

International Applications Containing a Sequence Listing

Conventional Request (Form PCT/RO/101 (July 2009)) Box No. IX and the Annex (Fee Calculation Sheet)

The conventional Request for July 2009 (Form PCT/RO/101 (July 2009)) contains two alternative last sheets, one for an International Application (IA) filed via EFS-Web and one for an IA filed on paper.

The EFS-Web alternative provides for the filing of a Sequence Listing (SL) forming part of the IA, either a.) in Annex C/ST.25 text format only, which is highly recommended and financially preferable, since no fees are assessed for this SL, or b.) in PDF format, for which fees are assessed for each sheet, accompanied by an Annex C/ST.25 text format of the SL for search under PCT Rule 13*ter*.

For IAs filed on paper, the SL forming part of the IA must be filed on paper, for which fees are assessed for each sheet, accompanied by an Annex C/ST.25 text format of the SL for search under PCT Rule 13*ter*.

If the SL text file is larger than 100 MB, the SL cannot be filed via EFS-Web; however, the SL can be submitted in Annex C/ST.25 text format on a CD via Express Mail or hand-carry on the same day the remainder of the IA is filed via EFS-Web. No page fees are assessed for a SL filed in this manner.

Examples are provided for filling out the Request (Form PCT/RO/101) and the Fee Calculation Sheet for IAs filed using the following scenarios ("C" designates "Conventional Request"):

PREFERRED

C1. EFS-Web with Annex C/ST.25 text format SL *only* (SL <100 MB)

C1.A. Box IX of the Request (Form PCT/RO/101) (last sheet – EFS) (July 2009)

C1.B. Fee Calculation Sheet (Form PCT/RO/101) (Annex) (July 2009)

OTHER ALTERNATIVES

C2. EFS-Web with PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

C2.A. Box IX of the Request (Form PCT/RO/101) (last sheet – EFS) (July 2009)

C2.B. Fee Calculation Sheet (Form PCT/RO/101) (Annex) (July 2009)

C3. PAPER SL + Annex C/ST.25 text format SL for search on CD

C3.A. Box IX of the Request (Form PCT/RO/101) (last sheet – paper) (July 2009)

C3.B. Fee Calculation Sheet (Form PCT/RO/101) (Annex) (July 2009)

C4. EFS-Web with Annex C/ST.25 text format SL *only* on CD (SL >100 MB)

C4.A. Box IX of the Request (Form PCT/RO/101) (last sheet – EFS) (July 2009)

C4.B. Fee Calculation Sheet (Form PCT/RO/101) (Annex) (July 2009)

C1. EFS-Web with Annex C/ST.25 text format SL *only* (SL <100MB)

C1.A. Box IX of the Request (Form PCT/RO/101) (last sheet – EFS) (July 2009)

1. DO NOT FILL IN Item (f)
2. Mark the first box under Item (g)
3. DO NOT MARK Item 9 or 10¹

Checklist for
EFS-Web filing

	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		Items on the right side of the Request are not part of the IA																																							
Items on the left side of the Request form part of the IA	<p>This international application contains the following:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">(a) request form PCT/RO/101 (including any declarations and supplemental sheets)</td> <td style="width: 20%; text-align: center;">3</td> </tr> <tr> <td>(b) description (excluding any sequence listing part of the description, see (f), below)</td> <td style="text-align: center;">30</td> </tr> <tr> <td>(c) claims</td> <td style="text-align: center;">5</td> </tr> <tr> <td>(d) abstract</td> <td style="text-align: center;">1</td> </tr> <tr> <td>(e) drawings (if any)</td> <td style="text-align: center;">10</td> </tr> <tr> <td>(f) sequence listing part of the description in the form of an image file (e.g. PDF)</td> <td style="text-align: center;">49</td> </tr> <tr> <td colspan="2">Total number of sheets (including the sequence listing part of the description if filed as an image file)</td> </tr> <tr> <td colspan="2" style="text-align: center;">49</td> </tr> </table> <p>(g) sequence listing part of the description</p> <p><input checked="" type="checkbox"/> filed in the form of an Annex C/ST.25 text file</p> <p><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</p> <p>Indicate type and number of physical data carrier(s)</p>	(a) request form PCT/RO/101 (including any declarations and supplemental sheets)	3	(b) description (excluding any sequence listing part of the description, see (f), below)	30	(c) claims	5	(d) abstract	1	(e) drawings (if any)	10	(f) sequence listing part of the description in the form of an image file (e.g. PDF)	49	Total number of sheets (including the sequence listing part of the description if filed as an image file)		49		<p>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):</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">1. <input type="checkbox"/> fee calculation sheet</td> <td style="width: 20%;"></td> </tr> <tr> <td>2. <input type="checkbox"/> original separate power of attorney</td> <td></td> </tr> <tr> <td>3. <input type="checkbox"/> original general power of attorney</td> <td></td> </tr> <tr> <td>4. <input type="checkbox"/> copy of general power of attorney, reference number</td> <td></td> </tr> <tr> <td>5. <input type="checkbox"/> statement explaining lack of signature</td> <td></td> </tr> <tr> <td>6. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s)</td> <td></td> </tr> <tr> <td>7. <input type="checkbox"/> Translation of international application into (language):</td> <td></td> </tr> <tr> <td>8. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material</td> <td></td> </tr> <tr> <td>9. <input type="checkbox"/> <i>(only where item (f) is marked in the left column)</i> 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</td> <td></td> </tr> <tr> <td>10. <input type="checkbox"/> <i>(only where item (f) is marked in the left column)</i> 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:</td> <td></td> </tr> <tr> <td>11. <input type="checkbox"/> copy of results of earlier search(es) (Rule 12bis.1(a))</td> <td></td> </tr> <tr> <td>12. <input type="checkbox"/> other (specify):</td> <td></td> </tr> </table>	1. <input type="checkbox"/> fee calculation sheet		2. <input type="checkbox"/> original separate power of attorney		3. <input type="checkbox"/> original general power of attorney		4. <input type="checkbox"/> copy of general power of attorney, reference number		5. <input type="checkbox"/> statement explaining lack of signature		6. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s)		7. <input type="checkbox"/> Translation of international application into (language):		8. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material		9. <input type="checkbox"/> <i>(only where item (f) is marked in the left column)</i> 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		10. <input type="checkbox"/> <i>(only where item (f) is marked in the left column)</i> 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:		11. <input type="checkbox"/> copy of results of earlier search(es) (Rule 12bis.1(a))		12. <input type="checkbox"/> other (specify):	
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<p>1. DO NOT fill in</p> <p>2. Mark this box</p>	<p>Figure of the drawings which should accompany the abstract: 1</p> <p>Language of filing of the international application: English</p>	<p>3. DO NOT mark these boxes</p>																																								
<p>Form PCT/RO/101 (last sheet – EFS) (July 2009)</p>		<p style="text-align: right;"><i>See Notes to the request form</i></p>																																								

¹ The single Annex C/ST.25 text file serves both as part of the international application and as the search tool under PCT Rule 13ter. Thus, no statement under PCT Rule 13ter is required.

C1. EFS-Web with Annex C/ST.25 text format SL *only* (SL <100MB)

C1.B. Fee Calculation Sheet (Form PCT/RO/101) (Annex) (July 2009)

July 1, 2009 Fees

International filing fee (first 30 sheets) \$1095 (\$1184 - \$89 for electronic filing)
 Each sheet in excess of 30 \$13
 SL in Annex C/ST.25 text format No fee

PCT

FEE CALCULATION SHEET

Annex to the Request

For receiving Office use only

International Application No.

Date stamp of the receiving Office

Applicant's or agent's
file reference **SL-001**

Applicant
SL Company

CALCULATION OF PRESCRIBED FEES

1. TRANSMITTAL FEE

2. SEARCH FEE

International search to be carried out by KR
(If two or more International Searching Authorities are competent to carry out the international search, indicate the name of the Authority which is chosen to carry out the international search.)

3. INTERNATIONAL FILING FEE

Enter total number of sheets indicated in Box No IX: 49

first 30 sheets

 19 x 13 =
number of sheets in excess of 30 fee per sheet

Add amounts entered at i1 and i2 and enter total at I

(Applicants from certain States are entitled to a reduction of 90% of the international filing fee. Where the applicant is (or all applicants are) so entitled, the total to be entered at I is 10% of the international filing fee.)

4. FEE FOR PRIORITY DOCUMENT (if applicable)

5. FEE FOR RESTORATION OF THE RIGHT OF PRIORITY (if applicable) .

6. FEE FOR EARLIER SEARCH DOCUMENTS (if applicable)

7. TOTAL FEES PAYABLE

Add amounts entered at T, S, I, P, RP and ES,
and enter total in the TOTAL box

C2. EFS-Web with PDF SL + Annex C/ST.25 text format SL for search (SL < 100 MB)

C2.A. Box IX of the Request (Form PCT/RO/101) (last sheet – EFS) (July 2009)

1. Indicate in Item (f) the number of sheets of SL in PDF format (sheets are included in total number of sheets and fees are assessed for each sheet over 30)
2. Under PCT Rule 13ter, ISA/US requires the application be accompanied by:
 - i. Annex C/ST.25 text file of the SL – Mark Item 9
 - ii. Statement of identity – Mark Item 10, indicate 1 statement

Checklist for EFS-Web filing

Items on the left side of the Request form part of the IA

Items on the right side of the Request are not part of the IA

1. Fill in # of SL sheets in PDF format

2. Mark these boxes, indicate 1 statement

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)	3	1. <input type="checkbox"/> fee calculation sheet	:
(b) description (excluding any sequence listing part of the description, see (f), below)	30	2. <input type="checkbox"/> original separate power of attorney	:
(c) claims	5	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"/> statement explaining lack of signature	:
(f) sequence listing part of the description in the form of an image file (e.g. PDF)	250	6. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s)	:
Total number of sheets (including the sequence listing part of the description if filed as an image file)	299	7. <input type="checkbox"/> Translation of international application into (language):	:
(g) sequence listing part of the description		8. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material	:
<input type="checkbox"/> filed in the form of an Annex C/ST.25 text file		9. <input checked="" 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"/> 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 checked="" 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:	1
Indicate type and number of physical data carrier(s)		11. <input type="checkbox"/> copy of results of earlier search(es) (Rule 12bis.1(a))	:
		12. <input type="checkbox"/> other (specify):	:
Figure of the drawings which should accompany the abstract:	1	Language of filing of the international application:	English

C2. EFS-Web with PDF SL + Annex C/ST.25 text format SL for search (SL < 100 MB)

C2.B. Fee Calculation Sheet (Form PCT/RO/101) (Annex) (July 2009)

July 1, 2009 Fees

International filing fee (first 30 sheets) \$1095 (\$1184 - \$89 for electronic filing)
 Each sheet in excess of 30, including SL in Annex C/ST.25 PDF format \$13

PCT

FEE CALCULATION SHEET
Annex to the Request

For receiving Office use only

International Application No.

Date stamp of the receiving Office

Applicant's or agent's file reference **SL-001**

Applicant
SL Company

CALCULATION OF PRESCRIBED FEES

1. TRANSMITTAL FEE

2. SEARCH FEE

International search to be carried out by KR
(If two or more International Searching Authorities are competent to carry out the international search, indicate the name of the Authority which is chosen to carry out the international search.)

3. INTERNATIONAL FILING FEE

Enter total number of sheets indicated in Box No IX: 299

first 30 sheets

 269 x 13 =
number of sheets in excess of 30 fee per sheet

Add amounts entered at i1 and i2 and enter total at I

(Applicants from certain States are entitled to a reduction of 90% of the international filing fee. Where the applicant is (or all applicants are) so entitled, the total to be entered at I is 10% of the international filing fee.)

4. FEE FOR PRIORITY DOCUMENT (if applicable)

5. FEE FOR RESTORATION OF THE RIGHT OF PRIORITY (if applicable) .

6. FEE FOR EARLIER SEARCH DOCUMENTS (if applicable)

7. TOTAL FEES PAYABLE

Add amounts entered at T, S, I, P, RP and ES, and enter total in the TOTAL box

5441
TOTAL

C3. PAPER SL + Annex C/ST.25 text format SL for search on CD

C3.A. Box IX of the Request (Form PCT/RO/101) (last sheet – paper) (July 2009)

1. Indicate in Item (f) the number of sheets of SL in paper (sheets are included in total number of sheets and fees are assessed for each sheet over 30)
2. Under PCT Rule 13ter, ISA/US requires the application be accompanied by:
 - i. Annex C/ST.25 text file of the SL on CD – Mark Item 9, indicate 1 .txt-CD²
 - ii. Statement of identity – Mark Item 10, indicate 1 statement

Checklist for PAPER filing

Items on the left side of the Request form part of the IA

Items on the right side of the Request are not part of the IA

Box No. IX CHECK LIST for PAPER filings – this sheet is only to be used when filing an international application on PAPER			
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)	3	1. <input type="checkbox"/> fee calculation sheet	
(b) description (excluding any sequence listing part of the description, see (f), below)	30	2. <input type="checkbox"/> original separate power of attorney	
(c) claims	5	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"/> statement explaining lack of signature	
(f) sequence listing part of the description (if any)	250	6. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s)	
Total number of sheets	299	7. <input type="checkbox"/> Translation of international application into (language):	
		8. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material	
		9. <input checked="" type="checkbox"/> copy in electronic form (Annex C/ST.25 text file) on physical data carrier(s) of the sequence listing, not forming part of the international application, which is furnished only for the purposes of international search under Rule 13ter (type and number of physical data carriers)	1.txt-CD
		10. <input checked="" type="checkbox"/> 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 on paper	1
		11. <input type="checkbox"/> copy of results of earlier search(es) (Rule 12bis.1(a))	
		12. <input type="checkbox"/> other (specify):	
Figure of the drawings which should accompany the abstract:	1	Language of filing of the international application:	English

1. Fill in # of SL sheets in paper

2. Mark boxes 9 and 10, indicate 1 .txt CD and 1 statement

² The CD(s) should clearly labeled in accordance with Annex F, Appendix IV, 2(f).

C3. PAPER SL + Annex C/ST.25 text format SL for search on CD

C3.B. Fee Calculation Sheet (Form PCT/RO/101) (Annex) (July 2009)

July 1, 2009 Fees

International filing fee (first 30 sheets) \$1184 (no reduction for paper filing)
 Each sheet in excess of 30, including SL in Annex C/ST.25 in paper \$13

PCT

FEE CALCULATION SHEET
Annex to the Request

For receiving Office use only

International Application No.

Date stamp of the receiving Office

Applicant's or agent's file reference **SL-001**

Applicant
SL Company

CALCULATION OF PRESCRIBED FEES	
1. TRANSMITTAL FEE	240 <input type="text" value="T"/>
2. SEARCH FEE	609 <input type="text" value="S"/>
International search to be carried out by <u> KR </u> <i>(If two or more International Searching Authorities are competent to carry out the international search, indicate the name of the Authority which is chosen to carry out the international search.)</i>	
3. INTERNATIONAL FILING FEE	
Enter total number of sheets indicated in Box No IX: <u> 299 </u>	
<input type="text" value="i1"/> first 30 sheets	<u> 1184 </u> <input type="text" value="i1"/>
<input type="text" value="i2"/> <u> 269 </u> x <u> 13 </u> = <u> 3497 </u> <input type="text" value="i2"/> <small>number of sheets in excess of 30 fee per sheet</small>	
Add amounts entered at i1 and i2 and enter total at I	<u> 4681 </u> <input type="text" value="I"/>
<i>(Applicants from certain States are entitled to a reduction of 90% of the international filing fee. Where the applicant is (or all applicants are) so entitled, the total to be entered at I is 10% of the international filing fee.)</i>	
4. FEE FOR PRIORITY DOCUMENT (if applicable)	<input type="text" value="P"/>
5. FEE FOR RESTORATION OF THE RIGHT OF PRIORITY (if applicable)	<input type="text" value="RP"/>
6. FEE FOR EARLIER SEARCH DOCUMENTS (if applicable)	<input type="text" value="ES"/>
7. TOTAL FEES PAYABLE	<u> 5530 </u>
Add amounts entered at T, S, I, P, RP and ES, and enter total in the TOTAL box	<u> TOTAL </u>

C4. EFS-Web with Annex C/ST.25 text format SL *only* (on CD) (SL > 100 MB)

C4.A. Box IX of the Request (Form PCT/RO/101) (last sheet – EFS) (July 2009)

In the rare circumstance where the SL is too large for EFS-Web,

1. DO NOT FILL IN Item (f)
2. Mark the second box under Item (g)
3. Indicate the number of CDs submitted via Express Mail or hand-carry the same day the remainder of the application is filed via EFS-Web³
4. DO NOT MARK Item 9 or 10⁴

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	<table border="1" style="width: 100%;"> <thead> <tr> <th style="width: 60%;">This international application contains the following:</th> <th style="width: 20%;">Number of sheets</th> <th style="width: 20%;">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):</th> <th style="width: 20%;">Number of items</th> </tr> </thead> <tbody> <tr> <td>(a) request form PCT/RO/101 (including any declarations and supplemental sheets)</td> <td style="text-align: center;">3</td> <td>1. <input type="checkbox"/> fee calculation sheet</td> <td style="text-align: center;">:</td> </tr> <tr> <td>(b) description (excluding any sequence listing part of the description, see (f), below)</td> <td style="text-align: center;">30</td> <td>2. <input type="checkbox"/> original separate power of attorney</td> <td style="text-align: center;">:</td> </tr> <tr> <td>(c) claims</td> <td style="text-align: center;">5</td> <td>3. <input type="checkbox"/> original general power of attorney</td> <td style="text-align: center;">:</td> </tr> <tr> <td>(d) abstract</td> <td style="text-align: center;">1</td> <td>4. <input type="checkbox"/> copy of general power of attorney; 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³ The CD(s) and an accompanying letter should clearly indicate that the CD(s) contain(s) a sequence listing forming part of the international application in Annex C/ST.25 text format, labeled in accordance with Annex F, Appendix IV, 2(f).

⁴ The single Annex C/ST.25 text file serves both as part of the international application and as the search tool under PCT Rule 13ter. Thus, no statement under PCT Rule 13ter is required.

C4. EFS-Web with Annex C/ST.25 text format SL only on CD (SL >100 MB)

C4.B. Fee Calculation Sheet (Form PCT/RO/101) (Annex) (July 2009)

July 1, 2009 Fees

International filing fee (first 30 sheets) \$1095 (\$1184 - \$89 for electronic filing)
 Each sheet in excess of 30 \$13
 SL in Annex C/ST.25 text format No fee

PCT

**FEE CALCULATION SHEET
Annex to the Request**

For receiving Office use only

International Application No.

Date stamp of the receiving Office

Applicant's or agent's
file reference **SL-001**

Applicant
SL Company

CALCULATION OF PRESCRIBED FEES

1. TRANSMITTAL FEE

2. SEARCH FEE

International search to be carried out by KR
(If two or more International Searching Authorities are competent to carry out the international search, indicate the name of the Authority which is chosen to carry out the international search.)

3. INTERNATIONAL FILING FEE

Enter total number of sheets indicated in Box No IX: 49

first 30 sheets

 19 x 13 =
number of sheets in excess of 30 fee per sheet

Add amounts entered at i1 and i2 and enter total at I

(Applicants from certain States are entitled to a reduction of 90% of the international filing fee. Where the applicant is (or all applicants are) so entitled, the total to be entered at I is 10% of the international filing fee.)

4. FEE FOR PRIORITY DOCUMENT (if applicable)

5. FEE FOR RESTORATION OF THE RIGHT OF PRIORITY (if applicable) .

6. FEE FOR EARLIER SEARCH DOCUMENTS (if applicable)

7. TOTAL FEES PAYABLE

Add amounts entered at T, S, I, P, RP and ES,
and enter total in the TOTAL box