

EPO Online Filing

User guide

Software version 5.14 / 2023-01

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Last update: 1 January 2023



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1. Legal notices

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Using the Online Filing software (OLF)

The EPO grants users the right to use the Online Filing software free of charge for an unlimited period. The software is exclusively intended for online filing with the EPO, i.e. for European patent applications and other documents.

Please refer to the EPO's website to view the most recent version of the <u>Terms and conditions for</u> <u>EPO online services electronic infrastructure (https://www.epo.org/footer/terms/online-serviceselectronic-infrastructure.html</u>).

2. Introduction

Intended audience

This guide is intended for users of the Online Filing software and EPO Online Services. To use EPO Online Services, you need a username and a smart card registered and supplied free of charge by the EPO. You can enrol for a smart card using the enrolment form provided on the **EPO website** (http://www.epo.org/online-services).

What this guide contains

This guide details the features of the Online Filing Software and describes the processes for submitting patent applications or subsequently filed documents electronically. Online Filing supports applications via the EP and PCT routes as well as the use of additional national filing routes with the EPO as interface.

Additional information

The information presented in this document may change over time as online services develop. The latest documents and software updates are available for download from the **EPO website** (http://www.epo.org/online-services).

2.1 Help and Support

The EPO operates a helpdesk for Online Filing users.

Send us your question using our contact form on the EPO website at www.epo.org/contact-form.

Our experts will get back to you as soon as possible.

You can also reach us by phone or e-mail:

Open:	Monday to Friday, 08:00 to 18:00 (CET)	
Phone:	00800 8020-2020 (free call from most countries worldwide)	
E-mail:	support@epo.org	
Internet:	Online filing on the EPO website: www.epo.org/online-filing	
	Contact us online on the EPO website: www.epo.org/contact	
	Visit the Online filing discussion forum (English only):	
	http://forums.epo.org/onlineservices-your-say-online-filing/	

2.2 Typographical conventions

Style	Usage		
Element Interactive elements in the application such as windows, options, i			
items, icons, buttons and data entry fields.			
Text EntryText that you type in data entry fields.			
KEY Keys that you press on your computer keyboard, e.g. P, ALT or C			
KEY1+KEY2	Keys that you press at the same time: hold down KEY1 and press KEY2 .		
Filename.extName and extension of files used in Online Filing.			

The following text styles identify special information.

3. Overview of Online Filing

The Online Filing software lets you file EP, Euro-PCT and PCT applications with the EPO and make submissions within the opposition, appeal, limitation and revocation procedures. It also lets you submit subsequently filed documents for all EP procedures. EPO Online Filing can furthermore be used to submit applications and documents to participating national offices.

The EPO recommends that all applicants use the Online Filing software for their filings to the EPO. This method guarantees the quality of the data and documents transmitted. As soon as the EPO receives the electronic application, you are sent a receipt with the application number and the date of filing. What is more, the EPO grants Online Filing users a reduction on certain fees.

If you file an application online with the EPO, you should use the same procedure, where possible, for subsequent communications and document submission. In particular, you should not send a confirmation fax or letter to the EPO by post.

Running Online Filing

The Online Filing software opens with **File Manager**. Log on by entering the **user name** and **password** you were assigned by the Online Filing Administrator. User names are associated with roles that allow you to perform certain tasks on the system. Online Filing only allows you to use the options appropriate to the role assigned to your user name – e.g. only certain roles may add or remove signatures.

Online Filing modes

Online Filing operates in two different work environments: production mode or demo mode. The appropriate mode is selected when starting File Manager.

File Manager		3
Selection		
User name:	Administrator	
Password:		j
	production mode demo mode	
	OK Cancel	

Figure 1: Online Filing login window

Production mode is for real filings. The default is production mode. You can also set this startup mode in User Preferences (p. 55).

Demo mode is provided to allow users to practice the processes of completing, signing and sending applications, without submitting a real filing. Demo mode transmissions go to a different EPO server address from production transmissions and submissions are only confirmed by a demo receipt.

All settings, forms, applications and Address Book entries, as well as users, groups and user profiles are specific to the current mode, i.e. demo mode or production mode, to ensure that any work in one is kept entirely separate from the other.

File Manager

File Manager is the central administration interface for using the Online Filing suite. This is where you organise your applications and track their processing status.

- Create folders for applications and templates
- Edit applications in the workflow process (Draft Sign Send)
- Check the legal and formal requirements of applications
- Export applications
- Save names and contact details in the Address Book
- Customise File Manager to suit individual user preferences
- Create user names and manage user privileges
- Set up your own password policy
- Manage general system settings.

Electronic Forms

At the EPO, electronic online filing is available for the following procedures – also referred to as forms – which can be found in the **Forms** folder in File Manager:

EP(1001E2K) – Request for grant of a European Patent (EPC 2000)

Form EP(1001E2K) is the default form used for requesting the grant of a European patent and examination of the application under Article 94 EPC. The application can be filed directly to the EPO or via one of the participating national offices.

EP(1038E) – Subsequently filed documents (in EP procedures)

All subsequently filed documents should be submitted using Form EP(1038E), except in the opposition procedure, when they should be submitted with Form EP(Oppo) (p. 237).

Form EP(1038) can also be used to submit an appeal and/or documents filed subsequently in appeal proceedings. If you file documents and fees related to an appeal, you cannot file other documents or fees, i.e. non-appeal-related documents or fees – at the same time.

Non-public documents can also be filed with Form EP(1038E). Please note that you cannot file non-public documents at the same time as any other documents, i.e. public documents. Nor can you file non-public documents at the same time as you pay fees related to public documents.

You can also use Form EP(1038E) exclusively to pay a fee.

At present, Online Filing does not allow the filing of priority documents, with the exception of US certified priority documents.

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

Euro-PCT(1200E2K) is the form used for entry of an international application into the European phase before the EPO as designated or elected office.

EP(Oppo) – EP opposition

The EP(Oppo) form is used for filing an opposition and/or submitting subsequently filed documents in opposition proceedings (not for appeal proceedings). It should be used by all parties involved in opposition proceedings.

PCT/RO/101 – PCT/RO/101 Request

You can use Form PCT/RO/101 to submit an international application filed under the PCT to the EPO. You can define the EPO as both receiving office (RO) and international searching authority (ISA).

PCT-SFD – PCT Subsequently filed documents

You can use Form PCT-SFD to file documents submitted after the filing of an international application under the Patent Cooperation Treaty (PCT). You can also use it to select the fees for the subsequently filed documents and the way you want to pay them.

PCT-DEMAND – PCT Demand (PCT/IPEA/401)

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

The electronic forms are structured along the same lines as traditional paper forms to simplify data entry. You can open and work in several forms at the same time. You can create new applications and produce your own templates by copying your drafts and applications already filed.

Server Manager

The Server Manager tool allows the Online Filing administrator to manage services, servers and databases.

- Monitor, start and stop services
- Activate and deactivate services for national procedures
- Backup and restore databases
- Export and import data
- Manage user connections to the server
- Monitor and log the progress of all actions
- Configure and run Live Update for software updates
- Select countries for the update of national procedures via Live Update
- Migrate either the user configuration or the Online Filing database.

3.1 Network-based online filing

Online Filing is a client-server application and can be configured as either a stand-alone installation or a network installation.

In a **stand-alone installation**, the client and server both run on the same computer. There is usually only one user here who is also the administrator.

For **network installation**, the Online Filing server in installed with the database on a specific computer in the applicant's company or a patent attorney firm. This server centrally administers all applications, data and users. The individual users have an Online Filing client installed on their PC workstations. Data is accessed via the company network or via a private internet connection (VPN tunnel), allowing persons working at discrete locations all over the world to co-operate on joint applications.

User authorisation and authentication

The data and software functions released for users in Online Filing are specified individually by the administrator. An application that is being processed by a user is locked for all other users, but is available in read-only mode. All users can see who edited and saved the application last, ensuring that workflows remain transparent and fully documented.

Smart cards (p. 95) are used for signing applications as well as for authentication when making transmissions to the EPO. All users who have signing and sending privileges need their personal smart card with PIN and a smart card reader in their offices.

Network settings when installing Online Filing

The exchange of data between the client and the server is managed by the computer network. How the data is exchanged is defined by the network protocol. The Online Filing server works with two different protocols – CORBA and SOAP – and reserves individual ports for each service.

CORBA is recommended, since SOAP considerably slows down the rendering of the graphical user interface. Also, SOAP does not work with procedure PCT/RO/101. However, SOAP is useful when the server is accessed via a WAN through a firewall.

During the Online Filing client setup, you are prompted to specify the settings for the connection to the server. CORBA is set by default.

Enter the correct **IP address** of the server or its computer name in your network (available from your system administrator).

The **localhost** address should only be used if the client and server are running on the same logical PC.

Server address information					
WARNING: SOAP only works with version 3 procedures, i.e. not with PCT.					
	φC	ORBA C	SOAP		
IP Address	10.0.	3.24			
Port	1100	0			
	Connect	Save	Cancel		

Figure 2: Setting the server address when installing the client

When configuring the Online Filing server, you have the option of entering a specific port for each individual procedure. You can leave the default ports, provided that they are not already otherwise assigned in your network. Ask your network specialist or system administrator for more information.

Online Filing 5.0 Setup CORBA/SOAP ports Please set the CORBA/SOAP port numb want to modify them.	ters for the respective features	s, if you	
Application	Port (Corb	a)	Port (SOAP)
EPO OLF File Manager	11000	21000	^
EPO OLF EP1038	11103	21103	E
EPO OLF EP122K	11106	21106	
EPO OLF EP2000	11105	21105	
EPO OLF EPOPPO	11108	21108	
EPO OLF PCT	11301	,	
EPO OLF UK177E	12901	22901	
EPO OLF UKNPUK	12902	22902	
EPO OLF ES3101	12701	22701	
	10700	, [
		Next	Cancel

Figure 3: Settings for CORBA and SOAP ports during installation

For more information on installing Online Filing, refer to the installation manual, which is available from the EPO website at **Online services > Online filing > Download documentation** (http://www.epo.org/applying/online-services/online-filing/documentation.html).

3.2 National procedures in Online Filing

All national procedures compatible with Online Filing are integrated by default in the software as standalone plug-ins and are systematically installed. Individual plug-ins can be activated and deactivated subsequently as required in Server Manager; see **Services management** (p. 401).

You can select the options **Typical** and **Custom** when setting up Online Filing as a server installation or stand-alone installation.

Typical installation

- Installs the default services: File Manager, Server Manager, EP(1001E), Euro-PCT(1200E), EP(1038E), EP(OPPO), PCT/RO/101, PCT-DEMAND (PCT/IPEA/401) and PCT-SFD
- Installs all national plug-ins without activating them

Custom installation

- Installs the default services and all national plug-ins
- Also activates selected national plug-ins

For more information on installing Online Filing, refer to the installation manual, which is available from the EPO website at **Online services > Online filing > Download documentation** (http://www.epo.org/applying/online-services/online-filing/documentation.html).

For an overview of all national procedures, see the EPO website at **Online services > Online filing > Online Filing in national offices**

(http://www.epo.org/applying/online-services/online-filing/national.html).

3.3 National procedures in Online Filing

The EPO is constantly developing and upgrading the Online Filing system and software in response to customer requirements to improve performance, data quality and workflow.

All software updates are made available via the Live Update service, and installation files are published on the EPO website for manual download.

Live Update

The EPO recommends that all software users configure the Live Update function. This ensures that you are always using the latest version of Online Filing, incorporating the most recent procedural and fee changes, for your submissions.

Live Update also lets you download and install updates for specific national procedures. For details on how to use and configure this tool, see **Live Update** (p. 417) in the Server Manager section of this manual.

Manual Update

A chronological list of all downloadable updates for the Online Filing software can be found on the EPO website at **Online services > Online filing > Download software for filing with the EPO** (http://www.epo.org/applying/online-services/online-filing/download.html).

Release notes

The new features and changes implemented by the current and previous Online Filing software updates are listed at **Online services > Online filing > Download software for filing with the EPO > Version 5** (http://www.epo.org/applying/online-services/online-filing/download/version-5.html).

RSS feed

If you would like to keep abreast of all new versions, updates, patches and maintenance data, you can subscribe to the EPO Online Services RSS feed. The RSS feed will then notify you as soon as new downloads are available.

For the link to the RSS feed visit the **Online services page** (http://www.epo.org/online-services) or go to http://www.epo.org/rss/online-services.xml.

3.4 Help on using Online Filing

Apart from reading this guide, there are other things you can do to get help on using the Online Filing software.

Contacting Customer Services

In the menu, click **Help > Info**.

The **About File Manager** window provides contact details for Customer Services as well as information on the type of installation and the build numbers for the modules currently installed. It is important to have this data to hand when talking to Customer Services.

Contact details for the national patent offices can also be found in the upper part of the window.

To see more addresses, scroll down this pane.

The lower part of the window contains information on all the national procedures installed.

To see all the plug-ins, scroll down this pane.



Figure 4: Helpful information on Online Filing

Creating a diagnostic file

When you contact Customer Services, it is always useful to have detailed information on your OLF system setup at hand. The helpdesk can then get a clear picture of how your Online Filing software is configured and this can enable the support staff to help you efficiently with advice and troubleshooting.

You can export all the relevant information, i.e. version number, installed plug-in versions, installed patches, original installation settings and server configuration, into a diagnostic file and mail this to Customer Services.

Start the Online Filing Server Manager.

In the menu, click **Help > Create diagnostic file**.

Note the warning message in the next dialog window.

Click Create.

Online Filing Server Manager exports all relevant data into the **EPOolfDiagnostic.txt file**. You are prompted to select the storage location for the diagnostic file on your hard disk.

Open the **EPOolfDiagnostic.txt** file in Windows Notepad to inspect the contents including the warning message.

If required, you can now modify the file's contents before sending it to Customer Services.



Figure 5: Contents of the diagnostic file in Windows Notepad

Online help

Online Filing's integrated online help files contain all information from this user guide for reference. An index is provided to help you search for keywords.

Click the Help button in the toolbar on the right.

?

or

In the menu, click **Help > Online Filing Help**.

The Online Filing help opens in a new window in the default browser specified in the relevant Windows system settings, e.g. Microsoft Internet Explorer.

3.5 Digitally signed packages

Starting with new patches from spring 2021, EPO online services packages, including OLF packages, will be digitally signed.

When you download, "signed" software gives you the assurance that the package is from the European Patent Office and is still valid, and that code has not been tampered with since being published.

EPO digital certificates are issued by the European Patent Organisation and the European Patent Office.

Issuer	European Patent Office CA G2
Valid from	Monday, September 30, 2019
Valid to	Monday, September 30, 2024

Figure 6 Digital certificates

In Windows, the identity of the software publisher can be seen in the file properties.

Additionally, when the downloaded executable file is opened, the following alert may appear: "This file does not have a valid digital signature that verifies its publisher. You should only run software from publishers you trust."

Open File	- Security Warning	×
Do you	want to open this file?	
P	Name: Publisher: Unknown Publisher Type: Security Certificate From:	
🗹 Alwa	Open Cancel ys ask before opening this file	
۲	While files from the Internet can be useful, this file type can potentia harm your computer. If you do not trust the source, do not open thi software. What's the risk?	lly s

Figure 7 Security warning

Additional information about the file is also shown.

If the package is unsigned, the publisher is shown as unknown.

If the package is signed, but the EPO digital certificates have not been correctly saved in Windows, the publisher is shown as unknown.

If the package is signed and the EPO digital certificates have been correctly saved in Windows with the trusted root certificates, the publisher will be shown as "EPO".

The EPO digital certificates can be downloaded from epo.org.

Using Windows Explorer, open the location of the downloaded certificate.

 Name
 Status
 Date modified
 Type

 Status
 Date modified
 Security Certificate

 Open
 Install Certificate
 Security Certificate

 Share
 Share
 Share

Select the file and right-click to view the following menu:

Figure 8 Install certificate

Left-click Install Certificate to open the Windows Certificate Import Wizard.

÷	4a	Certificate Import Wizard	×
		Welcome to the Certificate Import Wizard	
		This wizard helps you copy certificates, certificate trust lists, and certificate revocation lists from your disk to a certificate store.	
		A certificate, which is issued by a certification authority, is a confirmation of your identity and contains information used to protect data or to establish secure network connections. A certificate store is the system area where certificates are kept.	
		Store Location © Current User ◯ Local Machine	
		To continue, click Next.	
		Next Cancel	I

Figure 9 Certificate import wizard

Note: To install a certificate, administration rights are required.

Select **Current User** to import the certificate into our personal store or **Local Machine** (for all users), then **Next**.

÷	🚰 Certificate Import Wizard	~
	Certificate Store Certificate stores are system areas where certificates are kept.	
	Windows can automatically select a certificate store, or you can specify a location for the certificate.	
	O Automatically select the certificate store based on the type of certificate	
	Place all certificates in the following store	
	Certificate store:	
	Browse	
	Next Canc	ł

Figure 10 Certificate store

In the Certificate Store, select Place all certificates in the following store and click Browse.



Figure 11 Trusted Root Certification Authorities

Select the certificate store Trusted Root Certification Authorities and click OK, then Next.

🗧 🌛 Certificate Import Wizard

Completing the Certificate Import Wizard

The certificate will be imported after you click Finish.

Certificate Store Selected by User	Trusted Root Certification Authorities
Content	Certificate

Finish Cancel

Figure 12 Completing the certificate import wizard

Click Finish to complete the import.

Windows will then show a security message:

Security Warning



You are about to install a certificate from a certification authority (CA) claiming to represent:

European Patent Organization CA G2

Windows cannot validate that the certificate is actually from "European Patent Organization CA G2". You should confirm its origin by contacting "European Patent Organization CA G2". The following number will assist you in this process:

Thumbprint (sha1):

Warning: If you install this root certificate, Windows will automatically trust any certificate issued by this CA. Installing a certificate with an unconfirmed thumbprint is a security risk. If you click "Yes" you acknowledge this risk.

Do you want to install this certificate?



Figure 13 Security warning - certificate

Click Yes.

If the import was successful, the following message will be shown:



Figure 14 Import was successful

Click OK to close.

Both EPO digital signatures should be downloaded and imported.

This action does not need to be repeated with each package. Users will be informed when the certificates used to sign EPO online services packages are changed so that they can update the certificates at their end.

Once the EPO digital certificate has been installed, the identity of the software publisher will be shown in the file properties as "EPO".

Additionally, when the downloaded executable file is opened, the alert regarding unsigned executable files is removed.

Users can choose not to install the digital certificates.

Furthermore, users updating via OLF **Live Update** do not need to take any further action. The file will download and install as normal.

Users choosing to **manually download** OLF packages from epo.org can choose to install the digital certificates and be able to view the publisher information when installing packages by verifying the digital signature.

Users can also choose to install the digital certificates only centrally and not locally, to verify the digital signature of packages before proceeding with a distributed installation. This means that where a server installation has verified publisher information, thin clients that also have verified publisher information via locally installed digital certificates are not required.

An EPO smart card is not a requirement for the download and installation of EPO digital certificates or for the download of EPO online services packages.

4. File Manager

Online Filing opens with the **File Manager** window. The **Forms** folder is always displayed when you start the application, enabling you to select a procedure immediately to create a new application.

Click All Applications to see the application list.



Figure 15: File Manager - Overview

Elements in File Manager

Element	Description					
Menu Bar	Contains all commands that you need to create, edit and save					
	applications, options for configuring the program properties of					
	Online Filing as well as other tools.					
Toolbar	Provides shortcuts to the most frequently used tasks and tools.					
Location Indicator	Contains specific information on the application currently selected:					
Bar	folder, status, procedure, user reference.					
Status Selection Bar	Displays the applications in a selected folder filtered by their current					
	status: Draft, Ready to sign, Ready to send or Sent.					
Search	Searches the list of applications (or templates) for a specific search					
	term. To find a term, select the column you want to search in the					
	drop-down list and enter the search term in the field to the right.					
	The first application (or template) in the list that matches your					
	search terms is highlighted in grey after you click the Search icon					
	P. Click the Search icon again to jump to the next application that					
	matches your search criteria.					
Folders and	Contains the system folders All Applications, Default Folder,					
Templates	Forms, Templates and Trash. You can create additional folders					
	and sub-folders as required for your applications and templates.					
Info Pane	Displays general information on the application (or template)					
	currently highlighted in the list.					
	Click View to preview the application. The application then					
	appears in the PDF Viewer with a list of all attached files that can					
	also be displayed in PDF view.					
Application List	Shows the content of the folder that you selected on the left, that is,					
	all applications, templates or forms that are in this folder.					
Status Bar	Shows information on the last action executed in the program.					

Customising File Manager

You can customise File Manager to only display the elements you wish to see.

Click the options checked in the View menu one by one, e.g. Status Bar and Location Indicator.

The check marks are removed and the Status Bar and Location Indicator elements will be hidden.

Click an option in the **View** menu again to set the check mark and display the element once more in File Manager.



Figure 16: Customising File Manager: Location Indicator and Status Bar are hidden

Exiting File Manager

Use the File menu to close File Manager and exit Online Filing.

Click Exit to close the program.

Click Log off if you want to operate the program under a different user name.

4.1 Toolbars

The Online Filing toolbars provide buttons for the most common tasks you need to complete as you prepare, sign and send your application.

All of these functions can also be activated via options on the File Manager menu bar. Another alternative is the shortcut menu, which you open by right-clicking an element. The shortcut menu always contains a list of frequently used options.

File Manager toolbar

Button	Function	Description
-	New draft	Creates a new application based on a standard
		procedure or template.
*	Delete	Moves the selected item to the Trash folder.
	Previous	Moves the application back a step in the workflow process.
	Next	Moves the application forward a step in the workflow process.
\bigotimes	Validation	Displays validation messages for the selected application.
P	Internal Notes	Creates application notes not intended for transmission to the EPO. Notes for the EPO are inserted in the Annotations tab on a form.
	Address Book	Opens the Online Filing Address Book to edit contact details for legal and natural persons.
\odot	System preferences	Opens the System Preferences (p. 59) window.
(?)	Help	Opens the online help for File Manager.

Forms toolbar

When you edit an application in Online Filing, the software opens a form in a separate window, e.g. Form EP(1001E2K). The form view window also features buttons for the most common tasks.

Button	Function	Description
	Save	Stores a copy of your work so far.
	Next	Moves the application forward a step in the workflow process.
\bigcirc	Validation	Shows validation messages for the tab currently open.
	Internal Notes	Creates notes not intended for transmission to the EPO.
2	Preview	Shows a preview of the application in the PDF Viewer.
	Add	Adds a new item, e.g. adding details for a new applicant or attaching a new file.
*	Delete	Removes the selected item from the form.
(?)	Help	Opens the online help for the EP forms.

4.2 Folders

File Manager features a series of special system folders to help with organising your work. You cannot rename or delete these.

lcon	System Folder	Description						
	All Applications	Contains a list of all applications (apart from items in the Trash						
		folder).						
	Default Folder	All new drafts are filed here unless you specify a different location						
		when saving.						
	Forms	Contains the official forms prescribed for the various procedures						
		that are available for applications. The list of procedures avail						
		lepends on the settings chosen during installation.						
P	Templates	Contains modified forms with user-specific information.						
谊	Trash	Contains deleted applications (or templates). Once the Trash						
		folder has been emptied, none of the items deleted in Online Filing						
		can be retrieved.						

You can create your own folders and sub-folders in File Manager. These folders could be named by type of application, company name or any other criteria that suit you. Folders are ordered alphabetically under the **Default Folder**. You can rename and delete folders you create.

Folders containing sub-folders are marked by a little black triangle on the left.

To open a folder and view its sub-folders, double-click the folder.



Figure 17: Folders with sub-folders in File Manager

Creating a folder

In the menu, click **File > New Folder**.

or

Right-click in the folder area and select **New Folder** from the shortcut menu.

Type a name for the folder and press **ENTER**.



Figure 18: New folder created

Creating a sub-folder

Right-click the folder to which you want to add a sub-folder.

Select New SubFolder from the shortcut menu.

Type a name for the sub-folder and press **ENTER**.

Renaming a folder

Right-click the folder you want to rename.

or

Press the F2 key.

Select **Rename Folder** from the shortcut menu.

Enter the new name and press ENTER.



Figure 19: Folder renamed

Deleting a folder

You can only delete folders which do not contain any applications or templates.

Right-click the folder you want to delete.

Select Delete Folder from the shortcut menu.

The folder is deleted immediately.

Sorting a folder

Select the folder you wish to sort.

In the menu, click on **View > Sorting**, then choose the name of the column you want to sort the list by.

File Manager Sample 1001						x
File Edit View Workflow Tools Help						
🙀 💥 🗸 Toolbar					0	?
Location Indicator						
All V Info Pane	Ready to Sign	Ready to Send	Sent	Last saved	•	~
De Status Bar						
Bio Validation	rence	Title	⊘ ∆ () Type	🥑 Status	
valuation valuation	1001 Request fo	or grant of a European	0 0	3 EP(1001E2K)	 Ready to sign 	
Internal Notes	patent (EP	C 2000J				
List of attached documents	Request fo patent (EP	or grant of a European C 2000)	33	3 EP(1001E2K)	0 Draft	
Tei Status	1038 Subseque	ntly filed documents	0 0	1 EP(1038E)	0 Ready to send	
Columns 🕨	PCT-1 PCT/RO/	01 request		PCT	Draft	
Sorting >	∇ Last saved	on procedure	2 0	1 EP(Oppo)	0 Draft	-
	Reference	·				
KML Import Section 2017 Sec	Type 🛷					
Forms ID.	Status					
- Templates						

Figure 20: Sorting applications by an option in the "View" menu

or

Click a column heading in the list of applications.

Click the column heading again to change the sorting order from ascending (A-Z or 0-9) to descending (Z-A or 9-0).

		All Applications	All	Draft	Ready	to Sign	Ready to Send		Sen	t	Last saved	•		8
ľ		Bio Research	Last save	d Re	ierence 🖓		Title	0	⚠	(1)	Туре	Ŷ	Status	T
l	•	Nano Enterprise	30.05.2012	2 Sample	PCT-1	PCT/RO/1	01 request				PCT		Draft	
l	• 🖻	TechEurope	30.05.2012	2 Sample	OPPO	EP Opposit	ion procedure	2	0	1	EP(Oppo)	0	Draft	
		Universal Engineering	30.05.2012	2 Sample	1200	Entry into th (EPC 2000)	ne European phase 	6	2	8	EP(1200E2K)	0	Draft	
l	• 📃	XML Import	30.05.2012	2 Sample	1038	Subsequen	tly filed documents	0	0	1	EP(1038E)	0	Ready to send	
l	• 🕞	Forms Templates	31.05.2012	2 Sample	1001	Request for patent (EPC	r grant of a European C 2000)	0	0	3	EP(1001E2K)	1	Ready to sign	
	Ť	Trash	30.05.2012	2 1001-2		Request for patent (EPC	r grant of a European C 2000)	3	3	3	EP(1001E2K)	0	Draft	

Figure 21: Sorting applications by clicking the column heading

4.3 Applications

The list of applications indicates the most important properties of all applications in the folder currently selected:

- Last saved Date of the last change
- Reference
- Title
- **(a) (b)** Number of validation messages by validation level (see "Validation" p. 40)
- Type of procedure/form used
- Mumber of attachments
- **Status** in the workflow process

All	Dra	íft	Ready	y to Sign	Ready to Send		1	Sent		Last saved	•		٩
Last s		Ref	erence		Title		0	▲	٢	Туре	Ŷ	Status	^
31.05.20	112 Sa	ample	1001	Request for patent (EPC	grant of a Europea 2000)					EP(1001E2K)		Ready to sign	
30.05.20	12 10)01-2		Request for patent (EPC	grant of a Europea 2000)	n	3	3	3	EP(1001E2K)	0	Draft	
30.05.20	12 Sa	ample	1038	Subsequen	tly filed documents		0	0	1	EP(1038E)	0	Ready to send	
30.05.20	112 Sa	ample	PCT-1	PCT/RO/1	01 request					PCT		Draft	
30.05.20	12 Sa	ample	OPPO	EP Opposit	ion procedure		2	0	1	EP(Oppo)	0	Draft	
30.05.20	112 Sa	ample	1200	Entry into th (EPC 2000)	ie European phase		6	2	8	EP(1200E2K)	0	Draft	Ŧ

Figure 22: List of applications in File Manager

You can customise the list of applications and filter it by various criteria.

In the menu, click **Status > View**, then choose the status you want, e.g. **Ready to send**.

or

Click the appropriate button in the Status Selection Bar.

In the menu, click **View > Columns**, then select the columns you want to display in the list of applications.

Double-click the dividing line between two column headers to resize the columns so that they fit their content.

4.3.1 Creating a new application

You can create a new application in File Manager using a form from the **Forms** folder or a customised form from the **Templates** folder.

In the menu, click File > New Draft.

or

Click the **New Draft** button in the toolbar.

÷

or

Double-click a form or template.

or

Press CRTL+N on your keyboard.

The Create a New Application window opens.

Enter the User Reference for the new application.

Select the type of procedure you want to choose from in the Group list, e.g. EP.

This is not mandatory but it reduces the number of forms displayed in the **Procedure** list, making selection easier for you if the number of procedures installed is very high.

Select the option you want in the **Procedure** list.

The procedure on which an application is based cannot be changed afterwards.

Data automatically appears in the **Description** field and cannot be edited.

If you want to use one of your templates as a basis for the new application, select it in the **Based on Template** list.

Select the language you want in the Language of proceedings list.

The application form will be created in the language selected. However, this setting has no effect on the language of the Online Filing graphical user interface.

Select the **folder** where you want to save the new application.

Click Create.

A warning appears if the user reference you entered has already been assigned to an application.

- Confirm this message with Yes if you are sure you want to use the same user reference for the new application.
- Click **No** to change the user reference in the **Create a New Application** window.

 If you create a new PCT/RO/101 application, only unique user references are allowed; see Creating a new PCT/RO/101 application (p. 272) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

The option **Customer number** is only available for the UK procedures **UK-IPO(F1)**, **UK-IPO(NP1)** and **UK-IPO(SFD)**.

Example

This new EP(1001E2K) draft is not based on a template. English is selected as the language of proceedings and the application is stored in one of the personal folders.

Create a New Application	x							
User Reference:	Sample 1001							
Group:	EP							
Procedure:	Euro-PCT(1200E2K)							
Description:	Entry into the European phase (EPC							
Based on Template:	<none></none>							
Language of proceedings:	English							
Customer number:								
Save to folder:								
🛅 Default Folder								
🛅 Bio Research								
🕨 🛅 Nano Enterprise								
🕶 🛅 TechEurope								
Ashcroft								
🛅 Kilburn								
🛅 Universal Engineering								
▶ 🛅 XML Import								
	Create Cancel							

Figure 23: Create a new draft based on Form EP(1001E2K)

4.3.2 Saving applications

A new application is only transferred to the database after the draft has been saved for the first time. Changes made in the subsequent workflow process can be saved at any time. Saving changes ensures that the data displayed in File Manager is also updated.

In the form view menu, click **File > Save**.

or

Click the **Save** button in the toolbar.

You can use the **Save As** option in the **File** menu to create a new item from an open application:

Select Save copy as Draft and enter a reference to save as a new copy.

The original remains as it was when last saved. All subsequent changes apply to the new document.
Select **Save as Template** to save as a customised form (see "Templates" p. 32) on which to base new drafts.

The saving options in form PCT/RO/101 are slightly different; see Saving the form (p. 274) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

4.3.3 Renaming applications

You can only rename applications while they are still in **Draft** status. Applications based on form PCT/RO/101 cannot be renamed.

Open File Manager and select the application you wish to modify.

Right-click the application in the list and select **Rename user reference** from the shortcut menu.

File Manager 1001-2							x
File Edit View Workflow T	ools Help						
🔁 💥 < 🕨 🖉 🦻						Ô	?
Default Folder - All - EP(1)	001E2K) - 1001-	-2				6 items avai	lable
All Applications	All Draft	Ready to	Sign Ready to Send	Sent	Last saved	•	Q
Default Folder							
📄 Bio Research	Last saved F	Reference 🛆	Title	S 🖉	Type	🔗 Status	^
▶ 🛅 Nano Enterprise	30.05.2012 1001	-2	Open application	<u> </u>	3 EP(1001E2K)	0 Draft	
Universal Engineering	31.05.2012 Samp	ple 1001	Move to folder)	3 EP(1001E2K)	1 Ready to sign	
KML Import Forms	30.05.2012 Samp	ple 1038	Copy application Convert to template		1 EP(1038E) 8 EP(1200E2K)	0 Ready to send	
▶ 🕞 Templates	55.55.2012 Sam	pic 1200	Rename user reference		0 ET (1200E2K)	o Diat	
Trash	30.05.2012 Samp	ple OPPO	Delete	45	1 EP(Oppo)	0 Draft	-

Figure 24: Rename user reference for application

Enter the new user reference in the **Rename user reference** window.

Click Rename to save your changes.

The user reference in the database will be updated. It can take a few moments for the change to appear in File Manager.

4.3.4 Moving applications

In File Manager, select the application (or template) you want to move.

Right-click the application.

Select **Move to folder** from the shortcut menu.

Select the destination folder for the application in the **Move to folder** window.

(i) You can display sub-folders by double-clicking the parent folder.

Click OK.

The application is now in the selected folder.



Figure 25: Selecting the folder where you want to move an application

4.3.5 Deleting applications

There are a number of ways to delete applications (or templates). At every stage of the deletion process, Online Filing asks if you are absolutely sure you want to delete an application. This is not a setting that can be deactivated in the user preferences.

Deleted applications are first moved to the **Trash** folder where they remain until you empty the trash.

In File Manager, select the application(s) or template(s) you wish to delete.

(i) You can select multiple items one after the other by clicking them with the **CTRL** key held down.

In the menu, click Edit > Delete application.

or

In the toolbar, click the **Delete** button.

≍

or

Right-click the application(s) and select **Delete** from the shortcut menu.

or

Press DELETE on your keyboard.

Retrieving deleted items

Click the Trash folder.

Ŵ

Select the application you want to restore.

Right-click the application and select **Move to folder** from the shortcut menu.

Select the required folder in the Move to folder window and click OK.

Removing items from the Trash folder

You can clear all items or individual items in the **Trash** folder.

Right-click the Trash folder and select **Empty Trash Folder** from the shortcut menu.

or

Select the items you want to remove and delete them as described above.

4.3.6 Previewing applications

Just like in any word processing application, you can open a preview of an application in Online Filing to display the application form as it appears in print. In Online Filing, the preview of the application is displayed as a PDF file in the **PDF Viewer** window, which runs the **Adobe Acrobat Reader** application installed on your PC. This window also displays all attached files as well as the system files generated by Online Filing.

Select an application in File Manager.

The **info pane** provides more information on a selected application, including information that is not yet visible in the list of applications:

- **ID** is the internal number of the application in the database.
- **Title** is the title of the invention (for applications using the EP(1001E2K) form only, otherwise blank).
- Last saved indicates the user's name and the date.
- Applicant indicates the name(s) of the applicant.
- Internal Notes provides a short summary of remarks by the persons handling the application.

Click the **View** ... button in the info pane.

or

Select View > List of attached documents.

🔊 Form EP(1001E2K)			
ID:	191		
Title:	Instant water		
Status:	Ready to sign		
Messages:	So ▲ 0 🕄 1		
Last saved:	Administrator, 30.05.2012		
Applicant:	Nano Enterprise Ltd.		
Attachments:	1 View		
Internal Notes:	David Kilburn, 56,2012, Check fees Laura Ashcroft, 30.05.2012, Representatives		

Figure 26: Info pane with application information

The PDF Viewer opens with a preview of the required application (ep-request.pdf).

A list of all files associated with this application is displayed on the left.

- In this example, the technical documents are contained in one attachment (SPECEPO-1.pdf).
- The XML files listed are the system files required for transmission to the EPO. The **f1002-1.pdf** file is the designation of inventor generated internally by Online Filing.
- The list of files displayed by the PDF Viewer includes the acknowledgement of receipt (**receipt.pdf**) once an application has been successfully transmitted to the EPO.
- The user reference appears on the bottom left of each page in the PDF document created by Online Filing.

The PDF Viewer provides a toolbar and other items for handling the PDF document.

To print the form, click the **Print file** icon in the PDF Viewer's toolbar.

To save a copy of the PDF file to your PC, click the **Save file** icon.

To resize the width of the left navigation pane, click the grip at the centre of the divider (symbolised by three dots) and drag it to the required position.

PDF Viewer	
application-body.xml (application-body.xml)	÷
ep-request.pdf (ep-request.xml) (ep-request.xml) f1002-1.pdf f	_
(f1002-1.pdf) Fir attaid are only	
(package-data.xml) 1 Applation number:	
pkgheader.xml 2 Date of receipt (Rule 35(2) EPC): DREC	
(pkgneader.xmi) 3 Date of receipt at EPO (Rule 35(4) EPC): PENA	
(Instant Water.pdf)	
5 Grant of European patient, and examination of the application under Article B4, are hereby requested.	
5.1 The applicant velves his right to be asked whether he wishes to proceed further with the application (Rule 70(2))	
Procedural language: en	
Description and/or claims filed in: en	
6 Applicant's or representative's references Sample 1001	
Applant 1	
7-1 Name Nano Enterprise Ltd.	
B-1 Address 123 Cief Street	
London Greater London W1A 2BC	
10-1 Shate of and force or of orbitral share of business. United Kinedom	
188pm/k T++ 20 1123 +001	
H44 20 1723 4006	
e-mait info@nano-enterprise.co.uk	
Perpresentation(a)	
Authorisation	
20 Automation 5 effectives	
EPO Form 1001E - Sample 1001 Page 1 of 4	
	Close

Figure 27: Application displayed in the PDF viewer

4.4 Templates

Templates are user-defined forms, containing data that you need every time you prepare certain applications, such as information relating to a particular applicant or to fee payments.

4.4.1 Creating a new template

In File Manager, you can create a template from a draft application, start with a blank form or use an existing template.

Specific instructions on how to create a template for PCT/RO/101 applications can be found in Working with templates (p. 275) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

Creating a template with a blank form

In the menu, click **File > New Template**.

or

Press SHIFT+CTRL+N.

In the Create a New Template window, enter the Template Name.

Select the required procedure and the language of proceedings.

To store the new template in one of your template folders, double-click the **Templates** folder and select the appropriate sub-folder in the **Save to folder** field.

If you wish, enter a **description** to help identify the template.

This is displayed in the **Title** column in File Manager.

Click Create.

Create a New Template	×	
Template Name:	Nano 1200	
Group:	EP	
Procedure:	Euro-PCT(1200E2K)	
Description:	Entry into the European phase (EPC	
Based on Template:	<none></none>	
Language of proceedings:	English	
Customer number:		
Save to folder:		
▼ 🕞 Templates		
🕞 Bio Research		
🕞 Nano Enterprise		
Description:		
Template for applicant Nano E	nterprise with form Euro-PCT(1200E2K)	
	Create Cancel	

Figure 28: Creating a new template

The new template opens in the form view where it can be edited.

Creating a template from an existing application (draft)

The application is in **Draft** status.

Double-click the application to open it in the form view.

In the menu, click File > Save As > Save as Template.

Enter the template name in the Save As Template window.

Select a **folder** if you want to save the template in a sub-folder of the **Templates** folder.

Double-click the **Templates** folder to display all sub-folders.

Enter a description.

Click Save.

Save As Template	
Template Name:	Nano 1038
remplate Name.	
Procedure:	EP(1038E)
Folder:	
▼	
🕞 Bio Research	
Nano Enterprise	
Description:	
Template for applicant Nano E	Enterprise with form EP(1038E)
	Save Cancel

Figure 29: Saving an application as a template

The new template remains open in the form view.

Converting an application (draft) into a template

Only an application in **Draft** status can be converted into a template. This removes the application from its original location and creates a new template in the selected template folder.

In File Manager, right-click the application you want to convert into a template.

Select **Convert to template** from the shortcut menu.

Select a folder in the **Convert to template** window.

Enter a **description**.



Click Save.

Convert to template	.
Template Name:	Sample 1001
Procedure:	EP(1001E2K)
Folder:	
Templates	
Bio Research	
Nano Enterprise	
Description:	
Template for patent applicatio	ons by Nano Enterprise Ltd.
	Save Cancel

Figure 30: Converting an application into a template

The template then appears in the selected template folder in File Manager.

File Manager								x
File Edit View Workflow	Tools Help							
₽ 🗱 🔍 🕨 🖉 🛛							?	
Nano Enterprise - EP(100	11E2K) - Sample	1001					3 items avail	able
All Applications	All Draft	Ready to Sign	Ready to Send	Sent	Name	•		R
Default Folder		1		·				
📔 Bio Research	Name	Туре	D	escription			Group	
Nano Enterprise	Nano 1038	EP(1038E)	Template for applicant Nar	no Enterprise	with form EP((1038E)	EP	
TechEurope TechEurope	Nano 1200	EP(1200E2K)	Template for applicant Nar Euro-PCT(1200E2K)	no Enterprise	with form		EP	
	Sample 1001	EP(1001E2K)	Template for patent applic	ations by Nar	no Enterprise I	Ltd.	EP	
Forms								
Name Enterenting								
								-
III Tash	je nemplate	EP(IUUIEZK)						
	Template Nam	ie: Sampl	e 1001					
	Last modified:	30.05.	2012					
	Applicant:	Nano	Enterprise Ltd.					
	Description:	Templ	ate for patent applications I	by Nano Ente	erprise Ltd.			
Logged in as Administrator	Items selected: 1							

Figure 31: Templates folder with sub-folders and new template

Creating a template from an application already processed (Sent, Ready to send, Ready to sign)

Only applications still in **Draft** status can be directly converted into templates. There is, however, also a way to create a template from an application, for instance, that has already been sent.

In File Manager, select the application you want to use as a template.

Its status can be Ready to sign, Ready to send or Sent.

Right-click the application and select **Copy application** from the shortcut menu.

Type a new user reference.

Click Copy.

The copy now appears in **Draft** status in File Manager.

Right-click this application and select **Convert to template** from the shortcut menu.

To continue, proceed as described above.

Copying a template

Click the **Templates** folder.

Select the template you want to copy.

Right-click the template and select Create a copy of template from the shortcut menu.

Enter a name for the new template in the **Copy template** window.

Click Copy.

Copy template	×
Enter new template name:	
Nano 1001	
-	Copy Cancel

Figure 32: Creating a new template by copying an existing template

In File Manager, the new template appears in the same folder as the copied template.

4.4.2 Using a template

You can use your templates immediately to create a new application.

In the **Templates** folder, double-click the template you require.

or

Click the New Draft button in the toolbar.

7

The Create a New Application window opens.

Where applicable, select the template you want in the Based on Template list.

Enter the details for the new application.

Click Create.

Create a New Application	E
User Reference:	1001_BIO
Group:	<none></none>
Procedure:	EP(1001E2K)
Description:	Request for grant of a European pat
Based on Template:	Template 1001
Language of proceedings:	English
Customer number:	_
Save to folder:	
Default Folder	
Bio Research	
▶ ➡ Nano Enterprise Ltd.	
▶ 🛅 TechEurope	
Universal Engineering	
	Create Cancel

Figure 33: Create a new application based on a template

4.4.3 Modifying a template

You cannot change the underlying procedure in a template. Nor can you rename a template. Changes made to a template are not transferred to existing applications based on this template.

Editing data in a template

Click the Templates folder.

Select the template you want to edit.

Right-click the template and select **Edit template** from the shortcut menu.

The template will open in the form view.

Modify the data as required and save the template.

Updating fee information in a template

When you create a template, the most recent fee schedule for the selected procedure is always entered in full in the template. The Live Update routine updates the fee information in Online Filing – but not in existing templates – whenever the EPO issues new fees.

A warning message appears if the template that you try to open to create a new application still contains outdated fee information.



Figure 34: Warning when you open a template containing outdated fee information

Click **OK** to cancel the operation.

To update the template, right-click the template in File Manager and select **Edit template** from the shortcut menu.

A warning message about updating fee information appears.

Warning	
Please be aware that a new fee schedule has been introduced since this template was last saved. The fee information for this template will now be updated.	es
<u> </u>	

Figure 35: Warning about updating fee information in a template

Click OK.

The template now opens with the new fees.

Save the template.

Modifying the template description

Click the Templates folder.

Select the template you want to edit.

Right-click the template and select **Properties** from the shortcut menu.

Change the text in the **Template description** field in the **Template properties** window.

Click Save.

Template properties
Template description: EP applications with EP(1001E2K) for Bio Besearch
Save Cancel

Figure 36: Changing template properties

4.5 Workflow and status

In Online Filing, the **workflow** is the sequence of all tasks related to the filing of an application, that is, from the creation of a draft to the successful transmission of an application to the EPO. The **status** of an application indicates which tasks have already been performed for an application and which task can be performed next.

File Manager shows the current status of each application, that is, either **Draft**, **Ready to sign**, **Ready to send** or **Sent**. You can filter the list of applications so that only applications in a specific status are displayed.

Click a status button for a list of all the applications in the relevant status.

All Draft Ready to Sign Ready to Send Sent

All	Shows all applications in the folder currently selected.
Draft	All applications that are still being processed. Applications in this status are missing either mandatory information or documents required for the procedure.
Ready to	Mandatory information and documents have been included but signatures
sign	have not been added.
Ready to	Mandatory information and documents has been included and signatures
send	have been added.
Sent	The application was successfully transmitted to the EPO and the
	acknowledgement of receipt was received from the EPO.

4.5.1 Changing the status of an application in File Manager

The workflow process in Online Filing helps you to fill out applications correctly and in full. The software checks the documents and data contained in an application for compliance with the legal framework and the Validation (p. 40) function informs you about which data is missing or has to be corrected. An application can only move forward to the next status in the workflow if all necessary data was entered and is correct (where verifiable).

(i) You can only change the status of applications if your user name is assigned the corresponding privileges in Online Filing.

You can change the status of applications either via the **Next** and **Previous** workflow buttons in the toolbar or via the **Workflow** menu. The workflow buttons only ever change the status one step at a time to the next or previous stage. In contrast, you can use the menu options to change the status several steps at a time, e.g. from **Ready to send** directly back to **Draft**.

Select the application you want in File Manager.

In the menu, click **Workflow > Change Status** followed by the required option to move the application to a specific status.

or

Keep clicking the relevant workflow button until the application reaches the status you want.

lcon	Function	Description
	Next	Move the application forward a step in the workflow process. You can only move an application to the next step if the current data is sufficient, e.g. only an application signed with a digital signature can be moved to Ready to send status.
	Previous	Move the application back a step in the workflow process, e.g. return it to Draft status so that changes can be made.

Example 1

In this example, the selected application is in **Draft** status and already contains all mandatory information. Clicking the **Next** button moves the application to **Ready to sign** status and opens it in the PDF Viewer. Notice that the **Previous** button is disabled because **Draft** is the first step in the workflow process.

The tool-tip on the Next button says "Ready to sign".

1	File Manager Sample 1038								x
	File Edit View Workflow To	ols Help							
	₽ ¥ < ▶ Ø ₽ @								
	Default Folder - xil - EP(10	38E) - Sar	nple 1038					6 items avai	lable
	Ready to sign								
	All Applications	All	Draft Read	y to Sign	Ready to Send	Sent	Last saved	•	2
	Default Folder								
	🛅 Bio Research	Last saved	Reference ∧		Title	S 🔬	Type	🖉 Status	-
	🕨 🛅 Nano Enterprise	30.05.2012	1001-2	Request fo	r grant of a European	33	3 EP(1001E2K)	0 Draft	
	TechEurope				,				_
	🛅 Universal Engineering	31.05.2012	Sample 1001	Request fo patent (EPI	r grant of a European C 2000)	0 0	3 EP(1001E2K)	1 Ready to sign	
	ML Import ML Import				· · · · ·				
	E Forms	30.05.2012	Sample 1038	Subsequer	tly filed documents	0 0	1 EP(1038E)	0 Draft	
	Templates	30.05.2012	Sample 1200	Entry into the Entry (EPC 2000)	ne European phase)	62	8 EP(1200E2K)	0 Draft	
	📅 Trash	30.05.2012	Sample OPPO	EP Opposit	ion procedure	2 0	1 EP(Oppo)	0 Draft	Ŧ

Figure 37: "Ready to sign" option available in the workflow

Example 2

In this example, the status of the selected application is **Ready to sign**. Clicking the **Next** button initiates the signing process. Note that the **Previous** button is enabled. Clicking it would return the application to **Draft** status.

In this example the tool-tip on the Next button says "Sign".

File Manager Sample 1001									X
File Edit View Workflow T	ools Help								
₽ 🗱 🔍 📐 🖉 🥫									
Default Folder - All - EP(10)01E2K) - S	ample 1001						6 items ava	ailable
All Applications	All	Draft Ready	to Sign	Ready to Send	Sen	ıt	Last saved	•	_م
Default Folder			-						
📄 Bio Research	Last saved	Reference ∠		Title	<u></u>	١	Туре	🔗 Status	<u>^</u>
🕨 🖿 Nano Enterprise	30.05.2012	1001-2	Request for patent (EPC	grant of a European	33	3	EP(1001E2K)	0 Draft	
▶ 🛅 TechEurope		0 1 1001							_
🛅 Universal Engineering	31.05.2012	Sample 1001	Patent (EPC	r grant of a European C 2000)			EP(1001E2K)	1 Heady to sign	
▶ 🛅 XML Import	30.05.2012	Sample 1038	Subsequen	tly filed documents	0 0	1	EP(1038E)	0 Draft	-
E Forms	30.05.2012	Sample 1200	Entry into th	e Furonean nhase	6 2	8	EP(1200E2K)	0 Draft	
▶ 🕞 Templates	30.03.2012	Jampie 1200	(EPC 2000)	ie European priase	0 2	0		o Dialt	
Trash	30.05.2012	Sample OPPO	EP Opposit	ion procedure	2 0	1	EP(Oppo)	0 Draft	-

Figure 38: "Sign" option available in the workflow

4.5.2 Changing the status of an application in the form

An application remains in **Draft** status until you actively change its status, e.g. move the application to **Ready to sign** status.

Open an application in **Draft** status.

In the form toolbar, click the Next button.

EPO Online Filing - EP(1038E) - Sample 1038		
File Edit View Tools Windows Help		
		3
EP(10384) - Draft - Sample 1038		Last saved on 31.05.2012
Application No Names (2) Documents F	Fees Annotations	

Figure 39: Using workflow buttons in the form view to move an application to "Ready to sign" status

In the menu, click File > Close, then select Move to Ready to Sign and exit.

EPO Online Filing		•
Exit confirmation		
C Save and exit C Exit without saving C Move to Ready to Sign and exit		
	ок Д	Cancel

Figure 40: Moving an application to "Ready to sign" status when closing a form

When an application leaves **Draft** status, the next step in the workflow process automatically starts the next time the application is opened.

For example, the signing process automatically starts if you open an application in **Ready to sign** status and the sending process initiates if you open an application in **Ready to send** status.

Use the **Previous** button in File Manager to move the application back to **Draft** status in order to make changes in the form view.

Form PCT/RO/101 provides different functions; see Processing the PCT/RO/101 application (p. 339) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

4.6 Validation

The Online Filing software incorporates validation mechanisms that check the logical consistency of data entered in an application and compares it with the legal requirements of the EPC and the various filing offices. For the latest version of the EPC, see the EPO website at **Law & practice > Legal texts > European Patent Convention** (http://www.epo.org/law-practice/legal-texts/epc.html).

There are three severity levels for validation messages:

lcon	Severity	Validation state
0	1	The red icon for error means that mandatory information required by the
		EPC is missing or the data provided is incorrect. You must supply or
		amend this information before you can submit the application.
Δ	2	The yellow icon for warning means that some information is missing but
		may be supplied subsequent to your filing.
٢	3	The grey icon for message means that helpful hints concerning your filing
		are available.

In File Manager, the total number of validation messages about an application is shown both in the application list and the info pane.

There are no validation indications for the PCT/RO/101 requests shown in the overview screens as the validation system operated by the PCT/RO/101 is not compatible with the data format used by the EPO Online Filing File Manager. For more information on validation messages, please refer to PCT/RO/101 (p. 270) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

Last saved	Reference ∇	Title	0	Δ	١	Туре	Ŷ	Status	•		
06.05.2011 Sample 1200		Entry into the European phase (EPC 2000)		1	7	EP(1200E2K)	0	Draft			
06.05.2011	Sample 1038	Subsequently filed documents	1	0	1	EP(1038E)	0	Draft			
07.05.2011	Sample 1001	Request for grant of a European patent (EPC 2000)	2	3	2	EP(1001E2K)	0	Draft			
04.05.2011	Exemple PCT	PCT/R0/101 request				PCT		Draft			
05.05.2011	Exemple OPPO 2	EP Opposition procedure	0	0	0	EP(Oppo)	2	Draft			
05.05.2011	Exemple 1200	Entry into the European phase	0	1	0	EP(1200E2K)	9	Draft	-		
🥖 Form	EP(1001E2K))									
ID:		21									
Title:		Heat exchanger									
Status:	_	Draft									
Message	s:	S 2 ▲ 3 ③ 2									
Last saved:		Administrator, 07.05.2011									
Applicant:		Peter Burton									
Attachments:		0 View									
Internal I	Notes:										

Figure 41: Number of validation messages in the info pane and application list

In the form view, the validation status is indicated by icons in the tabs corresponding to the form sections.

Request 🛇	Names 🚫	States	Priority 🛆	Biological Material	Documents 🛇	Fee Payment ③	Annotations	
-----------	---------	--------	------------	---------------------	-------------	---------------	-------------	--

Figure 42: Validation icons in a form's tabs indicate missing data

The total number of validation messages per severity level is also displayed in the status bar of the currently opened application.



Figure 43: Number of validation messages indicated in the form's status bar

Note that the validation icons change dynamically as you enter new data.

Click the **Validation** button in an application's form view to view the messages specific to the currently displayed tab.

Click the **Validation** button in File Manager to see all the messages concerning the selected application.

The validation messages are displayed in a separate window.



Figure 44: All validation messages for an application

You can leave the validation window open to keep track of your applications while working in File Manager.

In the menu, click **View > Validation > Docked** to dock the validation window under the File Manager window.

(i) If you want the validation window to appear docked to the form window each time, select the corresponding option for Startup (p. 55) in User Preferences.

If you prefer, you can select View > Validation > Undocked.

This option leaves the floating window open and allows resizing of the window.

To close the validation window, click **View > Validation > Hide**.

4.7 Internal Notes

Internal Notes can be used by the persons handling an application within a company to exchange information without sending it to the EPO. You can only create and delete internal notes in the applications, not in File Manager. Notes are displayed as read-only when opened from File Manager.

Information for the EPO is inserted in the form's **Annotations** tab, see EP(1001E2K) – Annotations (p. 167).

For instructions on annotations and notes in form PCT/RO/101, please refer to PCT/RO/101 – Annotate (p. 334) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

Creating Internal Notes

In the procedural form, click the Internal Notes button in the toolbar.

Any notes already created for this form are listed.

Click the **New** button.

₽

Enter the author's name, subject and note text.

Internal Notes			×
₽ ₩	Author:	David Kilburn	Created on: 31.05.2012
Representatives Laura Ashcroft, 30.05.2012	Subject:	Check fees	
Check fees David Kilburn, 31.05.2012	Note:	Not all the fees to be paid have been selected yet. $\begin{tabular}{c} \label{eq:selected} \end{tabular}$	

Figure 45: Sample for internal notes, created in the form

Viewing Internal Notes

In File Manager, select the application of which you wish to view the notes.

Click the Internal Notes button in the toolbar.



Like the validation window, the Internal Notes window can be set to **Docked**, **Undocked** or **Hide** in the **View** menu.

In the list click a note to display it.



Figure 46: Example of an internal note in the docked Internal Notes window in File Manager

4.8 Address Book

The **Address Book** is a facility for storing contact details (e.g. applicants, representatives, inventors).

In the File Manager menu, click **Tools > Address Book**.

or

Click the Address Book button in the toolbar.

EPO	Tools Help	_ = <mark>×</mark>
File Edit View Workflow Tools Help	Address Book	
🔁 🐹 < 🕨 🐼 🕞 🗖	Fee Management	© (?
All Applications - All - EP(1001E2K) - 1	Maintenance Table Viewer	90 items available

Figure 47: Opening Address Book in File Manager

Entries in the Address Book are grouped by legal and natural persons. Note that a **legal person** is represented by the icon 🚔 and a **natural person** by the icon 🚔 .

Add Remove Undo	Search	Det	ails	
PO		Address Book		- 🗆 🗙
File Edit View Help				
Find in: Last n	ame 🔽	٩		3
	Last Name:		Middle Name(s):	
📥 ABC Erfindungen GmbH 🔺	First Name:		Company:	IP Partners
📥 Associés Lefèvre	Title:	~	Department:	European Patents
🛗 Bio Research	,			· · · · · · · · · · · · · · · · · · ·
BioTech			Association No.:	
Horvath und Söhne	P0 Box: 5088		Country:	GB United Kingdom 💌
👪 IP Partners	Building:		GB County:	Cambridgeshire 👻
🛗 Meyer und Partner	Sheets Combridge	Caianaa Dadu	Telephone	44 1222 2516 0
🛗 Micro York	100 Red Lin	on Square	i elepriorie.	+44 1223 3016-0
hano Enterprise Ltd.			Telefax:	+44 1223 351690
Newport Associates	District:		E-mail:	office@ip-partners.co.uk
Parker & Partners			ALC: PA	
Schmidt-Weghoff	Lity: Cambridge		Nationality:	
a SolarFrance SA	Postal code: CB2 1AB		Principal place of business:	GB United Kingdom 💌
🛗 TechEurope	Country of GB	Inited Kingdom	State of	
techInvent SA	incorporation:		incorporation:	· · · ·
🛗 Universal Engineering	Role FR DE DK	PL		
🛗 US Global Engineering	✓ ⊥			1
Andrews, Jennifer	• •	[
Bellecoeur, Pierre - TechInvent SA	Route	Role Representative	10203040	Registration No.
🚨 Burton, Peter		riepiesentative	10203040	
Bäcker, Bruno - Innovation GmbH				
	Select route	Select rol	le Ei	nter registration no.

Figure 48: Address Book with legal and natural persons

Address Book functions

Function	Description
Add	Click to create a new Address Book entry.
Remove	Click 🗱 to delete the Address Book entry currently selected.
Revert changes	Click Ď to cancel entries or changes.
Search	Select the data field you want to search in the Find in drop-down list and
	then enter the relevant search term in the search field. Click the Search
	icon 💆 to find matching Address Book entries.
Enter details	Edit the personal details in the data fields. You must enter at least a first
	and last name for a natural person or at least the company name for a
	legal person.
Select route	Click this field to open a drop-down list of routes.
Select role	Click this field to open a drop-down list of features for the selected route.
Enter	Click the field to enter the registration number.
registration	
number	

Exchange of data between Address Book and forms

When filling out forms, you can copy entries (see "Adding names from the Address Book to a form" p. 47) from the Address Book for the persons listed in the Names tab. You can also copy the information on a person you entered in a form to a new entry (see "Saving names from a form to the Address Book" p. 49) in the Address Book.

For instructions on exchanging address data with form PCT/RO/101, please refer to Adding names from the Address Book to a form and vice versa (p. 296) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

(i) Data loss can occur in Online Filing if information from an EP form is copied to the Address Book and then transferred to a non-EP form, and vice versa. You should therefore check the integrity of address data when transferring Address Book entries and add any missing information manually.

Exchange of data between Address Book and external files

You can create Address Book entries either directly in Online Filing or import (see "Importing Address Book names" p. 52) them from existing CSV files. You can also export (see "Exporting Address Book names" p. 51) entries created in Online Filing to an external CSV file.

4.8.1 Creating names in the Address Book

In the Address Book menu, click File and then New Person or New Company.

or

Click the Add button, and then select Legal Person or Natural Person.

Legal Person	
Natural Person	2v

Figure 49: Creating a new person

Enter the details in the fields on the right.

Click the Save Changes button.



A warning appears if there is already an Address Book entry with the same name.

Warning
Record already exists in the Address Book
QK

Figure 50: Warning: Record already exists in the Address Book

- The data in the First Name, Last Name and Registration No. fields is compared for natural persons. The Address Book allows you to create two entries with the same first name and last name but different registration numbers.
- You can save two entries with the same company name but different registration numbers for legal persons.

Editing names in the Address Book

Select the name you wish to change.

Edit the data.

Click the **Save Changes** button to store the changes.



To cancel the changes, click the **Undo** button.



Deleting names from the Address Book

Select the entry you wish to remove.

Click the **Delete** button.

*

4.8.2 Routes and roles

The **Route**, **Role** and **Registration No.** fields are grouped as a table in the **Role** sub-tab, situated on the right side of the Address Book below the personal data. A registration number is no longer required for filing with the EPO.

Adding a route and role to a name

Select the name you wish to use in the Address Book.

Click the **New** button (in the **Role** sub-tab).

 $\mathbf{+}$

The route EP and the role Applicant are added automatically.

To select another route, click the field to open it for editing.

All routes supported by Online Filing are listed in the **Route** drop-down list, irrespective of whether they are actually activated in your system.

Select the role in the same manner.

- The roles for the EP route are **Applicant** and **Representative**.
- The roles for the PCT route are **Applicant only** and **Agent**.

Role	FR DE	DK	PL		
*	-				
	Route		Role		Registration No.
EP			Applicant	•	0.0
			Applicant Representative	21	

Figure 51: Selecting a role for the EP route

Click the grey field in the Registration No. column to activate it.

Enter the registration number for the selected role.

For more information on the format of registration numbers, contact the relevant national office.

Multiple registration numbers

If a person has registration numbers for different filing offices, you can create multiple lines with routes, roles and registration numbers.

To create a second line, click the **New** button once more.

Select the Route and Role options.

Enter the registration number.

Role	FR DE DK	PL	
*	-		
	Route	Role	Registration No.
EP		Applicant	14556688
PCT		Applicant only	440012345
<u> </u>		Applicant only	
		Agent	

Figure 52: Multiple roles and registration numbers entered

Deleting a route and role

Select the relevant line in the Address Book entry.

Click the **Delete** button (in the **Role** sub-tab).



4.8.3 Adding names from the Address Book to a form

You can insert the names saved in the Address Book into your applications.

In the Names tab of Form EP(1001E2K) click the Add button.

Select a role, e.g. Representative, Legal Practitioner.



Figure 53: Selecting Representative, Authorised

Click the Copy from Address Book button.

P

The Address Book opens. The list of names is filtered and only shows natural persons because the **Representative, Legal Practitioner** role is defined as a natural person.

In the Address Book, select the name as appropriate.

Click the Copy person to the form button.

🔤 epoline® - Address Book				
File Edit View Help				
Find in: Last n	ame 💌	P		(?)
	Last Name:	Carrington	Middle Name(s):	
Abdrown Jonnifor	First Name:	John	Company:	IP Partners
TechInvent SA	Title:	Mr	Department:	
🚨 Burton, Peter	PO Box:		Country:	GB United Kingdom 🔻
Bäcker, Bruno - Innovation GmbH	Building:		GB County:	Cambridgeshire 💌
Carrington, John - IP Partners	Street:	Cambridge Science Park	Telephone:	+44 1223 351670
Corallos, José - Corallos			Telefax:	+44 1223 352690
	District:		E-mail:	carrington@ip-partners.co.uk
Haselmere Alex - IP	City:	Cambridge	Nationality:	GB United Kinadom 🔻
Partners	Destal and a	CP21AP	Desidences	
Jennifer, Hancock - IP	Fostar Code:	JODZ IMD	Hesidence.	
La Kennecott, James	Country of incorporation:		State of incorporation:	

Figure 54 Copy representative's data to the form

The entry is added to the **Names** tab of the current form.

EPO Online Filing - EP(1001E2K)	- Sample 1001					
File Edit View Tools Window	s Help					
EP(1001E2K) - Draft - Sample 1001 Last saved on 07.05.2011						
Request Names 🛆 States 🕃	Priority 🛕 🛛 Biolo	gical Material Documents 🛇	Fees (Annotations			
斗 💥 🔎 🔎	Name and Address	Authorisation				
Applicants	Last Name:	Carrington	•			
Burton, Peter	First Name:	John	Company:	IP Partners		
Carrington, John	Title:	Mr	Department:			
Inventors			Association:			
		Please use appropriate upper ar	nd lowercase letters			
	Country:	GB United Kingdom	▼ Telephone:	+44 1223 351670		
	Address:	Cambridge Science Park 100 Red Lion Square	Telefax:	+44 1223 352690		
			E-mail:	carrington@ip-partners.co.uk		
	Postal code:	CB2 1AB				
	City:	Cambridge				
	GB County:	Cambridgeshire	•			
	Same address as	the first representative				
Logged in as Administrator						

Figure 55: Data and registration number for representative entered automatically in form

4.8.4 Saving names from a form to the Address Book

If you enter details on a person in a form's **Names** tab, you can save this information in the Address Book for future use.

In the Names tab, select the name you wish to save..

Click the Copy to Address Book button.



A warning appears and the entry is not saved in the Address Book if the name already exists in the Address Book.

Warning				
Record already exists in Address Book				
ОК				

Figure 56: Warning: Record already exists in Address Book

If the data has been successfully copied to the Address Book, a message to this effect is displayed in the **status bar**.

■ EPO Online Filing - EP(1001E2K) - 1001-fees – □ ×							
File Edit View Tools Windows Help							
EP(1001E2K) - Draft - 1001-fe	ees					Last saved on	23/09/2014
Request Names 🛆 States 🛆	Priority 🛕 🛛 Biologi	cal Material	Documents 📎	Fees 📎 🛛 Ai	nnotations		
	Company:	Parker & Part	ners				
Applicants	Department:	Nanotechnolo	ду				
Representatives	Country:	GB Un	ited Kingdom 🔽	Telephone:	+44	1304 76002-0	
Kilburn, David	Address:	267, Harbour	Road	Telefax:	+44	1304 76002-40	
		ļ		E-mail:	info	@parker.co.uk	
	P.O. Box:	8023					
	Postal code:	CT16 3PJ					
	City:	Dover	•				
	GB County:	Kent	•	Principal place business:	e of GB	United Kingdom	•
	Address for corresp	ondence					_
	🔲 Parker & Partners is	represented b	by the following emp	oloyee acting pu	irsuant to Art. :	133(3) EPC:	
	Last Name:			General Autho	orisation:		
	First Name:						
	Title:		~				
	Data successfu	lly copied to Ac	ldress Book			S 3 🛆 4	4 🚯 1

Figure 57: Applicant's data successfully copied from the form to the Address Book

Multiple entries for a legal person

You can specify a separate address for correspondence with one of the applicants, e.g. see Applicants (p. 124) in the EP(1001E2K) section.

Add an address for correspondence and enter the required information.

Click the Copy to Address Book button.

This creates an additional Address Book entry for a legal person with the same company name, but with different address data.

	Last Name:		Middle Name(s):	
🛗 ABC Erfindungen GmbH 🔺	First Name:		Company:	Parker & Partners
🏙 Associés Lefèvre 🗌	Title:		Department	Legal Affairs
💼 Bio Research			b opartition.	Legarminario
🛗 BioTech	PO Box:		Country:	GB United Kingdom 🔻
🛗 Horvath und Söhne				
💼 Innovation GmbH	Building:		GB County:	Kent 👱
鼬 IP Partners	Street:	P.O. Box 4560	Telephone:	
🛗 Meyer und Partner				
🛗 Micro York			Telefax:	1
া Nano Enterprise Ltd.	District:		E-mail:	
http://www.commonstates.com/www.commonstates.com/www.commonstates.com/www.com/ww	~		64 - 25 - 15	
🛗 Parker & Partners	City:	Dover	Nationality:	
💼 Parker & Partners	Postal code:	CT16 3PJ	Principal place of business:	·
Patentanwälte Schmidt-Weghoff	Country of incorporation:	_	State of incorporation:	

Figure 58: Additional address for correspondence copied to the Address Book

Data required for Address Book entries

An entry for a natural person must contain the first and last name while an entry for a legal person must contain the name of the company.

An appropriate message appears in the status bar if the entry in the form does not satisfy these conditions and the entry is not saved to the Address Book.

	Name and Address	Authorisation					
Applicants	Last Name:	Flintstone					
Representatives	First Name:		Company:				
 Kilburn, David Flintstone, 	Title:	•	Department:				
Townstein		Please use appropriate upper and	d lowercase letters				
Inventors	Country:		Telephone:				
	Address:		Telefax:				
			E-mail:				
	Postal code:						
	City:						
	Region:	Ţ	[
	Same address a	s the first representative					
Logged in as Administrator	Last name and	l first name can't be empty		0	7	5	3

Figure 59: Incomplete entry is not copied to the Address Book from the form

4.8.5 Exporting Address Book names

This option allows you to save names from the Online Filing Address Book to an external location on your computer.

In the Address Book menu, click File > Export.

EPO /	Address Book					
File	Edit View Help					
	New Person		•	Q		1
	New Company	Ctells S	ie:		Middle Name(s):	
	Save Changes	Ctil+5	e:		Company:	Parker & Partners
	Reset Search Criteria				Department:	Nanotechnology
_	Import				Country:	GB United Kingdom 💌
	Export				GB County:	Kent
L	Exit	Alt+F4		267, Harbour Road	Telephone:	+44 1304 76002-0
	Meyer und Partner Micro York				Telefax:	+44 1304 76002-40

Figure 60: Exporting data from the Address Book

Select a location and enter a file name, and then click Save.

The entire Address Book is exported and saved as a CSV file.

CSV files (CSV = character separated values) contain data in text-only format that can be read by many different programs. These files display data records as single lines in which the individual data fields are separated by delimiters. A delimiter is a marker, such as a comma, a semicolon or a tab character.

Example

The figure below shows a CSV file exported from the Address Book and opened in **Microsoft Notepad**. In this case, the delimiters are semicolons. The first line is the header containing the field names. These are only in English and are for internal use in Online Filing. The second line contains information on the first person in the Address Book.

addresses_exported.csv - Notepad	Delim	niters	
File Edit Format View Help			
Person Type;Last Name;First Name;Middle Name;Title Natural;Lavail;Thierry;;M.;France;;;;;120 Avenue d Legal;Patentanwälte Schmidt-weghoff;;;Germany;;;; Legal;Innovation GmbH;;;;Germany;;;;Neulandstraße Natural;Corallos;José;;Mr;Portugal;;;;45 E Calle Legal;Nano Enterprise Ltd.;;;United Kingdom;Great Natural;Burton;Peter;;United Kingdom;Greater Natural;Carrington;John;Mr;United Kingdom;Greater Natural;Carrington;John;Mr;United Kingdom;;;;10 Legal;Universal Engineering;;;United States of Am	Country es Pyréne Goethess 125;Gard del Sol;I er London Lane;Man ter London; High Stro erica;CA	Region ées; Tou tr. 48; M ching be lisboa; J n; ;; ; 12 nchester on; ;; ; 1 ;; ; 10 H califor	Address1;Address2;District;Street; Auderess1;Address2;District;Street; Auderes;31200;;;;;France;France;;+= ai München;85634;;Erfindungen;;;;;C 12456;Corallos LTD;;;;Portugal;Por 3 City Street;London;WIA 2BC;IP,Nanot r;M1 1AB;;;;;United Kingdom;Unitec 23 City Street;London;WIA 2BC;IP Patine don;WIA 2BC;;;;;United Kingdom;;;; rnia;;;;100 Pacific Highway;Los Anc
<			

Figure 61: Sample CSV file opened in Notepad

This is how the same CSV file appears in **Microsoft Excel**. The data records are arranged in rows here and the data fields in columns. The first line again contains the field names as column headings. Persons are sorted by the date when the entry was created in the Address Book.

•	addresses_expo	rted.csv						x
	А	В	С	D	E	F	G	
1	Person Type	Last Name	First Name	Middle Nam	Title	Country	Region	
2	Natural	Lavail	Thierry		м.	France		=
3	Legal	Patentanwälte Schmidt-Weghoff				Germany		
4	Legal	Innovation GmbH				Germany		
5	Natural	Corallos	José		Mr	Portugal		
6	Legal	Nano Enterprise Ltd.				United Kingdom	Greater London	
7	Natural	Burton	Peter			United Kingdom		
8	Natural	Portland	Christina		Ms	United Kingdom	Greater London	
9	Natural	Carrington	John		Mr	United Kingdom	Greater London	
10	Natural	Kennecott	James		Mr	United Kingdom		
11	Legal	Universal Engineering				United States of America	CA California	-
14	→ → addre	esses_exported 🕲			14		•	:

Figure 62: Sample CSV file in Microsoft Excel spreadsheet

The application associated with CSV files depends on your computer's configuration. A Windows system opens CSV files by default with Microsoft Excel, provided this software is installed on the PC.

4.8.6 Importing Address Book names

This option allows you to import names from an external **CSV file** into the Online Filing Address Book.

Preparing the CSV file with multiple roles

When importing addresses from an external CSV file, all data on the route, role and registration number is contained in the **Role** field. All of the data must be within the one field but divided by vertical bars (|). The different terms for representative and applicant in the various routes must be entered in English so that they can be imported by Online Filing.

ſ		role_sample_2.c	SV							-	-	x
		А	В	С			D					
	1	Person Type	Last Name	First Name	Ro	le						
	2	Natural	Andrews	Julie	EP	Representative	14556889	PCT	Agent	56008	8991	1
	3											
	4					Route, Role	e and Re	gisti	ration	no.		
	5					each sepa	rated by	vert	ical ba	ars		-
	$H \leftrightarrow H \text{ role_sample_2} \land I \leftarrow I$							Ī:				

Figure 63: Different sets of data for EP and PCT routes

Importing the CSV file

In the File Manager menu, click **Tools > Address Book**.

or

Click the Address Book button in the toolbar.

In the Address Book menu, click File > Import.

EPO /	Address Book						
File	Edit View Help						
	New Person		•	ø			()
	New Company	0.1.0	ie:			Middle Name(s):	
	Save Changes	Ctrl+S	e.			Company	Universal Engineering
	Revert Changes			1		company.	on mersar Engineering
	Reset Search Criteria				Ŧ	Department:	Solar technology
	Import					Country:	US United States of Am 💌
	Export 😼		_			US State:	CA California 💌
_	Exit	Alt+F4		100 Pacific Highway	_	Telephone:	+1 619 505 1234
	Meyer und Partner					T 1 (
L	Micro York			J		l eletax:	+1 P13 202 2P18

Figure 64: Importing data into Address Book

Select the CSV file you want to import on your PC.

Click Open.

The CSV file must not be open in another program at the same time.



Figure 65: Selecting CSV file for import into Address Book

Mapping field names

Online Filing compares the names of the fields in the CSV file with the names of the fields in the address book. The fields' names are automatically assigned to each other if they match up exactly. If the name in the CSV File Field column differs from the name in the **Address Book Field** column, **None** is displayed in the list. In this case, you have to map the names manually.

Open a drop-down list of available field names by double-clicking the entry you want to change in the **CSV File Field** column.

Select the matching field in your CSV file. If there is no matching field, set the option to **None** to leave the Address Book field blank.

🔤 Import Address Book		x				
Please map the fields you wish to import:						
Address Book Field	CSV File Field	*				
Person Type	1-Type					
Last Name	2-Name					
First Name	3-First Name					
Middle Name	4-Middle N.					
Title	5-Title					
Country	6-Country					
Region	None					
Address1	4-Middle N.					
Address2	6-Country					
District	7-County 8-Address1	Ŧ				
first string is data	9-Address2					
	10-District 11-Street					

Figure 66: Import Address Book - matching field names

Handling duplicate entries

The import process is now started. If the software finds a duplicate name in the Address Book, a message appears.

Warning			
An Address Book entry Lavail Thierry with the s create another entry with the same display Nan	ame display Name/Ty ne/Type?	pe appears to exist alrea	ıdy. Do you wish to
<u>Overwrite</u> Overwrite all	<u>S</u> kip	Skip all	Add as new Recor

Figure 67: Address Book message for duplicate entries

Click **Overwrite** to replace the existing name with the imported data. If the software finds a further duplicate name, you will be asked again how you wish to proceed.

Click Overwrite all to replace all existing duplicate names at once.

Click **Skip** if you do not wish to import a particular duplicate name. You will be prompted again if the software finds a further duplicate name.

Click **Skip all** if you do not wish to import any of the duplicate names.

Click Add as new record to import the duplicate name as a new entry in the Address Book.

If no person type (either natural or legal) is indicated for a record, a legal person type is assumed by default. If both first name and last name are indicated, a natural person type is assumed.

4.9 User Preferences

Online Filing enables all users to individually set their preferred settings for working with the software. These user preferences can be set independently both in production mode and demo mode.

In the File Manager menu, click **Tools > Preferences > User Preferences**.

Changes take effect the next time you start File Manager.

Click **OK** to apply your changed settings and restart File Manager.

Click **Reset All Settings** to restore the previous user preferences.

EPO	User Preferences	×
Startup Default mode:	Production Demo Dock validation in fo	rms at startup
Language Startup Language	e: English 🔽 🔽 Open forms in the la	nguage of the File Manager
Signing Prefere	ences Confirmations	
Smart Card	Confirm upon deletion of entries in applications	
C Alphabetical	Show information about renaming of attached files	
C Facsimile	Start signing immediately when moving application for	ward from draft status
	Varn when creating an application with an already ex	kisting user reference
Working Directo	pries 🔽 Remember the last u	ised directory
Import:	C:\Program Files (x86)\EPO_OLF5\fm	Browse
Export:	C:\Program Files (x86)\EPO_OLF5\fm	Browse
Attach:	C:\Program Files (x86)\EPO_OLF5\fm	Browse
CD-R:	C:\Program Files (x86)\EPO_OLF5\fm	Browse
Network Setting Use Default Ne Proxy Server: Username:	gs etwork Settings SSL Version: Password:	SSLv3
	01	Cancel

Figure 68: User preferences in File Manager, default options

4.9.1 Startup

Select your preferred mode for startup: Production or Demo.

The working mode is selected in the login window; see Overview of Online Filing (p. 12).

If you want the validation messages to appear each time you open an application, select the check box **Dock validation in forms at startup**.

The Validation Messages window can be docked below the form; see Validation (p. 40).

4.9.2 Language

The File Manager user interface can be used in English, German, French, Dutch, Spanish, Romanian, Slovak, Polish or Swedish.

Select the startup language you wish to work in.

By default, a form's user interface is displayed in the selected language of proceedings; see Creating a new application (p. 27).

If you want to work in the same language in the form as in File Manager, select the check box **Open** forms in the language of the File Manager.

This option does not apply for PCT/RO/101 forms. The PCT/RO/101 form's interface will always be in the language which was set in File Manager when creating the new application.

The language of proceedings, however, can only be English, French or German. Therefore, the default language of proceedings in a new application will be English if you set Dutch, Spanish, Romanian, Slovak, Polish or Swedish as the language for File Manager.

4.9.3 Signing preferences

The signing preferences show the options allowed by the Online Filing system settings; see Signing settings (p. 62). If an option is greyed out, this means that your Online Filing administrator has disabled it in the System preferences.

Select the type of signature you usually use:

- Smart card (default)
- **Soft certificate** (only available in demo mode)
- Alphabetical
- Facsimile

When signing an application, you can still select a different type of signature if required.

(i) The EPO does not currently accept soft certificates as an electronic signature for filings to the EPO server. Other offices may, however, accept them for online filing. See the website of the office concerned for details.

4.9.4 Confirmations

Online Filing displays warning messages following certain actions. You can avoid some extra clicks by de-activating these confirmation dialogs.

Confirmations
Confirm upon deletion of entries in applications
Show information about renaming of attached files
Start signing immediately when moving application forward from draft status
\overline{ullet} Warn when creating an application with an already existing user reference

Figure 69: Default settings for confirmations

If you do not wish to receive notifications about deletions of files, clear the check box for **Confirm upon deletion of entries in applications**.

or

When this message appears in the procedural form, you can choose not to display it in future.

Warning								
Are you sure to delete file "SPECTRANEPO-1.pdf" ?								
Don't show me this message again								
<u>Y</u> es <u>N</u> o								

Figure 70: Message to confirm deletion of file

If you do not wish to receive notifications about renaming of files, clear the check box for **Show** information about renaming of attached files.

or

When this message appears in the procedural form, you can choose not to display it in future.



Figure 71: Message on renaming file

Select the check box **Start signing immediately when moving application forward from draft status** if you want an application in **Draft** status to move directly to **Ready to sign** status by clicking the **Next** workflow button in File Manager.

If you want to use an existing user reference for a new application and not receive a warning, clear the check box **Warn when creating an application with an already existing user reference**.

or

If this message appears when creating a new application, you can choose not to display it in future.

Warning
Are you sure to create an application with an already existing user reference ?
Don't show me this message again
<u>Y</u> es <u>N</u> o

Figure 72: Message when creating a new application indicating that a form already exists with the user reference you want to use

4.9.5 Working directories

The creation of **working directories** is advisable if you tend to always access the same PC or network folders via Online Filing, for instance, when selecting electronic documents to attach to your applications or when importing data. You can create a central storage location in your company for documents associated with ongoing patent applications and allow shared access to all users of Online Filing.

The default for all working directories is C:\Program Files\EPO_OLF5\fm, i.e. the installation folder that was selected when setting up Online Filing.

Click **Browse** ... to set the working directories for **Import**, **Export**, **Attach** (i.e. attaching files) and **CD-R**.

The directory specified for **CD-R** is used by Online Filing when you select the **Physical Media** option in the sending dialog; see Sending applications (p. 102). The application data is saved in a special file format and can be burned to a CD or DVD later.

Working directories are not supported when working with the PCT procedure (Form PCT/RO/101).

Select the check box **Remember the last used directory** if you want Online Filing to access the last directory you opened each time you import, export or attach files.

These working directories are updated in the user preferences every time you select another directory during the corresponding action.

Working Directo	ries 🔽 Remember the last used directo	ry
Import:	C:\EPO_data\Import	Browse
Export:	C:\EPO_data\Export	Browse
Attach:	C:\EPO_data\Clients	Browse
CD-R:	C:\Program Files (x86)\EPO_OLF5\fm	Browse

Figure 73: Modified working directories

4.9.6 Network settings

The **network settings** depend on how the computer network is configured in your company. By default, the Online Filing Thin Client (i.e. File Manager) uses the same internet connection as the Online Filing server, which can be configured in Server Manager.

To modify the internet connection for your personal Online Filing Client, clear the check box **User Default Network Settings**.

This opens the other fields for editing.

Enter the IP address or the proxy server name in the **Proxy Server** field.

Enter the number of the proxy server port in the field after the colon.

If required, enter **username** and **password** for authorisation at the proxy server.

The **SSL Version** is set to **TLSv1** by default and cannot be changed. To provide for enhanced security in terms of data encryption, Online Filing does not use previous SSL versions anymore.

Please contact your system administrator if you are unsure about the information you need to enter in your situation.

Network Settin	gs etwork Settings			
Proxy Server:	MyProxyServer	: 8080	SSL Version: TLSv1	-
Username:	OLFUser		Password:	
			ок	Cancel

Figure 74: User-specific settings for network connections

4.10 System Preferences

In **System Preferences**, you can change global settings that apply to all users of Online Filing. This is usually done by the Online Filing administrator or another user with appropriate user rights; see Profiles for group authorisations (p. 74).

The settings for production mode and demo mode are configured independently.

In the File Manager menu, click **Tools > Preferences > System Preferences**.

or

Click the System Preferences button in the toolbar.

 $\langle \hat{Q} \rangle$

Edit the settings as required.

To apply your settings, click Save.

You are prompted to restart File Manager for the changes to take effect.
To discard your changes and return to the Online Filing default settings, click Reset All Settings.

To quit without applying any changes, click **Cancel**.

EPO	System Preferences	×		
Contine Services File Manager General Signing Runtime Variables PMS gateway interface EP-Filing EP(1038E) Euro-PCT(1200E2K) EP(1001E2K) EP(1001E2K) EP(1001E2K) EP(100P0) PCT-Filing PCT/R0/101 PCT-DEMAND PCT-SFD	Version: 5.0 Security and User Management Image: Enable Folder Management Enable Folder Management Enable password policy Minimum length of password: Minimum number of lowercase characters: Minimum number of uppercase characters:	Installed On: 13/04/2016 17:33:17		
	Minimum number of special characters: Minimum number of digits:	0 0 1 Reset to default settings:		
Reset All Settings		Save Cancel		

Figure 75: System preferences for File Manager

4.10.1 Security and user management

To protect your IP data, it is highly recommended that you establish uniform security rules for all users in your company working with Online Filing. All users should log on with their user name and password, even if you have installed the standalone version for a single-user environment.

Enabling User Management

Only the Online Filing **Administrator** can enable user management either immediately during the installation of Online Filing or later in **System Preferences**. If user management is enabled, users must always enter their user name and password to log on to File Manager.

To enable User Management subsequent to the installation of the software, go to **System Preferences** in File Manager.

Select the Enable User Management check box.

Click Save.

You are prompted to restart File Manager for the changes to take effect.

Create user names and passwords as required; see Users (p. 68).

Enabling Folder Management

Folder management is not enabled by default. This option governs whether or not the **Folders** tab is active in **User Administration**; see Sharing folders with groups (p. 78).

To enable folder management, enable user management if it is not already enabled.

Then select the Enable Folder Management check box.

Click Save.

You are prompted to restart File Manager for the changes to take effect.

EPO		System Preferences			×
Online Services File Manager General	Version:	5.0	Installed On:	13/04/2016 17:33:17	
Signing Runtime Variables PMS gateway interface EP-Filing EP(1038E) Euro-PCT(1200E2K) FP(1001E2K)	Security and F Enable U F Enable F	d User Management ser Management older Management assword policy			

Figure 76: Enabling folder management after user management has been enabled

4.10.2 Password policy

If your company has a password policy for its network, you will be able to set up a similar policy in Online Filing should you wish to. That way, users are presented with a log-on method and style with which they are already familiar.

To enable password policy, user management has to be enabled by the Online Filing **Administrator** either during installation of the software or later in File Manager's **System Preferences**.

Enabling password policy when installing Online Filing

You can set up a password policy to protect access to Online Filing with a user name and password when installing the server or standalone version.

- This will enable user management and password policy at the same time.
- The master user Administrator is created.
- You are requested to enter a password for the master user **Administrator** that complies with the Online Filing default password policy.

For more information, please refer to the Online Filing Installation guide.

Enabling password policy in File Manager

If required, you can enable user management and password policy in **System Preferences** subsequent to installation.

To enable user management and password policy, go to System Preferences in File Manager.

Select the Enable User Management check box.

The Enable password policy check box becomes available.

Select the Enable password policy check box as appropriate.



Figure 77: The password policy can be enabled if user management has been enabled

The password settings become editable.

To apply the Online Filing default settings, click Save

Password policy is activated when you restart File Manager.

Security and User Management Enable User Management Enable Folder Management Enable password policy	
Minimum length of password: Minimum number of lowercase characters: Minimum number of uppercase characters: Minimum number of special characters: Minimum number of digits:	6 © 1 1 0 © 1
	Reset to default settings:

Figure 78: Enabling password policy with the default settings

(i) If you disable user management, password policy will also be disabled. The user accounts and passwords as well as the password policy settings, however, remain stored in the Online Filing database and will be activated again the next time user management and password policy are enabled.

Defining a password policy

When defining a password policy in Online Filing, the following setting parameters apply:

- 1. The minimum password length is 6 characters, i.e. letters, special characters or digits.
- 2. The maximum password length is 20 characters. This means that a number between 6 and 20 is allowed in the **minimum length field**.
- 3. These special characters are allowed: !#\$%*+,-./:;=?@[\]^_{}~
- 4. The four minimum-number fields (lower-case letters, upper-case letters, special characters, digits) added together must not exceed the value entered as the minimum length of the password.

Example of a mismatch of password settings:

Enter 6 in the Minimum length of password field.

Enter 2 in each of the following fields: Minimum number of lowercase characters, Minimum number of uppercase characters, Minimum number of special characters and Minimum number of digits.

These four fields add up to 8, which is greater than 6.

Click Save.

You will see an error message prompting you to correct your settings.

Changing your password policy

In File Manager, go to System Preferences.

Modify the field entries to match your password rules as required.

To display more helpful information about the fields, move your mouse pointer over the little 🖲 icons.

To discard your entries and return to the default values, click **Reset to default settings**.

To apply the new settings, click **Save**.

You are prompted to restart File Manager for the changes to take effect.

Security and User Management	
Enable Folder Management	
Enable password policy	
Minimum length of password:	8 0
Minimum number of upper case characters:	1
Minimum number of special characters:	1 0
Minimum number of digits:	1
	Reset to default settings
	Save Cancel

Figure 79: Modifying parameters to define your own password policy

If a user's password does not comply with the new password policy, he or she is prompted to provide a new password when logging on to File Manager the next time, see Changing your password (p. 71).

4.10.3 Signing settings

This is where you define the types of signature that your company should support for signing applications. The settings are made separately for demo mode and production mode.

Click Signing in the list on the left under the heading Online Services File Manager.

Select or clear the check boxes as required.

For instance, if the **Alphabetical** check box is cleared, users cannot apply an alphanumeric signature to their applications.

PO	System Preference	es	×
Online Services File Manager General	Supported Signing Methods per Mode:	:	
Signing	Demo Mode	Production Mode	
Runtime Variables	✓ Alphabetical	Alphabetical	
PMS gateway interface	🔽 Facsimile	Facsimile	
EP-Filing	Smart Card	Smart Card	
EP(1038E) Euro-PCT(1200E2K)	Soft Certificate	Soft Certificate	
EP(1001E2K)	,		
EP(Oppo)			
PCT-Filing			
PCT/R0/101			
PCT-DEMAND			
PCT-SFD			
PCT-SFD			

Figure 80: System preferences for signing

4.10.4 Runtime variables

Runtime variables enable you to customise Online Filing in line with user requirements that extend beyond the scope of the simple user preferences.

There is currently only one runtime variable for File Manager: **EP_warning_for_no_payment_mode_indicated**. The EP prefix indicates that this variable affects all EP procedures. The variable governs whether a grey or yellow validation icon is displayed on the **Fees** tab in EP forms if a mode of payment was not specified for this application.

Changing the value of a variable

Click **Runtime Variables** in the **System Preferences** window and select the variable you want to change.

Click the field in the Value column to open the drop-down list.

Select True or False.

Click somewhere else in the variables list to close the drop-down list.

Click Save.

EPO	System Preferences	×
Online Services File Manager	Runtime Variables:	
Signing	Name	Value
Runtime Variables	EP_warning_for_no_payment_mode_indicated	False 🔹
PMS gateway interface		False
EP-Filing EP(1038E) Euro-PCT(1200E2K)		
EP(1001E2K) EP(0ppo)		

Figure 81: Changing the runtime variable to "True"

False: Grey validation icon, the validation message is "Please enter mode of payment".

True: Yellow validation icon, the validation message is "Warning (set by system preferences): no

mode of payment is indicated".

The yellow validation icon is displayed in EP forms after you restart File Manager.

EPO			EPC) Online Filing - E	P(1001E2K) - S	Sample	1001	- 🗆 🗙
File Edit	View Too	ls Window	/s Help					
	Ø 🗗	2						()
EP(1001E2	K) - Draft	: - Sample	1001					Last saved on 02/05/2016
Request 🕃	Names	States 🛆	Priority 🛆	Biological Material	Documents 🛇	Fees 🛆	Annotations	
Payment De	tails Fee se	election						
Mode of Pa	yment:		Not spe	cified		▼ Curr	ency: EUR	

Figure 82: Yellow validation icon for the Fees tab after changing the runtime variable

4.10.5 PMS gateway interface

The PMS gateway is used to exchange data with the EPO over a local OLF server. Users of other patent management systems (PMS) can use this interface to send their applications directly to the EPO via the OLF server, without actually processing the applications with the OLF software. For EPO authentication, a smart card reader with valid smart card must be connected to the computer running the OLF server.

For more information on the PMS gateway, refer to the following material on the EPO website under **Online services > Online Filing**:

- Under Download software for filing with the EPO (http://www.epo.org/applying/onlineservices/online-filing/download.html): Online Filing v5 PMS development kit (for applicants and PMS providers)
- Under Download documentation (http://www.epo.org/applying/online-services/onlinefiling/documentation.html): Importing Data into Online Filing version 5 and higher

(i) The PMS gateway interface can only be configured in File Manager's production mode. If you want to test the PMS gateway interface in demo mode, please enable it in production mode first. Your production mode settings will apply in the demo mode.

Open the System Preferences window.

Click PMS gateway interface.

The default setting is **Not enabled**.

Select the Smart card option and enter the smart card PIN code.

(i) At present, applications in EP procedures cannot be signed with a soft certificate and filed with the EPO.

Enter the HTTP port number of the server and the valid term for the password or PIN.

<mark>2</mark>	System Preferences ×
Online Services File Manager General Signing Runtime Variables PMS gateway interface EP-Filing EP(1038E) Euro-PCT(1200E2K) EP(1001E2K) EP(1001E2K) EP(100po) PCT-Filing PCT/R0/101 PCT-DEMAND PCT-SFD	PMS gateway interface ○ Not enabled • Smart card • Soft certificate HTTP Port number: 88 • Enable SSL, port 443 Smart card pin code: • • • • • • • • • • • • • • • • • • •
Reset All Settings	Save Save Cancel

Figure 83: Settings for the PMS gateway interface when using a smart card

Technical coordination with the EPO

The EPO or the other patent offices can only accept files via the PMS interface if the PMS software used has already been approved. This guarantees that applicants only use PMS software that has been compatibility-tested with the EPO Online Filing system.

If you are using custom-made PMS software, approval must be obtained from Customer Services at the EPO or the customer services departments of other patent offices before you use the software with the PMS gateway.

If these requirements are satisfied, select the check box I confirm that the PMS software has been approved by the patent office(s) concerned.

The check box **Enable filing to production allowed** activates after this confirmation.

(i) Do not select this check box until your tests have been successfully completed and you want to enable the interface for your users for the transmission of documents to the EPO.

4.10.6 Filing settings

The sections **EP-Filing** and **PCT-Filing** in the **System Preferences** window contain information on the software version, the date of installation and the options for sending applications. You can define the settings individually for each procedure installed.

(i) The EPO recommends **Online** (online filing over the internet) as the default setting for filing applications.

The **Physical Media** option is an alternative for sending applications over a secure internet connection. You can burn data to a CD- or DVD-ROM and send it by post or courier to the EPO.

This might be suitable for very large files (e.g. extremely long sequence listings) that would take considerable time to transfer over an internet connection.

BPO		System	Preferences			×
Online Services File Manager General	Version:	5.0		Installed On:	13/04/2016 17:33:17	
Signing Runtime Variables PMS gateway interface	Allow CD-R Send to :	i filing	Online	C Physical Media		
EP-Filing EP(1038E) Euro-PCT(1200E2K)						
EP(1001E2K) EP(Oppo)						

Figure 84: Settings for EP filing, "Online" send method

The default setting can be changed to Physical Media.

EPO		System Preferences	;	×
Online Services File Manager General	Version:	5.0	Installed On:	13/04/2016 17:33:17
Signing Runtime Variables PMS gatewav interface	Allow CD-F	3 filing © Online	Physical Media	
EP-Filing EP(1038E)			- (
Euro-PCT(1200E2K) EP(1001E2K) EP(0ppo)				

Figure 85: Settings for EP filing, "Physical Media" send method

The **Allow CD-R filing** check box is selected by default so that users always have the opportunity to choose between **Online** and **Physical Media** when sending applications.

If this check box is cleared, **Online** is the only option allowed and applications cannot be filed over physical media.

ero		Syst	tem Preferences		
Online Services File Manager General	Version:	5.0		Installed On:	13/04/2016 17:33:17
Signing Runtime Variables PMS gateway interface	Allow CD Send to	-R filing	Online	C Physical Media	
EP-Filing EP(1038E)			0.011110	io riginaritana	
Euro-PCT(1200E2K) EP(1001E2K) EP(0ppo)					

Figure 86: Settings for EP filing, CD-R filing not allowed

4.11 User Administration

User Administration in Online Filing can be used to create individual authorisation concepts for users and user groups. This enables you to provide details on the Online Filing system administrator, specify which data is released in a network and which actions may be performed in the software by individual users.

User management settings are specific to the current mode, that is, to demo mode or to production mode, to ensure that any work in one is kept entirely separate from the other.

Enabling or disabling user management

Only a user with **Administrator** ID has the privilege to enable **User Management** in File Manager and assign administrator rights to others. As a master user, the **Administrator** is automatically created when installing the Online Filing server and cannot be deleted later.

If User Administration is enabled, users are always prompted to log on with their user name and password when starting Online Filing.

(i) Attention: Make sure you create a second user with full administrator rights, i.e. with authorisation to perform user administration. The Administrator user is blocked after three successive attempts to log on with the wrong password. If this happens, there is no way to reset the password unless there is another user with administrator rights configured on your system.

Log on to File Manager with the Administrator user name.

In the File Manager menu, click **Tools > User Administration**.

If the option is unavailable, go to **Tools > Preferences > Systems Preferences** and select the check box **Enable User Management**.

After enabling or disabling user management, restart File Manager.

Disabling user management does not mean that your existing user-rights configuration is deleted. If you enable user management again, the same user names and passwords apply as before.

Once User Administration has been configured, this data can be transferred to a different server machine running Online Filing. For more details see User Data Migration (p. 424) in the Server Manager section.

Features in User Administration

There are five tabs in the User Administration window.

Users Groups Profiles Mapping Folders

Tab	Description
Users	Entering details for individuals, creating passwords and assigning users to
	groups.
Groups	Creating groups based on company roles, or other criteria as appropriate.
Profiles	Creating lists of privileges for using the software.
Mapping	Assigning profiles to groups.
Folders *)	Assigning authorisations for individual folders to groups.
	*) The Folders tab is only active if the Enable Folder Management option is
	selected in System Preferences; see Security and user management (p. 59).

Changes that you have made but not yet saved in User Administration are indicated by a small grey arrow on the right. The total number of entries with unsaved changes in the open tab is displayed on the status bar.

Click the Save All button to save your work in all tabs within User Administration.

Click the Revert All button to discard all changes.



User Administration		
	Find:	3
Users Groups Profiles	Mapping Folders	
Administrator Jeremy Nettleton Lauren Hancock	First Name: Lauren Last Name: Hancock Login Name: Iauren Password: ******* Verification: ******* C Account is disabled Is Contained in the Following Groups: Image: Second Sec	Comments: Summary: Privileges: No privileges assigned yet.
Entries with unsaved changes: 3	🦈 Revert_Changes	

Figure 87: User Administration with unsaved entries

4.11.1 Users

The **Users** tab lists all persons who are authorised to use Online Filing. Login names and passwords are case sensitive, so they must be typed exactly as created in upper and lower case.

(i) Configure groups and profiles first and then add the individual users to the groups you want.

Creating a new user

The **Administrator** and other users with user administration authorisation can create new users and assign them privilege profiles. The **Administrator** is automatically created when installing the software and cannot be renamed or deleted later.

Click the New button on the left.



In the middle panel enter the first name and last name.

Enter the login name.

The login name is the one that appears as **Last saved** in the **info pane** – see Previewing applications (p. 31) – so it should be readily identifiable to all system users.

Enter a **password** for the new user.

Enter the password once again in the Verification field.

If password policy is enabled and your proposed password does not comply with it, you will be prompted to supply a new password once you click the **Verification** field; see Changing your password (p. 71).

🔤 User A	dministratio	'n					
File Edi	t View H	lelp					
	5	3	Find:	P	3		
Users	Groups	Profiles	Mapping Folders				
	\$		First Name:	izabeth Co	omments:		
🚨 Ad	ministrator		Last Name:	iners			
🚨 Jer	remy Nettleto uren Hancock	n	Login Name:	lizabeth			
🚨 Oli	ver Barber		Password:	*****			
🚨 Elia	abeth Miners	う	Verification:	*****			
	C Account is disabled						
			Is Contained in the Foll	lowing Groups: Su	ummary:		
					Privileges:		
			There are no ite	ems to show in this view	No privileges assigned yet.		

Figure 88: New user with login name

Adding user to a group

Click the New button in the middle of the tab under Is Contained in the Following Groups.

÷

The Add User to Group window opens.

Select the group(s) for this user.

Click Add.

The user inherits all privilege profiles assigned to these groups.

Add User to Group
Select the group(s) you want "Elizabeth Miners" to be contained in.
Administrators Assistants Itsers
Add S Cancel

Figure 89: Adding users to a group

Finally click the Save All button.

			ċ
L	J	1	l
	ı.		l

Modifying user data

The **Administrator** and other users with user-administration authorisation can change user data if necessary. For example, if a user forgets his or her password, the **Administrator** can create a new password for this user.

When users are logged in, they can change their password via **Tools > Change password**; see Changing your password (p. 71).

The **Administrator**'s name and login name cannot be modified, however. These data fields are locked by default.

4.11.2 Unblocking users

Online Filing automatically disables a user account after three successive attempts to log on with the wrong password.

Information
User name oliver is blocked, please contact your administrator
<u> </u>

Figure 90: Blocked user is unable to log on to File Manager

The user **Administrator** – or another user who is member of the **Administrators** group – can unblock the user to let him log on to Online Filing again.

(i) Attention: Make sure you create a second user with full administrator rights, i.e. with authorisation to perform user administration. The **Administrator** user is blocked after three successive attempts to log on with the wrong password. If this happens, there is no way to reset the password unless there is another user with administrator rights configured on your system.

Unblocking a user account

Select the blocked user in User Administration.

Clear the Account is disabled check box.

Click the Save All button.

🚥 User Administration				- • ×
File Edit View Help				
🗏 🤊 🥸	Find:	٩		(?)
Users Groups Profiles	Mapping Folders	3		
Administrator Administrator Elizabeth Miners Jeremy Nettleton Lauren Hancook Oliver Barber	First Name: Last Name: Login Name: Password: Verification:	Oliver Barber Oliver ******* ******	Comments:	
	Account is disable	ed ollowing Groups:	Summary:	

Figure 91: User is disabled and can be re-activated in User Administration

Blocking a user account

The administrator can, if required, also disable a specific user, assuming permanent deletion of the user is not intended.

Select the Account is disabled check box.

Click the Save All button.

Unblocking the Administrator

The administrator account can also be blocked after three failed attempts to log on. To unblock this account, another user with user management privileges must log on to File Manager. The following message box appears when opening User Administration:



Figure 92: Message when starting User Administration with a blocked administrator account

Click OK.

User Administration opens. The check mark in the **Account is disabled** check box automatically disappears.

Click the Save All button to complete the operation and re-activate the administrator account.

🛛 User Administration							
File Edit View Help							
🔲 🤊 🥸	Find:	(?)					
Users Groups Profiles	Mapping Folders						
₽ ×	First Name: Administrator Comme	nts:					
🚊 Administrator 🦘	Last Name: Admin	istrator					
 Elizabeth Miners Jeremy Nettleton 	Login Name: Administrator						
🚨 Lauren Hancock	Password:						
Oliver Barber	Verification:						
	Account is disabled						
	Is Contained in the Following Groups: Summa	ry:					
	Privile	eges:					
	Administrators	1anagement Modifying Mapping					

Figure 93: Removing the block on the "Administrator" user account

4.11.3 Changing your password

When you are logged on to File Manager you can change your password.

In the menu, click **Tools > Change password**.

The Change password window opens.

Enter your old password.

Enter your **new password**.

Enter your new password a second time to confirm.

Click OK.

le Manager	×
Change password	
User name:	Administrator
Old Password:	*****
New password:	*****
Confirm New Password:	*****
Special characters allowe	d:!#\$%*+,-,/:;=?@[\]^_{}~
	OK Cancel
	V

Figure 94: Changing your password

Applying password policy

If password policy is enabled and your new password does not comply with it, you are prompted to modify your new password after you click **OK** in the **Change password** window.

The same warning message appears if you log on to File Manager after the password policy has been changed and your old password no longer complies with it.



Figure 95: New password does not comply with the password policy

To close the warning message, click **OK**.

Edit your new password as required in the Change password window.

Only the following special characters are allowed: ! # \$ % * + , - . / : ; = ? @ [\]^_{}~

For more information, please see Password policy (p. 60).

4.11.4 Groups

The **Groups** tab is used to administer the user groups that were defined for your company. You can name the groups after employee roles, such as attorneys, paralegals and assistants, or use any other definitions that suit your requirements.

The group **Administrators** already exists and cannot be deleted. The **Users** group is also automatically created when installing Online Filing, but can be edited as required.

Creating groups

In the Groups tab, click the New button.



In the middle panel enter a name in the Group Name field.

If required, also enter a **Description** for the group.

Click the Save All button.

<mark>ᅍ</mark> User A File Edi	Administratio it View H	n Ielp					- • • ×
	\$	S	Find	±	٩		()
Users	Groups	Profiles	Mapping	Folders			
Ad	k Iministrators ients		Group Name: Agents			Description: Registered patent agents	
As As	isistants iers		Users/Group	s Contained	in the Group "Agents":	, Summary: Privileges: No privileges assigned yet.	

Figure 96: New group created

As a new group does not have any privilege profiles, **No privileges assigned yet** appears on the right under **Summary**. Privileges are assigned on the Mapping tab (see "Mapping profiles to groups" p. 78).

Adding users or subgroups to a group

You can add individual users or even complete groups to a group.

(i) It is not recommended to create complex group structures, i.e. groups that contain groups containing other groups. This kind of right management can become very confusing and may result in the authorisation of users for certain tasks they should not be allowed to perform.

Click the Add button in the middle of the Groups tab.



Select Add Users or Add Groups.

The list of all registered users or groups is created. The list does not include blocked users.

Select all users or groups you want to add to the selected group.

Click Add.

Add User to Group	
Select the user(s) you want to attach to the group "Agents".	
 Administrator Elizabeth Miners ✓ E Jeremy Nettleton ✓ Eururen Hancock 	
🗹 🖻 Oliver Barber	
Add S Cancel	

Figure 97: Selecting users to add to a group

Click the Save All button.

The users or groups added inherit all authorisations of the group you just edited.

If a user tries to carry out an action in the software that is not within his rights, he will receive a message warning him that he does not have the appropriate rights. Thus, if a user's access rights are not sufficient to perform certain operations, the Administrator should move him or her to a more appropriate group.

4.11.5 Profiles for group authorisations

The **Profiles** tab allows you to create different lists of privileges and assign them to groups.

You can use profiles to define authorisations for specific activities in the company, combine them as required and assign them to the various user groups. You can also select individual privileges from the list of all available privileges and modify profiles again at any time.

Changes to profile-specific privileges only take effect after you save and quit user administration.

The privileges are grouped into four headings:

- Address Book Management
- Application Workflow
- Folder/Data Management
- User Management

Three standard profiles are created when you install the software:

- Administrators profile this profile is mapped to the Administrators group. You cannot
 deactivate the privileges under User Management nor can you delete the Administrators profile.
- Default administrator profile this profile can be used as a template to provide additional user groups with administrator rights as well as to set specific rights restrictions. The settings under User Management can therefore be edited.

 Default user profile – this profile is suitable for user groups mainly involved in processing applications. The Edit Maintenance Fees privilege under Folder/Data Management is deactivated.

Apart from the restrictions specified above, you can edit and rename these three profiles as required.

🔤 User A	dministrati	on						- • •
File Edit	t View I	Help						
	5	S	Find			P		(?)
Users	Groups	Profiles	Mapping	Folders				
Ad De pro	Administrators profile Default administrator profile			Profile Name: Default user profile Privileges for "Default user profile":			Description: Default user profile	
De De	Default user profile			ess Book Ma cation Workf r/Data Mana Managemen	nagement low agement t		Description Of Privilege: Address Book Management	

Figure 98: Individual privileges for "Default user profile" are deactivated under "Folder/Data Management"

Creating profiles

In the Profiles tab, click the New button.

 $\mathbf{+}$

In the middle panel enter a name in the Profile Name field.

Click the Save All button.

H

Selecting privileges

The list of all privileges in the middle is available after a save. No privileges are selected by default.

Under Privileges for "<profile name>", double-click the text of the heading you wish to modify.

or

Double-click the small black pointer > to the left of the heading.

Select the check boxes you require for this profile.

You can select an entire group of privileges by selecting the check box next to the relevant heading.

To close the list again, double-click the pointer **T**.

or

Double-click the text of the heading.

Enter a short description of the new profile in the **Description** field.



Figure 99: Edit privileges for profile

4.11.6 List of privileges

Privilege	Description
Address Book Management	Create, delete and edit entries in the Address Book.
Create Contact	Add entry to Address Book.
Delete Contact	Remove entry from Address Book.
Edit Contact	Change details for an existing Address Book entry.
Application Workflow	Control tracking and management of all activities from
	start to finish.
Application	Control activities on forms which can no longer be
	edited.
Delete Application in "Ready to	Place application with "Ready to Send" status in Trash folder.
Send" state	
Delete Application in "Ready to	Place application with "Ready to Sign" status in Trash folder.
Sign" state	
Delete Application in "Sent" state	Place application with "Sent" status in Trash folder.
Move Application Back from	Change status to "Ready to Sign". This action removes all
"Ready to Send" to "Ready to	signatures from application.
Sign"	
Move Application Back from	Return application to "Draft" status. The application may then
"Ready to Sign" to "Draft"	be edited.
Move Application from "Ready to	Change status to allow sending.
Sign" to "Ready to Send"	
Remove Signature/Signatures	Allow use of Remove button for individual signatures in
	signing window.

Privilege	Description
Send Application	Transmit application to EPO.
Sign Application	Apply alphabetical/facsimile/digital signature according to
	signing methods supported in File Manager > Tools > System
	Preferences.
View Application in "Ready to	Open application with "Ready to Send" status to display data
Send" State	entered. Status cannot be changed.
View Application in "Ready to	Open application with "Ready to Sign" status to display data
Sign" State	entered. Status cannot be changed.
View Application in "Sent" State	Open application with "Sent" status to display data entered.
	Status cannot be changed.
Draft	Control activities relating to applications which can still
	be edited.
Create Draft	Add new application based on a procedural form.
Delete Draft	Place application with "Draft" status in Trash folder.
Edit Draft	Change data entered in application with "Draft" status.
Move Draft to "Ready to Sign"	Change status of application to allow signing.
	Once the application has been moved to "Ready to Sign" it
	can only be edited if it is moved back to "Draft".
View Draft	Open application with "Draft" status to display data entered.
	Status cannot be changed.
Template	Control activities relating to templates used to create
	new drafts.
	Add a copy of an existing template.
	Use an existing application or draft to save as template.
Delete template	Move a template to Trash folder.
	Open a template to modify data.
Folder/Data Management	Control activities relating to external information, file
	maintenance and reference settings.
	Control activities relating to information stored outside
	the Online Filing software application.
Export Address Book	Send Address Book data to external CSV file.
	Back up and archive Online Filing data. Send Online Filing data
	to external XIVL files in folder or ZIP format.
Import Address Book	Bring external CSV data into Address Book.
	Bring external XML data into Online Filing.
File Manager	Control activities related to file maintenance and
Change Clobel File Manager	Preference settings.
Sottinge	Set preferences for overall system usage.
Change Personal File Manager	Set preferences for individual system usage
Settings	Set preferences for individual system usage.
Create Folder	Add a new folder for storing applications in File Manager
Delete Folder	Remove a folder from File Manager. The "Default" folder
	cannot be deleted.
Edit Maintenance Fees	Change fees in File Manager > Tools > Fee Management.

Privilege	Description
Empty Trash	Permanently delete any items in Trash folder.
Move To Folder	Change location where application is stored.
Rename Folder	Edit folder name.
Live Update/Start Application	Control activities relating to Online Filing system updates.
Use Live Update – Apply	Check for software updates.
Use Live Update – Download	Bring suggested updates into your local storage area.
User Management	Control activities relating to setting up user and group
	profiles and assigning system privileges in Tools >
	Administration.
Group	Control activities relating to defining and managing
	groups of users.
Create Group	Add a new group name.
Delete Group	Remove an existing group name.
Edit Group	Add individual users to a group or remove them.
Rename Group	Change a group name.
Modify Mapping	Control activities relating to applying privileges to
,,	
	groups and individuals.
Profile	groups and individuals. Control activities relating to assigning and maintaining lists of privileges for users and groups.
Profile Create Profile	groups and individuals.Control activities relating to assigning and maintaininglists of privileges for users and groups.Add a profile name and assign privileges to it.
Profile Create Profile Delete Profile	groups and individuals.Control activities relating to assigning and maintaininglists of privileges for users and groups.Add a profile name and assign privileges to it.Remove a profile name.
Profile Create Profile Delete Profile Edit Profile	groups and individuals.Control activities relating to assigning and maintaining lists of privileges for users and groups.Add a profile name and assign privileges to it.Remove a profile name.View and change privileges assigned to a profile.
Profile Create Profile Delete Profile Edit Profile	groups and individuals.Control activities relating to assigning and maintaining lists of privileges for users and groups.Add a profile name and assign privileges to it.Remove a profile name.View and change privileges assigned to a profile.This privilege is required for any activity relating to creating
Profile Create Profile Delete Profile Edit Profile	groups and individuals.Control activities relating to assigning and maintaining lists of privileges for users and groups.Add a profile name and assign privileges to it.Remove a profile name.View and change privileges assigned to a profile. This privilege is required for any activity relating to creating sets of privileges, mapping privileges to users or groups, or
Profile Create Profile Delete Profile Edit Profile	groups and individuals.Control activities relating to assigning and maintaining lists of privileges for users and groups.Add a profile name and assign privileges to it.Remove a profile name.View and change privileges assigned to a profile.This privilege is required for any activity relating to creating sets of privileges, mapping privileges to users or groups, or changing privileges.
Profile Create Profile Delete Profile Edit Profile Rename Profile	 groups and individuals. Control activities relating to assigning and maintaining lists of privileges for users and groups. Add a profile name and assign privileges to it. Remove a profile name. View and change privileges assigned to a profile. This privilege is required for any activity relating to creating sets of privileges, mapping privileges to users or groups, or changing privileges. Change a profile name.
Profile Create Profile Delete Profile Edit Profile Rename Profile User	groups and individuals.Control activities relating to assigning and maintaining lists of privileges for users and groups.Add a profile name and assign privileges to it.Remove a profile name.View and change privileges assigned to a profile.This privilege is required for any activity relating to creating sets of privileges, mapping privileges to users or groups, or changing privileges.Change a profile name.Control activities relating to maintaining list of system
Profile Create Profile Delete Profile Edit Profile Rename Profile User	groups and individuals.Control activities relating to assigning and maintaining lists of privileges for users and groups.Add a profile name and assign privileges to it.Remove a profile name.View and change privileges assigned to a profile.This privilege is required for any activity relating to creating sets of privileges, mapping privileges to users or groups, or changing privileges.Change a profile name.Control activities relating to maintaining list of system users.
Profile Create Profile Delete Profile Edit Profile Rename Profile User Create User	groups and individuals.Control activities relating to assigning and maintaining lists of privileges for users and groups.Add a profile name and assign privileges to it.Remove a profile name.View and change privileges assigned to a profile.This privilege is required for any activity relating to creating sets of privileges, mapping privileges to users or groups, or changing privileges.Change a profile name.Control activities relating to maintaining list of system users.Add an individual name, enter login name and initial
Profile Create Profile Delete Profile Edit Profile Rename Profile User Create User	groups and individuals.Control activities relating to assigning and maintaining lists of privileges for users and groups.Add a profile name and assign privileges to it.Remove a profile name.View and change privileges assigned to a profile.This privilege is required for any activity relating to creating sets of privileges, mapping privileges to users or groups, or changing privileges.Change a profile name.Control activities relating to maintaining list of system users.Add an individual name, enter login name and initial password for user and assign to group.
Profile Create Profile Delete Profile Edit Profile Rename Profile User Create User Delete User	 groups and individuals. Control activities relating to assigning and maintaining lists of privileges for users and groups. Add a profile name and assign privileges to it. Remove a profile name. View and change privileges assigned to a profile. This privilege is required for any activity relating to creating sets of privileges, mapping privileges to users or groups, or changing privileges. Change a profile name. Control activities relating to maintaining list of system users. Add an individual name, enter login name and initial password for user and assign to group. Remove an individual name.
Profile Create Profile Delete Profile Edit Profile Rename Profile User Create User Delete User Edit User	groups and individuals.Control activities relating to assigning and maintaining lists of privileges for users and groups.Add a profile name and assign privileges to it.Remove a profile name.View and change privileges assigned to a profile.This privilege is required for any activity relating to creating sets of privileges, mapping privileges to users or groups, or changing privileges.Change a profile name.Control activities relating to maintaining list of system users.Add an individual name, enter login name and initial password for user and assign to group.Remove an individual name.Change login name and password for user and change group
Profile Create Profile Delete Profile Edit Profile Rename Profile User Create User Delete User Edit User	groups and individuals.Control activities relating to assigning and maintaining lists of privileges for users and groups.Add a profile name and assign privileges to it.Remove a profile name.View and change privileges assigned to a profile.This privilege is required for any activity relating to creating sets of privileges, mapping privileges to users or groups, or changing privileges.Change a profile name.Control activities relating to maintaining list of system users.Add an individual name, enter login name and initial password for user and assign to group.Remove an individual name.Change login name and password for user and change group assignments.

4.11.7 Mapping profiles to groups

The **Mapping** tab is where you assign the required privilege profiles to groups. The **Administrators** group is mapped by default to the **Administrators profile**. This assignment cannot be revoked.

Click a group name on the left.

Select the check box in the middle panel to assign the associated profile.

You can assign multiple profiles to a group. This means that the group will inherit all privileges contained in the individual profiles.

Click the Save All button.

To make sure each group has the privileges you intend, click each group name in turn, and then scroll down the summary of privileges on the right.



Figure 100: Check privileges after mapping profiles to groups

4.11.8 Sharing folders with groups

In the **Folders** tab, you can define which of the user-defined folders in File Manager may be accessed by which user group.

The **Folders** tab is only active if the **Enable Folder Management** check box is selected in the System Preferences; see Security and user management (p. 59).

Default folder rights

- 1. The system folders **All Applications**, **Default Folder**, **Forms**, **Templates** and **Trash** are visible to all users.
- 2. The items contained in the **Default Folder** and **Templates** folder are accessible to all users.
- 3. The items contained in **All Applications** and **Trash** are only accessible to the user who created them and to the **Administrators** group. For example, if a user creates an application and moves it to the **Trash** folder, only this user or a member of the **Administrators** group can see that item.
- 4. The user-defined folders are accessible only to the user who created them and to the **Administrators** group. The same applies for sub-folders in user-defined folders and for sub-folders in the **Templates** folder.

Assigning folders to a group

To make a user-defined folder and its contents accessible to other users, a user with user management authorisation can assign this folder to a specific user group.

In User Administration, click the Folders tab.

All user-defined folders that were created in File Manager are listed in the window's central pane.

Click a group name on the left.

The folders and sub-folders that are currently accessible to the selected group are shown on the right.

To assign another folder to the selected group, select the corresponding check box in the central pane.

If a parent folder is selected, all of its sub-folders are also selected, even those yet to be created.

To assign individual sub-folders to the selected group, double-click the relevant parent folder.

The sub-folders are displayed.

Select the check boxes for the relevant sub-folders, including sub-folders in the **Templates** folder.

Finally click the **Save All** button.



The selected folders and sub-folders are then displayed on the right. This sequence corresponds to the order in which the selected user group will see the folders in File Manager.

User Administration		
	Find:	(2)
Users Groups Profiles	Mapping Folders	
 Administrators Assistants Patent agents Users 	Assigned Folders for Group "Assistants": ■ Bio Research ■ 2011 ■ 2012 ■ TechEurope ■ Ashcroft ■ Kilburn ■ Universal Engineering ■ XML Import ■ v5 SP4 ■ v5 SP5 ■ Templates ■ Bio Research ■ Nano Enterprise	Summary: Nano Enterprise 2011 2012 TechEurope Ashcroft Templates Nano Enterprise
Entries with unsaved changes: 0		

Figure 101: Assigning folders to a group

The assigned folders are then displayed for the users from the selected user group when they log on to File Manager.

In this example, the sub-folder **2013** was subsequently created. Because its parent folder, **Nano Enterprise**, has been assigned to the **Assistants** group, the new sub-folder is also automatically shared to the **Assistants** group.

🕫 File Manager Sample PCT-1										
File Edit View Workflow Tools Help										
2013 - All - PCT - Sample PCT-1 11 items available										
All Applications	All Draft Rea	dy to Sign Ready to Send	Sent Last saved 💌	٩ 🗌						
Default Folder	Last ⊽ Beference	Title		2 Status						
Nario Enterprise	05.08.2013 Sample PCT-1	PCT/B0/101 request	PCT	Draft						
2011	03.07.2013 Sample OPPO	EP Opposition procedure	0 0 0 EP(Oppo) (0 Draft						
2012	03.07.2013 Exemple PCT	PCT/RO/101 request	PCT	Draft						
	03.07.2013 Beispiel PCT	PCT/RO/101 request	PCT	Draft						
	03.07.2013 Example Oppo	EP Opposition procedure	0 0 0 EP(Oppo)	3 Draft						
Forms	03.07.2013 Beispiel OPPO	EP Opposition procedure	0 0 0 EP(Oppo) 1	0 Draft						
✓ IP Templates	03.07.2013 1200 address	Entry into the European phase (EPC 2000)	3 2 6 EP(1200E2K) (0 Draft						
🕞 Nano Enterprise	:									
Trash	Form PCT									
	ID:	20								
	Title:									
	Status:	Draft								
	Messages:	S 💧 🕄								
	Last saved:	Administrator, 05.08.2013								
	Applicant:	NANO ENTERPRISE LTD.								
	Attachments:	View								
	Internal Notes:									
Logged in as Administrator	Items selected: 1									

Figure 102: Folders visible to a user through group sharing

4.12 Fee management

The **Fee Management** option shows you which fees are valid in Online Filing at a given date. Fees are displayed from the effective date on the **Fees** tab of the EP forms when a new application is created.

Online Filing does not allow you to create your own fee tables or delete EPO fee tables. The and subtrons are therefore deactivated.

Viewing fee tables

In the File Manager menu, click **Tools > Fee Management**.

The fees are grouped on the left by type of fee and creation date.

Click a group to see the list.

The new fees that were added as supplementary options following the various fee reforms can be found at the end of the list. The codes for these fees have a lower-case **e** suffix. The forms may display both fee variants for selection, depending on the options selected for fee payment.

Fee Management			- • •
ile Edit View Help			
5			(?)
L 👷	Currency: EUR	Valid as of:	1 April 2019 15
	,	Amount ,	Neur emeunt
01/04/2004 (EUD)	Citing for online	41100111 120.00	120.00
01/04/2004 (EUR)	002 Eas for (supplementany) European search for applications	1 200.00	1 200.00
01/04/2005 (EUR)	filed on/after 01.07.2005	1,500.00	1,500.00
01/04/2006 (EUR)	003 Fee for an international search	0.00	0.00
13/12/2007 (EUR)	004 Fee for an international-type search	0.00	0.00
01/04/2008 (EUR)	005 Designation fee for each state designated (max 7x)	100.00	100.00
01/04/2000 (EUR)	006 Examination fee - For applications, filed on/after	1 635 00	1.635.00
01/04/2009 (EUR)	01.07.2005	1,000.00	1,000.00
01/04/2012 (EUR)	007 Fee for grant + printing not more than 35 pages	925.00	925.00
01/04/2012 (EUR)	008 Printing fee for the 36th and each subsequent name	15.00	15.00
01/04/2016 (EUR)	009 Fee for printing a new specification of the patent	75.00	75.00
01/07/2016 (EUP)	010 Opposition fee	785.00	785.00
01/03/2018 (EUR)	011 Appeal fee for an appeal filed by an entity other than those	2,255,00	2,255,00
01/03/2018 (EUR)	referred to in Rule 6(4) and (5) EPC	2,200.00	2,200.00
01/04/2010 (EUR)	012 Fee for further processing	0.00	0.00
BDEMAND Eeee	013 Fee for re-establishment of rights	640.00	640.00
IBSED Food	014 Conversion fee	75.00	75.00
DOFD-rees	015 Claims fee for 16th up to 50th claim	235.00	235.00
	016 Claims fee in accordance with R 71(6) - For the 16th to	235.00	235.00
	the 50th claim (after 01.04.2009) / Claims fee in accordance with R. 71(6) (before 01.04.2009)		
	A176 6 10 10 10 1	75.00	75.00
Fee Management			
ila Edit View Hale			
ile Edit view Heip			
+ 💥	Currency: EUR	✓ Valid a	as of: 1 April 2014
DE-Fees	Kind of Fee	Amount	New amount
EP-Fees	001 Filing fee online	120,00	120,0
01.04.2004(EUR)	002 Fee for (supplementary) European search for applications	s 1.285,00	1.285,0
01.04.2005(EUR)	filed on/after 01.07.2005		
01.07.2005(EUR)	003 Fee for an international search	0,00	0,0
01.04.2006(EUR)	004 Fee for an international-type search	0,00	0.0
13.12.2007(EUR)	005 Designation fee for each state designated (max. 7x)	100.00	100.0
01 04 2008(EUR)	006 Examination fee - For applications filed on/after	1,620.00	1 620 (
01.04.2009(EUR)	01.07.2005		
01.04.2009(LUR)	007 Fee for grant + printing not more than 35 pages	915.00	915 (
01.04.2010(EUR)	008 Printing fee for the 36th and each subsequent page	15.00	45 /
01.04.2012(EUR)	009 Fee for printing a new energification of the patent	75.00	75.0
01.04.2014(EUR)	010 Opposition for	75,00	75,0
FR-Fees		775,00	//5,0
 IB-Fees 	orn Appeal ree	1.860,00	1.860,0
UK-Fees	012 Fee for further processing	0,00	0,0

013 Fee for re-establishment of rights

015 Claims fee for 16th up to 50th claim

017 Fee for the awarding of costs

016 Claims fee in accordance with R. 71(6) - For the 16th to the 50th claim (after 01.04.2009) / Claims fee in accordance with R. 71(6) (before 01.04.2009)

014 Conversion fee

635,00

75,00

235,00

235,00

75,00

635,00

75,00

235,00

235,00

75,00

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Figure 103: Fee groups

Modifying fee amounts

The EPO always releases the latest revision of fees for manual download and for installation via Live Update (p. 417). This means that you normally are not supposed to change any of the fee information. If, however, you do need to change fees for operational reasons, you can edit the individual amounts in the fee table. Your Online Filing user account must have the necessary rights for this.

(i) Attention: Once you have saved your changes, you cannot automatically reload the original amounts in the fee tables. However, you can manually change the fees to bring them into line with the EPO's latest schedule of fees.

Select the fee you want on the right-hand side of the list.

Click the amount you want to change in the New amount column.

The field is opened for editing.

Enter the new amount as a whole number.

Click the Revert All button to discard changes.

5

Click the **Save All** button to apply the changes.

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Fee Management			
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	Currency: EUR	✓ Valid as	of: 1 April 2019
EP-Fees	Kind of Fee	Amount	New amount
01/04/2004 (EUR)	001 Filing fee online	120.00	120.00
01/04/2005 (EUR)	002 Fee for (supplementary) European search for applications	1,300.00	1.300.00
01/07/2005 (EUR)	filed on/after 01.07.2005	.,	.,
01/04/2006 (EUR)	003 Fee for an international search	0.00	0.00
13/12/2007 (EUR)	004 Fee for an international-type search	0.00	0.00
01/04/2008 (EUR)	005 Designation fee for each state designated (max. 7x)	100.00	100.00
01/04/2009 (EUR) 01/04/2010 (EUR)	006 Examination fee - For applications filed on/after 01.07.2005	1,635.00	1,635.00
01/04/2012 (EUR)	007 Fee for grant + printing not more than 35 pages	925.00	925.00
01/04/2014 (EUR)	008 Printing fee for the 36th and each subsequent page	15.00 16	
01/04/2016 (EUR)	009 Fee for printing a new specification of the patent	75.00	75.00
01/07/2016 (EUR)	010 Opposition fee	785.00	785.00
01/03/2018 (EUR)	011 Appeal fee for an appeal filed by an entity other than those referred to in Rule 6(4) and (5) EPC	2,255.00	2,255.00
01/04/2010 (EUR)	012 Fee for further processing	0.00	0.00
IRDEMAND Econ	013 Fee for re-establishment of rights	640.00	640.00
IDDEMAND-rees	014 Conversion fee	75.00	75.00
IDSFD-rees	015 Claims fee for 16th up to 50th claim	235.00	235.00
	016 Claims fee in accordance with R. 71(6) - For the 16th to the 50th claim (after 01.04.2009) / Claims fee in accordance with R. 71(6) (before 01.04.2009)	235.00	235.00
Fee Management			
e Edit View Help			
- ×	Currency: EUR	✓ Valid as	of: 1 April 2014
DE-Fees	Kind of Fee	Amount	New amount
EP-Fees		Anount	
01.04.2004(EUR)	001 Filing fee online	120,00	120,00
01.04.2005(EUR)	001 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005	120,00 1.285,00	120,00 1.285,00
01.04.2005(EUR) 01.07.2005(EUR)	001 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search	120,00 1.285,00 0.00	120,00 1.285,00 0.00
01.04.2005(EUR) 01.07.2005(EUR) 01.04.2006(EUR)	001 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search 004 Fee for an international-type search	120,00 1.285,00 0,00 0,00	120,00 1.285,00 0,00 0,00
01.04.2005(EUR) 01.07.2005(EUR) 01.04.2006(EUR) 13.12.2007(EUR)	001 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search 004 Fee for an international-type search 005 Designation fee for each state designated (max. 7x)	120,00 1.285,00 0,00 0,00 100,00	120,00 1.285,00 0,00 0,00 100,00
01.04.2005(EUR) 01.07.2005(EUR) 01.04.2006(EUR) 13.12.2007(EUR) 01.04.2008(EUR) 01.04.2008(EUR)	001 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search 004 Fee for an international-type search 005 Designation fee for each state designated (max. 7x) 006 Examination fee - For applications filed on/after 01.07.2005	120,00 1.285,00 0,00 0,00 100,00 1.620,00	120,00 1.285,00 0,00 0,00 100,00 1.620,00
01.04.2005(EUR) 01.07.2005(EUR) 01.04.2006(EUR) 13.12.2007(EUR) 01.04.2008(EUR) 01.04.2009(EUR) 01.04.2019(EUR)	001 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search 004 Fee for an international-type search 005 Designation fee for each state designated (max. 7x) 006 Examination fee - For applications filed on/after 01.07.2005 007 Fee for grant + printing not more than 35 pages	0,00 1.285,00 0,00 0,00 100,00 1.620,00	120,00 1.285,00 0,00 0,00 100,00 1.620,00 915,00
01.04.2005(EUR) 01.07.2005(EUR) 01.04.2006(EUR) 13.12.2007(EUR) 01.04.2008(EUR) 01.04.2009(EUR) 01.04.2010(EUR) 01.04.2012(EUR)	001 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search 004 Fee for an international-type search 005 Designation fee for each state designated (max. 7x) 006 Examination fee - For applications filed on/after 01.07.2005 007 Fee for grant + printing not more than 35 pages 008 Printing fee for the 36th and each subsequent page	120,00 1.285,00 0,00 0,00 100,00 1.620,00 915,00 15,00	120,00 1.285,00 0,00 0,00 100,00 1.620,00 915,00 2 Т
01.04.2005(EUR) 01.07.2005(EUR) 01.04.2006(EUR) 13.12.2007(EUR) 01.04.2008(EUR) 01.04.2009(EUR) 01.04.2010(EUR) 01.04.2012(EUR) 01.04.2014(EUR)	001 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search 004 Fee for an international-type search 005 Designation fee for each state designated (max. 7x) 006 Examination fee - For applications filed on/after 01.07.2005 007 Fee for grant + printing not more than 35 pages 008 Printing fee for the 36th and each subsequent page 009 Fee for printing a new specification of the patent	120,00 1.285,00 0,00 0,00 100,00 1.620,00 915,00 15,00 75,00	120,00 1.285,00 0,00 0,00 100,00 1.620,00 915,00 2 1 75,00
01.04.2005(EUR) 01.07.2005(EUR) 01.04.2006(EUR) 13.12.2007(EUR) 01.04.2008(EUR) 01.04.2009(EUR) 01.04.2010(EUR) 01.04.2012(EUR) 01.04.2014(EUR)	001 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search 004 Fee for an international-type search 005 Designation fee for each state designated (max. 7x) 006 Examination fee - For applications filed on/after 01.07.2005 007 Fee for grant + printing not more than 35 pages 008 Printing fee for the 36th and each subsequent page 009 Fee for printing a new specification of the patent 010 Opposition fee	120,00 1.285,00 0,00 0,00 100,00 1.620,00 915,00 15,00 75,00 775,00	120,00 1.285,00 0,00 100,00 1.620,00 2 1 75,00 775,00 775,00
01.04.2005(EUR) 01.07.2005(EUR) 01.04.2006(EUR) 13.12.2007(EUR) 01.04.2008(EUR) 01.04.2009(EUR) 01.04.2010(EUR) 01.04.2012(EUR) 01.04.2014(EUR) 01.04.2014(EUR) 1.6F.Fees	O01 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search 004 Fee for an international-type search 005 Designation fee for each state designated (max. 7x) 006 Examination fee - For applications filed on/after 01.07.2005 007 Fee for grant + printing not more than 35 pages 008 Printing fee for the 36th and each subsequent page 009 Fee for printing a new specification of the patent 010 Opposition fee 011 Appeal fee	120,00 1.285,00 0,00 0,00 100,00 1.620,00 915,00 15,00 775,00 775,00 1.860,00	120,00 1.285,00 0,00 0,00 100,00 1.620,00 2
01.04.2005(EUR) 01.07.2005(EUR) 01.04.2006(EUR) 13.12.2007(EUR) 01.04.2008(EUR) 01.04.2009(EUR) 01.04.2010(EUR) 01.04.2012(EUR) 01.04.2014(EUR) 1.04.2014(EUR) 01.04.2	O01 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search 004 Fee for an international-type search 005 Designation fee for each state designated (max. 7x) 006 Examination fee - For applications filed on/after 01.07.2005 007 Fee for grant + printing not more than 35 pages 008 Printing fee for the 36th and each subsequent page 009 Fee for printing a new specification of the patent 010 Opposition fee 011 Appeal fee 012 Fee for further processing	120,00 1.285,00 0,00 0,00 100,00 1.620,00 915,00 15,00 775,00 775,00 0,00 0,00	120,00 1.285,00 0,00 100,00 1.620,00 2
01.04.2005(EUR) 01.07.2005(EUR) 01.04.2006(EUR) 13.12.2007(EUR) 01.04.2008(EUR) 01.04.2009(EUR) 01.04.2010(EUR) 01.04.2010(EUR) 01.04.2012(EUR) 01.04.2014(EUR) FR-Fees IB-Fees VK-Fees	O01 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search 004 Fee for an international-type search 005 Designation fee for each state designated (max. 7x) 006 Examination fee - For applications filed on/after 01.07.2005 007 Fee for grant + printing not more than 35 pages 008 Printing fee for the 36th and each subsequent page 009 Fee for printing a new specification of the patent 010 Opposition fee 011 Appeal fee 012 Fee for further processing 013 Fee for re-stablishment of rights	120,00 1285,00 0,00 0,00 100,00 1.620,00 915,00 15,00 775,00 775,00 1.860,00 0,00 635,00	120,00 1.285,00 0,00 100,00 1.620,00 2] 755,00 775,00 1.860,00 0,00 635,00
01.04.2005(EUR) 01.07.2005(EUR) 01.04.2006(EUR) 13.12.2007(EUR) 01.04.2008(EUR) 01.04.2009(EUR) 01.04.2010(EUR) 01.04.2010(EUR) 01.04.2012(EUR) 01.04.2014(EUR) FR-Fees IB-Fees VK-Fees	O01 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search 004 Fee for an international-type search 005 Designation fee for each state designated (max. 7x) 006 Examination fee - For applications filed on/after 01.07.2005 007 Fee for grant + printing not more than 35 pages 008 Printing fee for the 36th and each subsequent page 009 Fee for printing a new specification of the patent 010 Opposition fee 011 Appeal fee 012 Fee for further processing 013 Fee for re-establishment of rights 014 Conversion fee	120,00 1285,00 0,00 0,00 100,00 1.620,00 915,00 15,00 775,00 775,00 1.860,00 0,000 635,00 75,00	120,00 1.285,00 0,00 100,00 1620,00 2] 2] 775,00 775,00 1.860,00 0,00 635,00 75,00
01.04.2005(EUR) 01.07.2005(EUR) 01.04.2006(EUR) 13.12.2007(EUR) 01.04.2008(EUR) 01.04.2009(EUR) 01.04.2010(EUR) 01.04.2010(EUR) 01.04.2012(EUR) 01.04.2014(EUR) * FR-Fees * IB-Fees * UK-Fees	O01 Filing fee online 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005 003 Fee for an international search 004 Fee for an international-type search 005 Designation fee for each state designated (max. 7x) 006 Examination fee - For applications filed on/after 01.07.2005 007 Fee for grant + printing not more than 35 pages 008 Printing fee for the 36th and each subsequent page 009 Fee for printing a new specification of the patent 010 Opposition fee 011 Appeal fee 013 Fee for further processing 013 Fee for re-establishment of rights 014 Conversion fee 015 Claims fee for 16th up to 50th claim	120,00 1285,00 0,00 0,00 100,00 1.620,00 915,00 15,00 775,00 775,00 1.860,00 0,00 635,00 75,00 235,00	120,00 120,00 1.285,00 0,00 100,00 1.620,00 2] 755,00 775,00 1.860,00 0,00 635,00 75,00 235,00

Figure 104: New fee amount entered

017 Fee for the awarding of costs

75,00 🗸

75,00

4.13 Maintenance table viewer

The maintenance tables allow you to view lists of standard data, e.g. filing offices and depositary institutions. Maintenance tables cannot be edited. The EPO makes changes available via Live Update.

In the File Manager menu, click **Tools > Maintenance Table Viewer**, and then select the option you require:

- **Common Maintenance** for a list of countries with country codes and regional divisions.
- EP Maintenance for filing offices and other data
- PCT Maintenance for receiving offices and other data.

Depending on the national plug-ins installed, additional options are displayed.

Select an entry on the left to display any associated data from the maintenance table on the right, for instance, select **Filing Offices**.

This table also contains the URLs (internet addresses) of the production server and demo server in the filing offices involved.

To retrieve information relevant at a date in the past or in the future, select a different date in the box in the top right corner.

Maintenance Table Viewer (Filing Offices)					x
File Edit View Help							
+ 🖽 💥							?
Common						View for 1 June 2012	15
Entities	Code:	Office:	Description:	Name of Filing	Production Se	Demo Server e phon	e 🔺
Australian States	EP1038	EP	Subsequently filed documents	European Patent Office (EPO)	https://secure2.	ehttps://secure2.e	
Canadian Provinces Japanese Prefectures Chinese Provinces Depositary Institutions Spanish Provinces	EP1200	EP	Entry into the European phase(EPO as designated or elected Office)	European Patent Office (EPO)	https://secure2.	ehttps://secure2.e	
Person Type Filing Offices	EP122K	EP	Entry into the regional phase at the FPO (FPC	European Patent Office (EPO)	https://secure2.	ehttps://secure2.e	Ŧ
Common Languages	Des	cription:					*
	Sub Nam Euro	sequent ne of Filin opean P	tly filed documents ng Office: atent Office (EPO)				
	Prod	Production Server url https://secure2.epoline.org/olf/receiver					
	Dem http:	io Serve s://secui	r url re2.epoline.org/olfd	emo/receiver			

Figure 105: Common Maintenance, Filing Offices Table

5. Processing applications

After a new draft has been created, more actions are required before the application can be submitted to the receiving office.

This section describes the submission workflow common to all standard procedures (EP and PCT) and explains some additional functions for data handling in Online Filing.

- The patent specification and all other accompanying documents are made available in an appropriate format for electronic filing; see Preparing documents for attachment (p. 86).
- The application is signed by one of the methods accepted by the receiving office. A digital signature, usually with a personal smart card and PIN, is always required in addition to alphabetical or facsimile signatures; see Signing applications (p. 88).
- The application is sent to the receiving office, either electronically or physically; see Sending applications (p. 102).
- Applications and templates can be exported from Online Filing for backup and archiving purposes; see Exporting data from Online Filing (p. 105).
- Going in the other direction, previously exported items can be imported back into Online Filing for use as a basis for new applications or for looking up information; see Importing data into Online Filing (p. 110).

5.1 Preparing documents for attachment

Depending on the selected procedure and the type of document requested, you can select from several file types when attaching electronic documents to a form.

File type	Document type	Procedure
PDF	All document types, default option	EP, PCT
XML (PatXML)	Patent specification; prepared with the PatXML Software,	EP(1001E2K),
	including referenced JPG or TIF images	PCT/RO/101
TIFF (TIF)	Facsimile signature	EP
JPEG (JPG)	Facsimile signature	EP, PCT
TIFF (TIF)	All document types	PCT
JPEG (JPG)	All document types	PCT
ТХТ	Sequence listing ST.25	EP, PCT
ZIP	Pre-conversion archive, sequence listing ST.25 or ST.26	EP, PCT
XML	Sequence listing ST.26	EP, PCT

Generating XML files

Various software products are available from national and international patent offices which allow users to generate XML files which meet their standards:

 PatXML (EPO) is based on Microsoft Word®. Users can prepare their documents in the familiar Word environment or import documents formatted using standard sections. The file type of the finished XML files is .pxml.

More information about PatXML can be found on the EPO website at **Applying for a patent > Online services > Online Filing > Download auxiliary software** (http://www.epo.org/applying/online-services/online-filing/auxiliary.html).

- PCT-SAFE Software (WIPO)
 For information about this product see the WIPO website at IP Services > PCT > PCT
 Electronic Filing
 (http://www.wipo.int/pct-safe/en/).
- WIPO Sequence (WIPO)

On 1 July 2022, WIPO Standard ST.26 will enter into force. For applications with a filing date on or after 1 July 2022, sequence listings should be filed in ST.26. To create sequence listings compliant with the new standard, you should use WIPO Sequence (https://www.wipo.int/standards/en/sequence/index.html)

Images which are part of the technical documents are referenced in the XML file to be attached and are automatically uploaded in the background. You will see these files later in Online Filing's PDF Viewer.

Generating PDF files

The PDF format is suitable for all documents containing text or images. For example, you can save additional descriptions and notes relating to your application to PDF files or scan original documents not available in electronic form and convert them into PDF files.

To generate PDF documents for use in Online Filing, it is recommended that you use the **Amyuni® PDF Converter** which is delivered free of charge with the Online Services starter kit CD-ROM. The **Amyuni® PDF Converter** has been customised to embed all fonts (even the copyrighted ones) and has been preset with the required paper size.

Besides Adobe Acrobat®, there are many other products on the market that generate PDF documents. You may use any software which produces compliant PDF documents in a format compatible with Adobe Portable Document Format version 1.4 (Acrobat version 5 or higher).

Compatibility requirements by the EPO and WIPO

The European Patent Office can only accept documents which are compliant with Annex F. A full version of Annex F can be found on the WIPO website at **IP Services > PCT > Legal Texts** (http://www.wipo.int/pct/en/texts/).

Rules for Annex F-compliant PDF files

- All fonts must be embedded and licensed for distribution (exception: Base 14 fonts are accepted even if they are not embedded).
- The text in the PDF file must not be compressed, to facilitate searching.
- The PDF file must not be encrypted.
- The PDF file must be version 1.1 (or later)
- The PDF file must not contain any embedded OLE objects.
- The paper size in the PDF file may exceed A4 or US letter format by up to 5%, so, sizes up to 312 mm by 227 mm or 12.28" by 8.94" are accepted. Online Filing issues a warning if the document's paper size is larger and will not attach the PDF file.
- A mixture of landscape and portrait formats is allowed in a file.

Rules for Annex F-compliant images

- **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.

Rules for DOCX documents

- DOCX (file type .docx)
 - Technical documents. Description, claims, abstract and drawings.
 - Where required, any translation of the description, claims, abstract and drawings.
 - Amendments, corrections and rectifications of the description, claims, abstract and drawings, and any translation thereof.
 - As a complete set, in a single DOCX file: description, claims and abstract with or without drawings.
 - Individually, in multiple DOCX files: description, claims, abstract or drawings.

Please refer to the EPO's website for more information about the file format DOCX (http://www.epo.org/applying/online-services/improving/docx-filing.html).

Creating ZIP archives for attachment as pre-conversion archive

You can create ZIP files by using archiving software such as WinZip or WinRAR. However, the easiest method is to use the **Send to** option in Windows Explorer:

Select the files or folders you wish to archive.

Right-click the selection and from the shortcut menu select **Send to > Compressed (zipped) folder**.

The selected files or folders are packed into a new ZIP file.

(1) The EPO does not recognise documents as legally binding if they are exclusively filed as part of a ZIP archive. To be accepted as legally binding filings, the official patent documents must always be attached as PDF or ST.26 files under the correct document type.

5.2 Signing applications

Once all the mandatory information is completed, the application can be signed by users with appropriate user rights in Online Filing.

Types of signature

The EPO accepts three legally recognised types of signature:

1. Alphabetical

The name of the signatory is entered in the electronic form via the computer keyboard; see Alphabetical signatures (p. 91).

2. Facsimile

An electronic file containing a scanned image of a handwritten signature is attached to the application; see Facsimile signatures (p. 93).

3. Enhanced digital signature with smart card

A personal smart card is inserted into the reader connected to the PC and the user's PIN code is entered; see Smart cards (p. 95).

An application can contain multiple alphabetical and/or facsimile signatures. It cannot be sent, however, until an enhanced digital signature has also been applied. No further signatures can be added once an enhanced digital signature is added as this finalises the signing process.

For more information on enhanced electronic signatures, please refer to Articles 7 and Article 8 of the "Decision of the President of the European Patent Office dated 26 February 2009 concerning the electronic filing of documents", published in the Official Journal EPO 3/2009, p. 182-187. (http://archive.epo.org/epo/pubs/oj009/03_09/03_1829.pdf)

Applying a signature

A signature may be applied by any smart card user in any of the three accepted formats when filing to the EPO.

A person applying an alphabetical or facsimile signature need not be party to or authorised in proceedings but the signature applied must be of a person authorised and recognised by the EPO to act in the proceedings in question. Any such signature will then need to be confirmed by an enhanced digital signature for non-repudiation before it is sent.

An enhanced digital signature using a smart card should only be applied for normal signing purposes by a smart card holder who is authorised to act in proceedings before the EPO, for the application being signed. The smart card signature of a smart card holder not authorised to act in the proceedings for which that signature is applied will not be accepted as valid.

Preparing for signature

If you want an application to be signed, you must first move it to **Ready to sign** status in the workflow process. There are two ways to do this while the application is still in **Draft** status:

In the open application, click **File > Save As > Ready to Sign**.

The form view closes, leaving the application in **Ready to sign** status in File Manager.

or

In File Manager, select the application and click the **Next** button (the tool-tip indicates "Ready to sign")

EPO	File Manager 1001-01 - 🗖									
File Edit View Workflow T	File Edit View Workflow Tools Help									
All Applications	All Applications Draft - FP(1001E2K) - 1001-01 10 items available									
All Applications	All	Draft	Ready to Sigr	Ready to Send	Sent	Last saved 💌		_	Q	
Default Folder									_	
E Forms	Lasts	aved⊽	Reference	Title		🚫 🛆 🛈	Туре	G	^	
Templates Trash	18/09/2	015 100	1-01 Rec (EP	uest for grant of a Europear C 2000)	n patent	0 1 2 EP(1	001E2K)	2		

Figure 106: Moving an application from "Draft" to "Ready to Sign" status

Starting the signing process in File Manager

If the status of the application is **Ready to sign**, the signing process is automatically started as the next stage in the workflow process as soon as you open the application or click the **Next** button.

Double-click the application.

or

Select the application and click the Next button (the tool-tip indicates "Sign").

EPO			File Ma	nager	1001-01					- 🗆	×
File Edit View Workflow To	ools Hel	р									
₽ 🗶 < ▶ 🖉 🖓 🙆) 🕐		
All Applications Sign ady to	All Applications Sign ady to Sign - EP(1001E2K) - 1001-01 1 item available										
All Applications	All	Draft	Ready to	Sign	Ready to Send	Sent	Last	savec	•		P
Default Folder											
E Forms	Last s	aved⊽	Reference		Title		0	Δ	١	Туре	Ġ
Templates	18/09/20	015 100	1-01	Reques 2000)	t for grant of a European (patent (EP	C O			EP(1001E2K)	2

Figure 107: Starting the signing process from File Manager

Starting the signing process directly from draft status in the form

You can skip the **Ready to sign** status by activating the option **Start signing immediately when moving application forward from draft status** under Confirmations (p. 56) in User Preferences. This means that the signing dialog will be opened immediately.

In the menu, click File > Save As > Ready to Sign and Sign.

or

Click the Next button (the tool-tip indicates "Move to Ready to Sign and Sign").

EPO					I	EPO Online Filing -	EP(1001E2K)	- 1001-01		-		×
File	e Edit	View	Tools	Windows	Help							
E		Ø	₽	P								?
EP	EP(100 ⁴⁵ or) Dwoft 1001 01 Last saved on 18/09/2015											9/2015
F	equest	t Na	ames	States 🛆	Priority	Biological Material	Documents	Fee Payment	Annotations			

Figure 108: Tool-tip "Move to Ready to Sign and Sign"

Form PCT/RO/101 provides different functions; see Processing the PCT/RO/101 application (p. 339) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.
Signing

The **PDF Viewer** opens with a preview of the application. It is recommended that you use this opportunity to check all documents for accuracy before the application is signed.

To proceed, click Sign Now on the lower right of the PDF Viewer.

To stop the signing process, click **Cancel**.

This returns the application to the **Ready to sign** status in File Manager.

ENO.	PDF Viewer	_ 🗆 🗙
application-body.xml (water_evaporator.pxml application-body.pdf (application-body.pdf) ep-request.pdf (ep-request.pdf) ep-request.pdf	Request for grant of a	European patent
(ep-request.xml)	For official use only	
f1002-1.pdf (f1002-1.pdf)	1 Application number: MKEY	
imgf0001.tif	2 Date of receipt (Rule 35(2) EPC): DREC	
(imgf0001.tif) package-data.xml	3 Date of receipt at EPO (Rule 35(4) EPC): RENA	
(package-data.xml)	4 Date of filing:	
(pkgheader.xml)	Grant of European patent, and examination of the application under Article 94, are hereby requested.	
	i.1 The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2))	
	Procedural language:	en
	Description and/or claims filed in:	en
	i Applicant's or representative's reference	1001-01
	Applicant 1	
	L1 Name:	Nano Enterprise Ltd.
	Department	Nanotechnology
	L1 Address:	P.O. Box 5623 123 City Street
		London Greater London W1A 2BC
		United Kingdom 🗸
		Sign Now Cancel

Figure 109: PDF Viewer with "Sign Now" button

5.2.1 Alphabetical signatures

In the example below, the proprietor of the patent files a submission in opposition proceedings. The proprietor is represented by a patent attorney, whose secretary is going to send the application to the EPO.

The attorney applies their alphabetical signature.

Select the representative's name as signatory in the Sign Application window.

Under Type of signature, select Alphabetical.

In the Signature field, enter the name of the person enclosed in slashes, e.g. /David Kilburn/.

Enter the **Place of signing** (optional).

Click Sign.

Type of signature: C Smart Card C Soft Certificate C Alphabetical C Facsimile Text signature details: The signature has to be enclosed in slashes (example: /John Smith/)
Signature: //David Kilburn/ Place of Signing: London

Figure 110: Applying alphabetical signature for the representative

A warning appears if you accidentally remove or forget to enter the slashes in the Signature field.

Click OK.

The missing slashes are automatically inserted by the software.

Warning		
Signature text missing - please type your signature in (e.g. /J. Smith/).		
QK		

Figure 111: Note on alphabetical signature

Other actions

Add more signatures if required.

To remove a signature, select the corresponding name and click **Remove**.

To save the current selection for the type of signature, select the check box **Save settings as default**.

This changes the Signing preferences (p. 56) in the User Preferences.

Click **Close** when ready.

Select an entry from the list, choose I Proprietors Peter Burton <other> Representatives David Kilburn √ [/David Kilburn/ (Alphe <other></other></other>	Sign Application the type of signature and enter the corresponding details. Sign for representative David Kilburn: Representative Name:
	Type of signature: C Smart Card C Soft Certificate C Alphabetical C Facsimile Text signature details: The signature has to be enclosed in slashes (example: /John Smith/)
Save settings as default (Can be	Signature: /David Kilburn/ Place of Signing: London Remove Changed in preferences

Figure 112: Other options in the Sign Application window

The following message box appears while Online Filing is processing the text signature.



Figure 113: Message box that appears when a signature is being created

The **Sign Application** window closes automatically when the process finishes.

The status of the application remains in **Ready to sign** in File Manager because the sending process cannot be initiated without an electronic signature.

5.2.2 Facsimile signatures

In this example, the applicant is a legal body and represented by an employee under Article 133(3) EPC. The facsimile signature of the employee is attached to the application.

Prepare the signature as an image file by scanning a sheet of paper with the handwritten text or using a pen tool to write the signature in a suitable graphics suite.

- You can use files in either TIFF (*.TIF) or JPEG (*.JPG) format. The default is TIFF.
- The file name must not contain any spaces or special characters.
- The signature file must be Annex F-compliant (see "Preparing documents for attachment" p. 86).

In the Sign Application window select the relevant Applicant (if not already selected).

- The **Employee name (Art. 133 EPC)** field is automatically populated with the name entered in the **Names** tab and cannot be edited.
- The Function of person signing field remains empty and is disabled.

Under Type of signature, select Facsimile.

Enter the **Signatory Name**.

To attach the image file with the signature, click **Choose File**, navigate to the file's storage location and click **Open** to select it.

The button's label changes to **Remove**.

Enter the Place of signing (optional).

Click Sign.

Click **Close** when ready.

	Sign Application	×
Select an entry from the list, choose	the type of signature and ente	r the corresponding details.
Applicants Micro York	Sign for applicant Micr	o York:
<other> Representatives</other>	Applicant Name:	Micro York
<other></other>	Employee name (Art. 133 EPC):	Jeremy Baker
	Function of person signing:	
	Type of signature:	
	C Smart Card	
	C Soft Certificate	
	C Alphabetical	
	· Facsimie	
	Facsimile signature details:	
	Signatory Name:	Jeremy Baker
	Ī	Bemove
	Ŀ	
		Signatoriesta
	Place of Signing:	York
	, nabo or orgining.	0: N
		Sign
☐ Save settings as default (Can be	changed in preferences)	Close

Figure 114: Facsimile signature for the applicant's employee attached in JPG format

The following message box appears while Online Filing is processing the facsimile signature.



Figure 115: Message box that appears when a signature is being created

The **Sign Application** window closes automatically when the process finishes.

The status of the application remains in **Ready to sign** in File Manager because the sending process cannot be initiated without an enhanced electronic signature.

5.2.3 Smart cards

The European Patent Office provides registered users of Online Services with smart cards for digital signing. Smart cards are a very secure method for encrypting signatures.

Smart cards can be ordered free of charge from the EPO. Alternatively, you can register existing smart cards with the EPO for filing. For more information, go to the EPO website at **Applying for a patent > Online services > Security > Smart cards** (http://www.epo.org/applying/online-services/security/smart-cards.html).

The smart card is produced by a certification agency. It includes two certificates, a PKCS#7 certificate and a PKCS#11 certificate. Both contain a public and a private RSA key for the user. The private key is only visible if a user logs on to the smart card administration tool (Cryptovision) with the smart card PIN.



Figure 116: Inserting smart card into card reader

Security information

When an attorney leaves a company, the company should inform Customer Services and have the attorney's card revoked. It should also tell the EPO the identity of the attorney taking over the relevant files. The files are then detached from the previous representative and attached to the new one. After this has been done the previous attorney will no longer be able to see the files as "his" assets.

(i) Smart cards may not be shared. Each and every person in a company who has the right to access Online Filing should apply for a personal smart card. These should not be given to any other employee. The personal smart card allows the holder to use all EPO Online Services for which he is authorised by his enrolment.

Signing with the smart card as an applicant or representative

A smart card signature is legally binding. You cannot add any more signatures after you sign an application with the smart card.

In this example, you, the representative, are a natural person and you sign the application yourself.

Select the representative in the Sign Application window.

Under Type of signature, select Smart Card.

Insert your personal smart card into the reader connected to your PC; see Checking the smart card (p. 98).

Enter your PIN code.

Enter the **Place of signing** (optional).

Click Sign.

	Sign Application	×
Select an entry from the list, choose t	he type of signature and er	nter the corresponding details.
Applicants Nano Enterprise Ltd	Sign for representati	ve Christina Portland:
<other> Representatives</other>	Representative Name:	Christina Portland
Christina Portland <other></other>		
	Type of signature:	
	Smart Card	
	C Soft Certificate	
	C Alphabetical	
	C Facsimile	
	Smart card details:	
	·	Enter PIN Code:
	Place of Signing:	Oxford
		Sign
☐ Save settings as default (Can be	changed in preferences)	Close

Figure 117: Representative signing with her personal smart card and PIN code

Signing with the smart card as a legal applicant

The legal owner or director of a company may sign an application with a personal smart card, if there is no authorised employee or representative. The function of the person signing can be optionally specified in the signing dialog. However, the name of the smart card holder will always appear on the PDF form to identify the signatory to the EPO.

In the example below, you, the director of a company, enter a function and sign as the applicant.

In the Sign Application window, select the role on the left.

The Employee name (Art. 133 EPC) field remains empty and is disabled.

Enter the Function of person signing, e.g. Director (optional).

Under Type of signature, select Smart Card.

Enter the **PIN code**.

Enter the **Place of signing** (optional).

Click Sign.

	Sign Application	×
Select an entry from the list, choose	the type of signature and e	nter the corresponding details.
Applicants Nano Enterprise Ltd.	Sign for applicant Na	ano Enterprise Ltd.:
<other> Representatives</other>	Applicant Name:	Nano Enterprise Ltd.
<other></other>	Employee name (Art. 133 EPC):	3
	Function of person signing	ng: Director
	Type of signature:	
	Smart Card	
	C Soft Certificate	
	 Alphabetical 	
	C Facsimile	
	Smart card details:	
		Enter PIN Code:
	Place of Signing:	London
		Sign
Save settings as default (Can be	changed in preferences)	Close

Figure 118: The director of a company signs as a legal applicant

Signing with the smart card as an employee under Article 133 EPC

Only an employee who is authorised to represent the applicant under Article 133 EPC is allowed to sign an application for the applicant. That employee's name is indicated in the **Names** tab of form EP(1001E2K), Euro-PCT(1200E2K) or EP(Oppo); see the corresponding sections in this user guide.

For more legal information visit the EPO website to read the full text of **Article 133 EPC** (http://www.epo.org/law-practice/legal-texts/html/epc/2010/e/ar133.html).

The example below shows you, an employee authorised under Article 133 EPC, signing for the opponent, legal person.

Select the applicant on the left.

The **Applicant Name** and **Employee Name (Art. 133 EPC)** fields are automatically populated and locked for editing.

The Function of person signing field remains empty and is disabled.

Under Type of signature, select Smart Card.

Enter the **PIN code**.

Enter the **Place of signing** (optional).

Click Sign.

	Sign Application	×	
Select an entry from the list, choose	the type of signature and en	ter the corresponding details.	
Opponents Parker & Partners	Sign for applicant Parker & Partners:		
<other> Representatives</other>	Applicant Name:	Parker & Partners	
<other></other>	Employee name (Art. 133 EPC):	Linda Morgan	
	Function of person signing	J	
	Type of signature:		
	 Smart Card Soft Certificate 		
	C Alphabetical		
	C Facsimile		
		Enter PIN Code:	
	Place of Signing:	Dover	
		Sign	
, Save settings as default (Can be	changed in preferences)	Close	

Figure 119: Employee signing for applicant/opponent under Article 133

The message box "The electronic signature is being applied ..." appears while Online Filing is

processing the digital signature.

The **Sign Application** window closes automatically when the process finishes. The status of the application changes to **Ready to send** in File Manager.

5.2.4 Checking the smart card

The **Smart Card Checker** tool is automatically installed together with File Manager, i.e. the Online Filing client.

Smart Card Checker makes work easier for users signing with different types of smart card issued by different national patent offices. Smart Card Checker automatically checks the type and manufacturer of the smart card as soon as it is inserted in the reader, automatically finds the correct smart card driver software on the computer and checks the registered certificates.

Smart Card Checker starts at the same time as File Manager. When active, the Smart Card Checker icon is displayed on the Windows toolbar. The icon for the smart card reader shows a small certificate when the user data has been successfully read from the smart card.



Figure 120: Programme icons in the Windows system tray

Make sure that the smart card reader is connected to your computer and working properly.

Insert your smart card into the reader.

The green LED stops flashing and lights continuously when the smart card is operational.

Right-click the system tray icon and select Check Smartcard.

	Check Smartcard	
	Shutdown	45
DE 💐	🔍 to 🛱 🖬 🕪	13:00 25.11.2009

Figure 121: Check smart card

The smart card is checked. Smart Card Checker displays the message "Smart Card recognized".



Figure 122: Smart card recognized

If no smart card reader is connected to your computer, if the smart card is not properly inserted or if it is invalid, Smart Card Checker will tell you that the smart card has not been recognized.

The green LED on the reader flashes if the smart card was not inserted correctly or cannot be read. The reader's icon also shows that there is no smart card in the reader, indicating that certificates could not be read.



Figure 123: Smart card not recognized

5.2.5 Soft certificates

(i) The EPO does not currently accept soft certificates as an electronic signature for filings to the EPO server. Other offices may, however, accept them for online filing. See the website of the office concerned for details.

Signature with a soft certificate

In this example, a PCT/RO/101 application to the International Bureau as the receiving office is digitally signed with a soft certificate issued by WIPO.

Select the signatory in the list.

Under Type of signature, select Soft Certificate.

Click Choose File.

Online Filing accepts PKCS#12 certificates as files of type .p12 or .pfx.

Select the soft certificate file and click Open.



Figure 124: Selecting the soft certificate for digital signing

The button label changes to **Remove**.

Enter the **PIN code**.

Enter the Place of signing (optional).

Click Sign.

	Sign Application	×
Select an entry from the list, choose I	the type of signature and er	ter the corresponding details.
Applicants KENNECOTT, James	Sign for applicant KE	NNECOTT, James:
	Applicant Name:	KENNECOTT, James
	ePCT Customer ID:	
	ePCT eOwnership code:	
	Type of signature:	
	C Smart Card	
	C Alphabetical	
	C Facsimile	
	Soft certificate details:	
	Remove	(PKCS12 certificate)
		Enter PIN Code:
		Contribut
	Place of Signing:	Cambridge
		Sign
🔲 Save settings as default (Can be	changed in preferences)	Close

Figure 125: Applicant signing with soft certificate and PIN code

The following message box appears while Online Filing is processing the digital signature.



Figure 126: Message window that appears when the electronic signature is being created with a soft certificate

The **Sign Application** window closes automatically when the process finishes and the status of the application changes to **Ready to send** in File Manager.

5.2.6 Non-repudiation signature

An application without an enhanced digital signature, i.e. which has been signed with an alphabetical or facsimile signature but not with a smart card, must be manually changed to **Ready to send** status in File Manager.

Before the application can be sent, a **signature for non-repudiation** is required. Applying a non-repudiation signature not only validates the sender but also time-stamps the transaction, so it cannot be claimed subsequently that the transaction was not authorised or was not valid. A non-repudiation signature can only be applied with a valid smart card.

Select the application in **Ready to sign** status.

Click the Next button ("Ready to send" is displayed as the tool-tip).

The application switches to **Ready to send** status.

Click the **Next** button ("Send" is displayed as the tool-tip).

EPO	File	Manager 1200-01		- 🗆 🗙
File Edit View Workflow To	ools Help			
	e			۲
All Applications Send ady to) Send - EP(1200E2K) - 1	1200-01		2 items available
All Applications	All Draft Ready	y to Sign Ready to Send	Sent Last saved 💌	Q
	Last sav Reference	Title	💊 🛕 🕄 Type	🖉 Retry
Templates	18/09/2015 1200-01	Entry into the European phase (EPC 2000)	0 1 4 EP(1200E2	K) 1 0
Trash	18/09/2015 1001-01	Request for grant of a European pat (EPC 2000)	ent 0 1 2 EP(1001E2	K) 2 0

Figure 127: Moving the application to "Send" in the workflow requires the signature for non-repudiation

The window Please sign for non-repudiation opens.

Select the type of signature you want: Smart Card or Soft Certificate.

The default setting is **Smart Card**.

Enter the **PIN code** of your smart card.

Click Sign.

Sign Application ×		
Please sign for non-repudiation Type of signature:		
 Smart Card Soft Certificate Smart card details: 		
Enter PIN C	ode: XXXXXX	
Sign	Cancel	

Figure 128: Signing for non-repudiation

The application is signed for non-repudiation and the sending dialog appears.

5.3 Sending applications

Once you have added a digital signature to your application it is ready to be sent to the EPO. It has moved from **Ready to sign** to **Ready to send** status.

In File Manager, click the **Ready to send** status button.

Select the application you wish to send.

Click the Next workflow button ("Send" is displayed as the tool-tip).

The next dialog allows you to verify the selected method of sending.

Modify the filing option or signing option, if required.

Ensure that the transmission is going to the location you intend (demo server or production server).

Click Continue Sending.

Online Filing				×		
Warning						
Send to :	Online	O Phy	sical Media			
	Smart Card	C Soft	Certificate			
Your online application is about to be sent to demo server https://secure2.epoline.org/ol/demo/receiver for demo/test/practice purposes. There should be no sensitive data in this application. If you are not sure, stop sending now. ✓ Would you like this message to appear in the future						
	Continue Sending Stop Sending					

Figure 129: Sending application to demo server

In the Please enter PIN window, enter your PIN and then click OK.



Figure 130: Entering PIN

The application is now sent to the EPO.

A progress indicator lets you know what stage the transmission is at.

Progress	
Sending Data	
	42%
	Cancel

Figure 131: Progress indicator while sending application

5.3.1 Viewing receipts

When the transmission is finished, a message appears notifying you that filing has been completed and asking if you want to view the receipt.

Click **Yes** to see the PDF version of the receipt.

Warning
Your Application filing has been completed. Do you want to view your Receipt now?
<u>Y</u> es <u>Cancel</u>

Figure 132: Message with option to view receipt

The acknowledgement of receipt opens in the **PDF Viewer**. The acknowledgement contains the EPO application number and is stamped with the exact data and time of receipt.

You can print the receipt by clicking the **Print file** icon in the PDF Viewer, or you can save a copy to your PC using the **Save file** icon.

Click Close to quit the PDF Viewer.

Any time you want to view a receipt again, select the application in File Manager and click **View** ... in the **info pane**.

or

In the menu, click View > List of attached documents.

PDF Viewer					- 0 ×
epf1038.pdf (epf1038.pdf)	8	🗎 🄬 - 🚳 🕒	🕆 🔶 🔟 / 1 🛛 🕙 🖲) 🖲 66,7% 🗸 🔛	
ep-std-request.xml (ep-std-request.xml) package-data.xml (package-data.xml) pkgheader.xml (pkgheader.xml) receipt.pdf (receipt.pdf) xmit-receipt.xml (xmit-receipt.xml)		SAMPLE-REC Acknowledgement	CEIPT of receipt t of the following subsequently filed document(s	¢.	<u> </u>
I		Submission number	227933]	_
		Application number	EP11012345.2		
		Date of receipt	31 May 2012		
		Receiving Office	European Patent Office, The Hague		
		Your reference	Sample 1038	-	
		Applicant	All applicants as on file		•
					Close

Figure 133: Viewing the acknowledgement of receipt after filing

5.3.2 Batch sending

Online Filing enables you to send more than one application at the same time.

In File Manager, click the **Ready to send** status button.

Select the first application you want to send with a click and all other individual applications with **CTRL**+click.

or

Select the first application and then press **SHIFT**+click the last one to select all of them.

Click the **Next** workflow button ("Send" is displayed as the tool-tip).

File Manager Sample 1038									x
File Edit View Workflow To	ools Help								
7	@							Ô	?
Default Folder Send	Send - EP(1038E) - S	ample 1038	}					3 items availa	able
All Applications	All Draft Re	ady to Sign	Ready to Se	nd	Sent	Last sav	red 💌		۵
Default Folder					* 1 -				_
ML Import	Last s⊽ Reference		Title	0	<u> (</u>) Type	4	Retry	
E Forms	31.05.2012 1001-1	Hequest for gran patent (EPC 200	nt of a European 301			EP(1001E2	KJ 1		
Templates	21.05.2012 Sample 1001.1	Request for any	ot of a European		0 3	EP(1001E2)	0.1		_
Trash	51.05.2012 Sample 1001	patent (EPC 200	10) 10)						
	31.05.2012 Sample 1038	Subsequently fil	ed documents	0	0 1	EP(1038E)	0	0	
	·								-1
	Form EP(1038E))							
	ID:	89							
	Title:								
	Status:	Ready to se	end						
	Messages:	SO 🛆	0 📵 1						
	Last saved:	Administrate	or, 31.05.2012						
	Applicant:								
	Attachments:	0 Viev	N						
	Internal Notes:								
Logged in as Administrator	Items selected: 3								_

Figure 134: Applications with "Ready to send" status selected for batch sending

The batch sending process and the process for sending single applications are basically identical save for the following modifications:

- The warning window and the window for PIN entry only appear once.
- The window to sign for non-repudiation appears if one of the applications has not yet been digitally signed.
- As each application is being sent, a progress indicator lets you know what stage the transmission is at.
- The window prompting you to view the acknowledgement of receipt does not appear.

5.4 Exporting data from Online Filing

Online Filing provides different functions for exporting data from File Manager, from the form and from Server Manager. Exporting can also be used to reduce database size by archiving and removing applications that are no longer needed for your current work.

Exporting from File Manager

The export functions in File Manager allow the export of both multiple applications/templates and individual items. Three options are available:

- Export Forms select one or multiple items (EP forms, templates and PCT/RO/101 forms) in the Forms Export dialog; see Exporting items (p. 106).
- **Export XML to File(s)** select one or multiple items (only EP forms) in one of the File Manager's folders. Each item is exported as a ZIP file; see Exporting data as XML to ZIP file (p. 109).
- Export XML to Folder(s) select one or multiple items (only EP forms) in one of the File Manager's folders. Each item is exported to a new folder; see Exporting data as XML to folder (p. 109).

Exporting from the form view

You can export the last saved status of an application (or a template) that is currently open in the form view. Exporting from the form is only possible while an application is still in **Draft** status.

- For EP forms, two options are available:
 - **Export** creates a ZIP file.
 - **Export XML to folder** exports the data into an existing folder in your file system.
- For PCT/RO/101 forms, please refer to Exporting and importing a form (p. 343) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

Exporting from Server Manager

The **Export** function in Server Manager offers extended filtering and sorting options for preparing the range of applications to be exported; see Exporting items (p. 409) in the Server Manager section. Note that the **Export** function of Server Manager is not available for data created in the File Manager's demo mode.

Archiving database content

Keeping a large number of applications in the Online Filing database may eventually affect the system performance. It is therefore recommended to clear out the folders occasionally by archiving your application data to other storage locations on your computer system.

Selecting the option **Delete items from database after archiving** in the **Forms Export** dialog removes all selected applications from Online Filing after backup copies are made; see Deleting items from the database after archiving (p. 108).

5.4.1 Exporting items

If you want to export any sent applications, templates, or previously prepared EP and/or PCT forms at the same time, the recommended procedure is described below.

In the File Manager menu, click **File > Export > Forms**.

All available applications are shown by default.

Select the check boxes of the items you wish to export.

Click OK.

Forms Export									x
Delete items from database after	ving								
All Applications	Last⊽ F	Reference	Title	0	▲ () Type	Ŷ	Status	^
Templates	21.10.2011 te	est PCT 2	PCT/RO/101 request			PCT		Ready to send	
🔚 Drafts	21.10.2011 1	038non-pul	Subsequently filed documents	0	0	0 EP(1038E)	1	Ready to send	
🔚 Ready to sign	21.10.2011 T	est Oppo	EP Opposition procedure	0		0 EP(Oppo)		Ready to send	
Ready to send	20.10.2011 S 11	ample 001	Request for grant of a European patent (EPC 2000)	3	9	9 EP(1001E2	2K O	Draft	
	20.10.2011 te	est PCT 4	PCT/RO/101 request			PCT		Draft	
	20.10.2011 te	est PCT	PCT/RO/101 request			PCT		Draft	
	20.10.2011 1	001 test 2	Request for grant of a European patent (EPC 2000)			EP(1001E2	2K	Template	
	20.10.2011 1	001 test	Request for grant of a European patent (EPC 2000)			EP(1001E2	2K	Template	
	20.10.2011 T	est 1001	Request for grant of a European patent (EPC 2000)	0	1	3 EP(1001E2	2K 1	Ready to sign	
	19.10.2011 T	est 1038	Subsequently filed documents	0	0	0 EP(1038E)	1	Ready to sign	
	19.10.2011 S 0	iample Ippo	EP Opposition procedure	0	0	0 EP(Oppo)	2	Ready to sign	
	18.10.2011 T	est 1200	Entry into the European phase (EPC 2000)	7	2 1	1 EP(1200E2	2K O	Draft	
	18.10.2011 S 12	ample 200	Entry into the European phase (EPC 2000)	7	1	8 EP(1200E2	2K O	Draft	
	18.10.2011 T	est PCT	PCT/RO/101 request			PCT		Draft	-
							ОК	Cancel	

Figure 135: Selecting individual applications for export

Online Filing navigates to the working directory specified for export in User Preferences.

Navigate to the destination folder you require.

Each time you export an application, the **Export** function creates a new ZIP file and names it according to the application's user reference. If a ZIP file of the same name already exists in the export folder, e.g. **sample_oppo.zip**, the following ZIP files will be named **sample_oppo_001.zip**, **sample_oppo_002.zip** and so on. The same applies if two or more applications have the same user reference.

Click **OK** to confirm the file location.

Export Form ZIPs to folder	x
Export Form ZIPs to folder	
Docs Test	^
4 퉲 Export	
2006	
2007	
Þ 퉲 2008	E
2009	
2010	
2011	
ABC Erfindungen	
Make New Folder OK Car	ncel

Figure 136: Select location for export

In the Export complete message, click OK.

View the ZIP files in the selected export folder.

An exported ZIP file contains a number of PDF files and XML files that have been created internally by Online Filing. In this example, the ZIP file also contains DAT files that have been generated by the packing and signing process.

😋 🔾 🗢 🚹 « DATA (E:) 🕨 EPO)_data	▶ Export ▶ 2011 ▶ Test_Op	opo.zip 👻 🍫 Sea	rch Test_Oppo.zip	Q
Organize 🔻 Extract all files					- 1 0
Dients	*	Name	Туре	Compressed size	Date modified
 Docs Test Export 2006 		🔁 ep-oppo.pdf 📄 ep-opposition-data.xml	Adobe Acrobat Document XML Document	80 KB 2 KB	21.10.2011 10:57 21.10.2011 10:42
2000		header.dat	DAT File Adobe Acrobat Document	2 KB 13 KB	21.10.2011 10:57 21.10.2011 10:42
2009 2010	=	OTHER-1.pdf package-data.xml	Adobe Acrobat Document XML Document	10 KB 1 KB	21.10.2011 10:41 21.10.2011 10:57
⊿ Ъ 2011 []₁ 1038non_public.zip		wasp.dat	DAT File	106 KB	21.10.2011 10:42
Test_Oppo.zip					
🌽 ABC Erfindungen Þ 🍶 Nano Enterprise					
鷆 Solar France	+ +				•

Figure 137: Exported ZIP file contents

5.4.2 Deleting items from the database after archiving

In order to free up database space, it is recommended to archive submitted applications on a regular basis.

In this example, all **Sent** applications are marked for archiving. They will be removed from the Online Filing database.

Select the Sent folder on the left.

Click the green check label in the list heading to select all forms.

✓

Select the check box Delete items from database after archiving.

Click **OK** and then proceed as described in Exporting items (p. 106).

Forms Export				
Delete items from database after a	irchiving			
All Applications	✓ Last s⊽	Reference Title	💊 🛕 🚯 🏾 Type 🖉	Status
 Templates Drafts 	₽ ^{21.10.2011} 1	001 Test Request for grant of a Europ patent (EPC 2000)	ean 0 0 1 EP(1001E2K 5	i Sent
🔚 Ready to sign	21.10.2011 1	038 Test Subsequently filed documen	ts 0 0 0 EP(1038E) 0	Sent
🔚 Ready to send	🗹 13.10.2011 S	ample PCT_PCT/RO/101 request	PCT	Sent
🛅 Sent				

Figure 138: Select all applications with Sent status for export and deletion from the database

The data can always be imported back into Online Filing via the **Import** functions of File Manager or Server Manager.

After deleting applications from the database, it is advisable to use the **Empty Database** function in Server Manager to clean the database and physically free up the additional space; see Creating a new empty database (p. 408).

5.4.3 Exporting data as XML to ZIP file

Individual applications can be exported as XML files packed into a compressed ZIP file. This operation can be carried out from File Manager or directly from an opened form.

When in File Manager, select the application and, in the menu, click **File > Export > XML to File(s)**.

or

When in the form, click **File > Export**.

Online Filing navigates to the working directory specified for export in User Preferences.

Edit the File name as required.

- If you are exporting from File Manager, the application's user reference is already entered by default.
- If you are exporting from the form view, the **File name** field will be empty.

Click **Save** to start exporting.

The ZIP file is saved on your computer.

If the destination folder already contains a ZIP file with the same name, a warning message will be displayed asking you if you want to replace the existing file.



Figure 139: Enter file name for exporting XML to ZIP

5.4.4 Exporting data as XML to folder

Individual applications in Online Filing can be exported as XML files to an external folder. This operation can be carried out from either the main File Manager interface or directly from the form view.

When in File Manager, select the application(s) and, in the menu, click **File > Export > XML to** folder(s).

or

When in the form, click File > Export XML to folder.

Online Filing navigates to the working directory specified for export in User Preferences.

Specify the target folder for export.

 If exporting from File Manager, the new folder will be created automatically with the same name as the application's user reference. If exporting from the form view, click Make New Folder and enter a name for this folder. If you
do not do this, the exported files will be stored in the specified destination but will not have a
separate sub-folder for unique identification.

Click **OK** to start exporting.

If the destination folder already contains folders or files with the same names, a warning message will be displayed asking you whether existing files should be overwritten.

Export XML to folder	—
Export XML to folder	
DVD RW Drive (F:)	*
4 🧰 DATA (G:)	
⊳ 퉲 _EPO	
a 🍌 EPO_data	
🛛 🐌 📕 Backup	
Delients	=
Export	
🌗 Import	
Diffice	
	Ŧ
Make New Folder OK	Cancel

Figure 140: Export application as XML to folder

In the Export complete message, click OK.

The new folder now contains XML and PDF files created by Online Filing.

							x
🚱 🕞 🔻 📔 🕨 Computer 🕨 DATA	(E:)	► EPO_data ► Clients ► 1001_1	▼ 4 j	Search 1001_1			م
Organize 🔻 Include in library 🔻		Share with 🔻 🛛 Burn 🔹 New fol	der		•		0
DB	*	Name	Date modified	Туре	Size		
EPO_data		application-body.xml	31.05.2012 19:13	XML Document		1 KB	
Backup		🔁 ep-request.pdf	31.05.2012 19:13	Adobe Acrobat D	1	125 KB	
A Dients		🔮 ep-request.xml	31.05.2012 19:13	XML Document		14 KB	
1001 1	E	📩 f1002-1.pdf	31.05.2012 19:13	Adobe Acrobat D		39 KB	
ABC Erfindungen		internal.xml	31.05.2012 19:13	XML Document		4 KB	
Arreniere Universel		📄 package-data.xml	31.05.2012 19:13	XML Document		2 KB	
B American Universal		📄 pkgheader.xml	31.05.2012 19:13	XML Document		1 KB	
Bellecoeur		🔁 SPECEPO-1.pdf	31.05.2012 19:13	Adobe Acrobat D		18 KB	
Biolech							
Innovation							
🛛 🖉 Manzoni							
Nano Enterprise	Ŧ						

Figure 141: Exported folder containing XML and PDF files

5.5 Importing data into Online Filing

Previously exported applications can be imported back into Online Filing in File Manager or Server Manager and through the form.

Importing applications generally resets their status to **Draft**. This means that Online Filing also removes all signatures or acknowledgements of receipt from re-imported applications which had **Ready to send** or **Sent** status before they were exported. Only when re-imported via Server Manager do sent applications retain their **Sent** status.

Importing via File Manager

The **Import** function in File Manager allows you to import one application at a time. Importing creates a new draft and immediately opens the form for editing.

Importing in the form view

You can create a new blank draft form and then import an application which is based on the same procedure. Note that importing into an opened form will delete any previously entered data.

This import function is not available for the PCT/RO/101 form.

Importing via Server Manager

The most convenient way to import multiple applications at once is to use the **Import** function in Server Manager. For more details, see Importing items (p. 411) in the Server Manager section.

The **Import** function of Server Manager is not available for data created in the File Manager demo mode.

5.5.1 Importing data as XML from ZIP file

When in File Manager, click File > Import > XML from File.

or

When in the form, click **File > Import**.

Online Filing navigates to the working directory specified for import in User Preferences.

Select the ZIP file and click **Open** to start importing.



Figure 142: Import XML from ZIP file

The Create a New Application window opens.

Enter a new user reference.

When importing a PCT application, only unique user references are accepted.

Select a folder, and then click Create.

Create a New Application	
User Reference:	BZ_2008-005
Group:	<none></none>
Procedure:	EP(1001E2K)
Description:	Request for grant of a European pat
Based on Template:	<none></none>
Language of proceedings:	English
Customer number:	
Save to folder:	
Default Folder	
🛅 Bio Research	
🛅 Nano Enterprise	
TechEurope	
🛅 Universal Engineering	
	Create Cancel

Figure 143: Specify reference and folder for imported application

The application then opens in the form view.

Continue with the application and save your work as you require.

5.5.2 Importing data as XML from folder

In the menu (File Manager or form view), click File > Import > XML from folder.

Online Filing initially navigates to the working directory specified for import in User Preferences.

Select the folder containing the application to be imported.

Click OK.

Import XML from folder	×
Import XML from folder	
	_
4 🧰 DATA (G:)	•
▶ 🍌 _EPO	
🔺 🍌 EPO_data	
🛛 🔐 Backup	
Clients	-
1001_1	=
1001_2	
BZ_2008_001	
La Export	
Import	*
Make New Folder OK Cancel	

Figure 144: Select folder to import application

The Create a New Application window opens.

Enter a new user reference.

When importing a PCT application, only unique user references are accepted.

Select a File Manager folder and click Create.

The application then opens in the form view.

Continue with the application and save your work as you require.

6. EP(1001E2K)

Form EP(1001E2K) is the default form used for requesting the grant of a European patent and examination of the application under Article 94 EPC. The application can be filed directly to the EPO or via one of the participating national offices.

More information about the EPC can be found on the EPO website at Law & practice > Legal texts > European Patent Convention (http://www.epo.org/law-practice/legal-texts/epc.html).

Data input in form EP(1001E2K)

Form EP(1001E2K) is organised into eight tabs. It is recommended to enter the data in the tab sequence given, i.e. starting with the **Request** tab. Certain options and conditions in the **Documents** tab, for instance, are determined by the selections you make in the **Request** tab.

Tab	What you can do
Request	Select the filing office, request examination in admissible non-EPO
	language, select the procedural language, enter the title of invention,
	enter details of divisional application or reference to a previously filed
	application.
Names	Enter details of applicant(s), representative(s), inventor(s) and
	authorisations.
States	Designate contracting states, extension states and validation states.
Priority	Declare national, regional or international priorities.
Biological Material	Enter details of deposited microorganisms and the depositary
	institution.
Documents	Attach the specification documents, their translations and other
	electronic files.
Fees	Enter the mode of payment, select fees according to the appropriate
	fee schedule.
Annotations	Supply additional information for the EPO.

Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. You must either manually fill out this field or select one of the options provided. If mandatory fields are not completed, the corresponding tab will show a red validation icon. Consult the validation messages for more information.



Figure 145: Filing Office is a mandatory field in the Request tab and is marked with a red triangle

Elements in Form EP(1001E2K)

Menu Bar Toolbar Location Indi	cator Bar Naviga	ation Bar		
EPO Online Filing - EP(1001E2K) - Sample 10	001			
File Edit View Tools Windows Help				
				(?)
EP(1001E2K) - Draft - Sample 1001				Last saved on 02.04.2014
Request 🛇 Names 🛇 States 🛆 Priority 🖉	Biological Material	Documents 📎 🛛 F	ees 🕢 Annotations	
Request Divisional Reference				
Grant of European patent and examination of the	application under Article 94,	are hereby request	ted.	
Filing Office:			`	
Request for examination in admissible non-offi	cial EPO language:		Ţ	
The/Each applicant hereby declares that he is The applicant waives his right to be asked whe Procedural Language: English	an entity or a natural person ther he wishes to proceed fu Filing Language of attact © English C Admissible language contracting State: C Other Language:	under Rule 6(4) EF irther with the appl ned or previous app of an EPC	>⊂. lication (Rule 70(2)) plication:	y
Title of Invention Title of Invention in English	Translation into French		Translation into (German
Please use appropriate upper and lowercase letter	5			
Sub-tabs Detail	ls Area			Status Bar

Figure 146: Form EP(1001E2K) – Overview

Element	Description
Menu Bar	Provides all options needed to edit, save, import and export drafts, set the
	display and change the status, as well as other tools.
Toolbar	Provides shortcuts to the most frequently used tasks and tools.
Location	Shows the selected procedure, the current status and the user reference for
Indicator Bar	the open draft.
Navigation Bar	Displays tabs corresponding to the sections of the form. These tabs can
	contain sub-tabs, which are a sub-division of the main tab sections within the
	form.
Details Area	Displays data entry fields appropriate to the selected tab.
Status Bar	Displays information about the current activity. Shows the total number of
	validation messages for the open draft.

6.1 EP(1001E2K) – Request

The **Request** tab of Form EP(1001E2K) features three sub-tabs, in which you enter the following information:

Request

- Filing office
- Language in which the request for examination is made
- Declaration under Rule 6(4)
- Waiver pursuant to Rule 70(2)
- Procedural language, i.e. language in which the form is being submitted to the EPO
- Filing language, i.e. language in which the attached application is being filed or in which a previous application has been filed (technical documents)
- Title of the invention in English, French and German

Divisional

- Indication that it is a divisional EP application
- Application number of earlier application
- Date of filing of earlier application
- Generation of the divisional application

Reference

- Declaration that the application is an Article 61(1)(b) application
- Reference to a previously filed application
- Data relating to the previously filed application
- Various options as to how the referenced application is to be used in the procedure

6.1.1 Request details

The basic details relating to an EP(1001E2K) application are entered in the **Request** sub-tab of the **Request** tab.

Filing office

Select the relevant patent office from the **Filing office** drop-down list or enter the two letter country code.

This information is mandatory.

The list of filing offices includes the EPO and all national patent offices that allow online filing with the EP(1001E2K) procedure.

Language in which the request for examination is made

Applicants who are nationals of an EPC contracting state or who have their residence or principal place of business in an EPC contracting state can request examination in an official language of that state, if this language is an admissible non-official EPO language, i.e. if it is not English, French or German (Article 14(4) EPC).

If appropriate, select the check box **Request for examination in admissible non-official EPO language**.

Select the relevant Olanguage from the drop-down list.

The text "Examination of the application under Art. 94 EPC is hereby requested" is displayed in the selected language.

Declaration under Rule 6(4) EPC

The check box for the declaration under Rule 6(4) becomes available if you select one of these options:

- Request for examination in admissible non-official EPO language
- Admissible language of an EPC contracting state (under Filing language of attached or previous application)

The validation messages in the **Request** tab (severity level 2) provide further details. If each applicant fulfils the conditions of Rule 6(4) EPC, then you should select the corresponding check box

intended for the declaration under Rule 6(4) EPC to enable the Online Filing software to calculate the fee reduction.

Under Rule 6(3) EPC, the EPO grants a reduction in the examination fee and filing fees if applicants referred to in Article 14(4) EPC belong to one of the following groups specified in Rule 6(4) EPC:

- a. small and medium-sized enterprises (SMEs);
- b. natural persons; or
- c. non-profit organisations, universities or public research organisations.

To declare that the applicant(s) fulfil the conditions of Rule 6(4), select the check box **The/Each** applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.

When you enter the relevant data in the **Names** tab, please verify that all applicants fulfil the conditions of both Article 14(4) EPC and Rule 6(4) EPC; see Applicants (p. 124) for more details.

If the declaration under Rule 6(4) EPC is selected and all applicants fulfil the conditions of Article 14(4) EPC, then the reduced fees will become available in the **Fee selection** sub-tab:

- The examination fee (006) will be reduced by 30%.
- The filing fee (001), the additional divisional fees (522 to 525) and the additional filing fee for the 36th and each subsequent page (501) will be reduced by 30%.

Waiver pursuant to Rule 70(2)

If you wish, select the check box **The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70 (2))**.

This waiver does not apply until after payment of the examination fee. If you select **Automatic debit order** in the **Fees** tab, fee 006 will be paid automatically. If you select another mode of payment, you should select fee 006 manually in the **Fee selection** sub-tab. A validation message to that effect (Severity 3) is displayed in the **Fees** tab.

EPO Online Filing - EP(1	1001E2K) -	Sample 100	1					
File Edit View Tools	Windows	Help						
	2							(?)
EP(1001E2K) - Draft -	Sample 1	001					Las	t saved on 02.04.2014
Request 🛆 Names 🛇 🤉	States 🛆	Priority 🛆	Biological Material	Documents 🛇	Fees 🛈	Annotations		
Request Divisional Refer	rence							
Grant of European patent a	and examina	ition of the ap	oplication under Article 94	4, are hereby requ	ested.			
Filing Office:	P Eu	ropean Pater	nt Office (EPO)		•			
Request for examination	n in admissib	ole non-officia	al EPO language:	Italian	•			
Si richiede di esamir	nare la doma	anda ai sensi	dell'art. 94.					
The/Each applicant here	eby declares	s that he is ar	entity or a natural pers	on under Rule 6(4)	EPC.			
The applicant waives his	s right to be	asked wheth	er he wishes to proceed	further with the ap	oplication (F	Rule 70(2))		

Figure 147: Request for examination in Italian

Procedural language

At the time of creating a new application, you select the procedural language from the three official languages: English, French or German.

The application form will be created in the language selected. However, this setting has no effect on the language of the Online Filing graphical user interface.

If required, change the **procedural language** now by selecting another language from the dropdown list.

Filing language

The filing language is the language in which the attached application is being filed or in which a previous application has been filed, i.e. it is the language that is used in the technical documents.

Applicants who are nationals of an EPC contracting state or who have their residence or principal place of business in an EPC contracting state can file their application in an official language of that state, if this language is an admissible non-official EPO language, i.e. if it is not English, French or German (Article 14(4) EPC).

Select the Filing language of attached or previous application from one of the three options.

The default option is the selected procedural language.

Select either Admissible language of an EPC contracting state or Other language to activate the corresponding drop-down list.

Select the appropriate language.

Procedural Language:	Filing Language of attached or previous application:	
English	C English	
	 Admissible language of an EPC contracting State: 	Italian
	O Other Language:	

Figure 148: Example in which the procedural language is English and the technical documents are in an admissible language of an EPC contracting state (in this case Italian)

Title of invention

The title of invention must be a clear and concise technical designation of the invention in the procedural language you selected. It is advisable to supply translations in the other two official languages so that the title of invention can be published in all three languages (Article 14 EPC). If you do not enter any translations, these will be supplied by the EPO.

To harmonise patent bibliographic data, as of 1 April 2015 the EPO's systems will automatically convert all titles and their translations to uppercase for all new applications filed.

Enter the **Title of invention in English** in capital letters.

Enter the Translation into French and the Translation into German in capital letters.

- Include accents where appropriate in the French text.
- Include umlauts where appropriate in the German text.
- The sequence in which the fields for the title of invention and the translations appear will change if you change the procedural language. You should therefore make sure that each language version is in the correct field.

Title of Invention		
Title of Invention in English	Translation into French	Translation into German
INSTANT WATER	EAU INSTANTANÉE	INSTANT-WASSER
· · · · · · · · · · · · · · · · · · ·	<u> </u>	×

Figure 149: Title of invention in English, French and German

6.1.2 Divisional application

Divisional applications can only be filed with the EPO. If you selected a different filing office in the **Request** sub-tab, you will not be able to enter any data in the **Divisional** sub-tab.

(i) European divisional applications must be filed while the earlier European application is still pending (Rule 36 EPC).

Select the Divisional application check box.

This activates the sub-tab for editing. All fields are mandatory.

Enter the Application number of earlier application.

Enter the Date of filing (Art. 80/Rule 40 EPC).

From the drop-down list next to **This divisional application is of the following generation**, select the appropriate option.

The EPO charges an additional fee as part of the filing fee for divisional applications of the second or any subsequent generation; see Fee selection (p. 163).

Request Divisional Reference	
✓ Divisional application	
Application number of earlier application:	EP14800500.2
Date of filing (Art. 80/Rule 40 EPC):	17 September 2014 15
This divisional application is of the following generation:	Third
The Office is requested to add to the dossier on the purposes only (i.e. not as part of the description), earlier application mentioned in Section 27. It is h the content of the divisional application as original	ne European patent application, in electronic form and for search a copy of the Standard-compliant sequence listing filed for the ereby declared that the sequence listing does not extend beyond ly filed.

Figure 150: Entering details of divisional application

If you change the **Date of filing (Art. 80/Rule 40 EPC)** in the **Divisional** sub-tab under the **Request** tab, all of the designation states and none of the extension and validation states will be selected, i.e. the default settings appear and any states previously expressly selected in respect of the applicant(s) are lost. If this happens, please click the **States** tab and select the states again as appropriate. The yellow validation icon in the **States** tab notifies you of a warning message to this effect.

Requesting the EPO to copy the sequence listing from the parent application for search purposes

Under Rule 40(1)(c) EPC, a sequence listing that is part of the description of the divisional application must be submitted together with the other documents making up the divisional application, unless reference is made to a previously filed application containing a sequence listing as part of the application (OJ EPO 2013, 542).

If you have submitted a Standard-compliant sequence listing in computer-readable format together with the parent application, however, you can ask the EPO to use that sequence listing **for search purposes only (i.e. not as part of the description)** in respect of the divisional application.

To ask the EPO to add a copy of the sequence listing filed for the earlier application to the dossier and to declare that the sequence listing does not extend beyond the content of the divisional application as originally filed, select the check box labelled **The Office is requested to add a copy** [...].

6.1.3 Reference

In the **Request** tab's **Reference** sub-tab, you can make a reference to a previously filed European or international application.

Select the check box **Reference is made to a previously filed application**.

This activates the tab's other fields for editing.

Reference to an application previously filed with the EPO

Select the EPO as the Office where previous application was filed.

Select patent application as the Kind of application.

Enter the Filing date of the previous application.

Enter the EP application number of the previous application into the **Application number** field in the format **YYnnnnn.d**, i.e. including the check digit.

Request Divisional Reference	
Art. 61(1)(b) application of earlier application:	0.0
✓ The present European patent application is filed by making (Rule 40(1)(c), Rule 40(2)):	reference to the following previously filed application
Office where previous application was filed:	EP European Patent Office
Kind of application:	patent application
Filing date:	16 March 2010
Application number:	10500201.8 Format: YYnnnnn.d, spaces, hyphens or commas allowed between data items

Figure 151: Reference to a previously filed EP application

Reference to a previous PCT application

Select the Office where previous application was filed.

Select PCT application as the Kind of application.

Enter the Filing date.

Enter the **Application number** of the previous PCT application in the format **PCT/CCYYYY/nnnnnn** or **PCT/CCYY/nnnnn**.

The 2-digit country code (**CC**) is automatically pre-set in the **Application number** field when you select the international office from the drop-down list.

Request Divisional Reference	
Art. 61(1)(b) application of earlier application:	0.0
✓ The present European patent application is filed by making application (Rule 40(1)(c), Rule 40(2)):	reference to the following previously filed
Office where previous application was filed:	US United States of America
Kind of application:	
Filing date:	20 April 20 10
Application number:	PCT/US2010/123456 Format: PCT/CCYY/nnnnn or PCT/CCYYY/nnnnn

Figure 152: Reference to a previous PCT/US application

Reference to a previous international or national application

Select the Office where previous application was filed.

Select the **Kind of application** (the available options depend on the office where the application was filed).

Enter the Filing date.

Enter the Application number of the previous application.

Hints for the correct format of this application number are shown to the right of this field.

Request Divisional Reference	
Art. 61(1)(b) application of earlier application:	0.0
✓ The present European patent application is filed by makin (Rule 40(1)(c), Rule 40(2)):	ng reference to the following previously filed application
Office where previous application was filed:	IT Italy
Kind of application:	patent application
Filing date:	8 October 2010
Application number:	TO 2010 A 123456 Format: LL YYYY A nnnnnn, spaces, hyphens or commas allowed between data items

Figure 153: Reference to a previous international or national application

Additional options depending on other application-specific data

The re	
	ference replaces description and drawings.
🔽 Iti	s hereby declared that the reference to the previously filed application replaces also the claims (R 57(c)).
Nu	umber of claims in previous application:
🔽 Pre	eviously filed application is also a priority application.
	e description contains a sequence listing in accordance with Rule 30(1) EPC. certified copy will be filed later (Rule 40(3)). בי טוובט כסף איווו שב וויבט ומעבי (עטור דער)).
🔽 A t	ranslation of the previously filed application will be supplied later.
T Re	-establishment of rights is herewith requested
Itis Nur	hereby declared that the reference to the previously filed application replaces also the claims (R 57(c)).
	daims):
Prev	vously filed application is also a priority application.
Prev	viousity filed application is also a priority application. description contains a sequence listing in accordance with Rule 30(1) EPC.
Prev The A ce	viousity filed application is also a priority application. description contains a sequence listing in accordance with Rule 30(1) EPC. ertified copy will be filed later (Rule 40(3)).
Prev The Ace Ace	viously filed application is also a priority application. description contains a sequence listing in accordance with Rule 30(1) EPC. ertified copy will be filed later (Rule 40(3)). anslation of the previously filed application will be supplied later.

Figure 154: Additional options in the "Reference" sub-tab

Reference replaces claims

Select the check box It is hereby declared that the reference to the previously filed application also replaces the claims (Rule 57(c)), if applicable.

Enter the appropriate Number of claims in previous application.

Enter the Number of claims you intend to pay for (including first 15 claims).

- This indication is exclusively for the purpose of fee calculation. If you do not intend to pay for any claims with this application, please enter **0** (zero) in this field.
- If you do not enter a reference to the claims in the **Request** tab, you will be notified of this oversight by an error message in the **Documents** tab (red validation icon). You can attach a file with claims here or indicate that you intend to file the claims later; or you reference the claims.



Figure 155: Error message: Claims required

Previous application is the priority document

Select the check box **Previously filed application is also a priority application**, if applicable.

The warning (yellow validation icon) in both the **Request** and **Documents** tabs indicates that a copy of the search results required under Rule 141(1) EPC must be provided.

The related document can be attached in the **Documents** tab; see Additional documents (p. 157).



Figure 156: A copy of the search results must be provided

A copy of the search results does not need to be supplied if it can be assumed that it is available to the EPO. This is the case if the previous application was filed with the **EP**, **JP**, **US**, **AT**, **GB**, **KR**, **DK** or **ES** office (exempted offices). A message to this effect (grey validation icon) appears.

Validation Messages/Request	×
 Severity 3: 1 message(s) US PCT/US2010/123456 : A copy of the search results required under Rule 141(1) EPC is not required if it is available to the EPO and is to be included in the file under the conditions determined by the President of the EPO. 	

Figure 157: Earlier applications filed with one of the exempted offices are not required to file search results

Certified copy

The check box **A certified copy will be filed later** is available if the selected filing office is not the EPO. In this case, a warning (yellow validation icon) appears, indicating that a certified copy of the previously filed application must be supplied within two months.

The warning disappears as soon as you select the check box A certified copy will be filed later.



Figure 158: A certified copy of the previously filed application must be supplied

Sequence listing

You can specify that a sequence listing from the previously filed application should be used in the EP procedure.

Select the check box **The description contains a sequence listing in accordance with Rule 30(1) EPC**.

In this case, you can only attach a sequence listing that complies with the correct WIPO Standard in the **Documents** tab; PDF formats are not allowed; see Sequence listings (p. 154).
(I) On 1 July 2022, WIPO Standard ST.26 will enter into force. For applications with a filing date on or after 1 July 2022, sequence listings should be filed in ST.26.

Re-establishing rights

The check box **Re-establishment of rights** is active if the date of the earlier application is more than 12 months but less than 14 months prior to the date of the present filing and you have selected the check box **Previously filed application is also a priority application**. An appropriate warning (yellow validation icon) indicates that you must request the re-establishment of rights.

Select the check box Re-establishment of rights.

You can attach the reasons for re-establishment in the **Documents** tab (see Additional documents (p. 157)) or enter the text in the **Annotations** tab.



Figure 159: Re-establishment of rights must be requested and the fee paid

Art. 61(1)(b) application of earlier application

The check box **Art. 61(1)(b) application of earlier application** is only active if the EPO is selected as the filing office in the **Request** tab and the **Divisional application** check box is not selected in the **Divisional** tab.

6.2 EP(1001E2K) – Names

The **Names** tab of EP(1001E2K) is where you enter details of applicants, representatives and inventors. At least one applicant is required. Details of the inventor(s) may be filed later.

Adding names

In the Names tab, click the Add button.

Select a role.



Figure 160: Options for adding names

Complete the details in the entry fields on the right or copy a name from the Address Book.

Exchanging names with the Address Book

Online Filing provides an Address Book to help you organise your names and addresses. You can copy information from the current form to the Address Book or call up existing data from your Address Book.

1. Storing data entered in the form in the Address Book

Select a name (e.g. one of the applicants) and click the Copy to Address Book button.



If the data is successfully copied this is indicated in the status bar of the form.

2. Copying data from the Address Book to the form

Open the Address Book by clicking the Copy from Address Book button.



Select the required name.

Copy the data to the form by clicking the Copy records to form button.



The Address Book closes.

Removing names from the form

Select the name to be removed on the left-hand side of the form.

Click the **Delete** button.



6.2.1 Applicants

At least one applicant is required for filing. You can designate multiple natural and legal persons as applicants. The applicant you add to the form first will also be the first-named applicant in the patent application.

In the Names tab, click the Add button.



Select Applicant, Legal or Applicant, Natural.

Enter the details for the applicant or use the Copy from Address Book button.

ļ

Add more applicants if required by repeating the above procedure.

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				3
EP(1001E2K) - Draft - Sample	e 1001			Last saved on 23/09/2014
Request Names 🛆 States 🔬	Priority 🛆 🛛 Biolog	ical Material Documents 🛇	Fees 🕢 Annotation	s
💥 🖉 🖉	Company:	Nano Enterprise Ltd.		
Applicants	Department:	Nanotechnology		
Nano Enterprise Ltd.			T-lashanan	144 20 7122 4567
Representatives	Country:		l elephone:	+44 20 /123 456/
Inventors	Address:	123 City Street	Telefax:	+44 20 7123 4568
			E-mail:	info@nano-enterprise.co.uk
	P.O. Box:	5623		
	Postal code:	W1A 2BC		
	City:	London		
	GB County:	Greater London 💌	Principal place of business:	GB United Kingdom 💌
	Address for corres	pondence		
	Nano Enterprise Lt	d. is represented by the following	employee acting pursuant	to Art. 133(3) EPC:
	Last Name:		General Authorisation:	
	First Name:			
	Title:			

Figure 161: Details of legal applicant

Address for correspondence

You can specify a separate address for correspondence with the first-named applicant if you have not added a representative to the form. The country in the address for correspondence must be an EPC contracting state. The address for correspondence is only valid if the country in the applicant's main address is also an EPC contracting state.

The **Address for correspondence** check box is unlocked after the mandatory fields for the firstnamed applicant have been completed, i.e. First Name, Last Name (or Company), City and Country.

Select the first-named applicant.

Select the Address for correspondence check box.

Address for correspondence then appears in the list on the left.

Entering the address for correspondence is now mandatory. The red validation icon in the **Names** tab notifies you of a validation message to that effect.

Request Names 🛇 States	s 🛕 Priority 🛕 🛛 Bio	logical Material Do	cuments 📎 🛛 Fees	s (i) Annotations	
	Company:	Nano Enterprise Lt	d.		
Applicants	Department:	Nanotechnology			
Nano Enterprise Ltd.					
Inventors	Country:	GB United H	Gingdom 🔽 Tele	ephone: +	44 20 7123 4567
Address for Correspondence	Address:	123 City Street	Tele	efax: +	44 20 7123 4568
			E-m	nail: in	fo@nano-enterprise.co.uk
	P.O. Box:	5623			
	Postal code:	W1A 2BC			
	City:	London			
	GB County:	Greater London	Prin bus	ncipal place of G	B United Kingdom 💌
	Address for con	respondence			

Figure 162: A red validation icon is visible if the address for correspondence has not yet been provided

Click the Add button and select Address.

Note that the **Representatives** options have disappeared.

Request Names 🛇 States	A Priority 🕄	Biological Material	Documents 📎	Fees	Annotations	
	Company:					
🚔 Applicant, Legal 🚨 Applicant, Natural	Department:					 _
Linventor Ctrl+I	Country:		Ŧ			
Address	Address:					
	P.O. Box:					
	Postal code:					
	City:					
	Region:		Ψ.	[

Figure 163: Adding address for correspondence with the first-named applicant

The first applicant's name appears under **Address for Correspondence** on the left and the data entry fields become available on the right.

Edit the address information as required.

- The applicant's name cannot be edited in the address for correspondence. The **Company** field (legal applicant) and the **Last Name** and **First Name** field (natural applicant) are locked.
- If you subsequently modify the first-named applicant's name under Applicants, the name in the address for correspondence will be updated accordingly.
- If you delete the first-named applicant, the address for correspondence will also be removed from the form.

Request Names 🛆 States	s 🛕 Priority 🛕	Biological Material	Documents 📎	Fees	Annotations	
	Company:	Nano Enterpri	ise Ltd.			
Applicants	Department:	Legal affairs				
Preston, Anthony Inventors	Country:	NL Ne	therlands 💌			
Address for Correspondence	Address:	Pannekeokst	raat 40 B			
Nano Enterprise Ltd.						
	P.O. Box:					
	Postal code:	3011LE				
	City:	Rotterdam				
	Region:		.			

Figure 164: Separate address for correspondence with the first-named applicant

Applicant is represented by an employee

If the applicant is a company (legal person) with principal place of business in an EPC contracting state, it can be represented by an employee. An employee can only be selected as a representative if no other representative (legal or natural person) has been added to the form.

Select the check box [Company] is represented by the following employee acting pursuant to Art. 133(3) EPC.

Enter Last Name (mandatory field), First Name (mandatory field) and Title.

The name of this employee will be automatically filled into the **Sign Application** dialog and cannot be modified. Only an employee who is authorised by the applicant under Article 133 EPC is entitled to sign.

Enter the Authorisation number (where applicable).

Request 🕃 Names Stat	es 🛆 🛛 Priority 🛛 E	Biological Material	Documents	Fees	Annotations	
	Company:	Nano Enterpri	se Ltd.			
Applicants	Department:	Nanotechnolo	gy			
Mano Enterprise Ltd.	Countral	CB Uni	tad Kinadam 🚬 🚽	Talaaha		4 20 7123 4567
Preston, Anthony (als	Country:	lon lou		relepho	ie: [11	4 20 7 123 4307
Address for Correspondence	Address:	123 City Stree	t	Telefax:	+4	4 20 7123 4568
Nano Enterprise Ltd.				E-mail:	info	o@nano-enterprise.co.uk
	P.O. Box:	5623				
	Postal code:	W1A 2BC				
	City:	London				
	GB County:	Greater Londo	on 💌	Principal business	place of GB	United Kingdom
	Address for c	orrespondence				
	✓ Nano Enterpr	rise Ltd. is represente	d by the following e	employee a	cting pursuant to A	Art. 133(3) EPC:
		La elle		Connel	Authorization CR	11 209
	Last Name:	jvviiliams]	General	Authorisation: GD	11-300
	First Name:	George				
	Title:	Mr.	-			

Figure 165: Authorised employee representing the applicant

Conditions under Article 14(4) EPC for making the declaration under Rule 6(4) EPC

Under Rule 6(3) EPC, the EPO grants a reduction in the examination fee and filing fees if applicants referred to in Article 14(4) EPC belong to one of the following groups specified in Rule 6(4) EPC:

- a. small and medium-sized enterprises (SMEs);
- b. natural persons; or
- c. non-profit organisations, universities or public research organisations.

If the check box **The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC** in the **Request** tab is selected, the Online Filing software will validate the data that you enter for the applicants in the **Names** tab and cross-check these with the languages that you indicated in the **Request** tab.

To qualify for the fee reduction, all applicants have to fulfil both the above-mentioned conditions under Rule 6(4) EPC and the following conditions under Article 14(4) EPC:

- Natural applicants must be nationals of an EPC contracting state having an admissible nonofficial EPO language or residents in an EPC contracting state having an admissible non-official EPO language.
- Legal applicants must have their principal place of business in an EPC contracting state having an admissible non-official EPO language.
- The selected language must be both an official language of the EPC contracting state of at least one of the applicants and an admissible non-official EPO language (i.e. it must not be English, French or German).

The validation messages in the **Request** tab and **Names** tab will tell you how to correct your data if these conditions are not met.

Examples

The following examples demonstrate whether the applicants indicated in the **Names** tab fulfil the conditions of Article 14(4) or not – always in relation to the languages selected in the **Request** tab. If the answer is **yes**, the applicants can select the declaration under Rule 6(4) in order to get the fee reduction.

1. A company from the Netherlands selects Dutch as the language of the request for examination.

Yes: Dutch is the official language in the Netherlands.

2. A natural person is a Swiss national and selects Italian as the filing language.

Yes: Italian is one of the official languages in Switzerland, along with French and German.

3. A natural person is a national of Italy with residence in the UK and files a request for examination in Italian.

Yes: Italian is the official language in Italy and the applicant is an Italian national.

4. A company has its principal place of business in the United Kingdom and files the request for examination in Italian.

No: The UK is an EPC contracting state which does not have an admissible non-official EPO language and Italian is not an official language in the UK. The applicant does not fulfil the conditions under Article 14(4).

5. The applicants are a company from Poland and a company from Italy. They select Italian as the filing language.

Yes: Both applicants are from an EPC contracting state and Italian as the official language of Italy is an admissible non-official EPO language. In this example, the applicants could also choose between Polish and Italian because both languages are admissible.

6. The applicants are a company from Poland and a company from Germany. They select Polish as the filing language.

No: Germany is an EPC contracting state which does not have an admissible non-official EPO language. The applicant from Germany does not fulfil the conditions under Article 14(4).

6.2.2 Representatives

The **Representative** option is only available if no address for correspondence has been entered and if the applicant is not being represented by an employee under Article 133(3) EPC. The country of the representative must be an EPC contracting state.

In the Names tab, click the Add button.

Select **Representative**, **Association**, **Representative**, **Legal Practitioner** or **Representative**, **Authorised**.

In the Name and Address sub-tab, complete the details or copy the name from the Address Book.

💥 👰 💯	Name and Addres	s Authorisation		
olicants	Last Name:	Jennifer		
Surton, Peter presentatives	First Name:	Hancock	Company:	IP Partners
Jennifer, Hancock	Title:	M	Department:	European Patents
entors		Please use appropriate upper an	d lowercase letters	
	Country:	GB United Kingdom 🔽	Telephone:	+44 1223 351681
	Address:	Cambridge Science Park 100 Red Lion Square	Telefax:	+44 1223 351690
			E-mail:	kilburn@ip-partners.co.uk
	Postal code:	CB2 1AB		
	City:	Cambridge		
	GB County:	Cambridgeshire 💌	1	

Figure 166: Details of representative

Details relating to the representative's authorisation

The Authorisation sub-tab is used to provide details relating to each representative.

- Select the Authorisation check box.
- Select the appropriate option.
- Related documents can be attached in the **Documents** tab; see Additional documents (p. 157).



Figure 167: Details relating to the authorisation of the representative

6.2.3 Inventors

The yellow validation icon in the **Names** tab indicates that details of the inventor are required, but may be filed later.

You can name any number of inventors.

Following the entry into force of amended Rule 19 EPC on 1 April 2021, the EPO no longer notifies inventors of their designation in a patent application. In addition, applicants are no longer required to indicate the full addresses of the inventors in the designation, but instead only their country and place of residence. The place of residence is the city or other municipality where the inventor permanently resides, including the postal code (where available).

For applications that are signed and ready to send but were not submitted before the 1 April 2021 update, any inventor designations under Rule 19 EPC should be removed as attachments. To ensure compliance with amended Rule 19 EPC, the designations will have to be reprocessed before the application can be submitted.

For draft applications that were not signed before the 1 April 2021 update, any inventor designations prepared should be removed as attachments and must be reprocessed.

The option afforded to inventors under Rule 20(1) EPC to waive their right to be mentioned remains unaffected by these changes.

As of the entry into force of amended Rule 143 EPC on 1 November 2021, inventors' full addresses will no longer be published in the European Patent Register. Instead, only their country and place of residence will be published, unless the inventor has waived their right to be mentioned under Rule 20(1) EPC.

For further information, see OJ EPO 2021, A12.

Applicant is also inventor

If an applicant is a natural person, the same person can also be named as an inventor.

Select the name of the applicant on the left.

Select the check box Applicant is also inventor at the bottom of the form.

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								(?)
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Request Names State	es 🛆 🛛 Priority 🛆 🛛 Bio	logical Material	Documents 📎	Fees 🕄	Annotations			
	Last Name:	Burton						
Applicants	First Name:	Peter		Company	/:			
Burton, Peter (also inv Representatives	Title:	Mr.	•	Departm	ent:			_
Inventors		Please use app	propriate upper and	d lowercase	letters			
	Country:	GB Uni	ted Kingdom 🔪 💌	Telephor	e: 030	0202020		
	Address:	20 London Ro	1	Telefax:				
				E-mail:				
	P.O. Box:							
	Postal code:	M1 1AB						
	City:	Manchester		Nationali	ty: GB	United Kin	igdom	•
	GB County:		•	Residenc	e: GB	United Kin	gdom	•
	Address for cor	respondence						
	Applicant is also	inventor						
							Δ 3	3

Figure 168: The applicant is also the inventor

Designating one or multiple inventors

If none of the applicants is a natural person and also inventor, the inventor(s) must be named separately.

Click the Add button.

Select Inventor.

or

Press CTRL+I.

Complete the fields in the Name tab or copy an entry from the Address Book.

Select the appropriate option to describe the legal relationship between first-named applicant and inventor.

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									?
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Request Names () States	🛆 Priority 🛆	Biological Material	Documents 🛇	Fees 🛈	Annotations				
	Last Name:	Fitzwilliam		Title:			T]	
Applicants	First Name:	Charles		🗌 🔲 decea	ased				
🚨 Burton, Peter									
Representatives	Country:	GB Ur	nited Kingdom 🚬 🝷	Postal co	de: W	14 2BC		_	
Inventors									-
Fitzwilliam, Charles				City:	JLo	naon			
		Please use app	propriate upper an	d lowercase	letters				
	The applicant	has acquired the right to	o the European pat	ent as follov	vs:				
	As employ	er							
	C As success	oor in title							
	C As succes	sor in due		1001					
	O Under agr	eement of [dd.mm.)	(YYY	15					
	🔲 Waiver by	inventor of his right to l	pe mentioned unde	r Rule 20(1)					
1									
						0	1	3	4

Figure 169: Details of inventor

Deceased inventor

If one of the inventors to be designated is no longer alive, select the **Deceased** check box. All the address fields except the **Country** field (mandatory) are locked.

FO EPO Online Filing - E	P(1001E2K) -	1001_INVT					-	-	\times
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Request Names (States 🛆	Priority 🛆	Biological Material	Documents 📎	Fees 🛈	Annotations			
		Last Name:	Kennecot	,	Title:	Mr.		•	
Applicants		First Name:	William		🔽 dece	ased			
Representatives		Country:	GB Ur	nited Kingdom 🖣 🔻	Postal co	ode:			
Inventors					-				-
E Fitzwilliam, Charle	s				City:				
Kennecot, William									
			Please use app	propriate upper and	d lowercase	letters			
		The applicant	has acquired the right to	the European pat	ent as follo	ws:			
		As employ	er						
			oor in title						
		C Hadas and	sor in due	000	1 CE				
		 Under agr 	eement or Jud.min.	7999	13				
		Waiver by	inventor of his right to l	pe mentioned unde	r Rule 20(1))			
							0	1 🔥 3	3 🚯 5
·									

Figure 170: Designating a deceased inventor

Inventor waiver Rule 20(1) EPC

An inventor is entitled to waive his right to be mentioned as an inventor under Rule 20(1) EPC.

Select the inventor concerned.

Select the required options.

The corresponding validation messages (yellow icon) explain that each waiver must be signed by the inventor and filed as an additional document.



Figure 171: Options for inventor waivers with corresponding validation messages

Online Filing automatically generates a PDF document which is pre-filled with the inventor's and applicant's data.

Open the PDF Viewer; see Viewing attached documents (p. 158).

Print the waiver using the **Print file** icon in the PDF Viewer.

Have the waiver signed by the inventor.

Create a new PDF document from the signed waiver.

Attach the waiver to the application under Additional documents (p. 157) in Form EP(1001E2K).

or

Submit it as a subsequently filed document with Form EP(1038E) (p. 205).

EPO	PDF Viewer -	×
application-body.xml (water_evaporator.pxml application-body.pdf (application-body.pdf) EPR193-NP-1.pdf (EPR193-NP-1.pdf) eprequest.pdf (eprequest.pdf) ep-request.xml) f1002-1.pdf (f1002-1.pdf) (f1002-2.pdf) imgf0001.tif (imgf0001.tif) (imgf0001.tif) (package-data.xml) pkgheader.xml) (pkgheader.xml)	PDF Viewer - Rule 20(1) EPC Waiver - Rule 20(1) EPC User reference: 1001-01 Application No: I, Fitzwilliam, Charles one of the inventors of the invention mentioned below, hereby waive my right to be mentioned and request not to be mentioned in the published European patent application and the European patent specification in accordance with Rule 20(1) EPC. Name of applicant Nano Enterprise Ltd. Title of invention INSTANT WATER Signature of inventor Date: Place:	
	Fitzwilliam, Charles	~
	с	ancel

Figure 172: Options for inventor waivers with corresponding validation messages

Public and non-public inventors

In this example, four inventors have been added to the form. One of the inventors has signed the waiver under Rule 20(1) EPC and is therefore designated as a non-public inventor.

Online Filing generates two separate **Designation of inventor** PDF forms: one for the public inventors and one for the non-public inventors.

File f1002-1.pdf lists the public inventors.

PDF Viewer				×
appEration-body.xml (appEration-body.xml) (cp201-1.pdf) (cp201-1.pdf) (cp201-1.pdf) (cp201-1.pdf) (cp202-1.pdf) (cp202-1.pdf) (cp202-1.pdf) (cp202-1.pdf) (cp202-1.pdf) (cp202-1.pdf) (cp202-1.pdf) (cp202-1.pdf) (cp202-2.pdf) (c	Fo	m 1002 - 1: Public inventor(s) Designation of inventor ^{User reference:} 1001_INVT Application No:		
1	Pul	lic		
		Inventor		
		Address: Kennecot, Mr. William		
		London W 14 2BC		
		The applicant has acquired the right to the	- 1	
		European patent: As employer		
	Sig	ature(s)		
			1	,
			Cance	el

Figure 173: PDF form 1002-1with designation of public inventors

File f1002-2.pdf lists the non-public inventors.

PDF Viewer				×	
application-body.xml {#2/011.pdf (#2/011.pdf) {#2/011.pdf {}2/011.pdf {}2/011.	Form 1002 - 2: Non public inventor(s) (waiver Rule 20(1) EPC)			~	
(f1022;pd) feesheetint.pdf (feesheetint.pdf) package-data.xm]	Designation of inventor		ł		
(package-data.xml) pkgheader.xml (pkgheader.xml)	User reference: 1001_INVT Application No:				
	Non-Public		1		
	Inventor				
	Name: Fitzwilliam, Mr. Charles				
	Address: London W14 2BC				
	United Kingdom				
	European patent: As employer				
	/ No omproyer				
	Planatura/a)				
	Signature(s)				
				~	
			Cancel	1	

Figure 174: PDF form 1002-2 with designation of non-public inventors

6.3 EP(1001E2K) – States

In the **States** tab you can designate the countries in which you require patent protection.

- You can specify all contracting states to the EPC in the **Designation sub-tab**.
- You can specify the extension states you want in the **Extension** sub-tab.
- You can specify the validation states you want in the Validation sub-tab.

The available states displayed in the three sub-tabs are determined by

- your version of the Online Filing software (its release date and whether you have installed any relevant updates).
- the filing date of the earlier application if your application is a divisional application. The states available are those which were contracting states, extension states or validation states at the time of filing of the earlier application.
- the date on which the validation agreement with the national patent office of the relevant state has entered into force.

For the latest list of EPC contracting states, extension states and validation states see the EPO website at About us > European Patent Organisation > Member states (http://www.epo.org/about-us/organisation/member-states.html). The EPC contracting states include all overseas departments and territories.

(i) If you change the **Date of filing (Art. 80/Rule 40 EPC)** in the **Divisional** sub-tab under the **Request** tab, all of the designation states and none of the extension and validation states will be selected, i.e. the default settings appear and any states previously expressly selected in respect of the applicant(s) are lost. If this happens, please click the **States** tab and select the states again as appropriate. The yellow validation icon in the **States** tab notifies you of a warning message to this effect.

6.3.1 Designating contracting states

In the **Designation** tab a list of the contracting states can be found under the heading **All states** which are contracting states to the EPC at the time of filing of this application are hereby designated. All states are automatically selected and cannot be edited.

EPO Onlin	EPO Online Filing - EP(1001E2K) - Sample 1001									
<u>File</u> <u>E</u> dit	<u>File E</u> dit <u>V</u> iew Iools Windows <u>H</u> elp									
EP(1001E2	K) - Draft	- Sample 1	1001					Last sa	ved on 18,	/06/2019
Request 🛇	Names 📎	States 🛆	Priority 🛆	Biological Material	Documents 🛇	Fees 🛈	Annotations			
Designation	Extension	Validation								
Differe	nt designation	is for different	t applicants				-			
All shakes	hish and and			ale a Marco de Olivera de Aleira	J	- have also also a				
All states v	vnich are cont	racting states	to the EPC at	the time of filing of this	application are ner	eby designa	ited.			
	ania		ES Spain		☑ IT Italy		V PL F	Poland		
AT Au	stria		FI Finlan	d	V LT Lithuania		V PT I	Portugal		
🖂 BE Bel	gium		FR Franc	e	🖂 LU Luxembou	urg	RO	Romania		
🖂 BG Bul	garia		🖂 GB Unite	d Kingdom	🖂 LV Latvia		RS:	Serbia		
CH/LI	Switzerland/Li	echtenstein	🖂 GR Gree	ce	MC Monaco		🖂 SE :	Sweden		
🖂 CY Cy	prus		MR Croa	tia	🖂 MK North Ma	cedonia	🖂 SI S	Slovenia		
CZ Cze	ech Republic		🔽 HU Hung	ary	🖂 MT Malta		, SK :	Slovakia		
🖂 DE Ger	rmany		🖂 IE Irelan	d	🖂 NL Netherlan	nds	, IV SM	San Marino		
🖂 DK Der	nmark		🔽 IS Icelan	d	🔽 NO Norway		TR TR	Turkey		
🖂 EE Est	onia									
								⊗ 3	Δ 5	(i) 6

Figure 175: All contracting states to the EPC designated

If you selected the check box **Divisional application** in the **Divisional** sub-tab you will see a message to the effect that the list of states corresponds to the states valid for the earlier application at the time of filing the divisional application.

Designation Extension Validation								
Different designations for different applicants								
All states valid for the earlier application at the time of filing this divisional application are hereby designated.								
	ES Soain	C IT Italy	I Pl Poland					
AL Austria	FI Finland	V LT Lithuania	PT Portugal					
🖂 BE Belgium	FR France	🖂 LU Luxembourg	🔽 RO Romania					
🖂 BG Bulgaria	GB United Kingdom	V Latvia	🖂 RS Serbia					
CH/LI Switzerland/Liechtenstein	GR Greece	MC Monaco	SE Sweden					
CY Cyprus	🔽 HR Croatia	MK North Macedonia	🖂 SI Slovenia					
CZ Czech Republic	🔽 HU Hungary	🖂 MT Malta	🖂 SK Slovakia					
🗹 DE Germany	🔽 IE Ireland	VL Netherlands	SM San Marino					
🖂 DK Denmark	✓ IS Iceland	VO Norway	🔽 TR Turkey					
🖂 EE Estonia								

Figure 176: Reference to contracting states valid at the time of filing of the earlier application

Different designations for different applicants

If more than one applicant is entered in the **Names** tab, you can define the designated states for each one. You can designate all states for each applicant, or exclude certain states for one or more applicants.

In the **Designation** sub-tab select the check box **Different designations for different applicants**.

Select an applicant from the list.

All states are automatically selected.

Clear the check boxes for those states which you wish to exclude for the selected applicant. In this example AT, DE and IT have been cleared.

Designation Extension Validation			
☑ Different designations for differen	t applicants	Nano Enterprise Ltd.,	•
All states which are contracting states	to the EPC at the time of filing of this	application are hereby designated.	
🔽 AL Albania	🔽 ES Spain	IT Italy	▼ PL Poland
🔽 AT Austria	🔽 FI Finland	🔽 LT Lithuania	PT Portugal
🔽 BE Belgium	FR France	LU Luxembourg	RO Romania
🔽 BG Bulgaria	GB United Kingdom	🔽 LV Latvia	RS Serbia
✓ CH/LI Switzerland/Liechtenstein	GR Greece	MC Monaco	SE Sweden
CY Cyprus	✓ HR Croatia	MK North Macedonia	SI Slovenia
CZ Czech Republic	🔽 HU Hungary	🔽 MT Malta	SK Slovakia
V DE Germany	IE Ireland	VL Netherlands	SM San Marino
V DK Denmark	✓ IS Iceland	VO Norway	TR Turkey
🔽 EE Estonia			

Figure 177: Designating different states for different applicants

Select another applicant from the list.

All states are once again automatically selected.

Clear the boxes for the states you wish to exclude for the selected applicant.

In this example all the check boxes have been cleared except for AT, DE, IT, MC and MT. MC and MT are therefore designated for both applicants.

Designation Extension Validation			
✓ Different designations for differen	t applicants	Preston, Anthony	_
All states which are contracting states	to the EPC at the time of filing of this	application are hereby designated.	_
AL Albania	ES Spain	IT Italy	PL Poland
AT Austria	FI Finland	IT Lithuania	PT Portugal
E Belgium	FR France	LU Luxembourg	RO Romania
🔲 BG Bulgaria	🔲 GB United Kingdom	LV Latvia	RS Serbia
CH/LI Switzerland/Liechtenstein	GR Greece	MC Monaco	🖂 SE Sweden
CY Cyprus	🕅 HR Croatia	MK North Macedonia	🔲 SI Slovenia
CZ Czech Republic	HU Hungary	🔽 MT Malta	🔲 SK Slovakia
DE Germany	🔲 IE Ireland	NL Netherlands	SM San Marino
DK Denmark	IS Iceland	NO Norway	TR Turkey
EE Estonia			

Figure 178: Designating individual states for further applicant

(i) Payment of the designation fee means that all contracting states are designated for an application, regardless of the individual states designated on the form. If you expressly do not wish to designate one or more specific states for the entire application, you must submit your request in writing to the EPO. You can attach this document to the application in electronic format; see Attaching documents (p. 219).

6.3.2 Extension states

In the **Extension** sub-tab, select the states with extension agreements to which the patent application filed should also be extended. Appropriate fees are payable for this extension.

Click the **Extension** sub-tab.

Select the required option and, where appropriate, the individual states required.

Designation Extension Validation This application is deemed to be a request to extend the effects of the European patent application and the European patent granted in respect of it to all non-contracting states to the EPC 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. Image: All States with extension agreements Image: All States with extension agreements
Image: Selected state(s). Image: Selected state(s).

Figure 179: Selecting extension states

6.3.3 Validation states

In the **Validation** sub-tab, select the states with validation agreements to which the patent application filed should also be extended. Appropriate fees are payable for the selected validation states.

Click the **Validation** sub-tab.

Select the required option and, where appropriate, the individual states required.

Make sure you a	also select the validation fees for these states in the Fees tab.
Designation Extension Validation	
This application is deemed to be a reques non-contracting states to the EPC with w deemed withdrawn if the validation fee is C All states with validation agreements	to extend the effects of the European patent application and the European patent granted in respect of it to all nich validation agreements are in force on the date on which the application is filed. However, the request is not paid within the prescribed time limit.
Selected state(s):	2 selected
🕅 KH Cambodia	
MA Morocco	
MD Republic of Moldova	
🔲 TN Tunisia	

Figure 180: Selecting validation states

6.4 EP(1001E2K) – Priority

In the **Priority** tab of EP(1001E2K) you can give details of the priorities you wish to claim. You can declare more than one priority.

Translations of priority documents can be attached in the **Documents** tab.

In the Priority tab click the Add button and select National, Regional or International.

Select the office, the type of application and the filing date.

Enter the **Application Number**.

For international and regional priorities the **Application Number** field offers a pre-set format for the application number, e.g.:

• **PCT/US**____/ when you select **US** as the receiving office of the international application.

After the letters **US** enter the four digits for the year and the six digits of the application number. The pre-set slash remains in place.

• EP_____. when you select EP as the regional office.

After the letters **EP** enter eight digits and the check digit for the application number. The pre-set full stop remains in place.

For national priorities the format (where known) is shown to the right of the **Application Number** field. For example, if Italy (**IT**) is selected as the national office, different formats apply:

• LL YYYY A nnnnn for patent applications from 01.01.1991 until 30.06.2016.

LL stands for the province (e.g. **TO** for Torino/Turin), **YYYY** for the year, A for patent application and **nnnnnn** for the number.

• LL YYYY U nnnnnn for utility models from 01.01.1991 until 30.06.2016.

U stands for utility model.

- **10 YYYY nnnnnnnn** for patent applications from 01.07.2016 onwards.
- **20 YYYY nnnnnnnn** for utility models from 01.07.2016 onwards.

When entering national priority numbers you need not be concerned about the correct splitting format within data strings, i.e. you can use hyphens or commas instead of spaces as the format of the punctuation is not critical.

Select the check box **Re-establishment of rights is hereby requested** if the date of filing of the priority application is between 12 and 14 months prior to the current date.

Applications should normally be filed within 12 months of the date of filing of the claimed priority. A yellow validation icon appears if you do not select the check box for re-establishment of rights.

If appropriate, select the check box It is not intended to file a (further) declaration of priority.

For European patent applications claiming no priority (first filings), the Office always performs an accelerated search; no separate request is needed.

🚾 EPO Online Filing - EP(1001E2K)	- Sample 1001	
File Edit View Tools Window	ws Help	
		3
EP(1001E2K) - Draft - Sample	9 1001	Last saved on 11/10/2018
Request 🔕 Names 🛇 States 🛆	Priority (3) Biological Material	Documents 💊 Fees 💊 Annotations
₽ - ×	Regional office:	EP European Patent Office
Nationals	Kind:	patent application
EP-EP 10456000.8	Filing date:	11 August 2017
Internationals	Application Number:	EP 10456000.8
	Request for retrieval of priority do	cument from DAS
	Access code	
	I▼ Re-establishment of rights is herew	ith requested
	This application is a complete trans	lation of the previous application
	<u>.</u>	
	A copy of the search results under Rul	e 141(1) EPC is available for this priority daim.
	Choose file	No file selected
It is not intended to file a (further)	declaration of priority	
		S 12 🛕 7 🕃 11

Figure 181: Priority of a regional application with request for re-establishment of rights

To complete the priority claim, a certified copy of the previous application containing the original of the certificate as issued by the receiving authority must be submitted within sixteen months of the earliest priority date claimed (Rule 53(1) EPC). See also the Decision of the President of the European Patent Office dated 17 March 2009 on the filing of priority documents, published in OJ EPO 4/2009, 236-237.

Filing search results for priority claims

A copy of the search results required under Rule 141(1) EPC for a priority claim does not have to be provided if the results are already available to the EPO; see also Reference (p. 120).

- If the selected office is not exempted from the obligation to file the search results, a yellow validation icon appears in the **Priority** tab.
- If the selected office is exempted from the obligation, a grey validation icon appears. At present (July 2016), these offices are EP, JP, US, AT, GB, KR, DK and ES.

Click Choose file to attach the file with the search results.

The file is renamed **PRSR-1.pdf**.

The caption on the button changes to **Detach file**.

If necessary, click **Detach file** to remove this file and attach a different document for this priority declaration.

EPO Online Filing - EP(1001	E2K) - Sample 100	1						X	
File Edit View Tools Wir	ndows Help								
EP(1001E2K) - Draft - San	ple 1001					Last sa	aved on 0	07.05.2011	
Request Names Stat	es 🛛 Priority 🛆	Biological Material	Documents 📎	Fees 🕄	Annotations				
	National office	::	IT Italy		•	•			
Nationals	Kind:		patent application	ı	•				
Regionals	Filing date:		19 January 2011	15	1				
EP-10456000.8 Internationals	Application Nu	mber:	TO 2011 A 70034	2 L a	L YYYY A nnnnn, llowed between da	spaces, hypher ata items	is or com	mas	
Re-establishment of rights is herewith requested This application is a complete translation of the previous application A copy of the search results under Rule 141(1) EPC is available for this priority claim. Choose file No file selected									
☑ It is not intended to file a (furt	her) declaration of p	riority							
Logged in as Administrator						⊗ 2	▲ 2	3	
Validation Messages/Priority ■ × Severity 2: 1 warning(s) • IT-TO 2011 A 700342: A copy of the search results required under Rule 141(1) EPC must be provided if it is not already available to the EPO. Where the search results required under Rule 141(1) EPC are not available when the EP application is filed, they must be filed with the EPO without delay once they are made available to the applicant. ▼ ③ Severity 3: 1 message(s) • EP-10456000.8: A copy of the search results required under Rule 141(1) EPC is not required if it is available to the EPO and is to be included in the file under the conditions determined by the President of the EPO.									

Figure 182: Declaration of national priority, reference to the search results required under Rule 141(1) EPC

6.5 EP(1001E2K) – Biological Material

In the **Biological Material** tab of EP(1001E2K) you can give details pertaining to the biological material used in/related to by the invention.

Sequence listings are attached in the **Documents** tab.

Details of the deposit of biological material

Click the Add button and select Biology.

In the **Deposit details** sub-tab enter the identification reference.

Select the **Depositary institution** from the list (sorted alphabetically). The data in the **name and address** field is automatically added.

The corresponding reference is entered in the **accession number** field and all you have to do is add your individual number.

Under the **Further details** sub-tab you can attach a copy of the receipt issued by the depositary institution and other electronic documents.

EPO Online Filing - EP(1001E2K) - dcfvvb	×
<u>F</u> ile <u>E</u> dit <u>V</u> iew <u>T</u> ools Windows <u>H</u> elp	
	?
EP(1001E2K) - Draft - dcfvvb Last saved on 19/06/2	2019
Request 🛆 Names 🛇 States 🛆 Priority 🕄 Biological Material Documents 🛇 Fees 🕄 Annotations	
The invention relates to and/or uses biological material which has been deposited under Rule 31	
BI-123456 Deposit details Further details	
Identification reference: BI-123456	
Depositary institution: European Collection of Cell Cultures (ECACC)	
Name and address: Culture Collections Public Health England, Porton Down, Salisbury, Wiltshire SP4 QJG, United Kingdom	
Accession number: ECACC-91234567	-
The information required under Rule 31(1)(c), i.e. depositary institution and accession number or, if the accession number is not yet known on the date of filing, the depositary institution and the depositor's identification reference(s) (number, symbols, etc.), is given in the technical documents on	
Page(s) Line(s)	
Availability restricted to experts (Rule 32(1))	
<u> </u>	11

Figure 183: Details of deposited biological material

6.6 EP(1001E2K) – Documents

In the **Documents** tab of form EP(1001E2K) you can add the mandatory parts of the application as well as other documents. Various options are available for your documents in the three sub-tabs **Specification**, **Sequence listings** and **Additional documents**.

In order to file your application, you must attach a description of the invention. The abstract, claims and any translations required can be filed later.

The attached documents are copies of the originals. If the original changes and you wish to include the changes in the patent application, you will need to reattach the document.

File formats

The Online Filing software offers a number of ways of attaching your technical documents in electronic form:

- Technical documents (description, claims, abstract and drawings) in one or more PDF files
- Technical documents as XML or PatXML files
- Pre-conversion archives as ZIP files

File names

On attachment, all documents are automatically renamed with standard system names, but for ease of recognition, the original file names are stored in Online Filing and appear later both on the form (next to the system names) as well as on the confirmation of receipt issued by the EPO.

Attaching documents

Click the Add button.



A list of the documents which may be attached is shown.

🔤 EPO Onli	ne Filing - E	P(1001E2K) ·	1001-2					
File Edit View Tools Windows Help								
EP(1001E2	EP(1001E2K) - Draft - 1001-2 Last saved on 20/10/2009							
Request	Names	States	Priority	Biological Material	Documents 🛇	Fees 🛈	Annotations	
Specification	Specification Sequence Listings Additional Documents							
Original file name:								
This file contains:								
Pre-conversion archive								
XML attachments in English								
Technical document(s) in English								

Figure 184: Document types for attached files

Language of the documents

The default language of the documents is **English**. Depending on the procedural language selected in the **Request** sub-tab and the language of the application, translations into the procedural language may additionally be requested.

In the example shown, **German** has been selected as the procedural language. The application itself is in Italian. The applicant must therefore file the original application documents in Italian along with translations into German.



Figure 185: Attaching documents in another language

Translations may be filed later if required.

Select the check box **A translation will be supplied later** on the left-hand side below the list of attached documents.

The list of documents which may be attached changes accordingly.



Figure 186: Attaching documents in another language - translations to be filed later

Removing documents

Select the document you want to remove.

Click the **Delete** button.

*

The copy of the file stored in the database is deleted. You can then add new documents again.

6.6.1 Attaching PDF files

You can attach one or more PDF files to your application as technical documents. For example, you can combine all components in a single file, create a separate file for each component or attach a number of components to multiple files. To do this, first attach a file in the **Specification** sub-tab, then specify the type of document and, where applicable, enter the page numbers for the individual components.

Example 1 – All technical document components are attached as individual PDF files

Click the **Specification** sub-tab in the **Documents** tab.

Click the Add button and select Technical document(s) in English.

Navigate to the folder on your computer where you already saved the files. Online Filing opens the working directory that was created under **Tools > User Preferences** in File Manager.

Select the required file.

Click Open.



Figure 187: Navigating to where the documents you want to attach are saved

The file is attached and renamed **SPECEPO-1.pdf**.

Select the check box for the component you attached (Description, for instance).

The page numbers are automatically entered in the **From page:** and **to:** fields.

EPO Online Filing - EP(1001E2K) -	Sample 1001	
File Edit View Tools Windows	Help	
		(?)
EP(1001E2K) - Draft - Sample	001	Last saved on 05/04/2014
Request Names States 🛆	Priority Biological Material Documents 🛇 Fees 🛆	Annotations
Specification Sequence Listings Add	tional Documents	
	Original File Name: Instant water description.pdf	Number of Pages: 7
Technical document(s) in	This file contains:	
SPECEPO-1.pdf		
 Instant water description. 		From assess 📑 to 📑 🕅
	Claims	From page: to 🥖
	Number of claims you intend to pay for (including first 15 claims) :	3
	Abstract	
	Figure to be Published with Abstract: 2 (E.g.: 1, 2	a, 5) From page: to
	Drawings	
	Number of Drawings:	From page: to
It is intended to submit claims later		
A translation will be supplied later.		

Figure 188: Description added as a PDF file in the "Specification" sub-tab

Attach the next PDF file.

The file is renamed **SPECEPO-2.pdf**.

Select the check box for the component you attached (Claims, for instance).

When attaching claims, enter the additional data in the two mandatory fields:

- Number of claims
- Number of claims you intend to pay for (including first 15 claims).
- This indication is exclusively for the purpose of fee calculation. If you do not intend to pay for any claims with this application, please enter **0** (zero) in this field.
- If the number of claims you intend to pay for is lower than the number of claims indicated, a yellow validation icon will appear in the **Documents** tab. In this case, please specify the claims for which you intend to pay by writing a note to the EPO in the **Annotations** tab.

EPO Online Filing - EP(1001E2K) -	Sample 1001									
File Edit View Tools Windows Help										
EP(1001E2K) - Draft - Sample 1	EP(1001E2K) - Draft - Sample 1001 Last saved on 05/04/2014									
Request Names States 🛆	Priority Biological Material	Documents 🛆 🛛 Fees 🛆	Annotations							
Specification Sequence Listings Additional Documents										
	Original File Name:	Instant water claims.pdf	Numbe	er of Pages: 4						
Technical document(s) in	This file contains:									
SPECEPO-1.pdf	Description									
Instant water description. SPECEPO-2 odf			From page	e: to 🤗						
Instant water claims.pdf										
	Number of Claims:	[20 From pag	ge: 1 to 4						
	Number of claims you intend to pay claims) :	for (including first 15	16 🛞							
	Abstract	This indic	ation is exclusively	for the purpose of fee calculation.						
	Figure to be Published with Abstract	t: (E.g.:	1, 2a, 5) From pag	ge: to 🧖						
	Drawings									
	Number of Drawings:		From page	ge: to 🦻						
☐ It is intended to submit claims later										
A translation will be supplied later.										
				<u> </u>						

Figure 189: Claims added – number of claims and number of claims you intend to pay for (including first 15 claims) are entered

Repeat the process until all components are attached.

The software automatically recognises and enters all page numbers.

Select the appropriate check boxes for the attached documents.

You can only attach **Description**, **Claims** or **Abstract** once; these check boxes are disabled once you have attached a PDF file and you go to attach the next file. However, you can add as many drawings as you wish.

Enter additional data for the individual documents:

- If the abstract also contains a drawing: Figure to be Published with Abstract
- If you attach drawings: Number of Drawings

EPO Online Filing - EP(1001E2K) -	Sample 1001				• X
File Edit View Tools Windows	s Help				
					?
EP(1001E2K) - Draft - Sample :	1001			Last saved o	n 05/04/2014
Request Names States 🛆	Priority Biological Material	Documents 🛆 🛛 Fees	Annotations		
Specification Sequence Listings Add	litional Documents				
Technical document(s) in	Original File Name: This file contains:	Instant water drawing.pdf	Numb	er of Pages:	1
SPECEPO-1.pdf * Instant water description SPECEPO-2.pdf	C Description		From pa	ge: to	2
Instant water claims.pdf SPECEPO-3.pdf Instant water abstract.pc SPECEPO-4.pdf	Claims Number of Claims: Number of daims you intend to par daims) :	y for (induding first 15	From pa	ge: to	2
• Instant water drawing.pd	Figure to be Published with Abstra	ct; (E.g.;	1, 2a, 5) From pa	ge; to	P
 It is intended to submit claims later A translation will be supplied later. 	Number of Drawings:	2	From pa	ge: 1 to	I P
				<u></u>	2 3 1

Figure 190: All four technical document components are added as PDF files

Example 2 – A PDF file with more than one component is attached

Click the Add button and select Technical document(s) in English.

Attach the required PDF file.

The file is renamed **SPECEPO-1.pdf**.

Select the check boxes for those components contained in the file (**Description** and **Abstract**, for instance).

Enter the page numbers in the appropriate fields.

- All pages in the document must be accounted for and there must be no overlaps.
- The order of the individual components is not important, that is, the description does not have to appear as the first section on page 1 but can be the last section in the document.
- Every element in the attached document must start on a new page.

Claims may be filed later if required.

Select the check box **It is intended to submit claims later** on the left-hand side below the list of attached documents.

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EP(1001E2K) - Draft - 1001-E	N-div			Last saved on 05/04/2014				
Request Names States 🛆	Priority 🕄 Biological Material	Documents	Fees Annota	tions				
Specification Sequence Listings A	dditional Documents							
¥	Original File Name:	Instant water.pdf		Number of Pages: 10				
Technical document(s) in	This file contains:							
SPECEPO-1.pdf	Description							
* Instant water.pdf			F	From page: 1 to 7				
	Claims Number of Claims;		F	From page; to				
	Number of claims you intend to p claims) :	ay <mark>for (</mark> including first 1	5 🚺 🔅					
	✓ Abstract							
	Figure to be Published with Abst	ract:	2 (E.g.: 1, 2a, 5) F	From page: 8 to 9				
	V Drawings							
	Number of Drawings:	2	F	From page: 10 to 10				
↓ It is intended to submit claims lat	er.							
A translation will be supplied late	r.							
				<u> </u>				

Figure 191: Option to submit claims later selected

6.6.2 Attaching XML and PatXML files

You can add XML files with the file extension **.xml** or **.pxml**. The file extension **.pxml** indicates that the file was generated using the PatXML software. XML files generated in accordance with EPO standards contain the prescribed components: description, claims, abstract and (embedded) drawings, so that no further files need to be attached. For more information about generating XML documents see Preparing documents for attachment (p. 86).

In the **Documents** tab click the **Specification** sub-tab.

Click the Add button and select Technical documents in English (XML).

Go to where your file is stored.

Select the appropriate file type: PatXML files or XML files.

Select the required file.

Click Open.

The file is attached and renamed to application-body.xml.

If applicable, enter the number of the Figure to be published with abstract.

The **number of claims** is identified by the software and automatically inserted.

Enter the **number of claims you intend to pay for (including first 15 claims).** This data is not imported from the XML file.

This indication is exclusively for the purpose of fee calculation. If you do not intend to pay for any claims with this application, please enter 0 (zero) in this field.

However, the number of figures is identified by the software and automatically inserted.

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application-body • instant_water.xr	/.xml ml	Figure to Number o Number o Number o	be published with abstrac f claims: f claims you intend to pay f figures:	t: for (including first 1	5 claims) :	2b			P
I It is intended to submi	it claims later upplied later,	ň.							
							0	0	1

Figure 192: Attaching technical documents as an XML file

6.6.3 Technical documents in other languages

The options available for adding technical documents depend on the **procedural language** and the **filing language** selected in the **Request** tab.

Where the language of the technical documents differs from the selected procedural language, each document in another language must be translated into the procedural language. Various combinations of files are available.

Example 1: Original-language technical documents are attached as a PDF file and the translation is attached as an XML file

In the **Documents** tab, click the **Specification** sub-tab.

Click the Add button and select Original in Italian.

In this example, Italian was selected as the filing language in the Request tab.

Navigate to your PDF document and attach it.

The file is renamed **SPECNONEPO.pdf**.

Enter the number of claims.

Enter the number of claims you intend to pay for (including first 15 claims).

This indication is exclusively for the purpose of fee calculation. If you do not intend to pay for any claims with this application, please enter 0 (zero) in this field.

Enter the number of figures.

If your document does not have any drawings, enter **0**.

If applicable, enter the number of the Figure to be published with abstract.

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Request Names States 🛆	Priority Biological Material	Documents 🛆	Fees 🕄 Annotations	
Specification Sequence Listings Add	litional Documents			
↓ ×	Original File Name:	Acqua instantanea	.pdf	
Original in Italian	This file contains:			
SPECNONEPO.pdf + Acqua instantanea.pdf	The specification in original language can also be attached separately) Number of Claims: Number of claims you intend to pay Number of figures: Figure to be published with abstract	• (At least Descriptio for (including first 15	n and if applicable Abstract,	Claims and Drawings; Drawings
☐ It is intended to submit claims later ☐ A translation will be supplied later.				

Figure 193: Attaching the Italian original

Click the Add button again and select Translations into German (XML).

In this example, German was selected as the procedural language in the **Request** tab, so a translation of the original application into German is required.

Navigate to the XML document containing the translation and add it.

The file is renamed application-body.xml.

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Specification Sequence Listings Add	itional Docum	ents						
			instant_water.xm	h				
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instant_water.xml								
Original in Italian	Number of	claims:			4			
Acqua instantanea.pdf								
	Number of	figures:			3			
					1			
T It is intended to submit claims later								
A translation will be supplied later.								
Logged in as Administrator						0	0	1 🕕 3

Figure 194: Attaching translation into German as XML

Example 2: Multiple PDF files are attached for originals and translations

You can attach up to two files for documents in the original language, i.e. either a PDF file containing the complete set of documents (including drawings) or one file with the documents and another with the drawings. If you would like to attach the drawings separately, we strongly recommend performing the following steps in the order shown:

Attach Drawings in Italian.

The file is renamed **DRAWNONEPO.pdf**.

Enter the Number of figures.

Next, select Original in Italian and attach the file.

The file is renamed **SPECNONEPO.pdf**.

Enter all additional data.

The Number of figures field is deactivated if you already attached a file with drawings.



Figure 195: Documents added in the original language

To attach the two documents with the translations, select the option **Translation of technical document(s) into German** for each document.

Attach the translated drawings first.

The file is renamed SPECTRANEPO-1.pdf.

Select the check box for **Drawings**.

The page numbers are automatically entered in the From page: and to: fields.

Attach the translated specification.

The file is renamed SPECTRANEPO-2.pdf.

Select the check boxes for **Description**, **Claims** and **Abstract** and enter the page numbers for the components.

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Original in Italian									—
Filtro motore.pdf	🔽 Descrip	ption							
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SPECTRANEPO-1.pdf									-
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Filtro motore_DE.pdf									_
	Abstra	ict							
• Filtro motore disegno.pdf					From page	ge: 10	to	10	2
	🗍 Drawin	ngs							_
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It is intended to submit claims later									
🗖 A translation will be supplied later.									
Logged in as Administrator						0	0 🛕	1	5

Figure 196: Documents in Italian and translations in German attached

6.6.4 Pre-conversion archive

The **pre-conversion archive** option allows you to add your original documents, before converting them into PDF or XML files, as a compressed ZIP archive file. This may be helpful if you wish to provide the EPO with your original documents in colour. The documents contained in the ZIP file will not be publicly available nor will they be an integral part of the visible internal procedural file, but they can be accessed for reference, e.g. in the event of quality issues.

(i) The EPO does not recognise documents as legally binding if they are exclusively filed as part of a ZIP archive. To be accepted as legally binding filings, the official patent documents must always be attached as PDF or ST.25 files under the correct document type.

Attaching pre-conversion archive

In the **Documents** tab under the **Specification** sub-tab click the **Add** button.

Select **Pre-conversion** archive.

Navigate to where you have stored your ZIP file and select it.

Click **Open** to add the file.

The file is renamed to **OLF-ARCHIVE.zip**.

The names of the original files from the attached pre-conversion archive are listed on the right.

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Request Names States 🛦	Priority Biological Material	Documents (3) Fee	Annotations	
Specification Sequence Listings Add	litional Documents			
₽ • ¥	Original File Name: This file contains:	ARCHIVE.zip		
 QLF-ARCHIVE.zip ARCHIVE.zip Technical document(s) in SPECEPO-1.pdf DESCRIPTION.pdf SPECEPO-2.pdf CLAIMS.pdf SPECEPO-3.pdf ABSTRACT.pdf SPECEPO-4.pdf DRAWINGS.pdf 	ABSTRACT.docx CLAIMS.docx DESCRIPTION.docx DRAWINGS.docx SEQUENCE-LISTING.APP			
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Figure 197: Attaching pre-conversion archive

6.6.5 Sequence listings

For a first filing, sequence listings must always be submitted in computer-readable format in accordance with WIPO Standard ST.26. If the sequence listing is not available in computer-readable format, please use WIPO Sequence to create sequence listings compliant with the new standard.

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

- Archive File Format (file type .zip)
- XML format (file type .xml)

Click the Sequence Listings sub-tab under Documents.

Select the check box for **The European patent application contains a sequence listing as part of the description**.

A red validation icon appears in the **Documents** tab, indicating that in order to file your application you must attach a sequence listing either as a computer-readable file or in PDF format.

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				?
EP(1001E2K) - Draft - Sample 1001	Las	t save	d on 26,	05/2022
Request 🛆 Names 🛆 States 🛆 Priority 🛆 Biological Material Documents 💊 Fees 🕄 Annotations				
Specification Sequence Listings Additional Documents				
The European patent application contains a sequence listing as part of the description.				
The sequence listing is attached:				
✓ In XML format (WIPO Standard ST.26) in accordance with Rule 30(1) EPC				
WIPO ST.26 file:				
	0	2	9	(i) 7

Figure 198: A sequence listing must be filed as part of the description

Sequence listing in computer-readable format

Select the check box In computer-readable format in accordance with WIPO Standard ST.26.

Select the appropriate file type (XML or ZIP) and click Choose file ...

PO Open					×	
Look in:	Sequences	•	← 🗈 📸 📰 ◄			
Quick access	Name ST_26_long_a ST_26_short.	amended DTD version.xml ml	Date modified 1/19/2021 10:27 PM 1/19/2021 10:27 PM	Type XML Document XML Document	Size	
Desktop This PC		n sequence namy specimencia				
Network	<				>	
	File name:	st26-annex-iii-sequence-listing-specin	nen2.xml	•	Open	
	Files of type: Sequence listing in ST.26					
		Sequence listing in ST.26				

Figure 199: Selecting file type for sequence listing in computer-readable file format

Navigate to the required file and attach it.

Depending on the file type selected, the file is renamed SEQLXML26.xml or SEQLZIP26.zip..

The button's caption changes to **Detach file**.

Request 🛆	Names 🛆	States 🛆	Priority 🛕	Biological Material	Documents 🛇	Fees 🕄	Annotations
Specification	Sequence	Listings Ac	ditional Docu	ments			
The Euro	opean patent	application	contains a seq	uence listing as part of th	ne description.		
The seq	uence listing	is attached:					
🔽 In	XML format (WIPO Stand	ard ST.26) in	accordance with Rule 30(1) EPC		
W	IPO ST.26 file	2:				_	
		(XML	C ZIP	Detach file	SEQLXML2	6.xml	

Figure 200: Sequence listing in XML format attachedNote that, when selecting to submit a sequence listing as ZIP, the provided ZIP file must contain a single ST.26-compliant XML file. If the attached ZIP package contains none or multiple XML files, it will be rejected and a validation error message will be displayed.

Changing the sequence listing format

If you attach a ZIP file and then decide to replace it with an XML file (or vice versa), proceed as follows:

- First, clear the check box for the currently selected format.
 This detaches the current file; both check boxes are now available for selection.
- Select the check box for the required format and attach the corresponding file.

6.6.6 Additional documents

In the **Additional documents** sub-tab you can attach all other documents you wish to send to the EPO, including authorisations, translations of priority documents or other documents.

Example

In this example you are going to add three documents: a translation of the priority documents, an additional information sheet and the search results for an earlier application.

Click the **New** button.

╋

Navigate to the required PDF file and select it.

Click **Open** to attach the file.
From the Document type list, select the option Translation of priority documents.

The file is renamed **PRIOTRAN-1.pdf**.

Specification Sequence Listings	Additional Documents	
Translation priority.pdf	Type Name:	Translation of priority documents Grounds for Re-establishment of Rights US certified priority document Search results required under Rule 141(1) EPC Inventor waiver - Rule 19(3) EPC Inventor waiver - Rule 20(1) EPC Inventor waiver - Rule 19(3) EPC (non public) <otherm _document=""></otherm>

Figure 201: Attaching translation of priority documents as an additional document

Click the New button again to add the second additional document.

Navigate to the PDF file and attach it.

Select <other document> from the Document type list.

The file is renamed **OTHER-1.PDF**.

To describe this document, enter the words Additional information sheet in the Type name field.

Specification Sequence Listings	Additional Documents	
₽		<other_document></other_document>
PRIOTRAN-1.pdf	Type Name:	Additional information sheet
 Translation documents 		,
T OTHER-1.pdf		
 Additional iation sheet 		

Figure 202: Attaching additional document with description

Search results for earlier application

If your application refers to an earlier application which has been declared a priority document, under Rule 141(1) EPC you must file the search results obtained for said earlier application if they are not already available to the EPO. The validation message for the yellow validation icon in the **Documents** tab tells you what to do; see Reference (p. 120).

Click the **New** button.

Navigate to the PDF file and attach it.

From the **Document Type** list select the **option Search results required under Rule 141(1) EPC for previously filed application.**

The file is renamed **PRSR-REF.pdf**.



Figure 203: Adding search results for earlier application

6.6.7 Viewing attached documents

Use the Preview option to check your application as it appears in print.

In the tool bar click the **Preview** button.

P

or

Select **Preview** from the **Tools** menu. The application is shown in the **PDF Viewer**.

The attached documents are listed in Section 44 of Form EP(1001E2K) with their original file names. On the left you can see a list of the files with their respective system names. In this example the form is in German, because German was selected as the procedural language.



Figure 204: Previewing the application (technical documents section) in the PDF Viewer

Click the name of a document to view it in the PDF Viewer. Do the same to view drawings attached as linked images together with an XML document.



Figure 205: Attached drawings shown in the PDF Viewer

6.7 EP(1001E2K) – Fee Payment

In the **Fees** tab you can select the fees associated with your application and indicate how you wish to pay them. All fees must be paid in euros.

The fees displayed in the **Fees** tab reflect the fee schedules located in **File Manager > Tools > Fee Management**.

Make use of the **Live Update** function in Online Filing to ensure that your fee schedule is always up to date. You will find the most recent fee schedule on the EPO website at

Applying for a patent > Online services, following the link Interactive schedule of fees (http://www.epoline.org/portal/portal/default/epoline.Scheduleoffees).

For more information on EPO deposit accounts and the automatic debiting procedure, please refer to the Official Journal:

- Arrangements for deposit accounts (ADA) Supplementary publication 3/2015, p. 8-16 (http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p8.html)
- Notice from the European Patent Office dated 12 February 2015 concerning revision of the Arrangements for deposit accounts (ADA) and their annexes Supplementary publication 3/2015, p. 2-7
 (http://www.ope.org/low.practice/logal.texts/official.journal/2015/ote/se3/p2.html)

(http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p2.html)

 Decision of the President of the European Patent Office dated 29 September 2016 revising points 5.3 and 7 of the Arrangements for deposit accounts (ADA) OJ EPO 2016, A83 (http://www.epo.org/law-practice/legal-texts/official-journal/2016/10/a83.html)

Online fee payment

The EPO offers a quick and secure online fee payment service designed for holders of EPO deposit accounts. For more information, go to the EPO website and navigate to **Applying for a patent > Online services > Online fee payment**

(http://www.epo.org/applying/online-services/fee-payment.html).

6.7.1 Payment details

In the **Payment details** sub-tab you can specify the mode of payment and provide details of the account number and account holder.

You have to specify the mode of payment before you can make a payment. If you do not, no fees will appear in the form for the EPO, even if you have selected one or more fees in the **Fee selection** sub-tab.

Automatic debit order

If you select this option the check boxes in the Fee selection sub-tab are automatically deactivated and the total amount of the fees is shown as EUR 0.00. The EPO will calculate the amount of the fees payable using the information you provided and will debit this amount direct from your account. With this option you cannot select the fees yourself in the form.

Debit from deposit account

If you choose this mode of payment, the relevant fees will be debited directly from your EPO deposit account. If you issue a debit order during normal working hours (08.00-18.00 hrs), you can usually view it under **pending orders** within about 30 minutes. The actual deduction from your account will appear 5 to 6 days later.

Bank transfer

All payments in EUR must be transferred to the EPO's bank account with the Commerzbank AG in Munich, Germany. The IBAN and BIC codes of the EPO's bank account are supplied automatically when you select the Commerzbank from the drop-down list.

Credit card

All payments by credit card must be made via the dedicated EPO fee payment service on the EPO website at **Applying for a patent > Online services > Paying fees online > Pay by credit card** (https://epo.org/fee-payment-service/en/login).

Choosing this mode of payment in the Payment details sub-tab is considered merely an indication of how you intend to pay.

Not specified

Choose this option if you do not intend to pay fees with this form or if you are not sure how you will be paying your fees.

The grey validation icon in the **Fees** tab indicates that the mode of payment is required, but may be specified later.

Debit from deposit account

Select Debit from deposit account as Mode of payment.

Enter the **deposit account number**.

EPO deposit account numbers are made up of eight digits, starting with 28.

You are not required to enter **28** as the leading digits of the deposit account number, since these are automatically supplied by the software. Just enter the six remaining digits. If the deposit account number is not entered correctly, e.g. you enter more than six digits, you will see a red validation icon in the **Fees** tab. The corresponding validation message tells you to verify the deposit account number. The same rule applies to the deposit account number for reimbursement.

Enter the name of the account holder.

If you wish to have the fees debited from your account later than the filing date of your application, enter the date in the **Deferred execution date** field.

Hover your mouse pointer over the symbol ⁽¹⁾ to the right of the **Deferred execution date** field to see the **Important information**:

This functionality allows you to indicate explicitly that your payment order is to be executed at a later date than the submission date.

In this case, the payment date will be deemed to be the deferred execution date, provided that you have sufficient funds on your deposit account on that date.

Please choose the deferred execution date option only if the fees are to be debited on a future date, as otherwise the default execution date is the date of receipt.

The deferred execution date can be a maximum of 40 days in the future.

Please ensure that the deferred execution date lies within the time limit set for paying the selected fees.

Please note that any debit orders (standard or deferred execution) can only be revoked until 00.00 hrs CET on the date of submission (Arrangements for deposit accounts, 7).

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Request Nam	s States 🛆	Priority	Biological Material	Documents	Fees	Annotations					
Payment Details F Mode of Payment: The European Pate	e selection	Debit fr y authorised,	om deposit account to debit from the followin	g deposit account	Curre	ency: EUR O any fees and cos	its indicated in the fee selection:				
Deposit account nu	Deposit account number: 28123456										
Account holder: Nano Enterprise Ltd.											
Deferred execution	date (optional)	1 May 2	014 🗉 🕄	5							

Figure 206: Entering payment details for deposit account

Bank transfer

Select Bank transfer as Mode of payment.

Select DE, Commerzbank AG, München from the list.

This information is mandatory.

The IBAN and BIC codes of the EPO's bank account are supplied automatically.

Payment Details Fee selection									
Mode of Payment:	Bank transfer Currency: EUR								
The fees and costs indicated under	The fees and costs indicated under Fee selection will be paid within a month after filing by transfer to the following bank account held by the EPO:								
Bank:	DE, Commerzbank AG, München								
Bank account:	IBAN: DE20 7008 0000 0333 880000 / BIC: DRESDEFF700								

Figure 207: Selecting bank transfer as mode of payment

Further options

The Payment details sub-tab offers some additional options at the bottom of the screen.

If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, select the corresponding check box.

This information applies to all selected modes of payment. If you selected **automatic debit order** or **debit from deposit account**, you are only required to enter an account number here if that number is different from the account number used for payment.

Enter the EPO deposit account number and supply the account holder's name.

If you want to request a refund of the search fee, select the corresponding check box and enter the application number of the earlier search report.

If you need **additional copies of the documents cited in the European search report**, select the corresponding check box and enter the number of copies required.

The validation message (yellow icon) informs you that the corresponding fee 055 should also be selected. You should therefore select the check box for fee 055 in the **Fee selection** sub-tab (it is not selected by default).

✓ Reimbursement, if any, to be made to deposit account with the EPO:	28123456
Account holder: Nano Enterprise Ltd.	
▼ Refund of the search fee under Article 9(2) RFees is requested on the basis of the earlier search report	EP11012345.2
I Additional copies of the documents cited in the European search report:	2 Copies
Logged in as Administrator	

Figure 208: Other options for fee payment in Form EP(1001E2K)

6.7.2 Fee selection

Frequently paid fees such as the **Filing fee (001)** and the **Fee for a European search (002)** are automatically selected and calculated by the software.

Other fees such as **extension fees** or the fee for **additional copies of documents cited in the search report (055)** become applicable based on the selections you make in the form.

The validation messages indicate which fees are to be paid.



Figure 209: Validation messages with information on the fees to be paid

Select the check boxes of the fees to be paid.

The relevant quantity is already entered.

The amount to pay is automatically calculated.

The check boxes for fees not applicable in this application are locked.

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	055	Add. copy of	docs cited in	n search report	40	.00		3		120.00	
	∧S 401	Extension fee state as from	e for Slovenia 1.12.2002)	a (SI) (EPC contracting	102	.00		1		0.00	
	402	Extension fee contracting s	e for Lithuani tate as from	ia (LT) (EPC 1.12.2004)	102	.00		1		0.00	
	403	Extension fea state as from	e for Latvia (1.7.2005)	LV) (EPC contracting	102	.00		1		0.00	
	404	Extension fee	e for Albania	(AL)	102	.00		1		0.00	
	405	Extension fea contracting s	e for Romani tate as from	a (RO) (EPC 1.3.2003)	102	.00		1		0.00	
	406	Extension fee	e for former	Yugoslav Republic of	102	.00		1		0.00	~
🔲 Edit fee	e amounts <mark>(</mark> no	o automatic fee	e correction	will be done by the office	e)						
Fee schedu	ule for EUR va	alid as of:		01.04.2014				Total:	(6 Fees) EUR 1 525	.00
									o	<u> </u>	1

Figure 210: Selecting fees

Filtering the fees displayed

You can filter the list of fees by selecting one of the options in the Show list:

- All fees
- Selected fees only: all fees selected for the current application.

The claims fees, **015** and **015e**, are selected by default and always locked. The quantity for both fees is determined by the **Number of claims you intend to pay for (including first 15 claims)** field in the **Documents** tab and cannot be edited in the **Fee selection** sub-tab.

Selecting the appropriate generation in the **Divisional** sub-tab immediately triggers the selection of the correct fee in the **Fee selection** sub-tab, e.g. **Additional fee for 2nd generation (552)**. The check box for this fee cannot be cleared.

Payr	ment De	tails Fee se	lection				
Sho	w:	Selected f	ees only		•	٩	
		Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
Г	\checkmark	001	Filing fee - EP direct - online	120,00	none	1	120,00
	\checkmark	002	Fee for a European search - Applications filed on/after 01.07.2005	1 285,00		1	1 285,00
	\checkmark	015	Claims fee for 16th up to 50th daim	235,00		0	0,00
	~	015e	Claims fee - For the 51st and each subsequent daim	580,00		0	0,00
	✓	055	Add. copy of docs cited in search report	40,00		3	120,00
	~	501	Additional filing fee for the 36th and each subsequent page	15,00	none	0	0,00
	~	552	Additional fee for divisional 2nd generation	210,00	none	1	210,00
Γ	Edit fee	e amounts (no	automatic fee correction will be done by the office)			
Fee	e schedu	ule for EUR va	lid as of: 01.04.2014		[Total:	(7 Fees) EUR 1 735,00

Figure 211: Showing selected fees only

Changing the fee quantity

The value in the **Quantity** column can only be edited for the following fees:

- 002 Fee for a European search Applications filed on/after 01.07.2005
- 029 Certified copy (application, priority document, patent certificate, other documents)
- 055 Add. copy of docs cited in search report
- 501 Additional filing fee for the 36th and each subsequent page

Editing fee amounts and reductions

If you wish to edit a fee amount or apply a specific reduction, you have to select the **Edit fee amounts** check box. If you do so, please note that there will be no automatic fee correction for this application. Depending on your selected mode of payment, the total amount shown will be debited from your deposit account or is payable by bank transfer.

Select the Edit fee amounts check box.

This activates the **Amount EUR** and **Reduction** fields for editing.

Select the fee you wish to edit.

Click in the field to be edited, in our example Amount EUR.

Enter the new amount.

Payment D	etails Fee se	lection				
Show:	Selected f	ees only	Code		•	P
					_	
	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
	001	Filing fee - EP direct - online	120,00	none	1	120,00
	002	Fee for a European search - Applications filed on/after 01.07.2005	1 900 I	none	1	1 285,00
\checkmark	015	Claims fee for 16th up to 50th daim	235,00	none	0	0,00
~	015e	Claims fee - For the 51st and each subsequent daim	580,00	none	0	0,00
	055	Add. copy of docs cited in search report	40,00	none	3	120,00
	501	Additional filing fee for the 36th and each subsequent page	15,00	none	0	0,00
~	552	Additional fee for divisional 2nd generation	210,00	none	1	210,00
I Edit fe	e amounts (no	automatic fee correction will be done by the office)			
Fee sched	lule for EUR va	lid as of: 01.04.2014		1	ſotal:	(7 Fees) EUR 1 735,00

Figure 212: Selecting the "Edit fee amounts" option and editing the fee

Click anywhere on the form.

The value in the **Amount to pay EUR** column and the total amount of the fees are automatically recalculated.

ow:	Selected f	rees only		•		
	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
I	001	Filing fee - EP direct - online	120,00	none	1	120,
	002	Fee for a European search - Applications filed on/after 01.07.2005	900,00	none	1	900,
~	015	Claims fee for 16th up to 50th claim	235,00	none	0	0,
\checkmark	015e	Claims fee - For the 51st and each subsequent daim	580,00	none	0	0,
~	055	Add. copy of docs cited in search report	40,00	none	3	120,
	501	Additional filing fee for the 36th and each subsequent page	15,00	none	0	0,
~	552	Additional fee for divisional 2nd generation	210,00	none	1	210,
Edit fe	e amounts (no	automatic fee correction will be done by the office)			

Figure 213: Edited fee amount and updated fee total

If you want to undo changes to the fee amounts, you can restore the values from the fee table in Online Filing.

Clear the Edit fee amounts check box.

The original values for all fees are restored in the form.

6.8 EP(1001E2K) – Annotations

In the Annotations tab you can enter notes to be transmitted to the EPO.

Creating notes for the EPO

Click the Add button and select New Note.



Enter the relevant information in the Author, Subject and Note fields.

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Request Names States 🛆	Priority	Biological Material	Documents 🛆	Fees 🛈	Annotations				
Claims to be paid Jennif	Author: Subject:	Jennifer Hancock							j
	Note:	As indicated under Do There are 20 claims in 5, 7, 13 and 18.	cuments it is intende total of which the fo	∋d to pay for	16 claims. Is are excluded from	payment:		•	
Logged in as Administrator						0	0	2	4

Figure 214: Adding a new note for the EPO

To add notes that are not intended for the EPO, use the **Internal notes** (p. 42) function on the form's toolbar.



7. Euro-PCT(1200E2K)

Euro-PCT(1200E2K) is the form used for entry of an international application into the European phase before the EPO as designated or elected office.

To file an application via the Euro-PCT procedure it must previously have been filed as an international application via the PCT route. For more information visit the WIPO website and go to **IP Services > PCT > Legal Texts** (http://www.wipo.int/pct/en/texts/).

Data input in form Euro-PCT(1200E2K)

Form Euro-PCT(1200E2K) is organised into seven tabs. It is recommended to enter the data in the tab sequence given, i.e. starting with the **Requests** tab. Certain options and conditions in the **Documents** tab, for instance, are determined by the selections you make in the **Requests** tab.

Tab	What you can do
Requests	Select the EPO's role, request examination in admissible non-EPO language.
	Select early processing of the application.
	Select waivers relevant for acceleration of the procedure.
	Select the language of the international publication and the procedural
	language.
	Enter details of the international application, select the ISA and IPEA.
Names	Enter changes concerning applicant(s), representative(s) and authorisations
	named in the international application.
States	Designate contracting states, extension states and validation states.
Biological	Enter details of deposited microorganisms and the depositary institution.
Material	
Documents	Attach amendments, translations of priority applications and other electronic
	files.
	Enter the number of pages in the documents attached or referenced.
Fees	Enter the mode of payment, select fees according to the appropriate fee
	schedule.
Annotations	Supply additional information for the EPO.

Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. You must either manually fill out this field or select one of the options provided. If mandatory fields are not completed, the corresponding tab will show a red validation icon. Consult the validation messages for more information.

Requests 🚫	Names 🛈	States 🕄	Biological Material	Documents 📎	Fee Payment 🛆	Annotations	
PCT Application	Number:	PCT/_					

Figure 215: The PCT application number is a mandatory field in the Requests tab and is marked with a red triangle

Elements in Form Euro-PCT(1200E2K)

	rooldar	Location Indicator	Bar		Navigation Bar
El O Online Filing - E	ro-PCT(1200E2K) - Sample120	0			
	Windows Help				G
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tequests 🛇 Names 🛈	States 🛕 Biological Mate	erial Documents 🛇	Fees 🛕 🛛 A	nnotations	
intry into the European xamination of the applicat Request for examination The/Each applicant here toceleration of procedu Early processing of the	Phase PD as d PD as e on under Article 94 BPC is hereby n in an admissible non-EPO langua iby declares that he is an entity o are application pursuant to Article 23	esignated office lected office r requested. The examin sge	ation fee is bein	ig (has been, w	il be) paid.
The applicant waives hit	right to be asked under Rule 70	(2) EPC whether he wish	es to proceed f	urther with the	application.
The applicant waives his The applicant waives his Data sheet The language of the interna trocedural Language: ICT Application Number: ICT Publication Number: IP Application Number: International Filing Date:	s right to be asked under Rule 70 s right to the communication unde itional publication is: PCT// [WO [EP] [dd.mm.yyyy	(2) EPC whether he wish r Rules 161(1) or (2) and International International C IPEA o	es to proceed fi d 162 EPC. English Searching Auth Preliminary Exa ther than EPO	ority (ISA)	((DEA) (C IPEA is EPO
The applicant waives he The applicant waives he Data sheet The language of the internal Procedural Language: PCT Application Number: PCT Publication Number: P Application Number: International Filing Date:	s right to be asked under Rule 70 s right to the communication unde tional publication is: PCT// WO EP dd.mm.yyyy	(2) EPC whether he wish r Rules 161(1) or (2) and International International C IPEA o	es to proceed fi d 162 EPC. English Searching Auth Preliminary Exa ther than EPO	ority (ISA)	y (IPEA) (IPEA) (IPEA IS EPO S 9 (A 3 (O)

Figure 216: Euro-PCT(1200E2K) - Overview

Element	Description
Menu Bar	Provides all options needed to edit, save, import and export drafts, set the
	display and change the status, as well as other tools.
Toolbar	Provides shortcuts to the most frequently used tasks and tools.
Location	Shows the selected procedure, the current status and the user reference for
Indicator Bar	the open draft.
Navigation Bar	Displays tabs corresponding to the sections of the form. These tabs can
	contain sub-tabs, which are a sub-division of the main tab sections within the
	form.
Details Area	Displays data entry fields appropriate to the selected tab.
Status Bar	Displays information about the current activity. Shows the total number of
	validation messages for the open draft.

7.1 Euro-PCT(1200E2K) – EP Phase

The **Requests** tab of Euro-PCT(1200E2K) is where you request examination of your application under Article 94 EPC.

For the latest version of the EPC see the EPO website at Law & practice > Legal texts > European Patent Convention (http://www.epo.org/law-practice/legal-texts/epc.html).

The Requests tab contains two sections for entering data:

- Entry into the European phase (EPO as **designated** or **elected office**)
- Data sheet

7.1.1 Entry into the European phase

Select the EPO as either designated office or elected office.

Language in which the request for examination is made

Applicants who are nationals of an EPC contracting state or who have their residence or principal place of business in an EPC contracting state can request examination in an official language of that state, if this language is an admissible non-official EPO language, i.e. if it is not English, French or German (Article 14(4) EPC).

If appropriate, select the check box **Request for examination in admissible non-official EPO language**.

Select the relevant language from the drop-down list.

The text "Examination of the application under Art. 94 EPC is hereby requested" is displayed in the selected language.

Declaration under Rule 6(4) EPC

The check box for the declaration under Rule 6(4) becomes available if you select the check box **Request for examination in admissible non-official EPO language**.

The validation message in the **Requests** tab (severity level 2) provides further details. If each applicant fulfils the conditions of Rule 6(4) EPC, then you should select the corresponding check box intended for the declaration under Rule 6(4) EPC to enable the Online Filing software to calculate the fee reduction.

Under Rule 6(3) EPC, the EPO grants a reduction in the examination fee and filing fees if applicants referred to in Article 14(4) EPC belong to one of the following groups specified in Rule 6(4) EPC:

- a. small and medium-sized enterprises (SMEs);
- b. natural persons; or
- c. non-profit organisations, universities or public research organisations.

To declare that the applicant(s) fulfil the conditions of Rule 6(4), select the check box **The/Each** applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.

To qualify for the fee reduction, all applicants have to fulfil both the above-mentioned conditions under Rule 6(4) EPC and the following conditions under Article 14(4) EPC:

- Natural applicants must be nationals of an EPC contracting state having an admissible nonofficial EPO language or residents in an EPC contracting state having an admissible non-official EPO language.
- Legal applicants must have their principal place of business in an EPC contracting state having an admissible non-official EPO language.
- The selected language must be both an official language of the EPC contracting state of at least one of the applicants and an admissible non-official EPO language (i.e. it must not be English, French or German).
- Please verify that all applicants, both those already available to the EPO from the international application and those for whom you indicate changes in the Names tab, fulfil these conditions. For more details, see Applicants (p. 124) in the Form EP(1001E2K) section.

The reduction in the **examination fee (006/006e)** is determined by the role(s) selected for the EPO in the **Data sheet** (p. 172) section:

- if the EPO is the designated office
- if the EPO is the elected office and the IPEA is not the EPO
- if the EPO is the elected office and the IPEA is the EPO
- if applicants fulfil both the above-mentioned conditions under Rule 6(4) EPC and under Article 14(4) EPC.

Early processing

If applicable, select the check box Early processing of the application pursuant to Article 23(2) / 40(2) PCT is hereby requested ("early entry into the European phase").

Waiver, Rule 70(2)

If the EPO is not selected as the International Searching Authority (ISA) and if appropriate, select the check box The applicant waives his right to be asked under Rule 70(2) EPC whether he wishes to proceed further with the application.

(i) This waiver does not apply until after payment of the examination fee; see Fee selection (p. 200).

Waiver, Rules 161(1) or (2) and 162

If applicable, select the check box **The applicant waives his right to the communication under Rules 161(1) or (2) and 162 EPC.** This waiver does not apply until after payment of the claims fees. Account holders participating in the automatic debiting procedure should pay any claims fees due on entry into the European phase using another permitted mode of payment; see Payment details (p. 198).

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Euro-PCT(1200E2K) - Draft - Sample1200 Last saved on 08/03/2018				
Requests 📎 Names 🕄 States 🛕 Biological Material Documents 📎 Fees 🛆 Annotations				
Entry into the European Phase				
Examination of the application under Article 94 EPC is hereby requested. The examination fee is being (has been, will be) paid.				
Request for examination in an admissible non-EPO language				
The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC,				
Acceleration of procedure				
Early processing of the application pursuant to Article 23(2) / 40(2) PCT is hereby requested ("early entry into the European phase"). The applicant waives his right to be asked under Rule 70(2) EPC whether he wishes to proceed further with the application. The applicant waives his right to the communication under Rules 161(1) or (2) and 162 EPC.				

Figure 217: Information on entry into the European phase

7.1.2 Data sheet

Select the language of the international publication from the drop-down list.

This information is mandatory.

The drop-down list to select the **procedural language** becomes available. By default, the procedural language is set according to the selected of the international publication selected:

- the same language if English, German or French is selected
- English if another language is selected.

If required, change the procedural language.

The application form will be created in the language selected. However, this setting has no effect on the language of the Online Filing graphical user interface.

Enter the number of the previous application under PCT application number.

This information is mandatory.

Enter the **PCT publication number** and the EP application number where applicable.

Enter the corresponding international filing date.

or

Select the date using the calendar icon.

15

The international filing date is mandatory and should match the year of the PCT application number.

If the year of filing is different from the year in the PCT application number, a yellow validation icon is displayed. You can file your application to the EPO nevertheless, but please ensure that the data you enter is correct.

Select the appropriate International Searching Authority (ISA).

This information is mandatory.

If the EPO is the elected office, select the appropriate International Preliminary Examining Authority (IPEA).

The default option is **IPEA is EPO**.

Data sheet	
The language of the international publication is:	
Procedural Language:	English
PCT Application Number: PCT//_	International Searching Authority (ISA)
PCT Publication Number: WO	
EP Application Number: EP	International Preliminary Examining Authority (IPEA)
International Filing Date: dd.mm.yyyy	IPEA other than EPO IPEA is EPO
	🚫 10 🛕 3 🚯 9

Figure 218: Information on the data sheet in the Requests tab

7.2 Euro-PCT(1200E2K) – Names

The **Names** tab of Euro-PCT(1200E2K) is where you can make changes to applicant and representative details. You can also specify an extra address for correspondence with the first-named applicant or add a new representative. You are not required to enter any extra data if there are no changes to either the applicant or the representative.

Additional information about applicant

In the Names tab, click the Add button.



Select Applicant, Legal or Applicant, Natural.

Enter the details for the applicant or use the **Copy from Address Book** button.



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File Edit View Tools Windows Help								
Euro-PCT(1200E2K) - Draft - Sample1200 Last saved on 08/03/2018								
Requests 💊 Names 🔅 State	s 🛕 🛛 Biological Mater	ial Documents 🛇 Fees 🛆	Annotations					
Indications concerning the applicant(s) are contained in the international publication or recorded by the International Bureau after the international publication. Changes which have not yet been recorded by the International Bureau are set out here:								
	Last name:	Corallos						
Applicants	First name:	José	Company:	Corallos LTD				
Corallos, José Representatives	Title:	Mr	Department:					
	Please use appropriate upper and lowercase letters							
	Country:	PT Portugal	Telephone: +32 1 456 789					
	Address:	45 E Calle del Sol Fax:		+32 1 456 788				
		E-mail		cj@corallos.pt				
	P.O. Box:							
	Postal code:	123456	Nationality:	PT Portuga	I 🔽			
	City:	Lisboa	Residence:	PT Portuga	al 💌			
	Region:	v						
	Address for corresp	oondence						
	The applicant has a	ilready been recorded by the Inter	national Bureau,					
				0	9 🛕 3 🕄 9			

Figure 219: Applicant details

Removing names from the form

Select the name to be removed on the left-hand side of the form.

Click the **Delete** button.



Address for correspondence with the applicant

You can specify a separate address for correspondence with the first-named applicant if you have not added a representative to the form. The country in the address for correspondence must be an EPC contracting state. The address for correspondence is only valid if the country in the applicant's main address is also an EPC contracting state.

The **Address for correspondence** check box is unlocked after the mandatory fields for the firstnamed applicant have been completed, i.e. First Name, Last Name (or Company), City and Country.

Select the first-named applicant.

Select the Address for correspondence check box.

Address for correspondence then appears in the list on the left.

Entering the address for correspondence is now mandatory. The red validation icon in the **Names** tab notifies you of a validation message to that effect.

If there is no change of applicant and you just want to add a different address for correspondence, select the check box **The applicant has earlier been recorded by the International Bureau**.

Click the Add button and select Address.

┝- 💥 👰 🐙	Last name:	Corallos		
Applicant, Legal	First name:	José	Company:	Corallos LTD
Applicant, Natural	Title:	Mr	Department:	
Address		Please use appropriate upper a	and lowercase letters	
	Country:	PT Portugal	▼ Telephone:	+32 1 456 789
	Address:	45 E Calle del Sol	Fax:	+32 1 456 788
			e-mail	cj@corallos.pt
	P.O. Box:			
	Postal code:	12456	Nationality:	PT Portugal 💌
	City:	Lisboa	Residence:	PT Portugal
	Region:		-	, , , <u> </u>

Note that the **Representatives** options have disappeared.

Figure 220: Adding address for correspondence with the applicant

The first applicant's name appears under **Address for Correspondence** on the left and the data entry fields become available on the right.

Edit the address information as required.

- The applicant's name cannot be edited in the address for correspondence. The Company field (legal applicant) and the Last Name and First Name field (natural applicant) are locked.
- If you subsequently modify the first-named applicant's name under Applicants, the name in the address for correspondence will be updated accordingly.
- If you delete the first-named applicant, the address for correspondence will also be removed from the form.

Indications concerning the applicant(s) are been recorded by the International Burea	e contained in the internatio au are set out here:	nal publication or recorded by the International Bureau after the international publication. Changes which have not yet
	Last Name:	Corallos
Applicants	First Name:	José
Corallos, José		,
Address for Correspondence	Country:	GB United Kingdom 🔻
Corallos, José		
	Address:	306, Westminster Lane
	P.O. Box:	
	Postal code:	G 1U M3W
	City:	Oxford
	GB County:	Oxfordshire 👤

Figure 221: Address for correspondence with the applicant

Applicant is represented by an employee

If the applicant is a company (legal person) with principal place of business in an EPC contracting state, it can be represented by an employee. An employee can only be selected as a representative if no other representative (legal or natural person) has been added to the form.

Select the check box [Company] is represented by the following employee acting pursuant to Art. 133(3) EPC.

Enter Last Name (mandatory field), First Name (mandatory field) and Title.

The name of this employee will be automatically filled into the **Sign Application** dialog and cannot be modified. Only an employee who is authorised by the applicant under Article 133 EPC is entitled to sign.

💥 👰 🐙	Company:	Micro York	Department:	Patents
licants	Country:	GB United Kingdom	Telephone:	+44 1904 660345
Micro York	Address:	38, Fullerton St.	Fax:	+44 1904 660480
			E-mail	info@micro-york.co.uk
	P.O. Box:			
	Postal code:	YO1 9QN		
	City:	York		
	GB County:	Yorkshire	 Principal place of business: 	GB United Kingdom 💌
	Address for co	prrespondence has already been recorded by the Inl	ernational Bureau,	
	Micro York is re	epresented by the following employee	e acting pursuant to Art. 1	33(3) EPC:
			-	
	Last name:	White	Title:	Ms

Enter the **General Authorisation** number (where applicable).

Figure 222: Applicant is represented by an employee

Representative

The **Representative** option is only available if no address for correspondence has been entered and if the applicant is not being represented by an employee under Article 133(3) EPC. The country of the representative must be an EPC contracting state.

In the Names tab, click the Add button.

Select **Representative**, **Association**, **Representative**, **Legal Practitioner** or **Representative**, **Authorised**.

In the Name and Address sub-tab, complete the details or copy the name from the Address Book.

Indications concerning the applicant(s) a been recorded by the International Bure	are contained in the internation eau are set out here:	al publication or recorded by the Internatio	nal Bureau after the intern	ational publication. Changes which have not yet
	Name and address	Authorisation		
Applicants	Company:	IP Partners		
🚨 Burton, Peter			-	
Representatives	Department:	European Patents	Association No.:	485
IP Partners				
	Country:	GB United Kingdom 🔽	Telephone:	+44 1223 3516-0
	Address:	Cambridge Science Park 100 Red Lion Square	Fax:	+44 1223 351690
			e-mail	office@ip-partners.co.uk
	P.O. Box:	5088		
	Postal code:	CB2 1AB		
	City:	Cambridge		

Figure 223: Representative (association) information entered

Authorisation

The Authorisation sub-tab is used to give details relating to the representative.

Select the Authorisation check box.

Select the appropriate option.

(\mathbf{i})	Related documents can be attached in the Documents tab; see Additional documents (p.
	192).

	Name and Address Authorisation
Applicants	☑ Authorisation
Nano Enterprise Ltd., Representatives	C An individual authorisation is attached.
Representative, Auth	A general authorisation has been registered under number:
Inventors	 A general authorisation has been filed but not yet registered.

Figure 224: Entering details of authorisation for representative

7.3 Euro-PCT(1200E2K) – States

The **States** tab of Euro-PCT(1200E2K) is where you designate the countries in which you wish to obtain patent protection.

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

(i) Under the automatic debiting procedure, extension fees and validation fees will be debited only for the states indicated here, unless the EPO is instructed otherwise before expiry of the period for payment.

Designation

You do not have to select the designated states. All the contracting states party to the EPC at the time of filing of the international patent application and designated in the international application are deemed to be designated (see Article 79(1) EPC).

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Requests 🛈 Names States 🛆	Biological Material	Documents 📎	Fees 🛆	Annotations				
Designation Extension Validation								
deemed to be designated (see Article 79	(1) EPC).					4	2	6

Figure 225: All contracting states designated

Extension

Select the appropriate option.

If required, select individual states.



Figure 226: Selection of extension states

Validation

In the **Validation** sub-tab, select the states with validation agreements to which the patent application filed should also be extended. Appropriate fees are payable for the selected validation states.

Click the **Validation** sub-tab.

Select the required option and, where appropriate, the individual states required.

(i) Make sure	you also select the validation fees for these states in the Fees	s tab.
Designation Extension Validation This entry into the European phase respect of it to all non-contracting on which the international applica Note: Under the automatic debiting expiry of the period for payment.	on se is deemed to be a request to extend the effects of the European patent application and the European patent granted in g states to the EPC designated in the international application with which validation agreements were in force on the date tion was filed. However, the request is deemed withdrawn if the validation fee is not paid within the prescribed time limit. Ing procedure, validation fees will be debited only for states indicated here, unless the EPO is instructed otherwise before	
C All states with validation agree	eements	
• Selected state(s):	1 selected	
🖵 KH Cambodia		
MA Morocco		
MD Republic of Moldova		
🔲 TN Tunisia		

Figure 227: Selecting validation states

If you change the international filing date in the **Requests** tab, none of the extension states and validation states will be selected, i.e. the default settings appear and any states previously expressly selected are lost. If this happens, please click the **States** tab and select the states again as appropriate. The yellow validation icon in the **States** tab notifies you of a warning message to this effect.

7.4 Euro-PCT(1200E2K) – Priority

In the **Priority** tab of EP(1001E2K) you can give details of the priorities you wish to claim. You can declare more than one priority. Translations of priority documents can be attached in the **Documents** tab.

The document type "Request for retrieval of priority document via DAS" shall be added as type of document under the sub-tab Additional Documents and category Other document. The following should be observed:

- Documents of this type are classified as public.
- Multiple document types can be attached to the same application.
- The file type shall be named 'F1013.pdf'

EPO Online Filing - Euro-PCT(120	0E2K) - Example	- • •
File Edit View Tools Windows	; Help	
		(?)
Euro-PCT(1200E2K) - Draft - Ex	cample	Last saved on 24/10/2018
Requests 📎 Names 🕢 States 🛆	Biological Material Documents 🛇 Fees 🛆 Annotations	
Proceedings Amendments and Transl	ations Document Overview Sequence Listings Additional Documents	
₽ + ¥	Document Type: Request for retrieval of priority document free	
Other document	Type Name:	
🔁 F1013-1.pdf		
		🚫 9 🛕 3 🕃 9

Figure 228: Document type in Additional Documents

7.5 Euro-PCT(1200E2K) – Biological Material

The **Biological Material** tab of Euro-PCT(1200E2K) is where you input details of any biological material filed and give the name the depositary institution.

The form assumes that the invention relates to and/or uses biological material deposited under Rule 31 EPC. For the latest version of the EPC see the EPO website at **Law & practice > Legal texts > European Patent Convention** (http://www.epo.org/law-practice/legal-texts/epc.html).

Adding biological material details

In the Biological Material tab, click the Add button and select Biology.

In the Deposit details sub-tab, enter the Identification Reference.

Select the **Depositary institution** from the list.

The Name and Address field data is supplied automatically.

Enter the depositary institution code followed by your individual number in the **Accession number** field.

You can add a copy of the acknowledgement of receipt from the depositary institution or a waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC in the **Further details** tab.

EPO Onlin	e Filing - Eu	ro-PCT(1200	DE2K) - Sample 1200							x
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	I 🖓	P								?
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Sample 12	00 Bio012	1	The invention uses and/or re Deposit details Further d	elates to biological r etails	naterial v	which has been dep	oosited under I	Rule 31.		
			Identification reference:	Sample 12	00 Bio0 1	2				
			Depositary institution:	Colección	Española	a de Cultivos Tipo ((CECT)			•
			Name and address:	Edificio 3 (Escardino,	CUE, Pai , 9, 4698	rc Cientific Universit O Paterna (Valencia	at de Valencia a), Spain	a, Catedrático	Agustín	^
										~
			Accession number:	CECT-334	5578					
			The particulars referrer reference(s)) [number translation submitted of Page(s)	ed to in Rule 31(1)(r, symbols, etc.] of on	c) (if no the dep	t yet known, the de ositor) are given in Line(s)	eposit institution the internation	on and the inc nal publication	dentification n or in the	
								<u> </u>	<u> </u>	3 4

Figure 229: Deposit details for biological materials

7.6 Euro-PCT(1200E2K) – Documents

The **Documents** tab of Euro-PCT(1200E2K) is where you confirm the documents to be used in proceedings before the EPO. This is also where you can attach amendments, translations, sequence listings and any additional documents.

Proceedings

In the **Proceedings** tab, specify which documents are to be used as a basis for proceedings in addition to the published international application documents.

Select the check box **Enclosed amendments** under **Proceedings** if you plan to attach amendments.

You can also file documents with subsequent annotations or highlighted annotations/amendments to amended technical documents as the document type Amendments with annotations in the Additional documents (p. 192) tab.

Select the declaration on the **priority documents**, if appropriate.

The **Use of Test reports** check box is automatically selected and cannot be edited. It is only selected if the options **EPO as designated office** and **IPEA is EPO** were selected on the **Requests** tab.

EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200							
File Edit View Tools Windows Help							
	1						
Euro-PCT(1200E2K) - Draft - Sample 1200	Last saved on 06.04.2010						
Requests Names States 3 Biological Material Documents S Fees A Annotations							
Proceedings Amendments and Translations Document Overview Sequence Listings Additional Documents							
Documents to be used in proceedings before the EPO Use of test reports							
Proceedings before the EPO as elected Office (PCT II) are to be based on:	liminary Examining Authority has been						
The documents on which the international preliminary examination report is based, including any annexes	se may be used as the basis of						
₩ Enclosed amendments							
Declaration							
Priority Document(s):							
□ It is hereby declared that the international application as originally filed							
is a complete translation of the previous application (Rule 53(3) EPC)							
Logged in as Administrator							

Figure 230: Options for documents in proceedings

7.6.1 Amendments and translations

Add amendments and translations for the international application, translations of amendments, translations of the priority application or translations of the annexes to the international preliminary examination report in the **Amendments and Translations** tab.

Documents containing highlighted annotations/amendments can be attached as **Amendments with annotations** in the Additional documents (p. 192) tab.

Click the Add button.

Select the appropriate type of document, e.g. Amendments.

- The option Amendments only appears if Enclosed amendments has been selected in the Proceedings sub-tab.
- There are various different translation options depending on the data entered in the Request tab on the role of the EPO (designated or elected office) and on the language of the international application.



Figure 231: Selecting document category for amendments and translations

Navigate to the PDF file location.

Select the file and click **Open** to attach it.



Figure 232: Find and open a PDF file

Select the check box for the component you added to the amended document, e.g. **Amended** claims.

The file is renamed **AMSPECEPO-1.pdf**. The original file name is displayed for reference. The number of pages is supplied automatically.

Repeat the process to attach additional documents, e.g. the translation of the priority application.

EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200-1									
Euro-PCT(1200E2K) - Draft - Sample 1200-1 Last saved on 16.0								16.04.2010	
Requests 🕃	equests ③ Names States ③ Biological Material Documents ◇ Fees ▲ Annotations								
Proceedings	Amendment	ts and Transla	ations Document Overv	riew Sequence Listin	ngs Addit	ional Documents			
-}- ≯	\$		Original file name: This pdf file contair	Claim:	s Modificati	on.pdf	Number of pages		4
Amendma AM • Cla	ents ISPECEPO-1.; ims Modificat	pdf tion.pdf	Amended description	on			From page:	to	P
			Amended claims				From page:	to	4
			Amended abstract				From page:	to	P
			Amended drawings	3			From page:	to	P
Logged in as A	dministrator						0	2 🛛 🛆	1 🛈 6

Figure 233: Attaching amended claims

Proceed as follows to attach a PDF file containing multiple components of the international application's translation:

Click the Add button and select Translation of international application.

Attach the PDF file.

The file is renamed **SPECTRANEPO-1.pdf**.

Select the check boxes one at a time for the components contained in the file and enter the appropriate page numbers.

EPO Online Filing - Euro-PCT(1200	E2K) - Sample 1200-1								
File Edit View Tools Windows	File Edit View Tools Windows Help								
Euro-PCT(1200E2K) - Draft - Sa	mple 1200-1	Last saved on 16.04.2010							
Requests I Names States I	Biological Material Documents 🛇 Fees 🛆 Annotations								
Proceedings Amendments and Transla	tions Document Overview Sequence Listings Additional Documents								
₽• ¥	Original file name: Translation internl application.pdf	Number of Pages: 10							
Amendments AMSPECEPO-1.pdf • Claims Modification.pdf Translation of internation	↓ Translation of the description as originally filed	From page: 1 to 5							
SPECTRANEPO-1.pdf Translation international a Translations of Priority Ap PRIOTRANAPP-1.pdf	✓ Translation of the claims as originally filed	From page: 6 to 8							
Translation priority.pdf	✓ Translation of abstract as published	From page: 9 to 10							
	Translation of any text in the drawings as originally filed	From page: to							
Logged in as Administrator		🚫 3 🛕 1 🚺 5							

Figure 234: Amended abstract and translations attached

7.6.2 Document Overview

Enter the number of pages the individual documents contain in the **Document Overview** tab. If you make reference to already-published parts of the international application, but do not attach them, please make sure that the location and number of pages are also entered for these documents.

This information is needed for the purpose of calculating the correct fee because the EPO charges an extra fee for each page from the 36th onwards.

The **Document Overview** tab is organised into four sub-tabs:

- 1. Overview
- 2. Description
- 3. Claims
- 4. Drawings

The document part options in the various tabs differ depending on the role you selected for the EPO (designated or elected office) and the language of the international application; see Entry into the European phase (p. 170).

Overview

In the beginning, a red validation icon appears in the **Documents** tab if there are no amendments or translations attached. The validation messages indicate that information on the relevant documents is mandatory in the **Description** and **Claims** tabs.

Irrespective of the other data, the software calculates a single page by default as the minimum page count.

EPO Online Filing - Euro-PCT(1200E2K) - Sa	mple 1200-2						• X
File Edit View Tools Windows Help							
							?
Euro-PCT(1200E2K) - Draft - Sample 12	00-2				Las	st saved o	n 01.11.2010
Requests Names States Biologic	al Material D	ocuments 🛇	Fees 🛆	Annotations			
Proceedings Amendments and Translations Do	cument Overview	Sequence Listin	ngs Addit	ional Documents			
Documents intended for proceedings before the	EPO (R. 159 (1)	(b) EPC) and for c	alculating t	the additional fee (Art. 2, item 1a, RFees):		
Overview Description Claims Drawings							
Tatal number of pages de	erietien.						
	scription:	0					
Total number of pages	- claims: +	0					
Total number of pages - o	irawings: +	0					
default one page -	abstract: +	1					
l otai number	or pages:	1					
Logged in as Administrator					0	2	2 3

Figure 235: Overview of documents' pages, one page calculated by default

Description

In this example, you have made reference to an already-published description.

Select the check box International application as published.

Enter the **number of pages**.

The software automatically calculates the **total number of pages – description**.

EPO Online Filing - Euro-PCT(1200E2K)	- Sample 1200					• X		
File Edit View Tools Windows He	lp							
Euro-PCT(1200E2K) - Draft - Sample 1200 Last saved on 04.04.201								
Requests Names 🕄 States 🛆 Bio	logical Material Docume	ents 🛈 🛛 Fees	Annotations					
Proceedings Amendments and Translations	Document Overview Sequ	ence Listings Addit	ional Documents					
Documents intended for proceedings before	e the EPO (R. 159 (1) (b) EPC)	and for calculating	the additional fee (Art. 2, item 1a, RF	ees):			
Overview Description Claims Drawings								
The description on entry into the European	phase comprises the following	parts:						
Part		Pages fro	mto	Number of pages				
✓ International application as published		1-10		10				
Translation of international application	as published							
Translation of Art. 34 PCT amendments	3							
Amendments on entry into the Europea	an phase							
	т	otal number of page	s - description:	10				
					<u>∧</u> 0 ⊘	1 3		

Figure 236: Information on the description

Claims

The EPO needs the number of patent claims for the purpose of calculating the correct fee. Please include all claims from both the international application and subsequent amendments.

In this example, you attached a file with amended patent claims in the **Amendments and Translations** tab.

Enter the number of claims on entry into the European phase.

Enter the number of claims you intend to pay for (including the first 15 claims).

- This indication is exclusively for the purpose of fee calculation. If you do not intend to pay for any claims with this application, please enter **0** (zero) in this field.
- If the number of claims you intend to pay for is lower than the number of claims indicated, a yellow validation icon will appear in the **Documents** tab. In this case, please specify the claims for which you intend to pay by writing a note to the EPO in the **Annotations** tab.

Select the check box Amendments on entry into the European phase and specify the Pages from ... to ...

Enter the number of pages.

The software automatically calculates the **total number of pages – claims**.

EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200								
File Edit View Tools Windows Help								
Euro-PCT(1200E2K) - Draft - Sample 1200 Last saved on 04.04.2014								
Requests Names 🕃 States 🛆 Biological Material	Documents (i) Fees	Annotations						
Proceedings Amendments and Translations Document Overv	iew Sequence Listings Add	litional Documents						
Documents intended for proceedings before the EPO (R. 159 ((1) (b) EPC) and for calculating	the additional fee (Art. 2, item 1a, RF	ees):					
Overview Description Claims Drawings								
Number of daims on entry into the European phase:		20	1					
Number of claims you intend to pay for (including first 15 claims	s) :	20 3						
The set of dains an entry into the European phase comprises	the following party Pages fr	omto Number of pages						
Part	the following parts. Togeo in	namber of pages						
International application as published								
Ort 19 PCT amondments	,							
HIG TOPET anonamonics								
Art, 34 PC1 amendments								
Amendments on entry into the European phase	11-14	4						
	Total number	er of pages - daims: 4						
			○ 0 △ 1 ○ 3					

Figure 237: Information on the claims

Drawings

In this example, you make reference to the drawings in the international application.

Select the check box International application as published.

Use the **Pages from ... to ...** field to specify the location of the drawings in the international application.

Enter the number of pages.

EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200-2					-	X			
File Edit View Tools Windows Help									
Euro-PCT(1200E2K) - Draft - Sample 1200-2	UICO-PCT(1200E2K) - Draft - Sample 1200-2 Last saved on 01.11.2010								
Requests Names States Biological Material Documents (Fees 🛕	Annotations							
Proceedings Amendments and Translations Document Overview Sequence Lis	Proceedings Amendments and Translations Document Overview Sequence Listings Additional Documents								
Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for	calculating the	e additional fee (/	Art. 2, item 1a, RF	ees):					
Overview Description Claims Drawings									
The drawings on entry into the European phase comprises the following parts:									
Part	Pages from.	to	Number of pages						
✓ International application as published	21-25		5						
\square Translation of international application as published									
☐ Art. 34 PCT amendments									
Amendments on entry into the European phase									
Total n	umber of page	s - drawings:	5						
Logged in as Administrator				⊗ 0	Δ 2	2			

Figure 238: Information on drawings in the international application

Total number of pages

Finally, go to the **Overview** tab and check if all relevant documents are entered with the correct number of pages.

In this example, the total number of pages to be examined is **20**.

EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200-2	
File Edit View Tools Windows Help	
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Euro-PCT(1200E2K) - Draft - Sample 1200-2	saved on 01.11.2010
Requests Names States Biological Material Documents (3) Fees (A) Annotations	
Proceedings Amendments and Translations Document Overview Sequence Listings Additional Documents	
Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):	
Overview Description Claims Drawings	
Total number of pages - description: 10	
Total number of pages - daims: + 4	
Total number of pages - drawings: + 5	
default one page - abstract: + 1	
Total number of pages: 20	
Logged in as Administrator	2 2 2

Figure 239: Calculation of the total number of pages in the Document Overview tab

7.6.3 Sequence listings

The **Sequence Listings** tab lets you specify whether or not the international application contains nucleotide and/or amino acid sequences. If a computer-readable sequence listing file has not yet been submitted to the EPO, please attach the relevant electronic sequence listing here also.

Sequence listings must always be submitted in computer-readable format in accordance with WIPO Standard ST.25 or ST.26. On 1 July 2022, WIPO Standard ST.26 will enter into force. For applications with a filing date on or after 1 July 2022, sequence listings should be filed in ST.26.

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

- Nucleotide and Amino Acid Sequence Listing (file type .app or .seq) for ST.25
- ASCII Text (file type .txt) for ST.25
- Archive File Format (file type .zip) for ST.25 and ST.26
- XML File Format (file type .xml) for ST.26

In the **Documents** tab, click the **Sequence Listings** sub-tab.

Select the check box for **The international application discloses nucleotide and/or amino acid sequences.**

This activates the associated group of tab options for editing.

Reference to an existing sequence listing

The default setting is **The sequence listing was filed under Rule 5.2(a) PCT**, or furnished to the EPO as ISA under Rule 13ter.1a) PCT, or it is otherwise available to the EPO, in computerreadable format complying with the WIPO Standard applicable at the international date of filing.

If this is selected, there is no need to submit a sequence listing.

The options for attaching files are therefore deactivated.

No error or warning validation icon is on display in the **Documents** tab.
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equests 🛆	Names 🕄	States 🛆	Biological Mat	erial Document	🛇 Fees 🛆	Annotations	s			
Proceedings	Amendment	ts and Transk	tions Document	Overview Sequence	Listings Add	tional Documents	s]			
					- 1		- 1			•
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The inter	mational app	lication disclo.	es nucleotide and	/or amino acid seque	.es.					
The inter	rnational app	ncauori discio	es nucleotide and	/or amino acid seque	EPO ac ISA u	oder Dule 13ter	1(a) PCT or is	therwice avails	ble to the	L
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Figure 240: Reference to the sequence listing already submitted in computer-readable format

Attaching a sequence listing

Select the check box The sequence listing is attached.

This activates the other options for editing.

A red validation icon shows in the **Documents** tab because, in this case, attaching a document is mandatory.

The international The international The international terms	ational application disclos	es nucleotide and/or an	nino acid sequences.	ditional Documents
C The sec EPO, in	uence listing was filed u a computer-readable fo	nder Rule 5.2(a) PCT, o rmat complying with the	r furnished to the EPO as ISA WIPO Standard applicable at	under Rule 13ter. 1(a) PCT, or is otherwise available to the the international date of filing.
	uence listing is attached	at complying with the V	VIPO Standard applicable at th	e international date of filing.
C	WIPO ST. 25 file:	at comprising more to t	 WIPO ST.26 file: 	
	.XML	C .ZIP	Choose file	No file selected

Figure 241: Option for attaching a sequence listing selected

Sequence listings in computer-readable format in ST.25

Select the check box In a computer-readable format in accordance with WIPO Standard ST.25.

Click Choose file ...

Select the appropriate file type.

Navigate to the required file and attach it.

Depending on the file type selected, the file is renamed **SEQLTXT.app**, **SEQLTXT.seq**, **SEQLTXT.txt** or **SEQLTXT.zip**.

The caption on the button changes to **Detach file**.



Figure 242: Sequence listings in computer-readable ST.25 format attached

Sequence listings in computer-readable format in ST.26

Select the check box In a computer-readable format in accordance with WIPO Standard ST.26.

Click Choose file ...

Select the appropriate file type.

Navigate to the required file and attach it.

Depending on the file type selected, the file is renamed SEQLXML26.xml or SEQLZIP26.zip.

The caption on the button changes to Detach file.

Requests 🛆	Names 🛈	States 🛕	Biological Materia	Documents 📎	Fees 🛆	Annotations	
Proceedings	Amendmen	ts and Transla	tions Document Ov	erview Sequence List	ings Addit	ional Documents	
The inter	rnational app	lication disclos	es nucleotide and/or	amino acid sequences.			
C The s	sequence listi	ng was filed u	nder Rule 5.2(a) PCT,	or furnished to the EP	O as ISA u	nder Rule 13ter. 1(a) PCT, or	is otherwise available to the
EPO,	in a compute	er-readable fo	rmat complying with t	he WIPO Standard app	licable at th	e international date of filing.	
(• The s	sequence listi	ng is attached					
I ∽ In	a computer-	-readable form	hat complying with the	WIPO Standard applic	able at the	international date of filing.	
(WIPO ST.	25 file:		WIPO ST.26	file:		
	.XML		C .ZIP	Detach file		SEQLXML26.xml	

Figure 243: Sequence listings in computer-readable ST.26 format attached

Note that, when selecting to submit a ST.26 sequence listing as ZIP, the provided ZIP file must contain a single ST.26-compliant XML file. If the attached ZIP package contains none or multiple XML files, it will be rejected and a validation error message will be displayed

Declarations

If the sequence listing you attached is identical to the listing from the international application, select the check box **The sequence listing does not include matter that goes beyond the content of the application as filed**.

7.6.4 Additional documents

In the Additional Documents tab, attach all other documents that you want to submit to the EPO:

- Authorisations
- Other documents
- Reply to written opinion
- Search results required under Rule 141(1) EPC
- Amendments with annotations

Authorisations

Click the Add button.

Select Other document.

Navigate to the required PDF file and select it.

Click **Open** to attach the file.

In the Document Type list select General Authorisation or Specific Authorisation.

The document is renamed **GENAUTH-1.pdf** and **SPECAUTH-1.pdf**, respectively.

Proceedings Amendments and Tran	nslations Document Overview	w Sequence Listings Additional Documents
_L _▼ 💥	Document Type:	Specific Authorisation
• ••		General Authorisation
Other document	Type Name:	Specific Authorisation
SPECAUTH-1.pdf		US certified priority document
 Specific Authorisation 		<other_accument></other_accument>

Figure 244: Attaching specific authorisation document

Other documents

Click the Add button and select Other document to attach another document.

Navigate to the required PDF file and attach it.

Select the document type **<other document>** from the list.

The file is renamed **OTHER-1.pdf**.

Enter a description of the document in the Type Name field, e.g. Assignment documents.

roceedings Amendments and Trar	nslations Document Overv	view Sequence Listings Additional Documents
	Document Type:	<other_document></other_document>
Other document	Type Name:	Assignment documents
SPECAUTH-1.pdf		,
 Specific Authorisation 		
other-1.pdf		
 Assignment documents 		

Figure 245: Attaching a document for the change of representative as <other_document>

Replies

Provided it was chosen to act as the IPEA in the EP phase, the EPO considers all amendments filed as a substantive reply to the written opinion on the international preliminary examination report (IPER).

If the EPO was chosen as the designated office upon entry into the EP phase, the amendments filed under Article 19 PCT are considered a substantive reply to the written opinion of the International Searching Authority (ISA).

If you have drafted your own written reply, you can attach it as an additional document.

Click the Add button.



Select Reply to written opinion/IPER.

Navigate to the required file and select it.

Click **Open** to attach the file.

The file is renamed **REPLYWO-1.pdf**.

-}- - ×	Original file name:	Reply.pdf	Number of Pages:	2
Other document	This file contains:			
SPECAUTH-1.pdf	Reply to written opinion/IPER			
 Specific Authorisation 				
There-1.pdf				
 Assignment documents 				
Reply to written opinion/I				
REPLYWO-1.pdf				
REPLYWO-1.pdf				

Figure 246: The reply to the written opinion on the international preliminary examination report (IPER) is attached

Search results

Under Rule 141(1) EPC applicants claiming a priority must on entry into the European phase file a copy of the search results drawn up by the office of first filing if these results are not already available to the EPO.

Click the Add button.



Select Search results required under Rule 141(1) EPC.

Navigate to the required file and select it.

Click **Open** to attach the file.

The file is renamed to **PRSR-1.pdf**.

	Original file name: This file contains:	Search results.pdf	Number of Pages:	4
Other document				
SPECAUTH-1.pdf	Search results required under	Rule 141(1) EPC		
 Specific Authorisation 				
There of the other				
 Assignment documents 				
Reply to written opinion/I				
REPLYWO-1.pdf				

Figure 247: Adding search results from the office of first filing

Amendments with annotations

Use this document category to file documents with subsequent annotations or highlighted annotations/amendments to amended technical documents:

- Amended claims with annotations
- Amended description with annotations
- Amended drawings with annotations

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

Click the **Add** button.

╋᠇

Select Amendments with annotations.

Navigate to the required file and select it, e.g. the amended drawings with annotations.

Click **Open** to attach the file.

Select the document type Amended drawings with annotations from the list.

The file is renamed **DRAW-HWA.pdf**.



Figure 248: Amended document with annotations attached

7.6.5 Pre-conversion archive

The **pre-conversion archive** option allows you to add your original documents, before converting them into PDF files, as a compressed ZIP archive file. This may be helpful if you wish to provide the EPO with your original documents in colour. The documents contained in the ZIP file will not be publicly available nor will they be an integral part of the visible internal procedural file, but they can be accessed for reference, e.g. in the event of quality issues.

(i) The EPO does not recognise documents as legally binding if they are exclusively filed as part of a ZIP archive. To be accepted as legally binding filings, the official patent documents must always be attached as PDF, ST.25 or ST.26 files under the correct document type.

Attaching pre-conversion archive

In the **Documents** tab under the **Amendments and Translations** sub-tab, click the **Add** button.



Select the option **Pre-conversion archive**.

Navigate to your ZIP file and select it.

Click **Open** to attach the file.

The file is renamed **OLF-ARCHIVE.zip**.

The names of the original files from the attached pre-conversion archive are listed on the right.

Proceedings Amendme	ents and Translations Document Overview Sequence Listings Additional Documents
Amendments	Original file name: Sample 1200 Docs.zip This zip file contains:
AMSPECEPO- • Translation m AMSPECEPO- • Claims Modific Translations of Prir PRIOTRAINAP • Translation pr Pre-conversion are • Sample 1200	1.pdfodified abstr•amended_abstract.doc2.pdf•amended_daims.doc:ation.pdf•drawing_spanish.tifP-1.pdf•drawing_translation.tifiroity.pdf•search_report.doc.tive (Z•translation_international_priority.docDocs.zip

Figure 249: Pre-conversion archive containing original documents attached

7.6.6 Previewing attached documents

You can view the list of all attached documents in the form preview.

Click the **Preview** button in the toolbar.

P

The application is displayed in the **PDF Viewer**. The enclosed documents are listed with their original file names in Section 12 of the form (**epf1200.pdf**).

All files are listed with their system names on the PDF Viewer's left pane.

Click the name of a document in the list to the left to display it in the PDF Viewer.

PDF Viewer						• X
AMSPECEPO-1.pdf (Claims Modification.pd	8	H	🎝 • 🖏 🛧 🐥	3 / 4 🕙 💿 (• 66,4% - 📑 🔂	
application-body.xml (application-body.xml) CLMS-HWA.pdf (CLMS-HWA.pdf) ep-euro-pct.xml		int pro It i Note for st perio	emational application is filed. However, escribed extension fee is paid. s currently intended to pay the extensio : Under the automatic debiting procedur ates indicate here, unless the EPO is i d for navment	the extension only takes effect if the n fee for the following states: e, extension fees will only be debited nstructed otherwise before expiry of th	e	
(ep-euro-pct.xml)		12. L	ist of enclosed documents			
epf1200.pdf			Description of document	Original file name	Assigned file name	
(epf1200.pdf)		1	Combined Amendments	Claims Modification.pdf	AMSPECEPO-1.pdf	
feesheetint.pdf		2	Combined Translations	Translation international application.pdf	SPECTRANEPO-1.pdf	_
(feesheetint.pdf) OTHER-1.pdf (OTHER-1.pdf)		4	Translation of the phony application(s) The sequence listing as part of the description is attached: In computer-readable format in accordance	sequence_listings.app	SEQLTXT.app	
package-data.xml			with WIPO Standard 25			
(package-data xml)		6	Reply to written opinion/IPER	Repl f .pdf	REPLYWO-1.pdf	
pkgheader.xml		6	Search results required under Rule 141(1) EPC	Search results.pdf	PRSR-1.pdf	
(pkgheader.xml)		7	Specific Authorisation	Authorization Nano.pdf	SPECAUTH-1.pdf	
PRSR-1.pdf		8	Amended claims with annotations	Translation claims.pdf	CLMS-HWA.pdf	
(PRSR-1.pdf)		9	Assignment documents	Assignment documents.pdf	OTHER-1.pdf	
REPLYWO-1.pdf		13.1	node of payment: Not specified			
(REPLYWO-1.pdf)		14 /	ny refunds should be made to the f	inflowing EPO deposit account:		
SPECAUTH-1.pdf		16.6	loor	olowing Er o deposit account.		
(SPECAUTH-1.pdf)		16.4	annotations			
PRIOTRANAPP-1 pdf		17.5	Signature(s) of applicant(s) or repres	sentative		
(Translation priority.pdf SEQLTXT.app (sequence_listings.app SPECTRANEPO-1.pdf (Translation internation		Sam	ple 1200			v
					С	ancel

Figure 250: Attachments in the PDF viewer

The number of claims and information on documents intended for proceedings before the EPO are provided in section 6 of the PDF form. If a copy of the search results has been attached, this is indicated in section 6.3.

The various translations attached are listed in section 7.



Figure 251: Number of claims and information on the use of documents in the PDF preview of Form Euro-PCT(1200E)

7.7 Euro-PCT(1200E2K) – Fee Payment

In the **Fees** tab you can select the fees associated with your application and indicate how you wish to pay them. All fees must be paid in euros.

The fees displayed in the **Fees** tab reflect the fee schedules located in **File Manager > Tools > Fee Management**.

Make use of the **Live Update** function in Online Filing to ensure that your fee schedule is always up to date. You will find the most recent fee schedule on the EPO website at **Applying for a patent > Online services**, following the link **Interactive schedule of fees** (http://www.epoline.org/portal/portal/default/epoline.Scheduleoffees).

For more information on EPO deposit accounts and the automatic debiting procedure, please refer to the Official Journal:

- Arrangements for deposit accounts (ADA) Supplementary publication 3/2015, p. 8-16 (http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p8.html)
- Notice from the European Patent Office dated 12 February 2015 concerning revision of the Arrangements for deposit accounts (ADA) and their annexes Supplementary publication 3/2015, p. 2-7 (http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p2.html)
- Decision of the President of the European Patent Office dated 29 September 2016 revising points 5.3 and 7 of the Arrangements for deposit accounts (ADA) OJ EPO 2016, A83 (http://www.epo.org/law-practice/legal-texts/official-journal/2016/10/a83.html)

Online fee payment

The EPO offers a quick and secure online fee payment service designed for holders of EPO deposit accounts. For more information, go to the EPO website and navigate to **Applying for a patent > Online services > Online fee payment** (http://www.epo.org/applying/online-services/fee-payment.html).

7.7.1 Payment details

In the **Payment details** sub-tab you can specify the mode of payment and provide details of the account number and account holder.

You have to select a mode of payment before you can pay any fees, even if you have selected one or more fees in the **Fee selection** tab.

• Automatic debit order

If you select this option the check boxes in the **Fee selection** sub-tab are automatically deactivated and the total amount of the fees is shown as EUR 0.00. The EPO will calculate the amount of the fees payable using the information you provided and will debit this amount direct from your account. With this option you cannot select the fees yourself in the form.

Debit from deposit account

If you choose this mode of payment, the relevant fees will be debited directly from your EPO deposit account. If you issue a debit order during normal working hours (08.00-18.00 hrs), you can usually view it under **pending orders** within about 30 minutes. The actual deduction from your account will appear 5 to 6 days later.

Bank transfer

All payments in EUR must be transferred to the EPO's bank account with the **Commerzbank AG in Munich, Germany**. The IBAN and BIC codes of the EPO's bank account are supplied automatically when you select the Commerzbank from the drop-down list.

Credit card

All payments by credit card must be made via the dedicated EPO fee payment service on the EPO website at **Applying for a patent > Online services >** Paying **fees online > Pay by credit card** (https://epo.org/fee-payment-service/en/login).

Choosing this mode of payment in the Payment details sub-tab is considered merely an indication of how you intend to pay.

Not specified

Choose this option if you do not intend to pay fees with this form or if you are not sure how you will be paying your fees.

The grey validation icon in the **Fees** tab indicates that the mode of payment is required, but may be specified later.

Debit from deposit account

Select Debit from deposit account as Mode of payment.

Enter the deposit account number.

EPO deposit account numbers are made up of eight digits, starting with 28.

You are not required to enter **28** as the leading digits of the deposit account number, since these are automatically supplied by the software. Just enter the six remaining digits. If the deposit account number is not entered correctly, e.g. you enter more than six digits, you will see a red validation icon in the **Fees** tab. The corresponding validation message tells you to verify the deposit account number. The same rule applies to the deposit account number for reimbursement.

Enter the name of the account holder.

If you wish to have the fees debited from your account later than the submission date of your entry into the European phase, enter the date in the **Deferred execution date** field.

Hover your mouse pointer over the symbol ⁽¹⁾ to the right of the **Deferred execution date** field to see the **Important information**:

This functionality allows you to indicate explicitly that your payment order is to be executed at a later date than the submission date.

In this case, the payment date will be deemed to be the deferred execution date, provided that you have sufficient funds on your deposit account on that date.

Please choose the deferred execution date option only if the fees are to be debited on a future date, as otherwise the default execution date is the date of receipt.

The deferred execution date can be a maximum of 40 days in the future.

Please ensure that the deferred execution date lies within the time limit set for paying the selected fees.

Please note that any debit orders (standard or deferred execution) can only be revoked until 00.00 hrs CET on the date of submission (Arrangements for deposit accounts, 7).

🕫 EPO Onlin	e Filing - Eu	iro-PCT(1200	DE2K) - Sample 1200				
File Edit	View Tools	Windows	Help				
	I 🖓	P					()
Euro-PCT(1	200E2K) -	Draft - Sa	mple 1200				Last saved on 04.04.2014
Requests	Names 🕄	States 🛆	Biological Material	Documents 🕃	Fees 🛆	Annotations	
Payment De	tails Fee sele	ection					
Mode of pa	yment:		Debit from deposit a	ccount		Currency: E	EUR
The Europe	an Patent Off	ice is hereby	authorised, to debit from	the following dep	osit account	t with the EPO any	fees and costs indicated in the fee selection:
Deposit acc	ount number:		28123456				
Account ho	lder:		Nano Enterprise Ltd.				
Deferred ex	ecution date	(optional)	dd.mm.yyyy	e e			

Figure 252: Payment details entered

Further options

The Payment details sub-tab offers some additional options at the bottom of the screen.

If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, select the corresponding check box.

This information applies to all selected modes of payment. If you selected **automatic debit order** or **debit from deposit account**, you are only required to enter an account number here if that number is different from the account number used for payment.

Enter the EPO deposit account number and supply the account holder's name.

If you need **additional copies of the documents cited in the European search report**, select the corresponding check box and enter the number of copies required.

This check box is only available if the EPO **was not selected** as the International Searching Authority (ISA) in the **Requests** tab.

$\overline{m{arsigma}}$ Only required if different from above - Reimbursement, if any, to be made to deposit account with the EPO:	28203040
Account holder: Nano Enterprise Ltd.	
$\overrightarrow{\mathbf{v}}$ Additional copies of the documents cited in the supplementary European search report are requested.	3

Figure 253: Other options for fee payment in Form Euro-PCT(1200E2K)

The validation message (yellow icon) informs you that the corresponding fee 055 should also be selected. You should therefore select the check box for fee 055 in the **Fee selection** sub-tab (it is not selected by default).

7.7.2 Fee selection

Frequently paid fees are automatically selected and calculated by the software.

The number of claims for calculating the **claims fee for the 16th to the 50th claim (015)**, for example, and the total number of pages used as the basis for calculating the **additional filing fee for the 36th and each subsequent page (520)** are provided in the Document Overview (p. 184) tab.

Other fees such as extension fees or the fee for additional copies of the search report (055) become applicable based on the selections you make in the form.

The validation messages indicate which fees are to be paid.



Figure 254: Validation messages with information on the fees to be paid

Select the check boxes of the fees to be paid.

The relevant quantity is already entered.

The amount to pay is automatically calculated.

The check boxes for fees not applicable in this application are locked.

w:	All Fees	•	Code	:	•	
	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
✓	006	Examination fee - For applications filed on/after 01.07.2005	1 620,00	30%	1	1 134,00
	013	Fee for re-establishment, reinstatement, restoration (EPC, PCT)	635,00		1	0,00
\checkmark	015	Claims fee for 16th up to 50th claim	235,00		5	1 175,00
~	015e	Claims fee - For the 51st and each subsequent claim	580,00		0	0,00
✓	020	Filing fee - entry EP phase - online	120,00		1	120,00
	022	Registering of transfer	100,00		1	0,00
	033	Renewal fee for the 3rd year	465,00		1	0,00
	034	Renewal fee for the 4th year	580,00		1	0,00
	055	Add. copy of docs cited in search report	40,00		3	120,00

Figure 255: Selecting fees for payment

Filtering the fees displayed

You can filter the list of fees by selecting one of the options in the **Show** list:

- All fees
- Selected fees only: all fees selected for the current application.

The claims fees, **015** and **015e**, are selected by default and always locked. The quantity for both fees is determined by the **Number of claims you intend to pay for (including first 15 claims)** field in the **Documents** tab and cannot be edited in the Fee selection sub-tab.

Changing the fee quantity

The value in the **Quantity** column can only be edited for the following fees:

- 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005
- 002e Fee for (supplementary) European search for applications filed before 01.07.2005
- 055 Add. copy of docs cited in search report
- 121 Fee for further processing (late performance as of acts R. 71(3))
- 122 Fee for further processing (non-fee-related cases)
- 123 Fee for further processing (late payment of a fee 50% of the relevant fee)
- 400 Surcharge for extension fees
- 520 Additional filing fee for the 36th and each subsequent page entry into EP phase

Editing fee amounts

If you wish to edit a fee amount or apply a specific reduction, you have to select the **Edit fee amounts** check box. If you do so, please note that there will be no automatic fee correction for this application. Depending on your selected mode of payment, the total amount shown will be debited from your deposit account or is payable by bank transfer.

Select the Edit fee amounts check box.

This activates the Amount EUR and Reduction fields for editing.

Select the fee you wish to edit.

Click in the field to be edited, in our example **Reduction**.

Enter the new value.

w:	Selected	fees only	Code	2	_	
	Eeo Code/	Description	Amount ELID	Reduction	Quantity	Amount to Pay EUD
~	002	Fee for a European search - Applications filed on/after 01.07.2005	1 285,00	1 100 €	1	185,00
~	005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	580,00	50 I	1	580,00
~	006	Examination fee - For applications filed on/after 01.07.2005	1 620,00	30%	1	1 134,00
~	015	Claims fee for 16th up to 50th claim	235,00	none	5	1 175,00
~	015e	Claims fee - For the 51st and each subsequent claim	580,00	none	0	0,00
✓	020	Filing fee - entry EP phase - online	120,00	none	1	120,00
~	055	Add. copy of docs cited in search report	40,00	none	3	120,00
Edit fe	e amounts (n	o automatic fee correction will be done by the offic	e)			

Figure 256: Editing a fee after selecting the option to edit fee amounts

Click anywhere in the form.

The value in the **Amount to pay EUR** column and the total amount of the fees will be automatically recalculated.

w:	Selected	fees only	Code	!		
	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
✓	002	Fee for a European search - Applications filed on/after 01.07.2005	1 285,00	1 100 €	1	185,00
	005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	580,00	50%	1	290,00
✓	006	Examination fee - For applications filed on/after 01.07.2005	1 620,00	30%	1	1 134,00
~	015	Claims fee for 16th up to 50th claim	235,00	none	5	1 175,00
~	015e	Claims fee - For the 51st and each subsequent daim	580,00	none	0	0,00
~	020	Filing fee - entry EP phase - online	120,00	none	1	120,00
~	055	Add. copy of docs cited in search report	4 0,00	none	3	120,00

Figure 257: Amount to pay and total amount of the fees updated after editing

If you want to undo changes to the fee amounts, you can restore the values from the fee table in Online Filing.

Clear the Edit fee amounts check box.

The original values for all fees are restored in the form.

7.8 Euro-PCT(1200E2K) – Annotations

In the Annotations tab you can enter notes to be transmitted to the EPO.

Creating notes for the EPO

Click the Add button and select New Note.



Enter the relevant information in the Author, Subject and Note fields.

EPO Online Filing - Euro-PCT(120	0E2K) - Sample 1200-2							x
File Edit View Tools Windows	s Help							
📙 🕨 🥥 🕞 🤔								?
Euro-PCT(1200E2K) - Draft - S	ample 1200-2				L	ast saved	on 09.0	8.2013
Requests Names States 🛆	Biological Material	Documents 🛆	Fees 🛆	Annotations				
Claims to be paid for Ch	Author: Christina P Subject: Claims to b Note: As indicate There are 1 16, 17 and	ortland the paid for ed under Document 20 claims in total of 118.	s it is intend which the f	ed to pay for 17 ck	ims. excluded from payment			*
Logged in as Administrator					0	0 🛕	3 (1

Figure 258: Adding a new note for the EPO

To add notes that are not intended for the EPO, use the **Internal notes** (p. 42) function on the form's toolbar.



7.9 Reusing previous data for filing with Euro-PCT(1200E2K)

You can use an application already sent with the PCT/RO/101 form to create a new application with the Euro-PCT(1200E2K) form for entry into the regional phase.

Open File Manager and select the folder where the sent application is saved.

Click the **Sent** status button.

Select the required application – the PCT application number is displayed in the **App.number** column.

Right-click to select the option Reuse data for a subsequent filing.

File Manager PCT Sample		
File Edit View Workflow T	ools Help	
₽ 🗱 🔍 🕨 🐼 🦻		۞ (2)
Default Folder - Sent - PC	Γ-PCT Sample	6 items available
All Applications	All Draft Ready to Sign Ready to Send Sent La	ast saved 🔻 🖉 🖉
Default Folder		
ML Import	Sent 🗸 Reference Title 🚫 🛆 🕢 Тур	e 🔗 App.number 🔺
E Forms	04.06.2012 PCT Sample PCT/RO/101 request	PCT/EP2012/090166
Templates	04.06.2012 Sample 1001 Request for grant of a E Open application	0.6
📅 Trash	Patent (EPC 2000) Reuse data for a subseq	uent filing
-	31.05.2012 Sample 1038 Subsequently filed docu	5.2
	21.10.2011 1001 Test Request for grant of a E Nove to rolder	1.6
	21 10 2011 1020 Test Cuberney Bad day	25
	12.10.2011 T056 Test Subsequently filed documents or or or critical	DCT /E D2011 /090255
	i	
	🥖 Form PCT	
	ID: 91	
	Title:	
	Status: Sent	
	Messages: 💊 🛆 🛈	
	Last saved: Administrator, 04.06.2012	
	Applicant: NANO ENTERPRISE LTD.	
	Attachments: View	
	Internal Notes:	
Logged in as Administrator	Items selected: 1	

Figure 259: Creating a new application for entry into the European phase (Euro-PCT(1200E2K) form) using a PCT application already sent

The **Create a New Application** window opens. Enter a new user reference of your choice or use the existing one. The Euro-PCT(1200E2K) form then opens with the following data from the PCT application previously sent:

- PCT application number and international application date
- Designated office and international searching authority (ISA)
- Name of the first applicant
- Name of the first representative
- Language of filing of the international application

Make your amendments or enter new data and save the application. Once the application has been successfully sent, it appears in File Manager with the same PCT application number.

8. EP(1038E)

Form **EP(1038E)** is used for submitting documents filed subsequently in the European patent procedure, namely:

- all subsequently filed documents (except within the opposition procedure, when you should use Form EP(Oppo) (p. 237))
- appeals and/or subsequently filed documents in appeal proceedings; see Filing appeal documents (p. 222)
- US certified priority documents (other priority documents cannot be filed online)
- non-public documents; see Filing non-public documents (p. 221).

You can also use Form EP(1038E) to:

- create a subsequent submission based on an EP(1001E2K) application sent via Online Filing; see Reusing previous data for filing with EP(1038E) (p. 235)
- pay a fee and submit payment information
- file a request for accelerated search or accelerated examination under the PACE programme (non-public submission)
- submit an enquiry as to the processing of the file (public submission)
- supply further information to the EPO in the form of an annotation.

Minimum requirements for subsequent filing with Form EP(1038E)

When filing with Form EP(1038E), at least one of the following actions must be performed:

- attach a document
- create a request or enquiry
- indicate a payment
- write an annotation.

Data input in Form EP(1038E)

Form EP(1038E) is organised into five tabs. It is recommended to decide on the general type of the submission first, i.e. public or non-public, and then proceed with attaching corresponding documents and selecting fees.

(i) When filing a non-public submission with Form EP(1038E), you may only select non-public fees, i.e. fee code 029.

Tab	What you can do
Application No	Enter the EP application number to which this subsequently filed data
	belongs.
Names	Enter details on applicant or representative.
Requests	Create a request for accelerated search or accelerated examination,
	or create an enquiry as to the processing of the file.
Documents	Attach the subsequently filed documents.
Fees	Enter the mode of payment, select a fee schedule and select fees.
Annotations	Supply additional information for the EPO.

Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. You must either manually fill out this field or select one of the options provided. If mandatory fields are not completed, the corresponding tab will show a red validation icon. Consult the validation messages for more information.

Application No 🛇	Names 🕄	Requests	Documents 📎	Fee Payment 🚫	Annotations	
Deposit account nun	nber:	28				

Figure 260: The Deposit account number is a mandatory field in the Fees tab and is marked with a red triangle

Elements in Form EP(1038E)

Menu Bar Toolbar L	ocation Indicator Bar	Naviga	tion Bar		
EPO	EPO Online Fil	ing - EP(103	3E) - Sam	ple 1038	- 🗆 🗙
File Edit View Tools Wind	ows Help				
					3
EP(1038E) - Draft - Sample 1038					Last saved on 19/09/2016
Application No 🛇 Names 🕄	Requests Documents 🛇	Fees An	notations		
	EP Ap	oplication number:	EP		
	,				
			Details	Area	Status Bar

Figure 261: Form EP(1038E) - Overview

Element	Description
Menu Bar	Provides all options needed to edit, save, import and export
	drafts, set the display and change the status, as well as other
	tools.
Toolbar	Provides shortcuts to the most frequently used tasks and
	tools.
Location Indicator Bar	Shows the selected procedure, the current status and the user
	reference for the open draft.
Navigation Bar	Displays tabs corresponding to the sections of the form. These
	tabs can contain sub-tabs, which are a sub-division of the
	main tab sections within the form.
Details Area	Displays data entry fields appropriate to the selected tab.
Status Bar	Displays information about the current activity. Shows the total
	number of validation messages for the open draft.

8.1 EP(1038E) – Application Number

The Application No tab of EP(1038E) is where you enter the EP application number.

The red validation icon in the tab indicates that this information is mandatory.

Enter your **EP application number** in the field provided.

EP Application number: EP11500400.4

Figure 262: Sample EP application number

An EP application number is made up of 8 digits and 1 check digit. A check digit contains an algorithm that verifies the other numbers entered and prevents you from entering invalid application numbers. Once a correct application number has been entered, the validation icon in the tab will disappear.

8.2 EP(1038E) – Names

The **Names** tab of EP(1038E) is where you add details for an applicant or a representative. You can add exactly one name to the form.

Adding a name

In the Names tab, click the Add button.

Select a role, e.g. Applicant, Legal.



Figure 263: Adding a name

Enter name and address or copy an entry from the Address Book.

Once a role has been selected, the Add button becomes unavailable

Applicant is represented by an employee

If the applicant is a company (legal person) with principal place of business in an EPC contracting state, it can be represented by an employee.

Where applicable, select the check box [Company] is represented by the following employee acting pursuant to Art. 133(3) EPC.

Enter Last Name (mandatory field), First Name (mandatory field) and Title.

The name of this employee will be automatically filled into the **Sign Application** dialog and cannot be modified. Only an employee who is authorised by the applicant under Article 133 EPC is entitled to sign.

EPO	EPO O	nline Filing - EP(1038E) -	1038-01	- 🗆 🗙
<u>File E</u> dit <u>V</u> iew <u>T</u> ools W <u>i</u> n	dows <u>H</u> elp			
EP(1038E) - Draft - 1038-0)1			Last saved on 19/09/2016
Application No Names	Requests Documen	ts 📎 Fees Annotations		
	Company:	Nano Enterprise Ltd.		
Applicants	Department:	Nanotechnology		
hano Enterprise Ltd.	Country:	GB United Kingdom 💌	Telephone:	+44 20 7123 4567
	Address:	123 City Street	Fax:	+44 20 7123 4568
	P.O. Box	5623	E-mail:	info@nano-enterprise.co.uk
	Postal code:	W1A 2BC		
	City:	London		
	GB County:	Greater London 💌	Principal place of business:	GB United Kingdom 💌
	Nano Enterprise L	td. is represented by the following	employee acting pursuan	t to Art. 133(3) EPC:
	Last name:	Baker	General Authorisation:	14-4567
	First name:	Jeremy		
	Title:	Mr		
1				
				💊 0 🛕 0 🕃 1

Enter the General Authorisation number (where applicable).

Figure 264: Applicant's details filled in

Removing names from the form

Select the name to be removed on the left-hand side of the form.

Click the **Delete** button.

≍

8.3 EP(1038E) – Requests

The **Requests** tab of Form EP(1038E) allows you to either create a specific request under the programme for accelerated prosecution of European patent applications (**PACE**) or submit an **enquiry as to the processing to the file** as a request.

The PACE request (**Form 1005**) is a non-public submission, whereas the enquiry as to the processing of the file (**Form 1012**) is a public submission. Public and non-public submissions must be filed separately; see Filing non-public documents (p. 221). Creating a public or non-public request is not allowed in the appeal procedure; see Filing appeal documents (p. 222).

You can file a submission either by creating a PACE request or an enquiry as to processing of the file – not both – in the **Requests** tab, or, alternatively, by attaching one of the two forms as a PDF file in the **Documents** tab; see Document types for EP(1038E) by category (p. 213).

PACE request (Form 1005)	Enquiry as to the processing of the file (Form 1012)
1.	2.
In the Requests tab, select either Accelerated	In the Requests tab, select Enquiry as
search or Accelerated examination (only one	to the processing of the file.
PACE request can be made per submission with	Online Filing creates the electronic form
Form EP(1038E)).	epf1012.pdf as part of the package that
Online Filing creates the electronic form	will be sent to the EPO.
epf1005.pdf as part of the package that will be	
sent to the EPO.	
3.	4.
In the Documents tab, attach the non-public	In the Documents tab, attach the
document type Request for accelerated	document type Enquiry as to the
search/examination.	processing of the file.
Online Filing renames your file 1005.pdf .	Online Filing renames your file 1012.pdf .

You can choose one of these four options as appropriate:

More information is available online:

- Notice from the European Patent Office dated 30 November 2015 concerning the programme for accelerated prosecution of European patent applications ("PACE") OJ EPO 2015, A93 (http://www.epo.org/law-practice/legal-texts/official-journal/2015/11/a93.html)
- Notice from the European Patent Office dated 2 August 2016 concerning the handling of enquiries as to the processing of files OJ EPO 2016, A66 (http://www.epo.org/law-practice/legal-texts/official-journal/2016/08/a66.html)

Request for accelerated search/examination (Form 1005)

To file a request for accelerated search or accelerated examination under the PACE programme, you can either create the request electronically or attach a PDF file in the **Documents** tab. No fees are due for this request.

I A request for accelerated search or accelerated examination is a non-public submission.

To create the request electronically, go to the Requests tab.

Under PACE request, select the check box Under the programme for accelerated prosecution of European patent applications, I/we hereby request that the European patent application specified in the Application No tab undergo:

This enables the two associated check boxes and disables the check box under **Enquiry as to the processing of the file**.

Select the appropriate request: Accelerated search or Accelerated examination.

The two check boxes are mutually exclusive.



Figure 265: Requesting accelerated search under the PACE programme

Online Filing generates a PDF document with the information you indicated. When you sign the Form EP(1038E), the same signature will also be applied to the PACE request.

To view the request, click the **Preview** button in the toolbar.

P

The Form EP(1038E) opens in the PDF Viewer.

Click epf1005.pdf in the list on the left of the screen.

In the electronic PDF form, the box for the selected request is selected.

EPO	PDF Viewer	– 🗆 🗙
epf1005.pdf (epf1005.pdf) epf1038.pdf (epf1038.pdf) ep-sfd-request.xml (ep-sfd-request.xml) package-data.xml	PACE request to the European Patent Office	^
(package-data.xml) pkgheader.xml (pkgheader.xml)	Under the programme for accelerated prosecution of the European patent applications ("PACE") ¹ , I/we hereby request that European patent application	
(pronoucorxini)	Application number	10172753.5
	undergo:	
:	accelerated search	
	accelerated examanation	
	¹ OJ EPO 2015, A93	

Figure 266: Previewing the PACE request in the PDF Viewer

If you have selected the PACE request in the **Request** tab, you are not allowed to attach the document **Request for accelerated search/examination** in the **Documents** tab. You will see a severity 1 validation message to that effect.

EPO	Validation Messages/Requests	×
🔻 🔕 Severity 1: 1	error(s)	
.• You cannot	send two PACE requests with the same submission. Please correct.	

Figure 267: Validation message if the document "Request for accelerated search/examination" is attached and the PACE request is selected

8.3.1 Enquiry as to the processing of the file (Form 1012)

To submit an enquiry as to the processing of the file, you can either create the request electronically or attach a PDF file in the **Documents** tab. No fees are due for this request.

(i) An enquiry as to the processing of the file is a public submission.

To create the request electronically, go to the Requests tab.

Under Enquiry as to the processing of the file, select the check box I/We hereby enquire when the EPO will deliver the (supplementary) European search report / next communication for the application/patent specified in the Application No. tab.

This disables the check box under **PACE request**.

EPO Online Filing - EP(1038E) - Sample 1038							- 🗆 🗙	
File Edit View	Tools W	indows Help						
	₽₽							(?)
EP(1038E) - Draft - Sample 1038 Last saved on 19/09/2016								
Application No	Names	Requests	Documents	Fees	Annotations			
Under the programme for accelerated prosecution of European patent applications, I/we hereby request that the European patent application specified in the Application No tab undergo: Accelerated search Accelerated examination						(1)		
Enquiry as to the processing of the file \overrightarrow{V} [We hereby enquire when the EPO will deliver the (supplementary) European search report/next communication for the application/patent specified in the Application No tab						٢		

Figure 268: Creating an enquiry as to the processing of the file

Online Filing generates a PDF document with the information you indicated. When you sign the Form EP(1038E), the same signature will also be applied to the enquiry.

To view the enquiry, click the **Preview** button in the toolbar.

P

The Form EP(1038E) opens in the PDF Viewer.

Click epf1012.pdf in the list on the left of the screen.

The electronic PDF form displays the text of the enquiry and the application/patent number.

EPO	PDF Viewer	-		×
epf1012.pdf (epf1012.pdf) epf1038.pdf (epf1038.pdf) ep-sfd-request.xml (ep-sfd-request.xml) package-data.xml	Europaisches Pateriant Uppgan Pateri Office Office urophen des brevets			^
(package-data.xml) pkgheader.xml (pkgheader.xml)	I/we hereby enquire when the EPO will deliver the (supplementary) European search report / next communication ¹			
CLMS-1.pdf (Claims Modification.pd	for application/patent	101727	53.5	
(Withdrawal designatio	¹ OJ EPO 2016, A66			
WDRADEST-2.pdf (Withdrawal designatio	Signatures			

Figure 269: Previewing the enquiry as to the processing of the file in the PDF Viewer

If you have selected the enquiry in the **Request** tab, attaching the document **Enquiry as to the processing of the file** in the **Documents** tab is allowed. You will see a severity 3 message to that effect.

EPO	Validation Messages/Requests ×
- (Severity 1: 1 error(s)
	• You cannot send two enquiries as to the processing of the file with the same submission. Please correct.

Figure 270: Validation if the document "Enquiry as to the processing of the file" is attached and the enquiry request is selected

8.4 EP(1038E)– Priority

In the **Priority** tab of EP(1038E) you can give details of the priorities you wish to claim. You can declare more than one priority. Translations of priority documents can be attached in the **Documents** tab.

The document type "Request for retrieval of priority document via DAS" shall be added as type of document that can be subsequently filed.

The document type will be included in the following categories:

- "All Documents"
- "Filing and Search"
- "Search and Examination"
- "Examination"
- "Priorities"

The following should be observed:

- Documents of this type are classified as public.
- Multiple document types can be attached to the same application.
- The file type shall be named 'F1013.pdf'

			Ê	
EPO Online Filing - EP(1038E	.) - HS1			
File Edit View Tools Win	idows Help			
				(?)
EP(1038E) - Draft - HS1			Last say	ved on 12/10/2018
Application No 📎 Names 🕢	Requests Documents	Fees Annotations		
F1013-1.pdf	Original file name: This pdf file contains:	Test File.pdf	Number of Pages:	1
Request forent via DAS	Category:	Filing and Search		•
	Document type:	Request for retrieval of priority d	ocument via DAS	• •
		J		
			Q 1	A 0 1 1
	1			

Figure 271: Document type in Filing and Search category

8.5 EP(1038E) – Documents

The **Documents** tab of EP(1038E) is where you attach documents subsequent to your original filing. Please find a list of all document types currently allowed for filing with EP(1038E) in section Document types for EP(1038E) by category (p. 213).

Initially there is a red validation icon on the **Documents** tab. However, if you perform one of the other possible actions (create a request, indicate a payment or write an annotation), the validation icon for the **Documents** tab disappears, since in this case no document is necessary. When providing reimbursement details (in the **Fees** tab) and the required information is present, you can submit the form without attaching any documents.

Form EP(1038E) may not be used for the PCT patent grant procedure. Please use Form PCT-SFD for filing documents subsequent to a PCT application.

8.5.1 Document types for EP(1038E) by category

Where available, please select the correct document type for your file attachments. This simplifies and speeds up the internal processing by the EPO. If you are unable to find an appropriate document type in Form EP(1038E), you can select the general purpose **General enquiry** document type from the **Search and Examination** or the **All Documents** category.

The most frequently used general categories appear at the top of the list, whereas the lesser used, more specific options appear at the bottom. The **All Documents** category in the bottom section lists all available document types.

In this list, a single document type may be assigned to multiple categories to facilitate your selection.

Top section

Filing and search

- Amended claims (clean copy)
- Amended claims with annotations
- Amended description (clean copy)
- Amended description with annotations
- Amended drawings (clean copy)
- Amended drawings with annotations
- Amendments before examination
- Designation of inventor
- Designation of inventor (non-public)
- Document concerning search matters
- Document concerning the priority claims
- Drawings
- Enquiry as to the processing of the file
- Inventor waiver Rule 20(1) EPC (non-public)
- Missing parts of description
- Missing parts of drawings
- Modified abstract
- Reply to request for clarification

- Reply to search opinion/written opinion/IPER
- Request for extension of time limit during search procedure
- Search results required under Rule 141(1) EPC
- Statement of non-availability of search results required under Rule 141(1) EPC
- Subsequently filed claims
- Translation of previously filed application
- Translation of priority document
- Translation of the international preliminary examination report
- US certified priority document

Search and examination

- Acknowledgement
- Authorisation of representative
- Claims
- Document concerning fees and payments
- Document concerning microorganisms and medical inventions
- Document concerning representation
- Document concerning sequence listing in ST.25 format (APP, SEQ, TXT)
- Document concerning sequence listing in ST.26 format (XML, ZIP)
- Document concerning the designation and extension of states
- Document concerning the inventorship
- English translation of the claims
- Enquiry as to the processing of the file
- French translation of the claims
- General enquiry
- German translation of the claims
- Grounds for re-establishment of rights
- Letter relating to the search and examination procedure
- Maintenance of the application

- Miscellaneous requests concerning client data
- Request for automatic debiting
- Request for a decision
- Request for assignment
- Request for change of address
- Request for change of name
- Request for change of representative
- Request for correction of the documents (Rule 139 EPC)
- Request for further processing
- Request for re-establishment of rights
- Request for suspension/interruption of the procedure
- Request for transfer of rights
- Translation of description
- Translation of text in drawings
- Translation of priority document
- Translation of the abstract
- Waiver in respect of communication under Rule 161/162 EPC
- Withdrawal of an application
- Withdrawal of automatic debit order
- Withdrawal of designated or extension states

Examination

- Document filed during examination procedure
- Enquiry as to the processing of the file
- Letter dealing with oral proceedings
- Reply to a communication under Rule 70b EPC
- Reply to examination report
- Reply to the communication under Rule 71(3) EPC
- Request for correction/amendment of the text proposed for grant sent from 01.04.2012

- Request for correction/amendment of the text proposed for grant sent until 31.03.2012
- Request for examination
- Request for extension of time limit during examination procedure
- Withdrawal of a request for oral proceedings

Non-public

- Designation of inventor (non-public)
- Inventor waiver Rule 20(1) EPC (non-public)
- Medical certificate
- Non-public annex
- PPH: documents for examination
- PPH: documents for search
- Request for accelerated search/examination
- Request for certified copies of the application
- Request for inspection of the file
- Request for participation in the Patent Prosecution Highway

Appeal

- Amended claims with annotations (appeal procedure)
- Amended description with annotations (appeal procedure)
- Amended drawings with annotations (appeal procedure)
- amicus curiae (statement by third parties in the proceedings before the Enlarged Board of Appeal in accordance with Art. 10 RPEBA)
- Annexes (other than cited documents) regarding appeal procedure
- Annexes (other than cited documents) regarding review procedure
- Cited documents during appeal procedure
- Claims (appeal procedure)
- Description (appeal procedure)
- Drawings (appeal procedure)
- Evidence in support of the appeal

- Grounds for re-establishment of rights (appeal procedure)
- Incoming letter in referral procedure
- Intervention of the assumed infringer
- Letter dealing with oral proceedings during the appeal procedure
- Letter relating to appeal procedure
- Letter relating to the review procedure
- Non-patent literature cited during the appeal procedure
- Non-patent literature filed by a third party during the appeal procedure
- Notice of appeal
- Observations by third parties (Art. 115 EPC) during the appeal procedure
- Oral proceedings: request for postponement (appeal procedure)
- Patent document cited during the appeal procedure
- Patent document filed by a third party during the appeal procedure
- Reply to appeal
- Request for extension of time limit during appeal procedure
- Request for further processing (appeal procedure)
- Request for interpreters during oral proceedings (appeal procedure)
- Request for oral proceedings (appeal procedure)
- Request for re-establishment of rights (appeal procedure)
- Statement of grounds of appeal
- Translation of statement of grounds of appeal
- Translation of notice of appeal
- Withdrawal of a request for oral proceedings (appeal procedure)
- Withdrawal of an appeal

Third-party observations

- Citations filed by a third party
- Non-patent literature filed by a third party
- Observations by third parties (Art. 115 EPC)

- Patent document filed by a third party
- Reply from applicant/patentee regarding third party observations
- Reply to communication to third party

Limitation and revocation

- Citation for the limitation procedure
- Letter regarding the translation of the limited claims
- Letter/request relating to the limitation request
- Letter/request relating to the revocation procedure
- Reply to the limitation report
- Request for revocation of patent
- Withdrawal of limitation request

Bottom section

All documents

Amendments

The "with annotations" document type is to be used for amended documents with annotations or highlighted annotations/amendments. Documents with handwritten amendments are no longer accepted (for exceptions to this rule see the EPO Official Journal 2013, 603-604) (http://archive.epo.org/epo/pubs/oj013/12_13/12_6033.pdf).

- Amended claims (clean copy)
- Amended claims with annotations
- Amended description (clean copy)
- Amended description with annotations
- Amended drawings (clean copy)
- Amended drawings with annotations
- Amendments before examination
- Drawings
- Modified abstract

Applicant-representative-inventor

- Designation of inventor
- Designation of inventor (Non-public)
- Document concerning representation
- Documents concerning the inventorship
- Inventor waiver Rule 20(1) EPC (non-public)
- Miscellaneous requests concerning client data

Biology

- Document concerning micro-organisms and medical inventions
- Document concerning sequence listing, PDF
- Document concerning sequence listing, TXT

Use this document type for the file types .txt, .app or .seq.

Filing

- Missing parts of description
- Missing parts of drawings
- Subsequently filed claims
- Translation of previously filed application

Forms

- Authorisation of representative
- Designation of inventor

Legal Remedies

- Grounds for Re-establishment of Rights
- Request for a decision
- Request for further processing
- Request for Re-establishment of Rights

Other

- Document concerning search matters
- Document concerning the designation and extension of states
- Letter dealing with Oral proceedings
- Letter relating to the search and examination procedure
- Withdrawal of a request for oral proceedings

Priorities

- Document concerning the priority claims
- Translation of priority document
- US certified priority document

Replies

- Acknowledgement
- Claims
- Document filed during examination procedure
- Reply to a communication under rule 70b EPC
- Reply to examination report
- Reply to request for clarification
- Reply to search opinion/written opinion/IPER
- Reply to the communication under rule 71(3) EPC
- Request for correction/amendment of the text proposed for grant sent from 01.04.2012
- Request for correction/amendment of the text proposed for grant sent until 31.03.2012
- Search results required under Rule 141(1) EPC
- Statement of non-availability of search results required under Rule 141(1) EPC

Request

- Enquiry as to the processing of the file
- General enquiry
- Maintenance of the application
- Request for assignment
- Request for automatic debiting
- Request for certified copies of the application
- Request for change of address
- Request for change of name
- Request for change of representative
- Request for correction of the documents (Rule 139 EPC)
- Request for examination
- Request for extension of time limit during examination procedure
- Request for extension of time limit during search procedure
- Request for suspension/interruption of the procedure
- Request for transfer of rights
- Waiver in respect of communication under Rule 161/162 EPC

Translations

- English translation of the claims
- French translation of the claims
- German translation of the claims
- Translation of description
- Translation of previously filed application
- Translation of priority document
- Translation of text in drawings
- Translation of the abstract
- Translation of the international preliminary examination report

Withdrawals

- Withdrawal of an application
- Withdrawal of automatic debit order
- Withdrawal of designated or extension states

8.5.2 Attaching documents

In the **Documents** tab of EP(1038E), click the **Add** button.

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Navigate to the storage location of your file.

(i) Note this special case: If you want to attach a sequence listing file, change the option in the files of type drop-down list from Portable Document Format (default) to Sequence Listing in ST.25 (file type .app, .seq or .txt), or Sequence Listing in ST.26 (file type .xml or .zip).

Select the file and click **Open**.

PO Open						×
Look in:	ANNEX F - F	iles for filing attachments	← 🗈 💣 🎟▼			
Quick access Desktop Libraries This PC	Name Abst_non-E Advice of d amended_c amended_d amended_d Attach Ann Claims.pdf Sequence L	∧ PO.pdf elivery.pdf Ims.pdf lesc.pdf Iraw.pdf ex-F compliant document (User isting.pdf	Date modified 6/4/2020 5:35 PM 6/4/2020 5:35 PM 6/4/2020 5:35 PM 6/4/2020 5:35 PM 6/4/2020 5:35 PM 6/4/2020 5:37 PM 6/4/2020 5:35 PM 6/4/2020 5:36 PM	Type Chrome H Chrome H Chrome H Chrome H Chrome H Chrome H	ITML Do ITML Do ITML Do ITML Do ITML Do ITML Do ITML Do ITML Do	Size
	<	Γ		-	0.0	>
	rile name:	1		<u> </u>	Ope	an l
	Files of type:	Portable Document Format		•	Can	cel
		Sequence listing in ST.25				
		Sequence listing in ST.26				

Figure 272: Selecting document for attachment

The file is attached to the application under its original file name.

Select the appropriate document category from the Category drop-down list.

EPO	EPO Online Fil	ing - EP(1038E) - San	nple 1038 – 🗆 🗙
File Edit View Tools Win	ndows Help		
			(?)
EP(1038E) - Draft - Sample	e 1038		Last saved on 19/09/2016
Application No Names	Requests Documents 🛇	Fees Annotations	
Claims Modification.pdf	Original file name: This pdf file contains: Category: Document type:	Claims Modification.p riling and Search Search and Examination Examination Sumpublic Appeal Inird Party Observations imitation and revocation	df Number of Pages: 4

Figure 273: Selecting category for attached document

Select the appropriate document from the **Document type** drop-down list.

Claims Modification.pdf	Original file name: This pdf file contains:	Claims Modification.pdf	Number of Pages:	4
	Category:	Filing and Search		•
	Document type:	Amended claims (clean copy) Amended claims with annotations Amended description (clean copy) Amended description (with annotations		▼
		Amended drawings (dear copy) Amended drawings (dear copy) Amended drawings with annotations Amendments before examination Designation of inventor		~

Figure 274: Selecting document type from the selected category

The file is renamed to the Online Filing default file name.

CLMS-1.pdf	Original file name: This pdf file contains:	Claims Modification.pdf	Number of Pages:	4
 Amended clalean copy) 	Category:	Filing and Search		•
	Document type:	Amended daims (dean copy)		•

Figure 275: The attached document is renamed to the default OLF file name

(i) For sequence listings, please note that only up to a single ST.26 file (either XML or ZIP) may be attached per submission. Additionally, when selecting to submit a ST.26 sequence listing as ZIP, the provided ZIP file must contain a single ST.26-compliant XML file.

Example: Designation of contracting states is withdrawn

Click the **Add** button.

Navigate to your file and attach it.

Select the Withdrawals category.

In the Document type list, select the option Withdrawal of designated or extension states.

CLMS-1.pdf	Original file name: This pdf file contains:	Withdrawal designation GR.pdf	Number of Pages:	2
Amended clalean copy) Withdrawal designation GR.	Category:	Withdrawals		•
	Document type:	Withdrawal of an application Withdrawal of automatic debit order Withdrawal of designated or extension states		

Figure 276: Request for withdrawal of designated or extension states

The document is renamed **WDRADEST-1.pdf**. The **original file name** is displayed for reference.

Repeat the process for additional documents if you want to withdraw multiple designated states.

	CLMS-1.pdf	Original file name: This pdf file contains:	Withdrawal designation TR.pdf	Number of Pages:	2
-	 Amended clalean copy) WDRADEST-1.pdf 	Category:	Withdrawals		•
•	• Withdrawalsion states	Document type:	Withdrawal of designated or extension states		-
7	WDRADEST-2.pdf		,		
	• Withdrawalsion states				

Figure 277: Withdrawal documents attached

8.5.3 Filing non-public documents

The Online Filing software lets you submit documents in non-public proceedings to the EPO.

(i) You can attach public and non-public documents to Form EP(1038E), but not at the same time. If you attach a non-public document, you cannot select a fee which is only applicable for public submissions or create a public request. Please use separate forms for public and non-public submissions to the EPO.

Click the **Add** button.

Navigate to your file and attach it.

Select the Non-public category.

In the **Document type** list, select the appropriate document type, e.g. **Request for accelerated search/examination**.

The file is renamed 1005.pdf.

Request-for-accelerated-ex	Original file name: This pdf file contains:	Request-for-acceexamination.pdf	Number of Pages:	1
	Category:	Non public		•
	Document type:	Designation of inventor (Non-public) Inventor waiver - Rule 19(3) EPC (non public) Inventor waiver - Rule 20(1) EPC (non public) Medical certificate Non-public annex PPH: documents for search PPH: documents for search Request for accelerated search/examination	<u>,</u>	~

Figure 278: Request for accelerated search/examination attached as non-public document

If, after having attached your non-public document, you proceed to attach one of the files from the assortment of public document types, a red validation icon appears on the **Documents** button. The validation message explains the error.

EPO	Validation Messages/Documents	×
🔻 🔕 Sever	ity 1: 1 error(s)	
• It is	not possible to attach both public and non-public documents to the same request.	

Figure 279: Validation message after attaching public and non-public documents

If you select the **PACE request** check box in the **Request** tab and then attach the document type **Request for accelerated search/examination**, you will see a severity 1 validation message because only one PACE request can be submitted with the same form.



Figure 280: Validation message if the PACE request is selected and the document "Request for accelerated search/examination" is attached

8.5.4 Filing appeal documents

You can use the Online Filing software to file a notice of appeal and submit documents in appeal proceedings to the EPO.

(i) You can attach appeal documents and non-appeal documents to Form EP(1038E), but not at the same time. If you attach an appeal document, you cannot create a public or non-public request. Please use separate forms for filing appeal documents and all other submissions to the EPO.

Click the **Add** button.

Navigate to your file and attach it.

Select the **Appeal** category.

In the **Document type** list, select the appropriate document type, e.g. **Statement of grounds of appeal**.

The file is renamed APPEAL-GRDS-1.pdf.

APPEAL-GRDS-1.pdf	Original file name: This pdf file contains:	Appeal Grounds.pdf	Number of Pages:	4
 Statement os of appeal 	Category:	Appeal		-
	Document type:	Statement of grounds of appeal		-
		Request for interpreters during oral proce Request for oral proceedings (appeal proc Request for re-establishment of rights (ar Statement of grounds of appeal Translation of notice of appeal Translation of statement of grounds of ar Withdrawal of an appeal	edings (appeal procedure) cedure) ppeal procedure) upeal ngs (appeal procedure)	~

Figure 281: Statement of grounds of appeal attached under the appeal document category

If, after having attached your appeal document, you then attach one of the other document types, a red validation icon appears on the **Documents** button. The validation message explains the error.



Figure 282: Validation message after attaching appeal and non-appeal documents

If you select the **PACE request** or the **Enquiry** check box in the **Request** tab and then attach a document from the **Appeal** category, you will see a severity 1 validation message, because requests (public or non-public) and appeal documents cannot be submitted with the same form.



Figure 283: Validation messages if an appeal document is attached but a request has already been selected in the "Requests" tab

8.5.5 Viewing attached documents

Click the **Preview** button in the toolbar.

P

This opens the PDF Viewer.

Click a file name in the list on the left of the screen to display the attached document.

The example below shows two subsequently filed non-public documents.

EPO	PDF Viewer – 🗖				
1005.pdf (Request-for-accelerate ep11038.pdf (ep1038.pdf) ep-sfd-request.xml (ep-sfd-request.xml) package-data.xml	Europäisches Paterdant Europan Kateri dirice Office auropäe dis brevets	ying subsequently	filed items	^	
(package-data.xml) pkgheader.xml (pkgheader.xml) MEDA-1.pdf (Medical-certificate.pdf	Applicant: Micro York Patents 38, Fullerton St. York Yorkshire YO1 9QN United Kingdom Phone: +44 1904 660345 Fax: +44 1904 660480 E-mail: info@micro-york.co.uk The document(s) listed below is (are) subsequently filed docume Application number	its pertaining to the followin	80298 Munich German/ Tel: +49(0)9299-0 Fax -4465 P.O. Box 6518 NL-220 HV Rijsnijk Netherlands Tel: +31(0)70 340-2040 Fax -3016 10968 Berlin German/ Tel: +49(0)30 26901-0 Fax -340 g application: 10172763.1	5	
	Applicant's or representative's reference		1038-EN-PAC	:	
	Description of document C	iginal file name	Assigned file name	7	
	1 Request for accelerated search/examination Request-for	ccelerated-examination.pd	1005.pdf	1	
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	Currencf: EUR The European Patent Office is herebf authorized, under the				
			c	ancel	

Figure 284: Attached files in the PDF Viewer

8.6 EP(1038E) – Fee Payment

Select the fees that you want to subsequently pay for the application on the EP(1038E) form's **Fees** tab and specify the mode of payment. The currency for all fees is EUR.

(i) If the date of filing or of entry into the regional phase of your application is earlier than 1 April 2009 it is your responsibility to ensure that you have selected the correct schedule of fees for the application; see Payment details (p. 225).

The fees displayed in the **Fees** tab reflect the fee schedules located in **File Manager > Tools > Fee Management**.

Make use of the **Live Update** function in Online Filing to ensure that your fee schedule is always up to date. You will find the most recent fee schedule on the EPO website at **Applying for a patent > Online services**, following the link **Interactive schedule of fees** (http://www.epoline.org/portal/portal/default/epoline.Scheduleoffees).

For more information on EPO deposit accounts and the automatic debiting procedure, please refer to the Official Journal:

 Arrangements for deposit accounts (ADA) Supplementary publication 3/2015, p. 8-16 (http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p8.html)

- Notice from the European Patent Office dated 12 February 2015 concerning revision of the Arrangements for deposit accounts (ADA) and their annexes Supplementary publication 3/2015, p. 2-7 (http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p2.html)
- Decision of the President of the European Patent Office dated 29 September 2016 revising points 5.3 and 7 of the Arrangements for deposit accounts (ADA)
 OJ EPO 2016, A83

 (http://www.epo.org/law-practice/legal-texts/official-journal/2016/10/a83.html)

Online fee payment

The EPO offers a quick and secure online fee payment service designed for holders of EPO deposit accounts. For more information, go to the EPO website and navigate to **Applying for a patent > Online services > Online fee payment**

(http://www.epo.org/applying/online-services/fee-payment.html).

8.6.1 Payment details

In the **Payment details** sub-tab you can select a mode of payment and the schedule of fees applicable to your application.

Mode of payment

You have to select a mode of payment before you can pay any fees when you have selected one or more fees in the **Fee selection** tab. By default the method of payment is set to **Not specified**. If no payment method is selected a red validation icon appears on the Fees button. The validation message explains the error.



Figure 285: Please enter a mode of payment

Select the appropriate option from the Mode of payment list.

Automatic debit order

If you select this option the check boxes in the **Fee selection** sub-tab are automatically deactivated and the total amount of the fees is shown as EUR 0.00. The EPO will calculate the amount of the fees payable using the information you provided and will debit this amount direct from your account. With this option you cannot select the fees yourself in the form.

Debit from deposit account

If you choose this mode of payment, the relevant fees will be debited directly from your EPO deposit account. If you issue a debit order during normal working hours (08.00-18.00 hrs), you can usually view it under pending orders within about 30 minutes. The actual deduction from your account will appear 5 to 6 days later.

Bank transfer

All payments in EUR must be transferred to the EPO's bank account with the Commerzbank AG in Munich, Germany. The IBAN and BIC codes of the EPO's bank account are supplied automatically when you select the Commerzbank from the drop-down list.

Credit card

All payments by credit card must be made via the dedicated EPO fee payment service on the EPO website at **Applying for a patent > Online services > Paying fees online > Pay by credit** card (https://epo.org/fee-payment-service/en/login).

Choosing this mode of payment in the Payment details sub-tab is considered merely an indication of how you intend to pay.

Not specified

This option is selected by default. It is required to select another option before the form can be sent to EPO.

Debit from deposit account

An EPO deposit account is required to use the options **Automatic debit order** or **Debit from deposit account**.

Enter the number of your deposit account and the name of the account holder.

EPO deposit account numbers are made up of eight digits, starting with 28.

You are not required to enter **28** as the leading digits of the deposit account number, since these are automatically supplied by the software. Just enter the six remaining digits. If the deposit account number is not entered correctly, e.g. you enter more than six digits, you will see a red validation icon in the **Fees** tab. The corresponding validation message tells you to verify the deposit account number. The same rule applies to the deposit account number for reimbursement.

If you wish to have the fees debited from your account later than the submission date, enter the date in the **Deferred execution date** field.

Hover your mouse pointer over the symbol ^(I) to the right of the **Deferred execution date** field to see the **Important information**:

This functionality allows you to indicate explicitly that your payment order is to be executed at a later date than the submission date.

In this case, the payment date will be deemed to be the deferred execution date, provided that you have sufficient funds on your deposit account on that date.

Please choose the deferred execution date option only if the fees are to be debited on a future date, as otherwise the default execution date is the date of receipt.

The deferred execution date can be a maximum of 40 days in the future.

Please ensure that the deferred execution date lies within the time limit set for paying the selected fees.

Please note that any debit orders (standard or deferred execution) can only be revoked until 00.00 hrs CET on the date of submission (Arrangements for deposit accounts, 7).

EPO Online Filing - EP(1038E) - Sample 1038 - 🗆 🗙				
File Edit View Tools Windows	Help			
EP(1038E) - Draft - Sample 1038	Last saved on 19/09/2016			
Application No Names Reque	sts Documents Fees S Annotations			
Payment details Fee selection				
Mode of payment:	Debit from deposit account			
The European Patent Office is hereby aut	thorised, to debit from the deposit account with the EPO any fees and costs indicated on the fees page.			
Deposit account number: 28123456				
Account holder:	Nano Enterprise			
Deferred execution date (optional)	dd.mm.yyyy 🛐 👔			

Figure 286: Selecting mode of payment

Selecting the correct fee schedule

The fee schedule shown in Form EP(1038) depends on the date of filing or entry into the regional phase of the patent application to which this subsequently filed application belongs.

Select the appropriate fee schedule option.

- (a) Date of filing or entry into regional phase on or after 01.04.2014. This is the default option.
- (b) Date of filing or entry into the regional phase from 01.04.2009 to 31.03.2014 inclusive.
- (c) Date of filing or entry into the regional phase before 01.04.2009 or Euro-PCT application with date of filing or earliest priority before 01.09.2006.

Declaration under Rule 6(4) EPC

The check box for the declaration under Rule 6(4) EPC is available if the option **Date of filing or** entry into the regional phase on or after 01.04.2014 is selected.

Applicants who are nationals of an EPC contracting state **or** who have their residence or principal place of business in an EPC contracting state can request examination or file their application in an official language of that state, if this language is an admissible non-official EPO language, i.e. if it is not English, French or German (Article 14(4) EPC). They can also file their request subsequently using Form EP(1038E).

Under Rule 6(3) EPC, the EPO grants a reduction in the examination fee and filing fees if applicants referred to in Article 14(4) EPC belong to one of the following groups specified in Rule 6(4) EPC:

- a. small and medium-sized enterprises (SMEs);
- b. natural persons; or
- c. non-profit organisations, universities or public research organisations.

To declare that the applicant(s) fulfil the conditions of Rule 6(4), select the check box **The/Each** applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.

To select the reduced fees applicable to your application, go to the Fee selection sub-tab.

The **Fee selection** (p. 229) sub-tab displays the standard fees and the optional extra fee options with reductions.

Fee schedule:				
Ote of filing or entry into the regional phase on or after 01.04.2014				
The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.				
C Date of filing or entry into the regional phase from 01.04.2009 to 31.03.2014 indusive				
C Date of filing or entry into the regional phase before 01.04.2009 or Euro-PCT application with date of filing or earliest priority before 01.09.2006				
✓ Only required if different from above - Reimbursement, if any, to be made to deposit account with the EPO:	28203040			
Account holder: IP Partners				

Figure 287: Options for selecting the correct fee schedule

Further options

The Payment details sub-tab offers some additional options at the bottom of the screen.

If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, select the corresponding check box.

This information applies to all selected modes of payment. If you selected **automatic debit order** or **debit from deposit account**, you are only required to enter an account number here if that number is different from the account number used for payment.

Enter the EPO deposit account number and supply the account holder's name.

8.6.2 Fee selection

There is no fee selected by default in Form EP(1038E).

Select the check boxes of the fees to be paid.

The total fee amount is automatically calculated.

Filtering the fees displayed

You can filter the list of fees by selecting one of the options in the Show list:

- All fees
- Selected fees only

🔤 EPO Onlir	ne Filing - E	P(1038E) - Sample 10	38						×
File Edit	View Too	ls Windows Help							
	Ø 🖓	2							?
EP(1038E)	- Draft -	Sample 1038						Last saved on 12/0	03/2018
Application 1	No 🚫 Nam	nes 🕄 Requests	Documents	Fees 🚫	Annotations				
Doumont do	taile Fee se	lection							
Payment de	tails i ce se			-					. 1
Show:	All Fees		-	·	Fee	code	▼		₽
				_					-
	Foo Codo(Dag	riotion		Amount ELID	Doduction	Quantity	Amount to Day EUD	
	049	Renewal fee for the 19	anpuon Ath year		1 575.00	Reduction	Quartury	Amount to Pay EUK	
	0.50	Renewal fee for the 2)th year		1 575.00		1	0.00	
	055	Add. copy of docs cite	d in search report		40.00		1	40.00	
	056	Surcharge fee for print	ting (R.82(3), R.95	(3))	120.00		1	0.00	
	060	Fee for a technical opin	non		3 900.00		1	0.00	
	061	Max. surcharge under	Art. 7(3) RFees		0.00		1	0.00	
	062	Protest fee			875.00		1	0.00	
	067	Fee for late furnishing 30(3) EPC)	of sequence listing	(R.	230.00		1	230.00	
	080	Certification of other d	ocuments		50.00		1	0.00	
	093	Surcharge for renewal	fee for 3rd year		235.00		1	0.00	
	094	Surcharge for renewal	fee for 4th year		292.50		1	0.00	-
🔲 Edit fee	amounts (no	o automatic fee correcti	on will be done by t	he office)					
Fee schedu	ile for EUR va	alid as of:	01.03.2018				Total:	(2 Fees) EUR 270	0.00
								<u></u>	i

Figure 288: Selecting fees

Applying fee reductions

If the **declaration under Rule 6(4)** check box in the **Payment details** sub-tab is selected, the extra fees reductions are displayed in the fee selection table.

- The 30% reduction applies to:
 - 001r Filing fee EP direct online
 - 001er Filing fee EP direct not online
 - 006r1 Examination fee For applications filed on/after 01.07.2005
 - 006er1 Examination fee For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report

- 501r Additional filing fee for the 36th and each subsequent page
- 552r Additional fee for divisional 2nd generation
- 553r Additional fee for divisional 3rd generation
- 554r Additional fee for divisional 4th generation
- 555r Additional fee for divisional 5th or subsequent generation
- The 75% reduction applies to:
 - 006r2 Examination fee For applications filed on/after 1.07.2005
 - 006er2 Examination fee For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report

You can combine both standard fees and reduced fees in one application, provided that you, the applicant(s), fulfil the conditions for fee reduction under Article 14(4) and Rule 6(4) EPC. However, if you select a specific reduced fee, all other fee options for this fee, e.g. the examination fee, are locked.

Select the reduced fees individually as appropriate.

w:	All Fees	▼	Fee o	ode	<u> </u>	
	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
	006e	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report	1 825.00	none	1	0.00
	006er1	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report	1 825.00	30%	1	0.00
	006er2	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report	1 825.00	65%	1	0.00
	006r1	Examination fee - For applications filed on/after 01.07.2005	1 635.00	30%	1	0.00
	006r2	Examination fee - For applications filed	1 635.00	65%	1	572.25

Figure 289: Selecting reduced fees for applicants under Rule 6(4)

Selecting fees when filing non-public submissions

When attaching non-public documents to your application or making a non-public request (PACE request), only certain fees can be selected at the same time. These are:

029 - Certified copy (application, priority document, patent certificate, other documents)

For all other fees, a separate submission is required. If you select a fee that is incompatible with non-public filings, a red validation icon will appear in the **Documents** tab.

Changing the fee quantity

The value in the **Quantity** column can be edited for the following fees:

- 002 Fee for (supplementary) European search for applications filed on/after 01.07.2005
- 002e Fee for (supplementary) European search for applications filed before 01.07.2005
- 005 Designation fee (for applications filed before 01.04.2009)
- 008 Printing fee for 36th and each subsequent page
- 015 Claims fee for the 16th to the 50th claim (for applications filed on/after 01.04.2009) / for the 16th and each subsequent claim (for applications filed before 01.04.2009)
- 015e Claims fee For the 51st and each subsequent claim
- 016 Claims fee in accordance with R. 71(4) For the 16th to the 50th claim (for applications filed on/after 01.04.2009) / Claims fee in accordance with R. 71(4) (for applications filed before 01.04.2009)
- 016e Claims fee in accordance with R. 71(4) For the 51st and each subsequent claim
- 029 Certified copy (application, priority document, patent certificate, other documents)
- 055 Add. copy of docs cited in search report
- 121 Fee for further processing (late performance as of acts R. 71(3))
- 122 Fee for further processing (non-fee-related cases)
- 123 Fee for further processing (late payment of a fee 50% of the relevant fee)
- 400 Surcharge for extension fees
- 501 Additional filing fee for the 36th and each subsequent page
- 501r Additional filing fee for the 36th and each subsequent page (30% reduction)
- 520 Additional filing fee for the 36th and each subsequent page entry into EP phase

Select the fee you wish to change.

Click the Quantity field.

Enter the new amount.

		Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
	\checkmark	006	Examination fee - For applications filed on/after 01.07.2005	1 635.00	none	1	1 635.00
	\checkmark	029	Certified copy (application, priority document, patent certificate, other documents)	50.00		1	50.00
	\checkmark	055	Add. copy of docs cited in search report	40.00		4	40.00
	\checkmark	067	Fee for late furnishing of sequence listing (R. 30(3) EPC)	230.00		1	230.00
Г	Edit fee	e amounts (no	automatic fee correction will be done by the office)			
Fe	e schedu	ule for EUR va	lid as of: 01.04.2019		T	otal:	(4 Fees) EUR 1 955.00

Figure 290: Changing the quantity for a selected fee

Click anywhere on the form.

The value in the **Amount to Pay EUR** column and the total amount of the fees are automatically recalculated.

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
	006	Examination fee - For applications filed on/after 01.07.2005	1 635.00	none	1	1 635.00
	029	Certified copy (application, priority document, patent certificate, other documents)	50.00		1	50.00
	055	Add. copy of docs cited in search report	40.00		4	160.00
	067	Fee for late furnishing of sequence listing (R. 30(3) EPC)	230.00		1	230.00
🔲 Edit fee	e amounts (no	automatic fee correction will be done by the office)		_	
Fee schedu	ule for EUR va	lid as of: 01.04.2019		т	otal:	(4 Fees) EUR 2 075.00

Figure 291: Recalculated total of the fees selected

Editing fee amounts and reductions

If you wish to edit a fee amount or apply a specific reduction, you have to select the **Edit fee amounts** check box. If you do so, please note that there will be no automatic fee correction for this application. Depending on your selected mode of payment, the total amount shown will be debited from your deposit account or is payable by bank transfer.

Select the Edit fee amounts check box below the fee selection table.

Select the fee you wish to modify.

Click in the field to be edited, Amount EUR or Reduction.

Enter the new value.

Click anywhere in the form.

The amounts in the column **Amount to pay EUR** and the total amount of the fees are automatically recalculated.

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
	006	Examination fee - For applications filed on/after 01.07.2005	1 635.00	50.00%	1	817.50
\checkmark	029	Certified copy (application, priority document, patent certificate, other documents)	50.00	none	1	50.00
\checkmark	055	Add. copy of docs cited in search report	40.00	none	4	160.00
\checkmark	067	Fee for late furnishing of sequence listing (R. 30(3) EPC)	230.00	none	1	230.00
🛛 Edit fee	e amounts (no	automatic fee correction will be done by the office)			
ee schedi	ule for EUR va	lid as of: 01.04.2019		т	otal:	(4 Fees) EUR 1 257.50
						S 1 ▲ 0 ③

Figure 292: Recalculated amount shown

If you want to undo changes to the fee amounts, you can restore the values from the fee table in Online Filing.

Clear the Edit fee amounts check box.

The original values for all fees are restored in the form.

The value in the Quantity column will not be reset, however.

8.6.3 Designation of states

The options for the designation fees depend on the fee schedule selected in the **Payment details** sub-tab.

If Date of filing or entry into regional phase on or after 01.04.2014 or Date of filing or entry into the regional phase from 01.04.2009 to 31.03.2014 inclusive is selected:

Select fee **005e – Designation fee – For all Contracting States designated** in the **Fee selection** sub-tab.

v:	All Fees	<u> </u>	Fee	:ode	<u> </u>	
	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
	001	Filing fee - EP direct - online	120.00	none	1	0.0
	001e	Filing fee - EP direct - not online	210.00	none	1	0.0
	001er	Filing fee - EP direct - not online	210.00	30%	1	0.0
	00 1r	Filing fee - EP direct - online	120.00	30%	1	0.0
	002	Fee for a European search - Applications filed on/after 01.07.2005	1 300.00	0€	1	0.0
	002e	Fee for a European search - Supplementary search for applications filed before 01.07.2005	885.00		1	0.0
2	005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	585.00		1	585.0
	006	Examination fee - For applications filed	1 635.00	none	1	0.0

Figure 293: All contracting states designated

If Date of filing or entry into the regional phase before 01.04.2009 or Euro-PCT application with date of filing or earliest priority before 01.09.2006 is selected:

Select fee 005 – Designation fee for each state designated (max. 7x).

The **Designation states** sub-tab becomes visible.

how:	All Fees		Fee	ode	•		۶
	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR	^
	001	Filing fee - EP direct - online	120.00	none	1	0.00	j .
	001e	Filing fee - EP direct - not online	210.00	none	1	0.00	1
	002	Fee for a European search - Applications filed on/after 01.07.2005	1 300.00	0€	1	0.00	
	002e	Fee for a European search - Supplementary search for applications filed before 01.07.2005	885.00		1	0.00	1
	005	Designation fee for each state designated (max. 7x)	100.00		7	700.00	
	006	Examination fee - For applications filed on/after 01.07.2005	1 635.00	none	1	0.00	•
	006e	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without	1 825.00	none	1	0.00	, ,
Edit fee	e amounts (n	o automatic fee correction will be done by the offic	e)				
ee sched	ile for EUR v	alid as of: 01.04.2016			Total	(1 Fees) FUR 70	0 (

Figure 294: Selecting fee 005 makes the "Designation states" sub-tab visible

Click the **Designation states** sub-tab.

Select the appropriate option: All states or Fewer than seven.

Select the states for which designation fees should be paid.

The number of fees and the amount to be paid are then automatically calculated in the **Fee selection** tab.

Payment details Fee selection Designation	on states		
Designation fees are paid for:			
 All states (in case of a divisional app 	lication only those states which were	validly designated in the parent applic	ation)
Fewer than seven (Applicable also to	o additional application):		
AT Austria	🖂 ES Spain	IS Iceland	NO Norway
🔲 BE Belgium	FI Finland	🔲 IT Italy	PL Poland
🔲 BG Bulgaria	FR France	🔲 LT Lithuania	PT Portugal
CH/LI Switzerland/Liechtenstein	GB United Kingdom	LU Luxembourg	🕅 RO Romania
CY Cyprus	GR Greece	🔽 LV Latvia	SE Sweden
CZ Czech Republic	🔽 HR Croatia	MC Monaco	🔽 SI Slovenia
DE Germany	HU Hungary	MT Malta	SK Slovakia
DK Denmark	🔲 IE Ireland	NL Netherlands	TR Turkey
EE Estonia			
If less than seven states are indicated,	the EPO shall debit designation fees	only for those states, unless it is instru	icted to do otherwise before expiry of
the basic period.			

Figure 295: Selecting states for designation fees

8.7 EP(1038E) – Annotations

You can use Form EP(1038E) to send an annotation to the EPO without supplying any other data or attaching a document.

In the Annotations tab you can enter notes to be transmitted to the EPO.

Creating notes for the EPO

Click the Add button and select New Note.



Enter the relevant information in the Author, Subject and Note fields.

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			\checkmark		2														?)
1	EP(1	038E)) - Dra	aft - Sa	mple	1038										Last s	aved	on 19/	/09/201	6
	Арр	licatio	n No	Name	es	Reque	ests	Documents	Fees	Annotations										
	Anno	tations	for the	EPO:																
	4	I v 🎽	}			Au	ithor:		David Kill	burn										
	Mo	ore non	public d	locument	ts	Su	bject:		More nor	n public documents										
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Figure 296: Adding a new note as an annotation for the EPO

To add notes that are not intended for the EPO, use the **Internal notes** (p. 42) function on the form's toolbar.

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8.8 Reusing previous data for filing with EP(1038E)

Instead of creating a new application with the EP(1038E) form, you can simply re-use the data from the first filing you created and sent with the EP(1001E2K) form and on which the subsequent filing should be based.

Open File Manager and select the folder where the sent application is saved.

Click the Sent status button.

Select the required application – the EP application number is displayed in the **App.number** column.

Right-click to select the option Reuse data for a subsequent filing.

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All Applications	All Draft Rea	ady to Sign Ready to Sei	nd Sent Last saved 🗸	م
Forms	Sent date Reference 19/09/2016 1001-EN-002	Title Request for grant of a Europea patent (EPC 2000)		p.number ^
I I rash			Open application Reuse data for a subsequent filing	
		nr	Move to folder Copy application	
			Delete	~
	Form EP(1001E2	к)		
	ID: Title:	34 INSTANT WATER		
	Status:	Sent		
	Messages: Last saved:	♥ 0 🗥 1 🔮 2 Administrator, 19/09/2016		
	Applicant:	Salvatore Manzoni (also inver	ntor)	
	Attachments: Internal Notes:	1 View		
	Items selected: 1			

Figure 297: Creating a new application for subsequently filed documents (form 1038E) using an application already sent

The **Create a New Application** window opens. Enter a new user reference of your choice or use the existing one. The EP(1038E) form then opens with the following data from the application previously sent:

- EP application number
- Name of the first applicant
- Payment details entered
- Selected fees

Make your amendments or enter new data and save the application. Once the application has been successfully sent, it appears in File Manager with the same EP application number.

9. EP(Oppo)

The EP(Oppo) form is used for filing an opposition and/or submitting subsequently filed documents in opposition proceedings (not for appeal proceedings). It should be used by all parties involved in opposition proceedings.

The following section describes how to draft the electronic form for both of these situations. The different options available in Form EP(Oppo) are explained using four examples. The options for attaching different documents are a prerequisite in the following for the designation of persons and the selection of grounds and requests.

- Example 1: An opposition is filed by multiple opponents
- Example 2: An intervener with representatives files an opposition and designates a witness
- Example 3: The proprietor of a patent responds to the opposition filed against her patent
- Example 4: A third party files evidence

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.

The opponent must uniquely identify the opposed patent, specify his or her grounds for opposition and submit a written reasoned statement. The time allowed for filing notice of opposition is nine months from the publication of the mention of the grant of the patent in the European Patent Bulletin.

For more information, see the EPO's Notes to the notice of opposition (http://www.epo.org/applying/forms-fees/forms.html).

Second communication – other actions

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).

When filing with Form EP(Oppo), at least one of the following actions must be performed by the party who selected the **Other action** option:

- attach a document
- submit a request
- attach a piece of evidence
- indicate a payment
- write an annotation.

Data input in Form EP(Oppo)

Form EP(Oppo) is organised into six tabs. It is recommended to enter the data in the tab sequence given, i.e. starting with the **Opposition** tab. The options and conditions in the **Names** tab, for instance, are determined by the selections you make in the **Opposition** tab, and the options in the **Documents** tab depend on the selection in the **Names** tab.

Tab	What you can do
Opposition	Select the kind of communication, enter reference to the patent
	opposed, specify grounds for opposition
Names	Enter details of the persons involved: opponent(s), intervener(s),
	representative(s), proprietor(s), witness(es) or third parties.
Requests	Select options for additional request: refer to withdrawal/revocation, to
	oral proceedings, to extension of time limit, etc.
Documents	Attach facts and arguments, publications for evidence, other evidence
	and other documents.
Fees	Enter the mode of payment, select fees according to the appropriate
	fee schedule.
Annotations	Supply additional information for the EPO.

Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. You must either manually fill out this field or select one of the options provided. If mandatory fields are not completed, the corresponding tab will show a red validation icon. Consult the validation messages for more information.

Opposition 🚫	Names 📎	Requests	Documents 📎	Fee Payment	Annotations
Patent oppose	d	Patent No.	EP_		

Figure 298: The Patent No. of the patent opposed is a mandatory field in the Opposition tab and is marked with a red triangle

Elements in Form EP(Oppo)

Menu	Bar To	oolbar	Location	Indicator Ba	r Na	viga	tion Bar						
EPO	Online Fil	ing - EP(Op	po) - Sample	OPPO 1								• X	3
File E	dit View	Tools \	Windows H	elp									
												(?
EP(Op	po) - Dra	aft - Samp	ole OPPO 1								Last saved o	n 23.10.2	011
Oppos	Opposition 🛇 Names 🛇 Requests Documents 📎 Fees A												
•	Notice of	f oppositio	on or interv	vention									
0	Other ac	tion (requ	uest, submi	ission, paymen	t, third-	part	y observ	vation)					
	🗖 follow	ring summa	ons to oral p	roceedings									
Refer	ence Grou	unds											
	Patent opposed Patent No. EP Application No. EP							Date of mentior (Art. 97(3), 99(dd.mm.yyyy	of the grant 1) EPC) 	in the Euro	opean Patent Bi	ulletin	
	Title of i	nvention										*	
	Propriet	or of the pa	atent										
	first name	d in the pate	ent specification	,									
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Sub-	-tabs		D	etails Area							Stat	us Bar	

Figure 299: Form EP(Oppo) – Overview

Element	Description
Menu Bar	Provides all options needed to edit, save, import and export
	drafts, set the display and change the status, as well as other
	tools.
Toolbar	Provides shortcuts to the most frequently used tasks and
	tools.
Location Indicator Bar	Shows the selected procedure, the current status and the user
	reference for the open draft.
Navigation Bar	Displays tabs corresponding to the sections of the form. These
	tabs can contain sub-tabs, which are a sub-division of the
	main tab sections within the form.
Details Area	Displays data entry fields appropriate to the selected tab.
Status Bar	Displays information about the current activity. Shows the total
	number of validation messages for the open draft.

9.1 EP(Oppo) – Opposition

The **Opposition** tab is where you basically choose the purpose for which you want to use Form EP(Oppo). Your alternatives are either **Notice of opposition or intervention** or **Other action**. All subsequent options are dependent on this selection. If you switch alternatives after entering data, you will lose any data that does not apply to the new setting.

Select the appropriate option.

The option Notice of opposition or intervention is selected by default (examples 1 and 2).

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Opposition 🚫	Opposition S Names Requests Documents Fees Annotations										
Notice of	f oppositi	on or interv	ention								
Other a	ction (req	uest, submi	ssion, payment	t, third-	party observa	tion)					
🗖 follov	ving summ	ons to oral pr	oceedings								

Figure 300: The option "Notice of opposition or intervention" is selected

If you choose the **Other action** option (examples 3 and 4), you should also select the check box **following summons to oral proceedings** if you have already received communication of this kind from the EPO.

(i) This option guarantees that your filing is assigned the highest priority for internal processing at the EPO.

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	3										
EP(Oppo) - Dr	EP(Oppo) - Draft - Sample OPPO 3										
Opposition 🚫	Opposition 🛇 Names 🛇 Requests Documents 🛇 Fees Annotations										
Notice of opposition or intervention Other action (request, submission, payment, third-party observation) Following summons to oral proceedings											

Figure 301: The "Other action" option is selected

The red validation icon on the **Documents** button indicates that at least one document or piece of evidence is missing in this case and needs to be attached or that an application, payment or annotation needs to be made.

Enter information on the patent and your statement of grounds in the **Reference** and **Grounds** sub-tabs.

9.1.1 Reference

Enter information about the opposed patent in the **Reference** sub-tab (examples 1 and 2).

Enter the number of the opposed patent as published in the European Patent Bulletin in the **Patent No.** field. This information is mandatory.

Enter the number of the application in the **Application No.** field. This information is mandatory.

Enter the relevant date in the field under **Date of mention of the grant in the European Patent Bulletin**. This helps the EPO to determine the possible time left for filing notice of opposition.

(i) If the period between the date entered and the current processing data is more than nine months, an appropriate message is output with a yellow validation icon in the list of validation messages.

Enter the name of the invention in the **Title of invention** field, using the same wording as the title of the published specification.

In the **Proprietor of the patent** field, enter the party named first as proprietor in the patent specification.

(i) If you select the **Other action** option (examples 3 and 4), you only have to enter the patent number in this sub-tab because this is the number that the EPO uses for the administration of proceedings. All other settings are optional.

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Opposition 🛇 Names 📎 Req	quests Documents 📎	Fees	Annotations									
Notice of opposition or intervention Other action (request, submission, payment, third-party observation) following summons to oral proceedings												
Reference Grounds												
Patent opposed	Patent No. Application No.	EP 198	37710 429494.1	Date of mention of the Bulletin (Art. 97(3), 99 9 December 2008	e grant in the Euro 9(1) EPC) 1	pean Pate	nt					
Title of invention	Instant water						~					
Proprietor of the patent	cification Man;	zoni, Salva	tore									
Logged in as Administrator						3 🛕	0 🕄 0					

Figure 302: Information on the opposed patent entered in the "Reference" sub-tab

9.1.2 Grounds

Enter the grounds for your opposition to the patent as a whole or specific patent claims in the **Grounds** sub-tab (examples 1 and 2).

Select the **claim(s) No(s)**. option and enter the numbers of the relevant claims in the field provided if you only want to file an opposition to certain claims.

The option the patent as a whole is selected by default.

Select at least one of the check boxes (a) to (c) under Grounds for opposition.

Delease note that a written reasoned statement is also to be attached in the **Documents** tab.

If you selected non-patentability pursuant to Article 100 (a) EPC as the grounds for opposition, please provide more details by choosing one or more of the reasons listed:

Select the relevant grounds: it is not new, it does not involve an inventive step or patentability is excluded on other grounds.

Enter the relevant EPC articles such as 53 (c) in the other grounds field.

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Opposition	Names 🚫	Requests	Documents 🛇	Fees	Annotations							
Notice of opposition or intervention Other action (request, submission, payment, third-party observation) following summons to oral proceedings Reference Grounds												
Opposition	Reference Grounds Opposition is filed against Image: Comparison of the second											
⊂ the p	C the patent as a whole (daim(s) No(s). 4,7,12,18											
Grounds fo	r oppositio	n	(written rea	soned sta	itement to be attac	ched in the Documents section	2)					
🔽 (a) t	he subject-ma	atter of the Euro	opean patent oppo	sed is not	patentable (Art. 100	0(a) EPC) because:						
	✓ it is not nev	w (Art. 52(1); 5	64 EPC)									
	it does not	involve an inve	entive step (Art. 52	(1); 56 EP	C)							
I	✓ patentabilit	ty is excluded o	n other grounds, i.	e. Art.		53 (c)						
Г (b)	he patent opp he art (Art. 10	oosed does not 00(b) EPC; see	disclose the inventi Art. 83 EPC).	ion in a ma	nner sufficiently clea	ar and complete for it to be carrie	d out by a	a person	skilled ir	י		
(c)	(c) the subject-matter of the patent opposed extends beyond the content of the application / of the earlier application as filed (Art. 100(c) EPC; see Art. 123(2) EPC).											
Logged in as Admi	nistrator						0	2	0 (3 0		

Figure 303: Stating the grounds for opposition

If you select the **Other action** option, all fields in the **Grounds** sub-tab become inactive because grounds for opposition are not needed in this instance (examples 3 and 4).

9.2 EP(Oppo) – Names

Use the **Names** tab on Form EP(Oppo) to enter the name of the persons who file the opposition (first communication, examples 1 and 2) or perform other actions (second communication, examples 3 and 4). There are number of different options available for these two alternatives.

(i) Be aware that you can only attach documents to the EP(Oppo) form if at least one person is indicated in the **Names** tab. Please enter all names and their roles before you proceed to the **Documents** tab. The options for attaching documents depend on the roles chosen in the **Names** tab.

9.2.1 Persons in conjunction with "Notice of opposition or intervention"

If you selected the **Notice of opposition or intervention** option in the **Opposition** tab, you must specify at least one **opponent** or **intervener**. Multiple opponents or interveners can be specified. You can also designate one or more **representatives** and **witnesses**, or enter an address for correspondence with the opponents/interveners.

Click the Add button in the Names tab.

Select the appropriate option.



Figure 304: Options for adding persons when "Notice of opposition" is selected

Enter the details for the person or use the Copy from Address Book button.



Repeat this procedure to add additional persons.

Removing names from the form

Select the name to be removed on the left-hand side of the form.

Click the **Delete** button.



Example 1: Multiple opponents are designated

In this example, two legal persons and one natural person were added as opponents. The firstnamed opponent, a company, is represented by one of its employees. Select the first-named opponent.

Select the check box [Company] is represented by the following employee acting pursuant to Art. 133(3) EPC.

Enter Last Name (mandatory field), First Name (mandatory field) and Title.

The name of this employee will be automatically filled into the **Sign Application** dialog and cannot be modified. Only an employee who is authorised by the applicant under Article 133 EPC is entitled to sign.

Enter the General Authorisation number (where applicable).

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E	P(Oppo) - Draft - Sample OPPO 1 Last saved on 29/09/2015														
	Opposition	Names	Rec	quests	Documents	Fees	Annotations								
[, je		Compa	any:	Micro York	¢.	1							
	Opponents			Depart	tment:	Patents									
	Bio Re	York search	_	Count	ry:	GB	United Kingdom	•	Telephone:	+44 1904	16603	45			
	🚨 Kenne	cott, James		Addres	ss:	38, Fullert	on St.		Telefax: +44 1904 660			80			
	Witnesses								E-mail:	info@micro-york.co.uk					
				P.O. Box: Postal code: City: GB County:		Y01 9QN			,						
						York									
						Yorkshire		•	Principal place of business:	GB	Unite	d King	dom	-	
				∏ Ad	dress for corresp	ondence									
				Mic Mic	tro York is represe	ented by th	ne following employe	e a	cting pursuant to Art. 13	3(3) EPC:					
	Last Name:				Scott			General Authorisation:	13-5678						
	First Name:			Jessica		1									
				Title:		Ms	•								
											0	0 4	<u>^</u> 0	(1)	0

Figure 305: Designation of multiple opponents; the first opponent is represented by an employee

Address for correspondence

You can specify a separate address for correspondence with the first-named opponent, intervener or proprietor if you have not added a representative to the form. The country in the address for correspondence must be an EPC contracting state.

The **Address for correspondence** check box is unlocked after the mandatory fields for the firstnamed opponent (intervener or proprietor, respectively) have been completed, i.e. First Name, Last Name (or Company), City and Country.

Select the first-named opponent.

Select the Address for correspondence check box.

Address for correspondence then appears in the list on the left.

Entering the address for correspondence is now mandatory. The red validation icon in the **Names** tab notifies you of a validation message to that effect.

Click the Add button and select Address.

The first opponent's name appears under **Address for Correspondence** on the left and the data entry fields become available on the right.

Edit the address information as required.

- The opponent's name cannot be edited in the address for correspondence. The **Company** field (legal opponent) and the **Last Name** and **First Name** field (natural opponent) are locked.
- If you subsequently modify the first-named opponent's name, the name in the address for correspondence will be updated accordingly.
- If you delete the first-named opponent, the address for correspondence will also be removed from the form.



Figure 306: Address for correspondence entered for the first-named opponent

Example 2: One intervener, his or her authorised representative and one witness are designated

In this example, a natural person was designated as the intervener. The intervener is represented by a legal practitioner.

Use the check boxes beside **Authorisation(s)** to indicate how the representative's authorisation is substantiated.

- If you select is/are enclosed, you have to attach the authorisation as an electronic file in the Documents tab. The validation messages for the Documents tab indicate that this document is mandatory.
- If you select has/have been registered under No., you have to enter the authorisation number in the adjoining – now mandatory – data field.

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EP(Oppo) - Draft - Sample OPPO Last saved on 07.05.2011										
Opposition Names Re	equests Documents 🛇	Fees Annotations								
	Last Name:	Kilburn								
Representatives	First Name:	David	Company:	IP Partners						
🚨 Kilburn, David	Title	Mr	Department	European Patente						
Interveners	nue:	P	Department:	Luiopean Patents						
Witnesses	Same address as th	e first representative	_							
	Country:	GB United Kingdom	· Telephone:	+44 1223 351689						
	Address:	Cambridge Science Park 100 Red Lion Square	Telefax:	+44 1223 351690						
			E-mail:	kilburn@ip-partners.co.uk						
	Postal code:	CB2 1AB								
	City:	Cambridge	1							
	GB County:	Cambridgeshire	·							
	Authorisation(s)	is/are enclosed								
		has/have been registered u	nder No.							
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Figure 307: Designation of the intervener's representative

Click the Add button again and select Witness.

Only natural persons can be designated as witnesses.

Enter the name of the witness.

Select the address to which the witness summons should be sent. The options available are:

- **to the party** (i.e. the intervener in this example)
- to the following address.

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EP(Oppo) - Draft - Sample O	PPO 2			Last saved on 23.01.2009
Opposition Names Reque	ests 🕄 Documents 🛇	Fees Annotations		
	Last Name:	Harper		
Representatives	First Name:	Malcolm		
🚨 Kilburn, David				
Interveners	Title:	Mr 👤		
🚨 Burton, Peter	Summons to be sent	to the party		
Witnesses		C to the following address:		
Harper, Malcolm				
	Company:		Department:	
	Country:		Telephone:	
	Address:		Telefax:	
			E-mail:	
	Postal code:			
	City:			
	Region:	_		
1				
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Figure 308: Designation of the intervener's witness, summons via the party

9.2.2 Persons in conjunction with "Other action"

In addition to the options listed in the previous section, selecting the **Other action** alternative in the **Opposition** tab lets you select one or more **proprietors** or **third parties**. You can therefore add either opponents, interveners, proprietors or third parties in addition to representatives and witnesses, or enter an address for correspondence with the opponents/interveners/proprietors. It should be noted that third parties cannot remain anonymous should they file with this option.

Click the Add button in the Names tab.

Select the appropriate option.

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http://www.com/action.com/action/acti	N
Proprietor, natural	13
🔠 Opponent, legal	
Opponent, natural	
http://www.association	
🚨 Representative, authorised	
🙎 Representative, legal practit	tioner
🔠 Intervener, legal	
Intervener, natural	
Witness	
🛗 Third party, legal	
🚨 Third party, natural	

Figure 309: Options for adding persons for the second communication

Example 3: Proprietor and representative are designated

In this example, the proprietor of the patent wants to submit additional information on her opposed patent. The company is represented by an attorneys' office (association).

Add the proprietor of the patent.

Because the proprietor's data is registered with the EPO, only the name is mandatory (company name for legal proprietor, last name and first name for natural proprietor.

Add the representative.

You can add exactly one representative.

Enter information on the representative's authorisation; see example 2.

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				(?)
EP(Oppo) - Draft - Samp	le Oppo 3			Last saved on 25/09/2014
Opposition Names	Requests Documents	Fees Annotations		
	Company:	Nano Enterprise Ltd.		
Proprietors	Department:	Nanotechnology		
Representatives	Country:	GB United Kingdom 💌	Telephone:	+44 20 7123 4567
Witnesses	Address:	123 City Street	Telefax:	+44 20 7123 4568
			E-mail:	info@nano-enterprise.co.uk
	P.O. Box:	5623		
	Postal code:	W1A 2BC		
	City:	London		
	GB County:	Greater London 💌	Principal place of business:	GB United Kingdom 💌
	Address for corre	spondence		
	🔲 Nano Enterprise L	td. is represented by the following	employee acting pursua	ant to Art, 133(3) EPC;
	Last Name:		General Authorisatio	n:
	First Name:			
	Title:	_		

Figure 310: Designation of proprietor and representative

Example 4: A third party is designated

In this example, a third party who has not yet been involved in the proceedings makes observations on the opposition to the patent.

Enter the name and address of the third party.



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Comp	any:	Parker & Pa	artners							
Representatives Depar	rtment:	Nanotechn	ology							
Third party —		r		_					-	
Parker & Partners Count	try:	GB I	United Kingdom	-						
Addre	ess:	267, Harb	our Road	_						
Posta	l code:	CT16 3PJ								
City:		Dover								
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1							_			
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Figure 311: Designation of third party

9.3 EP(Oppo) – Requests

Use the **Requests** tab to file additional requests that extend beyond the scope of the opposition or, in the case of a second communication, respond or refer to the opposition.

The options available are directly dependent on the settings you chose or the data you entered in the **Opposition** and **Names** tabs.

Example 1: The opponents submit an auxiliary request for oral proceedings with an interpreter

Select the check box Request for oral proceedings.

This automatically activates and selects the check box **auxiliarily**. This means that your request for oral proceedings only applies if the EPO decides against your interests.

Clear the check box **auxiliarily** if you want the request for oral proceedings to apply irrespective of the EPO decision.

Select the check box **Request for interpreting** if you are only able to participate in oral proceedings in a specific language.

Select one of the EPO's three official languages (English, German and French) for the options **listening in** and **speaking in**. These inputs are mandatory if you enter a request for interpreting.

Select the check box **Request for accelerated processing** as applicable.

Type the **reason** for this request into the text box.

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Opposition	Names	Requests	Documents	Fees 🛆	Annotations						
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Oral proces	edings t for oral proce xiliarily wal of request	edings	ıgs		I Reque listen spea	st for interp ing in king in	reting English English	•			
Extension of Request Substant	of time limit for extension tiation of the re	of the time limit equest, according	to OJ 5/2016, A.4	12(4)	Chi	oose file	No file se	lected			
Other	t for the taking) of evidence by th	ne hearing of a wit	ness							
Request for accelerated processing Reason: Pending infringement proceedings in national court											
Uther re	equests:							6	0	10	
									• • <u>144</u>	100	

Figure 312: Request for oral proceedings with interpreting and request for accelerated processing

Example 2: The interveners submit a request for oral proceedings irrespective of the EPO decision and a request for the taking of witness evidence

In this example, the **Request for oral proceedings** check box is selected and the check box **auxiliarily** has been cleared.

The check box **Request for the taking of evidence by the hearing of a witness** is always automatically selected if one or more persons were named as witnesses in the **Names** tab.

If you are expressly against the taking of witness evidence in oral proceedings, clear this check box.

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Withdrawal/Revocation	n			🗖 Reque:	st for revocati	on of the patent				
Oral proceedings	dinas			C Reques	st for interore	ting				
auxiliarily	ungs			listeni	ing in		-			
🔲 Withdrawal of request fo	Withdrawal of request for oral proceedings speaking in									
Extension of time limit										
🔲 Request for extension of	the time limit									
Substantiation of the req	juest, according to (OJ 5/2016, A.4	2(4)	Cho	ose file,	No file selected	ł			
Other			_							
Request for the taking o	of evidence by the h	earing of a witr	ness							
Request for accelerated	l processing									
Reason:										
Cother requests:										
	,						o	▲ 1 ③ 1		

Figure 313: Request for oral proceedings irrespective of the EPO decision and request for the taking of witness evidence

Example 3: The opponent submits a request for extension of the time limit

As from 1 July 2016, any request for extension of the time limit will be granted only in exceptional cases and if duly substantiated. If you wish to request extension of the time limit, you must explain your grounds in written detail and attach this letter to the EP(Oppo) form.

For more information, see the **Notice from the EPO concerning the opposition procedure as from 1 July 2016**, OJ EPO 2016, A42(4) (http://www.epo.org/law-practice/legal-texts/official-journal/2016/05/a42.html).

Select the check box Request for extension of the time limit.

To attach the request document, click Choose file.

The file is renamed **TIMEEXTREQ.pdf**.

The caption on the button changes to **Detach file**.

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Opposition Names Requests 🛆 Do											
Withdrawal/Revocation											
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Oral proceedings											
Request for oral proceedings		C Reque	st for interpreting								
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🗌 Withdrawal of request for oral proceedings	Withdrawal of request for oral proceedings speaking in										
Extension of time limit											
Request for extension of the time limit											
Substantiation of the request, according to O	Substantiation of the request, according to OJ 5/2016, A.42(4) Detach file TIMEEXTREQ.pdf										
Other											
Request for the taking of evidence by the head	aring of a witness										
Request for accelerated processing											
Reason:											
Other requests:											
					⊗ 0	<u>^</u> 2	(1)	D			

Figure 314: Request by the opponent for extension of the time limit

Example 4: The proprietor of the patent requests revocation of the patent

The **Request for revocation of the patent** option is only active if you named one or more persons as the proprietor of the patent in the **Names** tab.

If the check box is selected, all other options with the exception of **Request for accelerated processing** and **Other requests** are deactivated.

Select the check box **Other requests** as applicable.

Describe your request in greater detail in the text field provided.

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EP(Oppo) - Draft - Sample OPPO 2							Last sa	ved on	28/09/	2016
Opposition Names Requests	Documents Fees 🛆	Annotations								
Withdrawal/Revocation						_				
🔲 Withdrawal of opposition		✓ Reques	st for revo	cation of	the patent					
Oral proceedings										_
Request for oral proceedings		🔲 Reque:	st for inter	preting						
auxiliarily		listeni	ng in			~				
🔲 Withdrawal of request for oral proceeding	igs	speak	ing in			-				
Extension of time limit										-
Request for extension of the time limit										
Substantiation of the request, according	to OJ 5/2016, A.42(4)	Cha	ose file		No file sele	ected				
Other										-
\square Request for the taking of evidence by th	e hearing of a witness									
Request for accelerated processing										
Reason:										
✓ Other requests: We request ac	cess for file inspection.									
						() 0	Δ	1	0

Figure 315: Request for revocation of the patent by the proprietor

9.4 EP(Oppo) – Documents

Use the **Documents** tab on Form EP(Oppo) to attach all documents needed in support of your opposition. You can also submit data on publications as evidence, amendments to the patent description, translations and authorisations as well as many other documents.

(i) Be aware that you can only attach documents to the EP(Oppo) form if at least one person is indicated in the **Names** tab. The **Add** button for document attachment is disabled if no role has been added on the **Names** tab.

The **Documents** tab is split into the **Documents**, **Evidence – publications** and **Evidence – other** sub-tabs. The options available in these sub-tabs for the type of documents to be attached change depending on the communication type selected, the designated persons and the requests entered.

- In the event of opposition (examples 1 and 2), **Facts and Arguments** is a mandatory attachment. A red validation icon therefore appears on the **Documents** button.
- If you select the Other action option (examples 3 and 4), the attachment of documents is optional, provided you enter data in the Requests, Fees or Annotations tabs. Otherwise, a red validation icon also appears here.

You can only attach PDF files. All electronic documents attached must be compliant with Annex F; see Preparing documents for attachment (p. 86).
9.4.1 Document types for EP(OPPO) as defined by functional role

The options for the type of documents to be attached in the **Documents** sub-tab depend on what you selected in the **Opposition** and **Names** tabs:

Notice of opposition or intervention - role: opponent or intervener

- Facts and Arguments
- Other documents:
 - General authorisation
 - Specific authorisation
 - Document containing information about further representatives
 - Request for change of address
 - Request for change of name
 - Request for change of representative
 - Request for transfer of rights
 - <other document>

Other action - role: proprietor

- Reply to notice(s) of opposition
- Reply to an examination report in opposition proceedings
- Main request document
- Separate auxiliary request document
- Acknowledgement
- Non-public documents:
 - Medical certificate
 - Non-public annex
 - Request for certified copies of the application
 - Request for inspection of the file

- Other documents:
 - General authorisation
 - Specific authorisation
 - Document containing information about further representatives
 - German translation of claims
 - English translation of claims
 - French translation of claims
 - Request for change of address
 - Request for change of name
 - Request for change of representative
 - Request for transfer of rights
 - Translation of priority document
 - Please provide the application number, for which the translation of the priority document is filed, as a note to the EPO under EP(Oppo) – Annotations (p. 264).
 - Request for re-establishment of rights
 - Grounds for re-establishment of rights
 - Request for a decision
 - Letter concerning the priority
 - <other document>
- Amendments
 - Clean copy of amended description
 - Clean copy of amended claim(s)
 - Clean copy of amended drawing(s)

Other action - role: opponent or intervener

- Facts and arguments
- Reply to the communication concerning admissibility of an opposition
- Reply to the observations made by the patent proprietor(s)
- Reply to an examination report in opposition proceedings

- Acknowledgement
- Non-public documents:
 - Medical certificate
 - Non-public annex
 - Request for certified copies of the application
 - Request for inspection of the file
- Other documents:
 - General authorisation
 - Specific authorisation
 - Document containing information about further representatives
 - Request for change of address
 - Request for change of name
 - Request for change of representative
 - Request for transfer of rights
 - Request for a decision
 - <other document>

Other action – role: third party

Observations/Citations filed by a third party

9.4.2 Attaching documents

Example 1: The opponents submit the facts and arguments and an authorisation

The grounds for opposition with an explanation of the facts should be presented pursuant to Rule 76 (2) c) EPC in a separate file with the opposition.

In this example, the first-named opponent, a company, is represented, by an employee. The specific authorisation for representation is presented as a separate document.

In the **Documents** sub-tab, click the **Add** button.



Select Facts and Arguments.

Navigate to where your file is saved.

Select the file and click **Open** to attach it.

The file is renamed **OPPO.pdf**.

The original file name and the number of pages are indicated on the form.

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File Edit View Tools Windows H	lelp						
							?
EP(Oppo) - Draft - Sample OPPO 1					Las	t saved on	23.01.2009
Opposition Names Requests	Documents	Fees	Annotations				
Documents Evidence - publications Evidence - other							
Facts and arguments							
Facts and Arguments	(Rule 76(2)(c) EPC)					
DPPO.pdf							
	Original	file name	Micro York Oppo	sstant Water.pdf			2
	Number	of pages	: 10				
Logged in as Administrator	_				6	0	0 0 0

Figure 316: Facts and arguments document attached

Click the **Add** button again to attach the authorisation.

Select Other documents.

Navigate to where your file is saved.

Select the file and click **Open** to attach it.

Select an option – in this example Specific authorisation – in the Document type list.

The file is renamed **SPECAUTH-1.pdf**.

Documents Evidence - publications	Evidence - other		
	Original file name:	Micro York Authorisation MIC-084567.pdf	
Facts and Arguments	Document type:	Specific authorisation	2
🔁 OPPO.pdf		General authorisation	
Other documents	Type Name:	Specific authorisation	
SPECAUTH-1.pdf		Request for change of address	
Specific Authorisation		Request for change of name Request for change of representative Request for transfer of rights <other document=""></other>	

Figure 317: Authorisation attached

Example 3: The proprietor of the patent submits a reply to the notice of opposition filed, a translation of the claims and the acknowledgement

In this example, the proprietor responds to the notice of opposition filed against the patent. An English translation of the claims is also filed.

Click the Add button in the Documents sub-tab.

Select Reply to notice(s) of opposition.

Navigate to where your file is saved.

Select the file and click **Open** to attach it.

The file is renamed **OBSO3.pdf**.

The original file name and the number of pages are indicated on the form.



Figure 318: Reply to notice of opposition attached

Click the Add button again to attach the translation.

Select Other documents.

Navigate to where your file is saved.

Select the file and click **Open** to attach it.

Select an option - in this example English translation of claims - in the Document type list.

The file is renamed CLMSTRAN-EN-1.pdf.

Documents Evidence - publications	Evidence - other	
-₽- 💥	Original file name:	
Reply to notice(s) of opposi	Document type:	Ceneral authorization
Other documents	Type Name:	Decument containing information about furthe
CLAIMS.pdf		German translation of claims French translation of claims
		Request for change of address Request for change of name

Figure 319: Translation of claims attached

Click the Add button again to attach the acknowledgement.

Select Acknowledgement.

Navigate to where your file is saved.

Select the file and click **Open** to attach it.

The file is renamed **ADVOFDELIVRY.pdf**.

Documents Evidence - publications	Evidence - other	
Reply to notice(s) of opposi-	Original File Name: Adknowledgement.pdf Number of pages: 2	
DBSO3.pdf	This File Contains: Acknowledgement	
Acknowledgement		1
ADVOFDELIVRY.pdf		
Other documents		
CLMSTRAN-EN-1.pdf		
 English tranon of claims 		

Figure 320: Advice of delivery attached by the proprietor

9.4.3 Filing non-public documents

The filing of non-public documents is available for the opponent, intervener and proprietor role if you selected **Other action** in the **Opposition** tab,

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

Click the Add button and select Non-public documents.

Navigate to your file and attach it.

In the **Document type** list, select the appropriate document type, e.g. **Medical certificate**.

The file is renamed **MEDA-1.pdf**.

Documents Evidence - publications	Evidence - other		
	Original file name:	Medical certificate.pdf	
Non-public documents	Document type:	Medical certificate	2
MEDA-1.pdf			
 Medical certificate 	Type Name:		

Figure 321: Non-public document attached

If, after having attached your non-public document, you then attach one of the files from the assortment of public document types, a red validation icon appears on the **Documents** button. The validation message explains the error.

EPO	Validation Messages/Documents	×
v 0 s	Severity 1: 3 error(s)	
	 You cannot select a request and attach non-public documents in the same submission. You cannot select fees and attach non-public documents in the same submission. You cannot attach public and non-public documents to the same submission. 	

Figure 322: Validation message after attaching public and non-public documents

9.4.4 Evidence – publications

You can attach the following documents in the **Evidence – publications** sub-tab:

- Patents
- Articles
- Books
- Database
- Internet publications

Additional details on the publication should be provided for every document attached, including the date, author, publisher or URL.

Example 2: The interveners present multiple publications as evidence

In this example, the interveners present two publications as evidence: an article from a periodical and a publication on the internet. Copies of both publications are provided as PDF files.

Click the **Evidence – publications** sub-tab.

Click the Add button.

Select Articles and attach the relevant PDF file.

Enter information on the publication in the fields provided:

- **Reference** is an internal code under which you archived the publication or evidence.
- The maximum length of the reference is 8 characters.
- Author's surname and first name
- Title of the published article
- **Periodical name** of the periodical in which the article appeared, and where applicable **Volume number** and **Article No.**
- Publication date in the format DD.MM.YYYY or month and year
- **ISBN** number, if appropriate
- Particular relevance indicates items of particular relevance in the article

┣᠇ 💥	Article in Serial/Journ	al/Periodical	4
ticles	Original file name:	B01 Article Nanogy Aug 2008.pdf Number of	of pages: 10
Published-Evidence-1.pd	df Reference:	B01 e.g. D01, E02, etc.	
	Author's surname:	Foster	
	Author's first name:	Joseph 🗌 et al.	
	Title (Article):	Process of humidification of surfaces using powdered wa	ter
	Periodical name:	Nanotechnology - Progress in surface treatments	
	Volume number:	3 Artide No.: 15	
	Publication date:	I9 August 2008 II C Year:	Month:
	ISBN:		
	Particular relevance (page	column, line, fig.):	

Figure 323: Example of an article attached as evidence

Click the **Add** button again to attach the internet publication.

Select Internet publications and attach the relevant PDF file.

Enter information on the internet publication, particularly the reference, the exact wording of the title and the date when you retrieved the publication.

₽- 💥	Internet	
rticles	Original file name:	B02 Internet Nanotechnology.pdf Number of pages: 2
Published-Evidence-1.pdf	Reference:	802 e.g. D01, E02, etc.
Published-Evidence-2.pdf	URL:	www.nano-technology.info/publish/articles/0901409WaterPowder.html
	Title:	World of molecules - Novelty water powder tested in surface sealing
	Publication date:	1 April 2008
	Retrieval date:	15 October 2008
	Author:	C Company:
		© Surname: Foster
		First name: Joseph 🗌 et al.
	Particular relevance (nage	e column line fin) lines 24-36

Figure 324: Example of an internet publication as evidence

9.4.5 Evidence – other

You can attach all other evidence in the Evidence - other sub-tab:

- Affidavit
- Images or photo (PDF)
- Cover letter for non-scannable object
- Other evidence
- Translation of evidence

For every document, enter your internal reference for the evidence.

Example 4: The third party presents an affidavit and other evidence

In this example, the third party presents an affidavit. The third party has prepared a video recording as evidence and sent a DVD with the digital video film to the EPO by mail. The copy of the reference sheet to this DVD is presented as another piece of evidence in the online proceedings.

Click the **Evidence – other** sub-tab.

Click the Add button.

Select Affidavit and attach the relevant PDF file.

The file is renamed Affidavit-1.pdf.

Enter your internal reference in the **Reference field**.

The maximum length of the reference is 8 characters.

Select Cover letter for non-scannable object and attach the second PDF file.

The file is renamed Model-Reference-1.pdf.

Enter your internal reference in the Reference field.

Documents Evidence - publications	Evidence - other			
	Original file name:	D04 Miller Reference Sheet.pdf	Number of pages:	2
Affidavit				
Affidavit-1.pdf	This file contains:	Cover letter for non-scannable object		2
Cover letter for non-scanna	Reference:	D04 e a D01 E02 etc		
Model-Reference-1.pdf	Reference.	501 C.g. 501, 202, C.C.		

Figure 325: Further documents attached as evidence

9.5 EP(Oppo) – Fee Payment

Select the fees that you want to pay on Form EP(Oppo)'s **Fees** tab and specify the mode of payment. The currency for all fees is **EUR**.

For more information on EPO deposit accounts and the automatic debiting procedure, please refer to the Official Journal:

- Arrangements for deposit accounts (ADA) Supplementary publication 3/2015, p. 8-16 (http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p8.html)
- Notice from the European Patent Office dated 12 February 2015 concerning revision of the Arrangements for deposit accounts (ADA) and their annexes Supplementary publication 3/2015, p. 2-7

(http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p2.html)

 Decision of the President of the European Patent Office dated 29 September 2016 revising points 5.3 and 7 of the Arrangements for deposit accounts (ADA) OJ EPO 2016, A83 (http://www.epo.org/law-practice/legal-texts/official-journal/2016/10/a83.html)

Online fee payment

The EPO offers a quick and secure online fee payment service designed for holders of EPO deposit accounts. For more information, go to the EPO website and navigate to **Applying for a patent > Online services > Online fee payment**

(http://www.epo.org/applying/online-services/fee-payment.html).

Payment details

Click the **Payment details** sub-tab.

You have to select a mode of payment before you can pay any fees when you have selected one or more fees in the **Fee selection** tab. By default the method of payment is set to **Not specified**. If no payment method is selected a grey validation icon appears on the Fees button.



Figure 326: Please enter a mode of payment

Select the Mode of payment in the drop-down list.

• The options **Automatic debit order** and **Debit from deposit account** assume that you have an EPO deposit account.

The Automatic debit order option is only valid for the proprietor(s) of the patent.

Bank transfer

All payments in EUR must be transferred to the EPO's bank account with the Commerzbank AG in Munich, Germany. The IBAN and BIC codes of the EPO's bank account are supplied automatically when you select the Commerzbank from the drop-down list.

- Credit card
- All payments by credit card must be made via the dedicated EPO fee payment service on the EPO website at Applying for a patent > Online services > Paying fees online > Pay by credit card (https://epo.org/fee-payment-service/en/login).

Choosing this mode of payment in the Payment details sub-tab is considered merely an indication of how you intend to pay.

Select Not specified if you are not sure how you will be settling the fees.

If you wish to have the fees debited from your account later than the submission date, enter the date in the **Deferred execution date** field.

Hover your mouse pointer over the symbol ⁽¹⁾ to the right of the **Deferred execution** date field to see the **Important information**:

This functionality allows you to indicate explicitly that your payment order is to be executed at a later date than the submission date.

In this case, the payment date will be deemed to be the deferred execution date, provided that you have sufficient funds on your deposit account on that date.

Please choose the deferred execution date option only if the fees are to be debited on a future date, as otherwise the default execution date is the date of receipt.

The deferred execution date can be a maximum of 40 days in the future.

Please ensure that the deferred execution date lies within the time limit set for paying the selected fees.

Please note that any debit orders (standard or deferred execution) can only be revoked until 00.00 hrs CET on the date of submission (Arrangements for deposit accounts, 7).

Once you select a mode of payment, a red validation icon appears on the **Fees** tab. The associated message indicates that the total fee amount is zero.

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EP(Oppo) - Draft - Sample OPPO	P(Oppo) - Draft - Sample OPPO 1 Last saved on 04.04.2014						
Opposition Names Requests	Documents Fees	Annotations					
Payment details Fee selection				1			
Mode of payment:	Debit from deposit accour	nt	Currency: EUR				
The European Patent Office is hereby au	horised, to debit from the	following deposit accou	nt with the EPO any fees	and costs indicated in the fee selection:			
Deposit account number:	28203040						
Account holder:	Micro York						
Deferred execution date (optional) dd.mm.yyyy 🔟							
	Deinhument if en t			79			
	- Reimbursement, ir any, u	Account l	nolder:				

Figure 327: Details on fees

Further options

The **Payment details** sub-tab offers some additional options at the bottom of the screen.

If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, select the corresponding check box.

This information applies to all selected modes of payment. If you selected **automatic debit order** or **debit from deposit account**, you are only required to enter an account number here if that number is different from the account number used for payment.

Enter the EPO deposit account number and supply the account holder's name.

Fees for observations filed by third parties

No fees are due for observations filed by third parties under Art. 115 EPC; see Decision of the President of the European Patent Office dated 10 May 2011 (Official Journal 7/2011, p. 418) (http://archive.epo.org/epo/pubs/oj011/07_11/07_4181.pdf).

If you enter any data in the **Payment details** sub-tab when filing as a third party, a red validation icon will appear in the **Fees** tab. Please reset all data entries, i.e. set the **Mode of payment** to **Not specified** and clear the **Reimbursement** check box.

Fee selection

Click the Fee selection sub-tab.

Select the check boxes for the fees to be paid.

- The fee amount is automatically calculated.
- The check boxes for fees not applicable in this application are locked.

iyment de	etails Fee sel	ection	Code		•	p
	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
	009	Fee for publishing a new specification of the European patent	75,00	none	1	0,0
	N 010	Opposition fee	775,00	none	1	775,0
	√ 2 013	Fee for re-establishment of rights (Article 122 EPC).	635,00		1	0,0
	017	Fee for the awarding of costs	75,00		1	0,0
	018	Fee for the conservation of evidence	75,00		1	0,0
	056	Surcharge fee for printing (R.82(3), R.95(3))	120,00	none	1	0,0
e sched	ule for EUR va	lid as of: 01.04.2014		To	tal:	(1 Fees) EUR 775,

Figure 328: Selecting the fees payable

9.6 EP(Oppo) – Annotations

In the Annotations tab you can enter notes to be transmitted to the EPO.

Creating notes for the EPO

Click the Add button and select New Note.



Enter the relevant information in the Author, Subject and Note fields.

If you selected **Other action** in the **Opposition** tab, you can use Form EP(Oppo) for the sole purpose of transmitting an annotation to the EPO. The red validation icon in the **Documents** tab will disappear after you enter your text in the **Note** field. The application is ready for filing and can be signed in the next workflow step.

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Opposition Names Reg	quests Documents 🕄	Fees	Annotations							
₽ + ¥	- Author:	Je	ssica Scott]					
Translation of priority docu	Subject:	Tr	anslation of priority do	ocuments						
	Note:	Tł	ne translation PRIOTR	AN-1.pdf is file	d for applicatior	n number EP11	50020	00.8	*	
									Ŧ	
Logged in as Administrator						0	0	Δ 0	١	1

Figure 329: Opponent annotation for the EPO

To add notes that are not intended for the EPO, use the **Internal notes** (p. 42) function on the form's toolbar.

9.7 Previewing the completed form

Two different PDF views of Form EP(Oppo) are displayed in preview mode depending on whether you started by selecting **Notice of opposition** or **Other action**.

Click the **Preview** button in the toolbar.

P

Example 1: Multiple opponents

If you selected the **Notice of opposition** option, EPO Form 2300E entitled **Notice of opposition to a European patent** is displayed.

Information on the opposed patent, the proprietor of the patent and the (first) opponent is displayed on the first page. The address for correspondence and the employee under Article 133(3) EPC are indicated.

PDF Viewer			
ep-oppo.pdf (ep-oppo.pdf)	۸ 🞝 ۲ 🎼 🖓 ا	🕙 💿 🖲 50,1% - 😝	2
ep-opposition-data.xml (ep-opposition-data.xm package-data.xml) (package-data.xml) pkgheader.xml (pkgheader.xml) OPPO.pdf (Micro York Opposition SPECAUTH-1.pdf (Micro York Authorisati	Every and the second seco	nt EP1234667 EP11012346 2 29 September 2011 Instant Water	
	II. Proprietor of the patent		
	first named in the patent specification	Manzoni, Salvatore	
	Opponent's or representative's reference	Sample OPPO 1	
	II. Opponent		
•	Name	Micro York	
	Department Address:	Patents 38, Fullerton St. York Yorkshire YO1 90N United Kingdom	
	State of residence or of principal place of business	United Kingdom	
	Telephone/Fax	+44 1904 660345 +44 1904 660480	
	e-mail:	infa@microfork.co.uk	
	Address for consepondence Address	Micro York Legal Affairs P.O. Box 3400 London Greater London W1A 2BC United Kingdom	
	Additional representative(s) on additional sheet/see authorisation		
	IV. Authoritadion		
	EPO Form 2300E - Sample OPPO 1	Page 1 of 4	•
			Cancel

Figure 330: PDF view of the form "Notice of opposition to a European patent"

The other opponents are listed on one or more additional sheets at the end of the PDF document.

PDF Viewer			- 0 X
ep-oppo.pdf (ep-oppo.pdf)	88	ا ا ا ا ا ا ا ا ا ا ا ا ا ا ا ا ا ا ا	₽
ep-opposition-data.xml (ep-opposition-data.xm package-data.xml (package-data.xml)		Additional Sheet(s) to Form EP2300E	_
pkgheader.xml (pkgheader.xml)		Opponent's or representative's reference Sample OPPO 1	
OPPO.pdf (Micro York Opposition		Additional Opponent(a)	
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(MICIO TOIX Additionsad		Addess: Kanalstraße 34	
		10234 Berlin Germanf	
		State of residence or of principal place of business	
		Telephone/Fax +49 30 870057 +49 30 87006721	
		e-mail nano@bioresearch.de	
		Kennecott, Mr James Aditwa: 10 High Street	
		London Greater London W1A 2BC United Kingdom	
		State of residence or of principal place of business United Kingdom	
		Country of nationality United Kingdom	
		Teleptone/Fax +33 23 78987	
		EPO Form 2300E - Sample OPPO 1 Page 4 of 4	
			Cancel
			Cancer

Figure 331: PDF view of the additional sheet to the opposition, listing additional opponents

Example 3: Reply of the proprietor of the patent

If you selected the **Other action** option, the form entitled **Submission in opposition proceedings** is displayed.

Requests and attached documents are listed in the section after the information on the proprietor of the patent and the patent.

EPO	PDF Viewer – 🗆 🕨	۲.
ep-oppo.pdf (ep-oppo.pdf) ep-opposition-data.xml (ep-opposition-data.xml (package-data.xml) pkgheader.xml (pkgheader.xml) TIMEEXTREQ.pdf (OPPO-request-extens	Deponent: B0298 Munich Gemanf Micro York Gemanf Patents Po. Box 6818 Nort Yorkshire YO1 9QN Nuter Kingdom Vinted Kingdom Tel. +39(0)70 340-2040 Fax.3465 Phone: +44 1904 660345 10988 Berlin Gemanf Fax: +44 1904 660480 Fax.340	^
:	Opponent/representative's reference Sample OPPO 3 The information given below is pertaining to the following patent in opposition proceedings:	
	Application No. EP1234568 EP10800500.0	
	Date of mention of the grant in the European Patent Bulletin (Art. 97(3), Art. 99(1) EPC) 06 September 2016	
	Requests: An extension of time limit is hereby requested	
	Documents attached: Description of document Original file name Assigned file name 1 Substantiation of the request for time extension OPPD-request-extension-time-limit.pdf TIMEEXTRE0.pdf Signatures Signatures Signatures Signatures Signatures Signatures	
	Cancel	Ľ

Figure 332: PDF view of the form "Submission in opposition proceedings"

Example 4: A third party submits information

If you selected the **Other action** option and designated a third party, the form entitled **Observations by third parties (Art. 115 EPC)** is displayed.

The attached documents and evidence are listed on the form.

PDF Viewer		
Affidavit-1.pdf (D07 Miller Affidavit.pdf	🔬 · 🌍 🕁 🔶 🔟 /	1 🕙 🖲 🖲 50,1% - 拱 🚱
ep-oppo.pdf (ep-oppo.pdf) ep-opposition-data.xml (ep-opposition-data.xml package-data.xml) (package-data.xml) pkgheader.xml (pkgheader.xml) Model-Reference-1.pdf (D04 Miller Reference 5	Conservations I A service of the se	A solution of the second secon
	Third party/representative's reference	Sample OPPO 4
	The information given below is pertaining to the following pater Patent No.	EP890808
:	Application No.	EP11600400.4
	Date of mention of the grant in the European Patent Bulletin (97(3), Art. 99(1) EPC)	Ari. 16 August 2011
	Title of the invention Proprietor of the patent	Instant Water
		Marzoni, Salvatore
	Evidence filed subsequently:	
	1a Other evidence	original file name: DN4 Miller Reference Sheet.pdf atlached as: Model Reference-1.pdf
	D07 Other evidence	otginal file name: D07 Miller Affidavit.pdf attached as: Affidavit-1.pdf
	Signatures	
	Sample OPPO 4	
		Cancel

Figure 333: PDF view of the "Observation by third parties (Art. 115 EPC)" form

10. PCT/RO/101

The request form PCT/RO/101 allows you to submit an international application electronically to the EPO, WIPO or any national office that accepts these online filings. The provisions of the PCT and its regulations (PCT Rules) apply, supplemented where applicable by the provisions of the EPC.

This document focuses on the EPO acting as receiving office. For more information about the PCT, see the WIPO website at IP Services > PCT > Treaty (http://www.wipo.int/pct/en/treaty/about.html).

ĺ	PCT-RO-101 Electronic Request - PCT sample		
Menu Bar	File Edit View Tools Help		
Toolbar	┣. ♣ ๖ □ ? ∅		
	Request Receiving Office:		
Navigation Bar (Form Sections)	States International Searching Authority:	-	
	Names Language of filing of the international application:		
Details Area	Priority Title of invention:		
	Biology		
	Declarations		
	P Contents		
	Fees		
	Payment		
	Annotate		
Traffic Lights (Validation Icons)	Filing not possible Filing possible ready for filing		

Figure 334: PCT/RO/101 form overview

Element	Description	
Menu bar	Dar Provides commands to edit, save, preview, print, import and export applications, switch to another section, view validation messages and access help.	
Toolbar	Provides shortcuts to the most frequently used tasks and tools.	
Navigation bar	n bar Displays tabs corresponding to the sections of the form.	
Details area	Displays data entry fields appropriate to the selected tab.	
Traffic lights	Uses colours to indicate the completeness of each section.	

Toolbar

The **toolbar** provides buttons for the most common tools you will need to access as you prepare, sign and send your application. If the current status of your application does not allow you to perform a particular task yet, the corresponding button is deactivated.

Button	Function	Description	
<u>a</u>	Preview	Shows a preview of the application in the PDF Viewer.	
4	Print	Prints the application to your default printer.	
	Sign	Prepares the application for submission and moves it to Ready to sign status in File Manager.	
		If the option Start signing immediately when moving application	
		forwards from draft status is selected in the user preferences in File	
		Manager, the application immediately opens in the PDF Viewer to be	
		signed; see Signing the form (p. 340).	
	Save as	Prepares the application for submission and moves it to Ready to sign	
	Ready for	status in File Manager.	
	Signing	Signing can then be done from File Manager; see Signing the form	
		(p. 340).	
?	Help	Opens the online help in your default browser.	
	Validation	Opens the Validation Messages window for the currently selected section (tab).	

Navigation bar (sections)

Form PCT/RO/101 is split into ten administrative sections represented by corresponding tabs.

Tab	What you can do	
Request	Request that the present international application be processed according	
	to the Patent Cooperation Treaty (PCT)	
	Select the receiving office, the International Searching Authority and the	
	language	
	Enter a title for the application	
States	Exclude certain designated states	
	Indicate reference to a parent application or grant	
Names	Enter details of applicant, agent (representative) and inventor	
Priority	Claim a national, regional or international priority	
Biology	Enter details related to deposited microorganisms and the depositary	
	institution	
	Indicate that the description contains a sequence listing	
Declarations	Make applicant or inventor declarations	
Contents	Attach specification documents and other electronic files	
Fees	Calculate fees according to the selected fee schedule	
Payment	Select a payment option and enter related data.	
Annotate	Create remarks and private remarks	
	View the Validation Log	
	Designate inventor(s) for certain states only	

Traffic lights (validation icons)

Validation messages are indicated by the traffic light icons. This way, you can see at a glance if the data you have entered is complete or if additional information is required.

filing not possible	A red traffic light icon signals that mandatory information is missing (for example, the description of the invention or the claims). You must supply
	this data before submitting the form
	A PDF or XML document added in the Contents tab may also trigger a
	red traffic light if it is deemed not to be of a sufficient quality to meet the
	filing criteria.
filing possible	A yellow traffic light icon indicates that this information is required, but not
	mandatory at this stage (for example, the abstract).
	If a yellow light is displayed when you add a PDF or XML document in the
	Contents tab this may also reflect compliance or quality issues that
	should be reviewed. In this case, however, the documents are of sufficient
	quality to allow filing.
ready for filing	A green traffic light icon indicates that the information is complete.

Viewing validation messages

For example, if you are working in the **Request** section and the traffic light icon in the **Request** tab is red, the validation window will provide you with more information about the data that is missing.

To open the Validation Messages window, click the Validation button in the toolbar.

 \checkmark

or

Select **Tools > Validation** from the menu.



Figure 335: Validation messages relating to the Request tab

You can display the validation messages for each form section individually or you can view the **Validation Log** for the application as a whole; see PCT/RO/101 – Annotate (p. 334).

10.1 Creating a new PCT/RO/101 application

The most convenient way to create a new PCT/RO/101 application from scratch is by using the **PCT/RO/101** form in the **Forms** folder of File Manager.

For detailed information on working with folders, applications and templates in File Manager, see the corresponding section in the Online Filing user guide or in the online help for File Manager.

Launch the Online Filing Client 5.0.

By default, File Manager opens with the **Forms** folder displayed.

Double-click the PCT/RO/101 form.



Figure 336: Selecting the PCT/RO/101 form in the Forms folder of File Manager

The Create a New Application window opens.

Enter the User Reference for the new application.

Select the language you want in the Language of proceedings list.

The form on which the application is transmitted to the EPO will be created in this language.

By default, the language is **English** if your File Manager is also set to English.

Select the **folder** where you want to save the new application.

Default Folder is selected by default.

Click Create.

Create a New Application	×
User Reference:	PCT sample
Group:	<none></none>
Procedure:	PCT/R0/101
Description:	PCT/R0/101 request
Based on Template:	<none></none>
Language of proceedings:	English
Customer number:	
Save to folder:	
Default Folder	
🛅 Bio Research	
🕨 🛅 Nano Enterprise	
▶ 🛅 TechEurope	
Universal Engineering	
▶ 🛅 XML Import	
	Create Cancel

Figure 337: Entering data to create a new application

A warning message appears if the user reference you entered has already been assigned to another PCT/RO/101 application.

1	Information
	Please give your application a unique application reference

Figure 338: Warning message if the user reference is already in use

Online Filing does not allow you to use the same user reference for multiple PCT/RO/101 applications.

Edit your entry in the User Reference field.

Click Create.

The new PCT/RO/101 application opens in the form view.

10.1.1 Saving the form

The new application and all the data that you are going to enter are only stored in the Online Filing database if you save the form. If you close the form without saving, all data will be lost.

Saving the draft application while keeping the form open

From the menu, select File > Save as Draft.

The saving process will take a few moments. You can then continue working in the application.

Closing the form and saving the application on exit

From the menu, select **File > Close Form**.

or

Click the red closing button in the top right-hand corner of the form window.

or

Double-click the violet and white icon in the top left-hand corner of the form window.

PCT-RO-101 Electronic Request - PCT s	ample 🗖 🗖 💌
File Edit View Tools Help Sign Save as Ready for Signing Save as Draft Save As Template Export unpacked WAD to Export WAD to Export file package	Office:
Preview Print Close Form	ention:

Figure 339: Options for saving and closing an application

In the following dialog, select Save as Draft.

Click OK.

The application is saved and closed, returning you to File Manager.

Confirmation		×
Save as Draft		
C Exit without Saving		
C Save as Ready for Signing		
<u>o</u> k	<u>C</u> ancel	<u>H</u> elp

Figure 340: Options in the closing dialog

10.1.2 Working with templates

Templates are user-defined forms, containing data that you need every time you prepare certain applications, such as information relating to a particular applicant or to fee payments.

The only way to create a template for a PCT/RO/101 form is to use a draft saved in the **Default Folder** of File Manager. If you create a template using any other folder, your template will not be visible from the File Manager interface.

Creating a template from the open form

From the menu, select **File > Save as Template**.

In the following dialog, enter a unique user reference for the template.

Click OK.

Save Template
Reference under which a template will be stored into the database:
OK Cancel

Figure 341: Entering user reference for a new template

Entering a description for the template

All templates based on form PCT/RO/101 are automatically saved in the **Templates** folder in File Manager.

To assign a description to a template, right-click it and select **Properties** from the shortcut menu.

File Manager								x		
File Edit View Workflow To	ools Help									
Templates - PCT - PCT Na	no						1 item avail	able		
All Applications	All Draft	Ready to Sign	Ready to Send	Sent	Name	•		ç		
Default Folder										
📄 🛅 Bio Research	Name	Туре	D	escription			Group			
🕨 🖿 Nano Enterprise	PCT Nano	PCT					PCT			
🕨 🕨 TechEurope			Move to fol	der						
🛅 Universal Engineering			Properties							
▶ 🛅 ×ML Import			Delete	Nr.	_					
E Forms			Delete							
▶ 🕞 Templates										
📅 Trash										

Figure 342: Editing the properties of a template

In the following dialog, enter the Template description.

Click Save.

Template properties	×
Template description: R0=EP applications for N-	ano Enterprise Ltd.
	Save Cancel

Figure 343: Entering a description after a template has been created

Existing PCT/RO/101 templates cannot be edited. If you want to copy or edit a template, create a new application based on this template, edit the data as required and save the form as a new template.

Using the template for a new application

Double-click the template in the Templates folder.

The Create a New Application window opens.

The template's name is already selected in the **Based on Template** drop-down list.

Proceed as described in Creating a new PCT/RO/101 application (p. 272).

Create a New Application	×
User Reference:	
Group:	<none></none>
Procedure:	PCT/R0/101 -
Description:	PCT/R0/101 request
Based on Template:	PCT Nano 👤
Language of proceedings:	English
Customer number:	
Save to folder:	
 Default Folder Bio Research Nano Enterprise TechEurope Universal Engineering XML Import 	,
	Create Cancel

Figure 344: Creating a new application from a PCT/RO/101 template

10.2 PCT/RO/101 - Request

Form PCT/RO/101 opens with the **Request** tab by default. This section provides data entry fields for the most basic information of a new application.

(i) The examples shown in this document are confined to applications where the EPO is selected as both receiving office and International Searching Authority (ISA).

Select EP as the Receiving Office.

Select EP as the International Searching Authority.

Select the Language of filing of the international application.

The available options are English, French and German.

Enter the **Title of invention** using BLOCK CAPITALS.

The title should be the same as on the first page of the description.



Figure 345: Entering basic data for the application

Request to use results of earlier search

If appropriate, select the check box Request to use results of earlier search.

This enables additional options for entering the required details.

Double click the row **Open to add reference to earlier search**.

or

Click the **Open** button.

Request to use results of earlier search								
No.	Country (or regional Office)	Date	Number					
	Open to add reference to earlier search							
,								
			Open V					

Figure 346: Adding a reference to an earlier search

The Details of Earlier Search window opens.

Select the Country (or regional Office).

The **European Patent Office (EPO)** is selected by default if the EPO was selected as the International Searching Authority.

Enter the Filing date.

Enter the **Application number** in the appropriate format.

If applicable, select the check box for This international application is the same, or substantially the same, as the application in respect of which the earlier search was carried out, except, where applicable, that it is filed in a different language.

The two remaining options are mutually exclusive.

If search-related documents are already available to the ISA, select **The following 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)).

Select all applicable check boxes.

The option **The receiving Office is requested to prepare and transmit to the ISA (Rule 12bis.1(c))** does not apply for applications where the EPO is the receiving office, because the EPO is also the ISA in these cases.



Figure 347: Details of earlier search, documents available to the ISA

Click OK.

The Details of Earlier Search window closes.

Back in the Request tab, you can continue editing references to earlier searches.

Add another reference by clicking **Open** once again.

Delete a reference by right-clicking it and selecting **Cut** from the shortcut menu.



Figure 348: Deleting reference to earlier search results

10.3 PCT/RO/101 - States

The **States** tab of form PCT/RO/101 allows you to exclude pre-defined designation states and add references to parent applications or grants. The most recent list of **PCT contracting states** (http://www.wipo.int/pct/guide/en/gdvol1/annexes/annexa/ax_a.pdf) is available on the WIPO website.

By default, all contracting states bound by the PCT on the international filing date are designated when a new request is filed. However, the designation of Germany, Japan or the Republic of Korea can be excluded if a national priority of the particular state concerned is claimed.

To exclude a designation irrevocably, select the corresponding check box.

Reference to parent application or grant

To add a reference, click Reference to parent application or grant.

The check box to the left of the button cannot be edited manually.

P	CT-RO-101 Electr	ronic Request - PCT sample
File	Edit View T	ools Help
<u>a</u>	60	? Ø
8	Request	Designations The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable for the grant of both regional and national patients
	Names	However,
8	Priority	DE Germany is not designated for any kind of national protection
6	Biology	JP Japan is not designated for any kind of national protection
8	Declarations	KR Republic of Korea is not designated for any kind of national protection
9	Contents	(The check-boxes above may only be used to exclude (irrevocably) the designations concerned if, at the time of films or subsequently under Dula 26bis 1, the international application contains a priority claim to an
9	Fees	entire of ming of subsequency inder rule zools, r, the international application contains a phony claim of an earlier national application field in the particular State concerned, in order to avoid the ceasing of the effect, under the national law, of this earlier national application. For details see the PCT Applicant's Guide, is the activate to early the set of the set
9	Payment	II UIC FORVAIL AINEA D (.)
8	Annotate	Reference to parent application or grant
	filing not possible filing possible	Please follow the internet link below for the current list of PCT Contracting States:
	ready for filing	http://www.wipo.int/treaties/en/documents/pdf/pct.pdf

Figure 349: Designation of states, adding reference to parent application or grant

The **Reference to Continuation or Continuation-in-Part** ... window opens, with the **National parent application or grant** tab selected by default. All relevant countries are displayed in the list. If you excluded individual countries (DE, JP or KR) from designation, these are not listed.

To enter or edit a reference, double-click the corresponding country in the list.

Reference to Cont	inuation or	Contir	nuation-in-Part, or Parent	Applicatio	n or G	Grant (Rules 4.1	X
☑ ?							
OAPI parent application or grant	45 74	AE	United Arch Emirates		IN	Libuan Arab Jamakiriya	
National parent	ZW -	AO	Angola		MA	Morocco	
application or grant		AT AU	Austria Australia	1 1	MG MK	Madagascar The former Yugoslav Repu	"" ibl""
		BA BR	Bosnia and Herzegovina Brazil	1 	MW NZ	Malawi New Zealand	1
		CU	Cuba	1.1	RS	Republic of Serbia	-
		DE DZ	Algeria	vz	TR	Syrian Arab Republic Turkey	
		ES IL	Spain Israel	11 11	US ZA	United States of America South Africa	101 101
		IN	India	nr	ZM	Zambia	- 1
						<u>0</u> K	<u>C</u> ancel

Figure 350: Adding reference to national parent application or grant

The National parent application or grant window opens.

- Select the Kind of parent application or grant.
- Enter the **Parent application** or **grant number**.
- Enter the **Parent application** or **grant number**.
- To add or edit another reference, click the corresponding country code on the left-hand side and enter the relevant details.
- Click OK.



Figure 351: Entering details for national parent application or grant

The national references are now displayed in the country list. The abbreviation stands for the kind of patent application or grant. For example, **poa** means **patent of addition**.

To add an OAPI reference, click **OAPI parent application or grant** (OAPI = Organisation Africaine de la Propriété Intellectuelle).

Reference to Conti	nuation or	Contir	uation-in-Part, or Parent	Applicatio	on or G	irant (Rules 4.1	• X
☑ ?							
OAPI parent application or grant							
	AE - ZM	AE	United Arab Emirates	1.1	LY	Libyan Arab Jamahiriya	""
National parent application or grant	200-		Angola Austria		MA	Morocco Madagascar	
1		AU	Australia	роа	мк	The former Yugoslav R	epubl""
		BA	Bosnia and Herzegovina	1 ¹	MW	Malawi	
		BR	Brazil	1T	NZ	New Zealand	
		CU	Cuba		RS	Republic of Serbia	100
		DE DZ	Algeria	poa	TR	Syrian Arab Republic	
		ES	Spain		US	United States of Americ	a ""
		L	Israel	nn	ZA	South Africa	n
		IN	India	n	ZM	Zambia	11
						<u>о</u> к	<u>C</u> ancel

Figure 352: National parent applications entered, switching to OAPI parent application

Enter the details.

Click OK.



Figure 353: Entering details for OAPI parent application

Back in the States tab, the check box for Reference to parent application or grant is now selected.



Figure 354: Check box is selected and indicates references to parent applications

10.4 PCT/RO/101 - Names

The **Names** tab of PCT/RO/101 is for adding contact details for all persons involved in this application:

- Applicant
- Inventor
- Agent
- Common representative

In certain cases, an additional special address for correspondence can be added.

There are two different ways of adding names and addresses to the form. Choose the method which is most convenient for your personal workflow.

1. Copying names from the Address Book

To browse the Online Filing Address Book, click Address Book.

Define a single entry for one of the functions in the **Names** tab; see Adding names from the Address Book to a form and vice versa (p. 296).

PC	CT-RO-101 Electr	onic Request - PCT sample		
File	Edit View T	ools Help		
<u>à</u>		? 🛛		
8	Request	Applicant, Inventor, Agent	, Common Representative	
		Function	Name	Val.
	States	+ Applicant	Open to add applicant or applicant/inventor	
	Names	+ Inventor only	Open to add inventor only	
8	Priority	+ Agent	Open to add agent	
8	Biology			
8	Declarations			
9	Contents			
Ģ	Fees			
Ģ	Payment			
6	Annotate	Address Book	Power of Attorney	Open
9	filing not possible			
6	filing possible			
ā	ready for filing			

Figure 355: Options for adding persons in the Names tab

2. Adding names in the Details window

Open the details window for the applicant, inventor or agent, either by double-clicking the corresponding row in the list or by selecting an entry and clicking **Open**.

Enter the name and address data manually.

or

Import an entry from the Address Book:

Select the first address book entry by clicking the address book icon.

Ø

Browse the address book in sequence using the left and right buttons.



Removing names

To delete a name, right-click the corresponding entry and select **Cut** from the shortcut menu.

Applicant, Inventor, Agent, Common Representative						
Function		Name Val.				
1. Applicant	MICRO YORK		5			
2. Applicant	STOCKTON Harold		8			
+ Applicant	Open to add applicant	Undo				
+ Inventor only	Open to add inventor (Cut				
+ Agent	Open to add agent	Paste				
+ Common Rep.	Open to add common	Move Up				
+ Corr. Address	Open to add special a	Move Down				
		Remark				
		Private Remark				
Address Book	Power of At	torney Open				

Figure 356: Removing person from the Names tab

10.4.1 Applicant

At least one applicant or applicant/inventor must be indicated for all designated states or group of designated states. For the competence of the EP as the receiving office at least one of the applicants must be resident in or have the nationality of one of the EPC states.

Applicant is a legal entity

The **Details concerning Applicant or Applicant/Inventor** window opens when you click **Open** in the **Names** tab. **Legal entity** is selected by default.

In the Name field, enter the company name (full official name) in BLOCK CAPITALS.

Enter the remaining address information.

If applicable, enter additional address information such as the floor, building etc. in the first address field.

The second address field is intended for the street and house/building number.

If you wish, you can select your preferred option for the use of e-mail to send notifications.

(i) At present, however, the EPO does not send any official communications by e-mail so this option is redundant when filing with the EPO.

To continue adding entities, click the corresponding button on the left-hand side. For example, **+ App.** adds a second applicant to the list.

Click **OK** when ready to return to the **Names** tab.

Click Cancel to close the Details window without saving data.

Details concerning Applicant or Applicant/inventor												
☑ ?	Q] <⇒ =>										
	_	C Lega	l entity		C Natural pers	on		🔲 This person i	is also in	ventor		
1. App.	_		Name:	NANO EN]	Registration No.	4400123	345		
+ App. + Inv.	-	Firs	t Name:	Enter full official designation in CAPITAL letters.								
+ Agt.												
+ Corr.		Country or t	erritory:	GB	United Kingdom	-		Telephone:	+44 20 1	7123 4567		
		A	ddress:					Facsimile:	+44 20 1	7123 4568		
								e-mail:	i: info@nano-enterprise.co.uk			
				123 City Street				The competent DCT Authorities are outhorized to use this				
								e-mail address, if the Authority so wishes, to send				
		City: London					1'	notifications issued in respect of this international application:				
		GB County: Greater London				-] [✓ as advance copies followed by paper notifications				
		Post	al code:	W1A 2BC			1	exclusively in electronic form (no paper notifications will				
		be sent)						be sent)				
	State						State of Nationality:	GB	United K	ingdor 🔻]	
		State of							GB	United K	(ingdorr 👻]
		The person is applicant for:										-
		A 1	ated States	3								
		C Certain designated States only								select/modi	fy	
-												
]								<u>о</u> к	<u>C</u> an	cel

Figure 357: Details concerning applicant, legal entity

Applicant or applicant/inventor is a natural person

Select Natural person.

This also unlocks the check box This person is also inventor to the right.

Where appropriate, select the check box to designate this applicant as inventor.

Enter the last name in **BLOCK CAPITALS**.

Complete the address data.

Telephone, **facsimile** and **e-mail** information is only required for the first applicant, so the corresponding fields are locked for the second and all further applicants.

The **Rep.** (common representative) option becomes available on the left-hand side.
Details concerning Applicant or Applicant/inventor							
Ø? 02] ⇔ ⇒						
	C Legal entity	Natural person	This person i	is also inventor			
1. App.	Name:	PRESTON T	Registration No.				
2. App.	First Name:	Enter last name in (
+ App.		Anthony					
+ Inv. + Ant	Country or territory:	GB United Kingdom	Telephone:				
+ Rep.	Address:		Facsimile:				
+ Corr.			e-mail:				
		267, Harbour Road					
			e-mail address, if the Au	horities are authorized to use this uthority so wishes, to send			
	City:	Dover	notifications issued in re	espect of this international application:			
	GB County:	Kent 💌	as advance copies t	followed by paper notifications			
	Postal code:	CT163PJ	cxclusively in electro	onic form (no paper notifications will			
			be sent)				
			State of Nationality:	GB United Kingdorr 👻			
			State of Residence:	GB United Kingdor 💌			
	The person is ap	plicant for:					
	All designation	ated States					
l	C Certain des	signated States only		select/modify			
•							
				<u>O</u> K <u>C</u> ancel			

Figure 358: Details concerning second applicant, natural person

Designated states

If you want to restrict the designated states for any applicant, you can specify the states individually.

Select Certain designated States only.

Click select/modify.

The person is applicant for:	
C All designated States	
 Certain designated states only 	select/modify

Figure 359: Option for designating certain states only

Select the desired countries by selecting the check boxes individually.

Click Select All to select the complete list.

Click Clear All to undo any selection.

Note that the list is ordered alphabetically by type and then country. A country may appear more than once under these types:

- ARIPO patent
- Eurasian patent
- European patent
- OAPI patent
- National patent

View/Cl	View/Change States							
	Designated States for which this person is applicant:							
	Select All Clear All							
		Country		1	Гуре			
	RS Republic of	fSerbia		European	Patent			
	SE Sweden			European Patent				
	SI Slovenia			European Patent				
	SK Slovakia			European	Patent			
	SM San Marino)		European	Patent			
	TR Turkey			European	Patent			
	BF Burkina Faso OAPI Patent							
	BJ Benin OAP				ent			
	CF Central African Republic			OAPI Pate	ent	R		
	,							
				<u>о</u> к	<u>C</u> ance	el		

Figure 360: Designated states grouped by type

Common representative

If more than one applicant is entered, the common representative (**Rep.**) option becomes available if no agent or correspondence address is used. The common representative must be resident in or have the nationality of one of the EPC states.

Agent (**Agt.**), common representative (**Rep.**) and correspondence address (**Corr.**) are mutually exclusive options, meaning that if one is chosen then the other two options are unavailable. If none of these three options is used, the first named applicant will be considered as the common representative and all correspondence will be addressed to him.

Click Rep. on the left-hand side of the Details window.

or

Double-click the **+ Common Rep.** row in the **Names** tab.

Select one of the applicants from the Name drop-down list.

The address details are completed automatically.

Details concern	Details concerning Common Representative						
Q ? 0] 💠 🕹						
1. App. 2. App. + App. + Inv.	Name: NANO ENTERPRISE LTD. PRESTON Anthony						
Rep.	Country or territory: GB United Kingdom						
	Address: Facsimile: +44 20 7123 4568						
	123 City Street e-mail: info@nano-enterprise.co.uk						
	The competent PCT Authorities are authorized to use this e-mail address, if the Authority so wishes, to send notifications issued in respect of this international application:						
	GB County: Greater London						
	Postal code: W1A 2BC exclusively in electronic form (no paper notifications will be sent)						

Figure 361: Details concerning Common Representative, using data of 1. Applicant

Special address for correspondence

If no agent and no common representative are named, you can add an extra address for correspondence which is different from an applicant's primary address.

Click Corr. on the left-hand side of the Details window.

or

Double-click the + Corr. Address row in the Names tab.

By default, the details are completed automatically with the name and address information of the first applicant.

Modify this data where necessary.

Details concerning Special Address for Correspondence							
Ø? () 💠 🗢						
<u> </u>	Cegal entity	C Natural person					
1. App.	Name:	NANO ENTERPRISE LTD.					
2. App. + App.	First Name:						
+ Inv.							
Corr.	Country or territory:	GB United Kingdom	•	Telephone: +44 20 7123 4567			
	Address:	LegalAffairs		Facsimile: +44 20 7123 4568			
		P.O. Box 2035		e-mail: info@nano-enterprise.co.uk			
				The competent PCT Authorities are authorized to use this e-mail address, if the Authority so wishes, to send			
	City:	London		notifications issued in respect of this international application:			
	GB County:	Greater London	-	as advance copies followed by paper notifications			
	Postal code:	W1A 3ED		exclusively in electronic form (no paper notifications will be sent)			
				bo donty			

Figure 362: Details concerning Special Address for Correspondence, legal entity

10.4.2 Inventor

You do not have to name the inventor(s) when you file your application, as the information can be submitted subsequently, but it is strongly recommended that you do so.

Inventor only

In the Names tab, double-click the + Inventor only row.

or

In the **Details** window, click + Inv.

Fill in the data fields or retrieve an entry from the address book.

(i) Remember to enter the inventor's last name in **BLOCK CAPITALS**.

Details concerr	ing Inventor Only		×
Q ? Q] ← ↔		
▲	Name: BURTON T	Deceased	
1. App.	First Name: Peter Enter last name in CAPITAL Letters		
2. App.			
+ App. 1. Inv.			
2. Inv.	Country or territory: GB United Kingdom		
+ Inv.	Address:		
Corr.	20 London Bond		
	20, London Road		
	City: Manchester		
	Greater Manchester		
	Postal code: M1 1AB		
•			
]	<u>0</u> K	Cancel

Figure 363: Details concerning Inventor Only

Deceased inventor

The successor to the rights of the deceased inventor can be selected from defined applicants provided that an applicant is designated for the US in the **Names** tab .The deceased person remains the inventor.

Select the Deceased check box in the Details concerning Inventor Only window.

The applicant names that appear on the list are those whose designations include the United States of America.

If no US designation is present under any of the applicants, then this list will be empty and you cannot enter any data for succession rights in the US.

Select the check box for the applicant who is successor to the rights of the deceased inventor.

Double-click in the corresponding **Capacity** box to open the list of options.

Select the appropriate capacity.

Repeat these steps if there is more than one legal representative for the deceased inventor.

Details concerni	Details concerning Inventor Only							
V ? V	<> ⇒							
	Name: BURTON		Deceased					
1. App.	First Name: La							
2. App.	Mortimer							
+ App.								
1. Inv.	The following person(s) is (are) succ	accor(c) to the rights of the deceased	inventor for the purposes of th					
2. Inv.	designation of the United States of An	nerica:	inventor for the purposes of th	10				
+ Inv.	Applicant	Name	Capacity					
	1. Applicant	NANO ENTERPRISE LTD.		-				
	2. Applicant	PRESTON Anthony	administrator	<u> </u>				
			estate					
			executors					
			executrix heir					
			heiress	-				
•								
			<u>о</u> к	Cancel				

Figure 364: Selecting capacity for the successor to the rights of the deceased inventor

10.4.3 Agent

If you don't specify a common representative or a special address for correspondence, you can name one or more agents.

In the Names tab, double-click the + Agent row.

or

In the **Details** window, click + Agt.

(i) Note that the options **Common Representative** and **Corr. Address** become unavailable once you added an agent.

Select the person type: Legal entity or Natural person (default option).

- For legal entities, enter the company name in **BLOCK CAPITALS**.
- For natural persons, enter the last name in **BLOCK CAPITALS**.

Complete the agent's data.

For the competence of the EP as the receiving office the agent must be resident in or have the nationality of one of the EPC states.

If you provide an e-mail address, select the appropriate authorisation check box.

(i) At present, however, the EPO does not send any official communications by e-mail.

tails concern	ing Agent				×
0? 0) 🗇 🖘				
App.	 Legal entity Name: P 	C Natural person	Registration No.		
App. App. Inv.	First Name:			1	
Agt.	Country or territory:	B United Kingdom 🗸	Telephone:	+44 1223 3516-0	
Agt.	Address:		- Facsimile:	+44 1223 351690	
	City: C	Cambridge Science Park 100 Red Lion Square ambridge	e-mail: The competent PCT Aut e-mail address, if the A notifications issued in r	office@ip-partners.co.ul thorities are authorized to uthority so wishes, to set espect of this internationa	k use this nd al application:
	GB County: G	reater London	as advance copies	followed by paper notific	ations
	Postal code: C	82 1AB	exclusively in electric be sent)	ronic form (no paper notif	ications will
	Same address	as the first-named agent			
_					

Figure 365: Details concerning agent, legal entity

Click + Agt. to name a second agent.

Enter the agent's name.

Select Same address as the first-named agent, if applicable.

The address data entry fields are then removed from the form.

Click **OK** when ready.

Details concerni	ing Agent	X
0?0	↔ ↔	
	C Legal entity Natural person 	
1. App.	Name: PORTI AND	Penietration No
2. App.	First Name: An internet	
+ App.	Christina	
1. Inv.		
+ Inv.		
1. Agt.		
2. Agt.		
+ Agt.		
	Same address as the first-named agent	
▼		
	1	<u>O</u> K <u>C</u> ancel

Figure 366: Details concerning 2. Agent, natural person

Back in the Names tab you have further options:

To change the order of the agents, right-click a name and select **Move Up** or **Move Down** from the shortcut menu.

The list will be re-arranged accordingly.

Click **Power of Attorney** to create the Power of attorney document (p. 293).

PC	PCT-RO-101 Electronic Request - PCT sample							
File Edit View Tools Help								
à								
A	Request	Applicant, Inventor, Agent	, Common Representative					
		Function	Name		Val.			
	States	1. Applicant	NANO ENTERPRISE LTD.		5			
8	Names	2. Applicant	PRESTON Anthony		5			
8	Priority	riority + Applicant Open to add applicant or applicant/inventor						
	Biology	+ Inventor only Open to add inventor only						
<u> </u>		1. Agent IP PARTNERS						
	Declarations	2. Agent	PORTLAND Christina		<u>д</u>			
9	Contents	+ Agent	Open to add agent	Undo				
				Cut				
<u> </u>	rees			Paste				
9	Payment			Move Up	Ν			
8	Annotate	Address Brot	Demos of Athenesis	Move Down	3			
	filing not possible	Address Book	Power of Attorney	Remark				
8	filing possible			Private Rema	ırk			
Ā	ready for filing							
	· · · · · · · · · · · · · · · · · · ·							



10.4.4 Power of attorney document

You can create a power of attorney document as a PDF file and attach it to the application. The **Power of Attorney** button becomes available if

- at least one applicant and one agent are added
 - or
- more than one applicant and a common representative are added.

In the Names tab, click Power of Attorney.

The Power of Attorney window opens.

Select the applicant(s) giving power of attorney.

Select the agent/common representative to whom power of attorney is given.

Select the applicable authority from the drop-down list at the bottom of the form.

Enter a date.

To view the draft power of attorney document in the PDF Viewer before signing, click **Preview**.

To open the PDF Viewer and then proceed further to the signing dialog, click Sign.

ower of Attorney						
Select applicant(s) giving	power of attorney					
Name	•	Name of Signatory	Capacity			
NANO ENTERPRISE	LTD.					
PRESTON, Anthony	,					
Select agent(s)/common	representative to who	m power of attorney is giv	ren			
		Name				
P PARTNERS		Humo				
PORTLAND, Christi	na					
,						
representing the applicant(s) before						
all the competent Internatio	onal Authorities			-		
			Date: 07.10.2011	15		
	Sign	<u>0</u> K	Pre <u>v</u> iew	Cancel		

Figure 368: Selecting applicants and agents for the Power of Attorney document

The PDF Viewer window opens.

To return to the **Power of Attorney** window and modify the data before signing, click **Cancel** in the bottom right-hand corner of the PDF Viewer.

To launch the signing process, click **Continue**.

PDF \	Viewer					
₿	۳	& -	🤹 🖓 🔶 🔟 / 1	 T0,6% 	₽	
1 11		PCT sa	Imple OWER OF ATTORNEY Prir	1/1 at Out (Original in Electronic Form)		
		0-1	PCT Power of Attorney (for an international application filed under the Patent Cooperation Treaty) (PCT Rule 90.4)			
		0-1-1	Prepared Using	PCT Online Filing Version 3.5.000.225 MT/F 20020701/0.20.5.20	OP	
		1	The undersigned applicant/s)			- 11
		111	hereby appoints (appoint) the following person	IP PARTNERS Cambridge Science Park 100 Red Lion Square Cambridge Greater London CB2 1AB Duited Kingdom		_
		1-1-2	hereby appoints (appoint) the following person	PORTLAND, Christina Cambridge Science Park 100 Red Lion Square Cambridge Greater London CB2 1AB United Kingdom		-
		1-2	as	Agent		-
		1-3	to represent the undersigned before	all the competent Intern Authorities	ational	_
			<u> </u>		Continue	Cancel

Figure 369: Previewing the Power of Attorney in the PDF Viewer before signing

The List of Signatories window opens.

If the applicant is a legal entity, enter the last name and first name of the person entitled to sign in the **<name_of_signatory>** field and that person's function in the **<capacity>** field.

If the applicant is a natural person, only the applicant's name can be selected.

Click Add Signatory.

List of Signatories			
To add a person to the L Applicants, Representati	ist of Signatories (bottom), pleas ive table (top) and press the "Ac	e select the c Id Signatory" t	orresponding row in the outton.
Applicants, Representati	ives:		
Function		Name	
1. Applicant	NANO ENTERPRISE LTD.		
2. Applicant	PRESTON, Anthony		
PRESTON, Anthony	<capacity></capacity>		Add Signatory
List of Signatories:			μç
Signatory	Capacity		Signature
Move Up	Delete		
		01	Cancel
		UK	Cancel

Figure 370: Adding signatory for 2. Applicant who is a natural person

The Signature window opens.

In the **Signature** window, enter an alphanumeric signature between the two slashes *I...I* or attach a file with the facsimile signature.

Click Apply Signature.

Gignature	
Legal Signature	
Alphanumeric	/Anthony Preston/
C Facsimile	
C Advanced Digital (This s signatures can be applie	ignature will finalise the signing process - no further ed.)
	Apply Signature Cancel

Figure 371: Applying alphanumeric signature for applicant

The List of Signatories window shows the new signature.

Repeat these steps to add more signatories if required.

Click **OK** when ready.

List of Signatories							
To add a person to the List of Signatories (bottom), please select the corresponding row in the Applicants, Representative table (top) and press the "Add Signatory" button.							
Applicants, Representa	tives:						
Function				Name	e		
1. Applicant		NANO E	NTERPRISE LT	D.			
2. Applicant		PRESTO	N, Anthony				
BURTON, Peter	•	Emplo	уее			Ad	d Signatory
List of Signatories.			0		1		Circular 1
Signatory			Сараску				Signature
PRESTON, Anthony						Alph	abetical
		1					
Move <u>U</u> p	Delete						
					Ok		Cancel

Figure 372: Adding signatories for the Power of Attorney document

Back in the **Power of Attorney** window the names and capacity (if legal applicants) of the signatories are now indicated in the applicants' list.

To view the form with the signatures in the PDF Viewer, click **Preview**.

To return to the **Power of Attorney** window after checking the PDF, click **Cancel**.

		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		
					I
		2-1	Signature of applicant, agent or common representative	/Preston, Anthony/	
i l		2-1-1	Name (LAST, First)	PRESTON, Anthony	
		2-1-2 2-1-3	Name of signatory Capacity (if such capacity is not obvious from reading the request)		
		2-2	Signature of applicant, agent or common representative	Par But-	
		2-2-1	Name	NANO ENTERPRISE LTD.	I
		2-2-2	Name of signatory	BURTON, Peter	
		2-2-3	Capacity (if such capacity is not obvious from reading the request)	Employee	
		3	Date	07 October 2011 (07.10.2011)	I
5	2				
C	/				
					Concol
					Cancer

Figure 373: Signatures in the Power of Attorney document preview

To save your data and exit the **Power of Attorney** window, click **OK**.

10.4.5 Adding names from the Address Book to a form and vice versa

The **Address Book Exchange** function provides a convenient way to copy existing addresses from the address book to a PCT/RO/101 form. Vice versa, it allows you to copy an address which was manually entered from the form to the Address Book.

(i) The data structure of form PCT/RO/101 is not fully compatible with the Online Filing address book, because the PCT plug-in is based on the WIPO PCT-Safe software and uses an older technical platform. Please open the OLF address book from File Manager to check whether the address information has been copied correctly, and amend the data if necessary.

Adding names to the form

In the Names tab, click Address Book.

In the upper part of the **Address Book Exchange** window the existing Address Book entries are listed, whereas the lower part lists the names added to the form at this time.

To copy a name from the Address Book to the form, select an entry in the list at the top.

Depending on the type of name, the following functions may be available:

- Applicant only
- Applicant/inventor (for natural persons only)
- Inventor only (for natural persons only)
- Agent

Click the function you wish to add.

	Name	Δ	Fax	E-Mail
Micro York, York	c, +44 1904 660345		+44 1904 660480	info@micro-york.
Nano Enterprise	Ltd., London, +44 20 7123 4567		+44 20 7123 4568	info@nano-enter
Newport Associa	ates			
Applicant on t (to be) added to N Function	Applicant/Inventor	Ŷ	Inventor only	
Applicant onl (to be) added to N Function	V V Applicant/Inventor	Ŷ	Inventor only	♦ Agen
Applicant onl (to be) added to N Function	V V Applicant/Inventor	₽	Inventor only	
Applicant onl (to be) added to N Function	Mames page:	4	Inventor only	↓ Ager
Applicant onl (to be) added to N Function	Applicant/Inventor	₽	Inventor only Name	♦ Ager

Figure 374: Selecting legal person as applicant only

The lower list now contains the entry to be added to the **Names** tab.

To add more names, select another entry from the Address Book and click the appropriate function.

To delete a name from the list, select it and click **Remove**.

To finish the address selection and transfer the data to the Names tab, click OK.

A	ddress	Book Exchange						x
	Select	t from existing Address B	ook names:					
			Name	A	Fax	E-Ma	il	*
		Portland, Christina, Lon	don, +44 20 123 4567		+44 20 123 6789	c.portland@ij	p-partners	
		Preston, Anthony, Dov	er, +44 1304 76002-15		+44 1304 76002-40	ap@parker.c	o.uk	
		Rousseau, Juliette						Ŧ
	- Entries	Applicant only s (to be) added to Names	Applicant/Inventor		Inventor only	↓ 4	Agent	
		Function			Name			
	1. App	р.	Nano Enterprise Ltd., London, +44 20 7	123	4567			
		Copy to Address Book	Remove			<u>o</u> ĸ	<u>C</u> ancel	

Figure 375: Selecting natural person as applicant/inventor

Adding names to the Address Book

If you entered address data manually after adding a name in the **Names** tab, the lower list in the **Address Book Exchange** window displays this new address.

Select the name in the list.

Click Copy to Address Book.

	Entries (to be) added to Name	s page:		
	Function	Name		×
	2. Inv.	BURTON, Mortimer		
	1. Age.	IP PARTNERS, Cambridge, +44 1223 3516-0		
	2. Age.	PORTLAND, Christina, Cambridge, +44 1223 3516-0		-
	Copy to Address Boo	k Remove		
L			<u>о</u> к	Cancel

Figure 376: Copying names from the form to the Address Book

The data is copied to the Address Book.

If an entry with the same name already exists in the Address Book, Online Filing creates a further entry.

Note that not all data entered in your PCT/RO/101 form is transferred to the Address Book.

Open the Address Book, verify and amend the data if necessary.

🗝 Address Book						
File Edit View Help						
Find in: Last na	ime 💌	Q				(?)
	Last Name:	PORTLAND	Midd	le Name(s):		
Kleber, Thomas -	First Name:	Christina	Comp	bany:	IP Partners	
Knopp, Wolfgang - Meyer	Title:		▼ Depa	artment:		
und Partner	PO Box:		Cour	itry:	GB United Kir	igdom 💌
Lacroix, Michel - Associes Lefèvre	Building:		GB C	County:	Greater London	-
🚨 Lavail, Thierry	Street:	Cambridge Science Park	Telep	ohone:	+44 1223 3516-0	
Borghese S.A.		100 Red Lion Square	Telef	ax:	+44 1223 351690	
Mercer, Jeanne - Associés Lefèvre	District:		E-ma	il:	office@ip-partners.co	.uk
PORTLAND, Christina - IP Partnere	City:	Cambridge	Natio	nality:		-
Portland, Christina - IP	Postal code:	CB2 1AB	Resid	dence:		-
Partners	Country of		State	of		
Preston, Anthony - Parker & Partners	Role FR D	E DK PL	11001	poration.		
🚨 Rousseau, Juliette	· · ·					
🚨 Schmidt, Johanna	A T					
🚨 Sonnenstatter, Matthias	Route		Role		Registration No.	
🚨 Stockton, Harold 📃	PCT	Agent		49005566	8	
🚨 Weiß, Hubert						
🔲 Westenhofer Remhard . 👘	,					
Logged in as Administrator						

Figure 377: New entry in the Address Book with data copied from the form

10.5 PCT/RO/101 - Priority

The **Priority** tab of PCT-RO-101 is for specifying details of an earlier application from which priority is claimed.

Double-click the Add Priority Claim row or click Open.

PCT-RO-101 Electro	PCT-RO-101 Electronic Request - PCT sample						
File Edit View Tools Help							
G. 🖨 🗅 📋 🙎 🔍							
Request	Priority	Claim					
States	No.	State	Date	Application No.	Req.	Rest.	Val.
Names	+ A	add Priority Claim					
Priority			NE				
Biology							
Declarations							
Contents					(Open	

Figure 378: Adding a priority claim

The Details of Priority Claim of Earlier Application window opens.

Select the appropriate option: National, Regional or International (PCT).

Select the country, the regional office or the **receiving office** where the earlier application was filed.

Enter the filing date of the earlier application.

Enter the application **number** that was assigned to the earlier application.

For some offices, the required application number format is pre-filled into the data entry field, e.g. **PCT/IB**_____ if you select **IB** as the receiving office.

To add another priority, click the + icon on the left.

-	
	C National C Regional (PCT)
	Receiving Office: IB International Bureau of WIPO
	Filing date: 11 November 2018
	Number: PCT/IB2011/809070
	The International Bureau is requested to obtain from a digital library a certified copy of the above-identified earlier application.
	Access code:
	The reactivity Office is requested to proper and transmitte the laternativ
	Bureau a certified copy of the above-identified earlier application.
	The receiving Office is requested to restore the right of priority
	The receiving Office is requested to restore the right of priority

Figure 379: Entering details of priority claim of earlier application

Options for requesting the International Bureau to obtain a certified copy of the earlier application

In the lower part of the **Details** window, you can select the method by which a certified copy of the earlier application should be made available to the International Bureau.

The WIPO Digital Access Service (DAS) is an electronic system allowing priority documents and similar documents to be securely exchanged between IP offices. For more information, go to the WIPO website at IP Services > Patents > Digital Access Service and follow the shortcut to Participating Offices

(http://www.wipo.int/patentscope/en/priority_documents/offices.html).As of March 2012, the digital libraries of the following countries are participating for notification both as depositing office and as accessing office: AU, DK, CN, ES, FI, GB, IB, JP, KR, SE and US.

If applicable, select **The International Bureau is requested to obtain from a digital library a certified copy of the above-identified earlier application**.

A warning message appears, asking you to verify that the priority application can be retrieved by the receiving office. Note that the message is different if the country is one of the countries participating in the DAS or if the selected country is not a participating country.

Enter the **access code** into the field which is displayed if the upper check box is selected.

Alternatively, select The receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the above-identified earlier application.

This is the appropriate option if you have e.g. chosen an EP priority, as the EPO does not participate in the DAS (applies only to earlier applications treated by the EPO).

Request to restore the right of priority

A request for restoration of the right of priority can be filed where the international application has an international filing date which is later than the date on which the priority period expired but within a period of two months from that date (Rule 26bis 3).

If applicable, select the check box The receiving Office is requested to restore the right of priority.

(i) The option to add the related statement is automatically added to the **Accompanying Items** sub-tab of the **Contents** tab. Please remember to attach the corresponding electronic document.

To save your data and return to the **Priority** tab, click **OK**.

Other actions

The priority claims are automatically sorted chronologically.

To delete a priority claim, right-click and select **Cut** from the shortcut menu.

To move an individual priority to another position in the list, right-click it and select **Cut** from the shortcut menu. Then right-click the priority before which you want to insert the priority and select **Paste** from the shortcut menu.

To return a list to the default sorting, select **sort priority claims chronologically**.

1	US(PCT)	29 Dec 2010	PCT/US2010/889977	8
2	EP European Patent O	24 May 2011	Undo	
3	JP Japan	8 Jun 2011	Cut	•
÷	Add Priority Claim		Paste	
			sort priority claims chronologically	
			Remark 62 Private Remark	

Figure 380: Shortcut menu options available in the priority claims list

Validation messages

The check boxes in the **Req.** and **Rest.** columns indicate whether one of the options for requesting a certified copy of the earlier application has been selected and if a request to restore the right of priority is being made.

Please see the validation messages for information about additional documents required when adding any one of these requests.

(i) If you cannot read the full text of the validation messages, open the **Validation Log** in the PDF Viewer, see PCT/RO/101 – Annotate (p. 334).



Figure 381: Validation messages referring to priority claims

10.6 PCT/RO/101 - Biology

The **Biology** tab is for providing information on biological material and indicating whether sequence listings are part of the description of the international application.

Information on nucleotide and/or amino acid sequence listing

If applicable, select the check box The description contains a sequence listing.

Attach the required documents in the **Contents** tab; see Sequence listing (p. 325) for more details. The following options are automatically added to the form if the above is checked:

- In the International Application sub-tab:
 - sequence listing part of description

Adding indications relating to biological material

Double-click the first row Open to add a new item or click Open.

PCT-RO-101 Electronic Request - PCT sample						
File	Edit View	ools Help				
<u>à</u>		? 🛛				
8	Request	Indications Relating to Deposited Microorganisn	n or Other Biological Material			
8	States	No. Depositary Institution Date of Deposit	Accession No. Val.			
8	Names	+ Open to add new item				
9	Priority	· · ·				
8	Biology					
8	Declarations					
9	Contents		Open			
9	Fees					
9	Payment	Nucleotide and/or amino acid sequence listing The description contains a sequence listing				
8	Annotate					

Figure 382: Entering information on biological material

The Details concerning Indications Relating to a Deposited Microorganism window opens.

Enter the page and line or paragraph number of the reference in the description.

Select the depositary institution (mandatory information) from the drop-down list.

The full **address** is automatically provided.

Enter the **accession number** (mandatory information) and the **date of deposit** (mandatory information).

If you want to supply extra documents regarding this biological material, specify the documents in the **Additional Indications** field.

(i) The corresponding documents can be attached in the Accompanying Items (p. 323) sub-tab of the **Contents** tab.

In the **Separate Furnishing of Indications** field, specify the indications which you wish to supply by separate cover.

If required, modify the list of **designated states**; see the instructions under Applicant (p. 284).

Details o	concerning Indications Relating to a Deposited Microorganism
	?
	The indications made below relate to the deposited microorganism or other biological material referred to in the description:
1 +	on page (please leave this field empty if you or 4 line 15 indicate paragraph number in the left
	in paragraph number: ' field)
	Depositary institution: ATCC American Type Culture Collection
	Address: 10801 University Blvd., Manassas, Virginia 20110-2209United States of America
	Accession Number: ATCC 67890
	Date of deposit: 2 August 2011
	Additional Indications:
	Separate Furnishing of Indications: Leave blank if not applicable.
	Designated States for Which Indications Are Made
	All Designated States
-	C Certain Designated States only select/modify
	<u>Q</u> K <u>C</u> ancel

Figure 383: Entering details for biological material

10.7 PCT/RO/101 - Declarations

The **Declarations** tab allows you to prepare separate declaration sheets for filing with the application. These sheets contain the declarations as a default text, which is then complemented by additional data that is entered by you.

Select an option from the **Declarations** drop-down list.

Click Add.



Figure 384: Declaration options

10.7.1 Declaration as to the identity of the inventor

In the **Declarations** tab, select **Declaration as to the identity of the inventor** from the drop-down list, and then click **Add**.

The **Declarations** window opens.

Double-click the Add Inventor row.

The Details concerning inventor window opens.

In the Name field, select one of the inventors from the drop-down list.

The deceased inventors are not available in the list.

The address data is automatically completed.

To add another inventor, click the + icon on the left.

To specify an inventor whose name has not been added to the form, select **<other>** from the list and enter the address data manually.

Click **OK** when ready.

Details o	concerning inventor			×
Ø *	?			
1	Name: First Name: City:	PRESTOR BURTON PRESTOR Sother>	N	
	Country:	GB	United Kingdom	•
	Address:	267, Har	bour Road	
	Postal code:	CT163PJ		
•	GB County	Kent		•
			<u>о</u> к	Cancel

Figure 385: Inventor's details for declaration as to identity of the inventor

The inventor is added to the list in the **Declarations** window.

Click **OK** to return to the **Declarations** main tab.

Declarati	ons			×
07) 4	<u>l</u>		
	Declar	ation as to the identity of the	inventor	
	in re	lation to:		
	۲	this international application	international application No.	PCT//
	Inven	tor(s):		
	No.		Inventor	
	1	PRESTON, Anthony		
	+	Add Inventor		

Figure 386: Declaration as to the identity of the inventor added

10.7.2 Declaration as to applicant's entitlement to apply for and be granted a patent

In the **Declarations** tab, select **Declaration** as to applicant's entitlement to apply for and be granted a patent from the drop-down list, and then click **Add**.

The **Declarations** window opens.

Select one of the applicants from the list.

Double-click the Add item row.

Declarat	tio	ns		×
	?	8	à	
		Declaration	n as to applicant's entitlement to apply for and be granted a patent	
2		in relatio	on to:	
		Ithis	international application C international application No. PCT//	_
		NANO EN	TERPRISE LTD is entitled to apply for and be granted a patent by virtue of the following:	
		No.	Status/Event Date	
		+	Add item	
			4	

Figure 387: Adding declaration as to applicant's entitlement to apply for and be granted a patent

The Status/Event window opens.

Select the appropriate option from the list:

- Inventor
- Employer of an inventor
- Agreement
- Assignment
- Consent
- Court order
- Transfer of entitlement
- Change of the applicant's name

Depending on your selection, more options and data entry fields become available.

Make the appropriate selections and supply the required data.

Click **OK** when ready.

ſ	Status/Ev	/ent			×
	Ø 7				
		F	Please select the appropriate item from the list:		
	1		Employer of an Inventor		•
	+				
				Was	_
				entitled as employer of	f the inventor,
				BURTON, Mortimer	•

Figure 388: Selecting names for "employer of an inventor"

Back in the **Declarations** window, click **OK** to return to the **Declarations** main tab.

10.7.3 Declaration as to applicant's entitlement to claim priority

In the **Declarations** tab, select **Declaration** as to **applicant's entitlement to claim priority of earlier application** from the drop-down list, and then click **Add**.

The **Declarations** window opens.

Select one of the applicants from the list.

Select one of the priority applications from the list.

Double-click the **Add item** row.

Declarat	ions
	? 5 Q
	Declaration as to applicant's entitlement to claim priority of earlier application
2 3	in relation to:
	NANO ENTERPRISE LTD. 💌 is entitled to claim priority
	of earlier application No. select applications by virtue of the following: PCT/IB2010/809070
	No. 11500200.8 Date + Add item T02011A600543 Inclusion

Figure 389: Selecting application for declaration as to applicant's entitlement to claim priority

The Status/Event window opens.

Select the appropriate option from the list:

- Inventor
- Employer of an inventor
- Agreement
- Assignment
- Consent
- Court order

- Transfer of entitlement
- Change of the applicant's name

Depending on your selection, more options and data entry fields become available.

Make the appropriate selections and supply the required data.

Click OK when ready.

Status/E	vent 🗾
	?
	Please select the appropriate item from the list:
1	Agreement
-	
	an agreement between BURTON, Mortimer
	and NANO ENTERPRISE LTD.
	dated 8 July 2010 II

Figure 390: Adding agreement between persons involved in the international application

Back in the **Declarations** window, click **OK** to return to the **Declarations** main tab.

10.7.4 Declaration of inventorship

In the Declarations tab, select **Declaration of inventorship (only for the purposes of the USA)** from the drop-down list, and then click **Add**.

The **Declarations** window opens.

The **Inventors** table displays all inventors and applicants/inventors from the **Names** tab, except the deceased inventors.

To exclude one of the inventors from this declaration, right-click the corresponding name and select **Delete** from the shortcut menu.

To specify an inventor whose name has not been added to the form, double-click **Inventor**.

Declarati	ions	×									
	? 8										
	Declaration of inventorship Or This declaration is directed to the international application of which it forms a part(if filing declaration with application)										
1											
	От	This declaration is directed to international application No.									
	Invent	ors									
	No.	Inventor									
	1	PRESTON, Anthony									
	2	BURTON, Peter									
	+										
	1										
		Sign									
		<u>O</u> K <u>C</u> ancel									

Figure 391: Adding inventor for declaration of inventorship

The **Details concerning inventor** window opens.

Select <other> from the Name list.

Enter the inventor's last name in **BLOCK CAPITALS**.

Complete the address data.

Click OK when ready.



Figure 392: Entering details concerning inventor for declaration of inventorship

Back in the **Declarations** window, click **Sign**.

• Tr ap	his declaration is directed to the international application of which it forms a part(if filing declaration with oplication)	
O Th	nis declaration is directed to international application No.	
Invento	rs	
No.	Inventor	
1	PRESTON, Anthony	
2	BURTON, Peter	
3	BAKER, Jeremy	
+	Add Inventor	
	Sign	

Figure 393: Starting the signature process for declaration of inventorship

The List of Signatories window opens.

Select an applicant/inventor and click Add Signatory.

In the **Signature** window, enter an alphanumeric signature or attach a file with the facsimile signature.1

Click Apply Signature.

The signatory is added to the list.

Create a signature for each applicant/inventor.

Click **OK** to finish.

List of Signatories	List of Signatories									
To add a person to the List of Signatories (bottom), please select the corresponding row in the Applicants, Representative table (top) and press the "Add Signatory" button.										
Applicants, Representa	tives:									
Function			Name							
1. Applicant/Inventor		PRESTON, Anthony								
2. Applicant/Inventor		BURTON, Peter								
3. Applicant/Inventor		BAKER, Jeremy								
BAKER, Jeremy	•	<pre>capacity></pre>		Add Signatory						
List of Signatories:				47						
Signatory		Capacity		Signature						
PRESTON, Anthony				Alphabetical						
BURTON, Peter				Alphabetical						
Move <u>U</u> p	Delet	e								
			Ok	Cancel						

Figure 394: Adding signatories to declaration of inventorship

10.7.5 Declaration as to non-prejudicial disclosures or exceptions to lack of novelty

In the **Declarations** tab, select **Declaration as to non-prejudicial disclosures or exceptions to lack of novelty** from the drop-down list and click **Add**.

The Declarations window opens.

Select the applicant or inventor concerned from the list.

Double-click the Add Disclosure row.

Declarat	Declarations										
	V ? 🖨 🖪										
Declaration as to non-prejudicial disclosures or exceptions to lack of novelty											
2	in rel	lation to:									
3	⊙t	his international application	C international a	pplication No.	PCT//						
5	NANO	ENTERPRISE LTD. 💌 dec	r claimed in this								
	No.	Kind of Disclosure	Date	Title	Place						
	+	Add Disclosure									

Figure 395: Adding declaration as to disclosures

The **Disclosure** window opens.

Select the kind of disclosure from the drop-down list.

or

Select OTHER and then specify the kind of disclosure.

Enter the corresponding data.

Click the + icon on the left to add another disclosure.

Click OK when ready.



Figure 396: Entering data for disclosure

10.7.6 Previewing declaration sheets

If you wish to verify your declaration data before submission, you can open the print preview of the declaration sheets in the PDF Viewer.

The **Print declarations** button becomes available after the submission process, when you open the application from the **Sent** folder in File Manager.

In the Declarations main tab, double-click any of the declarations in the list.

or

Click Open.

P(CT-RO-101 Elect	ronic	Reques	t - Sample PCT-1		
File	Edit View 1	Tools	Help			
۵.	a 🖻 🔒	3				
8	Request	D	eclara	tions		
8	States				<u> </u>	Add
0	Names		No.	Туре	Applicant	Val.
L L	Priority			Declaration as to identity of the inventor	BURTON, Peter	8
		2	2	Declaration as to applicant's entitlement	NANO ENTERPRISE LTD.	8
8	Biology			1		
8	Declarations					
6	Contents					
Ģ	Fees					_
Ģ	Payment				Print declarations Open	7

Figure 397: List of declarations

The **Declarations** window opens.

Click the **Preview** icon in the toolbar.

Declarat	tions				x
v '	? ð	<u>a</u>			
	Declar	tion as to the identity of the inve	entor		
1 2	in re	elation to:			
	۲	this international application	C international application No.	PCT//	_
	Inver	itor(s):			
	No.		Inventor		Ĩ
	1	BURTON, Peter			
	+	Add Inventor			

Figure 398: Opening the PDF Viewer from the Declarations window

The **PDF Viewer** opens and shows all the declaration sheets for this application, starting with declaration no. 1.

Browse the pages to see the following declarations.

In the PDF Viewer, click the **Print file** icon to create a hard copy of the declarations.

Click **Cancel** when finished.

PDF Viewer) 🗆 🗙
88	ا ا ا ا ا ا ا ا ا ا ا ا ا ا ا ا ا ا ا	
PC	T 1/2 Print Out (Original in Electronic Form)	<u> </u>
	1-1 Declaration: identity of the inventor Declaration as to the identity of the inventor (Rules 4.17(i) and Stobs.1(a)(i)) Name (LAST. First) In relation to this international application Name (LAST. First) BURTON, Peter of 20, London Road Manchester Greater Manchester MI 1AB United Kingdom is the inventor of the subject matter for which protection is sought by way of this international application	
		Cancel

Figure 399: Previewing declaration sheets in the PDF viewer

The PDF Viewer closes.

Click **OK** to return to the **Declarations** main tab.

10.8 PCT/RO/101 - Contents

The **Contents** tab of form PCT/RO/101 is where you attach documents to support the patent application.

See Preparing documents for attachment (p. 86) in the EPO Online Filing user guide for more information about the correct settings for electronic documents.

The Contents tab provides two sub-tabs for attaching documents:

International Application

Attaching the mandatory patent specification documents and other recommended files

Accompanying Items

Attaching additional documents

PCT-RO-101 Electronic Request - PCT sample						
File Edit View Tools Help						
Q. #	G. 🖨 🗅 📄 🕐					
B Re	equest	Check List	(PDF :	attachmen	ite	
占 st	tates	AML attachments (• PDF attachments Single specification file				
	ames	Document	Details	Pages	Electronic File	Val.
Pr	riority	Request (including declaration sheets)		13		6
Ві	iology	Description				P
	eclarations	Abstract				T O
P c	ontents	Drawings				6
Fees						
Payment						
- A	nnotate	Recalculate	total: 13	pages		
📮 filin	ig not possible	International Application	Accompanyi	ng Items		
🔓 filin	ig possible					
ready for filing In total: 3 documents 1 files						
Request (including declaration sheets)						

Figure 400: Contents tab with "International Application" and "Accompanying Items" sub-tabs

Validation messages

A red traffic light indicates that one or more mandatory documents have not yet been attached.

Click the validation icon to see the corresponding validation messages.

 \square

Attaching documents

The attachment process is basically the same for all document types. The example below shows how to attach a PDF file. The option **PDF attachments** is selected by default when you open the **Contents** tab. See XML attachments (p. 321) for an example of how to attach XML files.

Double-click a document option in the check list, e.g. **Description**.

or

Select the document option and click Open.

The **Content Details** window opens. All document attachments for this application are listed on the left, with the currently selected item being highlighted.

To select a file from your computer, click the **Open** button on the right.

Ē

Content Details	×
🔽 ? 🖨 C.	
Request (including declaration sheets)	
Description	Electronic File
Claims	
Abstract	Status
Drawings	Not attached
1. Statement for restoration of the right of priority	Reset
fee calculation sheet	Number of pages:

Figure 401: Attaching files in the Content Details window

In the Open window, navigate to the storage location of the corresponding file.

Select the appropriate option in the files of type list.

The available file types depend on the type of document you want to attach. The default type for text documents is **Portable Document Format** and the alternative is **TIFF files**, i.e. attaching images as TIFF files. When attaching sequence listing documents, the options **XML File (*.xml)** and **ZIP file (*.xml)** become available.

Select the required file.

Click Open.

Open					×
Look in:	Docs Test EN	4	•	🔶 🗈 💣 📰	-
Recent Places	EXAMPLE D ABSTRACT. Assignment c CLAIMS.pdf DESCRIPTIO DRAWINGS. Power of Att Statement_s US201121736	OCUMENTS pdf document.pdf inv.pdf pdf torney.pdf estoration rights.pdf eeql.pdf 62A1.pdf			
	File name: Files of type:	DESCRIPTION.pdf Portable Document Format Portable Document Format TIFF files		•	Open Cancel

Figure 402: Selecting PDF file for attachment

The file is attached and it retains its name in lower case in the Content Details window.

The **number of pages** is calculated automatically when a PDF file is attached.

If you attach a TIFF or JPEG file, e.g. a drawing, please enter the number of pages manually (**1**, in most cases).

Otherwise, the software will not recognise the attachment.

If you want to attach other files, select the corresponding document type on the left and repeat the described procedure until all required documents are attached; see PDF attachments (p. 316).

Click **OK** when ready.

Content Details	×
Q ? # G	
Request (including declaration sheets) Description Claims Abstract Drawings Pre-conversion archive 1. Statement for restoration of the right of priority fee calculation sheet original separate power of attorney	Electronic File description.pdf Status Attached As "description.pdf" Reset Number of pages: 8
Description	<u>O</u> K <u>C</u> ancel

Figure 403: Electronic file is attached

Exchanging and removing attached files

If an original document has been modified, you can reattach the updated file to your application.

In the Contents tab, double-click a document to open it.

The Content Details window opens.

To reattach a file, click the **Open** button and select the corresponding file once again.

The new file from your computer replaces the existing attachment in the application.

To remove the file without attaching a new one, click **Reset**.

10.8.1 International Application

The **International Application** sub-tab provides different options and preconditions for document attachment.

PDF attachment is selected by default. Use this option to attach the description, claims, drawings and abstract as separate PDF files.

Select **Single specification file** if you have prepared one single PDF file containing the description, claims and abstract. Note that drawings cannot be included in a single specification file. They should be added separately if required.

Select **XML attachments** if you have prepared the specification document as an XML file, e.g. with PatXML.

Document check list for PDF attachments

- Description
- Claims
- Abstract
- Drawings
- Pre-conversion archive (optional, but strongly recommended; becomes available after one of the specification documents has been attached)

Document check list for PDF attachments if description contains a sequence listing

If the check box **The description contains a sequence listing** is selected in the **Biology** tab, the document check list is slightly different:

- Description (excluding sequence listing)
- Claims
- Abstract
- Drawings
- Sequence listing part of description (should be attached as an ST.26 standard file, i.e. as an XML (*.xml) or a ZIP (*.zip) file)
- Pre-conversion archive (optional, but strongly recommended; becomes available after one of the specification documents has been attached)

Document check list for PDF attachments, single specification file

- Specification
- Drawings
- Pre-conversion archive (optional, but strongly recommended; becomes available after one of the specification documents has been attached)

Document check list for XML attachments

- Request (including declaration sheets)
- Application body
- Pre-conversion archive (optional; becomes available after the XML specification file has been attached)

If the check box **The description contains a sequence listing** is selected in the **Biology** tab, the following item will also be present:

Sequence listing part of description (should be attached as an ST.26 standard file, i.e. as an XML (*.xml) or a ZIP (*.zip) file)

10.8.2 PDF attachments

Attaching separate PDF files for each part of the patent document is recommended as the most convenient procedure.

- The description and claims are mandatory.
- The abstract can be filed subsequently, but it is recommended to include it with the application.
- Drawings can also be added, if applicable.

Description

In the International Application sub-tab of the Contents tab, double-click Description.

The Content Details window opens.

Once the **Content Details** window is open, you can immediately proceed to attach all other documents one after the other. You are not required to return to the **Contents** main tab.

Click the **Open** button, navigate to the appropriate file and attach it.

Claims

In the list on the left-hand side of the **Content Details** window, click **Claims**.

Click the **Open** button, navigate to the claims file and attach it.

Abstract

Click Abstract on the left.

Click the **Open** button, navigate to the appropriate file and attach it.

Select the Language of the abstract.

The available options are English, French and German.

Content Details	X
Q ? # G	
	Language of the abstract.
Request (including declaration sheets)	German
Description	Electronic File
Claims	abstract.pdf
Abstract	
Drawings	Attached As "abstract.pdf"
Pre-conversion archive	Reset
1. Statement for restoration of the right of priority	Number of pages: 1
fee calculation sheet	,

Figure 404: Abstract attached

Drawings

Click **Drawings** on the left.

Click the **Open** button, navigate to the appropriate file and attach it.

Enter the Figure of the drawings which should accompany the abstract.

If applicable, select Yes under The figure of the drawings which should accompany the abstract contains text.

Enter the text in the **Drawing Text** box.

Click **OK** to return to the **Contents** main tab.

Content Details		X		
Q ? # b				
Request (including declaration sheets) Description Claims Abstract Drawings Pre-conversion archive 1. Statement for restoration of the right of priority fee calculation sheet	Figure of the drawings which s accompany the abs Electronic File Status Attached As "drawings.pdf" Number of pages:	should [3a stract: [3a] Reset		
	Contains text: C No VesijPlease type the text in the Drawing Text box.	Transferring direction Support plate I		
Drawings <u>O</u> K <u>C</u> ancel				

Figure 405: Drawings attached
Summary

The software automatically calculates the total number of pages in the **International Application** sub-tab.

The fields showing the total number of **documents** and number of **files** at the bottom of this screen summarise all attachments, in both the **International Application** and **Accompanying Items** subtabs.

When all the attached documents show a green traffic light, everything is correct.

P	CT-RO-101 Electr	ronic	: Request - PCT san	nple						- 0	×
File	Edit View T	ools	Help								
D.	in 🖉 🖉	3									
8	Request	C	C XML attachments				PDF	attachme	nts		
6	States		Single specification file								
6	Names		Doc	ument		D	etails	Pages	Electronic	File	Val.
8	Priority		Request (including d	eclaration s	heets)			13			8
8	Biology		Description					8	description.pdf		5
-			Claims					3	claims.pdf		5
6	Declarations		Abstract					1	abstract.pdf		8
6	Contents		Drawings			Fig. No	o. 3a	4	drawings.pdf		8
ľ a	Fees		Pre-conversion arch	ive							5
<u> </u>											
8	Payment		Destat						-	Open	
8	Annotate		Recalcul	ate	L	total:	29	page	s	open	
9	filing not possible		International Ap	plication		A	ccompanyi	ing Items			
8	filing possible										
8	ready for filing	In	total:	7	docur	nents	5 1	files			
Requ	est (including decla	aratio	on sheets)								

Figure 406: All required documents are properly attached

10.8.3 Single specification file (PDF)

The following rules apply when preparing a single specification file:

- All pages in the document must be accounted for and there must be no overlaps.
- Every element in the attached document must start on a new page.
- The order of the individual components should be: description, claims, abstract.

If your PDF file does not correspond to these requirements, you may not be able to enter the data appropriately and will receive corresponding validation warnings.

Attaching the specification

In the Contents tab, select the check box Single specification file.

Double-click **Specification**.

P(CT-RO-101 Electr	ronic Request - PCT-single	• X
File	Edit View T	Fools Help	
۵		? 🛛	
8	Request	C XML attachments	
8	States	✓ Single specification file	
9	Names	Document Details Pages Electronic File	Val.
8	Priority	Request (including declaration sheets) 3	6
8	Biology	Specification	
8	Declarations		
9	Contents		
Ģ	Fees		
Ģ	Payment		en (
8	Annotate	total: pages op	
9	filing not possible	International Application Accompanying Items	
8	filing possible		
ĕ	ready for filing	In total: 2 documents 0 files	
Spec	ification		

Figure 407: Attaching a single specification file in a PDF

The Content Details window opens.

Click the **Open** button, navigate to the PDF file and attach it.

Enter the first page and last page of the **description**.

Enter the first page and last page of the **claims**.

Enter the first page and last page of the **abstract**.

Select the Language of the abstract.

The number of pages for each document section and the total number of pages is calculated automatically.

Check whether the number of pages contained in the PDF file equals the total number of pages.

To view the corresponding section of the single document, e.g. the claims, click the **Preview** icon next to the page numbers on the right.

۵

Content Details	×
Q ? 5 b	
	Language of the abstract: English
Request (including declaration sheets) Specification Drawings Pre-conversion archive fee calculation sheet	Electronic File engine filter.pdf Status Attached As "engine filter.pdf" Reset The Specification contains 10 pages Description from page Claims
	Abstract from page 10 till 10 1 pages
Specification	<u>O</u> K <u>C</u> ancel

Figure 408: Specification file attached and page numbers of document sections entered

Further options

If you intend not to submit the abstract at this time, select the check box abstract is not included.

This action deactivates the options referring to the abstract.

(i) Note the validation message, informing you that the abstract is required.

Click **Drawings** on the left to attach the drawings separately; see PDF attachments (p. 316).

Content Details						×
Ø ? 5 G						
<u> </u>		Language o	of the abstract	:		-
Request (including declaration sheets)						~
Specification	Valida	ation Messages/C	ontents/Spe	cification (~
Drawings	Abs	tract is required.				
fee calculation sheet						
	The Spec	ification contains	10 pages			
	Description	from page	1 till	6 6	pages	<u>a</u>
	Claims	from page	7 till	10 4	pages	<u>a</u>
	Abstract	from page	till	0	pages	<u>a</u>
	✓ abstract is not	included		In total 10	pages	
Specification				<u>о</u> к		Cancel

Figure 409: "Abstract is not included" option triggers a corresponding validation message

10.8.4 XML attachments

If you produce the specification document as XML files, e.g. with PatXML, you can insert graphics into the text. All graphic files must be prepared in WIPO Annex F compliant format. The graphics are stored as separate image files and referenced in the XML file.

A full version of Annex F can be found on the WIPO website at **IP Services > PCT > Legal Texts** (http://www.wipo.int/pct/en/texts/).

In the Contents tab, select the option XML attachments.

Double-click Application body.

P	CT-RO-101 Electr	onic Request - PCT XML				X
File	Edit View T	ools Help				
<u>a</u>	8 🛛 🗋	? 🛛				
8	Request	Check List	C PDF	attachmen	ts	
6	States		🗖 Singl	e specific	ation file	
8	Names	Document	Details	Pages	Electronic File	Val.
8	Priority	Request (including declaration sheets)		3		5
8	Biology	Application body				-
8	Declarations					
9	Contents					
9	Fees					
9	Payment	Recalculate	total: 2	-	Open	
8	Annotate			pages		
9	filing not possible	International Application	Accompany	ing Items		
6	filing possible					
8	ready for filing	In total: 2 documen	ts 0	files		
Requ	est (including decla	aration sheets)				

Figure 410: Attaching specification document as XML file

The Content Details window opens.

Click the **Open** button.



Navigate to the XML specification file.

Only PatXML files can be selected.

Select the PatXML file and click **Open**.

Open					×
Look in:	PatXML		• +	• 🗈 💣 🔳	•
Recent Places	 Test_2 Test_XML Test_XML-s water_evapor 	pec.pxml prator.pxml			
	File name: Files of type:	water_evaporator.pxml PatXML files PatXML files		•	Open Cancel

Figure 411: Selecting the specification document as PatXML file

The file is renamed application-body.xml.

If the language attribute in the XML file does not match the language indicated in the **Request** tab, a warning message to this effect will be displayed.

Please make sure that you entered the correct language in both the PatXML file and the **Request** tab.

Í	Warning
	Please confirm that the application body is in German as indicated on the Request tab.

Figure 412: Warning message if language attribute mismatch occurs

Enter the **figure of the drawings which should accompany the abstract**, if applicable.

The **number of pages** is calculated automatically from the PatXML file.

Click the **Preview** icon to check whether the specification document is displayed correctly, including the images.

۵

Click OK when ready.

Content Details	X
Q ? 5 b	
Request (including declaration sheets)	Figure of the drawings which should 1 accompany the abstract:
Pre-conversion archive fee calculation sheet	Electronic File application-body.xml
	Number of pages: 4

Figure 413: Application body XML file successfully attached

The green traffic lights in the **Contents** tab indicate that all the required documents have been properly attached.

The Pre-conversion archive option is now available.

PC	T-RO-101 Elect	tronic	Request - PCT XML				X
File	Edit View 1	Tools	Help				
D.	a 🖻 🔒	3					
8	Request	C	heck List	C DDE	ttachma	ata	
6	States				e specifi	cation file	
<u>۾</u>	Names		[]				[
			Document	Details	Pages	Electronic File	Val.
8	Priority		Request (including declaration sheets)		3		8
A	Biology		Application body		4	application-body.xml	5
			Pre-conversion archive			res Electronic File	5
6	Declarations						
8	Contents						

Figure 414: Green traffic light for the Contents tab

10.8.5 Accompanying Items

In the **Accompanying Items** sub-tab you attach all the other attachments which do not relate to the main application body. These include documents such as statements, translations and powers of attorney.

The available document types for attachment are:

- original separate power of attorney
- original general power of attorney
- copy of general power of attorney
- translation of international application into ...
- separate indications concerning deposited microorganisms or other biological material
- applicant letter to ISA concerning earlier search ('PCT Direct')
- OTHER

System files, such as the fee calculation sheet and the original separate power of attorney document, are generated automatically as XML files by the software and do not require extra input from your side.

Attaching predefined document types

Go to the Accompanying Items sub-tab.

Select the appropriate document type from the drop-down list, e.g. original general power of attorney.

	-		<u>-</u> dd
original separate power of attorney original general power of attorney	î	File	Val.
ranslation of international application into separate indications concerning deposited microorganisms or other biological mat			8
sequence listing submitted for international search only statement confirming that "the information in Annex C/ST.25 text format submitted Applicant letter to ISA concerning earlier search ("PCT Direct")	v		

Figure 415: Selecting document type for attachment in the Accompanying items sub-tab

• Then click Add.

original ge	eneral power of attorney				J _	Add
		1	1	1		

Figure 416: Adding selected document type to the application

A new item is created in the document check list.

Double-click this document to open the Content Details window.

				dd
Document	Details	Pages	Electronic File	Val.
1. Statement for restoration of the right	US 11/234,234			9
fee calculation sheet		2		8
original general power of attorney				Ģ
h	}			

Figure 417: Opening the document for attachment

Click the **Open** button, navigate to the corresponding file and attach it.

Content Details	×
Q ? # G	
Pequeet (inclution declaration sheats)	
Description	Electronic File
Claims	power of attorney.pdf
Abstract	Statua
Drawings	Attached As "power of attorney.pdf"
Pre-conversion archive	
1. Statement for restoration of the right of priority	Number of pages: 1
fee calculation sheet	
original general power of attorney	

Figure 418: Original general power of attorney attached

Attaching other user-defined document types

Select **OTHER** from the drop-down list.

The text becomes editable and reads <specify>.

<specify></specify>				<u>A</u> dd
Document	Details	Pages	Electronic File	Val.

Figure 419: Other document to be specified

Enter a document description.

Click Add.

Assignment document				Add
Document	Details	Pages	Electronic File	Val.

Figure 420: Description for other document entered

The new item is created in the document check list.

Document	Details	Pages	Electronic File	Val.
1. Statement for restoration of the right	US 11/234,234			9
fee calculation sheet		2		-
original general power of attorney		1	power of attorney.pdf	-
OTHER:Assignment document				9
~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~				

Figure 421: Other document added to the application; can be opened for attachment

Attach the file in the **Content Details** window as described above.

# Statement for restoration of the right of priority

If you have requested the restoration of the right of priority for one of the priority claims, you are required to attach a separate statement. This item is also automatically created in the check list in the **Accompanying items** tab. The numbering refers to the numbering sequence of the priorities in the **Priority** tab.

Double-click the statement for restoration of the right of priority to attach the corresponding file.

The Accompanying Items tab is ready when all the traffic lights are green.

Document	Details	Pages	Electronic File	Val.
1. Statement for restoration of the right	US 11/234,234	3	statement restoration ri	8
fee calculation sheet		1		5
original general power of attorney		1	power of attorney.pdf	8
OTHER:Assignment document		1	assigment document.p	8

Figure 422: All documents are appropriately attached

# 10.8.6 Sequence listing

Sequence listings should always be submitted in computer readable format, i.e. as **Annex C/ST.26** files (*.xml or *.zip).

Form PCT/RO/101 provides an option for attaching sequences listings when **The description contains a sequence listing** is selected in the **Biology** tab; see also PCT/RO/101 – Biology (p. 302). Note that, in this case, attaching a **sequence listing** in the **International Application** sub-tab is mandatory.

Attaching a sequence listing as part of the description

Go to the International Application tab.

Double-click Sequence listing part of the description.



Figure 423: Selecting sequence listing for attachment

### The Contents Details window opens.

Click the **Open** button and attach the file.



If you attached an ST.26 XML or ZIP file, the status of the file on the window will change accordingly.

Content Details		×
🛛 ? 🖨 🖪		
Request (including declaration sheets)		
Sequence listing part of description Application body fee calculation sheet	Electronic File       st_26_short.xml       Status	
	Attached As "st_20_snort.xm"     Reset       Number of pages:	

Figure 424: The sequence listing submitted as part of the description is attached as an XML or ZIP file

# 10.8.7 Pre-conversion archive

Once you have attached a document in the **Contents** tab, the **Pre-conversion archive** appears as an item in the check list.

The **pre-conversion archive** option allows you to add your original documents, before converting them into PDF or XML files, as a compressed ZIP archive file. This may be helpful if you wish to provide the EPO with your original documents in colour. The documents contained in the ZIP file will not be publicly available nor will they be an integral part of the visible internal procedural file, but they can be accessed for reference, e.g. in the event of quality issues.

(i) The EPO does not recognise documents as legally binding if they are exclusively filed as part of a ZIP archive. To be accepted as legally binding filings, the official patent documents must always be attached as PDF or ST.26 files under the correct document type.

PC	PCT-RO-101 Electronic Request - PCT-SEQL							
File	File Edit View Tools Help							
D.	Q 🖨 🛯 🔛 🕐							
8	Request Check List							
8	States		Sin	gle spec	ification file			
9	Names	Document	Details	Pages	Electronic File	Val.	$\left  \cdot \right $	
8	Priority	Description (excluding sequence listing		8	description.pdf	5		
8	Biology	Claims		3	claims.pdf	6		
		Abstract		1	abstract.pdf	5		
	Declarations	Drawings	Fig. No. 1	4	drawings.pdf	5		
	Contents	Pre-conversion archive				8		
6	Fees	Sequence listing			sequences_sample.txt	Ģ	-	
0	Payment				0			
8	Annotate	Recalculate	total: 19	ра	ges Open			
9	filing not possible	International Application	Accompan	ying Iten	ns			
8	filing possible							
Ā	ready for filing	In total: 7 docum	ents 5	files				
Seque	ence listing							

Double-click Pre-conversion archive in the International Application sub-tab.

Figure 425: Opening the pre-conversion archive option to attach a ZIP file

In the Content Details window, click the Open button and attach the ZIP file.

Click the **Preview** icon to check the contents of the pre-conversion archive.

Content Details	X
🛛 ? 🗇 🖪	
Request (including declaration sheets)	
Description (excluding sequence listing part)	Electronic File
Claims	archive.zip
Abstract	
Drawings	Attached As "archive.zip"
Sequence listing	Kesel
Pre-conversion archive	
fee calculation sheet	

Figure 426: Pre-conversion archive attached

The attached ZIP archive is opened as a temporary folder in Windows Explorer.

C S S S S S S S S S S S S S S S S S S S	GU	IEngine ▶ PDF ▶ 00000002.zip	✓ 49 Search 0000002.zip	
Organize   Extract all files				∷ - □ 0
J TechSmith	*	Name	Туре	Compressed size
J Temp		BSTRACT.docx	Microsoft Word-Dokument	21 KB
DDE		CLAIMS.docx	Microsoft Word-Dokument	21 KB
		DESCRIPTION.docx	Microsoft Word-Dokument	10 KB
3 0000002.zip		DRAWINGS.docx	Microsoft Word-Dokument	21 KB
Server		SEQUENCE-LISTING.APP	APP File	146 KB

Figure 427: Previewing the contents of the pre-conversion archive

# 10.9 PCT/RO/101 - Fees

The **Fees** tab of PCT/RO/101 displays the fees and amounts due. These are calculated automatically from the data in other tabs.

### Applying a fee schedule

As a default, the **Fee Calculation** table does not contain any fee amounts or totals and the **fee schedule** is set to **None**.

The default currency when filing with the EPO is **EUR**.

To define fee amounts, select a valid fee schedule from the drop-down list.

Fee Calculation Currency: EUR	chedule valid from:	None 💌	[	Û
Fee	Currency	None 01.01.2014	х	Total
Transmittal fee	EUR	<b>4</b> √	1	0

Figure 428: Selecting a fee schedule

The fee amount fields are populated and the Total Fees Payable is calculated.

Reductions are displayed as negative amounts in red.

PC	PCT-RO-101 Electronic Request - PCT sample						
File	File Edit View Tools Help						
<u>à</u>	Q # N 🔄 ? V						
8	Request	Fee Calculation Currency: EUR Fee s	chedule valid from:	01.01.2014	•	\$	
8	States	Fee	Currency	Amount	x	Total	
8	Names	Transmittal fee	EUR	125	1	125	
		Search fee	EUR	1,875	1	1,875	
	Priority	International Filing Fee	EUR	1,084	1	1,084	
8	Biology	Supplement per sheet over 30	EUR	12	0	0	
L L	Declarations	Electronic Filing reduction (Full)	EUR	-244	1	-244	
		Fee for priority document	EUR	50	0	0	
6	Contents	Fee for restoration of right of priority	EUR	610	0	0	
8	Fees						
	Payment			Total Fees Payable	EUI	R 2,840	
8	Annotate						
9	filing not possible				Update f	ee schedule	
6	filing possible						
Ā	ready for filing						

Figure 429: Fee calculation table filled in and total fees payable calculated

# **Editing fees**

If required, individual fee amounts can be edited.

Click the fee amount to be edited until the background of the table cell changes from blue to white.

Edit the value.

Fee	Currency	Amount	х	Total
Transmittal fee	EUR	125	1	125
Search fee	EUR	I ¹¹⁰⁰	1	1,875
International Filing Fee	EUR	1,084	1	1,084
Supplement per sheet over 30	EUR	12	0	0

Figure 430: Editing a fee amount

Click away from the edited field to save the new amount.

The Total for the modified fee and the Total Fees Payable value are recalculated automatically.

Fee	Currency	Amount	х	Total
Transmittal fee	EUR	125	1	125
Search fee	EUR	1,100	1	1,100
International Filing Fee	EUR	1,084	1	1,084
Supplement per sheet over 30	EUR	12	0	ر کر
Electronic Filing reduction (Full)	EUR	-244	1	-244
Fee for priority document	EUR	50	0	0
Fee for restoration of right of priority	EUR	610	0	0
		Total Fees Payable	EU	R 2,065
			Update	fee schedule

Figure 431: Fee calculation updated after a fee amount has been edited

The **Update fee schedule** button is activated after a fee has been edited.

(i) If you click **Update fee schedule**, the new fee amount will be copied to the fee management table in the Online Filing database. As a result, all PCT/RO/101 applications created subsequently will use this new fee amount instead of the original fee amount issued by the EPO. If you wish to restore the original fee from the EPO's official fee schedule at a later stage, you will need to edit the fee amount manually again and save it by clicking **Update fee schedule**.

### Previewing the fee calculation sheet

Go to the **Contents** tab and click the **Accompanying Items** sub-tab.

Double-click fee calculation sheet.

In the Content Details window, click the Preview icon.

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The fee calculation sheet is displayed in the PDF Viewer.

# 10.10 PCT/RO/101 - Payment

The **Payment** tab of PCT/RO/101 is where you specify the mode of payment and provide details of the EPO deposit account to be debited.

The EPO as receiving office offers the following payment options:

- No payment for the time being if you intend to pay at a later time.
- Authorisation to charge current account the relevant fees will be debited from your EPO deposit account.
- Automatic debit the EPO will calculate the fees payable using the information provided in your application and will debit this amount direct from your EPO deposit account.

- Bank transfer you have to transfer the relevant amount to the EPO's bank account with Commerzbank AG in Munich, Germany.
- Other

Select the applicable Mode of payment.

Depending on your selection, the dialog window will display further fields and options.

### Authorisation to charge current account

Clear any account authorisations which are not applicable.

By default, all account authorisations are selected.

Enter your EPO deposit account number in the Current account number field.

EPO deposit account numbers are made up of eight digits, starting with 28.

Provide the authorised user name and signature; see Signing the deposit account authorisation (p. 333).



Figure 432: Details for payment by authorisation to charge deposit account

#### Automatic debit

Enter the EPO deposit account number in the Current account number field.

EPO deposit account numbers are made up of eight digits, starting with 28.

Provide the authorised user name and signature; see Signing the deposit account authorisation (p. 333).



Figure 433: Payment by automatic debit

#### Bank transfer

If applicable, select the check box In addition, indicate current account authorisation.

- Select the relevant authorisations for subsequent payments from your deposit account.
- Enter the EPO deposit account number in the **Current account number** field.
- Provide the authorised user name and signature; see Signing the deposit account authorisation (p. 333).

#### Other

Enter information about your other payment method in the **Specify** field.

If applicable, select the check box In addition, indicate current account authorisation.

- Select the relevant authorisations for subsequent payments from your deposit account.
- Enter the EPO deposit account number in the Current account number field.
- Provide the authorised user name and signature; see Signing the deposit account authorisation (p. 333).

#### No payment for the time being

There are no further options.

# 10.10.1 Signing the deposit account authorisation

The signature of a person who is authorised to manage the deposit account is always required if you select one of the payment options using a specific EPO deposit account.

In the Payment tab, enter the Authorized User Name.

#### Click Sign.

		PCT-RO-101 Electronic Request - PCT-EN-01 – 🗖 🗙
File	<u>E</u> dit <u>V</u> iew	Iools <u>H</u> elp
<u> </u>	ing 🖉 🖨	? Ø
8	Request	Payment
6	States	Mode of Payment: bank transfer
6	Names	
6	Priority	✓ In addition, indicate current account authorization:
6	Biology	The Receiving Office (RO/EP) is hereby authorized to charge any deficiency or credit any overpayment in the total fees to my current account
8	Declarations	The receiving Office (RO/EP) is hereby authorized to charge the fees for preparation and transmittal of the priority document to the International Bureau of WIPO to my current
8	Contents	account
6	Fees	Current account number:  28123456 Authorized User Name: James Kennecott
9	Payment	Sign
6	Annotate	· · · · · · · · · · · · · · · · · · ·
9	filing not possible	3
	tiling possible ready for filing	
		1.

Figure 434: Signing as the user authorised for the EPO deposit account

The Signature window opens; see Power of attorney document (p. 293).

Enter an alphanumeric signature or attach a file for a facsimile signature and click **Apply Signature**.

(i) After the signature has been applied, the traffic lights for the **Payment** tab change to green.

# 10.11 PCT/RO/101 - Annotate

The **Annotate** tab is where you can see all the notes and comments that have been made for this application.

- A **remark** is a comment intended for the EPO and is part of the data submitted.
- A private remark is for internal use only and is not transmitted to the EPO.

The **Annotate** tab also contains the **Validation Log** with all the validation messages for the application. The **Entity** column indicates the tab relating to each item, i.e. in which tab the annotation was created.

PC	PCT-RO-101 Electronic Request - PCT XML									
File	Edit View To	pols Help								
Là.										
6	Request	Annotate								
6	States	Remark:		Add						
8	Names	Type of Annotation	Entity	Details						
П	Driarity	1. Remark	Names	An agent is going to be authorized later.						
	Photicy	1. Priv. Remark	Priority	Add DE Prio						
6	Biology	2. Priv. Remark	Priority	Add US Prio						
A	Declarations	Inv. for certain des. St.	Inventor(s)							
l –		Validation Log	Annotate							
6	Contents									
8	Fees	,								
8	Payment			Open						
8	Annotate									
ľ 📍	filing not possible									
6	filing possible									
8	ready for filing									

Figure 435: Remarks, private remarks, validation log and other annotations in the Annotate tab

#### Adding annotations referring to the application in general

To create a new annotation, select the appropriate category from the drop-down list.

#### Click Add.

Annotate				
Annotation or Remark:	remark	•	Add	
Type of A	remark private remark inventor(s) for certain designated States only			1

Figure 436: Adding a new remark

# The Annotation edit dialog window opens.

Enter your text.

To view the other annotations, click the corresponding item on the left or browse through the list by clicking the up and down arrows.

Click **OK** to save the entry.

Annotat	tion edit dialog
<b>v</b> '	? 🖨 🖪
	2. Remark
Rem	
Priv	The fees are going to be paid later, after we have opened our current account with the EPO.
Priv	
Val	
▼	
	OK Cancel

Figure 437: Creating a new remark

The remarks intended for the receiving office can be found in section 13 at the end of the PCT form.

PDF	Viewer			• X
8		🧕 - 🖗 🖓	5 / 5 💌 🖲 🔞 66,7% 🗸 🔛 🙀	
-	12-22-3	Authorization to charge the fee for priority document	1	-
	12-23	Current account No.	28500987	
	12-24	Date	11 October 2011 (11.10.2011)	
69	12-25	Name and signature	PRESTON, ANTHONY,	
			/Anthony Preston/	-
			REMARKS	
	13-1-1	Applicant Remarka	An agent is going to be authorized later. The fees are going to be paid later, after we have opened our current account with the EPO.	_
5				_
Ű	210 20	07		<b>▼</b>
	210 x 2	9/mm		
				Cancel

Figure 438: Applicant remarks in the form preview

# Adding annotations referring to specific tabs

Remarks and private remarks can be created not only in the **Annotate** tab, but also in most of the other tabs of Form PCT/RO/101. Wherever this function is enabled, it is accessible from the shortcut menu.

For example, to add a private remark right-click the **Add Priority Claim** item in the **Priority** tab and select **Private Remark** from the shortcut menu.

Priority Claim								
No.	State	D	ate	Application No.		Req.	Rest.	Val.
•	Add Priority Claim		U C P	Indo Cut Copy Iaste				
			R	lemark Irivate Remark				

Figure 439: Adding a private remark referring to priority claims

# Viewing the Validation Log

In the Annotate tab, double-click Validation Log.

The Annotation edit dialog window opens.

The validation messages are grouped and ordered by the form sections.

Scroll through the list to read the messages.



Figure 440: Viewing the Validation Log

If you cannot read the full text of the validation messages, click the **Preview** icon.

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The Validation Log opens in the PDF Viewer.

PDF Viewer			
88	🎝 •   💱   🕁 🕂	1 / 1 🕙 💿 🖲 付 😽	<b></b>
			-
13-2-1	Validation messages Request	Green? The title of the invention should preferably be entered in capital letters. Please verify.	
13-2-3	Validation messages Names	Green? Applicant 1: The e-mail authorization checkbox has not been checked. This e- mail address will only be used for the types of communication which might be made by telephone.	
	Validation messages Names	Green? Applicant 1:State of Nationality missing	
	Validation messages Names	Green? Applicant 2:State of Nationality missing	
	Validation messages Names	Green? Applicant 2:State of Residence missing	
13-2-4	Validation messages Priority	Green? No priority of an earlier application has been claimed. Please verify	_
13-2-7	Validation messages Contents	Yellow The attached sequence listing does not appear to comply with WIPO standard ST.25 (http://www.wipo.int/standards/en/pdf/ 03-25-01.pdf). Please verify.	
13-2-8	Validation messages Fees	Green? Please verify that modified fee amounts are correct.	
			-
			Cancel

Figure 441: Validation Log showing messages

# 10.11.1 Designating inventor for certain states only

As with the applicant, you can edit the list of designated states for the inventor, although this is quite unusual and seldom used.

In the Annotate tab, select Inventor(s) for certain designated States only from the drop-down list.

Click Add.

The **Annotation edit dialog** window lists the names of the existing inventors and the designated states concerned.

To edit the states for an inventor, double-click the inventor's name.

Annotation edit dialog							
	? <i>6</i> B.						
	Inventor(s) for certain des	signated States only					
lnv							
Val	Inventor	for the Purposes of					
	PRESTON Anthony	all designated states					
	BURTON Mortimer	all designated states					
		12					

Figure 442: Editing designated states for an inventor

#### The View/Change States window opens.

Select the countries as appropriate; see the instructions under Applicant (p. 284).

The selected states are displayed in the list of inventors.

Annotation edit dialog								
🖸 ? 🖨 Ъ								
Inventor(s) for certain designated States only								
Inv Val								
	PRESTON Anthony	all designated states						
	BURTON Mortimer	EP: (AL AT BE BG CH&LI CY CZ DE DK EE ES						

Figure 443: Designated states selected for one of the inventors

# 10.12 Processing the PCT/RO/101 application

Once all required data has been entered and the appropriate documents attached, the application is ready for submission to the EPO.

In the toolbar, the **Sign** icon and the **Save as Ready for Signing** icon are now activated, and all the traffic lights show green.

Applications can also be filed if some of the traffic lights are yellow, provided that the user is satisfied that all the information required at the time of filing has been supplied and attached.

P	PCT-RO-101 Electronic Request - PCT sample								
File	Edit View 1	Tools Help							
<u>a</u>	e 🖻 🕒	? 🛛							
	Request	Save as Ready f	for Signing _{ice:}	EP	European Patent Office (	(EPO)			•
8	States	Internat	ional Searching Authority:	EP	European Patent Office (	(EPO)			•
8	Names	Languag internati	e of filing of the onal application:	English	•				
8	Priority	т	itle of invention:	CARD R	EADER				
8	Biology								
8	Declarations	Request t	to use results of	fearlier se	arch:				
8	Contents	No.		Country (a	r regional Office)		Date	Number	
8	Fees	1	EP European I Open to add r	Patent Offi	ce (EPO)	21 Ju	n 2011	EP11500200.8	
8	Payment								
8	Annotate								
9	filing not possible	•						Open	
8	filing possible								
8	ready for filing								

Figure 444: Application is ready for signing

# 10.12.1 Signing the form

Depending on the settings in the File Manager's User Preferences (see Confirmations (p. 56)), you can launch the signing process immediately from the PCT/RO/101 form or by using the workflow buttons in File Manager.

The option **Start signing immediately when moving application forward from draft status** triggers the following behaviour:

If that option **is not selected** (default), both the **Sign** button and the **Save as Ready for Signing** button will move the application to the **Ready to sign** status. You can then start the signing process from File Manager.

If that option **is selected**, the **Sign** button prepares the application for signature and opens the signing dialog immediately.

# Preparing the form for signature (default setting)

Click the Save as Ready for Signing button in the form toolbar.

PCT-RO-101 Electr	ronic Request - PCT sample		
File Edit View T	ools Help		
<b>L</b> # <b>E</b>	? 🛛		
Request Sa	ve as Ready for Signing tee: EP	European Patent Office (EPO)	•
States	International Searching EP Authority:	European Patent Office (EPO)	•

Figure 445: Starting the signing process from the form

Preparation for submission now starts.

If required, you can modify the User Reference here.

Select online (default option) as the Method of Submission.

### Click Continue.

Submission Preparation Progress					
Submission					
Made on: 9	July 2013 15				
User Reference: P	CT sample				
Method of Submission:	nline				
	Cantinua				

Figure 446: Preparing the application for submission

The data is saved, the form is rendered and the files are compressed and stored in the database.

### Click Continue.

The form closes and you are returned to File Manager.

Submission Preparation Progress	×
Submission	
Made on: 9 July 2013	15
User Reference: PCT sample	
Method of Submission: online	-
Submission Preparation Progress:	
09.07.2013 21:19:23 - Saving data - Done	
09.07.2013 21:19:29 - Rendering for viewing - Done	
09.07.2013 21:19:31 - Creating ZIP file - Done	
09.07.2013 21:19:31 - Storing in database - Done	
03.07.2013 21.13.32 - Terminating log - Done	
	Continue

Figure 447: The application data has been prepared for submission

#### Start signing from File Manager

The form is now in **Ready to sign** status.

Select the application and click the Next button (the tool-tip says "Sign").

File Manager PCT sample										X
File Edit View Workflow T	ools Help	)								
₽ 🗶 < 🖌 🖉 🗖	0								Õ	?
Default Folder - Asign PCT	- PCT sa	mple						19	items avai	lable
All Applications	All	Draft	Ready	to Sign	Ready to Send	Sent	Last saved	•		P
Default Folder			-	-	-					
🕨 🖿 Archive	Last V	⊽ Ref	erence		Title	S 🛆 🕄	Туре	9	Status	*
🔚 Kilburn private	09.07.201	3 PCT sar	mple	PCT/RO/1	01 request		PCT	Rea	ady to sign	
Lauren private	09.07.201	3 PCT-EN	-01	PCT/RO/1	01 request		PCT	Dra	ft	
Forms	09.07.201	3 PCT-DE	-01	PCT/RO/1	01 request		PCT	Dra	ft	

Figure 448: Launching the signing process from File Manager

The **PDF Viewer** opens.

Click **Sign Now** in the bottom right-hand corner.

Proceed as described in Signing applications (p. 88) in the Online Filing user guide or in the File Manager online help.

The two fields ePCT Customer ID and ePCT eOwnership code are optional. These data are only relevant for EPO Online Filing users having registered an account for the ePCT private services run by WIPO. For more information, see the WIPO website at IP Services > PCT (http://www.wipo.int/pct/en/).

Sign Application		×
Select an entry from the list, choose	the type of signature and en	iter the corresponding details.
Applicants MICRO YORK	Sign for representativ	ve CARRINGTON, John:
<other> Representatives</other>	Representative Name:	CARRINGTON, John
<pre>cother&gt;</pre>		
	ePCT Customer ID:	
	ePCT eOwnership code:	
	Type of signature:	
	Smart Card	
	C Soft Certificate	
	C Alphabetical	
	C Facsimile	
	Smart card details:	
		Enter PIN Code:
	Place of Signing:	Cambridge
		Sign N
j Save settings as default (Can be	changed in preferences)	Close

Figure 449: Representative signing the PCT/RO/101 application with his smart card

#### 10.12.2 Sending the form

In File Manager, the application is in **Ready to send** status.

Select the application and click the Next workflow button (the tool-tip says "Send").

Proceed as described in Sending applications (p. 102) in the Online Filing user guide or in the File Manager online help.

File Manager PCT sample		- 0 X
File Edit View Workflow 1	ools Help	
₽ 🗱 🔍 🕨 🕞		۲ 🍥
All Application Ready t	o Send - PCT - PCT sample	2 items available
Send		
All Applications	All Draft Ready to Sign Ready to Send Sent Last saved 💌	P
Default Folder		
ML Import	Last s 🗸 Reference Title 🚫 🔬 🕄 Type 🔗	Retry
Forms	15.06.2012 PCT sample PCT/RO/101 request PCT	0
Templates	31.05.2012 1001-1 Request for grant of a European 0 0 1 EP(1001E2K) 1 patent (EPC 2000)	0
👕 Trash	Para (n. 2 and)	

Figure 450: The application has moved from "Draft" to "Ready to send" status in File Manager

### Viewing submission information and the receipt

After the application has been sent, you can view it from File Manager. Both the submission information and the acknowledgement of receipt can be opened from the **Annotate** tab.

Annotate Annotation or Remark:		▼ Add
Type of Annotation	Entity	Details
Subm. Detail	Annotate	15 Jun 2012
Validation Log	Annotate	
Receipt information	Annotate	PCT/EP2012/090178; 15 Jun 2012

Figure 451: Submission details and receipt information available in the Annotate tab

# 10.12.3 Exporting and importing a form

For full instructions on exporting and importing applications via File Manager and Server Manager, see Exporting data from Online Filing (p. 105) and Importing data into Online Filing (p. 110) in the Online Filing user guide or in the File Manager online help.

If you want to export a single application from the PCT/RO/101 form view, use one of the following export options available in the **File** menu:

PCT-RO-101 Electronic Request - PCT Sample						
File Edit View Tools Help						
Sign						
Save as Ready for Signing						
Save as Draft	Office: EP European Patent Office (EPO)	-				
Save As Template						
Export unpacked WAD to	hority: EP European Patent Office (EPO)	<u> </u>				
Export WAD to	3					
Export file package	of the English					
Preview						

Figure 452: Export options in the File menu

### Export unpacked WAD to ...

WAD stands for "wrapped application documents".

Attachments and data are rendered to XML, PDF, JPG and TXT files and are exported into an existing folder on your computer. The **Pct101.PDF** file is the application form.

# Export WAD to ...

The same data as above is packed into a ZIP archive file and stored in the selected location.

Contraction (Fr) > FPO of	ata k Evnort k nct-cample 710	- Search not-same	le 7IP					
File Edit View Tools Help								
Organize   Extract all files				0				
Docs Test DE	▲ Name	Туре	Size	Ratio				
Docs Test EN	eolf-abst.txt	Text Document	1 KB	2%				
Docs Test FR	🔮 eolf-appb.xml	XML Document	1 KB	56%				
A Discourse State	🔁 eolf-appb-P000001.pdf	Adobe Acrobat Document	40 KB	27%				
2008	🔁 eolf-appb-P000002.pdf	Adobe Acrobat Document	35 KB	23%				
2009	🔁 eolf-appb-P000003.pdf	Adobe Acrobat Document	35 KB	20%				
2010	🔁 eolf-appb-P000004.pdf	Adobe Acrobat Document	39 KB	22%				
Þ 👔 2011	eolf-draw.txt	Text Document	1 KB	0%				
Þ 🌆 2012	eolf-fees.xml	XML Document	3 KB	69%				
BC Erfindungen	eolf-pkda.xml	XML Document	4 KB	75%				
Nano Enterprise	eolf-pkgh.xml	XML Document	2 KB	60%				
Jolar France	eolf-requ.xml	XML Document	3 KB	58%				
Universal Engineering	eolf-vlog.xml	XML Document	3 KB	70%				
pct-sample.ZIP	Pct101.PDF	Adobe Acrobat Document	110 KB	22%				
퉬 Import								
🍌 Office								

Figure 453: PCT/RO/101 application exported to WAD

### Export file package ...

This option corresponds to the **Export Forms** option in File Manager. It creates a ZIP archive containing the application form, the attached files and the accompanying items as XML and PDF files.

The text you entered for the figure accompanying the abstract is saved in a separate draw.txt file.

						x		
🚱 🔍 🔻 EPO_data 🔸 Export 🔸 export-pct-file-package.ZIP 🔹 🖌 Search export-pct-file-package.ZIP								
File Edit View Tools Help								
Organize ▼ Extract all files 🕮 ▼ 🗍 🔞								
Docs Test DE	*	Name	Туре	Size		Ratio		
Docs Test EN		📋 abst.txt	Text Document		1 KB	2%		
Docs Test FR		🔁 abstract.pdf	Adobe Acrobat Document		35 KB	20%		
A Line Export		📄 application-body.xml	XML Document		1 KB	56%		
2008		🔁 claims.pdf	Adobe Acrobat Document		35 KB	23%		
2009		🔁 description.pdf	Adobe Acrobat Document		40 KB	27%		
> 2010		📋 draw.txt	Text Document		1 KB	0%		
2011		🔁 drawings.pdf	Adobe Acrobat Document		39 KB	22%		
ADC Editadua ana		🔁 Fees.PDF	Adobe Acrobat Document		83 KB	23%		
Nano Enternrise		🔮 fee-sheet.xml	XML Document		3 KB	69%		
Salas Frances		🔮 package-data.xml	XML Document		4 KB	76%		
	=	🔁 Pct101.PDF	Adobe Acrobat Document		110 KB	22%		
Oniversal Engineering	-	📄 pkgheader.xml	XML Document		2 KB	63%		
export-pct-file-package.ZIP		🔮 request.xml	XML Document		3 KB	58%		
Import		validation-log.xml	XML Document		3 KB	70%		
Import     Office		🔁 ValidLog.PDF	Adobe Acrobat Document		60 KB	23%		
P dLAIVIL								

Figure 454: PCT/RO/101 application exported as file package

# 11. PCT-SFD

You can use Form PCT-SFD to file documents submitted after the filing of an international application under the Patent Cooperation Treaty (PCT). You can also use it to select the fees for the subsequently filed documents and the way you want to pay them. For more information about the PCT, see the WIPO website at **IP Services > PCT System > Treaty** (http://www.wipo.int/pct/en/treaty/about.html).

(i) This document focuses on the EPO acting as Receiving Office (RO), International Searching Authority (ISA), International Preliminary Examining Authority (IPEA) or Supplementary International Searching Authority (SISA).

### Minimum requirements for subsequent filing with Form PCT-SFD

When filing with Form PCT-SFD, at least one of the following actions must be performed:

- attach a document
- select a fee payment and a mode of payment
- write an annotation.

# **Completing Form PCT-SFD**

Form PCT-SFD is organised into five tabs. The capacity in which the EPO is acting is selected in the **Application** tab and this governs the options in the **Documents** and **Fees** tabs. This is why you must start with the **Application** tab.

Tab	What you can do
Application	Select filing office and capacity in which it is acting, enter details of the
	PCT application to which the subsequently filed document(s)
	belong(s).
Names	Enter details on applicant and contact person.
	If the EPO is selected as the filing office in the <b>Application</b> tab, no
	data needs to be entered in the <b>Names</b> tab. The option for adding
	persons to the form will be disabled.
Documents	Attach the subsequently filed document(s).
Fees	Select fees and enter the mode of payment.
Annotations	Supply additional information for the EPO.

### Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. You must either manually fill out this field or select one of the options provided. If mandatory fields are not completed, the corresponding tab will show a red validation icon. Consult the validation messages for more information.

Figure 455: The "Filing Office" is a mandatory field in the "Application" tab and is marked with a red triangle

# **Elements in Form PCT-SFD**

Menu Bar Toolbar Location Indicator Bar N	lavigation Bar
EPO Online Filing - PCT-SFD - PCT-SFD_sample	
File Edit View Tools Wincows Help	
	(2)
PCT-SFD - Draft - PCT-SFD_sample	Last saved on 30.01.2014
Application 🛇 Names 🛇 Documents Fees Annotations	
Subsequently filed PCT documents	
· · ·	
Filing Office:	
Capacity:	<b>_</b>
Past Record	
Application Number: PCT//	
International Filing Date: dd.mm.yyyy	
(Earliest) Priority date: dd.mm.yyyy 🛐	
Title of the Invention:	
	S 6 🛕 2 🕃 0
Dataila Area	Otatua Bar

Details Area

Status Bar

Figure 456: Form PCT-SFD – Overview

Element	Description
Menu Bar	Provides all options needed to edit, save, import and export drafts, set the
	display and change the status, as well as other tools.
Toolbar	Provides shortcuts to the most frequently used tasks and tools.
Location	Shows the selected procedure, the current status and the user reference for
Indicator Bar	the open draft.
Navigation Bar	Displays tabs corresponding to the sections of the form. These tabs can
	contain sub-tabs, which are a sub-division of the main tab sections within the
	form.
Details Area	Displays data entry fields appropriate to the selected tab.
Status Bar	Displays information about the current activity. Shows the total number of
	validation messages for the open draft.

# 11.1 PCT-SFD – Application

The **Application** tab is where you select the filing office and enter basic information about the international application for which the subsequently filed documents (SFD) are being filed.

The Application tab contains two sections:

- Filing office and capacity in which it is acting
- Past record

#### 11.1.1 Filing office and capacity in which it is acting

This document outlines the use of Form PCT-SFD when the EPO is selected as the filing office. For information specific to one of the other filing offices, please refer to the national patent office concerned.

Select the EPO as filing office, either by entering the two-letter code **EP** into the first field or by selecting **European Patent Office** from the drop-down list.

Select the appropriate option from the Capacity drop-down list:

- Receiving Office (RO)
- International Searching Authority (ISA)
- International Preliminary Examining Authority (IPEA)
- Supplementary International Searching Authority (SISA)

EPO Online Filing - PCT-SF								
File Edit View Tools Windows Help								
				()				
PCT-SFD - Draft - PCT-SF				Last saved on 30.01.2014				
Application 🚫 Names 🕄	Documents Fees	Annotations						
Subsequently filed PCT documents								
Filing Office:	EP Europea	n Patent Office (EPO)		-				
Capacity:	Receiving Office (R	O) 0)	N					
Past Record	International Searc International Prelim Supplementary Inte	h Authority (ISA) inary Examination Au ernational Search Aut	thority (IPEA) hority (SISA)	2				

Figure 457: Selecting the EPO as filing office and selecting the capacity in which it is to act

# Note:

- The types of documents that can be attached depend on the capacity in which the filing office is acting.
- You cannot attach documents before you have selected the filing office and the capacity in which it is to act.
- If you change the capacity in which the filing office is to act after you have attached documents, these will be detached.
- If you wish to file SFD to the EPO acting in a different capacity, please submit them as a separate filing.

# 11.1.2 Past record

The **Past Record** section provides entry fields for details of the international PCT application to which the SFD relate(s).

Enter the international **application number** of the PCT application.

This information is mandatory.

Enter the **international filing date** of the PCT application.

This information is mandatory.

- Clicking on the calendar icon on the right of the date boxes will open a calendar from which you
  can select the date.
- If the year of filing is different from the year in the PCT application number, a yellow validation icon is displayed. You can file your application to the EPO nevertheless, but please ensure that the data you enter is correct.

If a priority has been claimed for the PCT application, enter the (earliest) priority date (optional).

Enter the title of the invention exactly as specified in the PCT application (usually in block capitals).

This information is mandatory.

Once you have entered all the mandatory information, the red validation symbol will disappear from the **Application** tab in the navigation bar. However, a yellow validation icon is displayed if you do not supply the (earliest) priority date.

EPO Online Filing - PCT-SFD -	PCT-SFD sample							- X	
File Edit View Tools Windows Help									
								C	
PCT-SFD - Draft - PCT-SFD sample				Last s	aved or	30.01.20	)14		
Application Names 🕄 Do	cuments 📎 🛛 Fees	Annotations							
Subsequently fi Filing Office: Capacity:	Ied PCT docum	Patent Office (EPO)			• •				
Past Record									
Application Number:	PCT/EP2013/123456								
International Filing Date:	10 October 2013	15							
(Earliest) Priority date:	10 July 2013	15							
Title of the Invention:	CARD READER								
						<b>o</b>	Δ	0	1

Figure 458: Entering details on the PCT application to which the subsequently filed documents relate

# 11.2 PCT-SFD – Names

If the EPO has been selected as the filing office in the **Application** tab, no data needs to be entered in the **Names** tab. The **Add** button is disabled and a grey validation icon draws your attention to the relevant validation message.

(i) If you want to specify details of any additions, changes or replacements to the parties to the application, please draft a letter to the EPO, have it signed and convert it into PDF. Then go to the **Documents** tab and attach the file under the appropriate category.

# 11.3 PCT-SFD - Priority

The document type "Request for retrieval of priority document via DAS" shall be added as type of document that can be subsequently filed, with an appropriate description.

The following should be observed:

- Documents of this type are classified as public.
- Multiple document types can be attached to the same application.
- The file type shall be named 'F1013P.pdf'



Figure 459: Document type Request for retrieval of priority document via DAS

# 11.4 PCT-SFD – Documents

The **Documents** tab of Form PCT-SFD is where you attach documents subsequent to your original filing. The attachment options are determined by the capacity in which the filing office is acting, as selected in the **Application** tab. As a result, specific document categories and document types become available in the **Documents** tab.

(i) Signing a PCT-SFD application in Online Filing does not automatically apply a signature to the attached documents. Before attaching the PDF files, you should therefore make sure that each document has been duly signed by the relevant person.

The following sections provide an overview of the document categories and document types applicable when filing with the EPO as:

- Receiving Office (RO)
- International Searching Authority (ISA)
- International Preliminary Examining Authority (IPEA)
- Supplementary International Searching Authority (SISA)

Specific document types cannot be filed with the EPO although it is possible to attach them; see the sections below for details.

# 11.4.1 Documents filed with the Receiving Office (RO)

(i) This list contains document types printed in italics and marked with the symbol **[N]**. Although these document types are options presented in Form PCT-SFD of the Online Filing software, they cannot be filed with the EPO. If you select one of these document types when attaching files to your application, a red validation icon will appear in the **Documents** tab. The related validation message informs you which of the attached documents should be removed.

# **Correction of defects (Article 11)**

#### www.wipo.int/pct/en/texts/articles/a11.htm

- Letter accompanying the replacement sheet(s)
- Missing claims
- Missing description
- Missing drawings or part thereof
- Missing part of claims
- Missing part of description

### **Correction and missing parts (Article 14)**

#### www.wipo.int/pct/en/texts/articles/a14.htm

- Later filed abstract
- Letter accompanying the replacement sheet(s)
- Missing signature (Letter)
- Missing title (Letter)

#### **Rectification of obvious mistakes (Rule 91)**

#### www.wipo.int/pct/en/texts/rules/r91.htm

- Letter accompanying the rectification of obvious mistakes
- Rectified request
- Undefined rectification

# Translations

PCT Rule 12, www.wipo.int/pct/en/texts/rules/r12.htm

- Translation of priority document
- Translation of the abstract
- Translation of the international application
- Translation of the textual parts of the drawings

### Changes to indications in the request (Rule 92bis)

#### www.wipo.int/pct/en/texts/rules/r92bis.htm

- Changes to person, name or address of the agent
- Changes to person, name or address of the common representative
- Changes to person, name or address of the inventor
- Changes to person, name, residence, nationality or address of the applicant

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

#### www.wipo.int/pct/en/texts/rules/r9.htm

- Amended abstract removing matter disallowed
- Amended claims removing matter disallowed
- Amended description removing matter disallowed
- Amended drawings removing matter disallowed
- Letter accompanying the replacement sheet(s)
- Undefined correction

### Priorities (Rules 17 and 26bis)

#### www.wipo.int/pct/en/texts/rules/r17.htm

#### www.wipo.int/pct/en/texts/rules/r26bis.htm

- Correction or addition of a priority claim
- Request for restoration of priority rights (including evidence and witness statement)
- [N] Request to make the priority document available in WIPO Digital Access Service (DAS)

### Later filed documents

Later filed sequence listings can only be filed with the EPO in computer-readable format. Please select either **ST25** or **ST26** (according to the WIPO Standard applicable at the date of filing) as the file type when attaching the file to the application.

- Agent's letter
- Declarations
- Microorganisms form BP/4: acknowledgement of receipt by the IDA
- Microorganisms form BP/9: viability statement www.wipo.int/export/sites/www/treaties/en/registration/budapest/guide/pdf/app3_budapest_for ms.pdf
- Microorganisms form RO/134 www.wipo.int/export/sites/www/pct/en/forms/ro/editable/ed_ro134.pdf
- [N] Request for certification of international application registration data
- Request for certified copies of the international application
- Sequence listings

#### Earlier search (Rule 12bis)

#### www.wipo.int/pct/en/texts/rules/r12bis.htm

- Application for which earlier search was performed
- Cited documents in earlier search
- Results of earlier search
- Translation of application for which earlier search was performed
- Translation of result of earlier search

#### **Regarding payment of fees**

PCT Rule 16bis, www.wipo.int/pct/en/texts/rules/r16bis.htm

- [N] Fee payment receipt (RO/ES only)
- Letter regarding automatic debiting of fees (RO/EP only)
- [N] Letter regarding payment of fees
- Request for refund of undue fees
## Assignment

PCT Rule 92bis, www.wipo.int/pct/en/texts/rules/r92bis.htm

Assignment

#### Power of attorney

PCT Rule 90, www.wipo.int/pct/en/texts/rules/r90.htm

Power of attorney

#### Request for extension of time limit

PCT Rule 16bis, www.wipo.int/pct/en/texts/rules/r16bis.htm

Request for extension of time limit

#### Incorporation by reference

PCT Rule 20, www.wipo.int/pct/en/texts/rules/r20.htm

- Copy of earlier application/priority document (for incorporation by reference)
- Copy of translation of earlier application/priority document (for incorporation by reference)
- New claims for incorporation by reference (Rule 20.6)
- New description for incorporation by reference (Rule 20.6)
- New drawings for incorporation by reference (Rule 20.6)
- New sequence listings for incorporation by reference (Rule 20.6)
- Notice confirming incorporation by reference of missing elements and parts

#### Substitute sheets (Rule 26)

#### www.wipo.int/pct/en/texts/rules/r26.htm

- Letter accompanying the replacement sheet(s)
- Substitute sheet(s) abstract (Rule 26)
- Substitute sheet(s) claims (Rule 26)
- Substitute sheet(s) description (Rule 26)
- Substitute sheet(s) drawings (Rule 26)
- Substitute sheet(s) request (Rule 26)

## Withdrawals (Rule 90bis)

## www.wipo.int/pct/en/texts/rules/r90bis.htm

- Withdrawal of application
- Withdrawal of designation
- Withdrawal of priority claim

## Other document

Communication in cases for which no other form is applicable

 Reply to any other invitation or notification (Form PCT/RO/132) www.wipo.int/export/sites/www/pct/en/forms/ro/editable/ed_ro132.pdf

## 11.4.2 Documents filed with the International Searching Authority (ISA)

(i) This list contains document types printed in italics and marked with the symbol **[N]**. Although these document types are options presented in Form PCT-SFD of the Online Filing software, they cannot be filed with the EPO. If you select one of these document types when attaching files to your application, a red validation icon will appear in the **Documents** tab. The related validation message informs you which of the attached documents should be removed.

## Rectification of obvious mistakes (Rule 91)

www.wipo.int/pct/en/texts/rules/r91.htm

- Letter accompanying the replacement sheet(s)
- [N] Rectification to amended claims
- [N] Rectification to amended description
- [N] Rectification to amended drawings
- [N] Rectification to amended sequence listing part of the description
- Rectified claims
- Rectified description
- Rectified drawings
- Rectified sequence listing part of the description
- [N] Undefined rectification

## Earlier search (Rule 12bis)

## www.wipo.int/pct/en/texts/rules/r12bis.htm

- Application for which earlier search was performed
- Cited documents in earlier search
- Results of earlier search
- Translation of application for which earlier search was performed
- Translation of result of earlier search

## Later furnished sequence listing (Rule 13ter)

PCT Rule 13ter.2, www.wipo.int/pct/en/texts/rules/r13ter.htm

- (i) Later filed sequence listings can only be filed with the EPO in computer-readable format. Please select either **ST25** or **ST26** (according to the WIPO Standard applicable at the date of filing) as the file type when attaching the file to the application.
- Late furnished nucleotide and/or amino acid sequence
- Letter regarding the sequence listing
- Statement concerning the sequence listing

## Lack of unity of invention (Rule 40)

#### www.wipo.int/pct/en/texts/rules/r40.htm

- Reply to invitation to pay additional fees due to lack of unity of invention
- Request to review the opinion regarding the lack of unity of the invention

#### **Regarding payment of fees**

PCT Rule 16bis, www.wipo.int/pct/en/texts/rules/r16bis.htm

- [N] Fee payment receipt (ISA/ES only)
- Letter regarding automatic debiting of fees (ISA/EP only)
- [N] Letter regarding payment of fees
- [N] Request for refund of undue fees

#### **Power of attorney**

PCT Rule 90, www.wipo.int/pct/en/texts/rules/r90.htm

Power of attorney

#### Assignment

PCT Rule 92bis, www.wipo.int/pct/en/texts/rules/r92bis.htm

[N] Assignment

## Request for extension of time limit

PCT Rule 16bis, www.wipo.int/pct/en/texts/rules/r16bis.htm

Request for extension of time limit

## **Comments regarding abstract**

PCT Rule 38.3, www.wipo.int/pct/en/texts/rules/r38.htm#_38_3

Comments regarding the abstract

## Sequence listing free text (Rule 5.2b)

www.wipo.int/pct/en/texts/rules/r5.htm#_5_2_b

- Amended description with sequence listing free text added
- Letter accompanying the replacement sheet(s)

#### Other document

Communication in cases for which no other form is applicable

 Reply to any other invitation or notification (Form PCT/ISA/224) www.wipo.int/export/sites/www/pct/en/forms/isa/isa224.pdf

## 11.4.3 Documents filed with the International Preliminary Examining Authority (IPEA)

(i) This list contains document types printed in italics and marked with the symbol **[N]**. Although these document types are options presented in Form PCT-SFD of the Online Filing software, they cannot be filed with the EPO. If you select one of these document types when attaching files to your application, a red validation icon will appear in the **Documents** tab. The related validation message informs you which of the attached documents should be removed.

#### **Rectification of obvious mistakes (Rule 91)**

#### www.wipo.int/pct/en/texts/rules/r91.htm

- Letter accompanying the rectification of obvious mistakes
- Rectification of indeterminate type
- Rectification to amended claims
- Rectification to amended description
- Rectification to amended drawings
- Rectification to amended sequence listing
- Rectified claims
- Rectified description
- Rectified drawings
- Rectified sequence listing

## Amendments (Article 34 and Rule 60.1(g))

www.wipo.int/pct/en/texts/articles/a34.htm

www.wipo.int/pct/en/texts/rules/r60.htm#_60_1_g

- Amended claims
- Amended description
- Amended drawings
- Amended sequence listing
- Letter accompanying the replacement sheet(s)
- Statement concerning the sequence listing

## Translations

PCT Rule 12, www.wipo.int/pct/en/texts/rules/r12.htm

- Translation of amendments
- Translation of priority document
- Translation of the application and/or corrections

## Earlier search

PCT Rule 12bis, www.wipo.int/pct/en/texts/rules/r12bis.htm

- Application for which earlier search was performed
- Cited documents in earlier search
- Results of earlier search
- Translation of application for which earlier search was performed
- Translation of result of earlier search

## Later furnished sequence listing (Rule 13ter)

www.wipo.int/pct/en/texts/rules/r13ter.htm

(i) Later filed sequence listings can only be filed with the EPO in computer-readable format. Please select either **ST25** or **ST26** (according to the WIPO Standard applicable at the date of filing) as the file type when attaching the file to the application.

- Late furnished nucleotide and/or amino acid sequence
- Letter regarding the sequence listing
- Statement concerning the sequence listing

## Lack of unity of invention (Rule 68)

### www.wipo.int/pct/en/texts/rules/r68.htm

- Reply to invitation to pay additional fees due to lack of unity of invention
- Request to review the opinion regarding the lack of unity of the invention

## **Regarding payment of fees**

PCT Rule 16bis, www.wipo.int/pct/en/texts/rules/r16bis.htm

- [N] Fee payment receipt (IPEA/ES only)
- Letter regarding automatic debiting of fees (IPEA/EP only)
- [N] Letter regarding payment of fees
- Request for refund of undue fees

## Withdrawals (Rule 90bis)

www.wipo.int/pct/en/texts/rules/r90bis.htm

- Withdrawal of application
- Withdrawal of Demand
- Withdrawal of designation
- Withdrawal of election
- Withdrawal of priority claim

## Assignment

PCT Rule 92bis, www.wipo.int/pct/en/texts/rules/r92bis.htm

Assignment

## **Power of attorney**

PCT Rule 90, www.wipo.int/pct/en/texts/rules/r90.htm

Power of attorney

## Request for extension of time limit

PCT Rule 16bis, www.wipo.int/pct/en/texts/rules/r16bis.htm

Request for extension of time limit

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

www.wipo.int/pct/en/texts/rules/r60.htm#_60_1

- Corrected demand (Form PCT/IPEA/401) www.wipo.int/export/sites/www/pct/en/forms/demand/ed_demand.pdf
- Letter accompanying the replacement sheet(s)

#### **Comments and observations**

PCT Rule 66.3, www.wipo.int/pct/en/texts/rules/r66.htm#_66_3

- Reply to written opinion of the IPEA (Form PCT/IPEA/408) www.wipo.int/export/sites/www/pct/en/forms/ipea/ipea408.pdf
- Other comments and observations

#### Sequence listing free text (Rule 5.2b)

www.wipo.int/pct/en/texts/rules/r5.htm#_5_2_b

- Amended description with sequence listing free text added
- Letter accompanying the replacement sheet(s)

#### Other document

Communication in cases for which no other form is applicable

- Reply to any other invitation or notification (Form PCT/IPEA/424) www.wipo.int/export/sites/www/pct/en/forms/ipea/ipea424.pdf
- [N] Reply to request to indicate the competent IPEA (Form PCT/IPEA/442) www.wipo.int/export/sites/www/pct/en/forms/ipea/ipea442.pdf

## 11.4.4 Documents filed with the Supplementary International Searching Authority (SISA)

(i) This list contains document types printed in italics and marked with the symbol **[N]**. Although these document types are options presented in Form PCT-SFD of the Online Filing software, they cannot be filed with the EPO. If you select one of these document types when attaching files to your application, a red validation icon will appear in the **Documents** tab. The related validation message informs you which of the attached documents should be removed.

## Assignment

PCT Rule 92bis, www.wipo.int/pct/en/texts/rules/r92bis.htm

Assignment

## Earlier search

PCT Rule 12bis, www.wipo.int/pct/en/texts/rules/r12bis.htm

- Application for which earlier search was performed
- Cited documents in earlier search
- Results of earlier search
- Translation of application for which earlier search was performed
- Translation of result of earlier search

## **Regarding payment of fees**

PCT Rule 16bis, www.wipo.int/pct/en/texts/rules/r16bis.htm

[N] Letter regarding payment of fees

#### **Power of attorney**

PCT Rule 90, www.wipo.int/pct/en/texts/rules/r90.htm

Power of attorney

## Request for extension of time limit

PCT Rule 16bis, www.wipo.int/pct/en/texts/rules/r16bis.htm

Request for extension of time limit

## Late furnished sequence listing

PCT Rule 13ter.2, www.wipo.int/pct/en/texts/rules/r13ter.htm#_13ter_2__1

(i) Later filed sequence listings can only be filed with the EPO in computer-readable format. Please select either **ST25** or **ST26** (according to the WIPO Standard applicable at the date of filing) as the file type when attaching the file to the application.

Late furnished nucleotide and/or amino acid sequence

## Lack of unity of invention (Rule 13)

www.wipo.int/pct/en/texts/rules/r13.htm

- Reply to invitation to pay additional fees for lack of unity of invention
- Request to review the opinion regarding the lack of unity of the invention

#### Withdrawals (Rule 90bis)

www.wipo.int/pct/en/texts/rules/r90.htm

Withdrawal of request for supplementary search

## 11.4.5 Attaching PDF documents

To attach a document, you need to select a category in the first step. After selecting the required file from your computer, you can select the document type.

(i) If you are not sure which the correct category for your document is, please refer to the relevant section above (RO, ISA, IPEA or SISA).

This example demonstrates how to attach the missing claims for filing with the EPO as receiving Office.

In the **Documents** tab of PCT-SFD, click the **Add** button.

Select the appropriate category, e.g. Correction of defects (Article 11).

EPO Online Filing - PCT-SFD - PCT-SFD sample	
File Edit View Tools Windows Help	
	3
PCT-SFD - Draft - PCT-SFD sample	Last saved on 15/04/2014
Application Names 🕄 Documents 🛇 Fees Ar	inotations
Original File Name:	No. of Pages:
Correction of defects (Article 11)	
Corrections and missing parts (Article 14)	
Rectification of obvious mistakes (Rule 91)	v
Translations	
Changes to indications in the request (Rule 92bis)	
Expressions, etc., not to be used (Rule 9)	
Priorities (Rules 17 and 26bis)	
Later filed documents	
Earlier search (Rule 12bis)	e finds that a part of the description, daims or drawings is or appears to be missing,
Regarding payment of fees	I of the drawings are or appear to be missing but not including the case where an entire
Assignment	application by furnishing the missing part: or (ii) to confirm, in accordance with Rule
Power of attorney	incorporated by reference under Rule 4, 18
Request for extension of time limit	
Incorporation by reference	
Substitute Sheets (Rule 26)	possible to furnish complete elements of the application (description, daims) according to
Withdrawals (Rule 90bis)	possible to remain complete cientents of the application (description, dalins) according to
Other document	
L	4

Figure 460: Selecting a document category

In the **Open** window, navigate to the storage location of your file.

Select the required file and click Open.



Figure 461: Selecting the PDF file to be attached

The file is attached to the application under its original file name.

The explanatory text on the lower right displays information on the PCT regulations relevant for the selected document category.

Select the appropriate document from the **Document type** drop-down list, e.g. **Missing claims**.

Note th	at most do	cume	nt types o	can only be attached once.
Application Names	Documents Q	Fees	Annotations	
	Origina	l File Nam	e:	No. of Pages: 10
Correction of defects     Laser Sword Clair	(Arti This pd ns.pdf	f file conta	ains:	
	Documer	it Type:	Letter accom	panying the replacement sheet(s)
	Languag documen	e of the t:	Missing daim Missing descr Missing draw Missing part	iption ings or part thereof of claims of describtion
	Rule 20	.5	Missing part	or description
	Where the including element the purp 20.6(a),	ne receiving the case w referred to orted interr that the pa	g Office finds that a where all of the draw in Article 11(1)(iii)( national application art was incorporate	part of the description, daims or drawings is or appears to be missing, wings are or appear to be missing but not including the case where an entire d) or (e) is or appears to be missing, it shall invite the applicant (i) to complete by furnishing the missing part; or (ii) to confirm, in accordance with Rule d by reference under Rule 4.18
	In the sa Rule 20.	me way, it 3.	is also possible to f	urnish complete elements of the application (description, claims) according to

Figure 462: Selecting the document type for the attached PDF file

 $(\mathbf{i})$ 

The file is renamed to the Online Filing default file name, e.g. MISSCLMS.pdf.

The original file name is also displayed at the top of the screen, along with the number of pages.

Select the language of the document (mandatory).

You can either type the two-letter language code (EN, DE or FR) into the field to the left or select the language from the drop-down list to the right.

Application	Names 🛈	Docu	ments 🚫	Fees	Annotations					
<b>-↓</b> - <b>×</b>			Original	File Nam	e: Laser Sword	Claims.pdf			No. of Pages:	10
Correction of	f defects (A	rti	This pdf	file cont	ains:					
<ul> <li>MISSC</li> <li>Missing</li> </ul>	LMS.pdf g claims	_	Document	t Type:	Missing claim	5				•
			Language document	of the	Ge	rman glish ench	•			
			Where th including element r the purpo 20.6(a), t	e receiving the case w eferred to orted intern that the pa	Office finds that a here all of the drav in Article 11(1)(iii)( national application art was incorporated	part of the ings are or d) or (e) is o by furnishin d by referen	description, clair appear to be mis r appears to be g the missing pa ce under Rule 4	ms or drawings is ssing but not inc missing, it shall i rt; or (ii) to conf . 18	s or appears to be n luding the case whe nvite the applicant ( irm, in accordance v	nissing, re an entire (i) to complete vith Rule
			In the sar Rule 20.3	ne way, it	is also possible to f	urnish compl	ete elements of	the application	(description, claims)	according to

Figure 463: Selecting the language for the attached document

## Document types blocked by the EPO

If you attach a document type which is not accepted by the EPO acting as the selected capacity, a red validation icon appears in the **Documents** tab.

Open the validation messages to see which of the documents should be removed.



Figure 464: A document which is blocked by the EPO has been attached

## 11.4.6 Attaching sequence listings

Sequence listings must always be submitted in computer-readable format in accordance with WIPO Standard ST.25 or ST.26 as applicable. If you attach a sequence listing in PDF when filing with the EPO as ISA, IPEA or SISA, a red validation icon is displayed in the **Documents** tab.

In the **Documents** tab of PCT-SFD, click the **Add** button.

Select the appropriate category:

- Later filed documents if the EPO is acting as RO
- Later furnished sequence listing (Rule 13ter) in Annex C/ST25 if the EPO is acting as ISA, IPEA or SISA and the sequence listing to be submitted is in ST.25 format
- Later furnished sequence listing (Rule 13ter) in Annex C/ST26 if the EPO is acting as ISA, IPEA or SISA and the sequence listing to be submitted is in ST.25 format

In the Open window, navigate to the storage location of your file.

Change the option in the **Files of type** drop-down list from **Portable Document Format** (default) to **Sequence listing in ST25** (file type .txt, .seq, .app or .zip) or **Sequence listing in ST26** (file type .xml or .zip).



Figure 465: Selecting the correct file type when attaching a sequence listing file

Select the required file and click **Open**.

🕫 Open	1. 1.				×
Look in:	Sequences	•	← 🗈 📩 📰 ◄		
Quick access	Name ST_26_long ST_26_shot	^ _amended DTD version.xml t.xml	Date modified 1/19/2021 10:27 PM 1/19/2021 10:27 PM	Type XML Document XML Document	Size
Desktop Libraries This PC		- m sequence isong speamene	5) 5) 2021 7115 444	Ame bocument	
	< File name:	st26-annex-iii-sequence-listing-speci	men2.xml		> pen
	Files of type:	Sequence listing in ST26 (*.xml;*.zip	)	▼ Ca	ncel

Figure 466: Attaching a sequence listing as an ST26 XML file

The file is attached to the application under its original file name.

Select the appropriate document from the **Document Type** drop-down list:

- Sequence Listing in Annex C if the EPO is acting as RO
- Late furnished nucleotide and/or amino acid sequence if the EPO is acting as ISA, IPEA or SISA

Application 🛦 Names 🕄 Docu	ments 🚫 🛛 Fees	Annotations	
	Original File Nam	e:	No. of Pages:
Correction of defects (Arti	This xml file cont	tains:	
Missing daims     Later filed documents	Document Type:	Sequence listing in Annex C	IST.25
st26-annex-iii-sequence-li	Language of the document:		▼
	Later Filed Docu	ments	
	These are documen Information relating treaty:	ts which may be submitted after th ) to the Later Filed Documents prov	e original filing date in support of the PCT application. ided for in this module is covered by the following PCT Rules and
	- Rule 13ter - Sequ	uence Listings	
	- Rule 4.17 - Deda	rations	
	- Budapest Treaty Procedure - Forms	on the International Recognition o BP/4, BP/9	f the Deposit of Microorganisms for the Purposes of Patent
	- Rule 13bis - Form	RO/134	
	- Agents Letter ref	fers to any covering or free text le	tter filed in relation to the PCT application.

Figure 467: Selecting the document type for the attached sequence listing file

The file is renamed to the Online Filing default file name.

Select "Other" in **Language of the document**, if the option is available (otherwise, select any other language from the list).



Figure 468: Selecting "Other" as the language for the attached sequence listing file

(i) Note that, when selecting to submit a ST.26 sequence listing as ZIP, the provided ZIP file must contain a single ST.26-compliant XML file. If the attached ZIP package contains none or multiple XML files, it will be rejected and a validation error message will be displayed.

## 11.4.7 Viewing attached documents

You can check your application and the attached documents in the print preview.

Click the **Preview** button in the toolbar.

P

The application (pct-sfd.pdf) is displayed in the PDF Viewer.

Section 3 of the form contains the attached documents with their original file names. The list is grouped by category.

The left pane in the PDF Viewer lists all the files with their system names.

Click a file name to the left to display the corresponding document in the PDF Viewer.

PDF Viewer						) <b>X</b>	
package-data.xml (package-data.xml) pct-sfd.pdf (pct-sfd.pdf) pct-sfd-fee-sheet.xml (pct-sfd-fee-sheet.xml) pct-sfd-request.xml (pct-sfd-request.xml) pkgheader.xml (pkgheader.xml)	Europäisches Patentamt Usropean Patent Office Office europäen des brevets The document(s) listed below is (are) subsequently filed d	oanying subseq Coop ocuments pertainin	uently filed it eration Trea ig to the followi	ems under ty (PCT) - C ng application	the Patent Online filing		•
(sequence listings.app	1. General information					- 1	
RESTPRIOR.pdf (Request restorative) of	Filing Office and capacity RO/EP	Application numb	ber 5				=
	International filing date	(Earliest) Priority	date			- 1	=
	2013-10-11 Title of the invention	2013-03-12				- 1	
	LASER SWORD					- 1	
	2. Reference number					- 1	
	PCT-SFD sample					, I	
	3. Attached documents		No. of Academic	0			
	Priorities (Rules 17 and 26bis)	Language	No. of sheets	Orginal file na	me		
	1) Restoration of Prioris request (including evidence and witness sta	tement) English	2	Request restor priority.pdf	ration of		-
	Later Filed Documents						
	1) Sequence Listings	Other	NA	sequence_listi	ngs.app	1	
	4. Fees (EUR) Fee for request for restoration of priority Late parfment fee (R. 16bis.2 PCT)		Total a	mount	635.00 180.00 815.00		
	5. Method of payment						-
	1				Can	cel	

Figure 469: Previewing the form in the PDF Viewer

## 11.5 PCT-SFD – Fee Payment

In the **Fees** tab you can select the fees associated with your application and indicate how you wish to pay them. All fees must be paid in euros.

The fees displayed in the **Fees** tab reflect the fee schedules located in **File Manager > Tools > Fee Management**.

Make use of the **Live Update** function in Online Filing to ensure that your fee schedule is always up to date. You will find the most recent fee schedule on the EPO website at **Applying for a patent > Online services**, following the link **Interactive schedule of fees** (http://www.epoline.org/portal/portal/default/epoline.Scheduleoffees).

## 11.5.1 Payment details

In the **Payment details** sub-tab you can specify the mode of payment and provide further details required by the EPO.

## Mode of payment

Select the appropriate option from the **Mode of payment** list.

## Automatic debit

If you select this option the check boxes in the **Fee selection** sub-tab are automatically deactivated and the total amount of the fees is shown as EUR 0.00. The EPO will calculate the amount of the fees payable using the information you provided in your application and will debit this amount direct from your account. With this option you cannot select the fees yourself in the form.

## Bank transfer

The EPO accepts EUR payments to its account with the Commerzbank AG in Munich, Germany. The IBAN and BIC codes of the EPO's bank account are supplied automatically when you select **DE, Commerzbank AG, München** from the drop-down list.

## Debit from deposit account

If you choose this mode of payment, the relevant fees will be debited directly from your EPO deposit account. If you issue a debit order during normal working hours (08.00-18.00 hrs), you can usually view it under **Pending orders** within about 30 minutes. The actual deduction from your account will appear 5 to 6 days later.

## Credit card

All payments by credit card must be made via the dedicated EPO fee payment service on the EPO website at **Applying for a patent > Online services > Paying fees online > Pay by credit** card (https://epo.org/fee-payment-service/en/login).

Choosing this mode of payment in the Payment details sub-tab is considered merely an indication of how you intend to pay.

## Not specified

If you do not intend to pay fees with this submission, you can indicate Not specified.

For more information on EPO deposit accounts and the automatic debiting procedure, please refer to the Official Journal:

- Arrangements for deposit accounts (ADA) Supplementary publication 3/2015, p. 8-16 (http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p8.html)
- Notice from the European Patent Office dated 12 February 2015 concerning revision of the Arrangements for deposit accounts (ADA) and their annexes Supplementary publication 3/2015, p. 2-7 (http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p2.html)

 Decision of the President of the European Patent Office dated 29 September 2016 revising points 5.3 and 7 of the Arrangements for deposit accounts (ADA) OJ EPO 2016, A83 (http://www.epo.org/law-practice/legal-texts/official-journal/2016/10/a83.html)

## Automatic debit

If you are filing with the EPO acting as RO, ISA or IPEA, you can use the **automatic debit** procedure. **Automatic debiting** is not allowed if you are filing with the EPO acting as SISA.

Enter the number of your deposit account and the name of the account holder.

EPO deposit account numbers are made up of eight digits, starting with 28.

## Debit from deposit account

An EPO deposit account is required to use the option **Debit from deposit account**.

Enter the number of your deposit account and the name of the account holder.

EPO deposit account numbers are made up of eight digits, starting with 28.

If applicable, select the check box Authorisation to charge any deficiency or credit any overpayment in the total fees.

EPO Online Filing - PCT-SFD - SF	D-EN-fee-RO			
	vs neip			(?)
PCT-SFD - Draft - SFD-EN-fee-	RO			Last saved on 25/02/2020
Application 📎 Names 🕄 Docum	ments Fees	Annotations		
Fee selection Payment details				1
Method of Payment:	Debit from depo	osit account	Currency: EUR	te indicated:
The Luipean Patent Office is ne	a eby autionseu to t	JEDIT ITOIN THE DEPO	sit account with the LPO any rees and cos	is indicated.
Deposit account number: Account holder:	28123456 IP Partners			
Authorisation to charge any d	leficiency or credit a	ny overpayment in	the total fees	
Reimbursement, if any, to be	e made to deposit ac	count with the EPO	:	28
			Account holder:	
				S 3 ▲ 1 ③ 1
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Fee selection Payment details				
Mode of Payment:	Debit from depo	osit account	Currency: EUR	
The European Patent Office is he	ereby authorised to d	lebit from the depos	sit account with the EPO any fees and cost	ts indicated:
Deposit account number:	28123456		<b>_</b>	
Account holder:	IP Partners			
Authorisation to charge any o	deficiency or credit a	nv overpavment in	the total fees	
				<u>⊗</u> 0 <u>∧</u> 0 <u>③</u> 1

Figure 470: Deposit account data entered

## **Further options**

The Payment details sub-tab offers some additional options at the bottom of the screen.

If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, select the corresponding check box.

This information applies to all selected modes of payment. If you selected **automatic debit order** or **debit from deposit account**, you are only required to enter an account number here if that number is different from the account number used for payment.

Enter the EPO deposit account number and supply the account holder's name.

## 11.5.2 Fee selection

The fees payable are determined by the capacity in which the EPO is acting, as selected in the **Application** tab.

In the **Fee selection** sub-tab, you can select all fees individually, including late payment fees, and apply the reduction for low-income countries for eligible applicants. For more information, see the following chapters.

## Fees payable when submitting specific documents

There is no automatic fee selection when you attach a specific document in the **Documents** tab. The validation messages inform you which fee should be paid in relation to the attached document.

For example, if you attach a request for restoration of priority rights (**RESTPRIOR.pdf**), fee **013EP** is due when filing with the EPO acting as Receiving Office.

EPO	EPO On	ine Filing - PC	T-SFD - SFD-EN-fee-RO	-	- 🗆 ×
File Edit View Tools Wind	ows Help				
					(?)
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Application Names 🕄 Doct	uments 🛈 🛛 Fees	Annotations			
<b>₽</b> • ¥	Original File Nam	e: Statemer	nt restoration rights.pdf	No. of Pages:	3
Priorities (Rules 17 and 26	This pdf file cont	ains:			
Request fotatement) Regarding payment of fees	Document Type:	Request for	restoration of priority rights (including evi	idence and witness statem	nent) 💌
<ul> <li>DECA-RO.pdf</li> <li>Letter regaO/EP only)</li> </ul>	Language of the document:	EN Er	nglish		
		Valida	ation Messages/Documents		×
Ē	<ul> <li>Severity 3: 1 me</li> <li>The correspondition</li> </ul>	ssage(s) ng fee (013EP)	must be selected separately		
				<b>⊘</b> 0 ∡	0 3 2

Figure 471: Fee 013EP is due when filing a request for restoration of priority rights

To select the corresponding fee, go to the **Fee selection** sub-tab.

The total of fees is automatically calculated.

EPO			EPO On	line Filing - Po	CT-SFD - SFD-EN	I-fee-RC	)	_ [	×
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	) 🗗 🗗	]							?
PCT-SFD - Dra	ft - SFD-EI	N-fee-RO						Last saved on 2	21/09/2016
Application 1	Names	Documents	Fees	Annotations					
Fee selection	Payment d	etails							_
	Fee C/		Description		Amount EUR	Reductio	n Quantity	Amount to Pay EUR	
	003EP	Fee for an intern	ational sea	rch .	1 875.00	none	0	0.00	j
	013EP	Fee for re-establ restoration (EPC	lishment, re , PCT)	-instatement,	640.00		1	640.00	,
	019EP	Transmittal fee f	or an intern	ational	130.00		0	0.00	
	029EP	Certified copy of document	application	, priority	50.00		0	0.00	
	063EP	Late payment fe amount	e <mark>(</mark> R. 16bis. 2	2 PCT), maximum	609.50		0	0.00	,
Fee sched	lule for EUR v	alid as of:		01.07.2016			Total:	(1 Fees) € 640	.00
☐ Reduc	tion low incor	ne countries 90%			Г	No. of cer	tified copies:	0	
								<u></u> 0 <u>∧</u> 0	i 1

Figure 472: Selecting fees payable to the EPO acting as RO

## 11.5.3 Fees payable to the Receiving Office (RO)

In the Fee selection sub-tab, select the fees you wish to pay.

The quantity of each selected fee is set to 1 and the total amount payable is automatically calculated.

If you select the fee **029EP – Certified copy (application, priority document, patent certificate, other documents)**, the check box for **No. of certified copies** at the bottom right is automatically selected (and vice versa) and the corresponding entry field is activated.

Enter the number of certified copies you wish to pay for (mandatory).

The total amount payable is automatically calculated.

	Fee C/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
	003EP	Fee for an international search	1 875.00	none	0	0.00
	013EP	Fee for re-establishment, re-instatement, restoration (EPC, PCT)	640.00		0	0.00
	019EP	Transmittal fee for an international application	130.00		0	0.00
✓	029EP	Certified copy of application, priority document	50.00		2	100.00
	063EP	Late payment fee (R. 16bis. 2 PCT), maximum amount	609.50		0	0.00
Fee sched	dule for EUR \	valid as of: 01.07.2016		т	otal:	(1 Fees) € 100

Figure 473: Entering the number of certified copies of the application when filing with the EPO acting as RO

## **Applying reductions**

A 90% reduction for applicants from low-income countries can be applied to fees 222EP, 225EP, 316EP, 318EP and 319EP. Furthermore, the EPO offers a fee reduction for filing an application online, depending on the method of submission.

If appropriate, select the check box Reduction low income countries 90%.

The reduction is applied to the fees you selected.

If you wish to get the reduction for online filing, select one of these fees:

- 316EP PCT Web form filing reduction
- 318EP PCT- PDF reduction
- 319EP PCT- XML reduction

You can only select one of the fees.

The quantity of the selected fee is set to **-1**, i.e. the amount becomes negative and is subtracted from the total amount payable. If you only select one of the fees **316EP**, **318EP** or **319EP**, the total amount will be negative, which is correct.

□         063EP         Late payment fee (R. 16bis.2 PCT), maximum         609.50         0           ■         222EP         PCT charge per sheet in excess of 30         14.00         90%         0           ■         225EP         International filing fee         1219.00         90%         1         12	0.00 0.00 121.90
✓         222EP         PCT charge per sheet in excess of 30         14.00         90%         0           ✓         225EP         International filing fee         1 219.00         90%         1         12           ✓         215EP         DOT         Wide form files and writes         0 0 00         00%         1         12	0.00 121.90
Image: 225EP International filing fee         1 219.00         90%         1         12           Image: 215EP International filing fee         0 200         00%         1         12	121.90
Z 216ED DCT Web form filing reduction 02.00 00% 1	
	-9.20
318EP PCT - PDF reduction 183.00 90% 0	0.00
319EP PCT - XML reduction 275.00 90% 0	0.00

Figure 474: Selecting fee reductions applicable when filing with the EPO acting as RO

## 11.5.4 Fees payable to the International Searching Authority (ISA)

In the Fee selection tab, select the fees you wish to pay.

The quantity of each selected fee is set to **1** and the total amount payable is automatically calculated.

If you select the fee **003EP – Fee for an international search**, the check box for **Tick here if you wish to pay fees for lack of unity of invention** at the bottom left is automatically selected (and vice versa) and the field **No. of independent inventions** below is activated.

Enter the number of independent inventions (mandatory).

The total amount payable is automatically calculated.

	Fee C/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<ul><li>✓</li></ul>	003EP	Fee for an international search	1 875.00	none	3	5 625.0
	062EP	Protest fee	875.00		0	0.0
	066EP	Fee for late furnishing of sequence listings (R. 13ter.1, 13ter.2 PCT)	230.00		0	0.0
Fee sched	lule for EUR v	alid as of: 01.07.2016		Tot	aŀ	(1 Fees) € 5 625.00

Figure 475: Entering the number of independent inventions to calculate the fee for an international search when filing with the EPO acting as ISA

## **Applying reductions**

A 75% reduction for applicants from low income countries can be applied to fee 003EP.

If appropriate, select the check box **Reduction low income countries 75%**.

The reduction is applied to the fee and the total amount payable is automatically calculated.

	Fee C/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
$\checkmark$	003EP	Fee for an international search	1 875.00	75%	3	1 406.2
	062EP	Protest fee	875.00		0	0.0
$\checkmark$	066EP	Fee for late furnishing of sequence listings (R. 13ter.1, 13ter.2 PCT)	230.00		1	230.00
	tala far til tur	-1				

Figure 476: Applying the reduction for low-income countries when filing with the EPO acting as ISA

## 11.5.5 Fees payable to the International Preliminary Examining Authority (IPEA)

In the Fee selection tab, select the fees you wish to pay.

The quantity of each selected fee is set to 1 and the total amount payable is automatically calculated.

The quantity for fee 021EP – Fee for preliminary examination of int. application cannot be edited.

If you need to pay additional preliminary examination fees, select the check box for **Tick here if you** wish to pay fees for lack of unity of invention at the bottom left.

The fee **021eEP – Additional preliminary examination fee** is automatically selected and the **field No. of independent inventions** is activated.



Enter the number of independent inventions (mandatory).

The total amount payable is automatically calculated.

	Fee C/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
~	021eEP	Additional preliminary examination fee	1 930.00		3	5 790.0
$\checkmark$	021EP	Fee for preliminary examination of int. application	1 930.00	none	1	1 930.0
	062EP	Protest fee	875.00		0	0.0
	064EP	Late payment fee (R.58bis.2 PCT)	0.00	none	0	0.0
	066EP	Fee for late furnishing of sequence listings (R. 13ter.1, 13ter.2 PCT)	230.00		0	0.0
	224EP	Handling fee	183.00	none	0	0.0
ee scheo Reduo Reduo	lule for EUR v ction low incor ction low incor	alid as of: 01.07.2016 ne countries 75% ne countries 90%		Tot	al:	(2 Fees) € 7 720.0

Figure 477: Entering the quantity for additional preliminary examination when filing with the EPO acting as IPEA

#### **Applying reductions**

The reduction for applicants from low-income countries can be applied to fee **021EP** (75% reduction) and fee **224EP** (90% reduction).

Select the check boxes as appropriate:

- Reduction low income countries 75%
- Reduction low income countries 90%

The reduction is applied to the selected fee(s) and the total amount payable is automatically calculated.

						1
	Fee C/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EL
	021eEP	Additional preliminary examination fee	1 930.00		0	
	021EP	Fee for preliminary examination of int. application	1 930.00	75%	1	48
	062EP	Protest fee	875.00		0	
	064EP	Late payment fee (R.58bis.2 PCT)	0.00	none	0	
	066EP	Fee for late furnishing of sequence listings (R. 13ter.1, 13ter.2 PCT)	230.00		0	
	224EP	Handling fee	183.00	90%	1	1
Fee scheo Redu	dule for EUR v ction low incor ction low incor	valid as of: 01.07.2016 me countries 75% me countries 90%		Tot	al:	(2 Fees)€ 500

Figure 478: Applying reductions for low-income countries when filing with the EPO acting as IPEA

## 11.5.6 Fees payable to the Supplementary International Searching Authority (SISA)

If the EPO is acting as SISA, the only fee applicable is **069EP – Review fee for a supplementary international search**.

In the Fee selection tab, select fee 069EP if appropriate.

The quantity of the fee is set to **1** and the total amount payable is automatically calculated.

There is no reduction for fees.

<u> </u>	Fee C/		Description	Amount EUR	Reduction	Quantity	Amount to Pay E
	069EP	Review fee for search	a supplementary international	875.00		1	8
Fee sche	dule for EUR v	alid as of:	01.07.2016		Tot	al:	(1 Fees) € 87

Figure 479: Fees applicable when filing with the EPO acting as SISA

## 11.6 PCT-SFD – Annotations

In the Annotations tab you can enter notes to be transmitted to the EPO.

## Creating notes for the EPO

Click the Add button and select New Note.



Enter the relevant information in the **Note** field.

EPO Online Filing - PCT-SFD - PCT-SFD sample									
File Edit View Tools Windows Help									
PCT-SFD - Draft - PCT-SFD sample	Last saved on 30.01.20	14							
Application Names 🕃 Documents Fees	Annotations								
Annotations for EPO									
	Created on: 30 January 2014 [15]								
New Note									
Note:	Note that the change of address of the applicant will come into effect on 1. March 2014								
	Ψ								
1									
	<u> </u>	1							

Figure 480: Adding a new note for the EPO

To add notes that are not intended for the EPO, use the **Internal notes** (p. 42) function on the form's toolbar.

## 11.7 Signing an application with Form PCT-SFD

Once you have entered all the mandatory information, you can prepare your applications for signature and proceed to sign it and send it to the EPO. For more information, see sections Signing applications (p. 88) and Sending applications (p. 102).

## **Entering signatories**

When signing a PCT-SFD application, you are required to provide the names of the signatories manually. Unlike in other EP forms, this information is not automatically copied from the **Names** tab because no data is entered in the PCT-SFD form when filing with the EPO.

The Sign Application window allows you to add all the required signatories.

To sign as or for the applicant, click **<other>** under the heading **Sender** to the left.

- Enter the applicant name.
- If you are signing as an employee, also enter your name into the **Employee name** field.

To sign as or for the representative, click <other> under the heading Representatives to the left.

- If applicable, enter the **Association**.
- Enter the representative's name.

Select the type of signature.

Complete the data as required.

To apply the signature, click **Sign**.

Add more signatories if necessary and finalise the signing process by applying an enhanced electronic signature with a smart card and PIN.

Sig	n Application			×
	Select an entry from the list, choose t	he type of signature and er	nter the corresponding details.	
	Sender	Sign as/for represen	tative:	
	Representatives	Association:	IP Partners	
	✓ /David Kilburn/ (Alpha	Representative Name:	Jennifer Hancock	
		Type of signature:		
		<ul> <li>Smart Card</li> </ul>		
		C Soft Certificate		
		C Alphabetical		
		Smart card details:		
			Futer DIN Codes XXXXXXX	
			Enter PIN Lode:	
		Place of Signing:	Cambridge	
		r lace or orgining.		
	4		Sigr	- JE
	Save settings as default (Can be	changed in preferences)	Close	e
	< III > Save settings as default (Can be	Place of Signing: changed in preferences)	Enter PIN Code: Decements Cambridge Sign Close	e e

Figure 481: Adding signatories and signing the form

# 12. PCT-DEMAND (PCT/IPEA/401)

Form PCT/IPEA/401 is used for filing demands for international preliminary examination according to Chapter II of the Patent Cooperation Treaty (PCT). For more information, see the WIPO website at **IP Services > PCT System > Legal Texts > Treaty >** Article **31** (http://www.wipo.int/pct/en/texts/articles/a31.htm).

(i) This document focuses on the EPO acting as the International Preliminary Examining Authority (IPEA).

## Data input in Form PCT-DEMAND

Form PCT-DEMAND is organised into six tabs. It is recommended that you enter the data in the tab sequence given, i.e. you should start with the **Demand** tab. Certain options and conditions in the **Documents** tab, for instance, are determined by the selections you make in the **Examination Basis** tab.

Tab	What you can do
Demand	Select the IPEA, enter details of the PCT application to which this
	demand for international preliminary examination belongs.
Names	Enter details on applicant(s), enter details on agent(s) or supply an
	address for correspondence.
<b>Examination Basis</b>	Specify the basis for the international preliminary examination and
	select the language for the purposes of the examination.
Documents	Attach examination documents or other documents.
Fees	Review fees and enter the mode of payment.
Annotations	Supply additional information for the EPO.

## Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. You must either manually fill out this field or select one of the options provided. If mandatory fields are not completed, the corresponding tab will show a red validation icon. Consult the validation messages for more information.

Demand 🚫 Names 🛇 Examination Basis 🤇	Documents	Fees	Annotations				
Demand under Article 31 of the Patent Cooperation Treaty (PCT)							
	<u> </u>						
Filing Office/IPEA:							

Figure 482: "Filing Office/IPEA" is a mandatory field in the "Demand" tab and is marked with a red triangle

## **Elements in Form PCT-DEMAND**

Menu Bar Toolbar Locat	on Indicator Bar	Naviga	tion Bar					
EPO	EPO Online Filing - I	PCT-DEMAND	- PCT-Dem-sample	- 🗆 🗙				
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				3				
PCT-DEMAND - Draft - PCT-Dem-	sample			Last saved on 26/05/2014				
Demand 🛇 Names 🛇 Examination	Basis 🛇 Documents	Fees Annot	tations					
Demand under Article 31 of the Patent Cooperation Treaty (PCT)								
Filing Office/IPEA:				<b>_</b>				
International Application Number:	PCT//_							
International Filing Date:	dd.mm.yyyy	15						
(Earliest) Priority date:	dd.mm.yyyy	15						
Title of the Invention:								
				<u>⊗</u> 6 <u>∧</u> 1 (3) 0				
	,	Deta	ils Area	Status Bar				

Details Area

Figure 483: Form PCT-DEMAND – Overview

Element	Description
Menu Bar	Provides all options needed to edit, save, import and export drafts, set the
	display and change the status, as well as other tools.
Toolbar	Provides shortcuts to the most frequently used tasks and tools.
Location	Shows the selected procedure, the current status and the user reference for
Indicator Bar	the open draft.
Navigation Bar	Displays tabs corresponding to the sections of the form. These tabs can
	contain sub-tabs, which are a sub-division of the main tab sections within the
	form.
Details Area	Displays data entry fields appropriate to the selected tab.
Status Bar	Displays information about the current activity. Shows the total number of
	validation messages for the open draft.

## 12.1 PCT-DEMAND – Demand

The **Demand** tab is where you select the filing office and enter basic information about the international application for which international preliminary examination is requested.

Select the EPO as the IPEA, either by entering the two-letter code **EP** into the first field or by selecting **European Patent Office** from the drop-down list.

This information is mandatory.

Enter the international application number of the PCT application.

This information is mandatory.

Enter the international filing date of the PCT application.

This information is mandatory.

- Clicking on the calendar icon on the right of the date boxes will open a calendar from which you
  can select the date.
- If the year of filing is different from the year in the PCT application number, a yellow validation icon is displayed. You can file your application to the EPO nevertheless, but please ensure that the data you enter is correct.

If a priority has been claimed for the PCT application, enter the **earliest priority date** (optional).

Enter the **title of the invention** exactly as specified in the PCT application (usually in block capitals).

This information is mandatory.

Once you have entered all the mandatory information, the red validation symbol will disappear from the **Demand** tab in the navigation bar. However, a yellow validation icon is displayed if you do not supply the (earliest) priority date.

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Demand Na	ames 📎	Examination	Basis 🚫	Documents	Fees 🛈	Annotations			
Demand u	Demand under Article 31 of the Patent Cooperation Treaty (PCT)								
Filing Office/I	IPEA:			EP Eur	opean Pate	nt Office (EPO)		•	
International	Applicatio	on Number:		PCT/EP2014/5	500456				
International	Filing Dat	te:		4 March 2014		15			
(Earliest) Pric	ority date:			1 February 20	)14	15			
Title of the Ir	ivention:			CARD READE	R				
								<u></u> 2	▲ 0 🕄 1

Figure 484: Entering details on the PCT application for which international preliminary examination is requested

## 12.2 PCT-DEMAND – Names

The **Names** tab is where you enter details of the applicant(s), an agent (representative) or an address for correspondence. Details of at least one applicant are required.

## Adding names

In the Names tab, click the Add button.

Select a role.



Figure 485: Options for adding names in Form PCT-DEMAND

Enter the appropriate information or copy a name from the Address Book.

## Removing names from the form

Select the name to be removed on the left-hand side of the form.

Click the **Delete** button.

≍

## 12.2.1 Applicant

At least one applicant is required for filing. If you add two or more applicants, you can appoint one of them to act as the common representative. Any correspondence intended for the applicants will then be sent to the address of that applicant.

In the Names tab, click the Add button.



Select Applicant, Natural or Applicant, Legal.

Enter the name and address information for the applicant or copy the data from the Address Book.

@

If you provide an e-mail address, select the appropriate check box to authorise the IPEA to use that e-mail address.

The two options are mutually exclusive.

I At present, however, the EPO does not send any official communications by e-mail.

If required, add more applicants by the repeating the above procedure.

It is recommended that you name either a representative (agent) or a common representative. The yellow validation icon in the **Names** tab informs you about the corresponding validation message.

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Demand Names 🛆 Examination Basis 🛇 Documents Fees ③ Annotations								
Applicant	Organisation name: Nano Enterprise Ltc State of Residence: GB United K	I. Registration No.:						
Agent Address for Correspondence	State of Nationality: GB United K	ngdom	o common representative					
	Country or territory: GB United K	ngdom 💽 Telephone:	+44 20 7123 4567					
	Att, c/o:	Fax:	+44 20 7123 4568					
	Address: 123 City Street	e-mail:	info@nano-enterprise.co.					
	City:	The IPEA is authorised notifications issued in r preliminary examination	to use this e-mail address to send respect of this international n:					
	GB County: Greater London	Exclusively in elect will be sent)	ronic form (no paper notifications					
	Postal code: W1A 2BC	As advanced copie	s followed by paper notification					
			s concerce of paper nonnearonn					

Figure 486: Details of legal applicant

#### Appointing a common representative

Once you have added two or more applicants, the option to select a common representative is enabled.

Select the applicant to be appointed as the common representative.

Select the check box This applicant is also common representative (applicant, legal) or This person is also common representative (applicant, natural).

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Demand Names (i) Exami			Examination	ination Basis 🛇		Documents		Annotation	s		
Applicant Mano Enterprise Ltd. Kennecott, James			d. St	Organisation name: Nano Enterprise Ltd. State of Residence: GB United Kingdom 🔽 State of Nationality: GB United Kingdom 🔽					Registration No.:		
			51	State of Nationality:  GB			Junited Ki	ngaom 💌			

Figure 487: Selecting one of the applicants as the common representative

Once you select the check box for the selected applicant, it is disabled for the other applicants.

Note that the **Representative** and **Correspondence address** options have disappeared from the list. This means that you cannot add an agent or an address for correspondence if you have already appointed a common representative.

EPO Online Filing - PCT-DEMAND - PCT-Dem-sample – 🗆 🗙										
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Demand Names (3) Exami	nination Basis 📎 Documents Fees 🕢 Annotations									
Applicant, Natural Applicant, Legal	Last name: Kennecott First name: James State of Residence: GB United Kingdom State of Nationality: GB United Kingdom This person is also common re	presentative								

Figure 488: The common representative option is disabled for the second applicant

## 12.2.2 Agent

You can add only one agent. Where an agent is appointed, any correspondence intended for the applicant will be sent to the address indicated for that agent.

In the Names tab, click the Add button.

## Select Representative, Natural Person or Representative, Legal Entity.

Enter the name and address information for the representative or copy the data from the Address Book.

Note that the **Representative** and **Correspondence address** options are not available in the list once you have added the first representative (agent).

Representative, Natural Person       y or       GB       United Kingdom       Telephone:       +44 1223 351689         Kilburn, David       Mty s/b:       Fax:       +44 1223 351690         Address:       Cambridge Science Park 100 Red Lion Square       Fax:       +44 1223 351690         City:       Cambridge Science Park 100 Red Lion Square       e-mail:       kilburn@ip-partners.co.uk         GB County:       Cambridgeshire       The IPEA is authorised to use this international preliminary examination:       Fax:	Applicant, Natural Applicant, Legal	ame: Kilburn ame: David	Registration No.:	
Postal code: CB2 1AB De serio As advanced copies followed by paper notification	Representative, Natural Person     Kilburn, David     Kilburn, David     Addre     City:     GB Cc     Posta	y or GB United Kin by: c: cambridge Science 100 Red Lion Squar Cambridge cambridge cambridge cambridgeshire l code: CB2 1AB	ıgdom ▼ Telephone: Fax: Park e mail: The IPEA is authoris notifications issued ir preliminary examinat ▼ □ Exclusively in eler be sent) □ As advanced cop	+44 1223 351689 +44 1223 351690 kilburn@ip-partners.co.uk ed to use this e-mail address to send n respect of this international ion: ctronic form (no paper notifications will ies followed by paper notification

Figure 489: Details of representative (agent)
## Details relating to the agent's authorisation

The lower part of the screen allows you to specify the relationship between applicant and agent (representative) for the purpose of this application. The option **The agent above ... has been appointed earlier ...** is selected by default.

To specify a new appointment, select the appropriate option.

Related documents, e.g. a separate power of attorney, can be attached from the Documents tab.

The agent above:
$\rm C$ has been appointed earlier and represents the applicant(s) also for the international preliminary examination.
s hereby appointed and any earlier appointment of (an) agent(s)/common representative is hereby revoked.
C is vereby appointed, specifically for the IPEA, in addition to the agent(s) appointed earlier.

Figure 490: Details relating to the authorisation of the agent

## 12.2.3 Address for correspondence

Where no agent or common representative is appointed, any correspondence will be sent to the address of the applicant (if only one person is named as applicant) or of the applicant who is considered to be common representative (if there are two or more persons named as applicants).

If the applicant wishes correspondence to be sent to a different address in such a case, that correspondence address may be indicated in the form.

In the Names tab, click the Add button.

#### Select Correspondence address (natural person) or Correspondence address (legal entity).

Enter the details for that address or copy the data from the Address Book.

Once you indicate an address for correspondence, you cannot appoint one of the applicants as the common representative. However, if you add a representative (agent) after indicating an address for correspondence, the address for correspondence is removed from the form.

Applicant Parker & Partners Perston, Anthony Agent Address for Correspondence	Name:	Parker & Partners		
Parker & Partners	Country or territory: Att, c/o: Address : City: GB County: Postal code:	GB United Kingdom    P.O. Box 2908  Dover  Kent  CT16 3PJ	Telephone: Fax: e-mail: The IPEA is authorised notifications issued in r preliminary examination Exclusively in electr will be sent) As advanced copies	+44 1304 76002-0 +44 1304 76002-40 info@parker.co.uk to use this e-mail address to send espect of this international 12 ronic form (no paper notifications s followed by paper notification

Figure 491: Address for correspondence specified for a legal entity

# 12.3 PCT-DEMAND – Examination Basis

The **Examination Basis** tab is where you enter details about the basis for the requested examination.

#### Basis for the international preliminary examination

The examination can be carried out on the basis of the application as originally filed, or as amended under Article 19 and/or Article 34 PCT.

If you wish the examination to be based on the application as originally filed, do not change the options under **statement concerning amendments**.

The default options are **as originally filed** (the description, the claims, the drawings) and **not applicable** (the sequence listing).

(i) Where only **as originally filed** is indicated, international preliminary examination will start on the basis of the international application as originally filed or, where a copy of amendments to the claims under Article 19 and/or amendments of the international application under Article 34 are received by the International Preliminary Examining Authority before it has begun to draw up a written opinion or the international preliminary examination report, as so amended.

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Demand Nar	nes 🙂	Examinat	tion Basis 🛇	Documents	Fees 🕑	Annotations					
Basis for the	e inter	national p	preliminary e	xamination							
Statement conce	erning an	nendments:*	\$								
The applicant wi	shes the	internationa	al preliminary exa	mination to start (	on the basis	s of:					
the des	cription:		as originally filed	1						-	
the seq	uence lis	ting:	not applicable							•	
the clair	the daims: as originally filed										
the dra	wings:		as originally filed	1						<b>-</b>	
* Where only 'as where a copy of International Pro amended.	s original famendn eliminary	ly filed' is ind nents to the Examining A	licated, internatio claims under Artio authority before in	nal preliminary ex cle 19 and/or ame t has begun to dr	xamination v endments of aw up a wri	will start on the bas f the international a itten opinion or the	sis of the international app application under Article 34 international preliminary e	lication as 1 are recei xaminatio	originally ved by th n report,	filed or, e as so	
Any amendm	nent to th	ne claims und	der Article 19 sho	uld be considered	l as reverse	ed.					
Start the examin	nation:		Ordinary start							•	
Language fo	or the	purposes	of the exam	ination							-
Language.			C	- t	1	C1 - J				·	
Which is the lang	juage		C of a translati	nternational appl on furnished for t	ication was the nurnose	riied, •s of the internation	al search.				
			C of publication	of the internatio	nal applicat	ion,	nan aranal GED				
			C of the transla	ation (to be) furni	ished for th	e purposes of the e	examination,				
Logged in as Admir	nistrator							0	1	0	) 3

Figure 492: The international preliminary examination will be based on the international application as originally filed

If you wish the examination to be based on the application as amended, select the appropriate option from each of the drop-down lists:

## the description:

- as originally filed (default)
- as amended under Article 34

## the sequence listing:

- as originally filed
- as amended under Article 34 (in the form of an Annex C/ST.26 text file)
- as amended under Article 34 (in the form of an image file)
- not applicable (default)

If you select the image file option, a red validation icon will appear in the **Examination Basis** tab, because the EPO only accepts amendments to the sequence listing in Annex C/ST.26 text file format.

#### the claims:

as + Article 19 and Article 34

## the drawings:

- as originally filed (default)
- as amended under Article 34
- not applicable

If you want any amendments to the claims made under Article 19 to be reversed, select **Any amendment to the claims under Article 19 should be considered as reversed**.

This check box is disabled if you selected the **as amended under Article 19** option for the claims.

## Select when to start the examination:

- Ordinary start (default)
- Postpone the start, Rule 69.1(b), 69.1(d)
- Start earlier, before time limit under Rule 54bis1(a)

PCT-DEMA	PCT-DEMAND - Draft - Sample PCT-DEMAND Last saved on 18/06/2019											
Demand 🚫	Names 📎	Examina	tion Basis 🛇	Documents 🛆	Fees	Annotations						
Basis to	r the inter	national	preliminary (	examination								
Statement	concerning an	mendments:	•									
The applica	nt wishes the	internation	al preliminary exa	amination to start o	on the basis	s of:						
the	e description:		as amended un	nder Article 34					•			
the	e sequence lis	ting:	as amended un	nder Article 34 (in t	he form of	an Annex C/ST.25 t	text file)		•			
the	e claims:		as amended ur	der Article 34					-			
the	e drawings:		as amended un	nder Article 34					•			
* Where or where a co Internation amended.	* Where only 'as originally filed' is indicated, international preliminary examination will start on the basis of the international application as originally filed or, where a copy of amendments to the claims under Article 19 and/or amendments of the international application under Article 34 are received by the International Preliminary Examining Authority before it has begun to draw up a written opinion or the international preliminary examination report, as so amended.											
🔽 Any am	Any amendment to the claims under Article 19 should be considered as reversed.											
Start the ex	xamination:		Start at the ex	piration of the time	limit under	Rule 54bis1(a)			-			

Figure 493: The examination will be based on the international application as amended and amendments to the claims under Article 19 should be reversed

# Language for the purposes of the examination

Select the language (mandatory).

You can either type the two-letter language code (**EN**, **DE** or **FR**) into the field to the left or select the language from the drop-down list to the right.

Select the appropriate option for which is the language...

- in which the international application was filed (default)
- of a translation furnished for the purposes of the international search
- of publication of the international application
- of the translation (to be) furnished for the purposes of the examination.

Language for the purpose	es of the examination	
Language:	EN English	•
Which is the language	<ul> <li>in which the international application was filed.</li> <li>C of a translation furnished for the purposes of the international search.</li> <li>C of publication of the international application.</li> </ul>	
	C of the translation (to be) furnished for the purposes of the examination.	
Logged in as Administrator		🚫 0 🛕 1 🚺 3

Figure 494: Selecting the language and indicating where this language is used

## 12.4 PCT-DEMAND – Documents

The **Documents** tab of Form PCT-DEMAND is where you attach documents to be used by the IPEA in the international preliminary examination. If you specify amended parts of the application in the **Examination Basis** tab, a yellow validation icon will appear in the **Documents** tab, indicating that you should also attach the relevant documents.

To attach a document, you first need to select the suitable document category. The following document categories are available:

- Examination documents (p. 386), e.g. amendments
- Accompanying items (p. 388) as PDF files, e.g. power of attorney document

A sequence listing (see "Attaching sequence listings" p. 390) is also attached under the **Accompanying items** category.

 Pre-conversion archive (p. 391), i.e. a ZIP file containing the original documents which are not converted into PDF

#### 12.4.1 Examination documents

The examination documents category offers the following document types:

- Translation of international application
- Amendments under Article 34
- Copy (or, where required, translation) of amendments under Article 19
- Copy (or, where applicable, translation) of any statement under Article 19 (Rule 62.1(ii))
- Copy of the letter accompanying the amendments under Article 19 (Rules 46.5(b) and 53.9)
- Letter accompanying the amendments under Article 34 (Rule 66.8)
- Other document

To attach a document, click the Add button in the Documents tab.

#### Select Examination documents.

EPO				EPO (	Online Filing - F	PCT-DEN	MAND - PCT-D	em-sample		-		x
File Edit	View	Tools	Windows	Help								
	$\checkmark$		P									?
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Demand	Name	es 🛈	Examination	n Basis	Documents 📎	Fees 🛈	Annotations					
<b></b>	\$		Origir	nal File Na	ame;							
Accor	nation o npanyir nversioi	ng items ng archive		file con	tains:							
			Docu	ment Typ	e;							~
			Detai	ils;					-			

Figure 495: Adding examination documents

In the Open window, navigate to the storage location of your file.

Select the required file and click Open.



Figure 496: Selecting the file to be attached

The file is attached to the application under its original file name.

Select the appropriate document type, e.g. Amendments under Article 34.

Demand	Names 🕄	Exan	nination Basis	Documents 📎	Fees 🕄	Annotations	
Examinati	on documen	ts n.pdf	Original File Na Number of pag <b>This file cont</b> Document Type	me: es: 4 ains: :: Translati Amendm Copy (or Copy (or Copy (or Copy (or Copy (or Cop	on of interr ents under ; where re ; where ap the letter a ccompanyin cument	national application Article 34 quired, translation plicable, translation ccompanying the a g the amendments	of amendments under Article 19 1) of any statement under Article 19 (Rulle 62.1(iii)) mendments under Article 19 (Rules 46.5(b) and 53.9) under Article 34 (Rule 66.8)

Figure 497: Selecting the document type for the attached file

The file is renamed to the Online Filing default file name, e.g. AMDA34-1.pdf.

The original file name is also displayed at the top of the screen, along with the number of pages.

Demand	Names 🕄	Exam	ination Basis	Docume	ents	Fees	Annot	ations		
Examination	DA34-1.pdf endmentsrti	ide 34	Original File Na Number of pag This file cont Document Type	me: es: ains: e: A	Clai 4 Amendm	ims Modifica	ition.pdf Article 34		2	-
				Γ						

Figure 498: Amendments under Article 34 attached

# Attaching other documents

You can specify your own document type if there is no suitable attachment option.

Click the Add button and select Examination documents.

Navigate to the PDF file and attach it.

#### Select Other document from the Document Type list.

#### The file is renamed OTHERDOC-1.pdf.

To describe this document enter your text in the Details field, e.g. Explanatory Note.

Demand Names 🕄 Exa	mination Basis	Documents	Fees	Annotations	
Examination documents AMDA34-1,pdf • Amendmentsrticle 34	Original File Name Number of pages: This file contain	:: Exp : 4	lanatory No	ote.pdf	
OTHERDOC-1.pdf     Explanatory Note	Document Type:	Other do	ocument		-
	Details:	Explanat	ory Note		

Figure 499: Other examination document attached

# 12.4.2 Accompanying items

The accompanying items category offers the following document types:

- General power of attorney
- Copy of general power of attorney
- Separate power of attorney
- Sequence listing (PDF) (see "Attaching sequence listings" p. 390)
- Fee payment receipt (OEPM only)
- Other document

To attach a document, click the **Add** button in the **Documents** tab.

Select Accompanying items from the list.

In the **Open** window, navigate to the storage location of your file.

Select the required file and click **Open**.

The file is attached to the application under its original file name.

#### Select the appropriate document type, e.g. Separate power of attorney.

Demand Names (3) E	amination Basis	Documents 🛇	Fees 🕄	Annotations	
Examination documents	Original File Nam	ne: s: 2			
AMDA34-1.pdf     Amendmentsrticle 3	This file conta	iins:			
THERDOC-1.pdf	Document Type	:			<b>▼</b>
Accompanying items Accompanying items Authorisation Kilburn.p	df	General Copy of Separate Sequenc Fee payr Other do	power of a general po <u>power of</u> e listing (PL ment receip ocument	ttorney wer of attorney attorney DF) it (OEPM only)	[ <del>}</del>

Figure 500: Selecting the document type for the accompanying item

The file is renamed to the Online Filing default file name, e.g. SPOAT.pdf.

The original file name is also displayed at the top of the screen, along with the number of pages.

Demand	Names 🕄	Exam	ination Basis	Documents	Fees 🗵	Annotatio	ns	
Examinatio	on documen	its	Original File Na Number of pag	me: A es: 2	uthorisation	Kilburn.pdf		
AME • Ame	0A34-1.pdf endmentsrt	ide 34	This file cont	ains:				
ОТН • Ехр	ERDOC-1.pdf	f	Document Type	e: Separa	ate power of	attorney		•
Accompan	ying items AT.pdf arate pfat	torney						

Figure 501: Separate power of attorney document attached under accompanying items

#### Attaching other documents

You can specify your own document type if there is no suitable attachment option.

Click the Add button and then select Accompanying items from the list.

Navigate to the PDF file and attach it.

#### Select Other document from the Document Type list.

The file is renamed **OTHE-1.pdf**.

To describe this document enter your text in the Details field, e.g. Assignment document.

Demand	Names 🛈	Exam	nination Basis	Documents	Fees 🕄	Annotations				
Examination documents			Original File Na Number of pag	Original File Name: Assignment documents.pdf Number of pages: 1						
• Ame	DA34-1.pdf endmentsrt	icle 34	This file cont	This file contains:						
Такарана и праводание и правод • Ехр	• Explanatory Note			e: Other d	ocument				•	
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то 🔁	IE-1.pdf	conne y								
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Figure 502: Other accompanying item attached and specified

# 12.4.3 Attaching sequence listings

(i) Sequence listings must always be submitted as computer-readable files in accordance with WIPO Standard ST.25 or ST.26 as applicable, with a maximum of one file per submission (either one ST.25 file or one ST.26 file). If you attach a sequence listing in a PDF when filing with the EPO acting as the IPEA, a red validation icon is displayed in the **Documents** tab.

## Attaching a sequence listing in WIPO ST25 format

Click the **Add** button.

## Select Accompanying items.

In the **Open** window, navigate to the storage location of your file.

Change the option in the **files of type** drop-down list from **Portable Document Format** (default) to **Sequence Listing in ST25** (file type .app, .seq, .txt or .zip).

1				
Network				
	<			
	File name:		•	Open
	Files of type:	Portable Document Format (*.pdf)	-	Cance
		Portable Document Format (* pdf)		
		Sequence listing in ST25 (*.app;*.seq;*.txt,*.zip)		
		Sequence listing in ST26 (* xml, * zip)		

Figure 503: Selecting the file type for attaching a sequence listing file

## Select the required file and click **Open**.

🕫 Open					$\times$
Look in	n: Sequences	E.	• 🗧 🖆 📰 •		
Quick access	Name sequence sequence	listings.app listings.seq listings.txt	Date modified 6/4/2020 5:36 PM 6/4/2020 5:36 PM 6/4/2020 5:36 PM	Type APP File SEQ File Text Document	Size
Desktop Libraries This PC					
	<				>
	File name:	sequence_listings.seq			)pen
	Files of type:	Sequence listing in ST25 (*.a	app;*.seq;*.txt,*.zip)	✓	ancel

Figure 504: Attaching a sequence listing in WIPO ST25 text format

The file is attached to the application under its original file name.

From the Document Type list select Document concerning sequence listing in ST.25 format.

Depending on the original file type, the file will be renamed **SEQLTXT.app**, **SEQLTXT.seq** or **SEQLTXT.txt**.

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Examination do AMDA34- * Amendme Accompanying SEQLTXT. * Documen	ccumen 1.pdf entsrbi items .seq t c25 f	ts de 34 format	Original File Na Number of pag <b>This file cont</b> Document Type	ime: sei ies: tains: e: Docume	quence_listir	igs.seq ig sequence listing in ST.25 format	

Figure 505: Sequence listing attached (file type .seq)

## Attaching a sequence listing in WIPO ST26 text format

Click the **Add** button.

#### Select Accompanying items.

In the **Open** window, navigate to the storage location of the file.

Change the option in the **files of type** drop down list from **Portable Document Format** (default) to Sequence listing in ST26 (file type .xml or .zip).

Network				
	<			3
	File name:		•	Open
	Files of type:	Portable Document Format (*.pdf)	•	Cancel
		Portable Document Format (*.pdf) Sequence listing in ST25 (*.app;*.seq:*.txt,*.zip)		
		Sequence listing in ST26 (* xml,*.zip)	and the second second	

Figure 506: Selecting the file type for attaching a sequence listing file

Select the required file and click **Open**.

🕫 Open					×		
Look in:	Sequences	•	← 🗈 💣 📰▼				
Quick access	Name ST_26_long ST_26_short	_amended DTD version.xml	Date modified 1/19/2021 10:27 PM 1/19/2021 10:27 PM	Type XML Document XML Document	Size		
Desktop	🔮 st26-annex	-iii-sequence-listing-specimen2	3/5/2021 7:19 AM	XML Document			
Libraries							
This PC							
Network	<				>		
	File <u>n</u> ame:	st26-annex-iii-sequence-listing-speci	ecimen2.xml				
	Files of type:	Sequence listing in ST26 (*.xml,*.zip	)	✓ Ca	ncel		

Figure 507: Attaching a sequence listing in WIPO ST26 text format

The file is attached to the application under its original file name.

From the Document Type list select Document concerning sequence listing in ST.26 format.

Depending on the original file type, the file will be renamed SEQLXML26.xml or SEQLZIP26.zip.

Demand 🛆	Names 🛆	Exam	nination Basis	Documents	Fees 🛈	Annotations	
Examination Examination Ame Accompany SEQ	DA documen DA34-1.pdf endmentsrti vina items LXML26.xml	<b>ts</b> de 34	Original File Na Number of pag <b>This file cont</b> Document Type	me: st2 es: <b>:ains:</b> e: Docume	16-annex-iii-	sequence-listing-sp ng sequence listing	in ST.26 format
* Doc	ument (26)	rormat					

Figure 508: Sequence listing attached (file type .xml)

(i) Note that, when selecting to submit a ST.26 sequence listing as ZIP, the provided ZIP file must contain a single ST.26-compliant XML file. If the attached ZIP package contains none or multiple XML files, it will be rejected and a validation error message will be displayed.

## 12.4.4 Pre-conversion archive

The **pre-conversion archive** option allows you to add your original documents, before converting them into PDF files, as a compressed ZIP archive file. This may be helpful if you wish to provide the EPO with your original documents in colour. The documents contained in the ZIP file will not be publicly available nor will they be an integral part of the visible internal procedural file, but they can be accessed for reference, e.g. in the event of quality issues.

To attach the ZIP archive, click the Add button.

## Select Preconversion archive.

Navigate to your ZIP file and select it.

Click **Open** to attach the file.

The file is renamed **OLF-ARCHIVE.zip**.

The names of the original files from the attached pre-conversion archive are listed on the right.



Figure 509: ZIP archive containing the unconverted documents is attached

#### 12.4.5 Viewing attached documents

You can check your application and the attached documents in the print preview.

Click the **Preview** button in the toolbar.

P

The application (pct-demand.pdf) is displayed in the PDF Viewer.

Section VI of the form contains the attached documents with their original file names.

The left pane in the PDF Viewer lists all the files with their system names.

Click a file name to the left to display the corresponding document in the PDF Viewer.

EPO		PDF Vi	ewer		-	×
AMDA34-1.pdf (AMDA34-1.pdf) demand.xml (demand.xml) fees.pdf (fees.pdf) fee-sheet.xml	PCT-Der PCT DE <u>PRELIN</u> VI	Tr-EN-01 EMAND FOR INTERNATIONAL INNARY EXAMINATION (CHAPT Crediti	4/5 ER II) Number of sheets	Electronic file(s) attached	Received V/N (For IPEA	
(ree-sheet.xml) OLF-ARCHIVE.zip (OLF-ARCHIVE.zip) olf-specific-data.xml (olf-specific-data.xml) OTHE-1.pdf (OTHE-1.pdf	VI-2 (1)	The demand is accompanied by the following elements, in the language referred to under item IV-2 for the purposes of international preliminary examination: Amendments under Art. 34	4	AMDA34-1	use only)	
OTHERDOC-1.pdf	VI-6	Other : Explanator Note	4	OTHERDOC-1.pdf		
(OTHERDOC-1.pdf) package-data.xml (package-data.xml) pct-demand.pdf		Accompanying Items The demand is also accompanied by the following item(s):	Details	Electronic file(s) attached	Received Y/N (For IPEA use onl∳)	
(pct-demand.pdf)	VI-7	Fee calculation sheet	1	fees.pdf		
pkgheader.xml (pkgheader.xml)	VI-9	Original separate power of attorne	-	SPOAT.pdf		
SEQLTXT.seq	VI-11	Sequence listing in electronic form	File type: pdf			
(SEQLTXT.seq)	VI-14	Other : Assignment document	1	OTHE-1.pdf		
(SPOAT.pdf)	VI-15	Pre-conversion archive	-	OLF-ARCHIVE-zip		
validation-log.xml (validation-log.xml) ValidLog.PDF (ValidLog.PDF)	VII-1 VII-1-1 <u>VII-1-2</u> <u>VIII</u>	Signature of applicant, agent or common representative Name (First, Last) Capacity Note(s) to IPEA/EP				
						Cancel

Figure 510: Previewing the PCT-DEMAND form in the PDF Viewer

# 12.5 PCT-DEMAND – Fee Payment

In the Fees tab you can review the fees associated with your demand and indicate how you wish to pay them. All fees must be paid in euros.

The fees displayed in the Fees tab reflect the fee schedules located in File Manager > Tools > Fee Management.

Make use of the Live Update function in Online Filing to ensure that your fee schedule is always up to date. You will find the most recent fee schedule on the EPO website at Applying for a patent > Online services, following the link Interactive schedule of fees

(http://www.epoline.org/portal/portal/default/epoline.Scheduleoffees).

# 12.5.1 Fee selection

The **Fee selection** sub-tab displays the fees payable to the EPO for the preliminary examination of the international application.

The fees payable for filing a PCT-DEMAND form are the **examination fee** and the **handling fee**. The check boxes for these fees are automatically selected and cannot be cleared. No further action is necessary.

<b>10</b>			EPO	Online Filing -	PCT-D	EMAND - PCT-E	em-EN-0	1	-	
File Edit	t View	/ Tools	Windows Help							
	•		9							C
PCT-DEM	CT-DEMAND - Draft - PCT-Dem-EN-01 Last saved on 26/05/2014									
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Γ										
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	✓	224EP	Handling fee			163.00	)	1		163.00
1										
Fe	ee sched	ule for EUR v	alid as of:	01.01.2014				Total:	(2 Fees) € 2 0	93.00
									<b>○ ○</b>	0

Figure 511: Fees payable for PCT-DEMAND are automatically selected

# 12.5.2 Payment details

In the **Payment details** sub-tab you can specify the mode of payment and provide any details required by the EPO acting as the IPEA.

## Mode of payment

Select the appropriate option from the Mode of Payment list.

## Automatic debit

If you select this option the check boxes in the **Fee selection** sub-tab are automatically deactivated and the total amount of the fees is shown as EUR 0.00. The EPO will calculate the amount of the fees payable using the information you provided in your application and will debit this amount direct from your account. With this option you cannot select the fees yourself in the form.

## Bank transfer

The EPO accepts EUR payments to its account with the Commerzbank AG in Munich, Germany. The IBAN and BIC codes of the EPO's bank account are supplied automatically when you select **DE, Commerzbank AG, München** from the drop-down list.

## Credit card

All payments by credit card must be made via the dedicated EPO fee payment service on the EPO website at **Applying for a patent > Online services > Paying fees online > Pay by credit card** (https://epo.org/fee-payment-service/en/login).

Choosing this mode of payment in the **Payment details** sub-tab is considered merely an indication of how you intend to pay.

## Debit from deposit account

If you choose this mode of payment, the relevant fees will be debited directly from your EPO deposit account. If you issue a debit order during normal working hours (08.00-18.00 hrs), you can usually view it under **Pending orders** within about 30 minutes. The actual deduction from your account will appear 5 to 6 days later.

# Not specified

If you do not intend to pay fees with this submission, you can indicate Not specified.

For more information on EPO deposit accounts and the automatic debiting procedure, please refer to the Official Journal:

- Arrangements for deposit accounts (ADA) Supplementary publication 3/2015, p. 8-16 (http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p8.html)
- Notice from the European Patent Office dated 12 February 2015 concerning revision of the Arrangements for deposit accounts (ADA) and their annexes Supplementary publication 3/2015, p. 2-7

(http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p2.html)

 Decision of the President of the European Patent Office dated 29 September 2016 revising points 5.3 and 7 of the Arrangements for deposit accounts (ADA) OJ EPO 2016, A83 (http://www.epo.org/law-practice/legal-texts/official-journal/2016/10/a83.html)

# Automatic debit

If you are filing with the EPO, you can also use the **automatic debit** procedure. An EPO deposit account is required and orders for automatic debiting must be signed by an authorised person.

Enter the number of your deposit account.

EPO deposit account numbers are made up of eight digits, starting with 28.

Enter the name of the account holder.

Enter the name of the person authorised for signature.

Enter the alphabetical signature of that person by writing the name between two slashes, e.g. **/Laura Huffington**/.

#### Debit from deposit account

An EPO deposit account is required to use the option **Debit from deposit account**. Debit orders must be signed by an authorised person.

Enter the number of your deposit account.

EPO deposit account numbers are made up of eight digits, starting with 28.

Enter the name of the deposit account holder.

If applicable, select the check box Authorisation to charge any deficiency or credit any overpayment in the total fees.

Enter the name of the person authorised for signature.

Enter the alphabetical signature of that person by writing the name between two slashes, e.g. **/Laura Huffington**/.

nand Na	ames 🕄	Examinati	on Basis	Documents	Fees	Annotations	
ee selection	n Payme	nt details					
Mode of Payment:			Debit from	n deposit account		•	Currency: EUR
The Europ	pean Pater	nt Office is he	ereby autho	rised to <mark>d</mark> ebit from	the deposit	t account with the I	EPO any fees and costs indicated.
Deposit a	account nu	umber:	28123456	i			
Account	holder:		Nano Ente	erprise			
🔽 Auth	orisation t	o charge any	deficiency of	or credit any overp	ayment in t	the total fees	
Name:			Laura Huf	fington	-		
Signature	e:		Laura Hut	ffington/		e.g. /Jane Smith/	

Figure 512: Entering payment data for debit from deposit account

## **Further options**

The Payment details sub-tab offers some additional options at the bottom of the screen.

If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, select the corresponding check box.

This information applies to all selected modes of payment. If you selected **automatic debit order** or **debit from deposit account**, you are only required to enter an account number here if that number is different from the account number used for payment.

Enter the EPO deposit account number and supply the account holder's name.

# 12.5.3 Viewing the fee sheet

The data relevant for fee payment and the fee amounts to be paid are summarised in a separate fee sheet. You can preview this document in the PDF Viewer.

Click the **Preview** button in the toolbar.

P

The application (pct-demand.pdf) is displayed in the PDF Viewer.

To display the fee sheet, click **fees.pdf** in the list to the left.

EPO	PDF Viewer			-			
AMDA34-1.pdf (AMDA34-1.pdf) demand.xml (demand xml) fees.pdf (fees.pdf) fee-sheet.xml (fee-sheet.xml)	Europäisches Patentamt European Patent Office Office européen des brevets		80298 M Germany Tel. +49( Fax +49( PO. Box /	unich 7 0)89 2399-0 0)89 4465 5818	^		
OLF-ARCHIVE.zip (OLF-ARCHIVE.zip) olf-specific-data.xml (olf-specific-data.xml)			NL-2280 Netherlar Tel. +31 Fax +31	HV Rijswijk nds 703404500 703404600			
OTHE-1.pdf (OTHE-1.pdf) OTHERDOC-1.pdf (OTHERDOC-1.pdf) package data yml			10958 Be Germany Tel. +49( Fax +49(	erlin 7 0)30 25901-0 0)30 840			
(package-data.xml) pct-demand.pdf	PCT Demand - Fee She	et			,		
pkgheader.xml	1. Applicant's or agent's file reference	PCT-Dem-EN-01	l 				
: (pkgheader.xml)	2. International application number	PCT/EP2014/50	0456		-		
SEQLTXT.seq	3. Date	29-06-2014					
(SEQLIXI.seq)	4. Method of payment	Deposit Account			-		
(SPOAT pdf)	Deposit account number:	28123456					
validation-log.xml	Deposit account holder:	Nano Enterprise			-		
(validation-log.xml) ValidLog.pdf (ValidLog.pdf)	the European Patent Office is hereby authorised to debit from the above indicated deposit account the total fees:	Yes					
	Authorisation to charge any deficiency or credit any overpayment in the total fees:	Yes			-		
	Name: Laura Humington						
	5 Fees	readra mannigtor					
	Fee type	Currency	Fee	Total			
	Fee for preliminary examination of int_application	EUR	1930.00	1930.00			
	Handling fee	EUR	163.00	163.00			
	Total	FUR		2093.00			
	lotar	con	1	2003.00			
				Ca	incel		

Figure 513: Checking the fee sheet in the PDF Viewer

# 12.6 PCT-DEMAND – Annotations

In the Annotations tab you can enter notes to be transmitted to the EPO.

# Creating notes for the EPO

Click the Add button and select New Note.



Enter the relevant information in the **Note** field.

EPO			EPO C	Online Filing -	PCT-DEI	MAND - PCT-D	em-EN-(	)1			-		x
File Edit View	w Tools	Windo	ows Help										
	) 🖓	2										(	?
PCT-DEMAND	CT-DEMAND - Draft - PCT-Dem-EN-01 Last saved on 26/05/2014												
Demand Na	mes 🕄	Examin	ation Basis	Documents	Fees	Annotations							
Annotations	for EPC	)				~		26 May 2014			न		
<b>-</b>						C.	eateu on:	20 May 2014		-	12		
New Note			Note:		1y annotatio	n to the EPO acting	as IPEA.				~		
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							_		0	0	Δ	0 3	2

Figure 514: Writing a note to the EPO acting as IPEA

To add notes that are not intended for the EPO, use the **Internal notes** (p. 42) function on the form's toolbar.

# 13. Server Manager

Server Manager allows Online Filing users to administer and manage the Online Filing server and databases in their office environment.

Server Manager is automatically installed together with the Online Filing software when **Server installation** or **Stand alone installation** is selected during setup. Server Manager cannot be run on a machine with the thin client only.

## **Starting Server Manager**

You need Windows Administrator privileges to start Server Manager.

Right-click the Online Filing 5.0 Server Manager icon.

In Windows 7, select Run as administrator from the shortcut menu.



Figure 515: Starting Server Manager via the Start menu in Windows 7

In Windows 8/8.1, select Run as administrator from the shortcut menu.



Figure 516: Starting Server Manager via the Apps screen in Windows 8.1

In Windows 10, select **More > Run as administrator** from the shortcut menu.

E			
📙 EPO Online Filing			
Conline Filing 5.0 Server Manag	ge −C⊐ Pin to Start		
Conline Filing Client 5.0	Marra		
Online Filing Client 5.0 setting	s	/	-⊐ Pin to taskbar
X I Excel 2016	Uninstall		Run as administrator
← Back			Open file location

Figure 517: Starting Server Manager via the Start menu > All apps in Windows 10

If you are not the Windows Administrator, you must now enter his or her Windows account name and password.

Click Yes in the User Account Control window.

The Server Manager login window then appears.

#### Login to Server Manager

Server Manager can only be started in **production mode**. However, most of the functions are available for both the production database and the demo database.

Users who are members of the **Administrators** group can log on to Server Manager with their user name and password. A user with **Administrator** ID is entitled to add users to the **Administrators** group in Online Filing's User Administration (p. 66) window.

erver Manager	×
User name:	Administrator
Password:	******
	production mode
	C demo mode
	OK Cancel

Figure 518: Login to Server Manager

# 13.1 Server Manager overview

By default, Server Manager starts with the **Services** tab opened.

Server Manager's major features can be accessed via ten tabs. Every tab features a toolbar with buttons to use the functions currently available. You can also use the functions via the **Action** menu.

Tab	What you can do
Services	Control services: monitor, stop, start, activate and deactivate the Online Filing
	services.
Backup	Backup, restore and clear the complete database. Configure automatic backup.
Export	Export items from the database, e.g. applications or templates, and store them
	as ZIP files. Deleting items after export is optional.
Import	Import items into the database that have been previously exported, e.g.
	applications or templates, to use them in File Manager.
Users	Monitor and manage users logged in to Online Filing.
Unlock	Disconnect users from items in the database, so that the respective record
	(application) in the database becomes unlocked and, hence, editable for other
	users.
History	List of user activities in File Manager and the other services, with IP addresses,
	Windows account names and OLF user names. Export server log file.
Live Update	Select the countries for which Live Update should search for new or updated
Countries	national plug-ins.
Settings	Define default file locations for backup, import and export.
	Define settings for Live Update and perform a live update.
Data Migration	Transfer user administration settings from one server to another.
	Move the Online Filing database to another hard disk.

EPO	Server Ma	anager											x
Fil	e Actior	Help											_
9	ervices	Backup	Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data Migration	1		?
	> 🗙	<b>S</b> S	)										
	Plug	jin name		Exe fi	le name			Service name	Status	Corba port	SOAP port	Connections	-
	EPO OL Manage	F File r	C:\Program F	iles\EPO_OI	LF5\fm\bin'	OLFfm.exe	EPO OL	F FM Server (FireBird)	Running	11000	21000	1	
	EPO OL	F EP1038	C:\Program Files\EPO_0	LF5\ep1038	\bin\ep103	8.exe	EPO OL	F EP1038 Server (FireBird)	Running	11103	21103	0	
	EPO OL	FEP122K	C:\Program Files\EPO_01	LF5\ep1200	\bin\ep120	0.exe	EPO OL	F EP122K Server (FireBird)	Runnin <u>c</u>	11106	21106	0	
ŀ	EPO OL	F EP2000	C:\Program Files\EPO_01	LF5\ep1001	\bin\ep100	1.exe	EPO OL	FEP2000 Server (FireBird)	Running	11105	21105	0	
•	EPO OL	F EPOPPO	C:\Program Files\EPO_01	LF5\ep_opp	o\bin\ep_o	ppo.exe	EPO OL	F EPOPPO Server (FireBird)	Running	11108	21108	2	
	EPO OL	F PCT	C:\Program F	iles\EP0_01	LF5\pct\pc	ti.exe	EPO OL	FIBR101 Server (FireBird)	Running	11301		0	
	EPO OL	F UK177E	C:\Program F	iles\EP0_0I	LF5\uk177'	bin\uk177.exe	EPO OL	F UK177E Server (FireBird)	Running	12901	22901	0	
	EPO OL	F UKNPUK	C:\Program F	iles\EPO_OI	LF5\NP1\b	in\NP1.exe	EPO OL	F UKNPUK Server (FireBird)	Runnin <u>c</u>	12902	22902	0	

Figure 519: Server-Manager – Overview

# 13.2 Services management

The Services tab allows for monitoring and managing the Online Filing services.

The list displays all installed services by **Plugin name**, **Exe file name** (path to the program file), **Service name**, **Status**, **Corba port**, **SOAP port** and **Connections** (number of active user sessions).

In a typical installation of the EPO OLF Server the following services are installed and activated:

- EPO OLF File Manager
- EPO OLF EP1038 Form EP(1038E)
- EPO OLF EP122K Form Euro-PCT(1200E2K)
- EPO OLF EP2000 Form EP(1001E2K)
- EPO OLF EPOPPO Form EP(OPPO)
- EPO OLF PCT Form PCT/RO/101
- EPO OLF PCT-DEMAND Form PCT-DEMAND
- EPO OLF PCT-SFD Form PCT-SFD
- (i) When setting up Online Filing you can select which national plug-ins should be activated. All plug-ins available for Online Filing are installed as a matter of course, but only the ones you select are activated as a service and started. Check the Online Filing installation guide for more details.

The Services tab indicates the status of the various services in the following manner:

- Services that are activated are indicated in black.
- Services that are not activated are indicated in grey.
- Services that are running are indicated by a small green triangle.
- Services that are not running (including deactivated services) are indicated by a small square.

In the example below, the standard EPO OLF plug-ins and the EPO OLF File Manager are all running (black font with triangle), with the exception of the **EPO OLF EP1038** service which has been stopped (black font with square). The services for the national plug-ins are not active.

•	∾ S	erver Ma	nager												x
	File	Action	Help												
	Se	ervices	Backup	Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data Mi	igration			?
Γ															
		> 💥	🍼 🕐												
		Plu	igin name			Exe file r	iame		Service nam	ie	Status	Corba	S0A	Connections	s ▲
	Þ	EPO OLF	File Manager	C:\Progra	am Files\EPI	0_OLF5\fm	\bin\OLFfm.e	exe	EPO OLF FM Server (Fin	eBird)	Running	11000	21000	0	
	Ŀ	EPO OLF	EP1038	C:\Progra	am Files\EPI	)_OLF5\ep	1038\bin\ep	1038.exe	EPO OLF EP1038 Serve	er (FireBird)	Stopped	11103	21103	0	
		EPO OLF	EP122K	C:\Progra	am Files\EPI	0_OLF5\ep	1200\bin\ep	1200.exe	EPO OLF EP122K Serve	er (FireBird)	Running	11106	21106	0	
		EPO OLF	EP2000	C:\Progra	am Files\EPI	)_OLF5\ep	1001\bin\ep	1001.exe	EPO OLF EP2000 Serve	er (FireBird)	Running	11105	21105	0	
		EPO OLF	EPOPPO	C:\Progra	am Files\EPI	0_OLF5\ep	_oppo\bin\e	p_oppo.exe	EPO OLF EPOPPO Serv	/er (FireBird)	Running	11108	21108	0	
		EPO OLF	PCT	C:\Progra	am Files\EPI	0_OLF5\pc	t\pcti.exe		EPO OLF IBR101 Serve	r (FireBird)	Running	11301		0	
	-	EPO OLF	UK177E	C:\Progra	am Files\EPI	D_OLF5\uk	177\bin\uk1	77.exe	EPO OLF UK177E Serve	er (FireBird)	Stopped	12901	22901	0	
	•	EPO OLF	UKNPUK	C:\Progra	am Files\EPI	D_OLF5\NR	P1\bin\NP1.e	exe	EPO OLF UKNPUK Serv	/er (FireBird)	Stopped	12902	22902	0	
		EPO OLF	ES3101	C:\Progra	am Files\EPI	0_OLF5\es	3101e\bin\e	s3101e.exe	EPO OLF ES3101 Serve	er (FireBird)	Stopped	12701	22701	0	
	-	EPO OLF	ESEPVL	C:\Progra Files\EP(	am )_OLF5\est	Pvalidation	\bin\esEPva	lidation.exe	EPO OLF ESEPVL Serve	er (FireBird)	Stopped	12703	22703	0	
		EPO OLF	ESTSUB	C:\Progra	am Files\EPI	)_OLF5\es	TSubs\bin\e	sTSubs.exe	EPO OLF ESTSUB Serv	er (FireBird)	Stopped	12705	22705	0	
		EPO OLF	FRDPT4	C:\Progra	am Files\EPI	)_OLF5\PI	ug_FR\bin\P	lug_FR.exe	EPO OLF FRDPT4 Serv	er (FireBird)	Stopped	11504	21504	0	
		EPO OLF	FRSUBS	C:\Progra	am Files\EPI	0_OLF5\e3	fr\bin\e3fr.ex	e	EPO OLF FRSUBS Serv	er (FireBird)	Stopped	1503	21503	0	

Figure 520: Services running and stopped

Button	Function	Description
	Start as a service	Start an online service that has been stopped.
*	Stop	Stop an online service that is running.
<b>S</b>	Refresh	Retrieve current status of online services from servers.
	Activate service	Activate service for a national plug-in (available for non-active services)
8	Deactivate service	Deactivate service for a national plug-in (available for stopped services, apart from EPO OLF standard services)

#### Running a service

Select the service you wish to start – the current status is Stopped.

#### Click the **Start as a service** button.



The service will be started and made available to users.

#### Stopping a service

Select the service you wish to stop – the currents status is **Running**.

Click the **Stop** button.



The service will be stopped. Active users will be disconnected.

Stopping/starting the File Manager service (**EPO OLF File Manager**) will stop/start all other OLF services at the same time.

#### Activating a service

Select the service for the national plug-in you want to activate – the current status is deactivated (grey font) and **Stopped**.

Click the Activate Service button.



Server Mar	nager												
File Action Help													
Services	Backup	Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data Mi	igration			
Plu	gin name	51		Exe file r	ame		Service nam	e	Status	Corba	S0A	Connections	
EPO OLF	ESTSUB A	ctivate Serv	vice es\EPC	_OLF5\es	TSubs\bin\e	sTSubs.exe	EPO OLF ESTSUB Serv	er (FireBird)	Stopped	12705	22705	0	
<ul> <li>EPO OLF</li> </ul>	FRDPT4	C:\Progra	m Files\EPC	_OLF5\Pl	.ug_FR\bin\P	lug_FR.exe	EPO OLF FRDPT4 Servi	er (FireBird)	Stopped	11504	21504	0	
500 OL 5	FRSUBS	C:\Progra	m Files\EPC	) OLF5\e3	fr\bin\e3fr.ex	(e	EPO OLE EBSUBS Serv	er (FireBird)	Stonned	11503	21503	0	
EPU ULF		o. ir rogra					EI 0 0EI 1110000 0011	or (r nobira)	- tehher			-	

Figure 521: Activate service

The selected service is activated but not automatically started.

Click the Start as service button.

EPO Server Manager											- 0 <b>X</b>
File Action He	р										
Services Ba	skup Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data M	gration		(1
	8										
Start as sen	ce l		Exe file n	name		Service nan	ne	Status	Corba	S0A	Connections 🔺
= Eroourean	C:\Progr	am Files\EP0	)_OLF5\es	TSubs\bin\e	sTSubs.exe	EPO OLF ESTSUB Serv	er (FireBird)	Stopped	12705	22705	0
EPO OLF FRD	PT4 C:\Progr	am Files\EP0	)_OLF5\Pk	ug_FR\bin\P	lug_FR.exe	EPO OLF FRDPT4 Serv	er (FireBird)	Stopped	11504	21504	0
EPO OLF FRSI	JBS C:\Progr	am Files\EP0	_OLF5\e3	fr\bin\e3fr.ex	(e	EPO OLF FRSUBS Serv	er (FireBird)	Stopped	11503	21503	0
EPO OLF FIHA	KE C:\Progr	am Files\EP0	)_OLF5\FIR	Plugin\bin\Fl	Plugin.exe	EPO OLF FIHAKE Serve	er (FireBird)	Stopped	11701	21701	0

Figure 522: Service was activated and can be started

A national plug-in activated in this way is not available in Online Filing's File Manager until all users have shut down and restarted this tool.

#### **Deactivating a service**

If a service is deactivated, the applications created with this national procedure are no longer available in File Manager. However, the data is not removed from the database. The applications reappear as soon as the service is reactivated. To deactivate a service that is running you must first stop it.

Select the service you want to deactivate - its current status is Running.

Click the Stop button.

≍

 $\otimes$ 

The service is stopped and the **Deactivate Service** button reappears.

Click the **Deactivate Service** button.

EPO S	Server Mar	hager											- 0 -	x
File	ile Action Help													
Se	ervices	Backup	Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data Mi	igration			?
	Plu	gin name 🔓	eactivate S	envice	Exe file r	name		Service nam	e	Status	Corba	S0A	Connections	
	EPO OLF	ESTSUB	C: VProgra	am Files\EPC	)_OLF5\es	TSubs\bin\e	sTSubs.exe	EPO OLF ESTSUB Serv	er (FireBird)	Stopped	12705	22705	0	-
•	EPO OLF	FRDPT4	C:\Progra	am Files\EP0	_OLF5\Pi	ug_FR\bin\P	lug_FR.exe	EPO OLF FRDPT4 Serv	er (FireBird)	Stopped	11504	21504	0	
	EPO OLF	FRSUBS	C:\Progra	am Files\EP0	)_OLF5\e3	fr\bin\e3fr.ex	e	EPO OLF FRSUBS Serv	er (FireBird)	Stopped	11503	21503	0	
	EPO OLF	FIHAKE	C:\Progra	am Files\EP0	_OLF5\FI	Plugin\bin\Fl	Plugin.exe	EPO OLF FIHAKE Serve	r (FireBird)	Stopped	11701	21701	0	

Figure 523: Deactivating a service that was stopped

You cannot deactivate the EPO OLF standard services, that is, the EPO OLF File Manager, the four EPO OLF plug-ins and the EPO PCT plug-in.

# 13.3 Database management (Backup)

The Server Manager's **Backup** functionalities allow you to back up, restore and clear the complete Online Filing database.

The **Backup** tab displays a list of all existing backup files stored in your default Backup directory. The file location can be specified in **Settings**. The type of database, file name and file date are indicated in the backup list.

Button	Function	Description
	Backup	Back up the complete Online Filing database to a compressed archive
		file.
	Restore	Restore the database from a selected backup file.
*	Delete file	Delete a backup file.
<b>1</b>	Empty	Empty the Online Filing database. Specific data from the production
	database	database can be copied to the new database.
<b>S</b>	Refresh	Display current list of all backup files from the default backup directory.

🕫 Server Ma	Server Manager												
File Action	n Help												
Services	Backup	Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data Migration	(?			
	T Frable a temptic backup procedure												
Enable a	Enable automatic backup procedure												
Back	Backup every days at Starting date: dd.mm.yyyy IS												
Туре						File name				File date			
Demo	C:\Program Fi	les\EPO_Ol	_F5\tools\sm	ianager\dai	ta\\2011101	4_144052.d	emo.bk			14.10.2011 13:41:02			
Production	C:\Program Fi	les\EPO_OI	_F5\tools\sm	ianager\dai	ta\\2011102	6_150623.р	od.bk			26.10.2011 14:06:40			
Production	C:\Program Fi	les\EPO_Ol	_F5\tools\sm	ianager\dai	ta\\2011110	2_100438.pi	od.bk			02.11.2011 10:04:54			
Production	C:\Program Fi	les\EPO_OI	_F5\tools\sm	ianager\dai	ta\\2011110	9_115932.pi	od.bk			09.11.2011 11:59:50			
Production	Production C:\Program Files\EPD_0LF5\tools\smanager\data\20111112_134756.prod.bk 12:11.2011 13:48:26												

Figure 524: List of database backups in the backup directory

## 13.3.1 Backing up database

Use backup regularly to save all users' data in a physical location different from the hard drive used by the server. Backup is available for both demo and production mode.

Applications that have been moved to the **Trash** folder in File Manager will not be included in the database backup. They are therefore not available for restore at a later date.

Click the **Backup** button to start the backup process.



In the Backup logging window, select the database you want to back up: Production or Demo.

Click Start.



Figure 525: Selecting database for backup

The database will be backed up and stored in the default backup directory. The **Backup complete** message will inform you when the process is finished.

The backup file list is automatically refreshed.

💀 Server M	Server Manager												
File Action	n Help												
Services	Backup	Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data Migration	(?			
Image: Image													
Enable automatic backup procedure       Backup every       days at													
Туре						File name				File date			
Demo	C:\Program Fi	les\EPO_OI	LF5\tools\sm	anager\da	ta\\2011101	4_144052.d	emo.bk			14.10.2011 13:41:02			
Demo	C:\Program Fi	les\EPO_OI	LF5\tools\sm	anager\da	ta\\2011111	2_185621.d	emo.bk			12.11.2011 18:56:32			
Production	C:\Program Fi	les\EPO_Ol	LF5\tools\sm	anager\da	ta\\2011102	6_150623.pt	rod.bk			26.10.2011 14:06:40			
Production	C:\Program Fi	les\EPO_OI	LF5\tools\sm	anager\da	ta\\2011110	2_100438.pi	rod.bk			02.11.2011 10:04:54			
Production	C:\Program Fi	les\EPO_OI	LF5\tools\sm	anager\da	ta\\2011110	9_115932.pi	rod.bk			09.11.2011 11:59:50			
Production	C:\Program Fi	les\EPO_OI	LF5\tools\sm	anager\da	ta\\2011111	2_134756.pi	rod.bk			12.11.2011 13:48:26			
Production	C:\Program Fi	les\EPO_OI	LF5\tools\sm	anager\da	ta\\2011111	2_185713.pt	rod.bk			12.11.2011 18:57:24			

Figure 526: Backup complete, new file added to list

## **Deleting backup files**

Select the backup file(s) in the list that you want to delete.

To select multiple files, select the first backup file you want to delete with a click and all other individual files with CTRL+click.

or

Select the first file and then press SHIFT+click the last one to select all of them.

## Click the **Delete** button.

🕫 Server Ma	nager												
File Action	Help												
Services	Backup	Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data Migration	(?			
<b>I</b> I Enable au Backu	Image: Section procedure       Delete file       Backup every       7       days at       03:00       Staring date:       1 Jun 2011												
Туре						File nam	e			File date △			
Production	E:\EP0_	data\Backu	p\\2011121	5_101142.	orod.bk					15.12.2011 11:12:16			
Production	E:\EPO_	data\Backu	p\\2012022	7_104425.	orod.bk					27.02.2012 11:45:06			
Production	E:\EP0_	data\Backu	p\\2012032	3_110335.	orod.bk					23.03.2012 12:04:00			
Production	E:\EPO_	data\Backu	p\\2012032	3_114347.;	orod.bk					23.03.2012 12:43:58			
Production	E:\EPO_	data\Backu	p\\2012040	2_161713.	orod.bk					02.04.2012 16:17:40			
Production	E:\EPO_	data\Backu	p\\2012040	3_125916.	orod.bk					03.04.2012 12:59:46			
Production	E:\EPO_	data\Backu	p\\2012040	3_184013.p	orod.bk					03.04.2012 18:41:02			
Production	E:\EPO_	data\Backu	p\\2012040	4_111559.	orod.bk					04.04.2012 11:16:24			
Production	E:\EPO_	data\Backu	p\\2012041	7_121752.	orod.bk					17.04.2012 12:18:18			

Figure 527: Deleting multiple backup files

You will be prompted for confirmation if you select multiple files to be deleted.

(	Question	
	Are you sure you would like to delete all the selected items?	
	Yes No	

Figure 528: Confirming to delete multiple backup files

#### Enabling automatic backup procedure

You can enable the automatic backup procedure for the production database in an Online Filing server installation. Automatic backup runs database backups at regular intervals without user interaction.

Select the check box Enable automatic backup procedure.



Figure 529: Default settings for automatic backup

Enter the number of days between the backups, e.g. 1 for daily backup or 7 for weekly backup.

(i) Keep in mind that daily backups require considerable amounts of free disk space and that you should therefore delete old backup files regularly. It is recommended to set the backup directory path to a physical hard drive with adequate storage capacity; see Settings for file locations (p. 415).

Enter the time of day.

If the OLF server is down at this time, the automatic backup will start at a later time once the server is running.

#### Enter the Starting date.



Figure 530: Settings for the automatic backup procedure

The backup settings will take effect after restarting the File Manager service. Once you click away from the **Backup** tab or you close Server Manager, the following message is displayed as a reminder.

(	Warning
	The automatic back-up parameters will come into force after restarting the File Manager service.
	QK

Figure 531: Reminder to restart the File Manager service, thereby activating the automatic backup

## 13.3.2 Restoring database

(i) Attention: Restore overwrites the whole database and restores it to the state it was in when the backup file was generated. You will lose all applications created since the backup.

Click the backup file in the list from which you want to restore your database.

Any backup of the production database can only be restored to the production database, and any backup of the demo database can only be restored to the demo database. There is only one option available at a time, that is to say it is not possible to restore a backup file of the production database to the demo database or vice versa.

Click the **Restore** button.



If users are connected to the system, you will be prompted to disconnect them first.

Infor	mation
Th	ere are users connected to the system. Please first disconnect all users.
	Ok

Figure 532: Warning message if there are active user connections

In the Restore logging window, click Start.

Restore logging		
	on database atabase	
	Start	Close

Figure 533: Restore logging window

The next window prompts you to confirm that the data in the database will be overwritten.

Click Yes.

Question	
All data in the PROD databa	se will be overwritten. Are you sure you want to overwrite?
	Yes Cancel

Figure 534: Warning before restore will overwrite data in the database

The database will be restored.

## 13.3.3 Creating a new empty database

Proceed as follows before you select Empty:

Use **Backup** to create a complete copy of your database for backup.

Terminate any active user sessions in the Users tab (see "User sessions" p. 411).

Emptying the database will create a new database and will delete all applications from the existing database. You can opt to transfer data like **users**, **groups**, **profiles**, **mappings**, **templates** and the **Address Book** as well as all applications that are not in Status **Sent** to the new database.

Click the **Empty** button to start.



Select which database is to be emptied.

Extended options are available for the production database only.

A complete new database will be created. Data which is currently stored in the selected database will be lost unless it is now explicitly marked for being taken over into the new database. Please select any of the following parts which should be taken over into the new database:
<ul> <li>Demo database</li> <li>Production database</li> <li>All users, groups, profiles and mappings</li> <li>Templates</li> </ul>
<ul> <li>Production database</li> <li>All users, groups, profiles and mappings</li> <li>Templates</li> </ul>
All users, groups, profiles and mappings
✓ Templates
1+ remplated
AddressBook
All applications in status Draft, Ready to sign and Ready to send
Ok Cancel

Figure 535: Empty database - selection of data to be transferred

Click OK to continue.

Click **Yes** in the **Question** window to confirm that you are sure you want to empty the selected database.

The new database is created. If applicable, the data previously selected is transferred from the old database to the new one.

# Exporting items

The **Export** tab shows all the items stored in the Online Filing database. All existing applications and templates, including the corresponding number of validation messages and attachments, are listed to the right.

The export functions in Server Manager apply to the production database only.

Button	Function	Description
	Export	Export selected items to the default export location. Applications will be saved
		as ZIP files containing XML and PDF documents.
<b>S</b>	Refresh	Update current status of applications.

Server M	anager													x
ile Actio	n Help													
Services	Backup	Export	Imp	ort Users	Unlock	History	Live Update Countries	Setting	s	De	ata Migration			
<b></b>														
Image: Start Date:       Image: Start Date:       End Date:       Image: Start Date:														
AII A	pplications		<ul> <li>Image: A start of the start of</li></ul>	Last sa⊽	Reference		Title	0	▲	٢	Туре	ġ	Status	-
🕞 Tem	plates			23.10.2011	Sample Oppo	EP Opp	osition procedure	0	0	0	EP(Oppo)	2	Draft	
🔚 Dra	fts			23.10.2011	Test Oppo	EP Opp	osition procedure	0	0	0	EP(Oppo)	2	Draft	
🔚 Rea	ady to sign			23.10.2011	Sample OPPO 3	3 ЕРОрр	osition procedure	0	0	0	EP(Oppo)	3	Draft	
🔚 Rea	dy to send			23.10.2011	Sample OPPO 1	I EP Opp	osition procedure	0	0	1	EP(Oppo)	2	Draft	
🔚 Sen	t			23.10.2011	Sample OPPO 4	1 EP Opp	osition procedure	0	0	0	EP(Oppo)	2	Draft	
				23.10.2011	Test 1038	Subseq	uently filed documents	1	0	0	EP(1038E)	1	Draft	
				23.10.2011	Sample 1038	Subseq	uently filed documents	0	0	0	EP(1038E)	0	Ready to sign	
				23.10.2011	Sample 1200	Entry in 2000)	to the European phase (EPC	0	3	3	EP(1200E2K)	0	Draft	
			:	23.10.2011	Test 1200	Entry in 2000)	to the European phase (EPC	0	1	3	EP(1200E2K)	9	Draft	
				23.10.2011	Sample 1001	Reques (EPC 20	t for grant of a European patent 100)	2	2	1	EP(1001E2K)	0	Draft	

Figure 536: All applications in the Export tab

## Filtering by date

You can restrict the applications to be displayed by enabling the filter by last saved date.

Select the Enable Filter check box.

This enables the **Start Date** and **End Date** fields. The default settings are the day before the current date in the **End Date** field and the day four weeks before the **End Date** in the **Start Date** field.

Modify the Start Date and End Date as required.

## Click Apply Filter.

🔽 Enable Filter						
Start Date:	1 Sep 2011	15	End Date:	30.09.2011	15	Apply Filter

Figure 537: Enabling filter by start date and end date

To disable the filter, clear the **Enable Filter** check box.

The filter will also be removed automatically when you close Server Manager.

# **Exporting selected items**

Each application will be stored as a separate ZIP file in the default **Export directory** specified in **Settings**.

Narrow down the list of displayed items by selecting a workflow folder from the list on the left and/or enabling a filter by date.

Click the check box next to an item to select it for export.

Click other check boxes to select more than one item.

or

Click the selection of all items. Click the icon again to cancel the selection of all items.

Click the **Export** button to start exporting files.



Server M	anager												l		
le Actio	n Help														
Services	Backup	Export	Imp	ort Users	Unlock	History	Live Update Cou	ntries	Settings		Data	a Migration			
<b>1</b> 🐼															
Delete i	tems from data	abase after		Enable Filter											
archivin	g			Start Date:	17 Okt 2011	15	End Date:	23 Okt	2011	3	5	Appl	y Filter		
AIIA	pplications		<ul> <li>Image: A second s</li></ul>	Last sa⊽	Reference	1	Title		0	Δ	١	Туре	ġ		Status
🕞 Tem	plates		$\overline{\mathbf{v}}$	23.10.2011	Sample Oppo	EP Oppos	ition procedure		0	0	0	EP(Oppo)	2	Draft	
E Drat	fts		•	23.10.2011	Test Oppo	EP Oppos	ition procedure		0	0	0	EP(Oppo)	2	Draft	
🗄 Rea	dy to sign		$\overline{\mathbf{v}}$	23.10.2011	Sample OPPO 3	EP Oppos	ition procedure		0	0	0	EP(Oppo)	3	Draft	
🔚 Rea	dy to send		$\overline{\mathbf{v}}$	23.10.2011	Sample OPPO 1	EP Oppos	ition procedure		0	0	1	EP(Oppo)	2	Draft	
🔚 Sen	t		$\overline{\mathbf{v}}$	23.10.2011	Sample OPPO 4	EP Oppos	ition procedure		0	0	0	EP(Oppo)	2	Draft	
				23.10.2011	Test 1038	Subseque	ntly filed documer	nts	1	0	0	EP(1038E)	1	Draft	
				23.10.2011	Sample 1200	Entry into 2000)	the European pha	ase (EPC	0	3	3	EP(1200E2K)	) ()	Draft	
				23.10.2011	Test 1200	Entry into 2000)	the European pha	ase (EPC	0	1	3	EP(1200E2K)	) 9	Draft	

Figure 538: Selecting applications from the draft folder after a filter has been applied

Each time you export an application, the **Export** function creates a new ZIP file and names it according to the application's user reference. If a ZIP file of the same name already exists in the export folder, e.g. **sample_oppo.zip**, the following ZIP files will be named **sample_oppo_001.zip**, **sample_oppo_002.zip** and so on. The same applies if two or more applications have the same user reference.

## Deleting items from database

You can opt to delete exported items from the database.

## Select the option Delete items from database after archiving.

Click the **Export** button.



(i) Attention: Do not click Cancel while the Export progress window is still visible. Doing this will delete the selected applications processed up to this point but will not export them.

The applications will be exported and permanently deleted from the database. If you need to retrieve them, use the **Import** functions in File Manager or Server Manager.

# 13.4 Importing items

The **Import** tab shows all the applications available in the default import folder; see Settings for file locations (p. 415). Server Manager reads the ZIP files that have been created during export by File Manager or Server Manager.

Like Export, Import works for the production database only.

Button	Function	Description
	Import	Import selected items from the default import location. ZIP files will be converted
		into database records including the original attachments.
	Refresh	Update current status of applications.
-		

## Selecting items for import

All items are selected by default.

Click one of the folders to the left to display applications grouped by workflow status or to select templates only.

Clear the check boxes for the items that should not be imported.

or

Reset the selection of all items by clicking the  $\checkmark$  icon in the list header and selecting individual items.

Click the **Import** button to start importing items.



🕫 Server M	anager									_ O X
File Action	n Help									
Services	Backup	Export	Import	Users	Unlock	Hist	tory Live Update Countri	es Settings	Data Migration	(?
All	Application	s		.	LastSaved	Δ.	Referen	ice	Туре	Ø
🕞 Те	mplates			19.10.	2011		Sample PCT		PCT/R0/101	0
🔡 Dr	afts		<b>I</b>	19.10.	2011		Test PCT		PCT/R0/101	0
🛛 🔚 Re	ady to sign		<b>V</b>	21.10.	2011		test PCT		PCT/R0/101	0
🛛 🔚 Re	ady to send	1		22.10.	2011		Test 1001		EP(1001E2K)	1
🔚 Se	nt			23.10.	2011		Test 1038		EP(1038E)	1
				23.10.	2011		Test Oppo		EP(Oppo)	2
				23.10.	2011		Test 1200		Euro-PCT(1200E2K)	9
				23.10.	2011		Sample 1200		Euro-PCT(1200E2K)	0
				23.10.	2011		Sample 1001		EP(1001E2K)	0
				23.10.	2011		1200 test 2		Euro-PCT(1200E2K)	0

Figure 539: Import selected items

Applications imported into the database always have **Draft** status, irrespective of their pre-export status. Only sent applications are imported in **Sent** status.

In File Manager, you will find all imported applications in the default import folder that you specified under **Settings** for Server Manager. You can edit these applications once again in File Manager and move them to the required status.

# 13.5 User sessions

The **Users** tab displays all users currently connected to the Online Filing server. In a stand-alone installation of Online Filing with a single user, the **Users** tab is empty.

Individual users can open multiple connections to the server: starting File Manager, opening applications and templates. All Online Filing plug-ins, e.g. **EPO OLF EP122K**, run as individual services to which users can connect when working in the specific Online Filing procedure.

Each individual connection is listed by **Plugin name** (service) and **User ID**. **User info** shows the path to the service's configuration file, the user's IP address, domain name and login name within the computer network as well as the internal Online Filing user name.

Button	Function	Description
	Get user log	Display log information for selected user session in the right-hand
		pane.
	Get full user	Display more detailed log information.
LUGUEP	log	
*	Terminate user	Disconnect user from server.
<b>S</b>	Refresh	Update current user session list.

Click the **Get user log** or the **Get full user log** button to see the log for the OLF service connected to the currently selected user session ID.

🍋 Server Ma	anager											x
File Action	i Help											_
Services	Backup	Export	Import	Users	Unlock	Histor	y Live	e Update Countries	Settings	Data Migration		?
P 📲 🗱 🛠 🤣												
Plugin r	name	Session ID		Useri	nfo		State	17-10-2011 14:22:5	52.612 L1 UIE	): 1 UID = 1 Logged	in	•
EPO OLF File	e Manager	1	1=C:\Program Files\EPO_O IP Address: 1 Windows dor login: Adminis	m ILF5\fm\con 192.168.178. main: JERON strator )	fig\OLFfm.co 27 4E\Susanne	nf (OLF	Active	- User Information: 1=C:\Program Files\EP0_0LF5\ep1038\config\ep1038.conf IP Address: 192.168.178.27 Windows domain: JER0ME\Susanne				
EPO OLF EP1038 1			1=C:\Program Files\EPQ_0LF5\ep1038\config\ep1038.conf IP Address: 192.168.178.27 Windows domain: JER0ME\Susanne (0LF login: Administrator )					17-10-2011 14:22:5 17-10-2011 14:22:5 17-10-2011 14:23:0 17-10-2011 14:37:5 17-10-2011 14:37:5	54.063 L1 UIE 54.079 L1 UIE 01.395 L1 UIE 24.356 L1 UIE 26.540 L1 UIE	): 1 User login - Adm ): 1 software-version ): 1 Could not found ): 1 Could not found ): 1 UID = 1Logged	inistrator, user name : FMMNGR5064, EP1 Cache variable "Save Cache variable "Save out	∆ C ⊮F ⊮F
EPO OLF EP1038 2		2	2=C:\Program Files\EPO_OLF5\ep1038\config\ep1038.conf IP Address: 192.188.178.27 Windows domain: JEROME\Susanne (OLF login: Addministrator )					18-10-2011 14:47:45:455 L1 UID: 1 UID = 1 Logged in User Information: 1=C:\Program Files\EPD_0LF5\ep1038\config\ep1038.conf IP Address: 192.168.178.27 \Vindows Compart, IEFDNE\Susanne				
EPO OLF PO	T	1	1=C:\Program	m Files\EPO_	_OLF5\pct\p	cti.ini	Active	18-10-2011 14:47: 18-10-2011 14:47:	50.734 L1 UIE 50.750 L1 UIE	): 1 User login - Adm ): 1 software-version	inistrator, user name : EMMNGB5064_EP1	A
EPO OLF PC	T	2	2=C:\Program	m Files\EPO_	_OLF5\pct\p	cti.ini	Active	18-10-2011 14:47:5 18-10-2011 15:01:4 18-10-2011 15:01:4	58.066 L1 UIE 42.471 L1 UIE 38.058 L1 UIE	): 1 Could not found ): 1 UID = 1Logged ): 1 UID = 1 Logged	Cache variable "Save out in	ēF

Figure 540: Users logged in to Online Filing services

# Terminating user sessions

Select the user session to be disconnected in the left-hand pane.

#### Click the Terminate user button.

 $\sim$ 

🕫 Server M	anager											X
File Actio	n Help											
Services	Backup	Export	Import	Users	Unlock	History	y Live	Update Countries	Settings	Data Migration		?
	* 3											
Plugin name     Session ID     User info     State       EP0 OLF File Man.     Terminate user     =C:\Program     Active       Files\EP0_OLF5\tm\config\OLFfm.conf     IP Address:     192.168.178.27       Windows domain: JER0ME\Susanne (OLF     User info     State							*					
EPO OLF EF		1 1 F I V	I=C:\Program Files\EPO_01 P Address: 1 Windows don ogin: Adminis	n LF5\ep1038 92.168.178. nain: JERON trator)	I\config\ep11 27 1E\Susanne	)38.conf (OLF	Active					
EPO OLF EF	P1038	2 2 F I N	2=C:\Program Files\EPO_01 P Address: 1 Windows don ogin: Adminis	) LF5\ep1038 92.168.178. nain: JERON trator )	l\config\ep11 27 1E\Susanne	)38.conf (OLF	Active					

Figure 541: Terminate user

The connection will be terminated. In File Manager or in the form, the user will receive the following message:



Figure 542: User info - connection to server lost

# 13.6 Unlocking forms

The **Unlock** tab displays a list of all database records locked by users. In a stand-alone installation of Online Filing with a single user, the **Unlock** tab is empty.

If a user logged on to File Manager and opened an application or template for processing, the corresponding record is locked in the database. If other users now try to open this specific application, they receive a message that this record is locked and a read-only copy of the application is opened.

Warning
The requested document/form is locked by another user . The form is opened read-only.
<u> </u>

Figure 543: Warning about a locked application/document

In the **Unlock** tab, you can unlock locked records to enable other users to continue working on the relevant application. The **Unlock** function is not applicable for the PCT forms and works only for the production database.

Button	Function	Description
G	Unlock	Unlock record and disconnect user from service.
<b>S</b>	Refresh	Update current locked record list.

The **Plugin name** (service for the selected plug-in), **Session ID** (internal user number), **Table** (table in the database) and **Record** (internal number of the record) are listed for each record. The **User info** column shows the IP address of the computer and the domain name of the network where the user logged on, the user's Windows logon name as well as his or her user name in Online Filing.

💀 Server Ma	anager									X
File Action	n Help									
Services	Backup	Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data Migration	?
6										
Unlock	n name	Session	ID	Table	Record			User info	5	
EPO OLF EF			FORMS			OpType=203 1=C:\Program IP Address: 1 Windows do	312 m Files\EPO_OLF5\ep1001 192.168.178.27 main: JEROME\Susanne (O	\config\ep10( LF login: Adm	01.conf inistrator )	
EPO OLF EF	2000	3	FORMS	5	21	OpType=203 3=C:\Program IP Address: 1 Windows do	812 m Files\EPO_OLF5\ep1001 192.168.178.27 main: JEROME\Susanne (0	\config\ep10( LF login: Adm	01.conf inistrator )	
EPO OLF EF	P1038	1	FORMS	5	23	OpType=203 1=C:\Prograd IP Address: 1 Windows do	812 m Files\EPO_OLF5\ep1038 192.168.178.27 main: JEROME\Susanne (0	\config\ep10	38.conf inistrator )	
EPO OLF EF	°OPPO	1	FORMS	5	24	OpType=203 1=C:\Program IP Address: 1 Windows do	912 m Files\EPO_OLF5\ep_opp 192.168.178.27 main: JEROME\Susanne (0	o\config\ep_o	oppo.conf inistrator )	

Figure 544: List of records currently locked

# Unlocking a record

Select the record to be unlocked.

Click the **Unlock** button.


Server Manager terminates the active user session when unlocking a record.

Click **Yes** to confirm.



Figure 545: Unlocking a record also terminates the user session

# 13.7 History

The **History** tab provides a chronological list of login and logout actions by all users as well as the status of Online Filing services. A separate log is available for every service. Older entries are automatically hidden.

This enables the administrator to check user activities, find errors and, if necessary, prevent unauthorised operations.

Click the **Refresh** button to retrieve the most recent status.



Click a service (Plugin name) to display the associated history on the right.

🕫 Server M	anager												X	
File Actio	n Help													
Services	Backup	Export	Import		Users	Unlock	History	Live U	odate Countries	Settings	Data Migration		?	
<b>%</b> ]]	S 💷													
	Plugin name	•	Status		Date/time	User	name	Operation			Information			
EPO OI	.F File Manag	er	Running		19.09.2011	Administra	ator	Logged in	1=C:\Program File	es\EPO_OLF	5\ep_oppo\config\e	ep_oppo.conf		
EPO OI	Running		13:07:16		Windows domain: JEROME\Susanne (OLF log				Administrator )					
▶ EPO OLF EP122K Ru			Running									·····,		
EPO OLF EP2000		Running		19.09.2011 Administrator 13:07:42		Logged out								
EP0 01	F EPOPPO		Running		15.07.42									
EPO OI	_F PCT		Running		17.10.2011 Administrator		ator	Logged in	1=C:\Program File	<pre>\/EPO_OLF5\ep_oppo\config\ep_oppo.conf &gt;&gt; 179 27</pre>				
EPO OI	_F UK177E		Running		14.23.24			Windows domain: JEROME\Susanne			usanne (OLF login: A	e (OLF login: Administrator )		
EPO OI	.F UKNPUK		Running											
EPO OI	.F UKSFDE		Running		17.10.2011 14:37:20	Administra	ator	Logged out						
<ul> <li>EPO OI</li> </ul>	.F ES3101		Stopped						1.010 51	1550.015		,		
<ul> <li>EP0 0</li> </ul>	.F ESEPVL		Stopped		18.10.2011 14:48:14	Administra	itor	Logged in	1=C:\Program File IP Address: 1921	es\EPU_ULF: 168 178 27	5/ep_oppo/config/e	ep_oppo.cont		
<ul> <li>EP0 01</li> </ul>	.FESTSUB		Stopped	1					Windows domain	: JEROME\S	usanne (OLF login: A	Administrator )		
EPO OI	.F FRDEPOT		Running		10 10 2011	d alasissis to -								
EPO OI	.F FRSUBS		Running		15:01:51	Administra	itor	Loggea out						
<ul> <li>EPO 01</li> </ul>	.F FIHAKE		Stopped											

Figure 546: Log of user activities in the History tab

# **Exporting server log files**

You can export the logs for every individual OLF service for later evaluation, if required.

#### Select the **Plugin name**.

Click the **Export** button.

Server Manager creates a CSV file, which is named according to the selected service and stores it in the default export folder.

# 13.8 Settings

The **Settings** tab comprises various options for configuring Server Manager.

- Setting the target directories for backup and restore, for export and import in the file system of your computer or network.
- Selecting the destination folder in File Manager for importing applications.
- Entering data for internet access via a proxy server, if applicable.
- Entering access data for the internet connection used by Live Update, if applicable.
- Configuring the e-mail service for distributing Live Update information.
- Configuring Live Update and checking for updates manually.

## 13.8.1 Settings for file locations

During the installation of Online Filing, the default setting for all directories is defined by the program path to Server Manager (C:\Program Files\EPO_OLF5\tools\smanager\data).

You can designate your own specific directories for the Server Manager's data exchange functions, for example on a different hard disk partition or a mapped network drive.

In the **Backup**, **Export** and **Import** tab, Server Manager only lists the files located in these designated directories; files stored in sub-directories are ignored.

Setting	Description
Backup and restore	Location for storing database backup files.
directory	
Export directory	Location for exporting applications as ZIP files.
Import directory – source	Default location from which ZIP files are imported to new applications.
Import directory –	Default folder in File Manager where imported applications are
destination	created.

🕫 Server M	anager										x
File Help											
Services	Backup	Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data Migration		?
Backup ar	Backup and restore directory										
C:\Program	m Files\EPO_	OLF5\tools\	smanager\c	data\							
Export dire	ctory										
C:\Progra	m Files\EPO_	OLF5\tools\	\smanager\o	data\							
Import dire	ctory - source										
C:\Progra	C:\Program Files\EPO_0LF5\tools\smanage\data\										
Import dire	Imont directory - destination										
Default Fo	lder										

Figure 547: Default settings for file locations

## **Changing directory settings**

Click the folder button to the right of the directory path you wish to modify.



Navigate to the new folder in your computer/network drives.

#### Click OK.

The new path will be displayed in the Settings tab.

Backup and restore directory \\BETTY\Public\OLF_backup\DB\	
Export directory VBETTY\Public\0LF_backup\export\	
Import directory - source VBETTY/Public/OLF_backup/import	
Import directory - destination EPO 2011	

Figure 548: Example of individual settings for file locations

## 13.8.2 Default Network Settings

The administrator defines the default network settings in Online Filing for all users in the corporate network. PC workstations in larger companies usually do not connect directly to the internet but rather are routed over a proxy server. This proxy examines all incoming and outgoing connections and rejects unauthorised connection attempts.

Enter the IP address of the proxy server in the **Proxy server** field.

In the field to the right of it, enter the number of the proxy server port that Online Filing should use to establish an internet connection. You can configure the proxy server in such a way, for instance, that this port is only used by Online Filing.

Enter appropriate access data in the fields **Username** and **Password** if the proxy server requires authentication every time a connection is established.

(i) Attention: The username and password for the proxy user are saved in unencrypted form in the file **OLFfm.conf**. For security reasons, these credentials should never be identical to your Windows authentication.

The **SSL Version** is set to **TLSv1** by default and cannot be changed. To provide for enhanced security in terms of data encryption, Online Filing does not use previous SSL versions anymore.

Please contact your system administrator if you are unsure about the information you need to enter in your situation.

Default Network	Settings			
Proxy server:	192.168.178.33	8080	SSL Version: TLSv1	<b>v</b>
Username:	OLFUser		Password:	

Figure 549: Network settings

# 13.9 Live Update

The Live Update service is used to update the Online Filing software. Live Update establishes a connection between the Online Filing client and the EPO's update server and checks for updates for the installed version of the software.

Live Update is configured and can be activated manually in Server Manager. This means that only users in the **Administrators** group are allowed to perform a live update in Online Filing.

# How to update Online Filing

Log on to Server Manager with your user name.

Use **Backup** to create a copy of your database.

Check if there are any updates available in the Settings tab.

Download the update.

Install the update in a test environment to ensure that it does not cause any problems on your productive system.

Shut down all Online Filing services.

Install the update in the server installation. If the update also includes amendments to Online Filing's thin client, a new installation file is generated for the thin client when updating the server and stored in the program folder **EPO_OLF5/ThinClient_v500**.

Restart the services.

Distribute the thin client update to the individual users.

## **Update types**

Live Update performs three different types of update.

- Maintenance: Changes in the maintenance tables, such as countries, languages, fees, URLs, addresses. The relevant maintenance tables are automatically updated when starting File Manager after the update has been downloaded.
- **Patch**: Changes to the existing software, new features, new national routes.
- Installation: New version of the Online Filing software released following a complete revision.

You can either install updates via Live Update or download the installation files from the EPO website at **Online Services > Online Filing > Download software for filing with the EPO** (http://www.epo.org/applying/online-services/online-filing/download.html).

#### 13.9.1 Settings for Live Update

The basic settings for Live Update are made in Server Manager.

Log on to Server Manager with the Administrator user name.

Go to the Settings tab.

The Live Update options are listed on the lower part of the tab.

🕫 Server M	anager										X
File Help									1		
Services	Backup	Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data Migration		?
Backup an C:VProgram Export direct C:VProgram Import direct C:VProgram Import direct Default For Default Nett Proxy server Username:	d restore dire n Files\EPO_ story n Files\EPO_ story - source n Files\EPO_ story - destina Ider <b>work Settir</b> er:	ctory OLF5\tools\ OLF5\tools\ OLF5\tools\ IQF5\tools\	.smanager\c .smanager\c .smanager\c	lata\ lata\ lata\		S:	SL Version: SSLv3 Password:		<u> </u>		
Live Upda	te proxy					Live Update e-mail					
Server:	myPro:	kyServer				Server:	smtp.mycompany.com				
Port:	8080		(E.g.: Proxy	y : 8080)	:	Sender:	OLFadmin@mycompan	y.com			
Username: Password:	OLFac	lmin				Receivers:	user01@mycompany.co user02@mycompany.co 0LFusers@mycompany	om om .com			
🔽 Enable	software upo	late system			, , , , , , , , , , , , , , , , , , ,		1		Check for update ev	very 1 da	y(s)
Live Updat	e Server Loc	ation:		_	Ch	neck Now					
EPO, The	Hague										-

Figure 550: Live Update settings in Server Manager

# **Enabling Live Update**

The check box for Enable software update system is selected by default.

Enter how frequently you want to check for updates in the field Check for update every ... day(s).

The default setting is 1 day.

Select the location of the server you want to check for updates in the **Live Update Server Location** list.

The only option in the latest version of Online Filing is the EPO's Live Update server in The Hague.

#### Live Update check in File Manager

Online Filing automatically checks for updates every time File Manager starts and reports any updates found.

Only the administrator can perform live updates manually in Server Manager. The following message appears when a user opens File Manager for the first time on the day in question:

Warning
Please inform the system administrator that an update is available for manual download and installation. Please use the "Check now" button in the settings tab of the Server Manager.
<u> </u>

Figure 551: Message about an available update when File Manager starts

#### **Connection to Live Update server**

If your corporate network uses a proxy server to connect to the Internet, you can enter the relevant data in the Live Update settings.

Enter the server name or the IP address of the proxy server in your network in the **Server** field under **Live Update proxy**.

In the **Port** field, enter the number of the port that the server should use to set up the connection to the EPO Live Update server.

If the proxy server requires authentication, enter the appropriate data in the fields **Username** and **Password**.

#### E-mail to the user

You can inform the users in your company when a new update is available for installation.

Enter the address of your mail server in the Server field under Live Update e-mail.

Server Manager can only send e-mails via your mail server if the outgoing mail server (SMTP) does not require authentication.

Enter the e-mail address of the sender in the Sender field.

Enter the e-mail address(es) of the recipient(s) in the Receiver field.

If you enter multiple addresses, add a separator after each e-mail address. You can use commas, semicolons or line breaks.

The configuration of a special collective address which forwards mail internally to individual recipients is recommended.

To verify your settings, click **Test**.

If all settings are correct, the receivers will get an e-mail. If not, you can find the error log file in the OLF program folder under

## C:\Program Files\EPO_OLF5\tools\smanager\logs\SendMail.log.

#### Including country-specific procedures in Live Update

Live Update automatically checks for new national procedures or their updates if you selected specific countries in the **Live Update Countries** tab.

Select the appropriate countries.

If you activated national plug-ins when installing Online Filing, the relevant countries are automatically selected by default.

Live Update informs you that updates are available for download as soon as the EPO publishes a new national procedure for one of your selected countries.

💀 Server M	anager										x	
File Help												
Services	Backup	Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data Migration	(	?	
Live Upd Online fi procedu note tha	Live Update Online filing will automatically check for new national procedures or updates to already installed national procedures for all the countries you select here. This is done by using the Live Update mechanism. Please note that not for all the counties listed here national procedures are available.											
□ ALA □ ATA □ BE E □ CHS □ CH	Ibania ustria elgium iwitzerland yprus zech Republi iermany venmark stonia pain nland rance	ic		7 7 7 7 7 7 7 7 7	GB United GR Greec HR Croati HU Hung IE Ireland IS Icelanc IT Italy LI Liechte LT Lithua LU Luxer LV Latvia MC Mona MK The for	d Kingdom e a ary nstein nia hibourg co ormer Yugosi	av Republic of Macedonia	MT Malta NL Netherk NO Norway PL Poland RO Roman RS Republ SE Sweder SI Slovenia SK Slovaki SM San Ma TR Turkey	ands , ia ic of Serbia n a arino			

Figure 552: Selecting countries for Live Update

# 13.9.2 Downloading updates

Irrespective of the settings for Live Update, you can check for updates at any time you wish.

Click the **Settings** tab in Server Manager.

# Click Check Now.

Online Filing establishes a connection to the EPO's Live Update server and checks for updates for the software and the selected countries. If so, a message appears asking you if you want to download the updates now.

Click **Yes** to download the updates.

Live Update			, in the second s
New updates fo	ound. Would you lik	e to dow	vnload them now?
	<u>Y</u> es	<u>N</u> o	

Figure 553: New updates found

The Live Update window opens with a list of the updates available.

Live Update shows all the available updates in order of **Date**. The entry in the **Type** column indicates whether it is a maintenance update, patch or full installation. The **Status** column shows whether the update is new or has already been downloaded. An exclamation mark in the **Critical** column indicates that the EPO considers that the update is particularly important and should be installed.

Further information about the selected update can be found at the bottom of the window under **Package Content**.

Select the update in the list.

Click Download.

The Install button does not become active until after the update has been downloaded.

ᡖ Live Updat	te						• ×
Click to selec	ct software pa	Viev	v: All	•			
Update Critical	Туре		Descripti	on	Status		Date
	Patch	PCT upda	ate (new fees) 1 J	lanuary 2011	New	20.12.2	2010 16:53:32
	Installed C	Content			Package C	ontent	
File	Ve	rsion	*	File	Version		
EP1038	5.0	)			EPPTCH50	)52	
EP122K	5.0	)					
EP2000	5.0	)	-				
Download	R.	nstall					Close

Figure 554: Updates available for download

## Downloading multiple updates

From the View drop-down list in the top right-hand corner select New.

The **Update** column now contains a check box for each update.

Select the check boxes of the updates you wish to download.

Click Download.

#### Downloading an update

With larger files, a progress indicator shows the progress of the download operation.



Figure 555: Progress indicator during Live Update download

Before the files are saved on your hard disk, they are subjected to verification.



Figure 556: Verification of updates after download

Live Update always indicates when downloading and verification are successfully completed.

#### Click OK.

Live Update 💽
Downloading is successfully completed.
ОК

Figure 557: Downloading and verification completed.

The downloaded updates are now displayed with **Downloaded** status in the Live Update window.

Click Close to exit Live Update without installing any updates.

#### 13.9.3 Installing updates

#### Installing maintenance updates

Maintenance updates are automatically loaded into the database after the files have been downloaded via Live Update.

Download the maintenance update.

Close both File Manager and Server Manager.

Start File Manager on the server machine.

If User Management is enabled, log on as Administrator.

The maintenance update will be loaded before the File Manager window opens.

#### Installing a patch via Live Update

In the Live Update window select the update you require.

Click Install.

🗟 Live Updat	te						×		
Click to selec	ct software pa	ckage you want I	to install.		View:	All	•		
Update Critical	Туре		Descripti	on	Status	Date	•		
	Patch	PCT update (nev	v fees) 1 J	anuary 2011	Downloaded	29.04.2011	15:12:16		
Installed Content Package Content									
File ED1020	Ve	rsion	Â	File	Version				
EP1030	5.U 5.0	)			EFF1CH5052				
EP2000	5.0	, )	-						
Download		nstall				0	ose		

Figure 558: Installing a downloaded update

For the update to be installed correctly, all OLF programs and services must be stopped.

Check the **Users** tab in Server Manager to see if there are any users currently working on applications and give them ample warning of the impending disruption of online services.

Click Yes when the following window appears.

Live Update
The installation has detected that some eOLF programs/services are currently running. For the patch to be installed correctly, those programs/services must be stopped. Would you like the installation to stop all eOLF programs/services that are currently running?
<u>Y</u> es <u>N</u> o

Figure 559: Pre-installation warning about the termination of Online Filing services

File Manager and any other active services are terminated. The Live Update window remains open in the background.

The installation program starts.

# Running installation files as a program

Close the Live Update window.

Give any logged-on users ample warning of the impending disruption.

Terminate all active Online Filing services in the Services tab in Server Manager.

Open the Windows Explorer.

The downloaded updates are stored in the

C:\Program Files\EPO_OLF5\fm\config\LU\Installations folder as executable EXE-files.



Figure 560: Downloaded update files in the EPO_OLF5 program directory

Double click the update you wish to install.

or

Right-click the file and select Run as administrator.

The installation program starts.

Follow the instructions provided by the installation wizard.

# 13.10 Data Migration

The **Data Migration** tab in Server Manager offers options for migrating data from one server to another or from the production database to the demo database, without the need to run the installation program. You can migrate the selected data either to a different hard drive or to a different machine.

#### Migrating user data

- Copy the complete user administration from the production server to the demo server.
- Export the user administration from the production server to a file.
- Import the user administration from a file to the production server.

## **Migrating databases**

- Move the production database to another storage location.
- Move the demo database to another storage location.

# 13.10.1 User Data Migration

If your company has been working with Online Filing for some time, your Online Filing administrators may have created a specific system of user accounts, groups and profiles for your purposes.

When you install Online Filing on a new machine, you can conveniently transfer this user management set-up to the new installation. Likewise, the user settings of your OLF production server can be copied to your demo server for testing purposes.

(i) Attention: To avoid data conflicts, User Administration should only be copied to or imported into an empty Online Filing database.

## Open the **Data Migration** tab.

Under User Data Migration, select the appropriate option.

Click Execute.

🕫 Server M	anager									
File Help										
Services	Backup	Export	Import	Users	Unlock	History	Live Update Countries	Settings	Data Migration	(?
Data Migration On this tab the User Administration of Online Filing can be copied, exported and imported. The User Administration consists of all information about the users, groups, user profiles and the mapping of the user profiles to the groups. The User Administration can be found in the File Manager under the menu Tools. The file created during the export or used to import the User Administration can be found in the Export folder of Server Manager.										
Copy the complete User Administration from the production server to the demo server.     Export the User Administration from the production server to a file.     Import the User Administration from a file to the production server.										
	Execute						_			

Figure 561: Options for migrating the User Administration

If users are connected, a message appears and the action is cancelled.



Figure 562: Warning to disconnect users before exporting or importing user management settings

#### Exporting user administration

The export operation creates a ZIP file in the Server Manager's default export directory. The ZIP file is named **useradministration[date]_[time].zip**, e.g. **useradministration20120628_153639.zip** and contains three files, **um.tmp**, **uma.tmp** and *umr.tmp*.

😋 🔍 🛡 🕌 « Program Files 🕨	EPO_OL	F5 → tools → smanager → data →	<b>- 4</b> ∳ S	iearch data	<u>× ا ا</u>
Organize 🔻 🗦 Open 🔻	Burn	New folder		1	• 🔳 🔞
🍌 tools	*	Name	Date modified	Туре	Size
b checker		길 temp	22.10.2012 15:41	File folder	
abdesigner		20120521_171550.prod.bk	21.05.2012 17:16	BK File	55.324 KB
designer		20120521_171550.prod.sha1	21.05.2012 17:16	SHA1 File	1 KB
i mi		20120522_153443.prod.bk	22.05.2012 15:35	BK File	55.324 KB
smanager		20120522_153443.prod.sha1	22.05.2012 15:35	SHA1 File	1 KB
ji bin		20120614_095043.prod.bk	14.06.2012 09:51 BK File		67.095 KB
config		20120614_095043.prod.sha1	14.06.2012 09:51	SHA1 File	1 KB
Jata		20120621_102206.prod.bk	21.06.2012 10:22	BK File	68.139 KB
etc		20120621_102206.prod.sha1	21.06.2012 10:22	SHA1 File	1 KB
log		引 useradministration20120628_153639.zip	28.06.2012 15:36	Compressed (zipp	3 KB
uksffd	-				

Figure 563: Locating the user administration file in the Server Manager's export folder

#### Importing user administration

The User Administration ZIP file can either be copied to the Server Manager's default import directory on the target machine or it can be located during import.

The Data Migration function opens the default import directory.

Select the appropriate ZIP file or browse the file system to locate your user administration file.

Click Open.

🔤 Open					×
Look in:	🔒 Import		•	← 🗈 💣 📰 •	
Ca	Name	*		Date modified	Туре
Recent Places	PCT DE 1.zit			30.08.2012 12:53	Compresse
	useradminist	tration20120628_153639.zip		28.06.2012 15:36	Compresse
Desktop					
Libraries					
Computer					
Network					
	•				F
	File name:	useradministration20120628_	15363	Ð.zip	Open
	Files of type:	*.zip		•	Cancel

Figure 564: Selecting the user administration ZIP file for import to the production server

#### 13.10.2 Database Migration

You can move the Online Filing databases to a different hard disk drive if your server computer's hard disk runs out of space or if you have to replace the hardware.

By migrating the database to another location, the Online Filing server will be reconfigured to connect to the new database path.

Inform all users to save their work and log out of Online Filing before you start the database migration.

Under Database Migration, select the appropriate option:

- Leave the copy of the database in the former location after successful migration (default)
- Delete the copy of the database in the former location after successful migration

It is recommended to leave the copy of the database in the former location until you are sure that everything works correctly in the new location.

<ul> <li>Leave the copy of the database file in former location after successful migration</li> <li>Delete the copy of the database file in former location after successful migration</li> </ul>
C Delete the copy of the database file in former location after successful migration
Path to Production database:
C:\Program Files\EPO_OLF5\db\eOLFi.gdb
Path to Demo database:
C:\Program Files\EPO_OLF5\db\eOLFdi.gdb

Figure 565: Options for migrating the OLF database

Both the production database and demo database can be migrated independently.

Click the folder icon next to the database path you wish to modify.



Select an existing folder in your file system or create a new one.

# Click OK.

Full Database File Migration
Full Database File Migration
🖌 📙 EPO_data (C:)
🛛 📙 Archive
🛛 📙 Backup
Dients
Docs Test DE
Docs Test EN
Docs Test FR
Export
Import CLF-DB
Office
Make New Folder OK Cancel

Figure 566: Selecting a new location for the OLF database

Wait until the Information window appears.

If the database is very large, the process of copying and verifying the database could take some time.

The new path is displayed in the message.

Information
Database file migration has been executed successfully. The EPO Online Filing database is now situated in C:\EPO_data\OLF-DB\.
Ok

Figure 567: Confirmation of successful database migration

# 14. Glossary

# ASCII

American Standard Code for Information Interchange.

May contain letters, numbers, spaces and punctuation, but no formatting. Also called a text file.

# **CD-ROM**

A CD-ROM (Compact Disc Read-Only Memory) is a CD with permanently stored data. A CD-RW, in contrast, is rewritable (RW), meaning it permits the deletion of data on the CD.

# **Check digit**

A check digit contains an algorithm that verifies the other numbers entered and helps reduce typing errors.

# CORBA

Common Object Request Broker Architecture: defines cross-platform protocols and services, eases development of distributed applications in heterogeneous environments.

# CSV

Character separated values.

A file format typically used for data sets where the data is arranged in columns and rows. The individual data fields are separated from each other by delimiters such as commas.

## Default

An automatic selection made by the system when the user does not specify an alternative.

## Delimiter

A special character that sets off, or separates, individual items in a set of data. Commas and semi-colons are examples of delimiters commonly used.

## Dock

To move a toolbar or window to the edge of an application window so that it attaches and becomes a feature of the application window.

# **DVD-ROM**

A DVD (Digital Video Disc) is an optical data storage unit like a CD but with significantly more capacity (approx. 4 GB). It is therefore used primarily for the storage of video films. DVD-ROMs (Read-Only Memory) are generally used to save data. An appropriate DVD burner is needed to write data to a DVD.

# Field

A space in an on-screen form where the user can enter a specific item of information, for example a name or a date. Fields may have restrictions on the length and type of data that may be entered, for example text only, or numbers in a certain format.

## Firebird SQL database server

Firebird is a simplified Open Source spin-off of the InterBase relational database management system produced by Borland.

## GUI

Graphical User Interface: software component allowing user interaction with graphical elements in the program via a mouse and keyboard.

## HTTP

HyperText Transfer Protocol: method of transferring information on the WWW, usually in HTML.

## HTTPS

HyperText Transfer Protocol Secure: indicates that HTTP is used with a different port (443) and an additional encryption/authentication layer between HTTP and TCP.

## lcon

A small image displayed on the screen that allows the user to control certain computer actions without having to remember commands or type them on the keyboard.

#### IIOP

Internet Inter ORB Protocol: defined in CORBA, used to execute remote procedure calls.

## LAN

Local Area Network: typically within one building of a company.

#### **Non-repudiation**

To protect and ensure trust in digital signatures, the parties may employ non-repudiation, which not only validates the sender, but also time-stamps the transaction, so it cannot be claimed subsequently that the transaction was not authorised or was not valid.

#### ORB

Object Request Broker: agent enabling communication between objects within a distributed system, for example the internet.

#### Patch

A new feature or function added to a program, commonly used as an interim measure before release of a full version of the software.

# PDF

Portable Document Format. A file format used in saving documents. It can be read using free PDF Reader software.

# PIN

Personal Identification Number: a numeric password shared between a user and a system, used to authenticate the user to the system.

#### PMS

Patent Management System.

#### Port

A port is part of a network address for a server application running on a computer within the network. Typical ports are 80 for HTTP Web servers and 110 for POP3 mail servers.

#### **Proxy server**

A firewall component that manages internet traffic to and from a network.

## SOAP

Simple Object Access Protocol: using XML for data display and mainly HTTP for transmission.

#### SQL

Simple Query Language. Used to query and modify databases.

## SSL

Secure Socket Layer. A protocol for ensuring security and privacy in internet communications. Supports authentication of client, server, or both, as well as encryption during a communication session.

# ТСР

Transmission Control Protocol. Used to manage data exchange between computers via network connections.

# TIFF

Tagged Image File Format.

A standard file format commonly used for scanning and storing grey-scale images. TIF files may be used for scanned signatures.

# URL

Uniform Resource Locator.

An address for a resource on the internet. Used by Web browsers to locate internet resources.

# WAN

Wide Area Network: normally across several offices/subsidiaries of a large company or organisation, including internet connection parts in between.

# Workflow

The tracking and management of all activities from start to finish.

# XML

eXtensible Markup Language. XML is a document-processing standard officially recommended by the World Wide Web Consortium and widely accepted throughout the internet community. It provides a way to define and manage information. It can be used to check the accuracy and quality of documents.