Online Filing

XML content data

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

Applicable to OLF version 5.00 and higher
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2 Introduction

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 XSLT and XFO processors.

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

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

![Figure 1: Exchange of XML data between PMS and OLF](image)

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

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

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

![Diagram of OLF system architecture and communication](image)

Figure 2: Communication between OLF thin client, OLF server and filing office

See the OLF Installation Guide and OLF User Guide for more information on OLF functionalities, technology and installation. The latest OLF software and documentation are available free of charge from the Download Centre of the EPO's Online Services website (http://www.epoline.org).
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 3: Transformation of data from GUI via XML into PDF
4 XML data exchange with patent management systems

4.1 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 (this section) 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:

- **EP(1001E2K)** - Request for grant of a European patent (EPC 2000)
- **Euro-PCT(1200E2K)** - Entry into the European phase (EPC 2000)
- **EP(1038E)** - Subsequently filed documents
- **EP(Oppo)** - EP Opposition procedure
- **PCT/RO/101** - PCT/RO/101 request

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.

Figure 4: Mapping elements used in GUI, XML code and PDF form

The Annex in Section 10 offers further information on EP and international filing, file naming conventions, and element and attribute lists.
4.2 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. 318) 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. 328) 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.

4.3 Preparing the package for import

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

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

<table>
<thead>
<tr>
<th>XML file name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader.dtd</td>
<td>Indicates selected procedure and other data for transmission to filing office.</td>
</tr>
<tr>
<td>package-data.xml</td>
<td>package-data.dtd</td>
<td>References attached documents, including those already referenced in application-body.xml file.</td>
</tr>
</tbody>
</table>
| application-body.xml| application-body-v1-6.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-v1-6.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.

See the Documents and Contents sections for examples of the five procedures.
4.4 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 find this package in the Download Centre of the EPO Online Services website (http://www.epoline.org).

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 as a draft or in ready to sign form following successful validation with no severity level 3 messages.
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:

<table>
<thead>
<tr>
<th>File name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader.dtd</td>
<td>Indicates selected procedure and other data for transmission to filing office.</td>
</tr>
<tr>
<td>package-data.xml</td>
<td>package-data.dtd</td>
<td>References attached documents, except those already referenced in application-body.xml file.</td>
</tr>
</tbody>
</table>
| 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-v1-6.dtd | Application data as entered in Form EP(1001E2K), references other attached documents. |

**NOTE:** Both the former ep-request-v1-5.dtd and the new ep-request-v1-6.dtd (introduced with the 1 April 2010 update) may be used with Online Filing Version 5.0. Old XML files compliant to ep-request-v1-5.dtd can still be used for import but will be converted to ep-request-v1-6.dtd. See the Online Services website (http://www.epoline.org) for further information.
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.

```
<xml version="1.0" encoding="UTF-8"/>
<DOCTYPE pkgheader SYSTEM "pkgheader.dtd">
<pkgheader lang="en" dtd version="1.0">
  <transmittal-info>
    <new-application>
      <country>EP</country>
    </new-application>
    <transmittal-info>
      <application-software>
        <software-name>eDUF</software-name>
      </application-software>
      <software-message>formType=EP1001E2K,formVersion=0.01</software-message>
    </transmittal-info>
  </transmittal-info>
</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 directly 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.

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

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

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

In this example, four individual files are attached for each section, but there could also be combined files containing more than one section of the technical documents - see the examples in EP(1001E2K) Documents (p. 69).

```xml
<?xml version="1.0" encoding="UTF-8"?>
<DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
<application-body lang="en" dtd-version="1.6" country="EP">
  <description>
    <doc-page id="DESCRI" href="1" w="1" t="pdf" file="SPECEPO-1.pdf" pp="1" pp="7" pp="7"/>
  </description>
  <claims>
    <doc-page id="CLMS1" href="1" w="1" t="pdf" file="SPECEPO-2.pdf" pp="1" pp="4" pp="4"/>
  </claims>
  <abstract>
    <doc-page id="ABST1" href="1" w="1" t="pdf" file="SPECEPO-3.pdf" pp="1" pp="2" pp="2"/>
  </abstract>
  <drawings>
    <doc-page id="DRAW1" href="1" w="1" t="pdf" file="SPECEPO-4.pdf" pp="1" pp="1" pp="1"/>
  </drawings>
</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.

```
<ep-office-specific-data file-encoding="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    <ep-electronic-files doc-type="1001"/>
    <ep-electronic-files doc-type="SPECPO"/>
    | <applicant-file-name>instant water description.pdf</applicant-file-name>
  </ep-electronic-files>
</ep-office-specific-data>
```

**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**

```xml
<application-body xmlns="en" xml:lang="en">  
  <description>
    <doc-page id="DESC1" href="/pdf/1" type="pdf" file="SPECTRANEPO-1.pdf" ppp="1" pp="1" ppf="7"/>
  </description>
  <claims>
    <doc-page id="CLMS1" href="/pdf/1" type="pdf" file="SPECTRANEPO-1.pdf" ppp="8" pp="1" ppf="2"/>
  </claims>
  <abstract>
    <doc-page id="ABST1" href="/pdf/1" type="pdf" file="SPECTRANEPO-1.pdf" ppp="10" pp="10" ppf="1"/>
  </abstract>
  <drawings>
    <doc-page id="DRAW1" href="/pdf/1" type="pdf" file="SPECTRANEPO-2.pdf" ppp="1" pp="1" ppf="1"/>
  </drawings>
</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
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.

**Note:** Since version 5.0, the OLF system no longer distinguishes between single and combined PDF files for description, claims, abstract and drawings but instead uses only SPECEPO (SPECTRANEPO for translations from a non-EPO language) for the document type and SPECEPO-n.pdf (SPECTRANEPO-n.pdf) for the EPO file names. However, XML files with former doc-type attributes and `<epo-file-name>` elements like DESC and DESC.pdf can still be imported, but these will be transformed into SPECEPO and SPECEPO-n.pdf, respectively.

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request</td>
<td></td>
<td></td>
</tr>
<tr>
<td>APPBODYXML</td>
<td>application-body.xml</td>
<td>Application body, see Structure of XML files for EP(1001E2K) (p. 13)</td>
</tr>
<tr>
<td>REQXML</td>
<td>ep-request.xml</td>
<td>Application data, see Structure of XML files for EP(1001E2K) (p. 13)</td>
</tr>
<tr>
<td>Technical documents and their translation in official EPO language (selected procedural language)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SPECEPO</td>
<td>SPECEPO.pdf</td>
<td>Technical documents (specification) as a single file</td>
</tr>
<tr>
<td>SPECTRANEPO</td>
<td>SPECTRANEPO.pdf</td>
<td>Single file translated specification from a non-EPO language</td>
</tr>
<tr>
<td>Technical documents in non-official EPO language or other languages</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DRAWNONEPO</td>
<td>DRAWNONEPO.pdf</td>
<td>Drawings in admissible non-EPO language</td>
</tr>
<tr>
<td>SPECNONEPO</td>
<td>SPECNONEPO.pdf</td>
<td>Original specification in admissible non-EPO language</td>
</tr>
<tr>
<td>Optional additional files for technical documents</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OLF-ARCHIVE</td>
<td>OLF-ARCHIVE.zip</td>
<td>Pre-conversion archive (contains original technical documents in any language, before conversion to PDF, e.g. in DOC format)</td>
</tr>
<tr>
<td>Documents concerning biological material, sequence listings</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SEQL</td>
<td>SEQLPDF.pdf</td>
<td>Sequence listing in accordance with Rule 30(1)</td>
</tr>
<tr>
<td>SEQLTXT</td>
<td>SEQLTXT.app</td>
<td>Nucleotide and amino acid sequence listing</td>
</tr>
<tr>
<td>SEQLTXT</td>
<td>SEQLTXT.txt</td>
<td>Sequence listing in TXT format (ASCII text)</td>
</tr>
<tr>
<td>BIOMAUTH</td>
<td>BIOM-AUTH-1.pdf</td>
<td>Authorisation under Rule 31(1)(d)</td>
</tr>
<tr>
<td>BIOMRECEIPT</td>
<td>BIOM-RECEIPT-1.pdf</td>
<td>Receipt(s) of deposit issued by depositary institution</td>
</tr>
<tr>
<td>BIOMWAIV</td>
<td>BIOM-WAIV-1.pdf</td>
<td>Waiver of the right to an undertaking from requestor pursuant to Rule 33(2)</td>
</tr>
<tr>
<td>Documents concerning applicant, representative and inventor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1003</td>
<td>SPECAUTH-1.pdf</td>
<td>Specific authorisation</td>
</tr>
<tr>
<td>1004</td>
<td>GENAUTH-1.pdf</td>
<td>General authorisation</td>
</tr>
<tr>
<td>Document code</td>
<td>EPO file name</td>
<td>Description</td>
</tr>
<tr>
<td>---------------</td>
<td>--------------</td>
<td>-------------</td>
</tr>
<tr>
<td><strong>Graphic files</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PATXMLTIF</td>
<td>&lt;filename&gt;.jpg</td>
<td>Drawing in JPG format (referenced by application-body.xml file as a result of attaching specification in XML format)</td>
</tr>
<tr>
<td>PATXMLTIF</td>
<td>&lt;filename&gt;.tif</td>
<td>Drawing in TIF format (referenced by application-body.xml file created by PatXML)</td>
</tr>
<tr>
<td><strong>Additional documents</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PRIOTRAN</td>
<td>PRIOTRAN-1.pdf</td>
<td>Translation of priority documents</td>
</tr>
<tr>
<td>REESGROUNDS</td>
<td>REESGROUNDS.pdf</td>
<td>Grounds for re-establishment of rights</td>
</tr>
<tr>
<td>SRCH</td>
<td>SRCH-1.pdf</td>
<td>Prior search report</td>
</tr>
<tr>
<td>USCERTPRIO</td>
<td>USCERTPRIO-1.pdf</td>
<td>US certified priority document (must be digitally signed)</td>
</tr>
<tr>
<td>OTHERPDF</td>
<td>OTHER-1.pdf</td>
<td>Other document in PDF format</td>
</tr>
<tr>
<td><strong>Documents generated by Online Filing (not to be imported)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>F1002</td>
<td>F1002-1.pdf</td>
<td>Designation of inventor</td>
</tr>
<tr>
<td>INVT</td>
<td>EPR193-1.pdf</td>
<td>Waiver - Rule 19(3) EPC / Inventor-related document</td>
</tr>
<tr>
<td>INVT</td>
<td>EPR201-1.pdf</td>
<td>Renunciation - Rule 20(1) EPC / Inventor-related document</td>
</tr>
<tr>
<td>1001P</td>
<td>ep-request.pdf</td>
<td>Application in PDF format</td>
</tr>
</tbody>
</table>

The following files are no longer produced by the OLF system since version 5.00, but they can still be imported and will be transformed to `SPECEPO` and `SPECEPO-n.pdf`, respectively.

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABST</td>
<td>ABST.pdf</td>
<td>Abstract</td>
</tr>
<tr>
<td>ABSTRACT</td>
<td>ABSTRACT-1.pdf</td>
<td>Abstract (when request refers to a previous application)</td>
</tr>
<tr>
<td>CLMS</td>
<td>CLMS.pdf</td>
<td>Claims</td>
</tr>
<tr>
<td>DESC</td>
<td>DESC.pdf</td>
<td>Description</td>
</tr>
<tr>
<td>DRAW</td>
<td>DRAW.pdf</td>
<td>Drawings</td>
</tr>
</tbody>
</table>

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

![Request GUI: general data](image)

*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

```xml
<?xml version="1.0" encoding="UTF-8"?>
<doc-header lang="en" xRef="1001" xml:lang="en">
  <xml:id xRef="1001">XML</xml:id>
</doc-header>
<request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested.</request-petition>
<invention-title lang="en">Instant Water</invention-title>
<invention-title lang="fr">Eau instantanée</invention-title>
<invention-title lang="de">Instant-Wasser</invention-title>
<parties/>
<figure-to-publish/>
<ep-language-of-filing lang="en">en</ep-language-of-filing>
<ep-designated-states waiver-communication-and-processing-of-non-designated-states="no"/>
<declarations/>
<waiver-to-indicate-further-processing/>
<declaration-no-intention-to-file-further-priority/>
<ep-declarations/>
<ep-electronic-file doc-types="1001"/>
<ep-electronic-file doc-types="APPBODY/XML"/>
<financial-data cur="EUR" fee-amounts-unlocked-by-use="no"/>
<ep-office-specific-data/>
</ep-request>
```

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

Request for grant of a European patent

For official use only

1 Application number
2 Date of receipt (Rule 35(2) EPC)
3 Date of receipt at EPO (Rule 36(4) EPC)
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))

Procedural language:

Description and/or claims filed in:

6 Applicant’s or representative’s reference

Figure 13: Request PDF: general data in form header

[...]

24 Title of invention

Title of invention: Instant water
Translation of title into French: Eau instantanée
Translation of title into German: Instant-Wasser

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

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

*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

```
<xml version="1.0" encoding="UTF-8">  
<DOCTYPE xml-stylesheet SYSTEM "ep-request-v1-6.dtd">  
<ep-request lang="fr" dtd-version="1.0" produced-by="applicant" ref="FR" data-processed="20100519 13:52:31">  
  <software-ref>CU</software-ref>  
  <software-version>FMNHGR528, EP0009928, FM_FOP2025</software-version>  
  <stylesheet-version>3</stylesheet-version>  
  <request-petition>Grant of European patent and examination of the application under Article 94, are hereby requested</request-petition>

  <invention-title lang="fr">Eau instantanée</invention-title>
  <invention-title lang="de">Instant-Wasser</invention-title>
  <invention-title lang="it">Acqua istantanea</invention-title>

  <parties>
    <check-list>
      <figure-to-publish>
        <ep-language-of-filing lang-code="fr">fr</ep-language-of-filing>
        <ep-language-of-filing lang-code="translation">fr</ep-language-of-filing>
        <ep-designated-states waiver="communication-and-processing-of-non-designated-states" no="fr"/>
        <ep-request-for-exam-lang lang="fr"/>
        <ep-declarations/>
        <waiver-to-institute-further-processing/>
        <declaration-no-intention-to-file-further-priority/>
      </figure-to-publish>
    </check-list>
  </parties>

  <ep-electronic-files doc-type="1001">
    <ep-electronic-files doc-type="SPECNONEPO">
      <ep-electronic-files doc-type="SPECTRANEPO">
        <ep-electronic-files doc-type="SPECTRANEPO">fr</ep-electronic-files>
      </ep-electronic-files>
    </ep-electronic-files>
  </ep-electronic-files>

  <ep-electronic-files doc-type="FR\nIN">
    <ep-electronic-files doc-type="SEQLITX">
      <ep-electronic-files doc-type="PREFIXTRAN">
        <ep-financial-data cur="EUR" free-amounts-unlocked-by-user="no">fr</ep-financial-data>
      </ep-electronic-files>
    </ep-electronic-files>
  </ep-electronic-files>

<ep-office-specific-data/>
</ep-request>
```

Figure 16: Request XML: filing office FR, procedural language FR and language of filing IT
Requête en délivrance d’un brevet européen

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

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

<table>
<thead>
<tr>
<th>Requête en examen dans une langue non officielle autorisée :</th>
</tr>
</thead>
<tbody>
<tr>
<td>Si richiede di esaminare la domanda ai sensi dell’art. 94.</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Langue de la procédure :</th>
</tr>
</thead>
<tbody>
<tr>
<td>fr 4</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Description et/ou revendications déposée(s) en :</th>
</tr>
</thead>
<tbody>
<tr>
<td>it 5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Référence du demandeur ou du mandataire :</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001_XML_IT/FR 3</td>
</tr>
</tbody>
</table>

Figure 17: Request PDF in French: general data

<table>
<thead>
<tr>
<th>24 Titre de l’invention</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Titre de l’invention</strong> : Eau instantanée 6</td>
</tr>
<tr>
<td><strong>Traduction du titre en allemand</strong> : Instant-Wasser 7</td>
</tr>
<tr>
<td><strong>Traduction du titre en anglais</strong> : Instant water 8</td>
</tr>
</tbody>
</table>

Figure 18: Request PDF in French: title of invention
5.3.3 Divisional - Example 1: mandatory divisional application

GUI EP(1001E2K), Divisional tab

![Request GUI: mandatory divisional application](image)

**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

```
<parent-doc>
    <document-id lang="en">
        <country>EP</country>
        <doc-number>EP09069765.2</doc-number>
        <date>20090803</date>
    </document-id>
    <ep-designated-states waived-communication-and-processing-of-non-designated-states="no">
        <ep-divisional-appl>
            <ep-first-communication-raising-lack-of-unity>
                <date>20091001</date>
            </ep-first-communication-raising-lack-of-unity>
            <ep-divisional-appl>
                <ep-declarations>
                    <ep-electronic-file doc-type="1001"/>
                </ep-declarations>
            </ep-divisional-appl>
        </ep-divisional-appl>
    </ep-designated-states>
</parent-doc>
```

**Figure 20:** Request XML: mandatory divisional application

**PDF ep-request.pdf**

```
27 Divisional application

Number of earlier application:
EP09069765.2

Filing date of earlier application:
03 August 2009

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 61(1)(b) EPC:
01 October 2009

28 Article 61(b) application
```

**Figure 21:** Request PDF: mandatory divisional application
5.3.4 Divisional - Example 2: voluntary divisional application

GUI EP(1001E2K), Divisional tab

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
(5) Voluntary divisional application, Rule 36(1)(a) EPC
(6) Date of first communication
(7) Application number of the relevant earliest application
XML ep-request.xml

```xml
<xml-specific-data-office=""xml"" lang=""en"">
  <ep-designated-states wizard-communication-processing-of-non-designated-states=""no"">
    <division-appl>
      <parent-doc>
        <document-id lang=""en"">
          <country>EP</country>
          <doc-number>EP09000123.1</doc-number>
        </document-id>
      </parent-doc>
    </division-appl>
  </ep-designated-states>
</xml-specific-data-office>
```

Figure 23: Request XML: voluntary divisional application

PDF ep-request.pdf

![PDF figure]

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

```xml
60 1 <ep-divisonal-app>
61   <parent-doc>
62     <document-id lang="en">
63       <country>EP</country>
64       <doc-number>EP0008765.2</doc-number>
65       <date>03/09/2003</date>
66     </document-id>
67   </parent-doc>
68 5 <ep-no-communication/>
69  </ep-divisonal-app>
```

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

PDF ep-request.pdf

```
27  Divisional application

1  

Number of earlier application: EP0008765.2

2  

Filing date of earlier application: 03 August 2009

3  

4  

5  No communication received

5  

28  Article 81(1)(b) application

```

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

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

**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))

**NOTE:** With DTD version `ep-request-v1-5.dtd`, the element name `<referenced-application>` was changed to `<ep-previously-filed-application>` with all existing sub-elements and attributes. Old XML files compliant to `ep-request-v1-5.dtd` can still be used for import but will be converted to `ep-request-v1-6.dtd` (effective on 1 April 2010).
XML ep-request.xml

```xml
<xmlversion="1.0" encoding="UTF-8">
<DOCTYPE ep-request SYSTEM "ep-request.xsd">
<ep-request lang="en" dtdversion="1.0" produced-by="applicant" resp="EP" date-produced="20100518 21:10:34">
  <!-- software_name #OUL -->
  <!-- software_version FMNSR526, EP2000GC26, FM_FCP026 -->
  <!-- stylesheet_version 3.0 -->
  <!-- xmlp_version Version 0.10 5 -->
  <file-reference-id>1001_reference</file-reference-id>
  <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested.</request-petition>
  <invention-title lang="en">Instant Water MAL</invention-title>
  <invention-title lang="fr">Eau instantanée MAL</invention-title>
  <invention-title lang="de">Instant-Wasser MAL</invention-title>
  <ep-previously-filed-application filing-date="20090430" ep-document-type="patent" replaces-claims="no" number-of-claims="contains-sequences-listing="no" is-also-priority="no">
    <document-id lang="en">
      <country>EP</country>
      <doc-number>09000123.1</doc-number>
      <language>en</language>
      <ep-office-specific-data office="EP" lang="en">
        <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
          <ep-art61-app>09000123.1</ep-art61-app>
        </ep-designated-states>
        <ep-electronic-files doc-type="1001">
          <ep-electronic-file doc-type="SPECERO">
            <ep-electronic-file doc-type="SPECERO">
              <ep-fiscal-data cur="EUR" fees-amounts-unlocked-by-user="no">
                <ep-office-specific-data>
                  <ep-request>
                    26 Reference to a previously filed application
                    26.1 Reference is made to a previously filed application. That reference replaces the description and any drawings (Rule 40(1)(d), (2)).
                    26.2 The reference to the previously filed application also replaces the claims (Rule 57(6)).
                    26.3 A certified copy of the previously filed application (Rule 40(3)).
                    26.4 A translation of the previously filed application (Rule 40(3)).
                  </ep-request>
                  27 Divisional application
                  28 Article 61(1)(b) application
                  5 State Filing date Kind Application number:
                  7 6 8
                  26.1 Reference is made to a previously filed application. That reference replaces the description and any drawings (Rule 40(1)(d), (2)).
                  26.2 The reference to the previously filed application also replaces the claims (Rule 57(6)).
                  26.3 A certified copy of the previously filed application (Rule 40(3)).
                  26.4 A translation of the previously filed application (Rule 40(3)).
                </ep-office-specific-data>
              </ep-fiscal-data>
            </ep-electronic-file>
          </ep-electronic-files>
        </ep-office-specific-data>
      </ep-office-specific-data>
    </document-id>
  </ep-previously-filed-application>
</ep-request>
```

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

PDF ep-request.pdf

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

![Figure 31: Request GUI: reference to previously filed priority application, re-establishment of rights requested](image)

**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

```
<ep-previous-filed-application filing-date="20080409" ep-document-type="patent" replaces-claim="yes" number-of-claims="50" contains-sequence-listing="yes" is-also-priority="yes" certified-copy="later">
  <country>IT</country>
  <doc-number>TO 2008 A 123456</doc-number>
  <prior-claims>
    <ep-priority-claim sequence="1" kind="national" ep-document-type="patent">
      <country>IT</country>
      <doc-number>TO 2009 A 900739</doc-number>
      <date>20090731</date>
    </ep-priority-claim>
    <ep-priority-claim>
      <country>IT</country>
      <doc-number>TO 2009 A 900739</doc-number>
      <date>20090731</date>
    </ep-priority-claim>
    <country>
      <doc-number>TO 2009 A 123456</doc-number>
    </country>
  </prior-claims>
</ep-previous-filed-application>
```

Figure 32: Request XML: reference to previously filed priority application, re-establishment of rights requested
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. 39) for details.

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**

![Names GUI](image)

*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
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**

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE ep-request SYSTEM "ep-request-V2.dtd">
<ep-request lang="en" dtd-version="1.0" production-by="applicant" rec="EP" date-produced="20100621 11:01:11">
  <!--software_name vOLF-->
  <!--software_version FMIF/IFCP026, EP20000626, FM_FGIP026-->
  <!--stylesheet_version V3-->
  <!--top_version Version 0.29.6-->
  <file-reference-id>1001.XML</file-reference-id>
  <!--request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested. request-petition>
  <invention-title lang="en">Instant Water</invention-title>
  <invention-title lang="fr">Eau Instantanée</invention-title>
  <invention-title lang="de">Instant-Wasser</invention-title>
  <applicants>
    <applicant sequence="1" designation="as-indicated" app-type="applicant-inventor">
      <addressbook lang="en">
        <prefname>Mr.</prefname> <surname>Manzoni</surname><last-name> Manzoni</last-name>
        <first-name> Salvatore</first-name>
        <orgname> Borghezio S.A.</orgname>
        <department> Invenzione</department>
        <registered-number> GG00000095</registered-number>
        <street>Via Roma 8</street>
        <city>Milano</city>
        <state> IT </state>
        <postcode> 20100 </postcode>
        <country> IT </country>
        <phone>+39 2 505 10</phone>
        <fax>+39 2 6986 83</fax>
        <email> manzoni@borghezio.it </email>
        <addressbook>
          <stationary>
            <country>IT</country>
            <nationality>
              <residence>
                <country>IT</country>
              </residence>
            </nationality>
          </stationary>
        </addressbook>
      </addressbook>
    </applicant>
  </applicants>
</ep-request>
```

*Figure 35: Names XML: applicant is also inventor*
### PDF ep-request.pdf

**Figure 36: Names PDF: applicant’s address**

<table>
<thead>
<tr>
<th>No.</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Applicant 1</td>
</tr>
<tr>
<td>2</td>
<td>Name: Manzoni, Mr. Salvatore</td>
</tr>
<tr>
<td>3</td>
<td>Registration No: 5S6668695</td>
</tr>
<tr>
<td>4</td>
<td>Company: Borghese S.A.</td>
</tr>
<tr>
<td>5</td>
<td>Department: Invenzioni</td>
</tr>
<tr>
<td>6</td>
<td>Address: Via Roma 8</td>
</tr>
<tr>
<td>7</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>State of residence or of principal place of business: Italy</td>
</tr>
<tr>
<td>9</td>
<td>Nationality: Italy</td>
</tr>
<tr>
<td>10</td>
<td>Telephone: +39 2 5056 10</td>
</tr>
<tr>
<td>11</td>
<td>Fax: +39 2 5056 89</td>
</tr>
<tr>
<td>12</td>
<td>E-mail: <a href="mailto:smanzoni@borghese.it">smanzoni@borghese.it</a></td>
</tr>
</tbody>
</table>

**Figure 37: Names PDF: Inventor 1**

<table>
<thead>
<tr>
<th>No.</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>19</td>
<td>Inventor 1</td>
</tr>
<tr>
<td>2</td>
<td>Name: Manzoni, Mr. Salvatore</td>
</tr>
<tr>
<td>3</td>
<td>Company: Borghese S.A.</td>
</tr>
<tr>
<td>4</td>
<td>Department: Invenzioni</td>
</tr>
<tr>
<td>5</td>
<td>Address: Via Roma 8</td>
</tr>
<tr>
<td>6</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>State of residence or of principal place of business: Italy</td>
</tr>
<tr>
<td>9</td>
<td>Nationality: Italy</td>
</tr>
<tr>
<td>10</td>
<td>Telephone: +39 2 5056 10</td>
</tr>
<tr>
<td>11</td>
<td>Fax: +39 2 5056 89</td>
</tr>
</tbody>
</table>
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. 39) for the applicant. There are further options for representatives and inventors.

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

Figure 38: Names GUI: second representative
GUI EP(1001E2K), Names tab: inventor

![GUI EP(1001E2K), Names tab: inventor](image)

**Figure 39: Names GUI: inventor**

**Element list**

1. Applicant 1
2. Applicant 2 (n applicants possible)
3. Representative 1
4. Representative 2 (n representatives possible)
5. Inventor 1 (n inventors possible): for each inventor, a form F1002-*\.pdf is generated.
6. 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.
7. The applicant has acquired the right to the European patent as follows
9. 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.
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. 39) above.

**XML ep-request.xml**

```xml
<file-reference-id>1C01.XML_app</file-reference-id>
<request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested</request-petition>
<invention-title lang="en">Instant Water</invention-title>
<invention-title lang="fr">Eau instantanée</invention-title>
<invention-title lang="de">Instant-Wasser</invention-title>

<parties>
  <applicants>
    <applicant sequence="1" designation="as-indicated" app-type="applicant">
      <app-inventor sequence="*1" designation="as-indicated" sequence="*1" rejection="1" in-right="successor">
        <inventor>
          <addressbook>
            <street>10 High Street</street>
            <city>London</city>
            <state>Greater London</state>
            <postcode>W1A 2BC</postcode>
            <country>GB</country>
            <address/>
          </addressbook>
        </inventor>
      </app-inventor>
    </applicant>
  </applicants>

  <agents>
    <agent sequence="1" rep-type="common-representative">
      <agent>
        <addressbook>
          <street>10 High Street</street>
          <city>London</city>
          <state>Greater London</state>
          <postcode>W1A 2BC</postcode>
          <country>GB</country>
          <address/>
        </addressbook>
      </agent>
    </agent>
  </agents>

<inventors>
  <inventor sequence="1" designation="as-indicated" sequence="*1" rejection="1" in-right="successor">
    <ep-inventor sequence="1" designation="as-indicated" sequence="*1" rejection="1" in-right="successor">
      <ep-agent sequence="1" rep-type="common-representative">...
    </ep-inventor>
  </inventor>
</inventors>
</parties>
```

*Figure 40: Names XML: attributes for inventor, address for second representative*
<table>
<thead>
<tr>
<th>Applicant 1</th>
<th>Applicant 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name:</strong></td>
<td>Name: Manzoni, Mr. Salvatore</td>
</tr>
<tr>
<td><strong>Registration No.:</strong></td>
<td><strong>Company:</strong> Borghe S.A.</td>
</tr>
<tr>
<td><strong>Department:</strong></td>
<td><strong>Address:</strong> Via Roma 8</td>
</tr>
<tr>
<td><strong>Address:</strong></td>
<td>20100 Milano</td>
</tr>
<tr>
<td><strong>State of residence or of principal place of business:</strong></td>
<td>Italy</td>
</tr>
<tr>
<td><strong>Telephone:</strong></td>
<td>Telephone: +39 2 5056 10</td>
</tr>
<tr>
<td><strong>Fax:</strong></td>
<td>Fax: +39 2 5066 89</td>
</tr>
<tr>
<td><strong>e-mail:</strong></td>
<td>e-mail: <a href="mailto:smanzoni@borghe.s.it">smanzoni@borghe.s.it</a></td>
</tr>
<tr>
<td><strong>Nationality:</strong></td>
<td>Italy</td>
</tr>
<tr>
<td><strong>State of residence or of principal place of business:</strong></td>
<td>Italy</td>
</tr>
</tbody>
</table>

**Figure 41: Names PDF: Applicant 1 and Applicant 2**
Figure 42: Names PDF: Representative 1 and Representative 2

Figure 43: Names PDF: Inventor

Figure 44: Names PDF: Forms concerning inventor
PDF F1002-1.pdf - Designation of inventor

Figure 45: PDF: Designation of inventor
5.4.3 Names - Example 3: applicant (legal) is represented by authorised employee

GUI EP(1001E2K), Names tab

Figure 46: Names GUI: applicant represented by employee (Art. 133(3) EPC)
Element list

1. Applicant 1
2. Applicant 2 is an employee acting pursuing 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     <applicant sequence="1" designation="as-indicated" app-type="applicant">
16       <name>
17         <prefix>Mr.</prefix>
18         <last-name>Mercier</last-name>
19         <first-name>Jeanne-Lilie</first-name>
20       </name>
21     </applicant>
22   </applicants>
23  </parties>
```

Figure 47: Names XML: employee representing applicant
PDF ep-request.pdf

Figure 48: Names PDF: Applicant 1 represented by authorised employee

Figure 49: 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.

5.5.1 Designation - Example 1: all states designated

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

Figure 50: States GUI: designation of all contracting states
Element list

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

(2) Country = EP, comprising automatically all states

XML ep-request.xml

```
53  <ep-language-of-filing lang-code="en"/>
54  <ep-office-specific-data office="EP" lang="en">
55  1  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
56  2  <country>EP</country>
57  3  <region/>
58  4  <extension-states/>
59  </ep-designated-states>
60  </ep-office-specific-data>
```

Figure 51: 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 74(1)).
   32  Different applicants for different contracting states
```

Figure 52: 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 an 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.

Figure 53: States GUI: designations for applicant 2
Applicant 2 - 5 states designated

Figure 54: 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
Figure 55: States XML: all designations for applicant 2 and applicant 1
Figure 56: States PDF: Designation of contracting states, different applicants for different contracting states
5.5.3  Extension - Example 1: all extension states selected

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

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

**Element list**

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

**XML ep-request.xml**

```xml
<ep-designated-states waiver=communication-and-processing-of-non-designated-states="no">
  <region>
    <extension-states>
      <region>EP</region>
      <country>BA</country>
      <country>ME</country>
      <country>RS</country>
    </extension-states>
  </region>
</ep-designated-states>
```

*Figure 58: States XML: extension states for EP*

**PDF ep-request.pdf**

This application is deemed to be a request to extend the European patent application and the European patent granted in respect of it to all non-contracting states to the EPC with which extension agreements are in force on the date on which the application is filed. However, the request is deemed withdrawn if the extension fee is not paid within the prescribed time limit.

**Figure 59: States PDF: extension states**

8A ME RS
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

Each national, regional and international priority has 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.

**National priority**

![Figure 60: Priority GUI: national priority with translation option](image-url)
Regional priority

![Priority GUI: regional priority with request for re-establishment of rights](image)

**Figure 61: Priority GUI: regional priority with request for re-establishment of rights**

**Element list**

1. Priority 1, national
2. Country of priority 1
3. Application number of priority 1
4. Kind of priority 1
5. Filing date of priority 1
6. This application is a complete translation of the previous application (checked for priority 1)
7. It is not intended to file a (further) declaration of priority
8. Priority 2, regional
9. Country of priority 2
10. Application number of priority 2
11. Kind of priority 2
12. Filing date of priority 2
13. Re-establishments of rights is hereby requested (checked for priority 2)
14. Priority 3, international
15. Application number of priority 3
XML ep-request.xml

```
<parties>
  <priority-claim>
    <ep-priority-claim sequence="1" kind="national" ep-document-type="utility">
      <country>IT</country>
      <doc-number>TO 2009 U256675</doc-number>
      <date>20091211</date>
    </ep-priority-claim>
    <ep-priority-claim>
      <country>US</country>
      <doc-number>09/00123.1</doc-number>
      <date>20090429</date>
    </ep-priority-claim>
    <ep-priority-claim>
      <country>EP</country>
      <doc-number>PCT/US2009/030440</doc-number>
      <date>20090428</date>
    </ep-priority-claim>
  </priority-claim>
  <check-list>
    <figure-to-public>
      <ep-language-of-filing language-code="en"/>
      <ep-office-specific data office="EP" language="en"/>
      <ep-designated states place="communication-and-processing-of-non-designated-status="no">
      <ep-declarations>
        <request-re-establishment/>
      </ep-declarations>
    </figure-to-public>
  </check-list>
</parties>

Figure 62: Priority XML: national, regional and international priority, declarations
```
### Declaration of priority (Rule 52)

A declaration of priority is hereby made for the following applications:

<table>
<thead>
<tr>
<th>State</th>
<th>Filing date</th>
<th>Kind</th>
<th>Application number</th>
</tr>
</thead>
<tbody>
<tr>
<td>IT</td>
<td>11.12.2009</td>
<td></td>
<td>ITTO 2009 U256575</td>
</tr>
<tr>
<td>EP</td>
<td>29.04.2009</td>
<td>ap</td>
<td>09000123.1</td>
</tr>
<tr>
<td>US</td>
<td>28.08.2009</td>
<td>ap</td>
<td>PCT/US2009/203640</td>
</tr>
</tbody>
</table>

#### 26.2 This application is a complete translation of the previous application.

- ITTO 2009 U256575

#### 26.3 It is not intended to file a (further) declaration of priority.

- EP9000123.1

---

**Figure 63: Priority PDF: Declaration of priority applications**
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.

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

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

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

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

Figure 64: Biological Material GUI: details for deposit 1
Further details sub-tab

![Figure 65: Biological Material GUI: further details for deposit 1, documents to be filed later](image)

**Element list**

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

```
<address>
  Uppsalaan 6, NL-3504 CT Utrecht, The Netherlands / P.O. Box 65167, NL-3508 AD Utrecht,
  The Netherlands
</address>
```

Figure 66: Biological Material XML: details for deposit 1
### Figure 67: Biological Material PDF: details for deposit 1

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>34. Biological material</strong></td>
<td></td>
</tr>
<tr>
<td><strong>34.1 The invention uses and/or relates to biological material deposited under Rule 31</strong></td>
<td></td>
</tr>
<tr>
<td><strong>b-1 Deposit</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Identification reference</strong></td>
<td>XML-bio-060227</td>
</tr>
<tr>
<td><strong>Repository institution</strong></td>
<td>Uppsalalais 8, NL-3584 CT Utrecht, The Netherlands / P.O. Box 85187, NL-3508 AD Utrecht, The Netherlands</td>
</tr>
<tr>
<td><strong>Accession number</strong></td>
<td>CBS-060227</td>
</tr>
</tbody>
</table>

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

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>6</td>
</tr>
</tbody>
</table>

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

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

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>6</td>
</tr>
</tbody>
</table>

**35.1 Authorisation under Rule 31(1)(d)**

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

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>6</td>
</tr>
</tbody>
</table>

**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**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>6</td>
</tr>
</tbody>
</table>
5.7.2 Biology - Example 2: Further details, documents attached

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

![Biological Material GUI: further details for deposit 2 with files attached]

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

Element list

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

```xml
<ep-office-specific-data data="EP" lang="en">
  <ep-designated-states waives-communication-and-processing-of-non-designated-states="no">
    <ep-biological-material id="bio1" name="CBS" dnum="XML-bio-000227">1</ep-biological-material>
    <ep-biological-material id="bio2" name="ECACC" dnum="EUR-bio-080227">2</ep-biological-material>
  </ep-designated-states>
  <bio-accrec>ECACC-080227</bio-accrec>
  <bio-receipt prefix="BIOC-M-RECEIPT-1" pdf="bio-receipt">3</bio-receipt>
  <bio-authorizations prefix="BIOC-AUTH-1" pdf="bio-authorizations">4</bio-authorizations>
  <bio-waiver prefix="BIOC-WAIV-1" pdf="bio-waiver">5</bio-waiver>
</ep-office-specific-data>
<ep-biological-materials>
  <ep-electronic-files doc-type="1001">
  <ep-electronic-files doc-type="SPECIRPO">6</ep-electronic-files>
  <ep-electronic-files doc-type="BIOC-M-RECEIPT">7</ep-electronic-files>
  <ep-electronic-files doc-type="SPECIRPO">8</ep-electronic-files>
  <ep-electronic-files doc-type="BIOC-AUTH-1">9</ep-electronic-files>
  <ep-electronic-files doc-type="BIOC-WAIV-1">10</ep-electronic-files>
  <ep-electronic-files doc-type="BIOC-FIN">11</ep-electronic-files>
</ep-biological-materials>
<applicant-file-name>bio_receipt.pdf</applicant-file-name>
<applicant-file-name>bio_authorization.pdf</applicant-file-name>
<applicant-file-name>bio_waiver.pdf</applicant-file-name>
<applicant-file-name>bio_financial.pdf</applicant-file-name>
</ep-office-specific-data>
</ep-request>

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

PDF ep-request.pdf

1. **Deposit 2**
   - **Identification reference:** EUR-bio-080227
   - **Depository institution:** Health Protection Agency – Porton Down, Salisbury, Wiltshire SP4 0UG, United Kingdom
   - **Accession number:** ECACC-080227

2. The patient referred to in Rule 31(1)(c) (if not yet known, the
   depositor satisfies the identification reference(s) (number, name, address, etc.) of the depositor) are given in the technical documents in
   the application on:

3. **The receipt(s) of deposit issued by the depositor institution**
   - is (are) attached

4. **If the biological material was deposited by a person other than the
   applicant, name and address of depositor:**
   - is (are) attached

5. **Authorisation under Rule 31(1)(d)**
   - is (are) attached

6. **Waiver of the right to an undertaking from the requestor pursuant to
   Rule 32(2) attached**

7. **The applicant hereby declares under Rule 32(1) that the biological
   material referred to in Sections 34 and 36 is to be made available only
   by the issue of a sample to an expert**

Figure 70: Biological Material PDF: details for deposit 2
5.8 EP(1001E2K) Documents

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

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


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 PDF format
- Sequence listing in APP or TXT 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)
   - Prior search report
   - Other documents

1. See the list of standard document names required by the EPO in Document codes and file types for EP(1001E2K) (p. 20).
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.

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

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

```xml
<parties>
  <check-list>
    <cl-requests page-count="7" ppl="1" pp="7"/>
  </check-list>
</parties>
```

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.

**XML application-body.xml**

```xml
<application-body lang="en" dtd-version="1.6" country="EP">
  <description doc-type="1001">
    <applicant-file-name>Instant_Water.pdf</applicant-file-name>
    <epo-file-name>SPECEPO-1.pdf</epo-file-name>
  </application-body>
```

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

**Figure 73: Documents XML: references in application-body.xml file**
PDF ep-request.pdf

Figure 74: Documents PDF: claims and figures

[Page 3]

Figure 75: Documents PDF: specification file name, parts of technical documents
5.8.2 Specification - Example 2: request in English, technical documents in multiple PDF files

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

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

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

(1) EPO file name for 1st document attached
(2) Original file name for description
(3) First page of description in attached document
(4) Last page of description in attached document
(5) EPO file name for 2nd document attached
(6) Original file name for claims
(7) Number of claims
(8) 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

```xml
<parties>
  <check-list>
    <c-request>
      <c-description page-count="7" pp="1" pp-url="7"/>
      <c-claims page-count="4" pp="1" pp-url="4" number-of-claims="10"/>
      <c-abstract page-count="2" pp="1" pp-url="2"/>
      <c-drawings page-count="1" pp="1" pp-url="1" fig-count="2"/>
    </c-request>
  </check-list>
</parties>

<figure-to-publish>
  <figure-to-publish>
    <ep-language-of-filing lang-code="en">
      <ep-office-specific-data office="EP" lang="en">
        <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
          <ep-declarations/>
        </ep-designated-states>
        <ep-declarations/>
      </ep-office-specific-data>
      <ep-equipment-documents doc-type="1001"/>
      <ep-equipment-documents doc-type="SPECEPO"/>
      <ep-equipment-documents doc-type="SPECEPO"/>
      <ep-equipment-documents doc-type="SPECEPO"/>
      <ep-equipment-documents doc-type="SPECEPO"/>
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      <ep-equipment-documents doc-type="SPECEPO"/>
      <ep-equipment-documents doc-type="SPECEPO"/>
      <ep-equipment-documents doc-type="SPECEPO"/>
      <ep-equipment-documents doc-type="SPECEPO"/>
      <ep-equipment-documents doc-type="SPECEPO"/>
      <ep-equipment-documents doc-type="SPECEPO"/
```

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

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

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE application-body SYSTEM "application-body-1.6.dtd">
<application-body lang="en" dtd-version="1.6" country="EP">
  <description>
    <doc-page id="DE001" href="1" w="1" type="pdf" file="SPECFEP-1.pdf" pff="1" pp="7" ppf="7"/>
  </description>
  <claims>
    <doc-page id="CLMST1" href="1" w="1" type="pdf" file="SPECFEP-2.pdf" pff="1" pp="4" ppf="4"/>
  </claims>
  <abstract>
    <doc-page id="ABST11" href="1" w="1" type="pdf" file="SPECFEP-3.pdf" pff="1" pp="2" ppf="2"/>
  </abstract>
  <drawings>
    <doc-page id="DRAW1" href="1" w="1" type="pdf" file="SPECFEP-4.pdf" pff="1" pp="1" ppf="1"/>
  </drawings>
</application-body>
```

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

PDF ep-request.pdf

```
<table>
<thead>
<tr>
<th>44-8 Technical documents</th>
<th>Original file name:</th>
<th>System file name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>B-1 Specification</td>
<td>Instant water description.pdf</td>
<td>SPECFEP-1.pdf</td>
</tr>
<tr>
<td>B-2 Specification</td>
<td>Instant water claims.pdf</td>
<td>SPECFEP-2.pdf</td>
</tr>
<tr>
<td>B-4 Specification</td>
<td>Instant water drawing.pdf</td>
<td>SPECFEP-4.pdf</td>
</tr>
</tbody>
</table>
```

Figure 79: Documents PDF: technical documents listed in form
5.8.3 Specification - Example 3: request in English, technical documents in XML format

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

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

![Figure 80: Documents GUI: specification attached in XML format](image-url)
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

```
<description>
  <claims number-of-claims="13"/>
</description>
<drawings fig-count="3"/>
```

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

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE application-body SYSTEM "application-body.dtd-1.dtd">
<application-body country="EP" dtd-version="5.0" Version="4.0" file="patxmlJ97.xml" id="pixelpat100" lang="en" status ="IN">
  <description id="desc">
    <claim id="claim">
      <claim id="c01" num="001">
        <claim id="c02" num="002">
          <claim id="c03" num="003">
            <claim id="c04" num="004">
              <claim id="c05" num="005">
                <claim id="c06" num="006">
                  <claim id="c07" num="007">
                    <claim id="c08" num="008">
                      <claim id="c09" num="009">
                        <claim id="c10" num="010">
                          <claim id="c11" num="011">
                            <claim id="c12" num="012">
                              <claim id="c13" num="013">
                                </claim>
                          </claim>
                        </claim>
                      </claim>
                    </claim>
                  </claim>
                </claim>
              </claim>
            </claim>
          </claim>
        </claim>
      </claim>
    </claim>
  </description>
  <abstract id="abstract">
    <drawings id="draw">
      <figure id="fig1" num="001">
        <img id="img1" wid="1024" hei="768" img-content="drawing" img-format="tif" orientation="portrait" file="img0001.tif"/>
      </figure>
      <figure id="fig2" num="002">
        <img id="img2" wid="1280" hei="853" img-content="drawing" img-format="tif" orientation="portrait" file="img0002.tif"/>
      </figure>
      <figure id="fig3" num="003">
        <img id="img3" wid="1311" hei="711" img-content="drawing" img-format="tif" orientation="portrait" file="img0003.tif"/>
      </figure>
    </drawings>
  </abstract>
</application-body>
```

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

PDF ep-request.pdf

```
<table>
<thead>
<tr>
<th>44-B Technical documents</th>
<th>Original file name</th>
<th>System file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>B-1 Application body</td>
<td>instant_water.xml</td>
<td>application-body.xml</td>
</tr>
<tr>
<td></td>
<td>13 claims3 figure(s); Figure to be published with abstract1</td>
<td></td>
</tr>
</tbody>
</table>
```

Figure 83: Document PDF: technical documents listed in form
5.8.4 Specification - Example 4: request in admissible non-official EPO language

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

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

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

(1) EPO file name for specification in non-EPO language
(2) Original file name for technical documents
(3) Number of claims in original document
(4) 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
Figure 86: Documents XML: data and file references in ep-request.xml file
XML application-body.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!--DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
<application-body lang="en" dtd-version="1.6" country="EP">
<description>
<doc-page id="DESC1" href="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" pp="1" ppr="1" page="1"/>
</description>
<claims>
<doc-page id="CLMS1" href="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" pp="1" ppr="1" page="1"/>
</claims>
<abstract>
<doc-page id="ABST1" href="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" pp="1" ppr="1" page="1"/>
</abstract>
<drawings>
<doc-page id="DRAW1" href="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" pp="1" ppr="1" page="1"/>
</drawings>
</application-body>
```

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

PDF ep-request.pdf

<table>
<thead>
<tr>
<th>Documents techniques</th>
<th>Nom du fichier original</th>
<th>Fichier électronique</th>
</tr>
</thead>
<tbody>
<tr>
<td>B-1 Documents dans la langue non-officielle autorisée</td>
<td>Acqua instantanea.pdf</td>
<td>SPECNONEPO.pdf</td>
</tr>
<tr>
<td>B-2 Dessins / Traduction du texte des dessins</td>
<td>Acqua instantanea disegno.pdf</td>
<td>DRAWNONEPO.pdf</td>
</tr>
<tr>
<td>B-3 Listes de séquences, PDF</td>
<td>Instant water sequence listings.pdf</td>
<td>SQLPDF.pdf</td>
</tr>
<tr>
<td>B-4 Listes de séquences, ASCII</td>
<td>sequence listings.app</td>
<td>SQLTXT.app</td>
</tr>
<tr>
<td>B-5 Traduction des documents techniques</td>
<td>Eau instantanée.pdf</td>
<td>SPECTRANEPO-1.pdf</td>
</tr>
<tr>
<td>B-6 Traduction des documents techniques</td>
<td>Eau instantanée dessin.pdf</td>
<td>SPECTRANEPO-2.pdf</td>
</tr>
</tbody>
</table>

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

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

The sequence listings have been attached in both PDF and APP (text file) format.

![Figure 89: Documents GUI: sequence listings have been attached](image)

Element list

1. The description contains a sequence listing in accordance with Rule 30(1)
2. EPO file name for sequence listing in PDF
3. Original file name of sequence listing in PDF format
4. The sequence listing data in computer-readable form is attached
5. EPO file name for sequence listing in APP format
6. Original file name of computer-readable sequence listing (TXT, APP or ZIP format)
7. The sequence listing data in computer-readable form [...] is identical to the sequence listing in PDF format.
XML ep-request.xml

```
<check-list>
  <check-request/>
  <cl-description page-count="7" pp=1" pp=1"/>
  <cl-abstract page-count="1" pp=0" pp=0"/>
  <cl-drawings page-count="2" pp=5" pp=10" fig-count="5"/>
  <cl-sequence-listing quantity="1" page-count="4"/>
</check-list>
```

Figure 90: Documents XML: files with sequence listings referenced in ep-request.xml file

PDF ep-request.pdf

- Nucleotide and amino acid sequences

```
The description contains a sequence listing in accordance with Rule 38(1)
```

- It is hereby stated that the information recorded on the attached sequence listing file is identical to the written sequence listing

Figure 91: Documents PDF: sequence listings are indicated

[...]

Figure 92: Documents PDF: sequence listing files listed under technical documents
5.8.6 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 93: Documents GUI: additional documents attached](image)

Element list

(1) EPO file name for general authorisation 1
(2) Document type: general authorisation
(3) Original file name for general authorisation 1
(4) EPO file name for specific authorisation 1
(5) Document type: specific authorisation
(6) Original file name for specific authorisation 1
(7) EPO file name for translation of priority documents 1
(8) Document type: translation of priority documents
(9) Original file name for translation of priority documents 1
(10) EPO file name for grounds for re-establishment of rights
(11) Document type: grounds for re-establishment of rights
(12) Original file name for grounds for re-establishment of rights
(13) EPO file name for US certified priority document 1
(14) Document type: US certified priority document
(15) Original file name for US certified priority document 1
(16) EPO file name for prior search report 1
(17) Document type: prior search report
(18) Original file name for prior search report 1
(19) EPO file name for other document 1
(20) Document type: change of representative
(21) Original file name for other document 1
XML ep-request.xml

```xml
<abstract page-count="1" pdf="5" ps="3" />
<drawings page-count="2" pdf="9" ps="10" fig-count="5" />
<other-document>General authentication</other-document>
<other-document>Specific Authorizations</other-document>
<other-document>Translation of priority documents</other-document>
<other-document>Grounds for Re-establishment of Registration</other-document>
<other-document>US priority document in electronic format</other-document>
<other-document>Prior search report</other-document>
<other-document>Change of representative</other-document>
<check-list>
  <figure-to-publish>
    <ep-designated states="US" communication-and-processing-of-non-designated-states="no"></ep-declarations>
    <ep-electronic-files doc-type="1001">
      <ep-electronic-files doc-type="SPECERPO">
        <ep-electronic-files doc-type="1003">
          <ep-electronic-files doc-type="PRIOTRAN">
            <ep-electronic-files doc-type="REEGROUNDS">
              <ep-electronic-files doc-type="USCERTPRIO">
                <ep-electronic-files doc-type="SRCH">
                  <ep-electronic-files doc-type="OTHERPDF">
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                                                                                                                                                                                                                     <ep-electronic-files doc-type="other-file-name">
                                                                                                                                                                                                                     <ep-electronic-files doc-type="other-file-name">
                                                                                                                                                    <ep-office-specific-data>
                                                                                         </ep-office-specific-data>
                      </ep-request>
```
### PDF ep-request.pdf

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>C2</td>
<td>Specific authorisation</td>
<td>Authorization Nano.pdf</td>
<td>SPECAUTH-1.pdf</td>
</tr>
<tr>
<td>C3</td>
<td>Prior search report</td>
<td>Search report.pdf</td>
<td>SRCH-1.pdf</td>
</tr>
<tr>
<td>C4</td>
<td>Translation of priority documents</td>
<td>Translation priority.pdf</td>
<td>PRIOTRAN-1.pdf</td>
</tr>
<tr>
<td>C6</td>
<td>Grounds for re-establishment of right</td>
<td>Grounds reestablishment.pdf</td>
<td>REESGROUNDS.pdf</td>
</tr>
<tr>
<td>C7</td>
<td>Change of representative</td>
<td>Change of representative.pdf</td>
<td>OTHER-1.pdf</td>
</tr>
</tbody>
</table>

**Figure 95:** 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.

You can retrieve the current fee schedule under Tools > Fee Management in the Online Filing File Manager or under Schedule of Fees on the EPO's Online Services website (http://www.epoline.org) (login with password or smart card).

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.

![Fee Payment GUI: payment details](image-url)
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    <mode-of-payment accno="20123456" mode-type="debit" currency="EUR">Sakatani Manzoni</mode-of-payment>
72    <reimbursement accno="20123456">Luigi Manzoni</reimbursement>
73    <adocopies>3</adocopies>
74    <refunds>
75        <refund>20100401</refund>
76    </refunds>
77    </ep-office-specific-data>
78</ep-request>
```

Figure 97: Fee Payment XML: payment details in ep-request.xml file
### PDF ep-request.pdf

<table>
<thead>
<tr>
<th><strong>Further indications</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>39  Additional copies of the documents cited in the European search report are requested</td>
</tr>
<tr>
<td>Number of additional sets of copies</td>
</tr>
<tr>
<td>40  Refund of the search fee under to Article 9 of the Rules relating to fees is requested</td>
</tr>
<tr>
<td>Application or publication number of earlier search report</td>
</tr>
<tr>
<td>41  A copy of the search report is attached</td>
</tr>
<tr>
<td>42  Payment</td>
</tr>
<tr>
<td>Mode of payment</td>
</tr>
<tr>
<td>The European Patent Office is hereby authorised, to debit from the deposit account with the EPO any fees and costs indicated on the fees section below</td>
</tr>
<tr>
<td>Currency</td>
</tr>
<tr>
<td>Deposit account number</td>
</tr>
<tr>
<td>43  Refunds</td>
</tr>
<tr>
<td>Account holder</td>
</tr>
<tr>
<td>Any refunds should be made to EPO deposit account</td>
</tr>
<tr>
<td>Account holder</td>
</tr>
</tbody>
</table>

*Figure 98: Fee Payment PDF: payment details in form*
5.9.2 Fee selection

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

![Fee Payment GUI: selected fees only displayed](image)

**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 (see "Unlocking fee amounts vs. automatic correction by the EPO" p. 98)

9. Total sum of fees in EUR
The current fee tables can be downloaded from the EPO's Online Services website (http://www.epoline.org) under Schedule of Fees (login with username or smart card).

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.
<table>
<thead>
<tr>
<th>Fees</th>
<th>Factor applied</th>
<th>Fee schedule</th>
<th>Amount to be paid</th>
</tr>
</thead>
<tbody>
<tr>
<td>001 Filing fee - EP direct - online</td>
<td>1</td>
<td>105.00</td>
<td>105.00</td>
</tr>
<tr>
<td>002 Fee for a European search - Applications filed on/after 01.07.2005</td>
<td>1</td>
<td>105.00</td>
<td>1 105.00</td>
</tr>
<tr>
<td>005a Designation fee - For all contracting States designated for applications filed on/after 01.04.2009</td>
<td>1</td>
<td>525.00</td>
<td>525.00</td>
</tr>
<tr>
<td>056 Additional copy</td>
<td>3</td>
<td>35.00</td>
<td>105.00</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td><strong>EUR 1 840.00</strong></td>
<td></td>
</tr>
</tbody>
</table>

*Figure 101: 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

   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 102: 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.

5.9.4 Unlocking fee amounts vs. automatic correction by the EPO

With the EPO fee reform if 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

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

*Figure 104: Annotations GUI: note to EPO entered*
Element list

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

XML ep-request.xml

```xml
<ep-office-specific-data>
  <notes-to-EPO>
    <note id="nota1" page="Annotate">
      <author>Salvatore Manzioni</author>
      <subject>Account information</subject>
      <date>27/0000</date>
      <text>
        Payment details may be modified at a later date, since we are going shift the account with the EPO to my successor, Luigi Manzioni.
      </text>
    </note>
    <note id="nota2" page="Annotate">
      <author>Luigi Manzioni</author>
      <subject>General Authorisation</subject>
      <date>27/0000</date>
      <text>
        My father, Salvatore Manzioni, is going to issue a general authorisation for me in order to represent him in all respects. The document will be filed later.
      </text>
    </note>
  </notes-to-EPO>
</ep-office-specific-data>
```

Figure 105: Annotations XML: note to EPO

PDF ep-request.pdf

---

**Annotations**

1. Note (for EPO)
   - Title (Author): Account information (Salvatore Manzioni)

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

2. Note (for EPO)
   - General Authorisation (Luigi Manzioni)

   My father, Salvatore Manzioni, is going to issue a general authorisation for me in order to represent him in all respects. The document will be filed later.

---

Figure 106: Annotations PDF: note to EPO in form
6  Form Euro-PCT(1200E2K) - Entry into the European phase (EPC 2000)

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

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

<table>
<thead>
<tr>
<th>File name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader.dtd</td>
<td>Indicates selected procedure and other data for transmission to receiving office.</td>
</tr>
<tr>
<td>package-data.xml</td>
<td>package-data.dtd</td>
<td>References attached documents, except those already referenced in application-body.xml file.</td>
</tr>
<tr>
<td>application-body.xml</td>
<td>application-body-v1-6.dtd</td>
<td>References attached documents as part of patent specification (amendments or translations of technical documents).</td>
</tr>
<tr>
<td>ep-euro-pct.xml</td>
<td>ep-euro-pct-v1-04.dtd</td>
<td>Application data as entered in Form Euro-PCT(1200E2K), references other attached documents.</td>
</tr>
</tbody>
</table>

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

The XML structure of the pkgheader.xml, package-data.xml and application-body.xml files is the same as for EP(1001E2K) applications - see General information on the package - pkgheader.xml (p. 14) and References from XML files to other files (p. 15).

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.

**Note:** Since version 5.0, the OLF system no longer distinguishes between single and combined PDF files for description, claims, abstract and drawings but instead uses only AMSPECEPO (SPECTRANEPO for translations from a non-EPO language) for the document type and AMSPECEPO-n.pdf (SPECTRANEPO-n.pdf) for the EPO file names. However, XML files with former `doc-type` attributes and `<epo-file-name>` elements like AMDESC and AMDESC.pdf can still be imported, but these will be transformed into AMSPECEPO and AMSPECEPO-n.pdf, respectively.

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Request</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>APPBODYXML</td>
<td>application-body.xml</td>
<td>Application body, see Structure of XML files for Euro-PCT(1200E2K) (p. 101)</td>
</tr>
<tr>
<td>EP1200XML</td>
<td>ep-euro-pct.xml</td>
<td>Application data, see Structure of XML files for Euro-PCT(1200E2K) (p. 101)</td>
</tr>
<tr>
<td><strong>Amendments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AMSPECEPO</td>
<td>AMSPECEPO-1.pdf</td>
<td>Amended specification (contains at least description and abstract)</td>
</tr>
<tr>
<td><strong>Translations</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SPECTRANEPO</td>
<td>SPECTRANEPO-1.pdf</td>
<td>Translation of international application (contains at least description and abstract)</td>
</tr>
<tr>
<td>AMCLMSTRAN</td>
<td>AMCLMSTRAN.pdf</td>
<td>Translation of amended claims (only applicable when EPO as designated office is selected)</td>
</tr>
<tr>
<td>IPERTRAN</td>
<td>IPERTRAN.pdf</td>
<td>Translation of the annex(es) to the international preliminary examination report</td>
</tr>
<tr>
<td>PRIOTRANAPP</td>
<td>PRIOTRANAPP-1.pdf</td>
<td>Translation of the priority application(s)</td>
</tr>
<tr>
<td><strong>Optional additional files for technical documents</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OLF-ARCHIVE</td>
<td>OLF-ARCHIVE.zip</td>
<td>Pre-conversion archive (contains original technical documents in any language, before conversion to PDF, e.g. in DOC format)</td>
</tr>
<tr>
<td><strong>Documents concerning biological material, sequence listings</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SEQL</td>
<td>SEQLPDF.pdf</td>
<td>Sequence listing in accordance with Rule 30(1)</td>
</tr>
<tr>
<td>SEQLTXT</td>
<td>SEQLTXT.app</td>
<td>Nucleotide and amino acid sequence listing</td>
</tr>
<tr>
<td>SEQLTXT</td>
<td>SEQLTXT.txt</td>
<td>Sequence listing in TXT format (ASCII text)</td>
</tr>
<tr>
<td>BIOMRECEIPT</td>
<td>BIOM-RECEIPT-1.pdf</td>
<td>Receipt(s) of deposit issued by depositary institution</td>
</tr>
<tr>
<td>BIOMWAIV</td>
<td>BIOM-WAIV-1.pdf</td>
<td>Waiver of right to an undertaking from requestor pursuant to Rule 33(2)</td>
</tr>
<tr>
<td>Document code</td>
<td>EPO file name</td>
<td>Description</td>
</tr>
<tr>
<td>---------------</td>
<td>-----------------------</td>
<td>------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Additional documents</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1003</td>
<td>SPECAUTH-1.pdf</td>
<td>Specific authorisation</td>
</tr>
<tr>
<td>1004</td>
<td>GENAUTH-1.pdf</td>
<td>General authorisation</td>
</tr>
<tr>
<td>REPWOIPER</td>
<td>REPLYWO-1.pdf</td>
<td>Reply to written opinion on IPER (EPO as elected office is selected)</td>
</tr>
<tr>
<td>REPWOISA</td>
<td>REPLYWO-1.pdf</td>
<td>Reply to written opinion on ISA (EPO as designated office is selected)</td>
</tr>
<tr>
<td>USCERTPRIO</td>
<td>USCERTPRIO-1.pdf</td>
<td>US certified priority document (must be digitally signed)</td>
</tr>
<tr>
<td>OTHERPDF</td>
<td>OTHER-1.pdf</td>
<td>Other document in PDF format</td>
</tr>
<tr>
<td>Internal documents generated by Online Filing (not to be imported)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1200P</td>
<td>epf1200.pdf</td>
<td>Application in PDF format</td>
</tr>
</tbody>
</table>

The following files are no longer produced by the OLF system since version 5.00, but they can still be imported and will be transformed to **AMSPECEPO / SPECTRANEPO** and **SPECEPO-n.pdf / SPECTRANEPO-n.pdf**, respectively.

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AMSPECEPO</td>
<td>AMSPCEPEPO.pdf</td>
<td>Amended specification (contains at least description and abstract)</td>
</tr>
<tr>
<td>AMDESC</td>
<td>AMDESC.pdf</td>
<td>Amended description</td>
</tr>
<tr>
<td>AMCLMS</td>
<td>AMCLMS.pdf</td>
<td>Amended claims</td>
</tr>
<tr>
<td>AMABST</td>
<td>AMABST.pdf</td>
<td>Amended abstract</td>
</tr>
<tr>
<td>AMDRAW</td>
<td>AMDRAW.pdf</td>
<td>Amended drawings</td>
</tr>
<tr>
<td>DESCTRAN</td>
<td>DESCTRAN.pdf</td>
<td>Translation of description as originally filed</td>
</tr>
<tr>
<td>CLMSTRAN</td>
<td>CLMSTRAN.pdf</td>
<td>Translation of claims as originally filed</td>
</tr>
<tr>
<td>ABSTTRAN</td>
<td>ABSTTRAN.pdf</td>
<td>Translation of abstract as published</td>
</tr>
<tr>
<td>DRAWTRAN</td>
<td>DRAWTRAN.pdf</td>
<td>Translation of any text in drawings as originally filed</td>
</tr>
</tbody>
</table>

① 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**

![EP Phase GUI: EPO as designated office](image_url)

*Figure 107: 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

Note: this data is represented by the lang-code attribute of the ep-language-of-filing element, the latter indicating the selected procedural language.

(5) PCT application number
(6) PCT publication number
(7) EP application number
(8) International filing date (refers to PCT application number)
(9) Search authority (ISA)
(10) IPEA is EPO is inferred; can only be modified if EPO as elected office is selected
XML ep-euro-pct.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE ep-euro-pct SYSTEM "ep-euro-pct-04.dtd">
<ep-euro-pct lang="en" dtd-version="1.0" ns="EP" produced-by="applicant" data-produced="20100827 19 57 12"
    regional-phase-office="designated" amendments-enclosed="no">
  <!--software_name eCOLP-->
  <!--software_version FMFMS-eP52S8, EP120k5008, FM_FOP0025-->
  <!--stylesheet_version 1.1-->
  <!--xmlversion Version 0.20.5-->
  <file-reference-id>1200_designated</file-reference-id>
  <request-petition entry-into-the-european-phase-as-designated-or-elected-office-is-hereby-requested/>
  <parties/>
  <priority-claims/>
    <country>IB</country>
    <doc-number>PCT/US2009/123456</doc-number>
    <country>EP</country>
    <country>IB</country>
    <doc-number>WO2009123456</doc-number>
    <country>EP</country>
    <country>IB</country>
    <doc-number>PCT/US2009/123456</doc-number>
    <country>EP</country>
    <country>IB</country>
    <doc-number>PCT/US2009/123456</doc-number>
  <search-authority/>
    <country>EP</country>
    <search-authority/>
    <check-list-total-page-count="1"/>
    <ep-office-specific-data-office="EP" language="en">
      <ep-designated-states wants-communication-and-processing-of-non-designated-states="no">
        <translation-info lang="en">
          <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
            <fee date="20100601">
              <standard-fee/>
              <fee-cancel-info/>
              <search-region region="EP"/>
              <fee-cancel-info/>
              <fee-total-amount>2695</fee-total-amount>
            </fee>
          </ep-financial-data>
        </translation-info>
      </ep-designated-states>
    </ep-office-specific-data-office>
  </search-authority>
</request-petition>
</ep-euro-pct>
```

Figure 108: EP Phase XML: general data and priority claims
PDF epf1200.pdf

Figure 109: EP Phase PDF: general data and priorities

1. Applicant

European application number: EP09001231.7
PCT application number: PCT/US2009/123456
PCT publication number: WO2009/123456
Applicant’s or representative’s reference: 1200 designated
International Filing Date: 05.10.2009
International Search Authority (ISA): EP
International Preliminary Examination Authority (IPEA): not applicable

Figure 110: EP Phase PDF: request for examination

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.

The applicant waives his right to be asked under Rule 70(2) EPC whether he wishes to proceed further with the application.
6.3.2 EP Phase - Example 2: Request for examination in admissible non-EPO language

GUI EP(1200E2K) EP Phase

![Diagram of EP Phase GUI showing request for examination in Spanish]

Figure 111: 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
8. International Search Authority (ISA)
9. International Preliminary Examination Authority (IPEA)
### XML ep-euro-pct.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE ep-euro-pct SYSTEM "ep-euro-pct-v3-04.dtd">
<ep-euro-pct lang="en" xsl:version="1.0" name="EP" producer-by="applicant" data-produce="20100622 20:38:30" regional-phase-office="elect" amendments-enclosed="no">
  <software_name>0</software_name>
  <software_version>FMMNSIS28, EP122k5006, FM_FOP2020</software_version>
  <xsl:stylesheet xsl:version="1.0"></xsl:stylesheet>
  <ep_version>Version 0.20.5</ep_version>
  <file-reference-id>1200_elected</file-reference-id>
  <request-patt-id>Entry into the European phase (EPO as designated or elected Office) is hereby requested</request-patt-id>
  <parties>
    <priority-claims/>
  </parties>
  <search-authority/>
  <isa>
    <country>ES</country>
  </isa>
  <check-list total-page-count="1">
    <ep-language-of-filing lang-code="es">en</ep-language-of-filing>
    <ep-office-specific-data office="EP" lang-code="en">
      <ep-request-for-exam-art34 lang-code="es"/>
      <ep-designated-states waives-communication-and-processing-of-non-designated-states="no">
        <ep-declarations/>
      </ep-designated-states>
    </ep-office-specific-data>
  </check-list>
  <translation-info/>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    <fees date="20100401">
      <standard-fees/>
      <fee-calc-info/>
      <fiea ppc="other"/>
      <fee-calc-info/>
      <fee-total-amount>2399</fee-total-amount>
      <fees/>
      <ep-financial-data/>
      <ep-electronic-files doc-type="1001"/>
    </fees>
  </ep-financial-data>
</ep-euro-pct>
```

**Figure 112: EP Phase XML: general data, request in Spanish**
### Figure 113: EP Phase PDF: general data

<table>
<thead>
<tr>
<th>European application number</th>
<th>EP/09018765.2</th>
</tr>
</thead>
<tbody>
<tr>
<td>PCT application number</td>
<td>PCT/ES2009/087654</td>
</tr>
<tr>
<td>PCT publication number</td>
<td>WO2009067054</td>
</tr>
<tr>
<td>Applicant's or representative's reference</td>
<td>1200. elected</td>
</tr>
<tr>
<td>International Filing Date</td>
<td>04.12.2009</td>
</tr>
<tr>
<td>International Search Authority (ISA)</td>
<td>ES</td>
</tr>
<tr>
<td>International Preliminary Examination Authority (IPEA)</td>
<td>Other</td>
</tr>
</tbody>
</table>

1. **Applicant**

#### 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 114: 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. 43) in the Names section for Form EP(1001E2K).

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

6.4.1 Names - Example 1: One applicant, one representative with authorisation

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

Figure 115: Names GUI: details of representative 1
GUI Euro-PCT(1200E2K) Names tab, representative 1, authorisation sub-tab

Figure 116: Names GUI: authorisation for representative 1

Element list

1. Applicants
2. Representatives (agents)
3. Representative 1
4. Name
5. Department
6. EP registration number
7. EP association number (if applicable)
8. Country
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

```xml
<party>
  <applicant sequence="1" designation="as-indicated" app-type="applicant">
    <agents>
      <agent sequence="1" rep-type="common-representative" ep-authorization="registered">
        <general_authorization_number>911445</general_authorization_number>
        <registered_number>683322588</registered_number>
      </agent>
    </agents>
  </applicant>
</party>

Figure 117: Names XML: data for representative 1 (agent)

PDF epf1200.pdf

<table>
<thead>
<tr>
<th>2. Representative</th>
<th>Registration No. 603322588</th>
<th>Name</th>
<th>IP Partners</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Department: Patents and Trademarks</td>
<td>Address of place of business: 10 High Street</td>
<td>Location: London, Greater London, W1A 2BC</td>
</tr>
<tr>
<td></td>
<td>Telephone: +44 20 7880-0</td>
<td>Fax: +44 20 7880-125</td>
<td>e-mail: <a href="mailto:info@ip-partners.co.uk">info@ip-partners.co.uk</a></td>
</tr>
</tbody>
</table>

3. Authorisation

An individual authorisation is attached.

A general authorisation has been registered under No: 911445

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 118: Names PDF: representative and authorisation
6.4.2 Names - Example 2: Applicant is represented by employee

In this example, an employee is acting as a representative on behalf of the applicant. No other representative can be added. The address for correspondence is the applicant's address. 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

![Names GUI: applicant and employee data](image)

Figure 119: Names GUI: applicant and employee data
Element list

(1) Applicants
(2) Applicant 1 - legal person
(3) Name
(4) Department
(5) Registration number
(6) Country
(7) Street
(8) Postal code
(9) City
(10) State (not applicable for France)
(11) Telephone
(12) Fax
(13) E-mail
(14) Country of residence
(15) Address for correspondence selected
(16) Applicant 1 - employee
(17) Last name of employee
(18) First name of employee
(19) Title of employee
(20) General authorisation of employee
XML ep-euro-pct.xml

10  <parties>
11   <applicants>
12     <applicant sequence="1" designation="as-indicated" app-type="applicant">
13       <addressbook lang="en">
14         <name name-type="legal">Tachinvent SA</name>
15         <registered-number>445577335</registered-number>
16         <address>
17           <address-2>Technique solaire</address-2>
18           <street>34, place de la République</street>
19           <city>Lyon</city>
20           <state></state>
21           <postcode>69008</postcode>
22           <country>FR</country>
23         </address>
24         <phone>+33 4 2888 10</phone>
25         <fax>+33 4 2880 97</fax>
26         <email>info@techinvent.fr</email>
27         <nationality>
28         </nationality>
29         <residence>
30         </residence>
31     </applicant>
32     <applicant sequence="1" app-type="employee" designation="as-indicated">
33       <addressbook lang="en">
34         <prefix>M</prefix>
35         <first-name>Monique</first-name>
36         <address>
37         </address>
38         <country/>
39         <address/>
40         <nationality>
41         </nationality>
42     </applicant>
43   </applicants>
44 </parties>

Figure 120: Names XML: data for applicant and employee
<table>
<thead>
<tr>
<th>Field</th>
<th>Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Applicant</td>
<td>Indications concerning the applicant(s) are contained in the international publication or were recorded by the International Bureau after the international publication. Changes which have not yet been recorded by the International Bureau are set out here.</td>
</tr>
</tbody>
</table>
| 2. Applicant 1 | Name: TechInvent SA  
Registration No: 445577689  
Department: Technique solaire  
Address: 34, place de la république  
City: Lyon  
Country: France  
Telephone: +33 4 2568 10  
Fax: +33 4 2568 97  
e-mail: info@techinvent.fr  |
| 16. Employee | Name: Vallonier, Ms Monique  
Authorisation: Q8-Vall-3456 |

Figure 121: Names PDF: applicant and employee
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.

- 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. 52) for further details.

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

Figure 122: States GUI: all contracting states designated
Element list

(1) All states are designated
(2) Country list corresponding to the international filing date

**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

XML ep-euro-pct.xml

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

![States XML: designated states and extension states](image)

**Figure 123: States XML: designated states and extension states**
<table>
<thead>
<tr>
<th>10. Designation fees</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>All the contracting states party to the EPC at the time of filing of the international patent application and designated in the international application are deemed to be designated (see Article 76(1) EPC).</td>
<td></td>
</tr>
<tr>
<td>AT BE BG CH HU CY CZ DE DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC MK MT NL NO PL PT RO SE SI SK SM TR</td>
<td></td>
</tr>
<tr>
<td>10.1 It is currently intended to pay fewer than seven designation fees, for the following contracting states:</td>
<td></td>
</tr>
<tr>
<td>10.2 If contracting states are indicated in Section 10.1, it is agreed that for the contracting states not thus indicated no communication under Rule 112(1) EPC be issued and further processing be excluded.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>11. Extension of the European patent</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td>This application is deemed to be a request to extend the European patent application and the European patent granted in respect of it to all the non-contracting states to the EPC designated in the international application and with which extension agreements are in force on the date on which the international application is filed. However, the extension only takes effect if the prescribed extension fee is paid.</td>
<td></td>
</tr>
<tr>
<td>It is currently intended to pay the extension fee for the following states:</td>
<td></td>
</tr>
<tr>
<td>Note 5: under the automatic debiting procedure, extension fees will only be debited for states indicated here, unless the EPO is instructed otherwise before expiry of the period for payment.</td>
<td></td>
</tr>
</tbody>
</table>

Figure 124: States PDF: designation fees and extension states
6.6   Euro-PCT(1200E2K) Biological Material

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

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

Figure 125: Biological Material GUI: Deposit details

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

Figure 126: Biological Material GUI: Further details
Element list

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

XML ep-euro-pct.xml

Figure 127: Biological Material XML: deposit details and documents
PDF epf1200.pdf

8. Biological material

Deposit 1

1 The invention uses and/or relates to biological material deposited under Rule 31 EPC.

2 The particulars referred to in Rule 31(1)(c) EPC (if not yet known, the depositary 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):

3 The receipt(s) of deposit issued by the depositary institution is (are) enclosed.

4 Will be filed later.

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

Figure 128: Biological Material PDF: details for deposit 1

[...]

12. List of enclosed documents

<table>
<thead>
<tr>
<th>Description of document</th>
<th>Original file name</th>
<th>Assigned file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 A copy of the receipt(s) of deposit issued by the depositary institution:</td>
<td>bic_receipt.pdf</td>
<td>BIOM-RECEIPT-1.pdf</td>
</tr>
<tr>
<td>14 bic_receipt.pdf</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 A waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC is attached</td>
<td>bic_waiver.pdf</td>
<td>BIOM-WAYV-1.pdf</td>
</tr>
<tr>
<td>16 bic_waiver.pdf</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 129: 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
- Translation of amended claims
- Translation of priority applications
- Translation of annexes to the international preliminary examination report
- Pre-conversion archive (ZIP)

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

- Sequence listing in PDF format
- Sequence listing in APP or TXT format

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

- Authorisation
- Specific authorisation
- US certified priority document (digitally signed)
- Reply to written opinion
- 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. 102).

All attached documents must be Annex F compliant. For more information about preparing documents for attachment and patent specifications in XML format, see the Online Filing User Guide, which is available from the Download Centre of the EPO Online Services website (http://www.epoline.org).
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

![Documents GUI: general settings in Proceedings sub-tab](image)

*Figure 130: 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

```
<xmlversion="1.0" encoding="UTF-8">  
<DOCTYPE ep-euro-pct SYSTEM "ep-euro-pct-1.04.dtd">  
<ep-euro-pct lang="en" xml:version="1.0" root="EP" produced-by="applicant" date-produced="20100525 16:02:10">  
<!--software_name e01L-->  
<!--software_version FM/MNO/P2027, EP120K2027, FM2/EP2029-->  
<!--stylesheet_version 3.0-->  
<!--for_version Version 0.20.0-->  
<!--file-reference-id 1234_elected file-reference-id-->  
<request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby requested</request-petition>  
<party>  
<priority-claims>  
<search-authority>  
<check-list total-page-count="1">  
<ep-language-of-filing lang-code="en">en</ep-language-of-filing>  
<ep-office-specific-date office="EP" lang="en">  
<request-for-exam-art04 lang="es">  
<designated-european-office communication-and-processing-of-non-designated-states="no">  
<ep-declarations>  
<translation-info>  
<ep-financial-data currency="EUR" fee-amounts-unlocked-by-user="no">  
<thead date="20100401">  
<standard-fee>  
<fee-info>  
<search-region region="EPY">  
<ep-euro-pct>  
</xml>  
```

Figure 131: Documents XML: options for proceedings
### Documents intended for proceedings before the EPO

Number of claims on entry into the European phase:

6.1 **Proceedings before the EPO as designated Office (PCT I)** are to be based on the following documents:
- the application documents published by the International Bureau (with all claims, description and drawings), where applicable with amended claims under Art. 19 PCT
- unless replaced by the amendments attached.

Where necessary, clarifications should be attached as "Other documents".

6.2 **Proceedings before the EPO as elected Office (PCT II)** are to be based on the following documents:
- the documents on which the international preliminary examination report is based, including any annexes
- unless replaced by the amendments attached.

Where necessary, clarifications should be attached as "Other documents".

If the EPO as International Preliminary Examining Authority has been supplied with test reports, these may be used as the basis of proceedings before the EPO.

### Translations

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

1. **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**

2. **Translation of the priority application(s) (to be filed only at the EPO’s request, Rule 53(3) EPC)**

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

4. **In addition, in proceedings before the EPO as designated Office (PCT I):**
- Translation of amended claims and any statement under Art. 19 PCT, if the claims as amended are to form the basis for the proceedings before the EPO (see Section 8).

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

---

**Figure 132: 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 133: Documents GUI: amendments attached
<table>
<thead>
<tr>
<th>Element list</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) EPO file name for amended claims</td>
<td></td>
</tr>
<tr>
<td>(2) Original file name of amended claims</td>
<td></td>
</tr>
<tr>
<td>(3) Amended claims in separate file</td>
<td></td>
</tr>
<tr>
<td>(4) First page of amended claims</td>
<td></td>
</tr>
<tr>
<td>(5) Last page of amended claims</td>
<td></td>
</tr>
<tr>
<td>(6) EPO file name for other amendments in combined file</td>
<td></td>
</tr>
<tr>
<td>(7) Original file name of other amendments in combined file</td>
<td></td>
</tr>
<tr>
<td>(8) Amended description in combined file</td>
<td></td>
</tr>
<tr>
<td>(9) First page of amended description in combined file</td>
<td></td>
</tr>
<tr>
<td>(10) Last page of amended description in combined file</td>
<td></td>
</tr>
<tr>
<td>(11) Amended abstract in combined file</td>
<td></td>
</tr>
<tr>
<td>(12) First page of amended abstract in combined file</td>
<td></td>
</tr>
<tr>
<td>(13) Last page of amended abstract in combined file</td>
<td></td>
</tr>
<tr>
<td>(14) Amended drawings in combined file</td>
<td></td>
</tr>
<tr>
<td>(15) First page of amended drawings in combined file</td>
<td></td>
</tr>
<tr>
<td>(16) Last page of amended drawings in combined file</td>
<td></td>
</tr>
<tr>
<td>(17) EPO file name for amended drawings</td>
<td></td>
</tr>
<tr>
<td>(18) Original file name of amended drawings</td>
<td></td>
</tr>
<tr>
<td>(19) Amended drawings in separate file</td>
<td></td>
</tr>
<tr>
<td>(20) First page of amended drawings in separate file</td>
<td></td>
</tr>
<tr>
<td>(21) Last page of amended drawings in separate file</td>
<td></td>
</tr>
<tr>
<td>(22) Translation of priority application</td>
<td></td>
</tr>
<tr>
<td>(23) EPO file name for translation of priority application</td>
<td></td>
</tr>
<tr>
<td>(24) Original file name of translation of priority application</td>
<td></td>
</tr>
</tbody>
</table>
### XML ep-euro-pct.xml

```xml
57    <priority-claims/>
74    <search-authority/>
79    <check-list total-page-count="1"/>
80    <cl-request/>
81    <cl-claims number-of-claim="12" 6
82    <cl-abstract page-count="1" psp="8" pp="6" AMSPECEPO-2.pdf cl-abstract>
83    <check-list>
84    <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
85    <ep-office-specific-data office="EP" lang="en">  
86    <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
135   <ep-biological-material id="101" num="CNCOM" dname="08-Inst3412">  
151   <translation-info>
152    <cn-inter-app>0<cn-inter-app>
153    <fr-inter-app>1<fr-inter-app>
154    <br-inter-app>0<br-inter-app>
155    <en-inter-app>0<en-inter-app>
156    <de-inter-app>0<de-inter-app>
157    <it-inter-app>0<it-inter-app>
158    <translation-info>
159    <en-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">  
159    <fr-financial-data>
160    <de-financial-data>
161    <it-financial-data>
162    <ep-electronic-file doc-type="1001">  
163    <ep-electronic-file doc-type="AMSPECEPO">  
164    <applicant-file-name>Claims Modification.pdf</applicant-file-name>  
165    <ep-file-name>AMSPECEPO-1.pdf</ep-file-name>  
166    <ep-electronic-files>
167    <ep-electronic-file doc-type="AMSPECEPO">  
168    <applicant-file-name>Instant water specification.pdf</applicant-file-name>  
169    <ep-file-name>AMSPECEPO-2.pdf</ep-file-name>  
170    <ep-electronic-files>
171    <ep-electronic-file doc-type="AMSPECEPO">  
172    <applicant-file-name>Instant water drawing.pdf</applicant-file-name>  
173    <ep-file-name>AMSPECEPO-3.pdf</ep-file-name>  
174    <ep-electronic-files>
175    <ep-electronic-file doc-type="PRIOTRANAPP">  
176    <applicant-file-name>Translation priority.pdf</applicant-file-name>  
177    <ep-file-name>PRIOTRANAPP-1.pdf</ep-file-name>  
178    <ep-electronic-files>
179    <ep-electronic-file doc-type="BIOMRECEIPT">  
180    <ep-electronic-file doc-type="BIOMWAV">  
181    <ep-office-specific-data>
182    <ep-euro-pct>
```

**Figure 134: Documents XML: amendments and translation of priority application**
XML application-body.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
<application-body lang="en" dtd-version="1-6" country="EP">
<description>
<doc-page id="AMODESC2" he="1\" wi="1\" type="pdf" file="AMSPEC-EPO-2.pdf" pp="1\" ppp="7\" ppb="7"/>
</description>
<claims>
<doc-page id="AMOCLAIMS1" he="1\" wi="1\" type="pdf" file="AMSPEC-EPO-1.pdf" pp="1" ppf="4" ppb="4"/>
</claims>
<abstract>
<doc-page id="AMOABSTZ" he="1\" wi="1\" type="pdf" file="AMSPEC-EPO-2.pdf" pp="6" ppp="9" ppb="9"/>
</abstract>
<drawings>
<doc-page id="AMORDRAW2" he="1\" wi="1\" type="pdf" file="AMSPEC-EPO-2.pdf" pp="9" ppf="10" ppb="10"/>
<doc-page id="AMORDRAW3" he="1\" wi="1\" type="pdf" file="AMSPEC-EPO-3.pdf" pp="1" ppf="1" ppb="1"/>
</drawings>
</application-body>
```

Figure 135: Documents XML: amendments to application in application-body.xml file

PDF epf1200.pdf

<table>
<thead>
<tr>
<th>Description of document</th>
<th>Original file name</th>
<th>Assigned file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Combined Amendments</td>
<td>Claims Modification.pdf</td>
<td>AMSPEC-EPO-1.pdf</td>
</tr>
<tr>
<td>2 Combined Amendments</td>
<td>Instant water specification.pdf</td>
<td>AMSPEC-EPO-2.pdf</td>
</tr>
<tr>
<td>3 Combined Amendments</td>
<td>Instant water drawing.pdf</td>
<td>AMSPEC-EPO-3.pdf</td>
</tr>
<tr>
<td>4 Translation of the priority application(s)</td>
<td>Translation priority.pdf</td>
<td>PRIOTRANAPP-1.pdf</td>
</tr>
<tr>
<td>5 A copy of the receipt(s) of deposit issued by the depositary institution</td>
<td>blc_receipt.pdf</td>
<td>BIDM-RECEIPT-1.pdf</td>
</tr>
<tr>
<td>6 A waiver of the right to an undertaking from the registry pursuant to Rule 39(2) EPC is attached</td>
<td>blc_waiver.pdf</td>
<td>BIDM-WAV-1.pdf</td>
</tr>
</tbody>
</table>

Figure 136: Documents PDF: list of enclosed documents with EPO file name and original file name
6.7.3 Documents - Example 2: Translations

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

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

Figure 137: 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
Figure 138: Documents XML: files, file names and document types listed

XML ep-euro-pct.xml

Figure 139: Documents XML: Translations of original application attached

XML application-body.xml
PDF epf1200.pdf

12. List of enclosed documents

<table>
<thead>
<tr>
<th>Description of document</th>
<th>Original file name</th>
<th>Assigned file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Combined Translations</td>
<td>Instant water.pdf</td>
<td>SPECTRANEPO-1.pdf</td>
</tr>
<tr>
<td>Translation (in English) of the annex(es) to the international preliminary examination report</td>
<td>Translation Annex.pdf</td>
<td>PERTRAN.pdf</td>
</tr>
</tbody>
</table>

Figure 140: Documents PDF: enclosed documents listed

[...]

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

* In proceedings before the EPO as designated or elected Office (PCT 1-9):
  Translation of the international application (description, claims, any text in the drawings) as originally filed, of the abstract as published and of any indication under Rule 13bis.3 and 13bis.4 PCT regarding biological material
  Translation of the priority application(s) (to be filed only at the EPO's request, Rule 53(3) EPC)
  It is hereby declared that the international application as originally filed is a complete translation of the previous application (Rule 53(3) EPC)

* In addition, in proceedings before the EPO as designated Office (PCT 9):
  Translation of amended claims and any statement under Art. 19 PCT, if the claims as amended are to form the basis for the proceedings before the EPO (see Section 6).

* In addition, in proceedings before the EPO as elected Office (PCT 10):
  Translation of annexes to the international preliminary examination report

Figure 141: Documents PDF: checklist for translations
6.7.4 Document overview

The Document Overview sub-tab has been introduced with the 1 April 2010 EP patch. 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.

Depending on the selected options in the Proceedings sub-tab and the attachments made in the Amendments and Translations sub-tab, certain options for entering page numbers are not available in the Document Overview; or they 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.

![Document Overview GUI](image)

Figure 142: Documents GUI: document overview with total number of pages
GUI Euro-PCT(1200E2K) Documents, Document Overview sub-tab, Description

The example shows the option 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. A translation of the international application and the translation of amendments have been attached in the Amendments and Translations tab. Furthermore, amendments on entry into the European phase are filed.

Please note:

- If translations and amendments are selected at the same time, these can not be combined with the option International application as published (which is disabled), since a mix of languages is not permitted.

- If the language of the international publication (indicated in the EP Phase tab) is either English, German or French, the options for translation are disabled, since no translation is required.

- If EPO as designated office has been selected in the EP Phase tab, the option (Translation of) Art. PCT 34 amendments is disabled.

Figure 143: Document overview GUI: documents comprising the description
GUI Euro-PCT(1200E2K) Documents, Document Overview sub-tab, Claims

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

Please note:

- The number of pages of the translation of the international application 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.
- Art. 34 PCT amendments (or their translation) are only possible if EPO as elected office has been selected.
- Translations are only possible if the language of the international application is none of the EPO languages (English, German or French).

![Figure 144: Document overview GUI: documents comprising the claims](image)
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.

- Art. 34 PCT amendments (or their translation) are only possible if EPO as elected office has been selected.
- Translations are only possible if the language of the international application is none of the three EPO languages.

Figure 145: Document overview GUI: documents comprising the drawings

Element list

1. Total number of pages
2. Description: Translation of international application
3. Page range of (2)
4. Page count of (2)
5. Description: Translation of Art. 34 PCT amendments
6. Page range of (5)
(7) Page count of (5)
(8) Description: Amendments on entry into the European phase
(9) Page range of (8)
(10) Page count of (8)
(11) Claims: International application as published
(12) Page range of (11) - empty
(13) Page count of (11)
(14) Claims: Translation of international application as published
(15) Page range of (14)
(16) Page count of (14) - empty
(17) Claims: Art. 19 PCT amendments
(18) Page range of (17)
(19) Page count of (17)
(20) Claims: Art. 34 PCT amendments
(21) Page range of (20)
(22) Page count of (20)
(23) Claims: Amendments on entry into the European phase
(24) Page range of (24)
(25) Page count of (24)
(26) Number of claims on entry into the European phase
(27) Drawings: International application as published
(28) Page range of (27)
(29) Page count of (27)
(30) Drawings: Translation of international application as published
(31) Page range of (30)
(32) Page count of (30)
(33) Drawings: Translation of Art. 34 PCT amendments
(34) Page range of (33)
(35) Page count of (33)
(36) Drawings: Amendments on entry into the European phase
(37) Page range of (36)
(38) Page count of (36)
(39) Abstract: Default one page count
(40) Number of pages to be paid
(41) Fee schedule for fee 520
(42) 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. 331).

Please note:

- The number of claims can be found in the number-of-claims attribute (26) in a separate <cl-claim> element.
- The abstract is counted as one single page per default (39).
- The corresponding attribute value for Art. 34 PCT amendments is amendments-during-international-exam, to be used instead of translation-of-amendments-during-international-exam (5, 20, 33).

Figure 146: 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.

```xml
<fee index="520" tabindex="yes">
  <type-of-fee>standard</type-of-fee>
  <fee-factor user-input=""/>3<fee-factor>
  <fee-schedule>35<fee-schedule>12
    <fee-sub-amount>13<fee-sub-amount>
  </fee>
</standard-fee>
```

Figure 147: Fees XML: fee factor and fee-sub-amount calculated from the document overview
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, Art 13.2), the amount of the additional fee (Art. 2, item 1a, Rules relating to Fees) for the pages of this European patent application is calculated as follows:

<table>
<thead>
<tr>
<th>Description</th>
<th>Pages(s) from ... to ...</th>
<th>Number of pages</th>
</tr>
</thead>
<tbody>
<tr>
<td>Translation of international application as</td>
<td>1-6</td>
<td>6</td>
</tr>
<tr>
<td>published</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Translation of amendments under Art. 34 PCT</td>
<td>1-7</td>
<td>7</td>
</tr>
<tr>
<td>Amendments filed on entry into European phase</td>
<td>1-8</td>
<td>8</td>
</tr>
<tr>
<td>International application as published</td>
<td>12</td>
<td>2</td>
</tr>
<tr>
<td>Translation of international application as</td>
<td>7-8</td>
<td>2</td>
</tr>
<tr>
<td>published</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Amendments under Art. 19 PCT</td>
<td>6-8</td>
<td>3</td>
</tr>
<tr>
<td>Translation of amendments under Art. 34 PCT</td>
<td>9-11</td>
<td>3</td>
</tr>
<tr>
<td>Amendments filed on entry into European phase</td>
<td>1-4</td>
<td>4</td>
</tr>
<tr>
<td>International application as published</td>
<td>11-11</td>
<td>1</td>
</tr>
<tr>
<td>Translation of international application as</td>
<td>10-10</td>
<td>1</td>
</tr>
<tr>
<td>published</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Translation of amendments under Art. 34 PCT</td>
<td>13-13</td>
<td>1</td>
</tr>
<tr>
<td>Amendments filed on entry into European phase</td>
<td>14-14</td>
<td>1</td>
</tr>
<tr>
<td>Default count: one page</td>
<td></td>
<td>1</td>
</tr>
</tbody>
</table>

| Total number of pages                          | 38                        |
| Fee-exempt pages (Art. 2, item 1a, RFEes)      | -35                       |
| Number of pages to be paid for                 | 3                        |
| Total amount payable                           | EUR 39                    |

*Figure 148: Document overview PDF: separate table listing all documents intended for proceedings with relevant page numbers*
6.7.5 Sequence listings

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

Figure 149: Documents GUI: details of sequence listings
Element list

1. International application contains sequence listings as part of description
2. Sequence listing as part of description is attached
3. Document type PDF
4. EPO file name for sequence listings in PDF format
5. Document type TXT
6. EPO file name for sequence listings in APP (or TXT) format
7. Sequence listing does not include matter that goes beyond content of application as filed.
8. Sequence listing data in computer-readable form [...] identical to sequence listing in PDF format.
9. Original file name of sequence listing in PDF format (not displayed in GUI)
10. Original file name of sequence listing in APP (or TXT) format (not displayed in GUI)

XML ep-euro-pct.xml

```xml
<check-list total-page-count="15">
  <check description page-count="7" phase="entry-into-regional-phase" application-page="1:7"/>
  <claims page-count="4" phase="entry-into-regional-phase" application-page="1:4"/>
  <abstract page-count="1" pdf="0" pp="0">AMSPECPO-2.pdf</abstract>
  <drawings page-count="3" phase="entry-into-regional-phase" application-page="1:1, 9:10"/>
  <sequence-listing quantity="1" page-count="4" seq-type="pdf">SEQLPDF.pdf</sequence-listing>
  <sequence-listing quantity="1" page-count="0" seq-type="txt">SEQTXT.txt</sequence-listing>
</check-list>

<ep language-of-filing lang-code="en">en</ep>
<ep-office-specific-data office="EP" lang="en">
  <ep-declarations>
    <declaration application-contains-sequence-listing="true" fulfillment-of-sequence-listing="true" not-including-matter-beyond-origin-al-application="true" sequence-listing-in-e125-identical-to-pdf="true"/>
  </ep-declarations>
</ep-office-specific-data>

<biological-material id="bio1" num="000000" desc="00-Ind3412"/>
<translation-info/>
<financial-data cur="EUR" fee-amounts-unlocked-by-use="no"/>
<electronic-file doc-type="AMSPECPO"/>
<electronic-file doc-type="AMSPECPO"/>
<electronic-file doc-type="AMSPECPO"/>
<electronic-file doc-type="PRIOTRANAPP"/>
<electronic-file doc-type="SEQLPDF"/>
<electronic-file doc-type="SEQTXT"/>
<electronic-file doc-type="BIDMRECEIPT"/>
<electronic-file doc-type="BIDMXRAW"/>
</ep-office-specific-data>

Figure 150: Documents XML: sequence listings attached
9. Nucleotide and amino acid sequences

The items pursuant to Rules 5.2 and 13ter PCT, Rules 30 and 163(3) EPC are already with the EPO.

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.

The sequence listing data is also attached in computer-readable form in accordance with WIPO Standard 25.

The sequence listing data in computer-readable form in accordance with WIPO Standard 25 is identical to the sequence listing in PDF format.

Figure 151: Documents PDF: details of nucleotide and amino acid sequences

[...]

12. List of enclosed documents

<table>
<thead>
<tr>
<th>Description of document</th>
<th>Original file name</th>
<th>Assigned file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Combined Amendments</td>
<td>Claims Modification.pdf</td>
<td>AMSPEC-PO-1.pdf</td>
</tr>
<tr>
<td>2 Combined Amendments</td>
<td>Instant water specification.pdf</td>
<td>AMSPEC-PO-2.pdf</td>
</tr>
<tr>
<td>3 Combined Amendments</td>
<td>Instant water drawing.pdf</td>
<td>AMSPEC-PO-3.pdf</td>
</tr>
<tr>
<td>4 Translation of the priority application(s)</td>
<td>Translation priority.pdf</td>
<td>PRIOTRANAPP-1.pdf</td>
</tr>
<tr>
<td>5 The sequence listing as part of the description is attached in PDF format</td>
<td>sequence listings.pdf</td>
<td>SEQ-PDF.pdf</td>
</tr>
<tr>
<td>6 The sequence listing as part of the description is attached in computer-readable format in accordance with WIPO Standard 25</td>
<td>sequence Listings.app</td>
<td>SEQ-LIST.app</td>
</tr>
<tr>
<td>7 A copy of the receipt(s) of deposit issued by the depositary institution:</td>
<td>bio_receipt.pdf</td>
<td>BIOM-RECEIPT-1.pdf</td>
</tr>
<tr>
<td>8 A waiver of the right to an undertaking from the inventor pursuant to Rule 33(3) EPC is attached.</td>
<td>bio waiver pdf</td>
<td>BIOM-WAIV-1.pdf</td>
</tr>
</tbody>
</table>

Figure 152: Documents PDF: list of enclosed documents with sequence listings
6.7.6 Additional documents

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

- Authorisations
- Specific authorisations
- US certified priority documents
- Replies to written opinion
- Other documents

The example below shows an application with a general authorisation and two replies to written opinion attached.

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

Figure 153: Documents GUI: additional documents attached

Element list

(1) Reply to written opinion of ISA 1
   ° Please note: REPWOISA is applicable for the doc-type attribute where the EPO is the designated office, and REPWOIPER is used where the EPO is the elected office.

(2) EPO file name for reply of written opinion

(3) Original file name of reply of written opinion

(4) Reply to written opinion of ISA 2

(5) EPO file name for reply of written opinion

(6) Original file name of reply of written opinion

(7) General Authorisation

(8) EPO file name for general authorisation

(9) Original file name of general authorisation
XML ep-euro-pct.xml

```xml
338   <ep-electronic-files doc-type="1001"> 1
342   <ep-electronic-files doc-type="REPWOISA"> 2
344     <applicant-file-name>Reply.pdf</applicant-file-name> 3
345     <epo-file-name>REPLYWO-1.pdf</epo-file-name> 3
346   </ep-electronic-files>
347   <ep-electronic-files doc-type="REPWOISA"> 4
350     <applicant-file-name>Reply-2.pdf</applicant-file-name> 5
350     <epo-file-name>REPLYWO-2.pdf</epo-file-name> 5
351   </ep-electronic-files>
353   <ep-electronic-files doc-type="1001"> 6
355     <applicant-file-name>Authorisation Portland.pdf</applicant-file-name> 7
355     <epo-file-name>GENAUTH-1.pdf</epo-file-name> 8
356   </ep-electronic-files>
356   </ep-euro-pct>
```

Figure 154: 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. 87) for further details.

PDF epf1200.pdf

```
<table>
<thead>
<tr>
<th>12. List of enclosed documents</th>
<th>Original file name</th>
<th>Assigned file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. 1 Reply to written opinion of ISA</td>
<td>Reply.pdf</td>
<td>REPLYWO-1.pdf</td>
</tr>
<tr>
<td>2. 2 Reply to written opinion of ISA</td>
<td>Reply-2.pdf</td>
<td>REPLYWO-2.pdf</td>
</tr>
<tr>
<td>3. 1 General authorisation</td>
<td>Authorisation Portland.pdf</td>
<td>GENAUTH-1.pdf</td>
</tr>
</tbody>
</table>

13. Mode of payment: Not specified
```

Figure 155: 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.

You can retrieve the current fee schedule under Tools > Fee Management in the Online Filing File Manager or under Schedule of Fees on the EPO's Online Services website (http://www.epoline.org) (login with password or smart card).

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 156: Fee Payment GUI: payment details entered](image_url)
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

```
<transformation-info>
  <ep-financial-data cur="EUR" fee-amounts-unlocked-by-user="no">
    <mode-of-payment account="30004 00567 000000000463 29 (RIB) mode-type="bank" currency="EUR">FR</mode-of-payment>
    <reimbursement account="26330000">TechInvent SA</reimbursement>
  </ep-financial-data>
</transformation-info>
```

Figure 157: 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

14. Any refunds should be made to the following EPO deposit account:
   Number and account holder
```

Figure 158: 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

![Fee Payment GUI: selected fees and total amount to pay](Image)

Figure 159: 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 Importing the correct fee amounts depending on the date of filing (p. 97).

The current fee tables can be downloaded from the EPO's Online Services website (http://www.epoline.org) under Schedule of Fees (login with username or smart card).
XML ep-euro-pct.xml

```
<fee>
  <date>20100401</date>
  <standard-fee>
    <fee index="2" topay="yes">
      <type-of-fee>standard</type-of-fee>
      <fee-factor>340</fee-factor>
      <fee-schedule>166</fee-schedule>
      <fee-sub-amount>1105</fee-sub-amount>
    </fee>
    <fee index="6" topay="no">
      <type-of-fee>standard</type-of-fee>
      <fee-factor>1</fee-factor>
      <fee-schedule>325</fee-schedule>
      <fee-sub-amount>525</fee-sub-amount>
    </fee>
    <fee index="6" topay="yes">
      <type-of-fee>standard</type-of-fee>
      <fee-factor>0.4</fee-factor>
      <fee-schedule>482</fee-schedule>
      <fee-sub-amount>1469</fee-sub-amount>
    </fee>
    <fee index="6" topay="no">
      <type-of-fee>standard</type-of-fee>
      <fee-factor>0.2</fee-factor>
      <fee-schedule>382</fee-schedule>
      <fee-sub-amount>1169</fee-sub-amount>
    </fee>
    <fee index="6" topay="yes">
      <type-of-fee>standard</type-of-fee>
      <fee-factor>0.1</fee-factor>
      <fee-schedule>302</fee-schedule>
      <fee-sub-amount>909</fee-sub-amount>
    </fee>
    <fee index="6" topay="no">
      <type-of-fee>standard</type-of-fee>
      <fee-factor>0.6</fee-factor>
      <fee-schedule>682</fee-schedule>
      <fee-sub-amount>1949</fee-sub-amount>
    </fee>
  </standard-fee>
  <userinput>
    <fee index="6" topay="yes">
      <type-of-fee>standard</type-of-fee>
      <fee-factor>3</fee-factor>
      <fee-schedule>239</fee-schedule>
      <fee-sub-amount>131</fee-sub-amount>
    </fee>
  </userinput>
</fee>
```

Figure 160: Fee Payment XML: fees listed
### 15. Fees

<table>
<thead>
<tr>
<th>Fee Description</th>
<th>Factor/Reduct. on Applied</th>
<th>Fee Schedule</th>
<th>Amount to be Paid</th>
</tr>
</thead>
<tbody>
<tr>
<td>002 Fee for a European search - Applications filled on/after 01.07.2008</td>
<td>3</td>
<td>1</td>
<td>1 106.00</td>
</tr>
<tr>
<td>006 Designation fee - For all contracting States designated for applications filed on/after 01.04.2009</td>
<td>8</td>
<td>1</td>
<td>525.00</td>
</tr>
<tr>
<td>006 Examination fee - For applications filed on/after 01.07.2005</td>
<td>13</td>
<td>0.4</td>
<td>1 400.00</td>
</tr>
<tr>
<td>015 Claims fee - For the 16th to the 50th claim</td>
<td>10</td>
<td></td>
<td>2 100.00</td>
</tr>
<tr>
<td>020 Filing fee - entry EP phase - online</td>
<td>1</td>
<td>1</td>
<td>108.00</td>
</tr>
<tr>
<td>033 Renewal fee for the 3rd year</td>
<td>1</td>
<td>1</td>
<td>420.00</td>
</tr>
<tr>
<td>020 Additional filing fee for the 38th and each subsequent page - entry into EP phase</td>
<td>3</td>
<td>13</td>
<td>39.00</td>
</tr>
</tbody>
</table>

**Total:**                                                                                       EUR 3 946.00

*Figure 161: Fee Payment PDF: fees listed with total amount to pay*
6.9 Euro-PCT(1200E2K) Annotations

GUI Euro-PCT(1200E2K) Annotations

![Annotations GUI](image)

**Figure 162: Annotations GUI: note for EPO entered**

**Element list**

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

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

```xml
<ep-notes-to-EPO>
  <author>Luigi Scorcese</author>
  <subject>Representation</subject>
  <date>2010-01-01</date>
  <text>
    There will be a new representative for Mr. Manzoni starting July 1, 2010. The details and authorisation are going to be filed subsequently.
  </text>
</ep-notes-to-EPO>
```

**Figure 163: Annotations XML: note for EPO**

**PDF epf1200.pdf**

![Annotations PDF](image)

**Figure 164: Annotations PDF: note for EPO**
7  Form EP(1038E) - Subsequently filed documents

7.1  XML files for an EP(1038E) application

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

<table>
<thead>
<tr>
<th>File name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader.dtd</td>
<td>Indicates selected procedure and other data for transmission to filing office.</td>
</tr>
<tr>
<td>package-data.xml</td>
<td>package-data.dtd</td>
<td>References attached documents including ep-sfd-request.xml file.</td>
</tr>
<tr>
<td>ep-sfd-request.xml</td>
<td>ep-sfd-request-v2-1.dtd</td>
<td>Application data as entered in Form EP(1038E), references attached documents.</td>
</tr>
</tbody>
</table>

The XML structure of the pkgheader.xml and package-data.xml files is the same as for EP(1001E2K) applications - see sections General information on the package - pkgheader.xml (p. 14) and References from XML files to other files (p. 15).

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.

**Please note:** With the April 1 2010 EP patch, the option of annexing non-public documents has been implemented. Public and non-public documents must not be filed with one and the same application; the EPO requires two separate applications instead.

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request</td>
<td></td>
<td></td>
</tr>
<tr>
<td>REQXML</td>
<td>ep-sfd-request.xml</td>
<td>Application data, see table above</td>
</tr>
<tr>
<td>PDF Attachments, in alphabetical order (the file name extension is always .pdf)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1002E</td>
<td>1002E-1</td>
<td>Designation of inventor (Non-public)</td>
</tr>
<tr>
<td>1003</td>
<td>1003-1</td>
<td>Authorisation of representative</td>
</tr>
<tr>
<td>1005</td>
<td>1005-1</td>
<td>Request for accelerated search/examination</td>
</tr>
<tr>
<td>1005</td>
<td>1005</td>
<td>Request for accelerated search/examination (non-public)</td>
</tr>
<tr>
<td>1007E</td>
<td>UPP1007-1</td>
<td>UPP participation request</td>
</tr>
<tr>
<td>ABEX</td>
<td>ABEX-1</td>
<td>Amendments before examination</td>
</tr>
<tr>
<td>ABSTMOD</td>
<td>ABSTMOD-1</td>
<td>Modified abstract</td>
</tr>
<tr>
<td>ANNEX-NP</td>
<td>ANNEX-NP-1</td>
<td>Non-public annex</td>
</tr>
<tr>
<td>APPEAL</td>
<td>APPEAL</td>
<td>Notice of appeal</td>
</tr>
<tr>
<td>APPEAL-GRDS</td>
<td>APPEAL-GRDS-1</td>
<td>Statement of grounds of appeal</td>
</tr>
<tr>
<td>APPEAL-LETT</td>
<td>APPEAL-LETT-1</td>
<td>Letter relating to Appeal procedure</td>
</tr>
<tr>
<td>APPEALR-LETT</td>
<td>APPEALR-LETT-1</td>
<td>Letter relating to the review procedure</td>
</tr>
<tr>
<td>APPEALR-ANX</td>
<td>APPEALR-ANX-1</td>
<td>Annexes (other than cited documents) regarding review procedure</td>
</tr>
<tr>
<td>APPRASSI</td>
<td>APPRASSI-1</td>
<td>Request for assignment</td>
</tr>
<tr>
<td>APPRCHOA</td>
<td>APPRCHOA-1</td>
<td>Request for change of address</td>
</tr>
<tr>
<td>APPRCHON</td>
<td>APPRCHON-1</td>
<td>Request for change of name</td>
</tr>
<tr>
<td>APPRMISC</td>
<td>APPRMISC-1</td>
<td>Document concerning the applicant</td>
</tr>
<tr>
<td>BIOM</td>
<td>BIOM-1</td>
<td>Document concerning micro-organisms and medical inventions</td>
</tr>
<tr>
<td>CLMS</td>
<td>CLMS-1</td>
<td>Claims</td>
</tr>
<tr>
<td>CLMSPAMD</td>
<td>CLMSPAMD-1</td>
<td>Amended claims</td>
</tr>
<tr>
<td>CLMSTRAN</td>
<td>CLMSTRAN-1</td>
<td>Translation of claims</td>
</tr>
<tr>
<td>CORI</td>
<td>CORI-1</td>
<td>Request for correction after communication under Rule 71(3) EPC</td>
</tr>
<tr>
<td>DECA</td>
<td>DECA-1</td>
<td>Automatic debiting</td>
</tr>
<tr>
<td>DESCNEW</td>
<td>DESCNEW-1</td>
<td>Missing parts of the description</td>
</tr>
<tr>
<td>Document code</td>
<td>EPO file name</td>
<td>Description</td>
</tr>
<tr>
<td>---------------</td>
<td>---------------</td>
<td>-------------</td>
</tr>
<tr>
<td>DESCPAMD</td>
<td>DESCPAMD-1</td>
<td>Amended description</td>
</tr>
<tr>
<td>DEST</td>
<td>DEST-1</td>
<td>Document concerning the designation and extension of states</td>
</tr>
<tr>
<td>DRAW</td>
<td>DRAW-1</td>
<td>Drawings</td>
</tr>
<tr>
<td>DRAWNEW</td>
<td>DRAWNEW-1</td>
<td>Missing parts of the drawings</td>
</tr>
<tr>
<td>DRAWPAMD</td>
<td>DRAWPAMD-1</td>
<td>Amended drawings</td>
</tr>
<tr>
<td>ENQUIRY</td>
<td>ENQUIRY-1</td>
<td>General enquiry</td>
</tr>
<tr>
<td>EPLETT</td>
<td>EPLETT-1</td>
<td>Letter relating to the search and examination procedure</td>
</tr>
<tr>
<td>EXAM</td>
<td>EXAM-1</td>
<td>Document filed during examination procedure earlier than EXRE1</td>
</tr>
<tr>
<td>EXAMREQ</td>
<td>EXAMREQ-1</td>
<td>Request for examination</td>
</tr>
<tr>
<td>EXRE3</td>
<td>EXRE3-1</td>
<td>Reply to examination report</td>
</tr>
<tr>
<td>EXRE92</td>
<td>EXRE92-1</td>
<td>Request for extension of time limit during examination procedure</td>
</tr>
<tr>
<td>F1002</td>
<td>F1002-1</td>
<td>Designation of inventor</td>
</tr>
<tr>
<td>FEES</td>
<td>FEES-1</td>
<td>Document concerning fees and payments</td>
</tr>
<tr>
<td>FICO</td>
<td>FICO-1</td>
<td>Request for certified copies of application (non-public)</td>
</tr>
<tr>
<td>FISP</td>
<td>FISP</td>
<td>Request for inspection of file (non-public)</td>
</tr>
<tr>
<td>FREP</td>
<td>FREP-1</td>
<td>Document concerning representation</td>
</tr>
<tr>
<td>IGRA</td>
<td>IGRA-1</td>
<td>Reply to communication under Rule 71(3) EPC</td>
</tr>
<tr>
<td>INVT</td>
<td>INVT-1</td>
<td>Document concerning the inventorship</td>
</tr>
<tr>
<td>IPERTRAN</td>
<td>IPERTRAN-1</td>
<td>Translation of international preliminary examination report</td>
</tr>
<tr>
<td>LIMDOC</td>
<td>LIMDOC-1</td>
<td>Citation for the limitation procedure</td>
</tr>
<tr>
<td>LIMLETT</td>
<td>LIMLETT-1</td>
<td>Letter/request relating to the limitation procedure</td>
</tr>
<tr>
<td>LIMWDRA</td>
<td>LIMWDRA</td>
<td>Withdrawal of limitation request</td>
</tr>
<tr>
<td>LIRE3</td>
<td>LIRE3-1</td>
<td>Reply to the limitation report</td>
</tr>
<tr>
<td>MEPA</td>
<td>MEPA-1</td>
<td>Maintenance of the application</td>
</tr>
<tr>
<td>MUCULMS</td>
<td>UPPMUCULMS-1</td>
<td>Marked-up priority claims</td>
</tr>
<tr>
<td>NATER</td>
<td>UPPNATER-1</td>
<td>National examination report</td>
</tr>
<tr>
<td>NATSR</td>
<td>UPPNATSR-1</td>
<td>National search report</td>
</tr>
<tr>
<td>NATWO</td>
<td>UPPNATWO-1</td>
<td>National written opinion</td>
</tr>
<tr>
<td>ORAL</td>
<td>ORAL-1</td>
<td>Letter dealing with oral proceedings</td>
</tr>
<tr>
<td>ORALWDRA</td>
<td>ORALWDRA-1</td>
<td>Withdrawal of request for oral proceedings</td>
</tr>
<tr>
<td>PRIO</td>
<td>PRIO-1</td>
<td>Document concerning the priority claims</td>
</tr>
<tr>
<td>Document code</td>
<td>EPO file name</td>
<td>Description</td>
</tr>
<tr>
<td>---------------</td>
<td>---------------</td>
<td>-------------</td>
</tr>
<tr>
<td>PRIOTRAN</td>
<td>PRIOTRAN-1</td>
<td>Translation of priority documents</td>
</tr>
<tr>
<td>R88</td>
<td>R88-1</td>
<td>Rule 139: Request for correction of documents</td>
</tr>
<tr>
<td>RALL2</td>
<td>RALL2-1</td>
<td>Letter regarding the translation of the limited claims</td>
</tr>
<tr>
<td>RDEC</td>
<td>RDEC-1</td>
<td>Request for a decision</td>
</tr>
<tr>
<td>REES</td>
<td>REES-1</td>
<td>Request for re-establishment of rights/restitutio in integrum</td>
</tr>
<tr>
<td>REESGROUNDS</td>
<td>REESGROUNDS-1</td>
<td>Grounds for re-establishment of rights/restitutio in integrum</td>
</tr>
<tr>
<td>REPTORCLAR</td>
<td>REPTORCLAR-1</td>
<td>Reply to request for clarification</td>
</tr>
<tr>
<td>REVLETT</td>
<td>REVLETT-1</td>
<td>Letter/request relating to the revocation procedure</td>
</tr>
<tr>
<td>REVOREQ</td>
<td>REVOREQ</td>
<td>Request for revocation of patent</td>
</tr>
<tr>
<td>RFPR</td>
<td>RFPR-1</td>
<td>Request for further processing</td>
</tr>
<tr>
<td>SEQL</td>
<td>SEQL-1</td>
<td>Document concerning sequence listing, PDF</td>
</tr>
<tr>
<td>SRCH</td>
<td>SRCH-1</td>
<td>Document concerning search matters</td>
</tr>
<tr>
<td>SUBCLMS</td>
<td>CLMS-2</td>
<td>Subsequently filed claims</td>
</tr>
<tr>
<td>SUSI</td>
<td>SUSI-1</td>
<td>Request for suspension/interruption of procedure</td>
</tr>
<tr>
<td>TIMEEXTREQ</td>
<td>TIMEEXTREQ-1</td>
<td>Request for extension of time limit during search procedure</td>
</tr>
<tr>
<td>TRANEAPP</td>
<td>TRANEAPP-1</td>
<td>Translation of previously filed application</td>
</tr>
<tr>
<td>USCERTPRIO</td>
<td>USCERTPRIO-1</td>
<td>US certified priority document</td>
</tr>
<tr>
<td>USTCHOR</td>
<td>USTCHOR-1</td>
<td>Request for change of representative</td>
</tr>
<tr>
<td>USTTOR</td>
<td>USTTOR-1</td>
<td>Request for transfer of rights</td>
</tr>
<tr>
<td>WDRA</td>
<td>WDRA-1</td>
<td>Withdrawal of application</td>
</tr>
<tr>
<td>W德拉EST</td>
<td>W德拉EST-1</td>
<td>Withdrawal of designated or extension states</td>
</tr>
<tr>
<td>WOREPLY</td>
<td>WOREPLY-1</td>
<td>Reply to search opinion/written opinion/IPER</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>File name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>BIOM</td>
<td>BIOM-1.app</td>
</tr>
<tr>
<td>SEQLTXT</td>
<td>SEQLTXT-1.txt</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>File name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1038</td>
<td>epf1038.pdf</td>
</tr>
</tbody>
</table>

① 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

![Application number GUI](image)

Figure 165: Application number GUI
**Element list**

1. EP application number
2. User reference
3. Procedure language

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

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE ep-sfd-request SYSTEM "ep-sfd-request-2.0.dtd">
<ep-sfd-request lang="en" dir="ltr" version="2.0" ref="EP10385027" produced-by="applicant" date-produced="20100931 13:01:15">
  <software_name>EU</software_name>
  <software_version>FM/NGR9027, EP10385027, FM_FGP0025</software_version>
  <stylesheet_version>3</stylesheet_version>
  <version>Version 0.2.0</version>
  <document-id lang="en">
    <doc-number>EP1054321.B</doc-number>
    <country>EP/country>
  </document-id>
  <file-reference-id>1038_xml</file-reference-id>
  <request-partition>
    <parties>
      <check-list>
        <office-specific-data office="EP" lang="en">
          <ep-sfd-request>

```

Figure 166: Application XML: EP application number and file reference

**PDF epf1038.pdf**

**Letter accompanying subsequently filed items**

Sender:
Mr. David Kilburn
IP Partners
European Patents
10, High Street
London Greater London W1A 2BC
United Kingdom
Phone: +44 1223 351689
Fax: +44 1223 351690
E-mail: kilburn@ip-partners.co.uk

80208 Munich
Germany
Tel. +49(0)89 2399-0 | Fax -4465

P.O. Box 5818
NL-2280 HV Ripshoek
Netherlands
Tel. +31(0)70 340-2040 | Fax -3018

10968 Berlin
Germany
Tel. +49(0)30 29901-0 | Fax -840

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

<table>
<thead>
<tr>
<th>Application number</th>
<th>2</th>
<th>1054321.B</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant(s) or representative(s) reference</td>
<td>1</td>
<td>1038_xml</td>
</tr>
</tbody>
</table>

Figure 167: Application in PDF format: header
7.4 EP(1038E) Names

In the Names screen of Form EP(1038E), multiple applicants and representatives 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. 39).

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

GUI EP(1038E) Names

Figure 168: Names GUI: representative added
Element list

(1)  Representatives
(2)  Representative 1 - natural person
(3)  Last name
(4)  First name
(5)  Title
(6)  Registration number
(7)  Company
(8)  Department
(9)  Country
(10) Street
(11) Postal code
(12) City
(13) County / State
(14) Telephone
(15) Fax
(16) E-mail
XML ep-sfd-request.xml

```xml
<request-petition>
  <agents>
    <agent sequence="1" rep-type="agent">
      <name>
        <last-name>Kilburn</last-name>
        <first-name>David</first-name>
        <org-name>IP Partners</org-name>
        <department>European Patents</department>
        <registered-number>123456789</registered-number>
        <address>
          <street>10, High Street</street>
          <city>London</city>
          <state>Greater London</state>
          <postcode>W1A 2BC</postcode>
          <country>GB</country>
        </address>
        <phone>+44 1223 351899</phone>
        <fax>+44 1223 351890</fax>
        <email>kilburn@ip-partners.co.uk</email>
      </name>
    </agent>
  </agents>
</request-petition>
```

Figure 169: Names XML: data for representative 1

PDF epf1038.pdf

```
Mr. David Kilburn  
IP Partners  
European Patents  
10, High Street  
London Greater London W1A 2BC  
United Kingdom  

Phone: +44 1223 351899  
Fax: +44 1223 351890  
E-mail: kilburn@ip-partners.co.uk
```

Figure 170: Names PDF: representative's address
7.5 EP(1038E) Documents

The menu for adding files in the Documents screen of Form EP(1038E) is grouped into the following categories:

1. All documents
2. Amendments
3. Applicant-representative-inventor
4. Biology
5. Fees
6. Forms
7. Legal remedies
8. Other
9. Priorities
10. Replies
11. Request
12. Withdrawals
13. Filing
14. Limitation/revocation
15. UPP
16. Appeal
17. Non public

These groups are not reflected in the XML structure. Their principal purpose is to help Online Filing users select the right file type.

Please note that 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.

The example below shows two attached documents: an authorisation of representative and a document concerning representation. The total number of files to be attached is NOT limited.
GUI EP(1038E) Documents

![Documents GUI: individual files attached]

**Element list**

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

```xml
<check-list>
  <check>
    <other-document>Authorisation of representative</other-document>
  </check>
  <check>
    <other-document>Document concerning representation</other-document>
  </check>
  <office-specific-data office="EP" lang="en">
    <ep-electronic-files doc-type="1038">
      <app-file-name>EPF 1038.PDF</app-file-name>
      <ep-electronic-files>
        <app-file-name>1038-1.pdf</app-file-name>
        <ep-electronic-files doc-type="1003">
          <app-file-name>Authorisation Portland.pdf</app-file-name>
          <app-file-name>FREP-1.pdf</app-file-name>
        </ep-electronic-files>
      </ep-electronic-files>
    </ep-electronic-files>
  </office-specific-data>
</check-list>
```

**Figure 172: Documents XML: list of documents**

PDF epf1038.pdf

<table>
<thead>
<tr>
<th>Description of document</th>
<th>Original file name</th>
<th>Assigned file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Authorisation of representative</td>
<td>Authorisation Portland.pdf</td>
<td>1038-1.pdf</td>
</tr>
<tr>
<td>2 Document concerning representation</td>
<td>Change of representative.pdf</td>
<td>FREP-1.pdf</td>
</tr>
</tbody>
</table>

**Figure 173: 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).

It is not possible to file non-public documents and to specify payment instructions in one and the same application. A corresponding validation message will appear in this case.

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 into 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 into 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.

The current fee tables can be downloaded from the EPO's Online Services website (http://www.epoline.org) under Schedule of Fees (login with password or smart card).
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

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

Figure 174: 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

```xml
<ep-financial-data cur="EUR" fee-amounts-unlocked-by-user="no">
  <mode-of-payment currency="EUR" account="28003300" mode-type="deposit">IP Partners</mode-of-payment>
  <reimbursement account="28123456">Salvatore Manzoni</reimbursement>
  <fees date="20100401">
    <standard-fee>
      <fee-total-amount>633</fee-total-amount>
    </standard-fee>
  </fees>
</ep-financial-data>
```

Figure 175: Fee payment XML: payment details

PDF epf1038.pdf

<table>
<thead>
<tr>
<th>Payment</th>
<th>Debit from deposit account</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Mode of payment</td>
<td>Currency: EUR</td>
</tr>
<tr>
<td>2 Refund/Reimbursement</td>
<td>Deposit account number: 28003300</td>
</tr>
<tr>
<td>3 Reimbursement</td>
<td>Deposit account number: 28123456</td>
</tr>
</tbody>
</table>

Figure 176: 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 Payment GUI: selected fees](image)

Figure 177: 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

```xml
<ep-financial-data>
  <fees-
    <fee-index="1" topay="yes">
      <fee-
        <type-of-fee="standard">2</type-of-fee>
        <fee-factor user-input="1">3</fee-factor>
        <fee-schedule>105</fee-schedule>
        <fee-sub-amount>105</fee-sub-amount>
      </fee>
    </fee>
    <fee-index="1" topay="no">
      <fee-
        <type-of-fee="standard">4</type-of-fee>
        <fee-factor user-input="1">5</fee-factor>
        <fee-schedule>115</fee-schedule>
        <fee-sub-amount>115</fee-sub-amount>
      </fee>
    </fee>
    <fee-index="6" topay="no">
      <fee-
        <type-of-fee="standard">6</type-of-fee>
        <fee-factor user-input="1">7</fee-factor>
        <fee-schedule>525</fee-schedule>
        <fee-sub-amount>525</fee-sub-amount>
      </fee>
    </fee>
    <fee-index="4" topay="yes">
      <fee-
        <type-of-fee="standard">8</type-of-fee>
        <fee-factor user-input="1">9</fee-factor>
        <fee-schedule>630</fee-schedule>
        <fee-sub-amount>630</fee-sub-amount>
      </fee>
    </fee>
    <fee-index="11" topay="no">
      <fee-
        <type-of-fee="standard">10</type-of-fee>
        <fee-factor user-input="1">11</fee-factor>
        <fee-schedule>105</fee-schedule>
        <fee-sub-amount>105</fee-sub-amount>
      </fee>
    </fee>
    <fee-index="8" topay="no">
      <fee-
        <type-of-fee="standard">12</type-of-fee>
        <fee-factor user-input="1">13</fee-factor>
        <fee-schedule>525</fee-schedule>
        <fee-sub-amount>525</fee-sub-amount>
      </fee>
    </fee>
  </fees>
</ep-financial-data>
```

Figure 178: Fee Payment XML: selected fees and designated states

PDF epf1038.pdf

<table>
<thead>
<tr>
<th>Fees</th>
<th>Factor applied</th>
<th>Fee schedule</th>
<th>Amount to be paid</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 201 Filing fee - EP Direct - online</td>
<td>1 3</td>
<td>105.00</td>
<td>105.00</td>
</tr>
<tr>
<td>3 Web Designation fee - For all contracting States designated for applications filed on or after 01/04/2009</td>
<td>9 8</td>
<td>525.00</td>
<td>525.00</td>
</tr>
<tr>
<td>Total:</td>
<td></td>
<td></td>
<td>630.00</td>
</tr>
</tbody>
</table>

Figure 179: 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

![Figure 180: Payment Details GUI: fee schedule before 01.04.2009 selected](image)

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.

![Figure 181: Fee selection GUI: filing fee and designation fee selected](image)
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.

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

**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.

```
<ep-sfd-request lang="en" std-version="2.0" rec="EP" produced-by="applicant" date-produced="20100603 20:30:55">
  <software_name «OLF»>
  </software_version FMN965027, EP10385027, FM_FDP505>
  <e2having_inventor 3->
  <document_id lang="en">
    <file-reference-id>1C27_fees_designated-states</file-reference-id>
  </request-petition>
  <parties>
    <check-list>
      <office-specific-data office="EP" lang="en">
        <ep-electronic-files doc-type="1033">
          <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
            <mode-of-payment currency="EUR" amount="28125496" mode-type="deposit">Borghese S.A</mode-of-payment>
          </ep-financial-data>
        </ep-electronic-files>
      </office-specific-data>
    </check-list>
    <standard>
      <fee index="1" topay="yes" type-of-fee="standard">
        <fee-factor userinput="1">1</fee-factor>
        <fee-schedule>105</fee-schedule>
        <fee-sub-amount>105</fee-sub-amount>
      </fee>
      <fee index="2" topay="no" type-of-fee="standard">
        <fee-factor userinput="2">2</fee-factor>
        <fee-schedule>380</fee-schedule>
        <fee-sub-amount>380</fee-sub-amount>
      </fee>
      <country>DK</country>
      <country>FI</country>
      <country>NO</country>
      <country>SE</country>
    </standard>
    <standard>
      <fee index="5" topay="no" type-of-fee="standard">
        <fee-factor userinput="5">5</fee-factor>
        <fee-schedule>900</fee-schedule>
        <fee-sub-amount>900</fee-sub-amount>
      </fee>
      <country>SE</country>
    </standard>
    <standard>
      <fee index="10" topay="no" type-of-fee="standard">
        <fee-factor userinput="10">10</fee-factor>
        <fee-schedule>900</fee-schedule>
        <fee-sub-amount>900</fee-sub-amount>
      </fee>
      <country>SE</country>
    </standard>
    <standard>
      <fee index="15" topay="no" type-of-fee="standard">
        <fee-factor userinput="15">15</fee-factor>
        <fee-schedule>360</fee-schedule>
        <fee-sub-amount>360</fee-sub-amount>
      </fee>
      <country>SE</country>
    </standard>
    <total-amount>465</total-amount>
  </parties>
</ep-sfd-request>
```

Figure 183: Fee Payment XML: designated states

PDF epf1038.pdf

```
<table>
<thead>
<tr>
<th>Fees</th>
<th>Factor applied</th>
<th>Fee schedule</th>
<th>Amount to be paid</th>
</tr>
</thead>
<tbody>
<tr>
<td>301 Filing fee - EP direct - online</td>
<td>1</td>
<td>105.00</td>
<td>105.00</td>
</tr>
<tr>
<td>305 Designation fee - For each State designated (max. 7x) for applications filed before 01.04.2008</td>
<td>4</td>
<td>90.00</td>
<td>360.00</td>
</tr>
</tbody>
</table>

Designated states: DK, FI, NO, SE

Total: EUR 465.00
```

Figure 184: Fee Payment PDF: designation fee for designated states
7.7 EP(1038E) Annotations

GUI EP(1038E) Annotations

![Annotations GUI](image)

**Figure 185: Annotations GUI: note to EPO**

**Element list**

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

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

```xml
75  <ep-financial-data currency="EUR" fee-amounts-unlocked-by-user="no">
697  1 <notes-to-EPO page="Annotate" id="note1">
698  2  <author>Luigi Scorcese</author>
699  3  <subject>New representative</subject>
700  4  <date>09/06/2010</date>
701  5  <text>Mr. David Kilburn, IP Partners, has now taken over the representation of Mr. Salvatore Manzoni, Borghese S.A.
702  - His authorisation has been attached</text>
703  </notes-to-EPO>
704  <office-specific-data>
```

**Figure 186: Annotations XML: note 1, entered by Luigi Scorcese**

**PDF epf1038.pdf**

![Annotations PDF](image)

**Figure 187: 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. 14) and References from XML files to other files (p. 15).

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

<table>
<thead>
<tr>
<th>File name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader.dtd</td>
<td>Indicates selected procedure and other data for transmission to filing office.</td>
</tr>
<tr>
<td>ep-opposition-data.xml</td>
<td>ep-xmit-opposition-data-v1.0.dtd</td>
<td>Application data as entered in Form EP(Oppo), references attached documents.</td>
</tr>
</tbody>
</table>
8.2 Document codes and file types for EP(Oppo)

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

In the package-data.xml file:

- **Document code** to be filled into `<document-name>` 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

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Leading Document</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2300E</td>
<td>ep-oppo.pdf</td>
<td>Notice of Opposition or Notice of Intervention (depending on party selected in the Names section)</td>
</tr>
<tr>
<td>ORALLETTE</td>
<td>ep-oppo.pdf</td>
<td>Submission in opposition proceedings - after a summons to oral proceedings</td>
</tr>
<tr>
<td>OPPOLETT</td>
<td>ep-oppo.pdf</td>
<td>Submission in opposition proceedings - before or unrelated to summons to oral proceedings</td>
</tr>
<tr>
<td>TIPA1</td>
<td>ep-oppo.pdf</td>
<td>Third party observation</td>
</tr>
<tr>
<td>REQXML</td>
<td>ep-opposition-data.xml</td>
<td>XML file of data elements</td>
</tr>
<tr>
<td><strong>Main attachments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FACTS_ARGMTS</td>
<td>OPPO.pdf</td>
<td>Facts and arguments</td>
</tr>
<tr>
<td>OBSO3</td>
<td>OBSO3.pdf</td>
<td>Reply of the patent proprietor to the notice(s) of opposition</td>
</tr>
<tr>
<td>OPEX4</td>
<td>OPEX4.pdf</td>
<td>Reply to the communication concerning admissibility of an opposition</td>
</tr>
<tr>
<td>OREX3</td>
<td>OREX3.pdf</td>
<td>Reply to an examination report in opposition proceedings</td>
</tr>
<tr>
<td>DOBS3</td>
<td>DOBS3.pdf</td>
<td>Reply from the opponent to submission of proprietor</td>
</tr>
<tr>
<td>OPPOANNEX</td>
<td>OTHER-1.pdf</td>
<td>Any annexes (other than citation) to an opposition letter</td>
</tr>
<tr>
<td>TDOC</td>
<td>TDOC.pdf</td>
<td>Citation filed by a third party</td>
</tr>
<tr>
<td><strong>Evidence</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PATENT</td>
<td>Published-Evidence-1.pdf</td>
<td>Patent document</td>
</tr>
<tr>
<td>ARTICLE</td>
<td>Published-Evidence-1.pdf</td>
<td>Non-patent literature - article</td>
</tr>
<tr>
<td>BOOK</td>
<td>Published-Evidence-1.pdf</td>
<td>Non-patent literature - book</td>
</tr>
<tr>
<td>DATABASE</td>
<td>Published-Evidence-1.pdf</td>
<td>Non-patent literature - database</td>
</tr>
<tr>
<td>INTERNET</td>
<td>Published-Evidence-1.pdf</td>
<td>Non-patent literature - internet</td>
</tr>
<tr>
<td>IMAGE</td>
<td>Published-Evidence-1.pdf</td>
<td>Images or photos</td>
</tr>
<tr>
<td>MODEL</td>
<td>Model-Reference-1.pdf</td>
<td>Cover letter for a non-scannable object</td>
</tr>
<tr>
<td>AFFIDAVIT</td>
<td>Affidavit-1.pdf</td>
<td>Affidavit</td>
</tr>
<tr>
<td>Document code</td>
<td>EPO file name</td>
<td>Description</td>
</tr>
<tr>
<td>---------------</td>
<td>------------------------</td>
<td>---------------------------------------</td>
</tr>
<tr>
<td>EVDNCE_TRAN</td>
<td>Evidence-Tran-1.pdf</td>
<td>Translation of a citation</td>
</tr>
<tr>
<td>EVDNCE_OTHER</td>
<td>Other-evidence-1.pdf</td>
<td>Other evidence</td>
</tr>
<tr>
<td><strong>Optional additional files</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1004</td>
<td>SPECAUTH-1.pdf</td>
<td>Specific authorisation</td>
</tr>
<tr>
<td>1003</td>
<td>GENAUTH-1.pdf</td>
<td>General authorisation</td>
</tr>
<tr>
<td>MAINREQ-O</td>
<td>MAINREQ-1.pdf</td>
<td>Main request in opposition</td>
</tr>
<tr>
<td>AUXREQ-O</td>
<td>AUXREQ-1.pdf</td>
<td>Auxiliary request in opposition</td>
</tr>
<tr>
<td>CD-FREP</td>
<td>CD-FREP-1.pdf</td>
<td>Document containing information about further representatives</td>
</tr>
<tr>
<td>CDAPPR-CHOA</td>
<td>CDAPPR-CHOA-1.pdf</td>
<td>Request for change of address - proprietor</td>
</tr>
<tr>
<td>CDAPPR-CHON</td>
<td>CDAPPR-CHON-1.pdf</td>
<td>Request for change of name - proprietor</td>
</tr>
<tr>
<td>CDAPPR-CHOR</td>
<td>CDAPPR-CHOR-1.pdf</td>
<td>Request for change of proprietor's representative</td>
</tr>
<tr>
<td>CDAPPR-TOR</td>
<td>CDAPPR-TOR-1.pdf</td>
<td>Request for transfer of rights - proprietor</td>
</tr>
<tr>
<td>CDOPPO-CHOA</td>
<td>CDOPPO-CHOA-1.pdf</td>
<td>Request for a change of address - opponent</td>
</tr>
<tr>
<td>CDOPPO-CHON</td>
<td>CDOPPO-CHON-1.pdf</td>
<td>Request for change of name - opponent</td>
</tr>
<tr>
<td>CDOPPO-CHOR</td>
<td>CDOPPO-CHOR-1.pdf</td>
<td>Request for change of opponent's representative</td>
</tr>
<tr>
<td>CDOPPO-TOR</td>
<td>CDOPPO-TOR-1.pdf</td>
<td>Request for transfer of rights - opponent</td>
</tr>
<tr>
<td>CLMSTRAN-DE</td>
<td>CLMSTRAN-DE-1.pdf</td>
<td>German translation of claims</td>
</tr>
<tr>
<td>CLMSTRAN-EN</td>
<td>CLMSTRAN-EN-1.pdf</td>
<td>English translation of claims</td>
</tr>
<tr>
<td>CLMSTRAN-FR</td>
<td>CLMSTRAN-FR-1.pdf</td>
<td>French translation of claims</td>
</tr>
</tbody>
</table>

① 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**

![GUI EP(Oppo) Opposition, Reference sub-tab for notice of opposition or intervention](Figure 188: 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" p. 189)
(10) Document type for notice of opposition or intervention, determined by (3)
(11) Language of filing (selected when creating a new application)

XML ep-opposition-data.xml

```
<?xml version="1.0" encoding="UTF-8"?>
<DOCTYPE ep-opinion-opposition-data SYSTEM "ep-opinion-opposition-data.dtd">
<ep-opinion-opposition-data lang="en" dtd-version="1.0" data-produced="20100221 17:20:13">
  <software_name KOL-->
  <software_version FM70599307, EPPOPO0027, FM_FOP5027-->
  <stylesheet_version 1-->
  <ep-op_version Version 0.20.6-->
  <file-reference-id>Opp 2 et oppon</file-reference-id>
  <publication-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP10036724</doc-number>
    </document-id>
  </publication-reference>
  <application-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP10664321.0</doc-number>
    </document-id>
  </application-reference>
  <gazette-reference>
    <gazette-num>
      <date>20100801</date>
    </gazette-num>
  </gazette-reference>
  <invention-title>Instant Water</invention-title>
  <assignees>
    <assignee>
      <name>Manzoni, Salvatore</name>
    </assignee>
  </assignees>
  <ep-opposition-external-party external-party-role="opponent">
    <ep-opposition-notice>
      <ep-external-files doc-type="2300E">
        <ep-financial-data curr="EUR">
          <ep-xmt-opposition-data>
```

Figure 189: Opposition XML: data for reference to the patent opposed
**Notice of opposition to a European patent**

I. **Patent opposed**

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Patent No.</td>
<td>4 EP788724</td>
</tr>
<tr>
<td>Application No.</td>
<td>5 EP10654321.8</td>
</tr>
<tr>
<td>Date of mention of the grant in the European Patent Bulletin (Art. 97(3), Art. 99(1) EPC)</td>
<td>6 01 June 2010</td>
</tr>
<tr>
<td>Title of the Invention</td>
<td>7 Instant Water</td>
</tr>
</tbody>
</table>

II. **Proprietor of the patent**

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>first named in the patent specification</td>
<td>Manzoni, Salvatore</td>
</tr>
<tr>
<td>Opponent's or representative's reference</td>
<td>Oppo_1st_oppon</td>
</tr>
</tbody>
</table>

III. **Opponent**

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>Micro York</td>
</tr>
</tbody>
</table>
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 191: Opposition GUI: other action selected](image)

**Element list**

1. Other action, determined by the `<ep-opposition-submission>` element
2. Action follows summons to oral proceedings
3. Proprietor selected, see *Names* (see "Names - Example 3: Proprietor responds to the opposition" p. 197)
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. 179).

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

```xml
<assignee>
  <name>Manzoni, Salvatore</name>
</assignee>
<opposition-proprietor>
  <ep-opposition-submission after-summons-to-co="yes"/>
</opposition-proprietor>
<ep-electronic-files doc-type="ORALLET"/>
<ep-financial-data cur="EUR"/>
</ep-opposition-data>
```

*Figure 192: XML data for submission of a document by the patent proprietor*
PDF ep-oppo.pdf

Submission in opposition proceedings

Sender:

Associes Lefevre
Brevets et marques deposees
10, place de la concorde
69003 Lyon
France

Phone: +33 4 7812 3456
Fax: +33 4 7812 3457
E-mail: lacroix@lefevre-associess.fr

20206 Munich
Germany
Tel. +49(0)89 2399-0 | Fax -4465

P.O. Box 5818
NL-2290 HV Rijswijk
Netherlands
Tel. +31(0)70 340-2040 | Fax -3016

10568 Berlin
Germany
Tel. +49(0)30 25991-0 | Fax -840

Mr. Salvatore Manzoni

Figure 193: 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

![Opposition GUI: Grounds for opposition](image1)

Opposition filed against specific claims

![Opposition against specific claims](image2)
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>
155  <opposition-filed-against>
157  <online-patient>
159  <opposition-filed-against>
160  <grounds-for-opposition>
162  <opposition-subject-matter>
164  <not-valid>
166  <not-valid-other-grounds>
169  <article-num>53(6)</article-num>
171  <not-valid-other-grounds>
177  <opposition-clarity>
180  <opposition-subject-matter-extension>
196  <grounds-for-opposition>
214  <ep-submission-requests>
215  <ep-opposition-notice>
```

Figure 196: XML data: grounds for opposition

Opposition filed against specific claims

```
31  <ep-opposition-external-party external-party-role="intervener">
84  <ep-opposition-notice>
94  <opposition-expert-witness to-be-summoned-party="party">
95  <opposition-filed-against>
96  <claim-num>12, 13, 14, 15</claim-num>
97  <opposition-filed-against>
99  <grounds-for-opposition>
132  <ep-submission-requests>
136  <ep-opposition-notice>
```

Figure 197: XML data: opposition is filed against the claims specified
V. Opposition is filed against

the patent as a whole

claim(s) Note(s).

VI. Grounds for opposition:

Opposition is based on the following grounds:

(a) the subject-matter of the European patent opposed is not patentable (Art. 100(a) EPC) because:

• 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 5.3(c) 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. 103(2) EPC).

8

Figure 198: Opposition PDF: grounds for opposition
8.4  EP(Oppo) Names

8.4.1  Names - Example 1: Opposition by multiple opponents

The example shows the data for three opponents, the first opponent being a legal person and represented by an employee. The address of the first opponent is also the address for correspondence.

GUI EP(Oppo) Opposition, Names tab

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

*Figure 199: Names GUI: First opponent represented by employee*
Element list

All names are contained in the `<ep-opposition-external-party>` element.

1. Opponent as the attribute of the multiple opponents names' group
2. 1st opponent
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. 2nd opponent
15. 3rd opponent
16. Address of correspondence is address of 1st opponent
17. 1st opponent 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
XML ep-opposition-data.xml, multiple opponents

```xml
<assignees>
  <ep-opposition-external-party external-party-role="opponent">
    <ep-external-party-participant>
      <name name-type="legal">Micro York</name>
      <address>
        <street>38, Fulction St</street>
        <city>York</city>
        <postcode>YO1 9QN</postcode>
        <country>GB</country>
      </address>
      <phone>+44 1904 880345</phone>
      <email>info@micro-york.co.uk</email>
      <nationality></nationality>
      <country>GB</country>
      <residence></residence>
    </ep-external-party-participant>
  </ep-opposition-external-party>
  <ep-opposition-external-party external-party-role="opponent">
    <ep-external-party-participant>
      <prefix>Ms</prefix>
      <last-name>Scott</last-name>
      <first-name>Jessica</first-name>
      <address></address>
      <correspondence-address></correspondence-address>
      <ep-authorisations></ep-authorisations>
      <ep-authorisation-number>MIC-10234-C</ep-authorisation-number>
      <ep-agents></ep-agents>
    </ep-external-party-participant>
  </ep-opposition-external-party>
</assignees>
```

Figure 200: XML data for multiple opponents, represented by employee
PDF ep-oppo.pdf, Form 2300E

Names and addresses of further opponents (14, 15) are listed on the additional sheet to EPO Form 2300E.

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
<th>9</th>
<th>10</th>
<th>11</th>
<th>12</th>
<th>13</th>
<th>14</th>
<th>15</th>
<th>16</th>
<th>17</th>
<th>18</th>
<th>19</th>
<th>20</th>
<th>21</th>
</tr>
</thead>
<tbody>
<tr>
<td>III. Opponent</td>
<td></td>
<td>Micro York</td>
<td>Patents</td>
<td>38, Fullerton St.</td>
<td>York Yorkshire YO1 9QN</td>
<td>United Kingdom</td>
<td></td>
<td></td>
<td>+44 1904 660345</td>
<td>+44 1904 660490</td>
<td><a href="mailto:info@micro-york.co.uk">info@micro-york.co.uk</a></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State of residence or of principal place of business</td>
<td></td>
<td>United Kingdom</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Address for correspondence</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Address</td>
<td>Patents</td>
<td>38, Fullerton St.</td>
<td>York Yorkshire YO1 9QN</td>
<td>United Kingdom</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Multiple opponents (see additional sheet)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>IV. Authorisation</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Name(s) of employee(s) of the opponent authorised to act in these opposition proceedings under Art. 133(3) EPC</td>
<td></td>
<td>Scott, Ms Jessica</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>have been registered under No.</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Page 192 of 345
8.4.2 Names - Example 2: Opposition by intervener

The example shows each one intervener, representative and witness.

GUI EP(Oppo) Opposition, Names tab

Figure 201: 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. Intervener as the attribute of the interveners group
2. 1st intervener
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. 1st representative (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

```xml
<opposition-external-party external-party-role="intervener">
  <op-external-party-participants>
    <op-external-party-participant sequence="1">
      <addressbook>
        <prefix/>
        <first-name>Burton</first-name>
        <org-name>Organization</org-name>
        <department>Department</department>
        <registered-number>0.0</registered-number>
        <address>
          <street>20, London Road</street>
          <city>Manchester</city>
          <state>Greater Manchester</state>
          <postcode>M1 1AB</postcode>
        </address>
        <phone>44 161 434 1234</phone>
        <fax>44 161 434 5678</fax>
        <email>info@peter-burton.co.uk</email>
      </addressbook>
      <nationality>GB</nationality>
      <residence>GB</residence>
    </op-external-party-participant>
    <op-external-party-participants>
      <op-agent sequence="1" rep-type="agent">
        <op-agents>
          <op-opposition-external-party>
            <op-opposition-notice>
              <oposition-expert-witness to-be-summoned-id="party">
                <addressbook>
                  <prefix/>
                  <first-name>Malcolm</first-name>
                </addressbook>
              </oposition-expert-witness>
            </op-opposition-notice>
          </op-opposition-external-party>
        </op-agents>
      </op-agent>
    </op-external-party-participants>
  </op-external-party-participants>
</opposition-external-party>
```

**Figure 202: Names XML: intervener's data and witness**
**PDF ep-oppo.pdf, intervener**

1. **Intervener**

   - Name: Burton Peter
   - Address: 20, London Road, Manchester Greater Manchester M1 1AB, United Kingdom
   - State of residence or principal place of business: United Kingdom
   - Country of nationality: United Kingdom
   - Telephone/Fax: +44 161 434 1234, +44 161 434 5678
   - E-mail: info@peter-burton.co.uk

   Multiple intervenors (see additional sheet): [ ]

4. **Authorization**

   18. **Representative**

      - 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 203: Form 2300E PDF: intervener**

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

**Additional Sheet(s) to Form EP2300E**

- **Witness(es)**

   20. **Witness**

      - Harper, Mr. Malcolm

   to be summoned via: Opponent

**Figure 204: 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**

![Names GUI: representative's data](image)

*Figure 205: 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. 1st proprietor
3. Representative(s)
4. 1st representative
5. Witness
6. Witness' name and address
7. Company name, legal person
8. Department
9. Association (if applicable)
10. Registration number
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
XML ep-opposition-data.xml, proprietor and representative

<table>
<thead>
<tr>
<th>Line</th>
<th>XML Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>25</td>
<td>&lt;assignees&gt;</td>
<td>Start assignees tag</td>
</tr>
<tr>
<td>26</td>
<td>&lt;/assignees&gt;</td>
<td>End assignees tag</td>
</tr>
<tr>
<td>27</td>
<td>&lt;ep-opposition-proprietor&gt;</td>
<td>Start ep-opposition-proprietor tag</td>
</tr>
<tr>
<td>28</td>
<td>&lt;/ep-opposition-proprietor&gt;</td>
<td>End ep-opposition-proprietor tag</td>
</tr>
<tr>
<td>29</td>
<td>&lt;file-reference-id&gt;</td>
<td>Start file-reference-id tag</td>
</tr>
<tr>
<td>30</td>
<td>&lt;/file-reference-id&gt;</td>
<td>End file-reference-id tag</td>
</tr>
<tr>
<td>31</td>
<td>&lt;ep-parties&gt;</td>
<td>Start ep-parties tag</td>
</tr>
<tr>
<td>32</td>
<td>&lt;/ep-parties&gt;</td>
<td>End ep-parties tag</td>
</tr>
<tr>
<td>33</td>
<td>&lt;applicants&gt;</td>
<td>Start applicants tag</td>
</tr>
<tr>
<td>34</td>
<td>&lt;/applicants&gt;</td>
<td>End applicants tag</td>
</tr>
<tr>
<td>35</td>
<td>&lt;applicant sequence=&quot;1&quot; designation=&quot;as-indicated&quot; app-type=&quot;applicant&quot;&gt;</td>
<td>Start applicant tag with sequence 1, designation as-indicated, and app-type applicant</td>
</tr>
<tr>
<td>36</td>
<td>&lt;/applicant&gt;</td>
<td>End applicant tag</td>
</tr>
<tr>
<td>37</td>
<td>&lt;ep-agents&gt;</td>
<td>Start ep-agents tag</td>
</tr>
<tr>
<td>38</td>
<td>&lt;/ep-agents&gt;</td>
<td>End ep-agents tag</td>
</tr>
<tr>
<td>39</td>
<td>&lt;ep-agent sequence=&quot;1&quot; rep-type=&quot;common-representative&quot;&gt;</td>
<td>Start ep-agent tag with sequence 1 and rep-type common-representative</td>
</tr>
<tr>
<td>40</td>
<td>&lt;/ep-agent&gt;</td>
<td>End ep-agent tag</td>
</tr>
<tr>
<td>41</td>
<td>&lt;last-name&gt;Asselin&amp;A#233; Lr&amp;A#233;n&amp;rA#233;e&lt;/last-name&gt;</td>
<td>Represents the last name of the representative</td>
</tr>
<tr>
<td>42</td>
<td>&lt;first-name/&gt;</td>
<td>Empty tag for first name</td>
</tr>
<tr>
<td>43</td>
<td>&lt;suffix&gt;/suffix&gt;</td>
<td>Tag for suffix, content is empty</td>
</tr>
<tr>
<td>44</td>
<td>&lt;department&gt;Brevets et marques d&amp;#233;p&amp;#233;pos&amp;#233;age&lt;/department&gt;</td>
<td>Represents the department</td>
</tr>
<tr>
<td>45</td>
<td>&lt;registered-number&gt;0.0&lt;/registered-number&gt;</td>
<td>Represents the registered number</td>
</tr>
<tr>
<td>46</td>
<td>&lt;address&gt;</td>
<td>Start address tag</td>
</tr>
<tr>
<td>47</td>
<td>&lt;street&gt;10, place de la concorde&lt;/street&gt;</td>
<td>Street address</td>
</tr>
<tr>
<td>48</td>
<td>&lt;city&gt;Ly&amp;#233;&lt;/city&gt;</td>
<td>City</td>
</tr>
<tr>
<td>49</td>
<td>&lt;state/&gt;</td>
<td>Tag for state, content is empty</td>
</tr>
<tr>
<td>50</td>
<td>&lt;postcode&gt;75003&lt;/postcode&gt;</td>
<td>Postcode</td>
</tr>
<tr>
<td>51</td>
<td>&lt;country&gt;FR&lt;/country&gt;</td>
<td>Country</td>
</tr>
<tr>
<td>52</td>
<td>&lt;/address&gt;</td>
<td>End address tag</td>
</tr>
<tr>
<td>53</td>
<td>&lt;phone&gt;+33 4 7812 4567&lt;/phone&gt;</td>
<td>Phone number</td>
</tr>
<tr>
<td>54</td>
<td>&lt;fax&gt;+33 4 7812 4576&lt;/fax&gt;</td>
<td>Fax number</td>
</tr>
<tr>
<td>55</td>
<td>&lt;email&gt;<a href="mailto:lacronix@lefebvre-associes.fr">lacronix@lefebvre-associes.fr</a>&lt;/email&gt;</td>
<td>Email address</td>
</tr>
<tr>
<td>56</td>
<td>&lt;addressbook&gt;</td>
<td>Start addressbook tag</td>
</tr>
<tr>
<td>57</td>
<td>&lt;country&gt;FR&lt;/country&gt;</td>
<td>Country</td>
</tr>
<tr>
<td>58</td>
<td>&lt;/addressbook&gt;</td>
<td>End addressbook tag</td>
</tr>
<tr>
<td>59</td>
<td>&lt;ep-authorisations&gt;</td>
<td>Start ep-authorisations tag</td>
</tr>
<tr>
<td>60</td>
<td>&lt;ep-authorisation-number&gt;AS-23904567&lt;/ep-authorisation-number&gt;</td>
<td>Represents the authorisation number</td>
</tr>
<tr>
<td>61</td>
<td>&lt;/ep-authorisations&gt;</td>
<td>End ep-authorisations tag</td>
</tr>
<tr>
<td>62</td>
<td>&lt;/ep-agents&gt;</td>
<td>End ep-agents tag</td>
</tr>
<tr>
<td>63</td>
<td>&lt;/ep-parties&gt;</td>
<td>End ep-parties tag</td>
</tr>
<tr>
<td>64</td>
<td>&lt;/ep-opposition-proprietor&gt;</td>
<td>End ep-opposition-proprietor tag</td>
</tr>
<tr>
<td>65</td>
<td>&lt;opposition-submission after-sunmons-to-ag=&quot;yes&quot;&gt;</td>
<td>Start opposition-submission tag with after-sunmons-to-ag attribute set to yes</td>
</tr>
<tr>
<td>66</td>
<td>&lt;/opposition-submission&gt;</td>
<td>End opposition-submission tag</td>
</tr>
<tr>
<td>67</td>
<td>&lt;/ep-submission-requests&gt;</td>
<td>End ep-submission-requests tag</td>
</tr>
</tbody>
</table>

Figure 206: Names XML: representative's data
PDF ep-oppo.pdf, representative and proprietor

Submission in opposition proceedings

Sender

7 Associés Lefèvre
Brevets et marques déposées
10, place de la concorde
69003 Lyon
France

Phone: +33 4 7812 3456
Fax: +33 4 7812 3457
E-mail: lacroix@lefevre-associes.fr

- representing the proprietor(s):

2 Mr. Salvatore Manzoni

8 X2006 Munich
Germany
Tel. +49(0)89 2399-0 | Fax -4485

P. O. Box 5818
NL-2290 HJ Rijswijk
Netherlands
Tel. +31(0)70 340-2040 | Fax -3016

10558 Berlin
Germany
Tel. +49(0)30 25901-0 | Fax -840

Figure 207: Submission form PDF: representative’s address used for communication
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 208: 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. 197)), 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. 1st representative
3. Third party(ies)
4. 1st third party
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

```
<assignees>
  <ep-opposition-external-party external-party-role="third-party">
    <ep-external-party-participants>
      <ep-external-party-participant sequence="1">
        <name name-type="legal">Parker &amp; Partners</name>
        <registered-number><registered-number></registered-number>
        <address>
          <street>287, Harbour Road</street>
          <city>Dover</city>
          <state>Kent</state>
          <country>GB</country>
        </address>
        <phone></phone>
        <fax></fax>
        <email></email>
        <residency>
        </residency>
        <ep-external-party-participants>
      </ep-external-party-participant>
    </ep-external-party-participants>
  </ep-opposition-external-party>
</assignees>
```

Figure 209: Names XML: data on third party
PDF ep-oppo.pdf, representative and third party

Third party observation

2 Ms Christina Portland
IP Partners
Patents and Trademarks
123 City Street
London Greater London W1A 8BC
United Kingdom

Phone: +44 20 123 4567
Fax: +44 20 123 6789
E-mail: c.portland@ip-partners.co.uk

20256 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 -2016

10568 Berlin
Germany
Tel. +49(0)30 25901-0 | Fax -840

3 for the third party/parties:

4 Parker & Partners

Figure 210: PDF Third party observation: 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.

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.

Note: Third parties cannot file any requests.

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 auxiliarily option, request for interpreting, request for accelerated processing and an other request.

The same options are available for the interveners in case of notice of intervention.

GUI EP(Oppo), Requests tab

Figure 211: 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

```
25  <assignees>
31   <ep-opposition-external-party external-party-role="opponent">
32     <ep-opposition-external-party-participants>
33       <ep-opinion-external-party-participants sequence="1"/>
56       <ep-opinion-external-party-participants sequence="2"/>
79       <ep-opinion-external-party-participants sequence="3"/>
105      </ep-opinion-external-party-participants>
106      <ep-agents>
107         <ep-agent sequence="1" rep-type="employee"/>
121      </ep-agents>
122     </ep-opinion-external-party>
123    </ep-opposition-notice>
124    <opposition-expert-witness>
125    </opposition-expert-witness>
126    <opposition-filed-against>
127    </opposition-filed-against>
128    <grounds-for-opposition>
129    </grounds-for-opposition>
130    <ep-submission-requests>
131       <ep-submission-request request-type="oral-proceedings" auxiliary-request="yes"/>
132       <ep-submission-request request-type="interpretation-oral-proceedings" lang-speaking="en" lang-listening="fr"/>
133       </ep-submission-request>
134       <ep-submission-request request-type="hearing-of-witness"/>
135       <ep-submission-request request-type="acceleration-proceedings"/>
136       <ep-submission-request request-type="other"/>
137       <ep-submission-request request-comment>
138           <ep-num>0001</ep-num> We request access for file inspection.
139       </ep-submission-request>
140       <ep-submission-request>
141       </ep-submission-requests>
142    </ep-opposition-notice>
```

Figure 212: XML data: Requests by opponent
PDF ep-oppo.pdf

VIII. Other requests:

1. Oral proceedings are hereby requested auxiliarily.
2. Interpreting is requested in the following languages:
   - listening in French
   - speaking in French
3. The taking of evidence in the form of the hearing of a witness is hereby requested.
   For witness details see additional sheet.
4. Accelerated processing is hereby requested.
5. We request access for file inspection.
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

![Figure 214: Request GUI: Withdrawal of opposition](image)

Element list

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

XML ep-opposition-data.xml

```
<Assignees>

<op-opposition-external-party external-party-role="opponent">
    <ep-external-party-participants>
        ...
    </ep-external-party-participants>
</op-opposition-external-party>

<op-opposition-submission after-summons-to-ep="no">
    ...
</op-opposition-submission>

<op-submission-requests>
    <op-submission-request request-type="opposition-withdrawn"/>
</op-submission-requests>

</Assignees>
```

![Figure 215: XML data: Request for withdrawal of opposition](image)

PDF ep-oppo.pdf

![Figure 216: PDF form: Requests](image)
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

![Requests GUI: Requests by proprietor](image)

**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

Figure 217: Requests GUI: Requests by proprietor
XML ep-opposition-data.xml

```xml
<assignees>
  <ep-opposition-propriator>
    <file-reference-id/>
    <ep-parties>
      <applicant>
        <applicant-sequence="1" designation="as-indicated" app-type="applicant">...
      </applicant>
    </ep-parties>
  </ep-opposition-propriator>
  <ep-opposition-submission after-summons-to-op="yes">
    <opposition-export-witness>
      <ep-submission-requests>
        <ep-submission-request request-type="oral-proceedings-withdrawn">
        </ep-submission-request>
        <ep-submission-request request-type="hearing-of-witness">
          <time-limit time-unit="months">2</time-limit>
        </ep-submission-request>
        <ep-submission-request-comment>
          <ep-num>1004</ep-num>
          The proprietor of the patent cannot take part in oral proceedings due to serious illness.
        </ep-submission-request-comment>
      </ep-submission-requests>
    </opposition-export-witness>
  </ep-opposition-submission>
</assignees>
```

Figure 218: Requests XML: Proprietor's requests

PDF ep-oppo.pdf

Requests:

1. The request for oral proceedings is hereby withdrawn.
2. An extension of the time limit of 2 month(s) is hereby requested.
3. The taking of evidence in the form of the hearing of a witness is hereby requested.
4. Reason: The proprietor of the patent cannot take part in oral proceedings due to serious illness.

Witness(es)

Figure 219: 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

![Requests tab: Revocation of the patent]

Element list

1. Request for revocation of the patent by proprietor
2. Submission in opposition procedure selected
3. Proprietor added
4. Only one applicant (i.e., the proprietor) can be named

XML ep-opposition-data.xml

```xml
<assignees>
  <ep-opposition-proprietor>
    <file-reference-id/>
    <ep-parties>
      <applicant>
        <applicant sequence="1" designation="as-indicated" app-type="applicant">
          <ep-agents>
            <ep-opposition-proprietor>
              <ep-opposition-submission after-summons-to-ep="yes">1</ep-opposition-submission>
              <opposition-expert-witness>
                <ep-submission-request request-type="revocation"/>
              </opposition-expert-witness>
            </ep-opposition-submission>
          </ep-agents>
        </applicant>
      </ep-parties>
    </ep-opposition-proprietor>
  </assignees>

Figure 221: Requests XML: Proprietor requests for revocation of the patent
```

PDF ep-oppo.pdf

![Requests PDF: Revocation of the patent by the proprietor]

```
Requests:

1. Revocation of the patent is hereby requested.

Witness(es)
```

Figure 222: 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. 179).

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. 212)
Documents - Example 2: Second communication by opponent (p. 215)
Documents - Example 3: Reply to opposition by proprietor (p. 217)
Documents - Example 4: Third party observations (p. 220)

The options in the Evidence - publications (p. 222) and Evidence - other (p. 233) sub-tabs are identical for all cases of communication and persons.

Data in package-data.xml file

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.
8.6.1 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**

![EP(Oppo) Documents GUI, Documents sub-tab](image)

*Figure 223: 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

```xml
<file-reference-id>Opp_1_et_oppon</file-reference-id>
<publication-reference>
  <invention-title>Instant Water</invention-title>
  <assignees>
    <ep-opposition-external-party external-party-role="opponent">
    </ep-opposition-external-party>
  </assignees>
</publication-reference>
<ep-electronic-files doc-type="2300E">
  <applicant-file-name/>
  <ep-file-name>ep-oppo.pdf</ep-file-name>
  <ep-electronic-files doc-type="FACTS_ARGMTS">...
  <ep-electronic-files doc-type="CD-FREP">...
  <ep-electronic-files doc-type="CD-FREP-1">...
  <ep-electronic-files doc-type="PATENT">...
  <ep-electronic-files doc-type="ARTICLE">...
  <ep-electronic-files doc-type="DATABASE">...
  <ep-electronic-files doc-type="INTERNET">...
  <ep-financial-data cure="EUR">
</ep-xmit-opposition-data>
```

Figure 224: Documents data in XML file
XML package-data.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE package-data SYSTEM "package-data.dtd">
<package-data lang="en" dtd-version="1.0" produced-by="applicant">
  <transmittal-info>
    <signatories>
      <other-doc file="ep-oppo.pdf" file-type="pdf">
        <document-name>2300 E</document-name>
      </other-doc>
    </signatories>
    <other-doc file="ep-oppo.pdf" file-type="pdf">
      <document-name>FACTS & ARGMTS</document-name>
    </other-doc>
    <other-doc file="CD-FREP-1.pdf" file-type="pdf">
      <document-name>CD-FREP</document-name>
    </other-doc>
    <other-doc file="Published-Evidence-1.pdf" file-type="pdf">
      <document-name>Facts and arguments</document-name>
    </other-doc>
    <other-doc file="Published-Evidence-2.pdf" file-type="pdf">
      <document-name>OPPO.pdf</document-name>
    </other-doc>
    <other-doc file="Published-Evidence-3.pdf" file-type="pdf">
      <document-name>System file name: Micro York Representative Info.pdf</document-name>
      <document-name>CD-FREP-1.pdf</document-name>
    </other-doc>
    <other-doc file="Published-Evidence-4.pdf" file-type="pdf">
      <document-name>System file name: Micro York Representative Info.pdf</document-name>
      <document-name>CD-FREP-1.pdf</document-name>
    </other-doc>
    <other-doc file="Published-Evidence-5.pdf" file-type="pdf">
      <document-name>System file name: Micro York Representative Info.pdf</document-name>
      <document-name>CD-FREP-1.pdf</document-name>
    </other-doc>
  </other-docs>
</package-data>
```

Figure 225: References to attached files in package-data.xml

PDF ep-oppo.pdf

<table>
<thead>
<tr>
<th>Attached document files</th>
<th>Original file name:</th>
<th>System file name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Facts and arguments</td>
<td>Micro York Opposition Instant Water.pdf</td>
<td>OPPO.pdf</td>
</tr>
<tr>
<td>2 CD-FREP-1.pdf</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 Published-Evidence-1.pdf</td>
<td>System file name: Micro York Opposition Instant Water.pdf</td>
<td>OPPO.pdf</td>
</tr>
<tr>
<td>4 Published-Evidence-2.pdf</td>
<td>System file name: Micro York Representative Info.pdf</td>
<td>CD-FREP-1.pdf</td>
</tr>
<tr>
<td>5 Published-Evidence-3.pdf</td>
<td>System file name: Micro York Representative Info.pdf</td>
<td>CD-FREP-1.pdf</td>
</tr>
<tr>
<td>6 Published-Evidence-4.pdf</td>
<td>System file name: Micro York Representative Info.pdf</td>
<td>CD-FREP-1.pdf</td>
</tr>
<tr>
<td>7 Published-Evidence-5.pdf</td>
<td>System file name: Micro York Representative Info.pdf</td>
<td>CD-FREP-1.pdf</td>
</tr>
</tbody>
</table>

Figure 226: 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 227: 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

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">
64     <applicant-file-name>
65     <epa-file-name>ep-oppa.pdf</epa-file-name>
66     <ep-electronic-files>
67     <ep-electronic-files doc-type="OPPEX">
68     <applicant-file-name>Reply to the communication concerning admissibility.pdf</applicant-file-name>
69     <epa-file-name>OPPEX.pdf</epa-file-name>
70     </ep-electronic-files>
71 <ep-electronic-files doc-type="DOBS3">
72     <applicant-file-name>Reply to observations made by the patent proprietor.pdf</applicant-file-name>
73     <epa-file-name>DOBS3.pdf</epa-file-name>
74     </ep-electronic-files>
112 </ep-electronic-files>
```

Figure 228: Documents XML: attachments by opponent in 2nd communication

PDF ep-oppo.pdf

```
<table>
<thead>
<tr>
<th>Description of document</th>
<th>Original file name</th>
<th>Assigned file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Reply to the communication concerning admissibility of an opposition</td>
<td>Reply to the communication concerning admissibility.pdf</td>
<td>OPPEX.pdf</td>
</tr>
<tr>
<td>2 Reply from the opponent to submission of proprietor</td>
<td>Reply to observations made by the patent proprietor.pdf</td>
<td>DOBS3.pdf</td>
</tr>
</tbody>
</table>
```

Figure 229: 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
- 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

![Documents GUI: Proprietor files document in reply to the opposition](image-url)
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
Note that the document code for the EP(Oppo) form is **ORALLETT** in the case of 2nd communication after summons to oral proceedings.

```xml
<ep-opposition-proprietor>
  <ep-opposition-submission after-summons-to-ep="yes"/>
</ep-opposition-proprietor>
```

**Figure 231:** Documents XML: attached documents in 2nd communication by proprietor

**PDF ep-oppo.pdf**

```
<table>
<thead>
<tr>
<th>Description of document</th>
<th>Original file name</th>
<th>Assigned file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Reply of the patent proprietor to the notice of opposition</td>
<td>Reply to notice of opposition.pdf</td>
<td>OBSCO3.pdf</td>
</tr>
<tr>
<td>2 Main request in opposition</td>
<td>Main Request Document.pdf</td>
<td>MAINREQ-1.pdf</td>
</tr>
<tr>
<td>3 Auxiliary request in opposition</td>
<td>Auxiliary Request Document.pdf</td>
<td>AUXREQ-1.pdf</td>
</tr>
<tr>
<td>4 German translation of claims</td>
<td>German Translation of Claims.pdf</td>
<td>CLMSTRANGE.pdf</td>
</tr>
<tr>
<td>5 French translation of claims</td>
<td>French Translation of Claims.pdf</td>
<td>CLMSTRAN-FR.pdf</td>
</tr>
</tbody>
</table>
```

**Figure 232:** 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**

![Document GUI](image)

*Figure 233: 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.

```xml
31   <ep-opposition-external-party external-party-role="third-party">
30    <ep-opposition-submission after-summons-to-op="no">
81    <ep-electronic-files doc-type="TIPA1">
82     <applicant-file-name/>
84     <epo-file-name>ep-oppo.pdf</epo-file-name>
85     <ep-electronic-files doc-type="TDOC">
90     <applicant-file-name>Observation Parker and Partner.pdf</applicant-file-name>
87     <epo-file-name>TDOC.pdf</epo-file-name>
83     <ep-electronic-files doc-type="TDOC">
91     <epo-file-name>TDOC-1.pdf</epo-file-name>
92     <ep-electronic-files>
93     <ep-financial-data curr="EUR">
130   <ep-xml-opposition-data>
```

Figure 234: Documents XML: references to files attached by third party

**PDF ep-oppo.pdf**

**Documents attached:**

<table>
<thead>
<tr>
<th>Description of document</th>
<th>Original file name</th>
<th>Assigned file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Citation filed by a third party</td>
<td>Observation Parker and Partner.pdf</td>
<td>TDOC.pdf</td>
</tr>
<tr>
<td>2 Citation filed by a third party</td>
<td>Observation Parker and Partner 2009.pdf</td>
<td>TDOC-1.pdf</td>
</tr>
</tbody>
</table>

Figure 235: 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

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  <app-opposition-external-party external-party-role="opponent">
123  <app-opposition-notice>
171  <app-opposition-evidence party-reference="B04">
184  <app-opposition-evidence party-reference="B01">
206  <app-opposition-evidence party-reference="B06">
229  <app-opposition-evidence party-reference="B07">
247  <app-opposition-evidence party-reference="B02">
269  <ep-electronic-files doc-type="2300E">
270  <ep-electronic-files doc-type="FACTS.Arg.MTS">
274  <ep-electronic-files doc-type="CD-FREP">
278  <ep-electronic-files doc-type="PATENT">
279  <applicant-file-name>BO1_nukleisierter_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>BO1 Artikel Nanotechnology Aug 2005.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>BO2_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>BO7_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>BO2 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">
336  </epo-xmtp-opposition-data>
```

Figure 236: 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

Figure 237: 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**

```xml
<ep-opposition-notice>
  <ep-opposition-evidence party-reference="BO4">
    <!-- Document details -->
    <document id="1" file="Published-Evidence-1.pdf">
      <country>DE</country>
      <doc-number>DE 1070040</doc-number>
      <kind>C2</kind>
      <date>20050728</date>
    </document>
    <ref-passage>
      <text>page 4, lines 18-29</text>
    </ref-passage>
  </ep-opposition-evidence>
</ep-opposition-notice>
```

*Figure 238: XML data for citation of a patent*

**PDF ep-opppo.pdf, Evidence section: patent**

*Figure 239: Evidence PDF: patent*
GUI EP(Oppo) Documents, Evidence - publications sub-tab, Articles publication

Figure 240: 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

```xml
<ep-opposition-evidence party-reference="B01">  
  <expLot numb="2" file="Published-Evidence-2.pdf">  
    <article>  
      <author>  
        <last-name>Foster</last-name>  
        <first-name>Joseph</first-name>  
        <suffix>et al.</suffix>  
      </author>  
      <title>Process of humidification of surfaces using powdered water</title>  
      <subtitle>Nanotechnology - Progress in surface treatments</subtitle>  
      <pubdate>20080819</pubdate>  
      <evident id="Evident">  
        <serial>  
          <serial>977-3-1234-6576-3</serial>  
        </serial>  
        <article>  
          <text>Page 35, Fig. 5</text>  
        </article>  
      </evident>  
    </article>  
  </expLot>  
</ep-opposition-evidence>
```

Figure 241: XML data for citation of an article

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

```latex
\begin{figure}[h]
\centering
\includegraphics[width=\textwidth]{Evidence_PDF_article.png}
\caption{Evidence PDF: article}
\end{figure}
```

Page 226 of 345
GUI EP(Oppo) Documents, Evidence - publications sub-tab, Books publication

Figure 243: Documents GUI: Data of a book as evidence

Element list

1. Citation type Book (non-patent literature)
2. EPO file name
3. Original file name
4. Applicant's reference
5. Author's last name
6. Author's first name
7. Book title
8. Publication date / year
9. Publisher
10. Place of publication
11. ISBN number
12. Edition number
13. Passages of particular relevance
XML ep-opposition-data.xml, data for book publication

```xml
<ep-opposition-evidence party-reference="BO6"> 
  <plot num="3" file="Published-Evidence-3.pdf"> 
    <author> 
      <last-name>Kensington</last-name> 
      <first-name>Harold</first-name> 
    </author> 
    <edition>3rd</edition> 
    <imprint> 
      <address> 
        <name>Blackwater House Publishers</name> 
      </address> 
      <pubdate>2009</pubdate> 
      <isbn>978-2-4321-6785-3</isbn> 
    </imprint> 
    <pages>345-356</pages> 
  </plot> 
</ep-opposition-evidence>
```

Figure 244: XML data for citation of a book

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

![PDF content](image)

Figure 245: Evidence PDF: book
GUI EP(Oppo) Documents, Evidence - publications sub-tab, Database publication

![Image of GUI with elements labeled](image)

**Figure 246: Documents GUI: Data of a book as evidence**

**Element list**

1. Citation type **Database** (non-patent literature)
2. EPO file name
3. Original file name
4. Applicant's reference
5. Name of publishing organisation
6. Title of database
7. Host / database name
8. Publication date
9. Host / database accession number
10. Abstract / accession number
11. Owner / service / url
12. Date of search
XML ep-opposition-data.xml, data for database publication

```xml
<ep-opposition-evidence>
  <ep-opposition-evidence party-reference="B07">2</em>  
  <ep-detail name="4" file="Published-Evidence-4.pdf">1</em>  
  <online>
    <author>
      <orgname>Institute of Polymer Research</orgname>5
    </author>
    <online-title>Research Database of the Institute of Polymer Research</online-title>6
    <hosttitle>Polymer Database</hosttitle>7
    <pubdate>2009/10/29</pubdate>8
    <host>2345.0903</host>
    <enhance>546</enhance>9
    <avail>http://www.polymer.org/research/database.php</avail>0
    <sridate>11</sridate>
    <srdate>2010/06/04</srdate>12
  </online>
</ep-opposition-evidence>
```

Figure 247: XML data for citation of database

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

```
B07  Non-patent literature - database

Institute of Polymer Research, "Research Database of the Institute of Polymer Research"
Host: Polymer Database, No. 2345.0909, accession: 345.10
Available from: [http://www.polymer.org/research/database.php]
```

Figure 248: Evidence PDF: database
GUI EP(Oppo) Documents, Evidence - publications sub-tab, Internet publication

![GUI EP(Oppo) Documents, Evidence - publications sub-tab, Internet publication](image)

**Figure 249: Documents GUI: Data of an internet publication as evidence**

**Element list**

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Citation type <strong>Internet</strong> (non-patent literature)</td>
</tr>
<tr>
<td>2</td>
<td>EPO file name</td>
</tr>
<tr>
<td>3</td>
<td>Original file name</td>
</tr>
<tr>
<td>4</td>
<td>Applicant's reference</td>
</tr>
<tr>
<td>5</td>
<td>URL of Internet publication</td>
</tr>
<tr>
<td>6</td>
<td>Title of Internet publication</td>
</tr>
<tr>
<td>7</td>
<td>Publication date</td>
</tr>
<tr>
<td>8</td>
<td>Retrieval date</td>
</tr>
<tr>
<td>9</td>
<td>Author's last name</td>
</tr>
<tr>
<td>10</td>
<td>Author's first name</td>
</tr>
<tr>
<td>11</td>
<td>Passages of particular relevance</td>
</tr>
</tbody>
</table>
XML ep-opposition-data.xml, data for Internet publication

```xml
<ep-opposition-evidence party-reference="B02">
  <plot næv="5" file="Published-Evidence-5.pdf">
    <online>
      <author>
        <last-name>Foster</last-name>
        <first-name>Joseph</first-name>
      </author>
      <online-title>
        World of molecules - Novelty water powder successfully tested for surface coating
      </online-title>
      <pubdate>20090101</pubdate>
      <url>www.nanotechnology.info/publish/articles/091123WaterPowder.html</url>
      <date>2010-04-06</date>
      <text>
        lines 245-290
      </text>
      <epc-acct>
        <epc reference="B02">
          <non-pat-lit-internet>
            Foster, Joseph, "World of molecules - Novelty water powder successfully tested for surface coating"
            01.09.2009, (called 06.04.2010)
            Available from:
            [www.nanotechnology.info/publish/articles/091123WaterPowder.html]
            original filename: B02 Internet Nanotechnology.pdf
            attached as: Published-Evidence-5.pdf
          </non-pat-lit-internet>
        </epc>
      </text>
    </online>
  </plot>
</ep-opposition-evidence>
```

Figure 250: XML data for citation of Internet publication

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

Figure 251: 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 252: Documents GUI: Other evidence filed by opponent]
### Element list

<table>
<thead>
<tr>
<th></th>
<th>Document type</th>
<th>Applicant's reference</th>
<th>EPO file name</th>
<th>Original file name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Document type <em>Affidavit</em></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Applicant's reference</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>EPO file name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Original file name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Document type <em>Image or Photo</em></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Applicant's reference</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>EPO file name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Original file name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Document type <em>Cover letter for non scannable object</em></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Applicant's reference</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>EPO file name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Original file name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Document type <em>Other evidence</em></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Applicant's reference</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Description of other evidence</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>EPO file name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Original file name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>Document type <em>Translation of evidence</em></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>Applicant's reference</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>EPO file name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>Original file name</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
XML ep-opposition-data.xml

Figure 253: XML data for other evidence: details and file references
## PDF ep-oppo.pdf

<table>
<thead>
<tr>
<th>Evidence filed subsequently:</th>
<th>Original file name</th>
<th>Attached as</th>
</tr>
</thead>
<tbody>
<tr>
<td>D04 Other evidence</td>
<td>D04 Miller Reference Sheet.pdf</td>
<td>Model-Reference-1.pdf</td>
</tr>
<tr>
<td>D06 Other evidence</td>
<td>Instant Water Photo.pdf</td>
<td>evidence-image-1.pdf</td>
</tr>
<tr>
<td>D07 Other evidence</td>
<td>D07 Miller Affidavit.pdf</td>
<td>Affidavit-1.pdf</td>
</tr>
<tr>
<td>D08 Other evidence</td>
<td>D08 Translation of evidence.pdf</td>
<td>Evidence-Trans-1.pdf</td>
</tr>
<tr>
<td>D12 Other evidence</td>
<td>Institute of Polymers Paper.pdf</td>
<td>Other-evidence-1.pdf</td>
</tr>
</tbody>
</table>

**Figure 254: Documents PDF: Evidence filed subsequently by opponent**
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).

8.7.1 Payment details

The structure of the XML data in EP(Oppo) is the same as in the other EP procedures. The example below shows payment details entered by the opponent.

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

![Payment details GUI](image)

**Figure 255: 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

```
<ep-electronic-files doc-type="DATABASE">
<ep-electronic-files doc-type="INTERNET">
<mode-of-payment accno="28123456" mode-type="deposit" currency="EUR">Micro York</mode-of-payment>
<reimbursement accno="28123000">Kennacott, James</reimbursement>
<fees date="20100101">
<standard-fee>
```

Figure 256: Fee Payment XML data for payment details

PDF ep-oppo.pdf

```
X  Payment
Mode of payment

Debit from deposit account

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

Currency EUR

Deposit account number 28123456

Account holder Micro York

Refunds

Any refunds should be made to EPO deposit account 28123000

Account holder Kennacott, James
```

Figure 257: 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

Figure 258: 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

```xml
<fee index="5" type="no">
  <fee index="10" type="yes">
    <fee index="17" type="yes">
      <fee index="16" type="yes">
        <fee index="15" type="yes">
          <fee index="14" type="yes">
            <fee index="13" type="yes">
              <fee index="12" type="yes">
                <fee index="11" type="yes">
                  <fee index="10" type="yes">
                    <fee index="9" type="yes">
                      <fee index="8" type="yes">
                        <fee index="7" type="yes">
                          <fee index="6" type="yes">
                            <fee index="5" type="yes">
                              <fee index="4" type="yes">
                                <fee index="3" type="yes">
                                  <fee index="2" type="yes">
                                    <fee index="1" type="yes">
                                      <fee index="0" type="yes">
                                        <fee index="16" type="yes">
                                          <fee index="15" type="yes">
                                            <fee index="14" type="yes">
                                              <fee index="13" type="yes">
                                                <fee index="12" type="yes">
                                                  <fee index="11" type="yes">
                                                    <fee index="10" type="yes">
                                                      <fee index="9" type="yes">
                                                        <fee index="8" type="yes">
                                                          <fee index="7" type="yes">
                                                            <fee index="6" type="yes">
                                                              <fee index="5" type="yes">
                                                                <fee index="4" type="yes">
                                                                  <fee index="3" type="yes">
                                                                    <fee index="2" type="yes">
                                                                      <fee index="1" type="yes">
                                                                        <fee index="0" type="yes">

Figure 259: Fee selection XML data

PDF ep-oppo.pdf

<table>
<thead>
<tr>
<th>Fees</th>
<th>Factor applied</th>
<th>Fee schedule</th>
<th>Amount to be paid</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 Opposition fee</td>
<td>4</td>
<td>705.00</td>
<td>705.00</td>
</tr>
<tr>
<td>Fee for the awarding of costs</td>
<td>9</td>
<td>65.00</td>
<td>65.00</td>
</tr>
<tr>
<td>Fee for the conservation of evidence</td>
<td>14</td>
<td>65.00</td>
<td>65.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>835.00</td>
<td></td>
</tr>
</tbody>
</table>

Figure 260: 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**

![Fee Payment GUI: fee selection by proprietor of the patent](image)

**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 \times fee factor
(11) Currency
(12) Date of fee schedule validity
(13) Total amount of fees to pay

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

```xml
<fee code="056">
  <fee factor>1</fee factor>
  <fee schedule>65</fee schedule>
  <fee sub amount>65</fee sub amount>
</fee>

<fee code="056">
  <fee factor>1</fee factor>
  <fee schedule>105</fee schedule>
  <fee sub amount>105</fee sub amount>
</fee>
```

**Figure 262: Fee Payment XML: data for fees selected by proprietor**

**PDF ep-opppo.pdf**

<table>
<thead>
<tr>
<th>Fees</th>
<th>Factor applied</th>
<th>Fee schedule</th>
<th>Amount to be paid</th>
</tr>
</thead>
<tbody>
<tr>
<td>109 Fee for publishing a new specification of the European patent</td>
<td>1</td>
<td>55.00</td>
<td>55.00</td>
</tr>
<tr>
<td>056 Excharge fee for printing (R. 82(3)), R. 95(3))</td>
<td>4</td>
<td>105.00</td>
<td>105.00</td>
</tr>
<tr>
<td>Total</td>
<td>8</td>
<td>170.00</td>
<td>170.00</td>
</tr>
</tbody>
</table>

**Figure 263: Fees section in PDF form**
8.8  EP(Oppo) Annotations

GUI EP(Oppo) Annotations

Figure 264: Annotations GUI: note to EPO

Element list

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

XML ep-opposition-data.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<ep-notes-to-EPOnote="Annotate" id="note1">
  <author>
    <name>Berger, Marc</name>
  </author>
  <subject>Representation</subject>
  <date>2010-08-04</date>
  <text>Sophie Bresson, my successor at Associés Lefèvre, is going to take over her duties starting August 4, 2010. Separate communication will be made to the EPO concerning this matter.</text>
</ep-notes-to-EPOnote>
```

Figure 265: Annotations XML: note 1

PDF ep-oppo.pdf

Figure 266: Annotations PDF: Remark 1 (note to EPO)
## 9 PCT/RO/101

### 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\_pc\_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:

<table>
<thead>
<tr>
<th>File name</th>
<th>DTD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>pkgheader.xml</td>
<td>pkgheader-v1-4.dtd</td>
<td>Indicates selected procedure and other data for transmission to receiving office.</td>
</tr>
<tr>
<td>package-data.xml</td>
<td>package-data-v1-6.dtd</td>
<td>References attached documents, except those already referenced in application-body.xml or other XML files.</td>
</tr>
</tbody>
</table>
| 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.             |
| 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. |
| 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. 15). 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. 290) 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.

```xml
<?xml version="1.0" encoding="UTF-8"?>
<pkgheader SYSTEM="pkgheader-v1.4.dtd">
  <transmittal-info>
    <new-application>
      <invention-title lang="en">INSTANT WATER</invention-title>
      <first-name-applicant>TECH INVENT OR</first-name-applicant>
      <file-reference-id id="pct_XML_3">file-reference-id</file-reference-id>
      <document-code>APP12345</document-code>
      <document-code>REQUESTXML</document-code>
      <country>EP</country>
    </new-application>
  </transmittal-info>
</pkgheader>
```

*Figure 267: XML structure of sample pkgheader.xml file*
Element list

(1) Filing language
(2) Type of application (in this example: new application)
(3) Title of invention
(4) First named applicant
(5) First applicant's name
(6) User reference for this application
(7) List of documents included in submission package: document code must match EPO standard document names
(8) Receiving office
(9) Kind of IP type
(10) Name of software used to prepare application
(11) Version of software
(12) Name of plug-in used by software
(13) Type of transmission
(14) WAD message must not contain any data
9.2 Document codes and file types for PCT/RO/101

The table lists the values for the `<document-code>` elements inside the `<transmittal-info>` element in the `pkgheader.xml` and `package-data.xml` files. The same values apply for the `<document-name>` elements inside the `<other-doc>` elements in the `package-data.xml` file.

In most cases, the EPO file takes the original file name allocated by the user. Without the correct document code, the receiving server at the EPO will not accept the files. There is no error message, however.

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>File type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018</td>
<td>application-body</td>
<td>XML</td>
<td>Application body XML: additional <code>&lt;document-code&gt;</code>2018 element is required in <code>&lt;other-doc&gt;</code> element in <code>package-data.xml</code> file; see Contents - Example 2: Specification attached in XML format (p. 296)</td>
</tr>
<tr>
<td>ABST</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Abstract</td>
</tr>
<tr>
<td>APPBODYXML</td>
<td>application-body</td>
<td>XML</td>
<td>Application body XML file</td>
</tr>
<tr>
<td>BIODEPXML</td>
<td>indication-bio-deposit</td>
<td>XML</td>
<td>Indication bio deposit XML file</td>
</tr>
<tr>
<td>CLMS</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Claims</td>
</tr>
<tr>
<td>COPPOAPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Copy of general power of attorney</td>
</tr>
<tr>
<td>COPPOAXML</td>
<td>eolfoat-000001 power-of-attorney*</td>
<td>XML</td>
<td>Copy of general power of attorney</td>
</tr>
<tr>
<td>COPPOAJP</td>
<td>&lt;original filename&gt;</td>
<td>JPG</td>
<td>Copy of general power of attorney</td>
</tr>
<tr>
<td>DESC</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Description</td>
</tr>
<tr>
<td>DRAW</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Drawings</td>
</tr>
<tr>
<td>FEESHEETXML</td>
<td>fee-sheet</td>
<td>XML</td>
<td>Fee sheet XML file</td>
</tr>
<tr>
<td>GENPOAPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Original general power of attorney</td>
</tr>
<tr>
<td>GENPOAXML</td>
<td>eolfoat-000001 power-of-attorney*</td>
<td>XML</td>
<td>Original general power of attorney</td>
</tr>
<tr>
<td>INTTRANPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Translation of international application in PDF format</td>
</tr>
<tr>
<td>LACKSIGNPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Statement explaining lack of signature</td>
</tr>
<tr>
<td>MICROORGPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Separate indication concerning deposited microorganisms</td>
</tr>
<tr>
<td>OLF-ARCHIVE</td>
<td>&lt;original filename&gt;</td>
<td>ZIP</td>
<td>Pre-conversion archive</td>
</tr>
<tr>
<td>OTHERJPG</td>
<td>&lt;original filename&gt;</td>
<td>JPG</td>
<td>Other (optional) JPEG document</td>
</tr>
<tr>
<td>OTHERPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Other (optional) PDF document</td>
</tr>
<tr>
<td>OTHERTIF</td>
<td>&lt;original filename&gt;</td>
<td>TIFF</td>
<td>Other (optional) TIFF document</td>
</tr>
<tr>
<td>OTHERXML</td>
<td>&lt;original filename&gt;</td>
<td>XML</td>
<td>Other (optional) XML document</td>
</tr>
<tr>
<td>PACKDATAXML</td>
<td>package-data</td>
<td>XML</td>
<td>Package data XML message</td>
</tr>
<tr>
<td>PCTDECLXML</td>
<td>declaration</td>
<td>XML</td>
<td>Declaration</td>
</tr>
<tr>
<td>REQUESTXML</td>
<td>request</td>
<td>XML</td>
<td>Request XML file</td>
</tr>
<tr>
<td>Document code</td>
<td>EPO file name</td>
<td>File type</td>
<td>Description</td>
</tr>
<tr>
<td>---------------</td>
<td>---------------</td>
<td>-----------</td>
<td>-------------</td>
</tr>
<tr>
<td>SEPPOAPEPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Original separate power of attorney</td>
</tr>
<tr>
<td>SEPPOAPEXML</td>
<td>eolf-poat-000001 power-of-attorney*</td>
<td>XML</td>
<td>Original separate power of attorney</td>
</tr>
<tr>
<td>SEPPOAPETXT</td>
<td>&lt;original filename&gt;</td>
<td>TXT</td>
<td>Original separate power of attorney</td>
</tr>
<tr>
<td>SEQLAPP</td>
<td>&lt;original filename&gt;</td>
<td>APP</td>
<td>Sequence listing in APP format</td>
</tr>
<tr>
<td>SEQLPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Sequence listing in PDF format</td>
</tr>
<tr>
<td>SEQLTXT</td>
<td>&lt;original filename&gt;</td>
<td>TXT</td>
<td>Sequence listing in TXT format</td>
</tr>
<tr>
<td>SEQLSAPP</td>
<td>&lt;original filename&gt;</td>
<td>APP</td>
<td>Sequence listing for international search (APP)</td>
</tr>
<tr>
<td>SEQLSPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Sequence listing for international search (PDF)</td>
</tr>
<tr>
<td>SEQLSTXT</td>
<td>&lt;original filename&gt;</td>
<td>TXT</td>
<td>Sequence listing for international search (TXT)</td>
</tr>
<tr>
<td>SEQLSTABPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Tables related to sequence listing for international search (PDF)</td>
</tr>
<tr>
<td>SEQLTABPDF</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Tables related to sequence listing (PDF)</td>
</tr>
<tr>
<td>SPEC</td>
<td>&lt;original filename&gt;</td>
<td>PDF</td>
<td>Single file specification in EPO language or language of translation</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Document code</th>
<th>EPO file name</th>
<th>File type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABSTTXT</td>
<td>abst</td>
<td>TXT</td>
<td>Abstract as a text file possibly used by WIPO</td>
</tr>
<tr>
<td>FEESHEETPDF</td>
<td>Fees</td>
<td>PDF</td>
<td>Fee sheet PDF file</td>
</tr>
<tr>
<td>REQPDF</td>
<td>Pct101</td>
<td>PDF</td>
<td>Request PDF file</td>
</tr>
<tr>
<td>VALLOGPDF</td>
<td>ValidLog</td>
<td>PDF</td>
<td>Client validation log file in PDF format</td>
</tr>
<tr>
<td>VALLOGXML</td>
<td>validation-log</td>
<td>XML</td>
<td>Client validation log file in XML format</td>
</tr>
</tbody>
</table>

* If there is more than one XML file (for different power of attorney documents), these must be numbered consecutively.
9.3 PCT/RO/101 Request

GUI PCT/RO/101 Request

Figure 268: 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
Figure 269: Request XML: general data, earlier search request
<table>
<thead>
<tr>
<th>0-4</th>
<th>Form PCT/RO/101 PCT Request Prepared Using PCT Online Filing Version 3.5.000.221 MT/FOP 200029701/0.20.5.19</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-5</td>
<td>Petition The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty</td>
</tr>
<tr>
<td>0-6</td>
<td>Receiving Office (specified by the applicant) European Patent Office (EPO) (RO/EPI) 2</td>
</tr>
<tr>
<td>0-7</td>
<td>Applicant's or agent's file reference pkt XML 1</td>
</tr>
<tr>
<td>1</td>
<td>Title of Invention INSTANT WATER 5</td>
</tr>
<tr>
<td>V</td>
<td>DESIGNATIONS</td>
</tr>
<tr>
<td>V-1</td>
<td>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.</td>
</tr>
<tr>
<td>VI-1</td>
<td>Priority Claim NONE</td>
</tr>
<tr>
<td>VI-1</td>
<td>International Searching Authority Chosen European Patent Office (EPO) (ISA/EPI) 3</td>
</tr>
<tr>
<td>7</td>
<td>Request to use results of earlier search; reference to that search 04 May 2010 (04.05.2010) 10654321.8 EP</td>
</tr>
<tr>
<td>VI-2</td>
<td>Filing data</td>
</tr>
<tr>
<td>VI-2-1</td>
<td>Application Number 8</td>
</tr>
<tr>
<td>VI-2-2</td>
<td>Country (or regional Office)</td>
</tr>
<tr>
<td>VI-2-3</td>
<td>Statement (Rule 4.12(b));</td>
</tr>
<tr>
<td>VI-2-4</td>
<td>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)).</td>
</tr>
<tr>
<td>12</td>
<td>Request to use results of earlier search; reference to that search 22 December 2009 (22.12.2009) 09000123.1 EP</td>
</tr>
<tr>
<td>VI-3</td>
<td>Filing data</td>
</tr>
<tr>
<td>VI-3-1</td>
<td>Application Number</td>
</tr>
<tr>
<td>VI-3-2</td>
<td>Country (or regional Office)</td>
</tr>
<tr>
<td>VI-3-3</td>
<td>The receiving Office is requested to prepare and transmit to the ISA (Rule 12bis.1(g)).</td>
</tr>
<tr>
<td>VI-3-4</td>
<td></td>
</tr>
<tr>
<td>VIII</td>
<td>Declarations Number of declarations</td>
</tr>
</tbody>
</table>

Figure 270: 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

![States GUI: designations, with one exclusion](image)

Figure 271: 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

```xml
37   <designation-of-states>
38   <designation-pct>
245  <exclusion-from-designation>
246  <national>
247  <country>DE</country>
248  </national>
249  </exclusion-from-designation>
250  </designation-of-states>
251  </priority-claims>
```

Figure 272: States XML: designation excluded

PDF Pct101.PDF

<table>
<thead>
<tr>
<th>V</th>
<th>DESIGNATIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>V-1</td>
<td>The filing of this request constitutes under Rule 4.1(a), the designation of all Contracting States bound by the PCT on the international filing data, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents.</td>
</tr>
<tr>
<td>V-2</td>
<td>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 E5.</td>
</tr>
</tbody>
</table>

Figure 273: 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 274: States GUI - reference to OAPI parent application or grant](image)

**Element list**

1. Region OAPI selected
2. Country 1 of OAPI list
3. Protection request for country 1
4. Kind of protection request
5. Document reference to parent application or grant
6. Country 1
7. Document number
8. Date of parent application or grant
9. Country 2 of OAPI list
10. Protection request for country 2
11. Country 3 of OAPI list
12. Protection request for country 3
XML request.xml

Regional designations: all OAPI states are listed with the same protection request.

```xml
<designation-of-states>
  <designation-pct>
    <regional>
      <region>
        <country>OA</country>
      </region>
      <region>
        <country>BF</country>
      </region>
      <kind-of-protection>certificate of addition</kind-of-protection>
      <document-id>EF07000340.5</document-id>
      <date>20071106</date>
    </regional>
  </designation-pct>
</designation-of-states>
```

Figure 275: States XML: regional designation of protection request for OAPI states
<table>
<thead>
<tr>
<th>V-3</th>
<th>Identification of parent application or patent grant</th>
</tr>
</thead>
<tbody>
<tr>
<td>V-3-1</td>
<td>Designation</td>
</tr>
<tr>
<td>V-3-1-1</td>
<td>Kind of parent application or grant</td>
</tr>
<tr>
<td>V-3-1-2</td>
<td>Parent application or grant No.</td>
</tr>
<tr>
<td>V-3-1-3</td>
<td>Parent application or grant date</td>
</tr>
</tbody>
</table>

Figure 276: 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).

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**

![States GUI - countries selected for national parent application or grant](image)

*Figure 277: States GUI - countries selected for national parent application or grant*

**National parent application or grant**

![National parent application or grant, example for Spain](image)

*Figure 278: 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 279: States XML: national designations with protection requests
<table>
<thead>
<tr>
<th>V-3</th>
<th>Identification of parent application or patent grant</th>
</tr>
</thead>
<tbody>
<tr>
<td>V-3-2</td>
<td>Designation</td>
</tr>
<tr>
<td>V-3-2-1</td>
<td>Kind of parent application or grant</td>
</tr>
<tr>
<td>V-3-2-2</td>
<td>Parent application No.</td>
</tr>
<tr>
<td>V-3-2-3</td>
<td>Parent application or grant date</td>
</tr>
<tr>
<td>V-3</td>
<td>Identification of parent application or patent grant</td>
</tr>
<tr>
<td>V-3-3</td>
<td>Designation</td>
</tr>
<tr>
<td>V-3-3-1</td>
<td>Kind of parent application or grant</td>
</tr>
<tr>
<td>V-3-3-2</td>
<td>Parent application No.</td>
</tr>
<tr>
<td>V-3-3-3</td>
<td>Parent application or grant date</td>
</tr>
<tr>
<td>V-3</td>
<td>Identification of parent application or patent grant</td>
</tr>
<tr>
<td>V-3-4</td>
<td>Designation</td>
</tr>
<tr>
<td>V-3-4-1</td>
<td>Kind of parent application or grant</td>
</tr>
<tr>
<td>V-3-4-2</td>
<td>Parent application No.</td>
</tr>
<tr>
<td>V-3-4-3</td>
<td>Parent application or grant date</td>
</tr>
</tbody>
</table>

- **AT**
  - **patent of addition**
  - **AT-222333**
  - **06 February 2008 (06.02.2008)**
- **CU**
  - **inventor's certificate of addition**
  - **CU-08337788**
  - **13 February 2008 (13.02.2008)**
- **ES**
  - **patent of addition**
  - **ES-08334455**
  - **26 February 2008 (26.02.2008)**

**Figure 280: 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

Figure 281: Names GUI: Applicant 1

Applicant details

Figure 282: 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

```xml
<invention-title lang="en">INSTANT WATER</invention-title>
<invention-type lang="en">PCT</invention-type>
<applicants>
  <applicant sequence="1" app-type="application-inventor" designation="all">
    <applicantsequence>SAVOLATO</applicantsequence>
    <first-name>Salvatore</first-name>
    <last-name>SAVOLATO</last-name>
    <registered-number>7788700229</registered-number>
    <address>
      <street>Via Roma 8</street>
      <city>Milano</city>
      <country>IT</country>
    </address>
    <phone>+39 2 5056 10</phone>
    <fax>+39 2 5056 89</fax>
    <email>salvatore@borghece.it</email>
    <addressbook>
      <nationality>
        <country>IT</country>
        <residence>
        </residence>
      </nationality>
    </addressbook>
  </applicant>
</applicants>
```

Figure 283: Names XML: applicant 1
<table>
<thead>
<tr>
<th>II</th>
<th>Applicant</th>
<th>II-1</th>
<th>This person is applicant and inventor of all designated States 16</th>
</tr>
</thead>
<tbody>
<tr>
<td>II-2</td>
<td>Applicant for</td>
<td>MANZONI, Salvatore 4</td>
<td></td>
</tr>
<tr>
<td>II-4</td>
<td>Name (LAST, First)</td>
<td>MANZONI, Salvatore 4</td>
<td></td>
</tr>
<tr>
<td>II-5</td>
<td>Address</td>
<td>Via Roma 8 7</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>20100 Milano 8</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Italy 6</td>
<td></td>
</tr>
<tr>
<td>II-6</td>
<td>State of nationality</td>
<td>IT 14</td>
<td></td>
</tr>
<tr>
<td>II-7</td>
<td>State of residence</td>
<td>IT 15</td>
<td></td>
</tr>
<tr>
<td>II-8</td>
<td>Telephone No.</td>
<td>+39 2 5056 10 11</td>
<td></td>
</tr>
<tr>
<td>II-9</td>
<td>Facsimile No.</td>
<td>+39 2 5056 85 12</td>
<td></td>
</tr>
<tr>
<td>II-10</td>
<td>e-mail</td>
<td><a href="mailto:simanzoni@borghese.it">simanzoni@borghese.it</a> 13</td>
<td></td>
</tr>
<tr>
<td>II-11</td>
<td>Applicant's registration No. with the Office</td>
<td>778800223 3</td>
<td></td>
</tr>
</tbody>
</table>

Figure 284: 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

Figure 285: Names GUI: details for applicant 1, legal entity

Details for deceased inventor

Figure 286: 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

```xml
<invention-title lang="en">INSTANT WATER</invention-title>

<applicants>
  <applicant>1 applicant sequence="1" app-type="applicant" designation="us-only">
    <addressbook lang="en">
      <street>34, place de la république</street>
      <city>LYON</city><postcode>69008</postcode>
      <country>FR</country>
    </addressbook>
    <phone>+33 4 26 88 10</phone>
    <fax>+33 4 26 88 87</fax>
    <email>info@techinvent.fr</email>
    <nationality><country>FR</country></nationality>
    <residence><country>FR</country></residence>
    <us-rights-to-dead-inventor="MORETTI Francesco" kind="executor">This person is successor to the rights of the deceased inventor for the purposes of the designation of the United States of America</us-rights>
  </applicant>
  <applicant>2 applicant sequence="2" app-type="applicant" designation="all-except-us">
  </applicant>
</applicants>

<inventors>
  <deceased-inventor>1 applicant sequence="1" lang="en">
    <last-name>MORETTI</last-name>
    <first-name>Francesco</first-name>
  </deceased-inventor>
</inventors>

<designations-of-states>
</designations-of-states>
```

Figure 287: Names XML: data for applicant 1, applicant 2 and deceased inventor
**Figure 288: Names PDF: details of applicants 1 and 2 and inventor**

<p>| | | | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>II</strong></td>
<td>Applicant</td>
<td>applicant only</td>
<td></td>
<td>executor of MORETTI Francesco (deceased)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>This person is</td>
<td></td>
<td></td>
<td>US only</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>II-2</strong></td>
<td>Applicant for</td>
<td></td>
<td></td>
<td>TECHINVENT SA</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Name</td>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td><strong>II-5</strong></td>
<td>Address</td>
<td></td>
<td></td>
<td>34, place de la république</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<td>69008 Lyon</td>
<td></td>
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<tr>
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<td>State of nationality</td>
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<td>FR</td>
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</tr>
<tr>
<td><strong>II-7</strong></td>
<td>State of residence</td>
<td></td>
<td></td>
<td>FR</td>
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<td></td>
</tr>
<tr>
<td><strong>II-8</strong></td>
<td>Telephone No.</td>
<td></td>
<td></td>
<td>+33 4 2568 10</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>II-9</strong></td>
<td>Facsimile No.</td>
<td></td>
<td></td>
<td>+33 4 2568 97</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>II-10</strong></td>
<td>e-mail</td>
<td></td>
<td></td>
<td><a href="mailto:info@techinvent.fr">info@techinvent.fr</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>II-11</strong></td>
<td>Applicant's registration No. with the Office</td>
<td></td>
<td></td>
<td>22012456</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>III</strong></td>
<td>Applicant and/or inventor</td>
<td>applicant only</td>
<td></td>
<td>all designated States except US</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>III-1</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>This person is</td>
<td></td>
<td></td>
<td>MANZONI, Salvatore</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>III-1-2</strong></td>
<td>Applicant for</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Name (LAST, First)</td>
<td></td>
<td></td>
<td>Via Roma 8</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>III-1-4</strong></td>
<td>Address</td>
<td></td>
<td></td>
<td>20100 Milano</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>State of nationality</td>
<td></td>
<td></td>
<td>IT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>III-1-6</strong></td>
<td>State of residence</td>
<td></td>
<td></td>
<td>IT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>III-1-7</strong></td>
<td>Applicant's registration No. with the Office</td>
<td></td>
<td></td>
<td>778800223</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>III-2</strong></td>
<td>Applicant and/or inventor</td>
<td>inventor only (deceased)</td>
<td></td>
<td>MORETTI, Francesco</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>III-2-1</strong></td>
<td>This person is</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Name (LAST, First)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Page 269 of 345
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

Figure 289: Names GUI: details of agent 1

Agent 2 with the same address

Figure 290: 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
```xml
<parties>
  <applicants>
    <agents>
      <agent sequence="1" rep-type="agent">
        <addressbook lang="en">
          <last-name>KILBURN</last-name>
          <first-name>David</first-name>
          <registered-number>456789012</registered-number>
          <address>
            <street>Cambridge Science Park</street>
            <city>Cambridge</city>
            <state>Cambridgeshire</state>
            <postcode>CB2 1AB</postcode>
            <country>GB</country>
          </address>
          <phone>+44 1223 351689</phone>
          <fax>+44 1223 351680</fax>
          <email>kilburn@ip-partners.co.uk</email>
        </addressbook>
      </agent>
      <agent sequence="2" rep-type="agent">
        <addressbook lang="en">
          <last-name>MILLER</last-name>
          <first-name>Lucy</first-name>
          <registered-number>666677889</registered-number>
          <address>
            <street>Cambridge Science Park</street>
            <city>Cambridge</city>
            <state>Cambridgeshire</state>
            <postcode>CB2 1AB</postcode>
            <country>GB</country>
          </address>
          <phone>+44 1223 351689</phone>
          <fax>+44 1223 351680</fax>
          <email>millers@ip-partners.co.uk</email>
        </addressbook>
      </agent>
    </agents>
  </applicants>
</parties>
```

*Figure 291: Names XML: data for agent 1 and agent 2*
<table>
<thead>
<tr>
<th>IV-1</th>
<th>Agent or common representative; or address for correspondence</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The person identified below is hereby/has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:</td>
</tr>
<tr>
<td>IV-1-1</td>
<td>Name (LAST, First)</td>
</tr>
<tr>
<td></td>
<td>agent</td>
</tr>
<tr>
<td>IV-1-2</td>
<td>Address</td>
</tr>
<tr>
<td></td>
<td>KILBURN, David</td>
</tr>
<tr>
<td></td>
<td>Cambridge Science Park</td>
</tr>
<tr>
<td></td>
<td>Cambridge</td>
</tr>
<tr>
<td></td>
<td>Cambridgeshire</td>
</tr>
<tr>
<td></td>
<td>CB2 1AB</td>
</tr>
<tr>
<td></td>
<td>United Kingdom</td>
</tr>
<tr>
<td></td>
<td>+44 1223 351689</td>
</tr>
<tr>
<td></td>
<td>+44 1223 351690</td>
</tr>
<tr>
<td></td>
<td><a href="mailto:kilburn@ip-partners.co.uk">kilburn@ip-partners.co.uk</a></td>
</tr>
<tr>
<td>IV-1-6</td>
<td>Agent’s registration No.</td>
</tr>
<tr>
<td></td>
<td>456789012</td>
</tr>
<tr>
<td>IV-2</td>
<td>Additional agent(s)</td>
</tr>
<tr>
<td></td>
<td>additional agent(s) with same address as first named agent</td>
</tr>
<tr>
<td>IV-2-1</td>
<td>Name(s)</td>
</tr>
<tr>
<td></td>
<td>MILLER, Louise(55887744)</td>
</tr>
</tbody>
</table>

Figure 292: Names PDF: agent and additional agent
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 `eolf-poat-00001.xml`. In the Online Filing GUI, this special file appears as `original separate power of attorney` in the Accompanying items sub-tab of the Contents 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. 296).

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

![Names GUI: selection of role for agent](image)

**Figure 293: Names GUI: selection of role for agent**

**Element list**

1. Applicant
2. Agent/representative
3. Representing applicant before ...
The XML file contains personal information about the agent and includes the applicant’s signature.

```xml
<?xml version='1.0' encoding='UTF-8'?>
<power-of-attorney SYSTEM="power-of-attorney-x1.5.dtd">
  <agent>
    <name type="natural">MANZONI, Salvatore</name>
  </agent>
  <signatory>
    <name type="natural">KILBURN, David</name>
  </signatory>
  <address>
    <street>Cambridge Science Park, 100 Red Lion Square</street>
    <city>Cambridge</city>
    <state>Cambridgeshire</state>
    <postcode>CB5 1AB</postcode>
    <country>GB</country>
  </address>
  <phone>+44 1223 351599</phone>
  <fax>+44 1223 351630</fax>
  <email>email@purposes.informal@kilburn@ip-partners.co.uk</email>
</power-of-attorney>
```

Figure 294: Power of attorney - details of agent and signatory in power-of-attorney.xml file
**PDF Attorney.PDF**

This PDF file is generated by Online Filing from the data in the `eolf-poat-000001.xml` file and must not be imported.

---

<table>
<thead>
<tr>
<th>0-1</th>
<th>PCT Power of Attorney (for an international application filed under the Patent Cooperation Treaty) (PCT Rule 90.4)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-1-1</td>
<td>Prepared Using: PCT Online Filing Version 3.5.000.221 MT/FOP 200209701/0.20.5.9</td>
</tr>
</tbody>
</table>

| 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 all the competent International Authorities |

| 1-4 | in connection with the international application identified below: |
| 1-4-1 | Name 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 295: 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

![Priority GUI: priority claims for EP and IT]

**Figure 296: Priority GUI: priority claims for EP and IT**

Details of Priority Claim of Earlier Application

![Details of priority claim of earlier regional application (EP)]

**Figure 297: 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

```
< designation-of-states>
  < priority-claims>
    < priority-claim sequence="1" kind="regional">
      <country>EP</country>
      <doc-number>071000335</doc-number>
      <date>20071204</date>
      <priority-claim-requested/>
    </priority-claim>
    < priority-claim sequence="2" kind="national">
      <country>IT</country>
      <doc-number>4067350</doc-number>
      <date>20071216</date>
      <priority-claim/>
    </priority-claim>
  </ priority-claims>
</ designation-of-states>
```

Figure 298: Priority XML: regional and national priority claim
<table>
<thead>
<tr>
<th>No.</th>
<th>Description</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Priority claim of earlier regional application</td>
<td>04 December 2007 (04.12.2007)</td>
</tr>
<tr>
<td></td>
<td>Filing date</td>
<td>07400003.5</td>
</tr>
<tr>
<td></td>
<td>Regional Office</td>
<td>EP</td>
</tr>
<tr>
<td>2</td>
<td>Priority claim of earlier national application</td>
<td>18 December 2007 (18.12.2007)</td>
</tr>
<tr>
<td></td>
<td>Filing date</td>
<td>cc-4567890</td>
</tr>
<tr>
<td></td>
<td>Country</td>
<td>IT</td>
</tr>
<tr>
<td>3</td>
<td>Priority document request</td>
<td>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):</td>
</tr>
<tr>
<td>4</td>
<td></td>
<td>VI-1</td>
</tr>
</tbody>
</table>

Figure 299: 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

[Image: Biology GUI - item for biological material/deposited microorganisms]
GUI Details concerning Indications Relating to a Deposited Microorganism

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

**Figure 301: Biology GUI - details of biological material**
### Element list

1. Bio deposit number 1
2. Page number in description referring to bio deposit
3. Line number in description
4. Depositary institution
5. Address of depositary institution (retrieved from Online Filing database)
6. Accession number prefix of depositary institution
7. Accession number of bio deposit
8. Date of deposit
9. Additional indications
10. Separate furnishing of indications
11. List of designated states
12. Filing includes sequence listing(s)
13. 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.

```xml
<designated-states>
  <country>AT</country>
  <country>ES</country>
  <region>EP</region>
  <country>ES</country>
  <country>AT</country>
  <country>ES</country>
</designated-states>
```

Figure 302: Biology XML: details of biological material item in indication-bio-deposit.xml file

References in request.xml file

```xml
<check-list>
  <request-page-count="5"/>
  <check-list page-count="4" page-count="11" page-count="14" page-count="17" page-count="20" page-count="23" page-count="26" page-count="29" page-count="32" page-count="35"
```

Figure 303: Request XML - reference to sequence listing and biological material
### References in package-data.xml file

```
<package-data lang="en" xmlns="1.6" produced-by="applicant" status="new" country="EP">
  <transmittal-info>
    <application-body-doc file="application-body.xml" lang="en"/>
    <biological-material-file file="indication-bio-deposit.xml" lang="en"/>
    <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"/>
    <fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
    <separate-power-of-attorney file="self-post-000001.xml" lang="en"/>
  </transmittal-info>
  <other-documents>
    <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new"/>
    <other-doc file="application-body.xml" file-type="xml"/>
    <other-doc file="request.xml" file-type="xml"/>
    <other-doc file="fee-sheet.xml" file-type="xml"/>
    <other-doc file="indication-bio-deposit.xml" file-type="xml"/>
    <other-doc file="BIODEPXML</document-name>"
    </other-doc>
    <other-doc file="Pct101-PDF" file-type="pdf"/>
    <other-doc file="instant water sequence listings.pdf" file-type="pdf"/>
    <other-doc file="SEQ1PDF</document-name>"
    </other-doc>
    <other-doc file="instant water sequence listings.pdf" file-type="pdf"/>
    <other-doc file="SEQ2PDF</document-name>"
    </other-doc>
    <other-doc file="Fees PDF" file-type="pdf"/>
    <other-doc file="self-post-000001.xml" file-type="xml"/>
  </other-documents>
</package-data>
```

*Figure 304: Biology XML - references to sequence listing files and indication-bio-deposit.xml file in package-data.xml file*
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.

**Figure 305: Biology PDF - details of biological material in Micro.PDF file**
9.8  PCT/RO/101 Declarations

PCT/RO/101 offers five different declarations. Each declaration can be made more than once:

1. Declaration as to identity of inventor
2. Declaration as to applicant's entitlement to apply for and be granted a patent
3. Declaration as to applicant's entitlement to claim priority of earlier application
4. Declaration of inventorship (for the purposes of the USA only)
5. Declaration as to non-prejudicial disclosures or exceptions to lack of novelty

The data for the declarations is contained in the separate declarations.xml file, which is referenced by the <declaration-doc> element. The document code is PCTDECLXML and is referenced in the pkgheader.xml file.

The <other-doc> element in the package-data.xml file is only referenced for legacy purposes.

The number of declarations is indicated by the quantity attribute in each of the <declaration1> to <declaration5> elements within the <declarations> element in the request.xml file.

GUI PCT/RO/101 Declarations

Figure 306: 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>
117   <declaration1 quantity="1">5</declaration1>
117   <declaration2 quantity="1">6</declaration2>
119   <declaration4 quantity="1">8</declaration4>
130  </declarations>
```

Figure 307: 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*.

```xml
1 <xml version="1.0" encoding="UTF-8">  
2 <!DOCTYPE declaration SYSTEM "declaration-1.5.dtd">  
3 <!software_name PCT Online Filing>  
4 <!software_version Version 3.6.000.221 MT/POP 20020701/3.20.5.9>  
5 <!stylesheet_version Version 1.51>  
6 <!top_version Version 0.20.5.9>  
7 <!top_fontconf common.xml>  
8  
9 <declaration lang="en" id-division="1.5" status="new">  
10  
11 <inventorship sequence="11" lang="en">  
12  
13 <claim sequence="11" lang="en">  
14  
15 <identity-of-inventor sequence="11" lang="en">  
16  
17 <last-name>LAVAIL</last-name>  
18  
19 <first-name>Thierry</first-name>  
20  
21 <address>  
22  
23 <street>120 Avenue des Perdentes</street>  
24  
25 <city>Toulouse</city>  
26  
27 <postcode>31200</postcode>  
28  
29 <country>FR</country>  
30  
31 </address>  
32  
33 </identity-of-inventor>  
34  
35 </claim>  
36  
37 </inventorship>  
38  
39 </declaration>
```

*Figure 308: Details of a declaration in declaration.xml file*

Reference in package-data.xml file

```xml
40  
41 <application-body-doc file="application-body.xml" lang="en">  
42  
43 <declaration-doc file="declaration.xml" lang="en" doc-type="combined">  
44  
45 <biological-material-file file="indication-to-be-deposit.xml" lang="en">  
46  
47 <application-request file="request.xml" lang="en">  
48  
49 <sequence-list file="instant2watersequence Listings.pdf" lang="en" seq-file-type="ST.25" carriers="internal-electronic" electronic-format-type="other">  
50  
51 <fee-calculation-sheet file="fee-sheet.xml" lang="en">  
52  
53 <separate-power-of-attorney file="en-att-00100301.xml" lang="en">  
54  
55 <other-doc file="validation-log.xml" file-type="xml" carriers="internal-electronic" status="new">  
56  
57 <included here, while referenced in another entity, for legacy purposes->  
58  
59 <other-doc file="application-body.xml" file-type="xml">  
60  
61 <included here, while referenced in another entity, for legacy purposes->  
62  
63 <other-doc file="declaration.xml" file-type="xml">  
64  
65 <other-doc file="request.xml" file-type="xml">  
66  
67 <other-doc file="fee-sheet.xml" file-type="xml">  
68  
69 <other-doc file="validation-log.xml" file-type="xml">  
70  
71 <document-name>PCTDECLXML</document-name>  
72  
73 <other-doc>
```

*Figure 309: References to declaration.xml file in package-data.xml file*
The text of each declaration is printed on a new page within the PDF form. The figure below shows only the first example for the declaration type **Identity of inventor**.

**Figure 310: Declarations indicated in PDF request**

**Figure 311: 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. 248).
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. 280).

GUI PCT/RO/101 Contents

![Check List](image)

**Figure 312: Contents GUI - single specification file and sequence listing attached**
GUI Content Details for specification file

Figure 313: 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

```
<check-list>
  <request page-count="9"/>
  <description page-count="6"/>
  <claims page-count="2"/>
  <abstract page-count="27"/>
  <sequence-listing quantity="2" with-identifying-statement="yes" page-count="4"
  carrier="internal-electronic"
  for-search-only="no"/>
  <fee-calculations/>
  <separate-power-of-attorney quantity="1"/>
  <biological-material quantity="1"/>
</check-list>
```

Figure 314: 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.

```
<included here, while referenced in another entity, for legacy purposes>
  <other-doc file="instant_water.pdf" file-type="pdf"/>
  <other-doc file="SPEC"/>
</other-doc>
```

Figure 315: Reference to specification file in package-data.xml file
Reference in pkgheader.xml file

```xml
<?xml version="1.0" encoding="UTF-8"?>
<DOCTYPE pkgheader SYSTEM "pkgheader-v1-4.dtd" >
<?software_name PCT Online Filing?>
<?software_version Version 3.5.0.0 221 MT/FOP 20020701/0/20 5.5?>
<pkgheader lang="en" std-version="1.4" status="new">
  <transmittal-info>
    <invention-title lang="en">INSTANT WATER</invention-title>
    <invented-by lang="en">[Invented-by]</invented-by>
    <file-reference-id id="pctXML_1" file-reference-id>
      <document-code>APBDXML</document-code>
      <document-code>REQUESTXML</document-code>
      <document-code>FEESHEETXML</document-code>
      <document-code>PCTDECLXML</document-code>
      <document-code>BIO00EPXML</document-code>
      <document-code>RESQPDF</document-code>
      <document-code>SPEC</document-code>
      <document-code>ABSTTXT</document-code>
      <document-code>SSLPDF</document-code>
      <document-code>SSLSPDF</document-code>
      <document-code>FEESHEETSPDF</document-code>
      <document-code>SEPFARXML</document-code>
      <document-code>SSLPDF</document-code>
      <document-code>OTHERPDF</document-code>
      <transmittal-info>
    </invention-title>
  </transmittal-info>
  <application-info>
    <application-type>patent</application-type>
    <application-software>
      <transmission-type>submission PCT0101 v. 001</transmission-type>
    </application-software>
  </application-info>
</pkgheader>
```

Figure 316: Reference to specification file in pkgheader.xml file

XML application-body.xml

```xml
<?xml version="1.0" encoding="UTF-8"?>
<DOCTYPE application-body SYSTEM "application-body-v1-8.dtd" >
<?software_name PCT Online Filing?>
<?software_version Version 3.5.0.0 221 MT/FOP 20020701/0/20 5.5?>
<?stylesheet_version Version EP1 87?>
<app-body lang="en" status="new" country="EP" std-version="1.8">
  <description>
    <doc-page id="DESC" h="1" w="1" type="pdf" pp="6" ppf="1" ppi="5" file="instant water pdf"/>
  </description>
  <claim>
    <doc-page id="CLAIM" h="1" w="1" type="pdf" pp="2" ppf="7" ppi="9" file="instant water pdf"/>
  </claim>
  <abstract lang="en">
    <doc-page id="ABST" h="1" w="1" type="pdf" pp="2" ppf="9" ppi="10" file="instant water pdf"/>
  </abstract>
</app-body>
```

Figure 317: Page ranges of sections within specification file in application-body.xml file
**PDF Pct101.PDF**

<table>
<thead>
<tr>
<th>IX</th>
<th>Check list</th>
<th>Number of sheets</th>
<th>Electronic file(s) attached</th>
</tr>
</thead>
<tbody>
<tr>
<td>IX-1</td>
<td>Request (including declaration sheets)</td>
<td>21</td>
<td>✓</td>
</tr>
<tr>
<td>IX-2</td>
<td>Description (excluding sequence listing part)</td>
<td>9</td>
<td>✓</td>
</tr>
<tr>
<td>IX-3</td>
<td>Claims</td>
<td>13</td>
<td>✓</td>
</tr>
<tr>
<td>IX-4</td>
<td>Abstract</td>
<td>17</td>
<td>✓</td>
</tr>
<tr>
<td>IX-5</td>
<td>Drawings</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>IX-7a</td>
<td>Sub-total number of sheets</td>
<td>19</td>
<td></td>
</tr>
<tr>
<td>IX-6</td>
<td>Sequence listing part of the description</td>
<td>22</td>
<td>✓</td>
</tr>
<tr>
<td>IX-7</td>
<td>TOTAL</td>
<td>18</td>
<td>23</td>
</tr>
</tbody>
</table>

*Figure 318: Checklist in request PDF: page numbers of attached electronic files*
9.9.2 Contents - Example 2: Specification attached in XML format

In this example, the international application in XML format has been prepared using the PatXML tool. Three images in TIF format are referenced as `<figure>` elements in the original PXML file. The figure to be published with the abstract is indicated inside the `<abstract>` element.

Online Filing converts the XML attachment into an `application-body.xml` file which contains text elements instead of references to the PDF files. Additionally, the `application-body.PDF` file is created in a printer-friendly layout including the drawings. This PDF file is referenced as `<document-code>REQPDF</document-code>` in the `pkgheader.xml` file, but it must not be imported.

GUI PCT/RO/101 Contents

![GUI PCT/RO/101 Contents](image)

**Figure 319: Contents GUI: specification attached in XML format as application body**
Element list

(1) Number of pages in application body (counted from application-body.pdf file)
(2) Reference to application-body.xml file
(3) Number of pages for request
(4) Number of pages for description within application body
(5) Number of pages for claims within application body
(6) Number of pages for abstract within application body
(7) Number of pages for drawings within application body
(8) Number for figure to be published with abstract
(9) Figure number 1
(10) Reference to TIF graphic file for figure 1 (this is only referenced here)
(11) Figure number 2
(12) Reference to TIF graphic file for figure 2
(13) Figure number 3
(14) Reference to TIF graphic file for figure 3
(15) Total number of pages in application (only displayed in GUI and PDF)
(16) Reference to application-body.xml file in package-data.xml file
(17) Additional <document-code> element for APPBODYXML file
(18) Document code for XML file in pkgheader.xml file
(19) Document code for PDF file

XML request.xml

```
<check-list>
  <ci-request page-count="2"/>
  <ci-description page-count="8"/>
  <ci-claims page-count="3"/>
  <ci-abstract page-count="1"/>
  <ci-drawings page-count="1"/>
  <ci-fee-calculation/>
</check-list>

<figure-to-publish>
  <fig-number>Figure 1</fig-number>
</figure-to-publish>
```

Figure 320: Request XML: checklist with page numbers
Reference in package-data.xml file

```xml
5  <package-data lang="en" dtd-version="1.8" produced-by="applicant" status="new" country=""/>
24  <transmittal-info>
34  <application-body-doc file="application-body.xml" lang="en"/>
35  <application-request file="request.xml" lang="en"/>
35  <fee-calculation-sheet file="fee-sheet.xml" lang="en"/>
37  <other-documents>
39   | <other-doc file="validation-log.xml" file-type="xml" carrier="internal-electronic" status="new"/>
41   | <other-doc file="application-body.xml" file-type=""/>
42    | <document-name>APPBODY.XML</document-name>
43    | <document-code>2013</document-code>
44    | </other-doc>
45   | <other-doc file="request.xml" file-type="xml"/>
46   | <other-doc file="request.xml" file-type="xml"/>
47   | <other-doc file="fee-sheet.xml" file-type="xml"/>
48   | <other-doc file="fee-sheet.xml" file-type="xml"/>
51   | <Client Preview, generated from XML original>
52   | <other-doc file="Pct101.PDF" file-type="pdf"/>
54   | <Client Preview, generated from XML original>
55   | <other-doc file="Fees.PDF" file-type="pdf"/>
57  </other-documents>
58  </package-data>
```

Figure 321: Reference to the application-body.xml file

Reference in pkgheader.xml file

```xml
14  <document-code>VALLOG.XML</document-code>
15  <document-code>APPBODY.XML</document-code>
16  <document-code>REQUEST.XML</document-code>
17  <document-code>FEE SHEET.XML</document-code>
18  <document-code>RECO PDF</document-code>
19  <document-code>FEE SHEET PDF</document-code>
```

Figure 322: Document codes in pkgheader.xml file

XML application-body.xml

Note: the full content of the description, claims and abstract is hidden in this XML example for legibility reasons.

```xml
7  <application-body country="US" dtd-version="1.8" file="patent597.xml" id="pxm1\patent2" lang="en" status="N"/>
8  <description id="desc">
5  <claims id="claim">
148  <abstract id="abst" lang="en" id="">
152  <drawings id="draw">
153  | <figure id="fig01" num="001"/>
154  | <img id="img01" w="104" h="74" img-content="drawing" img-format="tif" orientation="portrait" file="img0002.tif"/>
155  </figure>
156  | <figure id="fig02" num="002"/>
157  | <img id="img02" w="127" h="95" img-content="drawing" img-format="tif" orientation="portrait" file="img0003.tif"/>
158  </figure>
159  | <figure id="fig03" num="003"/>
160  | <img id="img03" w="131" h="91" img-content="drawing" img-format="tif" orientation="portrait" file="img0004.tif"/>
161  </figure>
162  </drawings>
183  </application-body>
```

Figure 323: Application body XML: sections and figures
### PDF Pct101.PDF

<table>
<thead>
<tr>
<th>IX</th>
<th>Check list</th>
<th>number of sheets</th>
<th>electronic file(s) attached</th>
</tr>
</thead>
<tbody>
<tr>
<td>IX-1</td>
<td>Request (excluding declaration sheets)</td>
<td>3 2</td>
<td>✔</td>
</tr>
<tr>
<td>IX-2</td>
<td>Description</td>
<td>4 8</td>
<td>✔</td>
</tr>
<tr>
<td>IX-3</td>
<td>Claims</td>
<td>5 3</td>
<td>✔</td>
</tr>
<tr>
<td>IX-4</td>
<td>Abstract</td>
<td>6 1</td>
<td>✔</td>
</tr>
<tr>
<td>IX-5</td>
<td>Drawings</td>
<td>7 1</td>
<td>✔</td>
</tr>
<tr>
<td>IX-7</td>
<td>TOTAL</td>
<td>15 15</td>
<td></td>
</tr>
</tbody>
</table>

**Accompanying items**

<table>
<thead>
<tr>
<th>IX-8</th>
<th>Fee calculation sheet</th>
<th>paper document(s) attached</th>
<th>electronic file(s) attached</th>
</tr>
</thead>
<tbody>
<tr>
<td>IX-17</td>
<td>PCT-SAFE physical media</td>
<td>-</td>
<td>✔</td>
</tr>
</tbody>
</table>

**IX-19 Figure of the drawings which should accompany the abstract**

| 2b | 8 |
9.9.3 Contents - Example 3: Specification in multiple PDF files with accompanying items

In this example, the patent specification is attached in four separate files: description, claims, abstract and drawings. In the Contents GUI, these files are listed in the International Application sub-tab.

GUI PCT/RO/101 Contents, International Application sub-tab

Figure 325: Contents GUI: specification attached in multiple PDF files
To demonstrate some of the other options in the **Accompanying items** sub-tab, the following additional files are attached:

- Translation of international application (PDF)
- OTHER: Drawing (TIFF)
- OTHER: Translation of text in drawing (PDF)

**GUI PCT/RO/101 Contents, Accompanying items sub-tab**

![Figure 326: Contents GUI - different documents attached as accompanying items](image)

**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

```xml
<check-list>
  <claim-request page-count="3"/>
  <claim-description page-count="7"/>
  <claim-abstract page-count="2"/>
  <claim-fee-calculation/>
  <claim-translation-of-application quantity="1" lang="en"/>
  <claim-translation page-count="1">Translation of text in drawing</claim-translation>
</check-list>
```

Figure 327: Checklist for attached documents in request.xml file
Reference to XML files and PDF attachment with document code and original file names
Reference in pkgheader.xml file

```
<document-code>APPROBXML</document-code>
<document-code>REQUESTXML</document-code>
<document-code>FEEXML</document-code>
<document-code>REQPDF</document-code>
<document-code>DESC</document-code>
<document-code>CLMS</document-code>
<document-code>ABST</document-code>
<document-code>ABSTRACT</document-code>
<document-code>OTHERPDF</document-code>
```

Figure 329: Document codes for attached files in pkgheader.xml

XML application-body.xml

```
<application-body lang="en" status="new" country="EP" dtd-version="1.5">
<description>

<doc-page id="DESC" n="1" w="1" type="pdf" file="instant water description.pdf" />

</description>

<claims>

<doc-page id="CLMS" n="1" w="1" type="pdf" file="instant water claims.pdf"/>

</claims>

<abstract lang="en">

<doc-page id="ABST" n="1" w="1" type="pdf" file="instant water abstract.pdf"/>

</abstract>

</application-body>
```

Figure 330: Reference to file names and document codes in application-body.xml file

PDF Pct101.PDF

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

<table>
<thead>
<tr>
<th>IX</th>
<th>Accompanying Items</th>
<th>Paper document(s) attached</th>
<th>Electronic file(s) attached</th>
</tr>
</thead>
<tbody>
<tr>
<td>IX-8</td>
<td>Fee calculation sheet</td>
<td>-</td>
<td>✓</td>
</tr>
<tr>
<td>IX-14</td>
<td>Translation of international application into French</td>
<td>-</td>
<td>✓</td>
</tr>
<tr>
<td>IX-19</td>
<td>Other</td>
<td>22 Drawing</td>
<td>✓</td>
</tr>
<tr>
<td>IX-19</td>
<td>Other</td>
<td>26 Translation of text in drawing</td>
<td>✓</td>
</tr>
<tr>
<td>IX-20</td>
<td>Figure of the drawings which should accompany the abstract</td>
<td>1a 19</td>
<td></td>
</tr>
<tr>
<td>IX-21</td>
<td>Language of filing of the international application</td>
<td>English</td>
<td></td>
</tr>
</tbody>
</table>

Figure 331: 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.

![Image of Fee Calculation GUI](image)

*Figure 332: 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

```xml
<fee-sheet xmlns="fee-sheet-v1-0.dtd">
  <applicant-name/>
  <prescribed-fees>
    <transmittal-fee currency="EUR">
      <amount-total>115</amount-total>
    </transmittal-fee>
    <search-fee currency="EUR">
      <amount-total>1706</amount-total>
    </search-fee>
    <international-fee currency="EUR">
      <basic-fee>
        <amount-total>876</amount-total>
      </basic-fee>
      <fee-reduction type="PCT-SAFE reduction (image)">
        <amount-total>746</amount-total>
      </fee-reduction>
    </international-fee>
    <restoration-fee currency="EUR">
      <amount-total>2646</amount-total>
    </restoration-fee>
  </prescribed-fees>
  <request-fee-total currency="EUR">2846</request-fee-total>
</fee-sheet>
```

Figure 333: Fees XML: individual fees and fee amounts

Reference in request.xml file

```xml
<check-list>
  <cli-request page-count="3"/>
  <cli-description page-count="?"/>
  <cli-claims page-count="14"/>
  <cli-abstract page-count="21"/>
  <cli-fee-calculation/>
  <cli-translation-of-application quantity="1" lang="en"/>
  <cli-other-document page-count="1">Drawing</cli-other-document>
  <cli-other-document page-count="1">Translation of text in drawing</cli-other-document>
</check-list>
```

Figure 334: Request XML: fee sheet is indicated
Reference in package-data.xml file

Figure 335: References to fee sheet XML and PDF file in package-data.xml file

PDF Fees.PDF

<table>
<thead>
<tr>
<th>Description</th>
<th>Fee amount/multiplier</th>
<th>Total amounts (EUR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.4  Form PCTRO/091 (Annex)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>0.4-1 Prepared using PCT Online Filing Version 3.5.000.221 M/F/0/20.5.9</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.9  Applicant's or agent's file reference</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1  Applicant NANO ENTERPRISE LTD.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12   Calculation of prescribed fees</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12-1  Transmission fee</td>
<td>3</td>
<td>115</td>
</tr>
<tr>
<td>12-2  Search fee</td>
<td>5</td>
<td>1785</td>
</tr>
<tr>
<td>12-2-1 International search to be carried out by EP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12-3  International filing fee (first 30 sheets)</td>
<td>7</td>
<td>878</td>
</tr>
<tr>
<td>12-4  Remaining sheets</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>12-5  Additional amount</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>12-6  Total additional amount</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>12-7  Total international filing fee (first 30 sheets)</td>
<td>878</td>
<td>878</td>
</tr>
<tr>
<td>12-12 Electronic filing fee (image)</td>
<td>R</td>
<td>-132</td>
</tr>
<tr>
<td>12-13 Total international filing fee (P-R)</td>
<td>I</td>
<td>746</td>
</tr>
<tr>
<td>12-14 Fee for priority document</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12-14 Number of priority documents requested</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>12-15 Fee per document</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12-16 Total priority document fee</td>
<td>P</td>
<td>45</td>
</tr>
<tr>
<td>12-17 Fee for restoration of priority rights</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12-17 Number of requests for restoration of priority rights</td>
<td>P</td>
<td>0</td>
</tr>
<tr>
<td>12-19 TOTAL FEES PAYABLE</td>
<td></td>
<td>2646</td>
</tr>
</tbody>
</table>

Figure 336: 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

![Payment GUI: mode of payment, authorisation and details](image)

Figure 337: 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

```
<fee-sheet>
  <prescribed-fees>
    <amount-grand-total currency="EUR">2447</amount-grand-total>
    <deposit-account>
      <authorization>
        <total-fee>
          <deficiency-credit>6</deficiency-credit>
          <fee-for-pdoc>10</fee-for-pdoc>
        </total-fee>
      </authorization>
      <account-no>26123456</account-no>
      <date>20030411</date>
      <first-name>Veronique</first-name>
      <last-name>Maronnier</last-name>
      <name-name-type="natural">Veronique Maronnier</name>
      <electronic-signature date="20030411">10</electronic-signature>
    </deposit-account>
    <signatories>
      <signature>
        <name-name-type="natural">Veronique Maronnier</name>
        <electronic-signature date="20030411">10</electronic-signature>
      </signature>
    </signatories>
  </prescribed-fees>
</fee-sheet>
```

Figure 338: Payment details in fee-sheet.xml file
### PDF Fees.PDF

<table>
<thead>
<tr>
<th>12-20</th>
<th>Mode of payment</th>
<th>1. Authorization to charge deposit account</th>
</tr>
</thead>
<tbody>
<tr>
<td>12-21</td>
<td>Deposit account instructions</td>
<td>European Patent Office (EPO) (RO/EP)</td>
</tr>
<tr>
<td>12-21-1</td>
<td>Authorization to charge the total fees indicated above</td>
<td>✔</td>
</tr>
<tr>
<td>12-21-2</td>
<td>Authorization to charge any deficiency or credit any overpayment in the total fees indicated above</td>
<td>✔</td>
</tr>
<tr>
<td>12-21-3</td>
<td>Authorization to charge the fee for priority document</td>
<td>✔</td>
</tr>
<tr>
<td>12-22</td>
<td>Deposit account No.</td>
<td>28123456</td>
</tr>
<tr>
<td>12-23</td>
<td>Date</td>
<td>11 April 2008 (11.04.2008)</td>
</tr>
<tr>
<td>12-24</td>
<td>Name and signature</td>
<td>Maronnier, Veronique</td>
</tr>
<tr>
<td></td>
<td></td>
<td>/Maronnier, Veronique</td>
</tr>
</tbody>
</table>

*Figure 339: 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 `<dtext>` element within the `request.xml` file. This text also appears in the `ValidLog.PDF` file.

The selection of designated states is added in the `<designated-states-as-inventor>` element as child of the respective `<applicant>` or `<inventor>` element.

The validation log is created automatically by Online Filing. The `ValidLog.PDF` and `validation-log.xml` files must not be imported.

GUI PCT/RO/101 Annotate

![Figure 340: Annotate GUI: remark, designated states for inventor](image)

Figure 340: 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).

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11  <parties>
12   <applicants>
13     <applicant sequence="1" app-type="applicant" designation="all-except-us">  
14       <addressbook lang="en">
15         <nationality>
16         <residence>
17            <designated-states-as-inventor>  
18              <country>AU</country>
19              <country>BG</country>
20              <country>BR</country>
21              <country>JP</country>
22              <country>KE</country>
23              <country>NA</country>
24                <region>
25                  <country>AF</country>
26                </region>
27              <country>KE</country>
28              <country>NA</country>
29                <region>
30                  <country>EP</country>
31                </region>
32              <country>GB</country>
33              <country>GB</country>
34            </designated-states-as-inventor>
35         </residence>
36       </applicant>
37     </applicants>
38  </parties>
```

Figure 341: Annotate XML: designated states for inventor and remark text
### PDF Pct101.PDF

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<th>Applicant and/or inventor</th>
<th>applicant and inventor</th>
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<td>III-1-2</td>
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<td></td>
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<td>State of residence</td>
<td>FR</td>
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</table>

Figure 342: 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 343: 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, Part 3 of the WIPO Handbook on Industrial Property Information and Documentation (http://www.wipo.int/standards/eu)
- 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.


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:
  - A-Z, a-z, 0-9
- 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. The Attributes column contains the possible attributes for each element. Check the respective DTD file to see whether an attribute is mandatory or optional. The values allowed or required for the attributes are listed in the XML attribute lists (p. 328) section of the Annex.

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</table>
### 10.6 XML attribute lists

#### 10.6.1 Attributes in ep-request.xml file - EP(1001E2K)

The list relates to ep-request-v1-6.dtd.

<table>
<thead>
<tr>
<th>ATTRIBUTE</th>
<th>VALUES</th>
<th>Applicable to ELEMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>accno</td>
<td>CDATA #REQUIRED</td>
<td>mode-of-payment, reimbursement</td>
</tr>
<tr>
<td>alt</td>
<td>CDATA #IMPLIED</td>
<td>doc-page</td>
</tr>
<tr>
<td>app-type</td>
<td>(applicant</td>
<td>applicant-inventor</td>
</tr>
<tr>
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<td>(1) #IMPLIED</td>
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</tr>
<tr>
<td>certified-copy</td>
<td>(attached</td>
<td>later</td>
</tr>
<tr>
<td>color</td>
<td>(color</td>
<td>bw) #IMPLIED</td>
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<td>no) #REQUIRED</td>
</tr>
<tr>
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<tr>
<td>currency</td>
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</tr>
<tr>
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</tr>
<tr>
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<td>all-except-us</td>
</tr>
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<td>CDATA #REQUIRED</td>
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<td>doc-page</td>
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<td>ID #IMPLIED</td>
<td>invention-title, ep-biological-material, ep-notes-to-EPO, doc-page</td>
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<td>CDATA #REQUIRED</td>
<td>ep-office-specific-data</td>
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<td>inv-rights-date</td>
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<td>VALUES</td>
<td>Applicable to ELEMENTS</td>
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<td>no) #REQUIRED</td>
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<td>(national</td>
<td>regional</td>
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<td>referenced-application, cl-claims</td>
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<td>ep-office-specific-data</td>
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<td>landscape) &quot;portrait&quot;</td>
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<td>no) #REQUIRED</td>
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<td>attorney</td>
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<td>ep-request, ep-office-specific-data</td>
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<td>topay</td>
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<td>no) #REQUIRED</td>
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<td>no) #REQUIRED</td>
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<tr>
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<td>no) &quot;no&quot;</td>
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10.6.2 Attributes in ep-euro-pct.xml file - Euro-PCT(1200E2K)

The list relates to ep-euro-pct-v1-04.dtd.

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<td>(color</td>
<td>bw) #IMPLIED</td>
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<tr>
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<td>cl-drawings</td>
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<td>ep-office-specific-data</td>
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<td>ATTRIBUTE</td>
<td>VALUES</td>
<td>Applicable to ELEMENTS</td>
</tr>
<tr>
<td>-----------</td>
<td>--------</td>
<td>------------------------</td>
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<td>landscape) &quot;portrait&quot;</td>
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<td>VALUES</td>
<td>Applicable to ELEMENTS</td>
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10.6.3 Attributes in ep-sfd-request.xml file - EP(1038E)

The list relates to ep-sfd-request-v2-1.dtd.

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<th>ATTRIBUTE</th>
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<td>CDATA #IMPLIED</td>
<td>doc-page</td>
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<td>applicant-inventor</td>
</tr>
<tr>
<td>color</td>
<td>(color</td>
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<td>NMTOKEN #REQUIRED</td>
<td>doc-page</td>
</tr>
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<td>ID #IMPLIED</td>
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<td>fee</td>
</tr>
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<td>addressbook, document-id</td>
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<td>deposit</td>
</tr>
<tr>
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</tr>
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</tr>
<tr>
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</tr>
<tr>
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</tr>
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</tr>
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### 10.6.4 Attributes in ep-opposition-data.xml file - EP(Oppo)

The list relates to ep-xmit-opposition-data-v1-0.dtd.

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<td>right</td>
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<td>-------------------------</td>
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## 10.6.5 Attributes in request.xml file - PCT/RO/101

The list relates to request-v1-7.dtd.

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<td>VALUES</td>
<td>Applicable for ELEMENTS</td>
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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.

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