



UNITED STATES  
PATENT AND  
TRADEMARK OFFICE

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# Filing Sequence Listings in International and National Stage Applications

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**International Patent Legal Administration**



# Overview

- Sequence listings (SLs) in International Applications (IAs) under the PCT
- Sequence listings (SLs) in National Stage Applications under 35 U.S.C. §371 (371)
- Transfer requests under 37 CFR §1.821(e)
- Revision of WIPO ST.25 –  
Standard for the Presentation of Nucleotide and Amino Acid Sequence Listings in Patent Applications



# An IA Disclosing Sequences **MUST** contain a Sequence Listing (SL)

- **SL forming part of the IA**
  - Sometimes called the “paper copy” or “written form”
  - PCT Rule 5.2(a) - where an IA contains disclosure of one or more nucleotide and/or amino acid sequences, the description **shall** contain a SL
    - » unbranched nucleotide sequences with 10 or more “specifically defined” nucleotides
    - » unbranched, non-D amino acid sequences with 4 or more “specifically defined” amino acids
- **SL *not* forming part of the IA**
  - Sometimes called the “CRF,” “search tool,” or “electronic form”
  - PCT Rule 13<sup>ter</sup>.1(a) - the International Searching Authority (ISA) may invite applicant to furnish a SL in electronic form (text format) for search



# PCT Rule 5.2(a) - Sequence Listing Shall Comply with PCT Administrative Instructions

SL compliant with PCT AI Annex C VS. Table containing sequence disclosure

**Annex C, Appendix 3  
Specimen Sequence Listing**

<110>	Smith, John; Smithgene Inc.					
<120>	Example of a Sequence Listing					
<130>	01-00001					
<140>	PCT/EP98/00001					
<141>	1998-12-31					
<150>	US 08/999,999					
<151>	1997-10-15					
<160>	4					
<170>	PatentIn version 2.0					
<210>	1					
<211>	389					
<212>	DNA					
<213>	Paramecium sp.					
<220>						
<221>	CDS					
<222>	(279)...(389)					
<300>						
<301>	Doe, Richard					
<302>	Isolation and Characterization of a Gene Encoding a Protease from Paramecium sp.					
<303>	Journal of Genes					
<304>	1					
<305>	4					
<306>	1-7					
<307>	1988-06-31					
<308>	123456					
<309>	1988-06-31					
<400>	1					
agctgtagtc	attcctgtgt	cctctctct	ctggcctct	Caccctgcta	atcagatctc	60
aggagagagtg	tcttgacct	cctctgcctt	tgccagctca	Caggcaggca	ggcaggcagc	120
tgatgtggca	attgctggca	gtgccaccagg	cttttcagcc	Aggcttaggg	tgggttcgcg	180
cgcgccgagg	cggccctct	cgcgctctc	tcgcgctct	Ctctcgctct	cctctcgctc	240

- **NOT a SL, despite label**
- **Should be numbered as part of description**

Sequence Listing		
ID Number	Text Description	Biological Sequence
SEQ ID NO:1	Toxin 1 – Subunit A	ALRDYHPADGRVSYVMETAE QDYHGSVRWDSSTLGAILMRR TDLSVTAEALRGSHSMLDL IGVRGITHNKILWDSSTLLA ILNCHHASRVAGRSYVMETA NWGGRISFGRVSDQGHYLV RVERNVTGFVNRITNNRFL TVEVTFEEDLAILVALILN SARMAPPEEFDSSRMHRNI NTRNVFGTVYLLNPTGISS NRVSFTAKYTDVLSVNRIAS LQTISSGGLLSTDIMDGTGS
SEQ ID NO:2	Toxin 2 – Subunit A	ALRDYHPAGESVSYVMETAE LDYHGSVRWYRSTLGAILM TELSVTAEAMRGSSSMLDL IGVRGITHNKILWDSSTLLA ILNVHDASRVAGRSYVMETA NWGGRISFGRVSHQGHYLV SVERNVTGFVNRITNNRFL TVEVTFEEDLAILVALILN SYARMAPPEEFDSSRMHRNI NTRNVFGTVYLLNPTGISS NRVSFTAKYTDVLSVNRIAS LQTISSGGLLSTDIMDGTGS



# Options for Filing a SL Forming Part of an IA

- **RECOMMENDED**

In text format via EFS-Web on the international filing date (IFD)

- Or on CD the same day where the file is too large for EFS-Web
- Serves both as *part of the IA* and as the CRF
- No page fees
- No requirement for PDF copy or statement of identity

- **LESS PREFERRED**

In PDF format via EFS-Web on the IFD

- MUST still provide a SL in text format for search with a statement of identity
- FULL page fees – no upper limit

- **LEAST PREFERRED**

On paper as part of an IA filed on paper

- MUST still provide a SL in text format for search with a statement of identity
- FULL page fees – no upper limit



# Options for Filing a SL *NOT Forming Part of the IA (CRF)*

## ***MUST*** be in text format

- ***RECOMMENDED***

Via EFS-Web (Not required if SL *forming part of the IA* is in text format)

- Or on CD the same day where the file is too large for EFS-Web
- ***MUST*** be filed with a statement of identity where SL *forming part of the IA* is in paper or PDF format
- ***MUST*** be filed with a statement of no new matter when filed after the IFD

- ***LESS PREFERRED***

On CD accompanying an IA filed on paper

- ***MUST*** be filed with a statement of identity or no new matter, as necessary



# Options for Filing a SL-Related Table in an IA

- **CANNOT** be submitted in text format
  - **CANNOT** be provided on a CD
- **MUST** be numbered as part of, and in the same format as, the description
  - In PDF format via EFS-Web as part of a fully electronic IA
  - On paper as part of an IA filed on paper
  - FULL page fees – no upper limit



# Request – Box IX –PCT SAFE

## Parts of the IA

<b>IX</b>	<b>Check list</b>	<b>number of sheets</b>	<b>electronic file(s) attached</b>
IX-1	Request (including declaration sheets)	6	✓
IX-2	Description	86	–
IX-3	Claims	10	–
IX-4	Abstract	1	✓
IX-5	Drawings	24	–
IX-7	TOTAL	127	
<b>Accompanying Items</b>		<b>paper document(s) attached</b>	<b>electronic file(s) attached</b>
IX-8	Fee calculation sheet	✓	–
IX-18	PCT-SAFE physical media	–	✓

## Accompanying items NOT part of the IA





# Request – Box IX – PCT/RO/101

## Parts of the IA

## Accompanying items NOT part of the IA

Box No. IX CHECK LIST for EFS-Web filings - this sheet is only to be used when filing an international application with RO/US via EFS-Web			
This international application contains the following:	Number of sheets	This international application is accompanied by the following item(s) (mark the applicable check-boxes below and indicate in right column the number of each item):	Number of items
(a) request form PCT/RO/101 (including any declarations and supplemental sheets) .....	:	1. <input type="checkbox"/> fee calculation sheet .....	:
(b) description (excluding any sequence listing part of the description, see (f), below) .....	:	2. <input type="checkbox"/> original separate power of attorney .....	:
(c) claims .....	:	3. <input type="checkbox"/> original general power of attorney .....	:
(d) abstract .....	:	4. <input type="checkbox"/> copy of general power of attorney; reference number: .....	:
(e) drawings (if any) .....	:	5. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s) .....	:
(f) sequence listing part of the description in the form of an image file (e.g. PDF) .....	:	6. <input type="checkbox"/> Translation of international application into (language): .....	:
<b>Total number of sheets (including the sequence listing part of the description if filed as an image file) .....</b>	<b>0</b>	7. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material .....	:
(g) sequence listing part of the description		8. <input type="checkbox"/> (only where item (f) is marked in the left column) copy of the sequence listing in electronic form (Annex C/ST.25 text file) not forming part of the international application but furnished only for the purposes of international search under Rule 13ter .....	:
<input type="checkbox"/> filed in the form of an Annex C/ST.25 text file		9. <input type="checkbox"/> (only where item (f) is marked in the left column) a statement confirming that "the information recorded in electronic form submitted under Rule 13ter is identical to the sequence listing as contained in the international application" as filed via EFS-Web: .....	:
<input type="checkbox"/> WILL BE filed separately on physical data carrier(s), on the same day and in the form of an Annex C/ST.25 text file		10. <input type="checkbox"/> copy of results of earlier search(es) (Rule 12bis.1(a)) .....	:
Indicate type and number of physical data carrier(s) .....		11. <input type="checkbox"/> other (specify): .....	:



# Request ***MUST*** Indicate That ***SL Forms Part of IA***

- **Incorporation by reference (as in a regular U.S. application) is ***NOT*** sufficient**
  - If present, some national/regional Offices may require removal
- **Failure to identify the SL as *part of the IA* in the Request**
  - May result in a fatally-defective National Stage application
    - » Where sequences are not otherwise disclosed in the IA
    - » Even if the SL was provided on the international filing date (IFD)
- **Instructions for proper completion of the Request are**
  - available on the International Patent Legal Administration home page at [www.uspto.gov/go/pct](http://www.uspto.gov/go/pct)
    - PCT & Sequence Listing (SL)**
      - [July 2009 Administrative Instruction Changes](#)
      - Instructions & Examples of Filled-out Request with SL
        - [Conventional Request \(PCT/RO/101\)](#)
        - [PCT-SAFE/EASY](#)



# PCT-SAFE Request – Contents Tab

## Steps 1-4 for Indicating SL as *Part of the IA*

1) Click on the Contents tab

2) Check the box for EFS-Web

3) Read Note  
~ SLs

4) Click on Biology tab

The screenshot shows the PCT-SAFE software interface for a PCT-RO-101 Electronic Request (123456). The interface includes a menu bar (File, Edit, View, Tools, Help) and a toolbar. The main window is divided into a left sidebar and a main content area. The sidebar contains a list of tabs: Request, States, Names, Priority, Biology, Declarations, Contents, Fees, Payment, and Annotate. The 'Contents' tab is selected, and the 'Biology' tab is highlighted in red. The main content area shows the 'Type of filing' section with 'PCT-EASY' selected and 'EFS-Web' checked. Below this is a table with columns: Document, Details, Pages, Electronic File, and Val. The table contains the following rows:

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)				✓
Description				✗
Claims				✗
Abstract				●
Drawings				?

Below the table, there is a red note: "If the international application contains a sequence listing part of the description, please select the checkbox on the Biology page." At the bottom of the interface, there are buttons for 'Calculate' and 'Open', and a summary section showing 'International Application' with 2 documents and 0 files, and 'Accompanying Items' with 0 documents and 0 files.



# PCT-SAFE Request – Biology Tab

## Steps 5-6 for Indicating SL as Part of the IA

5) In the Biology tab, check the box indicating, “The description contains a sequence listing”

6) Click the Contents tab

The screenshot shows the PCT-SAFE software interface for an electronic request. The window title is "PCT-RO-101 Electronic Request - 123456". The menu bar includes File, Edit, View, Tools, and Help. The left sidebar contains a list of tabs: Request, States, Names, Priority, **Biology**, Declarations, Contents, Fees, Payment, Annotate, filing not possible, filing possible, and ready for filing. The main area is titled "Indications Relating to Deposited Microorganism or Other Biological Material" and contains a table with columns: No., Depository Institution, Date of Deposit, Accession No., and Val. Below the table is a blue button labeled "Open to add new item" and an "Open" button. A red box highlights the text "Nucleotide and/or amino acid sequence listing" with a checked checkbox below it: "The description contains a sequence listing".

No.	Depository Institution	Date of Deposit	Accession No.	Val.
+ Open to add new item				

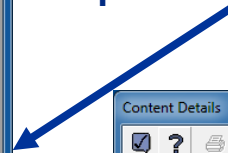
Nucleotide and/or amino acid sequence listing  
 The description contains a sequence listing



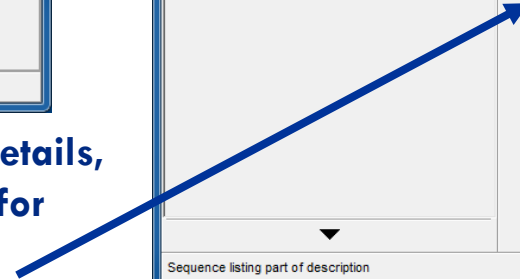
# PCT-SAFE Request – Contents Tab

## Steps 7-8 for Indicating SL as Part of the IA

7) In the Contents tab, double - click the Sequence listing part of description



8) In the Content Details, click the radio-tab for “is submitted in Annex C/ST.25 format”



PCT-RO-101 Electronic Request - 123456

File Edit View Tools Help

Type of filing:  PCT-EASY  Fully electronic  
 EFS-Web  Single specification file

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)		4		
Description (excluding sequence listing ...)		50		
Claims		10		
Abstract		1		
Drawings	Fig. No.	10		
Sequence listing part of description				

If the international application contains a sequence listing part of the description, please select the checkbox on the Biology page.

Document	Details	Pages	Electronic File	Val.

Open

Calculate total: \_\_\_\_\_ pages

International Application Accompanying Items

In total: 6 documents 0 files

Sequence listing part of description

Content Details

?

Request (including declaration sheets)  
Description (excluding sequence listing part)  
Claims  
Abstract  
Drawings  
Sequence listing part of description  
fee calculation sheet

Paper document  
 is not enclosed  
 is enclosed

Electronic file  
 is submitted in Annex C/ST.25 text format  
 will be filed separately in Annex C/ST.25 text format on physical data carrier(s) on the same day

type of carrier \_\_\_\_\_ number \_\_\_\_\_

Type and number of carriers on which the sequence listing part is contained

The sequence listing furnished as an Annex C/ST.25 text file will also be used for the purposes of international search.  
 is submitted in pdf format with \_\_\_\_\_ pages

Sequence listing part of description

OK Cancel



# PCT-SAFE Request – Checklist

## EFS-Web SL in Text Format Only

**Tables, if any, included in description**

IX	Check list	Number of sheets	Electronic file(s) attached
IX-1	Request (including declaration sheets)	4	✓
IX-2	Description	50	-
IX-3	Claims	10	-
IX-4	Abstract	1	✓
IX-5	Drawings	10	-
IX-6a	Sequence listing part of the description (also to be used for the purposes of international search)	-	✓
IX-7	TOTAL	75	
	<b>Accompanying Items</b>	Paper document(s) attached	Electronic file(s) attached
IX-8	Fee calculation sheet	✓	-

**SL does not appear as an Accompanying item in this scenario**

**No 13ter statement needed – only ONE SL file**

**SL text format forming part of the IA, no pages indicated, check for electronic file only**



# PCT/RO/101 Checklist

## EFS-Web SL in Text Format Only

Box No. IX CHECKLIST for EFS-Web filings - this sheet is only to be used when filing an international application with RO/US via EFS-Web

This international application contains the following:	Number of sheets	This international application is accompanied by the following item(s) (mark the applicable check-boxes below and indicate in right column the number of each item):	Number of items
(a) request form PCT/RO/101 (including any declarations and supplemental sheets) . . . . .	4	1. <input type="checkbox"/> fee calculation sheet . . . . .	:
(b) description (excluding any sequence listing part of the description, see (f), below) . . . . .	50	2. <input type="checkbox"/> original separate power of attorney . . . . .	:
(c) claims . . . . .	10	3. <input type="checkbox"/> original general power of attorney . . . . .	:
(d) abstract . . . . .	1	4. <input type="checkbox"/> copy of general power of attorney; reference number: . . . . .	:
(e) drawings (if any) . . . . .	10	5. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s) . . . . .	:
(f) sequence listing part of the description in the form of an image file (e.g. PDF) . . . . .		6. <input type="checkbox"/> Translation of international application into (language): . . . . .	:
		7. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material . . . . .	:
		8. <input type="checkbox"/> (only where item (f) is marked in the left column) copy of the sequence listing in electronic form (Annex C/ST.25 text file) not forming part of the international application but furnished only for the purposes of international search under Rule 13ter . . . . .	:
Total number of sheets (including the sequence listing part of the description if filed as an image file) . . . . .	75	9. <input type="checkbox"/> (only where item (f) is marked in the left column) a statement confirming that "the information recorded in electronic form submitted under Rule 13ter is identical to the sequence listing as contained in the international application" as filed via EFS-Web: . . . . .	:
(g) sequence listing part of the description		10. <input type="checkbox"/> copy of results of earlier search(es) (Rule 12bis.1(a)) . . . . .	:
<input checked="" type="checkbox"/> filed in the form of an Annex C/ST.25 text file		11. <input type="checkbox"/> other (specify): . . . . .	:
<input type="checkbox"/> WILL BE filed separately on physical data carrier(s), on the same day and in the form of an Annex C/ST.25 text file			
Indicate type and number of physical data carrier(s) . . . . .			

Tables, if any, included in description

SL forming part of the IA text format only

(Rarely used - SL > EFS-Web)

Be sure to use the correct sheet for EFS-Web

Boxes 8 and 9 not checked



# ISA Invitation to Furnish a Sequence Listing PCT/ISA/225

- **PCT/ISA/225 is issued when**
  - Sequences are disclosed, but no SL in text format
  - Text SL does not comply with ST.25/PCT AI Annex C
    - » E.g., incorrect entry in <213> field
    - » E.g., insufficient explanation in <223> field
    - » E.g., extraneous text or blank lines
  - NO statement of identity or statement of no new matter, if applicable
- **SL filed in response to PCT/ISA/225 is **NOT** considered part of IA**
  - For national/regional stage, IA *MUST* be amended to include SL as *part of the IA*
    - » By amendment under PCT Article 34 during Chapter II examination
    - » By a preliminary amendment in National/Regional Stage





# If USPTO is *NOT* Chosen as ISA

- **DO NOT** file corrected/subsequent SL in EFS-Web
  - Even where CRFD (Computer Readable Form Defective) is visible in Image File Wrapper (IFW)
    - » Automated review of all SLs in text format uploaded to EFS-Web produces a CRFE (Computer Readable Form Entered) or CRFD
    - » **RO/US** will not issue a PCT/**ISA**/225
  - File SL directly with chosen ISA
    - » may prevent ISA late fees
  - RO/US will *NOT* forward to chosen ISA



# SL filed after the International Filing Date (IFD)

- A SL filed after the IFD, but during Chapter I, is **NOT** considered part of IA
  - E.g., in response to a PCT/ISA/225
  - Narrow exception - PCT Rule 20.6 incorporation by reference
- A SL filed during Chapter II **may be** considered part of the IA
- Determination is made as to whether SL contains new matter
  - By the International Preliminary Examining Authority (IPEA)
    - » Where SL provided as an amendment under PCT Article 34
  - By the Designated/Elected Office (DO/EO)
    - » The decision of the IPEA is not binding on any DO/EO
    - » The SL *may be* considered to contain new matter by a national/regional Office even if an IPEA did not object



# Publication of SLs in IAs

- ***SLs forming part of the IA***
  - Published on PATENTSCOPE
    - » Under “Published International Application”
    - » As a line item separate from remainder of published IA  
<http://patentscope.wipo.int/search/en/search.jsf>
- ***SLs not forming part of the IA***
  - Made available on PATENTSCOPE
    - » Under “Related Documents on file at the International Bureau”
- **Review PATENTSCOPE to verify proper treatment of the SL**



# PATENTSCOPE

<http://patentscope.wipo.int/search/en/search.jsf>

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Machine translation

**1. (WO2014210555) COMPOUNDS THAT INDUCE ABA RESPONSES .**

PCT Biblio. Data Description Claims National Phase Notices Drawings Documents

International Application Status ⓘ			
Date	Title	View	Download
25.03.2015	International Application Status Report	<a href="#">HTML</a> , <a href="#">PDF</a>	<a href="#">PDF</a> , <a href="#">XML</a>

Published International Application			
Date	Title	View	Download
31.12.2014	Initial Publication with ISR (A1 53/2014)	<a href="#">PDF (104p.)</a>	<a href="#">PDF (104p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
31.12.2014	Sequence Listings	<a href="#">PDF (75p.)</a>	<a href="#">PDF (75p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>

Search and Examination-Related Documents			
Date	Title	View	Download
31.12.2014	International Search Report	<a href="#">PDF (4p.)</a>	<a href="#">PDF (4p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>

Related Documents on file at the International Bureau			
Date	Title	View	Download
20.02.2015	Request for Change under Rule 92bis	<a href="#">PDF (4p.)</a>	<a href="#">PDF (4p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
20.02.2015	(IB/306) Notification of the Recording of a Change	<a href="#">PDF (1p.)</a>	<a href="#">PDF (1p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
20.01.2015	(IB/308) Notice Informing the Applicant of the Communication of the International Application to the Designated Offices	<a href="#">PDF (1p.)</a>	<a href="#">PDF (1p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
31.12.2014	US 61/840,967 28.06.2013 (Pr. Doc.)	<a href="#">PDF (98p.)</a>	<a href="#">PDF (98p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
31.12.2014	(RO/102) Notification Concerning Payment of Prescribed Fees	<a href="#">PDF (2p.)</a>	<a href="#">PDF (2p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
31.12.2014	(RO/101) Request form	<a href="#">PDF (5p.)</a>	<a href="#">PDF (5p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
31.12.2014	(RO/101) Request form	<a href="#">PDF (5p.)</a>	<a href="#">PDF (5p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
31.12.2014	(IB/304) Notification Concerning Submission or Transmittal of Priority Document	<a href="#">PDF (1p.)</a>	<a href="#">PDF (1p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
31.12.2014	(RO/105) Notification of the International Application Number and of the International Filing Date	<a href="#">PDF (1p.)</a>	<a href="#">PDF (1p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
31.12.2014	(IB/311) Notification Concerning Availability of Publication of the International Application	<a href="#">PDF (1p.)</a>	<a href="#">PDF (1p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
31.12.2014	(RO/146) Notification Regarding Certain Corrections Made Ex Officio	<a href="#">PDF (1p.)</a>	<a href="#">PDF (1p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
31.12.2014	Sequence listing only for the purposes of international search (Rule 13ter)	<a href="#">PDF (0p.)</a>	<a href="#">PDF (0p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
31.12.2014	(IB/301) Notification of receipt of record copy	<a href="#">PDF (1p.)</a>	<a href="#">PDF (1p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>
31.12.2014	Application Body as Filed	<a href="#">PDF (101p.)</a>	<a href="#">PDF (101p.)</a> , <a href="#">ZIP(XML + TIFFs)</a>



# Published International Application (IA) with SL in Text Format

Published International Application			
Date	Title	View	Download
19.03.2015	Initial Publication with ISR (A1 11/2015)	PDF (72p.)	PDF (72p.), ZIP(XML + TIFFs)
19.03.2015	Sequence Listings		ZIP(XML + TIFFs)

**SL is published as a separate line item from the rest of the IA**

**No PDF pages indicated**

Name	Type	Modified	Size	Ratio	Packed
030258-077821-PCT_SL.txt	TXT File	9/15/2014 2:58 PM	63,797	73%	17,029

19.03	(RO/101) Request form	PDF (4p.)	PDF (4p.), ZIP(XML + TIFFs)
-------	-----------------------	-----------	-----------------------------

IX	Check list	Number of sheets	Electronic file(s) attached
IX-1	Request (including declaration sheets)	4	✓
IX-2	Description	51	-
IX-3	Claims	2	
IX-4	Abstract	1	
IX-5	Drawings	13	
IX-6a	Sequence listing part of the description (also to be used for the purposes of international search)	-	✓
IX-7	TOTAL	71	

**SL text file is indicated as part of the IA**



# Published International Application (IA) with SL in PDF Format

Published International Application			
Date	Title	View	Download
06.03.2014	Initial Publication with ISR (A1 10/2014)	PDF (101p.)	PDF (101p.), ZIP(XML + TIFFs)
06.03.2014	Sequence Listings	PDF (6p.)	PDF (6p.), ZIP(XML + TIFFs)

**SL is published as a line item separate from the rest of the IA**

**Number of pages of SL in PDF is indicated**

06.03.2014	(RO/101) Request form	PDF (5p.)	PDF (5p.), ZIP(XML + TIFFs)
------------	-----------------------	-----------	-----------------------------

IX	Check list	Number of sheets	Electronic file(s) attached
IX-1	Request (including declaration sheets)	5	✓
IX-2	Description (excluding sequence listing part)	67	-
IX-3	Claims	11	-
IX-4	Abstract	1	✓
IX-5	Drawings	20	-
IX-7a	Sub-total number of sheets	110	-
IX-6	Sequence listing part of the description	6	-
IX-7	TOTAL	110	-
Accompanying Items		Paper document(s) attached	Electronic file(s) attached
IX-8	Regulation sheet	✓	-
IX-18	PCG optical media	-	✓
IX-19	A statement confirming that "the information in Annex C/ST.25 text format submitted under Rule 13ter is identical to the sequence listing as contained in the international application"	✓	-
IX-19	Other	<b>Transmittal</b>	
IX-19	Other	<b>Sequence Listing (TXT)</b>	

**SL sheets are indicated as part of the IA**

**Statement of identity**

**SL text file indicated as Accompanying Item**



# SLs Provided by ISA to IB Available on PATENTSCOPE

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SL ZIP file only**

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**SL is indicated as  
“only for the  
purposes of  
international search  
(Rule 13ter)”**

**Statement of identity**

Related Documents on file at the International Bureau			
Date	Title	View	Download
19.03.2015	Replacement, Substitute sheets (Rule 26)	PDF (26p.)	PDF (26p.), ZIP(XML + TIFFs)
19.03.2015	(RO/102) Notification Concerning Payment of Prescribed Fees	PDF (2p.)	PDF (2p.), ZIP(XML + TIFFs)
19.03.2015	(ISA/202) Notification of Receipt of Search Copy	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
19.03.2015	(RO/105) Notification of the International Application Number and of the International Filing Date	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
19.03.2015	US 61/877,557 13.09.2013 (Pr. Doc.)	PDF (90p.)	PDF (90p.), ZIP(XML + TIFFs)
19.03.2015	Application Body as Filed	PDF (86p.)	PDF (86p.), ZIP(XML + TIFFs)
19.03.2015	Sequence listing only for the purposes of international search (Rule 13ter)	PDF (0p.)	PDF (0p.), ZIP(XML + TIFFs)
19.03.2015	(RO/101) Request form	PDF (5p.)	PDF (5p.), ZIP(XML + TIFFs)
19.03.2015	(IB/304) Notification Concerning Submission or Transfer of Priority Document	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
19.03.2015	(RO/106) Invitation to Correct Defects in the International Application	PDF (2p.)	PDF (2p.), ZIP(XML + TIFFs)
19.03.2015	Cover Letter	PDF (2p.)	PDF (2p.), ZIP(XML + TIFFs)
19.03.2015	Letter	PDF (2p.)	PDF (2p.), ZIP(XML + TIFFs)
19.03.2015	Statement relative to Seq List only for the purposes of international search (Rule 13ter)	PDF (2p.)	PDF (2p.), ZIP(XML + TIFFs)
19.03.2015	(ISA/206) Invitation to Pay Additional Fees and, Where Applicable, Protest Fee	PDF (3p.)	PDF (3p.), ZIP(XML + TIFFs)
19.03.2015	(IB/311) Notification Concerning Availability of Publication of the International Application	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
19.03.2015	(IB/301) Notification of receipt of record copy	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)



# SLs in National Stage Applications filed under 35 U.S.C. 371

- **A SL as part of the application**
  - 37 CFR §1.821(c) - a patent application disclosing nucleotide and/or amino sequences must contain a SL
    - » unbranched nucleotide sequences with 10 or more “specifically defined” nucleotides
    - » unbranched, non-D amino acid sequences, with 4 or more “specifically defined” amino acids
- **A SL in computer readable form (CRF)**
  - 37 CFR §1.821(e) - a *copy* of SL part of the application must also be submitted in *computer readable form (CRF)*
- **The IA shall be communicated to each designated Office (DO)**
  - PCT Article 20
  - *Should* include any SL that *forms part of the IA*
  - A SL in electronic form that *does not form part of the IA (CRF) is not* communicated by the IB to the DO





# National Stage Application Contents

- **A national stage application (“371”) continues the prosecution of the IA**
  - Contents of the IA determines contents of the 371
- **Simply filing a SL on the date of first submission of the 371 DOES NOT make it *part of the application***
  - Unless the SL was already *part of the IA*
    - » If filed, should be accompanied by a letter explaining its status, e.g. “The sequence listing submitted herewith is identical to the sequence listing forming part of the international application.”
  - A SL that was *not part of the IA MUST* be accompanied by a preliminary amendment to enter it into the 371
    - » E.g., SL in text format submitted to the ISA/US in response to PCT/ISA/225
    - » See slide 28



# National Stage Entry for an IA Having a SL in Text Format as *Part of the IA*

- **SL in text format retrieved from the IB *ONLY* where Request indicates SL as *part of the IA* and SL published as *part of the IA***
  - No need to file SL upon National Stage entry
    - » If filed nonetheless, **MUST** include a statement of identity to the SL forming part of the IA
  - If SL is *not part of the IA*, preliminary amendment required (see slide 28)
  - SL in text format not subject to page fees
  - Text format manually uploaded into SCORE
    - » Bibliographic data updated (see slide 40)

IX	Check list	Number of sheets	Electronic file(s) attached
IX-1	Request (including declaration sheets)	<b>4</b>	✓
IX-2	Description	<b>51</b>	–
IX-3	Claims	<b>2</b>	
IX-4	Abstract	<b>1</b>	
IX-5	Drawings	<b>13</b>	
IX-6a	Sequence listing part of the description (also to be used for the purposes of international search)	–	✓
IX-7	TOTAL	<b>71</b>	

**SL is published as part of the IA**

**SL is indicated as part of the IA**

Published International Application			
Date	Title	View	Download
19.03.2015	Initial Publication with ISR (A1 11/2015)	<a href="#">PDF (72p.)</a>	<a href="#">PDF (72p.), ZIP(XML + TIFFs)</a>
19.03.2015	Sequence Listings		<a href="#">ZIP(XML + TIFFs)</a>



# National Stage Entry for an IA Having a SL in PDF Format as *Part of the IA*

- USPTO retrieves the SL in PDF format from the IB **ONLY** where it was *part of the IA* and was published as *part of the IA*
  - **MUST** still provide SL in text format – **NOT** retrieved from IB
    - » Together with a statement of identity
  - SL in PDF format subject to page fees
  - Uploaded into IFW

IX	Check list	Number of sheets	Electronic file(s) attached
IX-1	Request (including declaration sheets)	5	✓
IX-2	Description (excluding sequence listing part)	67	-
IX-3	Claims	11	-
IX-4	Abstract	1	✓
IX-5	Drawings	20	-
IX-7a	Sub-total number of sheets	110	-
IX-6	Sequence listing part of the description	6	-
IX-7	TOTAL	110	-
<b>Accompanying Items</b>		Paper document(s) attached	Electronic file(s) attached
IX-8	Fee calculation sheet	✓	-
IX-18	PCT-SAFE physical media	-	-
IX-19	A statement confirming that "the information in Annex C/ST.25 text format submitted under Rule 13ter is identical to the sequence listing as contained in the international application"	✓	-
IX-19	Other	<b>Transmittal</b>	
IX-19	Other	<b>Sequence Listing (TXT)</b>	

SL sheets are indicated as part of the IA

SL text file indicated only as Accompanying Item

SL sheets are published as part of the IA

Published International Application			
Date	Title	View	Download
06.03.2014	Initial Publication with ISR (A1 10/2014)	PDF (101p.)	PDF (101p.), ZIP(XML + TIFFs)
06.03.2014	Sequence Listings	PDF (6p.)	PDF (6p.), ZIP(XML + TIFFs)



# National Stage Entry for an IA NOT Having a *SL Part of the IA*

- **Submit a SL in text format *ONLY* via EFS-Web upon 371 entry**
    - Excluded when determining the application size fee
    - Serves both as part of the application **and** as the CRF
    - ***MUST*** file a ***preliminary amendment***, together with
      - » A statement that SL in text format does not introduce new matter to IA as of its IFD
      - » An indication of support for the amendment in the 371 application
      - » An incorporation by reference
        - A separate paragraph added to the SPEC that identifies
          - the name of the file
          - the date of creation
          - size of the file in bytes
        - As specified in the Legal Framework for EFS-Web
- [http://www.uspto.gov/patents/process/file/efs/guidance/New\\_legal\\_framework.jsp](http://www.uspto.gov/patents/process/file/efs/guidance/New_legal_framework.jsp)



# Revision of Patent Term Adjustment Provisions

- **Patent term adjustment will be reduced**
  - If an application is not in condition for examination within 8 months of
    - » Its filing date
    - » Date of commencement of national stage
  - “In condition for examination” includes
    - » A sequence listing in compliance with 37 CFR 1.821-1.825
    - » See 37 CFR 1.704(f)
  - Effective date - December 18, 2013
    - » <http://www.gpo.gov/fdsys/pkg/FR-2013-10-21/pdf/2013-24471.pdf>



# SL Text File to be Submitted upon National Stage Entry

- **From applicant's records, whenever available**
- **From Private or Public PAIR**
  - If the SL text file was provided April 2007 or later
  - Retrieved via the Supplemental Content Tab
    - » See slides 31-34
- **From PATENTSCOPE (IB website)**
  - Where a SL text file was provided
    - » *As part of the IA*
    - » For the purposes of search only under Rule 13ter (CRF) to the ISA
    - » See slides 35-39
- **USPTO will update the SL text file**
  - See slide 40



# Downloading SL Text File From PAIR (1)

Patent eBusiness

- Electronic Filing
- Patent Application Information (PAIR)
- Patent Ownership
- Fees
- Supplemental Resources & Support

Patent Information

- Patent Guidance and General Info
- Codes, Rules & Manuals
- Employee & Office Directories
- Resources & Public Notices

Patent Searches

- Patent Official Gazette
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- Search Biological Sequences
- Copies, Products & Services

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*\* indicates a required field*

You may search for a specific application or conduct a search related to a customer number.

### Search for Application:

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- Call the Patent Electronic Business Center at (866) 217-9197 (toll free) or e-mail [EBC@uspto.gov](mailto:EBC@uspto.gov) for specific questions about Patent Application Information Retrieval (PAIR).
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Patent Application Information Retrieval								
PCT/US14/56731								
Select New Case	Application Data	Transaction History	Image File Wrapper	Continuity Data	Published Documents	Address & Attorney/Agent	Supplemental Content	Assignments
<b>Bibliographic Data</b>								
Application Number:	PCT/US14/56731	Correspondence Address	76808	Customer Number:				
Int'l. Filing Date:	09-22-2014	Status:	-					
Application Type:	PCT	Status Date:	-					
Examiner Name:	-	Location: 	-					
Group Art Unit:	-	Location Date:	-					
Confirmation Number:	-	WIPO Publication No.:	WO 2015/042506					
Attorney Docket Number:	-	WIPO Publication Date:	03-26-2015					
Class / Subclass:	001/PCT.007	Patent Number:	-					
First Named Inventor:	-	Issue Date of Patent:	-					
First named Applicant:	-	International Registration Number (Hague):	-					
Entity Status:	-	International Registration Publication Date:	-					
AIA (First Inventor to File):	-							

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This page gives you information about the number of sequences, metatables and other types of supplemental content items associated with the application you requested. Select a link below to obtain version listings and/or download specific files.

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<a href="#">Drawings</a>	1

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<a href="#">1</a>	0	7	USPCTUS14567311.95		Sequence Listing	09/22/2014	<input checked="" type="radio"/>
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1. (WO2015042506) HIGH-THROUGHPUT SINGLE MOLECULE PROTEIN IDENTIFICATION .

PCT Biblio. Data Description Claims National Phase Notices Drawings Documents

Latest bibliographic data on file with the International Bureau [Submit observation](#) PermaLink

Pub. No.: WO/2015/042506 International Application No.: PCT/US2014/056731  
Publication Date: 26.03.2015 International Filing Date: 22.09.2014

IPC: G01N 33/53 (2006.01)

Applicants: THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK [US/US]; 412 Low Memorial Library 535 West 116th Street New York, NY 10027 (US)

Inventors: SIMS, Peter, A.; (US)

Agent: CARNEY, Bonnie, K.; (US)

Priority Data: 61/881,180 23.09.2013 US

Title (EN) HIGH-THROUGHPUT SINGLE MOLECULE PROTEIN IDENTIFICATION  
(FR) IDENTIFICATION À HAUT DÉBIT DE PROTÉINES MOLÉCULAIRES INDIVIDUELLES

Abstract: (EN) The present invention is methods and assays for identifying single proteins from a sample, without the use of affinity reagents. The methods and assays combine endopeptidase-based component of conventional peptide mapping with single molecule labeling and a microreactor array platform. The invention also includes kits for performing the methods and assays.  
(FR) La présente invention concerne des procédés et des tests pour identifier des protéines individuelles provenant d'un échantillon, sans utiliser de réactifs d'affinité. Les procédés et les tests combinent un composant à base d'endopeptidase de cartographie de peptide classique à un marquage de molécule individuelle et à une plateforme de réseau de microfacteurs. L'invention concerne également des kits permettant de mettre en œuvre les procédés et les tests.

Designated States: AE, AG, AL, AM, AO, AT, AU, AZ, BA, BB, BG, BH, BN, BR, BW, BY, BZ, CA, CH, CL, CN, CO, CR, CU, CZ, DE, DK, DM, DO, DZ, EC, EE, EG, ES, FI, GB, GD, GE, GH, GM, GT, HN, HR, HU, ID, IL, IN, IR, IS, JP, KE, KG, KN, KP, KR, KZ, LA, LC, LK, LR, LS, LU, LY, MA, MD, ME, MG, MK, MN, MW, MX, MY, MZ, NA, NG, NI, NO, NZ, OM, PA, PE, PG, PH, PL, PT, QA, RO, RS, RU, RW, SA, SC, SD, SE, SG, SK, SL, SM, ST, SV, SY, TH, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, ZA, ZM, ZW.

African Regional Intellectual Property Org. (ARIPO) (BW, GH, GM, KE, LR, LS, MW, MZ, NA, RW, SD, SL, ST, SZ, TZ, UG, ZM, ZW)  
Eurasian Patent Organization (EAPO) (AM, AZ, BY, KG, KZ, RU, TJ, TM)  
European Patent Office (EPO) (AL, AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IS, IT, LT, LU, LV, MC, MK, MT, NL, NO, PL, PT, RO, RS, SE, SI, SK, SM, TR)  
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Publication Language: English (EN)  
Filing Language: English (EN)

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IA Number



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1. (WO2015042506) HIGH-THROUGHPUT SINGLE MOLECULE PROTEIN IDENTIFICATION .  
PCT Biblio. Data Description Claims National Phase Notices Drawings Documents

International Application Status			
Date	Title	View	Download
28.03.2015	International Application Status Report	HTML, PDF	PDF, XML

Published International Application			
Date	Title	View	Download
26.03.2015	Initial Publication with ISR (A1 12/2015)	PDF (46p.)	PDF (46p.), ZIP(XML + TIFFs)
26.03.2015	Sequence Listings		ZIP(XML + TIFFs)

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1. (WO2014210555) COMPOUNDS THAT INDUCE ABA RESPONSES.

PCT Biblio. Data | Description | Claims | National Phase | Notices | Drawings | Documents

International Application Status (2)			
Date	Title	View	Download
25.03.2015	International Application Status Report	HTML, PDF	PDF, XML

Published International Application			
Date	Title	View	Download
31.12.2014	Initial Publication with ISR (A1 53/2014)	PDF (104p.)	PDF (104p.), ZIP(XML + TIFFs)
31.12.2014	Sequence Listings	PDF (75p.)	PDF (75p.), ZIP(XML + TIFFs)

Search and Examination-Related Documents			
Date	Title	View	Download
31.12.2014	International Search Report	PDF (4p.)	PDF (4p.), ZIP(XML + TIFFs)

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20.02.2015	Request for Change under Rule 92bis	PDF (4p.)	PDF (4p.), ZIP(XML + TIFFs)
20.02.2015	(IB/306) Notification of the Recording of a Change	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
20.01.2015	(IB/308) Notice Informing the Applicant of the Communication of the International Application to the Designated Offices	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
31.12.2014	US 61/840,967 28.06.2013 (Pr. Doc.)	PDF (98p.)	PDF (98p.), ZIP(XML + TIFFs)
31.12.2014	(RO/102) Notification Concerning Payment of Prescribed Fees	PDF (2p.)	PDF (2p.), ZIP(XML + TIFFs)
31.12.2014	(RO/101) Request form	PDF (5p.)	PDF (5p.), ZIP(XML + TIFFs)
31.12.2014	(RO/101) Request form	PDF (5p.)	PDF (5p.), ZIP(XML + TIFFs)
31.12.2014	(IB/304) Notification Concerning Submission or Transmittal of Priority Document	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
31.12.2014	(RO/105) Notification of the International Application Number and of the International Filing Date	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
31.12.2014	(IB/311) Notification Concerning Availability of Publication of the International Application	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
31.12.2014	(RO/146) Notification Regarding Certain Corrections Made Ex Officio	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
31.12.2014	Sequence listing only for the purposes of international search (Rule 13ter)	PDF (0p.)	PDF (0p.), ZIP(XML + TIFFs)
31.12.2014	(IB/301) Notification of receipt of record copy	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
31.12.2014	Application Body as Filed	PDF (101p.)	PDF (101p.), ZIP(XML + TIFFs)

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For SL in text format



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Date	Title	View	Download
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20.02.2015	(IB/306) Notification of the Recording of a Change	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
20.01.2015	(IB/308) Notice Informing the Applicant of the Communication of the International Application to the Designated Offices	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
31.12.2014	US 61/840,967 28.06.2013 (Pr. Doc.)	PDF (98p.)	PDF (98p.), ZIP(XML + TIFFs)
31.12.2014	(RO/102) Notification Concerning Payment of Prescribed Fees	PDF (2p.)	PDF (2p.), ZIP(XML + TIFFs)
31.12.2014	(RO/101) Request form	PDF (5p.)	PDF (5p.), ZIP(XML + TIFFs)
31.12.2014	(RO/101) Request form	PDF (5p.)	PDF (5p.), ZIP(XML + TIFFs)
31.12.2014	(IB/304) Notification Concerning Submission or Transmittal of Priority Document	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
31.12.2014	(RO/105) Notification of the International Application Number and of the International Filing Date	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
31.12.2014	(IB/311) Notification Concerning Availability of Publication of the International Application	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
31.12.2014	(RO/146) Notification Regarding Certain Corrections Made Ex Officio	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
31.12.2014	Sequence listing only for the purposes of international search (Rule 13ter)	PDF (0p.)	PDF (0p.), ZIP(XML + TIFFs)
31.12.2014	(IB/301) Notification of receipt of record copy	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
31.12.2014	Application Body as Filed	PDF (101p.)	PDF (101p.), ZIP(XML + TIFFs)

Click “ZIP(XML + TIFFs)”  
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# Submitting a SL Text File in a U.S. National Stage Application

- **Upon national stage entry**
  - The IA number may not be in the SL, and
  - The 371 application number may not be known
- **The USPTO will update the SL as needed, e.g., to insert**
  - The 371 application number
  - The 371(c) date
  - The IA number and IFD

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SEQUENCE LISTING
<110> Georgia Tech Research Corporation
      Williams, Loren D
      Hsiao, Chiaolong
      Fang, Po-Yu
      Williams, Justin
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<160> 4
<170> PatentIn version 3.5
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<213> Artificial Sequence
<220>
<223> non-coding interfering RNA
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# Editing a SL Text File

- **Best Practice**
  - Open “Project File” from PatentIn or other software
    - » Save as a new project
- **If original file is not available**
  - Open in a text editor that produces files **ONLY** in ASCII format
    - » Such as NotePad or an equivalent software
  - NOT recommended to use word processing software that produces files in ASCII **as well as** non-ASCII formats
    - » Such as WORD, WordPad, or Word Perfect



# Transfer Requests under 37 CFR 1.821(e)

- **Introduced with sequence rules that became effective in 1990**
  - For use when the original CRF was not available to the filer
- **37 CFR §1.821(e) provides for “transfer” of a *compliant* CRF**
  - From another application **on file in the Office** to a new application
  - Where the CRF of the new application is to be identical
  - The other application and the CRF must be completely identified
  - Applicant must state that the CRF from the other application is identical to the **paper** (or PDF equivalent) or **CD** copy (under 37 CFR §1.52(e)) of the **SL contained** in the **new** application
    - » i.e., the **new** application **must** itself contain a SL that ***forms part of the application***



# SL Text Format Submission Preferred over Transfer Request

- **SL in text format can be easily retrieved from**
  - Applicant's records
  - Private or Public PAIR via Supplemental Content Tab
  - From PATENTSCOPE (WIPO website) for an IA
- **Transfer Request has numerous disadvantages**
  - A SL in PDF or paper **MUST** be *part of the new application*
    - » Where SL not *part of IA*, amendment required to include in 371
    - » Included in application size fee
    - » Statement of identity required
  - Other application and CRF must be completely identified
  - Often introduces delay when requirements are not met



# SL Transfer Request Problems

- **Transfer often requested in an application having NO PDF or paper *SL part of the application***
  - Response to defective transfer request must include
    - » A new transfer request, a PDF or paper SL, as well as an amendment entering the SL into the application
- **CRF to be transferred is not adequately identified**
  - Application number, filing date, and submission date of CRF required
- **No compliant CRF on file in the Office**
- **No statement that CRF to be transferred is identical to PDF or paper *SL part of application***



# Transfer Request Form

- RECOMMENDATION
  - If transfer *must* be requested
    - » Use PTO/SB/93
      - Revised November 2014
      - Contains necessary statements
      - Easy to understand/complete
      - Reduces errors

<http://www.uspto.gov/sites/default/files/forms/sb0093.pdf>

Doc Code: CRF.TRNS.REQ  
 Document Description: Request for Transfer of a Computer Readable Form  
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REQUEST FOR TRANSFER OF A COMPUTER READABLE FORM UNDER 37 CFR 1.821(e)	
Application No.:	First Named Inventor:
Filing Date:	Practitioner Docket No.:
Title of the Invention:	
<p>The sequence information in the paper copy or PDF file of the Sequence Listing contained in this application in accordance with 37 CFR 1.821(c), filed:</p> <p><input type="checkbox"/> as part of the originally-filed specification of this application;</p> <p><input type="checkbox"/> as a separate amendment of the specification filed:</p> <p style="margin-left: 40px;"><input type="checkbox"/> herewith;</p> <p style="margin-left: 40px;"><input type="checkbox"/> on _____;</p> <p>for the above identified application, is identical to the sequence information in the</p> <p><input type="checkbox"/> only computer readable form</p> <p><input type="checkbox"/> last filed computer readable form</p> <p><input type="checkbox"/> other computer readable form, which was filed on _____</p> <p>in application number _____, which was filed on _____.</p> <p>This computer readable form was compliant with 37 CFR 1.821-1.825, and applicant hereby requests that it be used as the computer readable form for the present application, in accordance with 37 CFR 1.821(e).</p> <p>The above referenced paper copy or PDF file of the Sequence Listing contains no new matter.</p> <p>A sequence listing text file submitted via EFS-Web that complies with the requirements of 37 CFR 1.824(a) (2)-(6) and (b) (i.e., is a compliant sequence listing ASCII text file), serves as both the paper copy required by 37 CFR 1.821(c) and the CRF required by 37 CFR 1.821(e). If a user submits a compliant sequence listing ASCII text file via EFS-Web, the U.S. Patent and Trademark Office will not carry out a request to use a compliant computer readable "Sequence Listing" that is already on file for another application pursuant to 37 CFR 1.821(e) but will use the sequence listing submitted with the application as originally filed via EFS-Web.</p> <p>It is understood that upon the transfer of a copy of the computer readable form to this application, the U.S. Patent and Trademark Office will update the copy of the computer readable form to reflect the application number and filing date for this application.</p>	
Signature _____	Date _____
Name (Print/Typed) _____	Practitioner Registration Number _____
<p><b>Note:</b> This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4(d) for signature requirements and certifications. Submit multiple forms if more than one signature is required.*</p> <p><input type="checkbox"/> *Total of _____ forms are submitted.</p>	

This collection of information is required by 35 U.S.C. 22 and 37 CFR 1.821-1.825. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.



# Example of a PROPER Transfer Request

- **An IA was filed with the RO/US and includes**
  - A SL in PDF format as *part of the IA*
- **AND**
  - A compliant CRF
- **The IA enters national stage under 35 U.S.C. §371**
  - The SL *forming part of the IA* in PDF format is in IFW for the 371
    - » From the IB
  - Transfer of the compliant CRF from the IA into the 371 is requested
    - » The IA and CRF are completely identified
    - » A statement is provided that the CRF from the IA is identical to the SL in PDF format *forming part of the 371*



# Example 1 of an IMPROPER Transfer Request

- **An IA was filed with the RO/US**
  - **NO** SL provided as *part of the IA*
  - A compliant CRF was provided to ISA/KR in response to a PCT/ISA/225
- **The IA enters national stage under 35 U.S.C. §371**
  - Transfer of the compliant CRF from the IA into the 371 is requested
  - **PROBLEMS**
    - » The IA **DID NOT** have a SL *part of the application*
      - Therefore, the 371 **DOES NOT** have a SL *part of the application*
    - » Transfer requests are effective **ONLY** for transfer of the compliant CRF - **NOT** the SL *part of the application*
    - » **NO** compliant CRF **on file in the Office**
    - » Request will not be granted
- **Best resolution**
  - Submit the SL text file as an amendment to the 371 (see slide 28)
    - » Can be obtained from applicant records, public PAIR, or PATENTSCOPE



# Example 2 of an IMPROPER Transfer Request

- **An IA was filed with the RO/US via EFS-Web and includes**
  - A compliant SL text file, which serves as *part of the IA* and as the CRF
- **A new Con, CIP, or Div of the IA is filed with NO SL**
  - Together with a request to transfer the compliant CRF from the IA
  - **PROBLEMS**
    - » The **new** application has **NO** SL *part of the application*
    - » Transfer requests are effective **ONLY** for transfer of the compliant CRF - **NOT** the SL *part of the application*
  - Request will not be granted
- **Best resolution**
  - Submit the SL text file as an amendment to the 371 (see slide 28)
    - » Can be obtained from applicant records, public PAIR, or PATENTSCOPE





# Sequence Systems Service Center (S3C) Help Desk

- **For questions regarding**
  - Sequence compliance
  - Request for Transfer of a CRF
- **(571) 272-2510**
- **STIC-SSSCHelpdesk@uspto.gov**



## Revision of WIPO ST.25 Standard for the Presentation of Nucleotide and Amino Acids Sequence Listings in Patent Applications

- **ST.25 became effective in 1998, has not been revised since**
- **Committee on WIPO Standards (CWS) established a Task Force in October 2010 to revise ST.25**
  - European Patent Office (EPO) designated as Task Force Leader
  - Work of the Task Force accomplished via a Wiki on the WIPO Web site
    - » Access restricted to Task Force members only
  - USPTO has 2 people on the Task Force and a team of people working on the standard
- **Proposed revision is both technical and substantive**
  - New standard will be based on XML
  - Substantive changes under discussion
- **Adoption of the new standard at CWS has been delayed**
  - Effective date and transition provisions not yet determined



# UNITED STATES PATENT AND TRADEMARK OFFICE

**Thank You!**

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**Sue Wolski**

**International Patent Legal Administration**

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