 96, 116, 120, 123
 Art. 100(a) (b) EPC • 177
 Art. 115 EPC • 151, 190
 Art. 133(3) EPC • 46
 Art. 14(4) EPC • 101
 Art. 19 PCT • 126
 Art. 34 PCT • 126
 Art. 52(1) EPC • 177
 Art. 61(1)(b) EPC • 26
 Art. 94 EPC • 33, 101
 article • 208
 association, legal • 108
 attachments • 66, 266
 attorney • 253
 attribute • 11, 300
 author • 208
 authorisation • 46, 60, 64, 84, 104, 108, 143, 159, 171, 198, 283
 auxiliary • 192
 auxiliary request • 171
 awarding of costs • 224

B

bibliographic data • 208
 biological material • 60, 64, 113, 159, 258
 books • 208
 Business Object • 9, 10

C

certified copy • 33
 citation • 171, 208
 claims • 33, 67, 70, 73, 98, 101, 120, 123, 147, 177, 203, 267, 271, 274
 clean copy • 151
 client • 9
 common representative • 250
 communication • 30, 170
 conservation of evidence • 224
 contracting states • 51, 236
 cover letter • 171, 219
 currency • 87, 145, 162, 279

D

database • 9, 10
 debit order • 87, 162
 deceased inventor • 246
 declaration.xml • 229, 263
 declarations • 263
 deposit receipt • 64, 113
 deposit, biological • 60, 113, 258
 depositary institution • 60, 113, 258
 description • 66, 67, 70, 120, 123, 267, 271, 274
 designated office • 101
 designation of inventor • 40
 designation states • 49, 51, 111, 164, 166, 236, 285
 designations • 49, 51, 111, 164, 166, 236, 240, 246
 divisional application • 26
 document • 76, 123
 document code • 11, 18, 96, 151, 231
 drawings • 67, 70, 120, 123, 271, 274
 DTD • 7, 11, 13, 96, 151, 229

E

earlier application • 26, 28, 30
 edition number • 208
 elected office • 98, 108
 element • 11, 290
 employee • 46, 104, 180
 entitlement • 263
 EP application number • 98, 155
 EP phase • 98
 EP(1001E2K) • 13
 EP(1038E) • 151
 ep-euro-pct.xml • 96
 ep-request.xml • 13, 14
 ep-sfd-request.xml • 151
 Euro-PCT(1200E2K) • 96
 European Patent Bulletin • 173
 evidence • 171
 examination report • 201, 203

extension of time limit • 195
 extension states • 49, 54, 111

F

facts and arguments • 198
 fee code • 90, 164
 fee correction • 93
 fee reform • 161
 fee schedule • 90, 145, 147, 161, 279
 fee sheet • 279
 fee-exempt • 126
 fee-sheet.xml • 279
 File Manager • 12
 file type • 18, 96, 151, 231
 filing • 20, 23, 101, 173, 233
 filing date • 26, 28, 30, 31, 33
 filing office • 20
 first communication • 170
 Form 2300E • 173, 198
 Formatting Object Processor • 10

G

grant • 238, 240
 grounds for opposition • 177
 grounds for re-establishment of rights • 84
 GUI • 9, 10

H

handwritten • 143, 151
 hearing • 192
 host name • 208

I

identity of inventor • 263
 image • 219
 indication-bio-deposit.xml • 258
 international application • 123, 126, 274
 International Searching Authority • 98, 233
 internet database • 208
 internet publication • 208
 interpreting • 192
 intervener • 170, 184
 invention • 20, 23
 inventor • 18, 36, 40, 244, 285
 IP type • 13, 229
 IPEA • 98, 117
 IPER • 96
 ISA • 98, 233
 ISBN number • 208
 ISSN number • 208

J

JPG, JPEG • 289

L

lack of signature • 266
 language • 98, 192
 legal person • 46, 104
 legal remedies • 159
 limitataions • 159

M

main request • 171, 203
 mandatory divisional
 application • 26
 mapping • 8, 10

N

national priority • 256
 nationality • 244, 246
 natural person • 157
 non-patent literature • 208
 non-public documents • 159
 note to the EPO • 94, 150, 169,
 228
 notice of intervention • 170,
 171, 173
 notice of opposition • 170, 171,
 173, 198
 nucleotide • 80, 138

O

OAPI • 238
 observation • 171, 173, 201,
 206
 opponent • 170, 180
 opposition • 170
 oral proceedings • 192, 195
 original file name • 11, 67, 70,
 76

P

package • 10, 11
 package-data.xml • 11, 14, 151
 page numbers • 67, 70, 267,
 271
 page range • 126
 parent application • 238, 240
 particular relevance • 208
 patent literature • 208
 patent management system • 7
 patent number • 173
 patent opposed • 173
 Patent Prosecution Highway •
 151
 PatXML • 18, 73
 PCT • 288, 289
 PCT application number • 98
 PCT publication number • 98
 PCT/RO/101 • 229
 PDF • 10, 11, 289
 photo • 219

pkgheader.xml • 11, 13, 151,
 229
 plug-in • 13, 229
 power of attorney • 253, 274
 PPH • 151
 pre-conversion archive • 266
 previously filed application • 33
 priority • 33, 55, 116, 123, 159,
 256
 priority document • 84
 procedure • 8
 proceedings • 117
 proprietor of the patent • 170,
 173, 176, 187
 protection request • 238, 240
 public documents • 159
 publication • 208
 publication date • 208
 publisher • 208
 publishing fee • 226

R

receipt of transmission • 10
 receiving office • 9, 10, 13, 229,
 233
 re-establishment of rights • 33,
 55, 84
 referenced files • 14
 refund • 87, 145, 162
 region • 238
 regional phase • 161, 166
 regional priority • 256
 registration number • 36, 104,
 108, 157, 244, 246
 reimbursement • 87, 145, 162,
 222
 remark • 285
 renunciation of title • 40
 reply • 159, 171, 201, 203
 reply to written opinion • 96,
 143
 representative • 40, 46, 108,
 157, 184
 request • 20, 192, 233
 request.xml • 229
 retrieval date • 208
 revocation • 159, 192, 195
 Rule 112(1) • 49, 111
 Rule 139 • 151
 Rule 141(1) • 84, 143, 151
 Rule 161/162 • 98, 151
 Rule 19(3) • 40
 Rule 20(1) • 40
 Rule 30(1) • 33, 80
 Rule 31(1)(d) • 60, 64
 Rule 32(1) • 60
 Rule 33(2) • 113
 Rule 36(1) • 30
 Rule 40(1) • 31, 33
 Rule 53(3) • 117
 Rule 57(c) • 33
 Rule 70(2) • 20, 23, 101

S

schedule of fees • 90, 145, 161
 search fee • 87, 279
 search report • 87, 233
 search results • 55, 84, 143,
 151
 second communication • 170,
 201
 sending • 9, 10, 12
 sequence listing • 80, 258, 267
 server • 9, 10
 signature • 10, 283
 software • 13, 229
 specification • 67, 70, 73, 76,
 267, 271, 274
 ST.25 • 80, 258
 style sheet • 10
 submission in opposition
 proceedings • 170, 171, 173
 summons to oral proceedings •
 171, 176
 surcharge fee • 226
 system file name • 11

T

taking of evidence • 192
 technical documents • 18, 67,
 70, 73
 test reports • 117
 thin client • 9, 10
 third party • 151, 170, 190, 206
 TIF, TIFF • 289
 title of invention • 20, 23, 173,
 229
 translation • 16, 20, 23, 76, 96,
 117, 123, 203, 219, 274
 TXT • 138, 289

U

unlocking fees • 90, 93, 147,
 164
 UPP • 159
 URL • 208
 US certified priority document •
 84, 143
 user reference • 20, 23, 98,
 101, 155, 233

V

validation • 7, 12
 validation log • 285
 voluntary divisional application
 • 28

W

waiver • 20, 23, 40, 60, 64, 98,
 101, 113
 WIPO • 288
 WIPO Standard 25 • 80, 138

withdrawal • 159, 192, 194
witness • 170, 184, 187, 192

X

Xalan • 10
Xerces • 10
XFO • 7, 10
XML • 7, 11
XSL-FO • 10
XSLT • 7, 10

Z

ZIP • 11, 12, 18, 80, 96, 138,
151, 266