



UNITED STATES PATENT AND TRADEMARK OFFICE

Sequence Listings

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Office of PCT 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
- Transfer requests under 37 C.F.R. §1.821(e)
- Revision of WIPO ST.25 – Standard for the Presentation of Nucleotide and Amino Acid Sequence Listings in Patent Applications



SLs in IAs under the PCT

- PCT Rule 5.2(a) specifies that where an IA contains disclosure of one or more nucleotide and/or amino acid sequences, the description **shall** contain a SL
 - SL forming part of the IA
 - Sometimes called the “paper copy” or “written form”
 - Originally filed, corrected under Rule 26, or added by amendment under Article 34(2)(b)
 - Separated and numbered separately from the rest of the description
- AND
- PCT Rule 13ter.1(a) specifies that where an IA contains disclosure of one or more sequences, the International Searching Authority (ISA) may invite applicant to furnish for search purposes, a SL in electronic form
 - SL **not** forming part of the IA
 - Sometimes called the “CRF,” “search tool,” or “electronic form”
 - Filed in computer readable form (CRF) – text format
 - » Not required where the SL forming part of the IA was filed in text format



Historical Reference for SLs in International Applications filed in RO/US

- Prior to Jan 2001 – Sequence listings (SLs) were required to be filed
 - On paper as part of the description, and
 - In electronic form for search purposes
- Jan 2001 – SLs could be filed under PCT Administrative Instructions (AI) Part 8
 - In electronic form (CD) as part of the description, and
 - In electronic form (CD) for search purposes
- Sep 2002 - SL related tables could be filed under PCT AI Part 8/*Annex C-bis*
 - In electronic form (CD) as part of the description
- Oct 2006 - SL and related tables could be filed under PCT AI Part 7
 - Via EFS-Web as part of a wholly electronic IA
 - » In PDF format as part of the description and in text format as the search tool or
 - » In text format as part of the description, which also serves as the search tool
 - ◆ SL or tables could be filed in text format on CD on the same day (via hand-carry or Express Mail) if the file is too large for EFS-Web



Options for Filing a SL or Tables on/after July 1, 2009 in RO/US

- PCT AI Part 8 and Annex C-*bis* were deleted
- SL forming part of the IA may be filed
 - On paper as part of an IA filed on paper
 - In electronic form in PDF or text format via EFS-Web as part of a fully electronic IA
 - On CD the same day (hand-carry or Express Mail) where the file is too large for EFS-Web
- SL not forming part of the IA (search tool or CRF) must be in text format
 - On CD accompanying an IA filed on paper
 - In EFS-Web (not required where the SL forming part of the IA was filed in text format)
 - On CD the same day (hand-carry or Express Mail) where the file is too large for EFS-Web (not required where the SL forming part of the IA was filed in text format)
- Sequence-related tables
 - Can no longer be submitted in text format
 - Must be filed and numbered as part of, and in the same format as, the description
 - » On paper as part of an IA filed on paper, or
 - » In PDF format via EFS-Web as part of a fully electronic IA



Sequence Listings or Tables on/after 01 July 2009 in RO/US

Forming part of the IA

SL

Paper

Electronic

CD

where SL too large for EFS
Hand-carry or Express Mail
on the same day

EFS-Web

PDF format

text format

Tables

Must be filed and numbered as part of, and in
the same format as, the description

Paper

where IA
is on paper

Electronic

EFS-Web

PDF format only

NOT forming part of the IA

(SL only – CRF or search tool -
not required where SL forming part of the IA
was filed in text format)

Electronic only

text format only

CD

EFS-Web



Fee Calculation for SL or Tables in IAs

- A SL forming part of the IA filed
 - In text format in EFS-Web - NO page fees
 - » SEQ.TXT doc code
 - On paper or in PDF – FULL page fees – no upper limit
 - » SEQLIST doc code
- A SL-related table
 - On paper or in PDF numbered as part of the description – FULL page fees – no upper limit
 - » SPEC doc code



Request – Box IX –PCT/RO/101

Parts of the International Application

Accompanying items NOT part of the international application

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			
<p>This international application contains the following:</p> <p>(a) request form PCT/RO/101 (including any declarations and supplemental sheets) :</p> <p>(b) description (excluding any sequence listing part of the description, see (f), below) :</p> <p>(c) claims :</p> <p>(d) abstract :</p> <p>(e) drawings (if any) :</p> <p>(f) sequence listing part of the description in the form of an image file (e.g. PDF) :</p> <p>Total number of sheets (including the sequence listing part of the description if filed as an image file) :</p> <p>(g) sequence listing part of the description</p> <p><input 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>	<p>Number of sheets</p> <p>0</p>	<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> <p>1. <input type="checkbox"/> fee calculation sheet :</p> <p>2. <input type="checkbox"/> original separate power of attorney :</p> <p>3. <input type="checkbox"/> original general power of attorney :</p> <p>4. <input type="checkbox"/> copy of general power of attorney; reference number: :</p> <p>5. <input type="checkbox"/> statement explaining lack of signature :</p> <p>6. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s) :</p> <p>7. <input type="checkbox"/> Translation of international application into (language): :</p> <p>8. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material :</p> <p>9. <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</p> <p>10. <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: :</p> <p>11. <input type="checkbox"/> copy of results of earlier search(es) (Rule 12bis.1(a)) :</p> <p>12. <input type="checkbox"/> other (specify): :</p>	<p>Number of items</p>
<p>Figure of the drawings which should accompany the abstract:</p>	<p>Language of filing of the international application:</p>		



Request – Box IX –PCT SAFE

Parts of the International Application

IX	Check list	number of sheets	electronic file(s) attached
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	
	Accompanying Items	paper document(s) attached	electronic file(s) attached
IX-8	Fee calculation sheet	✓	–
IX-18	PCT-SAFE physical media	–	✓

Accompanying items NOT part of the international application



Indication of the Presence of a SL in an International Application

- The Request **must** contain an indication as to
 - the presence of a SL and
 - whether the SL forms part of the IA or is only the search tool (CRF)
 - » a statement of incorporation by reference of the SL (as required by U.S. provisions) in an IA is **NOT** sufficient
- Failure to identify the SL as part of the IA in the Request may cause repercussions in National Stage 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 PCT Legal Administration home page at 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/RO/101 Checklist

EFS-Web SL in Text Format Only

Tables, if any,
included in
description

SL forming
part of the IA
text format
only
(SEQ.TXT)

Rarely used,
when SL >
EFS-Web

September 2011

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
(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)	
Total number of sheets (including the sequence listing part of the description if filed as an image file)	49
(g) sequence listing part of the description	
<input checked="" type="checkbox"/> filed in the form of an Annex C/ST.25 text file	
<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)	
Figure of the drawings which should accompany the abstract:	1

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
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"/> (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	:
10. <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:	:
11. <input type="checkbox"/> copy of results of earlier search(es) (Rule 12bis.1(a))	:
12. <input type="checkbox"/> other (specify):	:
Language of filing of the international application:	English

IA in EFS-Web

Boxes 9 and 10 not
checked – SL in text
format is used as the CRF
for search



SAFE Request – Checklist

EFS-Web SL in Text Format Only

IX	Check list	Number of sheets	Electronic file(s) attached
IX-1	Request (including declaration sheets)	4	✓
IX-2	Description	27	–
IX-3	Claims	3	–
IX-4	Abstract	1	✓
IX-5	Drawings	4	–
IX-6a	Sequence listing part of the description (also to be used for the purposes of international search)	–	✓
IX-7	TOTAL	39	
	Accompanying Items	Paper document(s) attached	Electronic file(s) attached
IX-8	Fee calculation sheet	✓	–

Tables, if any,
included in
description

SL forming
part of the IA,
no pages
indicated,
check for
electronic file
only
(SEQ.TXT)

Not required to check accompanying items for
SL not forming part of the IA (CRF - SEQ.TXT);
however, no problem if checked

No 13^{ter} stmt needed – same file that forms
part of the IA



PCT/RO/101 – Checklist

EFS-Web SL in PDF and Text Formats

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)	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))	:
Figure of the drawings which should accompany the abstract:	1	12. <input type="checkbox"/> other (specify):	:
Language of filing of the international application:	English		

IA in EFS-Web

Tables, if any, included in description

SL forming part of the IA

In PDF format (SEQLIST)

These boxes SHOULD NOT be checked – they are only for a text SL part of the IA

SL not forming part of the IA (CRF) (SEQ.TXT)

only where (f) is marked on the left, i.e., a PDF SL part of the IA

13ter statement

September 2011



SAFE Request – Checklist

EFS-Web SL in PDF and Text Formats

Tables, if any,
included in
description

SL forming
part of the IA
indicated
separately
(SEQLIST)

Note there is no
check for an
electronic file

SL not forming
part of the IA
(CRF - SEQ.TXT)

13^{ter}
statement

IX	Check list	number of sheets	electronic file(s) attached
IX-1	Request (including declaration sheets)	3	✓
IX-2	Description (excluding sequence listing part)	30	-
IX-3	Claims	5	-
IX-4	Abstract	1	✓
IX-5	Drawings	10	-
IX-7a	Sub-total number of sheets	49	-
IX-6	Sequence listing part of the description	250	-
IX-7	TOTAL	299	
	Accompanying Items	paper document(s) attached	electronic file(s) attached
IX-8	Fee calculation sheet	✓	-
IX-16	Sequence listing in electronic form (Annex C/ST.25 text file) furnished only for the purposes of international search under Rule 13ter	-	1 other
IX-18	PCT-SAFE physical media	-	✓
IX-19	other	statement as to identity of copy/ copies with the sequence listing part of the description	
IX-20	Figure of the drawings which should accompany the abstract	1	
IX-21	Language of filing of the international application	English	



PCT/RO/101 – Checklist Paper

Tables, if any
included in
description

SL forming
part of the IA
indicated
separately
(SEQLIST)

Paper IAs

SL not forming
part of the IA
(CRF - SEQ.TXT)

13ter
statement

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)	7	1. <input checked="" type="checkbox"/> fee calculation sheet	:
(b) description (excluding any sequence listing part of the description, see (f), below)	16	2. <input type="checkbox"/> original separate power of attorney	:
(c) claims	2	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)	18	5. <input type="checkbox"/> statement explaining lack of signature	:
(f) sequence listing part of the description (if any)	450	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 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 CD
Total number of sheets	494	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



SAFE Request – Checklist Paper

PAPER09-07-0

3/4

PCT REQUEST

Paper Copy (NOT for submission)

Tables, if any
included in
description

SL forming
part of the IA
indicated
separately
(SEQLIST)

IX	Check list	number of sheets	electronic file(s) attached
IX-1	Request (including declaration sheets)	4	✓
IX-2	Description (excluding sequence listing part)	30	-
IX-3	Claims	5	-
IX-4	Abstract	1	✓
IX-5	Drawings	10	-
IX-7a	Sub-total number of sheets	50	
IX-6	Sequence listing part of the description	250	-
IX-7	TOTAL	300	
	Accompanying Items	paper document(s) attached	electronic file(s) attached
IX-8	Fee calculation sheet	✓	-
IX-16	Sequence listing in electronic form (Annex C/ST.25 text file) furnished only for the purposes of international search under Rule 13ter	-	1 CD-ROM
IX-18	PCT-SAFE physical media	-	✓
IX-19	other	statement as to identity of copy/copies with the sequence listing part of the description	13ter statement
IX-20	Figure of the drawings which should accompany the abstract	1	
IX-21	Language of filing of the international application	English	

SL not forming
part of the IA
(CRF - SEQ.TXT)



Invitation to Furnish Sequence Listing

- The International Searching Authority (ISA) issues Form PCT/ISA/225 when
 - Paper or PDF SL forming part of the IA is provided with a text SL search tool, but no statement of identity under PCT Rule 13ter
 - Paper or PDF SL forming part of the IA is provided, but no text SL search tool
 - Sequences are disclosed in the IA, but no SL forming part of the IA or text SL search tool is provided
 - » ISA/US no longer requests a “paper” SL in the PCT/ISA/225
 - Text SL search tool is provided, but does not comply with PCT Administrative Instructions Annex C
 - » E.g., incorrect entries in a particular numeric identifier
 - » E.g., disclosed sequences not identified by SEQ ID NO and/or not all disclosed sequences are contained in the SL
 - » Transaction History tab in PAIR: Computer Readable Form Defective



SL filed after the International Filing Date

- A SL filed after the IFD, but during Chapter I, e.g., in response to a PCT/ISA/225, is **NOT** considered part of the IA
 - Narrow exception under PCT Rule 20.6 for a limited time period, where if the SL is completely contained in an earlier application to which priority is claimed on the IFD, the SL *may be* successfully incorporated by reference
 - » Not effective in all Designated/Elected Offices (DO/EO)
- A SL filed during Chapter II *may be* considered part of the IA (a determination is made as to whether the SL contains new matter)
 - By the International Preliminary Examining Authority (IPEA)
 - By the Designated/Elected Office (DO/EO)
 - Where it is provided as an amendment under PCT Article 34 (together with/after the filing a Demand)
 - The decision of the IPEA is not binding on any DO/EO
 - » The SL *may be* considered to contain new matter in some national/regional Offices



Historical Reference for the Publication of SLs in IAs

- SLs forming part of the IA
 - Originally an integral part of the published pamphlet in paper
 - Currently, published on PatentScope
<http://www.wipo.int/patentscope/search/en/search.jsf>
as a line item under Published International Application, but separate from the published pamphlet
 - » Includes paper, PDF, and text formats
- SLs not forming part of the IA
 - Originally NOT made publicly available
 - Eventually, made available on PatentScope, as a line item under Related Documents on file at the International Bureau
 - As of 01 July 2009, the PCT Als specify the ISA shall provide the SL to the IB if furnished in electronic form for search



PatentScope

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

WIPO PATENTSCOPE
Search International and National Patent Collections

WORLD INTELLECTUAL PROPERTY ORGANIZATION

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Home > IP Services > PATENTSCOPE

1. (WO2010088400) METHODS OF DIAGNOSING AND TREATING NEURODEGENERATIVE DISEASES

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

International Application Status ⓘ

Date	Title	View	Download
08.08.2011	International Application Status Report	HTML, PDF	PDF, XML

Published International Application

Date	Title	View	Download
05.08.2010	Initial Publication with ISR (A1 31/2010)	HTML, PDF (53p.)	PDF (53p.), ZIP(XML + TIFFs)
05.08.2010	Sequence Listings	PDF (0p.)	PDF (0p.), ZIP(XML + TIFFs)

Related Documents on file at the International Bureau

Date	Title	View	Download
02.08.2011	Notification of Transmittal of Copies of International Preliminary Report on Patentability Chapter I (B/326)	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
02.08.2011	International Preliminary Report on Patentability Chapter I (B/373)	PDF (6p.)	PDF (6p.), ZIP(XML + TIFFs)
28.07.2011	Written Opinion of the International Search Authority	PDF (5p.)	PDF (5p.), ZIP(XML + TIFFs)
24.05.2011	Notice Informing the Applicant of the Communication of the International Application to the Designated Offices (B/308)	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
24.08.2010	Notice Informing the Applicant of the Communication of the International Application to the Designated Offices (B/308)	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
05.08.2010	Notification of receipt of record copy (B/301)	PDF (2p.)	PDF (2p.), ZIP(XML + TIFFs)
05.08.2010	US 61/148,010 28.01.2009 (Pr. Doc.)	PDF (52p.)	PDF (52p.), ZIP(XML + TIFFs)
05.08.2010	Notification Concerning Submission or Transmittal of Priority Document (B/304)	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
05.08.2010	Invitation to Pay Additional Fees and, Where Applicable, Protest Fee (ISA/206)	PDF (2p.)	PDF (2p.), ZIP(XML + TIFFs)
05.08.2010	Replacement, Substitute sheets under rule 26	PDF (11p.)	PDF (11p.), ZIP(XML + TIFFs)
05.08.2010	Notification of transmittal of the international search report and the written opinion of the international searching authority, or the declaration (ISA/220)	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
05.08.2010	International Search Report	PDF (4p.)	PDF (4p.), ZIP(XML + TIFFs)
05.08.2010	Notification Concerning Availability of Publication of the International Application (B/311)	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
05.08.2010	Application Body as Filed	PDF (50p.)	PDF (50p.), ZIP(XML + TIFFs)
05.08.2010	Invitation to Correct Defects in the International Application (RO/106)	PDF (4p.)	PDF (4p.), ZIP(XML + TIFFs)
05.08.2010	Notification of the International Application Number and of the International Filing Date (RO/105)	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
05.08.2010	Notification Concerning Payment of Prescribed Fees (RO/102)	PDF (2p.)	PDF (2p.), ZIP(XML + TIFFs)
05.08.2010	Notification of Receipt of Search Copy (ISA/202)	PDF (1p.)	PDF (1p.), ZIP(XML + TIFFs)
05.08.2010	Request form (RO/101)	PDF (4p.)	PDF (4p.), ZIP(XML + TIFFs)



Published International Application with SL in Text Format

Published International Application			
Date	Title	View	Download
05.08.2010	Initial Publication with ISR (A1 31/2010)	HTML, PDF (53p.)	PDF (53p.), ZIP(XML + TIFFs)
05.08.2010	Sequence Listings	PDF (0p.)	PDF (0p.), ZIP(XML + TIFFs)

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

No PDF pages indicated

SequenceListing004WO0.txt Text Do... 1/28/2010 6:43 PM 1,604 6... 527

05.08.2010	Request form (RO/101)	PDF (4p.)	PDF (4p.), ZIP(XML + TIFFs)
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IX	Check list	Number of sheets	Electronic file(s) attached
IX-1	Request (including declaration sheets)	4	✓
IX-2	Description	34	—
IX-3	Claims	4	—
IX-4	Abstract	1	—
IX-5	Drawings	11	—
IX-6a	Sequence listing part of the description (also to be used for the purposes of international search)	—	✓
IX-7	TOTAL	54	

SL text file is indicated
as part of the IA



Published International Application with SL in PDF Format

Published International Application			
Date	Title	View	Download
31.08.2006	Initial Publication without ISR (A2 35/2006)	HTML, PDF (118p.)	PDF (118p.), ZIP(XML + TIFFs)
11.01.2007	Later publication of international search report (A3 02/2007)	HTML, PDF (6p.)	PDF (6p.), ZIP(XML + TIFFs)
27.02.2007	Sequence Listings	PDF (55p.)	PDF (55p.), ZIP(XML + TIFFs)

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

Number of pages of SL
in PDF is indicated

27.02.2007	Request form (RO/101)	PDF (5p.)	PDF (5p.), ZIP(XML + TIFFs)
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IX	Check list	number of sheets	electronic file(s) attached
IX-1	Request (including declaration sheets)	4	✓
IX-2	Description (excluding sequence listing part)	108	✓
IX-3	Claims	7	✓
IX-4	Abstract	1	✓
IX-5	Drawings	1	✓
IX-7a	Sub-total number of sheets		
IX-6a	Sequence listing part of description filed in computer readable form in addition to being filed in paper form (under Section 801(a)(ii))	55	✓
IX-7	TOTAL	177	

SL sheets are indicated
as part of the IA



Publication of SLs Provided by ISA to IB

SL is published under
“Related Documents”

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18.08.2011	US 61/302,636 09.02.2010 (Pr. Doc.)	PDF (67p.)	PDF (67p.), ZIP(XML + TIFFs)
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- 37 C.F.R. §1.821(e) specifies that a copy of the SL referred to in paragraph (c) must also be submitted in ***computer readable form (CRF)***
- PCT Article 20 specifies that the IA shall be communicated to each designated Office (DO)
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 - » eventually, it is envisioned that the text copy will be transferred into SCORE automatically
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1. (WO2010088400) METHODS OF DIAGNOSING AND TREATING NEURODEGENERATIVE DISEASES

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Latest bibliographic data on file with the International Bureau

Pub. No.: WO/2010/088400 International Application No.: PCT/US2010/022424
Publication Date: 05.08.2010 International Filing Date: 28.01.2010

IPC: A61K 31/00 (2006.01), A61K 38/00 (2006.01), A61K 39/00 (2006.01)

Applicants: CATHOLIC HEALTHCARE WEST [US/US]; 350 West Thomas Road Phoenix, Arizona 85013 (US) (For All Designated States Except US).
WU, Jie [US/US]; (US) (For US Only)

Inventors: WU, Jie; (US)

Agent: SENN, Sean; Davis Wright Tremaine LLP 865 South Figueroa Street Suite 2400 Los Angeles, California 90017 (US)

Priority Data: 61/148,010 28.01.2009 US

Title: (EN) METHODS OF DIAGNOSING AND TREATING NEURODEGENERATIVE DISEASES
(FR) MÉTHODES DE DIAGNOSTIC ET DE TRAITEMENT DE MALADIES NEURODÉGÉNÉRATIVES

Abstract: (EN) The present invention relates to methods of diagnosing, treating and prognosing mental disorders, such as Alzheimer's Disease. In one embodiment, the present invention provides a method of treating Alzheimer's Disease by inhibiting dysfunctional signaling of $\alpha 7$ nAChRs in the medial septum region of an individual.
(FR) La présente invention concerne des méthodes permettant le diagnostic, le traitement et le pronostic de troubles mentaux, tels que la maladie d'Alzheimer. Dans un mode de réalisation, la présente invention concerne une méthode de traitement de la maladie d'Alzheimer par inhibition de la signalisation dysfonctionnelle des récepteurs $\alpha 7$ nAChR dans la région du septum médian d'un individu.

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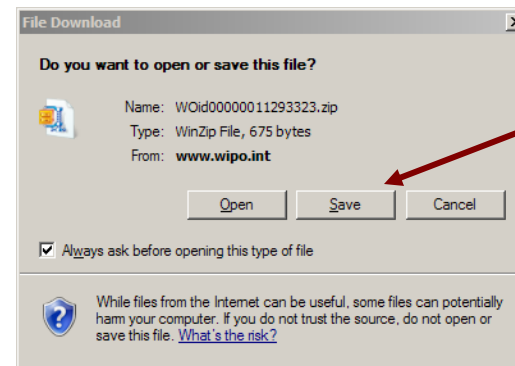
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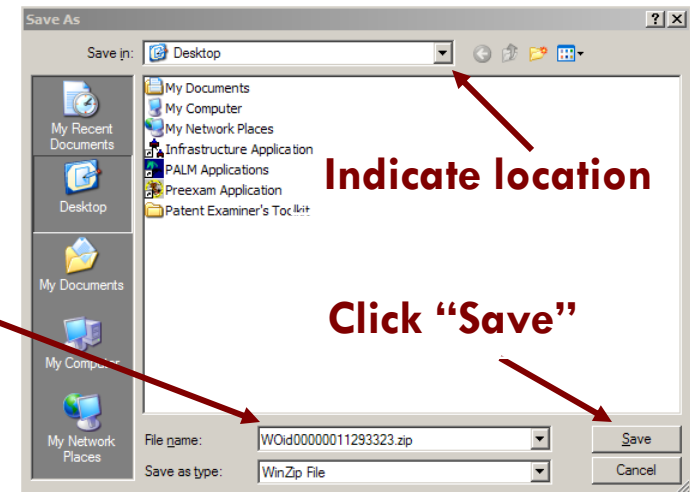
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05.08.2010	Initial Publication with ISR (A1 31/2010)	HTML, PDF (53p.)	PDF (53p.), ZIP(XML + TIFFs)
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 - » The IA and CRF are completely identified
 - » Statement is provided that the CRF from the IA is identical to the PDF copy of the SL contained in the 371



Example 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
 - Transfer requests are effective **ONLY** for transfer of the compliant CRF, **NOT** the SL part of the application
 - Applicant **CANNOT** state that the CRF from the other appln is identical to the **paper** copy of the SL **contained** in the **new** appln, since the **new** appln was filed with NO SL part of the application
 - Request will not be granted



Reasons to Provide the SL Text File Rather Than Requesting Transfer

- Transfer request
 - A paper or PDF copy of SL part of the new appln **must** be provided
 - » Statement of identity is required
 - Paper or PDF copy is included when determining the appln size fee
 - The other application and the CRF must be completely identified
 - Could introduce delay where all requirements are not met
- Provision of a SL text file by applicant
 - Serves both as part of the appln and as the CRF
 - » No statement of identity is required
 - SL text file is **not** included when determining the appln size fee
 - SL text file can be easily uploaded from applicant's records or retrieved from PAIR or PatentScope for upload into EFS-Web



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
 - Each Office designated 1 or 2 persons to participate in the Task Force
 - » 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
 - » DTD vs. Schema under discussion
 - Substantive changes under discussion
- Expect to adopt the new standard at CWS in November 2012
 - Effective date and transition provisions have not yet been discussed



Public Involvement in the Revision Process

- The SL Task Force Wiki is not publicly accessible
- USPTO plans to issue a Federal Register Notice to
 - Make publicly available the most recent versions of the main body of the standard and its annexes
 - Request comment on various aspects of the standard



UNITED STATES PATENT AND TRADEMARK OFFICE

Thank You!

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