



PCT/A/51/3
ORIGINAL: ENGLISH
DATE: JULY 30, 2019

International Patent Cooperation Union (PCT Union)

Assembly

Fifty-First (22nd Ordinary) Session
Geneva, September 30 to October 9, 2019

REVIEW OF CRITERIA FOR PCT FEE REDUCTIONS FOR APPLICANTS FROM CERTAIN COUNTRIES

Document prepared by the International Bureau

SUMMARY

1. The Assembly is invited to review the criteria for establishing the lists of States whose nationals and residents are eligible for PCT fee reductions; according to the PCT Schedule of Fees, such a review by the Assembly is to be carried out at least every five years.
2. As background for the review of the criteria by the Assembly, the present document provides information on the development over the last five years of the statistical data underpinning the criteria (the 10-year average per capita gross domestic product figures from the United Nations (UN); the most recent five year average yearly PCT filing figures by the International Bureau; and the list of countries classified as least developed countries (LDCs) by the United Nations) as well as information on extent to which fee reductions have been claimed by natural persons, both in the three years preceding the entry into force of the current eligibility criteria and the three years since the said entry into force.

BACKGROUND

3. The PCT Assembly, at its forty-sixth session, held from September 22 to 30, 2014, adopted amendments to the Schedule of Fees annexed to the PCT Regulations, setting out new criteria defining the lists of States whose nationals and residents are eligible for a fee reduction according to item 5(a) and/or (b) of that Schedule. The Schedule of Fees so amended came into force on July 1, 2015.
4. The amendments to item 5 of the Schedule of Fees adopted in 2014 updated the income-based criterion and introduced an innovation-based criterion (both set out in item 5(a) of the Schedule of Fees) to determine the States whose nationals and residents are eligible for reductions to the fees listed in the Schedule of Fees in respect of international applications filed by applicants who are natural persons. All applicants, whether natural persons or not, from States classified as being LDCs continued to benefit from the fee reductions as before.
5. The income-based criterion in item 5(a) of the Schedule of Fees sets a maximum per capita gross domestic product (GDP) of 25,000 US dollars according to the most recent 10-year average per capita figures at constant 2005 US dollar values published by the United Nations for any State to benefit from the fee reductions. The use of a 10-year average per capita GDP is intended to take account of States that may experience strong economic growth but whose economies might be more fragile than others with comparable per capita GDP. The use of constant US dollar values eliminates the impact of inflation or deflation, thus providing a measure of real per capita income.
6. In addition to meeting the income-based criterion, a State must fulfil an innovation-based criterion, namely, that nationals and residents of that State who are natural persons have filed less than 10 international applications per year (per million population) or less than 50 international applications per year (in absolute numbers), based on the most recent five-year average yearly filing figures published by the International Bureau. The use of two indicators is intended to avoid extreme effects in very small States where only a handful of applications are needed to exceed the limit of “less than 10 international applications filed per year (per million population)”; a State need only meet one of the two indicators to comply with the innovation-based criterion.
7. To reflect the changing economic conditions in States and possible changes in the use of the PCT System, the lists of States meeting the criteria in items 5(a) and (b) of the Schedule of Fees are updated every five years by the International Bureau, in accordance with Directives given by the Assembly. Revised lists are made available to States based on the relevant figures as they apply at the opening day of the PCT Assembly taking place during the “revision year” and, subject to correction of errors in fact, the new list will come into effect from January 1 the following year.
8. For ease of reference, the text of item 5 of the Schedule of Fees, setting out the criteria defining the lists of States whose nationals and residents are eligible for a fee reduction, is reproduced here:
 - “5. The international filing fee under item 1 (where applicable, as reduced under item 4), the supplementary search handling fee under item 2 and the handling fee under item 3 are reduced by 90% if the international application is filed by:

“(a) an applicant who is a natural person and who is a national of and resides in a State that is listed as being a State whose per capita gross domestic product is below US\$ 25,000 (according to the most recent 10-year average per capita gross domestic product figures at constant 2005 US\$ values published by the United Nations), and whose nationals and residents who are natural persons have filed less than 10 international applications per year (per million population) or less than 50 international applications per year (in absolute numbers) according to the most recent five-year average yearly filing figures published by the International Bureau; or

“(b) an applicant, whether a natural person or not, who is a national of and resides in a State that is listed as being classified by the United Nations as a least developed country;

“provided that, at the time of filing of the international application, there are no beneficial owners of the international application who would not satisfy the criteria in sub-item (a) or (b) and provided that, if there are several applicants, each must satisfy the criteria set out in either sub-item (a) or (b). The lists of States referred to in sub-items (a) and (b) shall be updated by the Director General at least every five years according to directives given by the Assembly. The criteria set out in sub-items (a) and (b) shall be reviewed by the Assembly at least every five years.”

REVIEW OF CRITERIA

9. As noted above, the Schedule of Fees (see the last sentence of item 5) requires that the criteria for eligibility for the fee reductions be reviewed by the Assembly at least every five years. While this could be interpreted as requiring a review by the Assembly at the latest in 2020, five years after the entry into force of the new criteria, the PCT Working Group recommended that the Assembly should review the criteria already at its current session, in 2019, at the same time as the Director General is required to update the lists of eligible States in accordance with item 5 of the Schedule of Fees and the Directives given by the Assembly (see paragraphs 63 to 69 of document PCT/WG/12/24).

DEVELOPMENT OVER THE LAST FIVE YEARS OF THE STATISTICAL DATA UNDERPINNING THE CRITERIA

10. According to the “Directives For Updating the Lists of States Meeting the Criteria for Reduction of Certain PCT Fees” adopted by the Assembly in 2014, the Director General is required to update the lists of States five years after the establishment of the first list of States which meet the criteria referred to in items 5(a) and (b) of the Schedule of Fees (and every five years thereafter). The first update of the lists of States meeting the criteria will thus take place later this year, based on the following information:

(i) *item 5(a) of the Schedule of Fees*: “according to the most recent ten year average per capita gross domestic product figures from the United Nations and according to the most recent five year average yearly PCT filing figures by the International Bureau, respectively, published at least two weeks prior to the first day of the session of the Assembly in September/October of that year;”

(ii) *item 5(b) of the Schedule of Fees*: “according to the most recent list of countries classified as least developed countries by the United Nations published at least two weeks prior to the first day of the session of the Assembly in September/October of that year...”.

11. That is, the most recent relevant figures to form the basis of the update will be the latest figures that are available on September 16, 2019 (two weeks prior to the first day of the session of the Assembly).

12. The figures supplied by the UN are typically made available in January each year. Consequently, it is expected that the 10-year period for gross domestic product will be the period between 2008 to 2017, for which figures are already available and not likely to change. The period for average yearly PCT filing figures will be the period between 2014 to 2018. For that period, provisional figures are available, but it is unlikely that the final figures will be significantly different so as to affect the composition of the lists of States. The UN no longer publishes a list of constant 2005 United States dollar (USD) values for gross domestic product. Consequently, these values will be replicated, based on the lists published for actual GDP and "GDP Index constant prices – USD".

13. To prepare for the update of the list of States meeting the criteria, the International Bureau submitted a list showing the expected eligibility of States for the revised lists, based on the information currently available, to the PCT Working Group for consideration at its twelfth session, held from June 11 to 14, 2019 (see Annex I to document PCT/WG/12/11).

14. With regard to the States that are eligible for the reduction under item 5(a), the figures set out in Annex I to document PCT/WG/12/11 showed that the average GDP per capita over the most recent 10-year period for Bahamas and Cyprus exceeds the 25,000 USD threshold to be eligible for reductions under this sub-item. Since the lists were established in 2014, the most recent 10-year average GDP per capita for Bahamas has grown by 28.6 per cent from 22,214 USD to 28,567 USD, and for Cyprus has risen from 22,806 USD to 30,906 USD, a growth of 35.5 per cent.

15. Since the lists were established in 2014, Samoa (in 2014) and Equatorial Guinea (in 2017) have graduated from the least developed country category¹. Consequently, applicants, whether natural persons or not, who are nationals of and resident in these States will cease to be eligible for the reduction under item 5(b); however, this will, in practice, only affect legal entities from those States, since natural persons who are nationals of and residents in these States will still benefit from the reductions under item 5(a). Three more States (Vanuatu (2020), Angola (2021) and Bhutan (2023)) are due to graduate from the least developed country category before the next list would be established in five years' time but, under the Directives, would continue to receive the benefit of the reduction until the end of the 5 year period of validity of the list.

16. Consequently, the expected result of updating the lists later this year will be that:

(a) nationals and residents of the Bahamas and Cyprus will cease to be eligible for the reduction under item 5(a), in both cases because of the growth in 10-year average GDP;

(b) nationals and residents, whether natural persons or not, of Samoa and Equatorial Guinea will cease to be eligible for the reduction under item 5(b), but nationals and residents of those States who are natural persons will continue to be eligible for the reduction under item 5(a).

17. In accordance with the Directives, a revised version of the lists, including any new information that becomes available, will be prepared shortly before the PCT Assembly and be open for comment until the end of the Assembly on October 9, 2019.

¹ <https://www.un.org/development/desa/dpad/least-developed-country-category/ldc-graduation.html>

FURTHER INFORMATION ON FEE REDUCTIONS AND APPLICATIONS

18. In addition to the information on the list of States meeting the criteria for fee reductions provided in paragraphs 10 to 17, above, the Annex to the present document sets out further information that may be relevant to an assessment of the criteria for eligibility for fee reductions, including:

- (a) the number of fee reductions claimed by residents of different States;
- (b) the number of applications by natural persons resident in different States; and
- (c) the total number of applications by residents (natural persons or otherwise);

both in the three years preceding the entry into force of the current eligibility criteria (July 1, 2015) and the three years since the said entry into force. In addition, differences are calculated between certain figures for the most recent 12-month period compared to the 12-month period immediately before the change. The information provided in the Annex is divided into five parts, according to the periods for which the States were on the lists relating to the two reductions.

OBSERVATIONS

19. Taking into account the information provided in paragraphs 10 to 17, above, and the information provided in the Annex to the present document, below, the International Bureau would make the following observations:

- (a) The averaging across years appears to go some way towards offering the degree of stability intended. Only two of the 10 States that in 2015 became eligible for reductions, largely due to the worldwide financial crisis, lose their eligibility according to the above figures, even though others have risen again above the threshold level for GDP if measured only against the latest year.
- (b) The availability of a reduction does appear to affect applicant behavior, but the effects are difficult to assess. It would appear that the rates of applications by natural persons and in total, as well as the level of use of the reductions, are affected strongly by factors that are unrelated to whether the reduction is available or not.
- (c) The measures adopted to make clear that the reductions are not intended for international applications with a “beneficial owner” not eligible for the reduction (see document PCT/A/49/4), together with the associated increased awareness of the issues by receiving Offices, have significantly reduced the claiming of reductions by individuals on behalf of large companies not eligible for the reduction.

CONSIDERATION BY THE WORKING GROUP

20. In preparation of the review of the criteria by the Assembly, the PCT Working Group considered the issue at its twelfth session, held in Geneva from June 11 to 14, 2019, as set out in paragraphs 63 to 69 of the Summary by the Chair, document PCT/WG/12/24 (reproduced in the Annex to document PCT/A/51/1):

- “63. Discussions were based on document PCT/WG/12/11.

“64. All delegations that took the floor supported the proposal to maintain the criteria under item 5 of the Schedule of Fees and to review the criteria again in five years’ time. One delegation noted that in the current review cycle, based on the growth in their economies, four countries had moved upwards in the categories of the PCT Schedule of Fees, two from the level described in item 5(a) and two from the level described in item 5(b), and suggested that the patent system had played some part in these developments.

“65. Several delegations commented that the figures presented showed the importance of reductions to natural persons resident in beneficiary countries, observing the reductions in filing volumes in countries where the reductions were no longer available. It was suggested that this demonstrated that targeted fee reductions were effective. A delegation representing a country whose residents had become eligible for the fee reductions in 2015 similarly considered that the reductions had positively stimulated applicant behavior in its case. Another delegation, on the other hand, observed that the variations in effects between different countries showed that filing behaviors were also affected strongly by factors other than fee reductions.

“66. One delegation expressed satisfaction that the document explained that the measures previously adopted to clarify the eligibility of applicants for fee reductions had been effective.

“67. In response to a query concerning the fact that the United Nations no longer directly published constant 2005 United States dollar values for gross domestic product, the International Bureau indicated that it would prefer not to amend the Schedule of Fees, since the concept had been agreed and adjustment figures continued to be published that made it straightforward to calculate the required values.

“68. In relation to a query concerning the term “developing countries” in the title of the document, the International Bureau observed that this term had been used for several years while the Working Group had considered a proposal to review the criteria for fee reductions. While the proposal had been generally aimed at “developing countries”, the International Bureau acknowledged that there was no single United Nations definition of a “developing country” and that the criteria for fee reductions under item 5(a) were decided by PCT Member States.

“69. The Working Group agreed to recommend to the Assembly that the criteria under Item 5 of the PCT Schedule of Fees be maintained, and that the Assembly should review the criteria again in five years’ time.”

21. *The Assembly is invited to:*

(i) decide, having reviewed the criteria set out in item 5 of the PCT Schedule of Fees, that those criteria be maintained; and

(ii) decide that those criteria be reviewed again by the Assembly in five years’ time, as required by that Schedule.

[Annex follows]

CHANGES IN FILING

In these tables:

- “y-1” represents the 12 month period immediately preceding the change in eligibility on July 1, 2015; “y+1” represents the 12 month period immediately following, *etc.*
- Each period for each State shows three values in the form: “a / b / c”, where “a” is the number of fee reductions claimed by residents of that State, “b” is the number of international applications by natural persons resident in that State and “c” is the total number of international applications by residents of that State (natural persons or otherwise).
- The final four columns compare filings between the most recent 12 months (y+3: July 1, 2017, to June 30, 2018) to the twelve months immediately preceding the change in eligibility for fee reductions. The first two of these columns show an approximation of the percentage of all applications by residents of the relevant States that claimed the fee reduction in each of the two years. The final two columns show the percent change in number of applications by residents of the relevant State between the two years, in total and applications with only natural persons as applicants.

The list only includes States for which at least one international application included a resident listed as first applicant during the relevant period.

A. States included in the list prior to July 1, 2015, but not afterwards										
ST.3 code, State	Applications before July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			Applications from July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			% of all applications having reductions		% change in filings	
	y-3	y-2	y-1	y+1	y+2	y+3	y-1	y+3	Total	Natural persons
AE United Arab Emirates	12 / 19 / 25	29 / 29 / 76	11 / 22 / 92	0 / 21 / 81	0 / 21 / 79	0 / 20 / 99	12%		+8%	-9%
SG Singapore	29 / 31 / 405	59 / 71 / 925	62 / 72 / 922	0 / 26 / 886	0 / 41 / 895	0 / 27 / 839	7%		-9%	-63%

B. States included in the list from July 1, 2015, but not before										
ST.3 code, State	Applications before July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			Applications from July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			% of all applications having reductions		% change in filings	
	y-3	y-2	y-1	y+1	y+2	y+3	y-1	y+3	Total	Natural persons
BS Bahamas	0 / 0 / 7	0 / 1 / 12	0 / 0 / 7	0 / 0 / 6	0 / 0 / 5	0 / 0 / 4			-43%	
CY Cyprus	0 / 0 / 16	0 / 6 / 42	0 / 2 / 55	8 / 8 / 55	6 / 2 / 42	6 / 4 / 47		13%	-15%	+100%
GR Greece	0 / 33 / 54	0 / 60 / 111	0 / 62 / 126	43 / 58 / 114	50 / 66 / 115	45 / 53 / 125		36%	-1%	-15%
MT Malta	0 / 0 / 37	0 / 2 / 73	0 / 3 / 67	0 / 2 / 79	0 / 1 / 88	1 / 1 / 44		2%	-34%	-67%
PT Portugal	0 / 12 / 84	0 / 21 / 144	0 / 27 / 160	14 / 18 / 167	23 / 29 / 186	23 / 30 / 216		11%	+35%	+11%
SA Saudi Arabia	0 / 1 / 101	0 / 13 / 257	0 / 21 / 359	28 / 34 / 273	26 / 46 / 358	28 / 42 / 471		6%	+31%	+100%
SI Slovenia	0 / 16 / 63	0 / 19 / 127	0 / 14 / 133	16 / 19 / 76	15 / 17 / 70	31 / 38 / 134		23%	+1%	+171%

C. States included in the list throughout the entire period										
ST.3 code, State	Applications before July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			Applications from July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			% of all applications having reductions		% change in filings	
	y-3	y-2	y-1	y+1	y+2	y+3	y-1	y+3	Total	Natural persons
AG Antigua and Barbuda	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 1 / 33	0 / 0 / 76				
AL Albania	0 / 0 / 0	1 / 1 / 1	3 / 3 / 3	0 / 0 / 0	1 / 2 / 2	2 / 5 / 5	100%	40%	+67%	+67%
AM Armenia	3 / 3 / 3	4 / 4 / 5	3 / 4 / 4	6 / 11 / 12	3 / 3 / 3	5 / 5 / 5	75%	100%	+25%	+25%
AR Argentina	1 / 3 / 12	3 / 17 / 33	4 / 9 / 25	9 / 22 / 37	5 / 16 / 43	8 / 22 / 34	16%	24%	+36%	+144%
AZ Azerbaijan	3 / 3 / 3	2 / 3 / 3	0 / 0 / 0	1 / 1 / 3	4 / 4 / 5	15 / 16 / 21		71%		
BA Bosnia and Herzegovina	4 / 4 / 4	6 / 6 / 6	2 / 2 / 2	3 / 3 / 4	2 / 2 / 4	3 / 4 / 5	100%	60%	+150%	+100%
BB Barbados	0 / 0 / 81	1 / 1 / 157	0 / 0 / 173	0 / 0 / 116	0 / 1 / 163	0 / 0 / 84			-51%	
BG Bulgaria	10 / 15 / 33	25 / 28 / 54	23 / 26 / 57	27 / 26 / 51	17 / 14 / 35	22 / 26 / 63	40%	35%	+11%	+0%
BH Bahrain	1 / 1 / 1	2 / 2 / 3	1 / 4 / 4	2 / 3 / 4	0 / 0 / 3	0 / 1 / 2	25%		-50%	-75%
BO Bolivia (Plurinational State of)	0 / 0 / 0	0 / 1 / 1	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0				
BR Brazil	105 / 103 / 259	223 / 232 / 633	212 / 217 / 552	201 / 211 / 565	233 / 247 / 586	246 / 259 / 613	38%	40%	+11%	+19%
BW Botswana	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	2 / 2 / 2	0 / 0 / 0				
BY Belarus	6 / 6 / 9	12 / 13 / 15	15 / 8 / 13	14 / 8 / 11	18 / 19 / 23	18 / 20 / 24	115%	75%	+85%	+150%
BZ Belize	0 / 0 / 2	0 / 1 / 4	0 / 0 / 2	0 / 0 / 3	5 / 1 / 8	0 / 0 / 0				
CG Congo	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	1 / 1 / 2	0 / 0 / 0	0 / 0 / 0				
CI Côte d'Ivoire	1 / 1 / 1	2 / 2 / 2	1 / 1 / 1	1 / 3 / 3	1 / 1 / 1	1 / 1 / 1	100%	100%	+0%	+0%
CL Chile	23 / 26 / 55	44 / 51 / 135	36 / 49 / 164	50 / 54 / 172	38 / 43 / 180	51 / 59 / 192	22%	27%	+17%	+20%
CM Cameroon	0 / 0 / 0	1 / 1 / 1	1 / 1 / 1	1 / 1 / 1	2 / 2 / 2	0 / 0 / 0	100%			
CN China	1,305 / 1,270 / 8,446	3,249 / 3,169 / 23,616	3,124 / 3,494 / 27,066	5,152 / 5,914 / 34,520	5,671 / 7,077 / 46,350	3,357 / 3,766 / 50,359	12%	7%	+86%	+8%

C. States included in the list throughout the entire period (cont.)										
ST.3 code, State	Applications before July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			Applications from July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			% of all applications having reductions		% change in filings	
	y-3	y-2	y-1	y+1	y+2	y+3	y-1	y+3	Total	Natural persons
CO Colombia	11 / 10 / 27	26 / 26 / 101	21 / 25 / 95	20 / 20 / 79	31 / 44 / 134	47 / 52 / 164	22%	29%	+73%	+108%
CR Costa Rica	1 / 1 / 2	4 / 8 / 12	2 / 3 / 10	2 / 2 / 5	0 / 0 / 7	3 / 5 / 15	20%	20%	+50%	+67%
CU Cuba	0 / 0 / 3	0 / 0 / 9	0 / 0 / 3	0 / 0 / 0	0 / 0 / 7	0 / 0 / 5			+67%	
CZ Czech Republic	16 / 26 / 92	31 / 37 / 186	32 / 32 / 188	26 / 36 / 214	25 / 24 / 187	27 / 32 / 177	17%	15%	-6%	+0%
DM Dominica	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 1	0 / 0 / 0	0 / 0 / 0				
DO Dominican Republic	3 / 3 / 3	4 / 4 / 7	1 / 1 / 1	3 / 3 / 6	6 / 6 / 7	6 / 9 / 10	100%	60%	+900%	+800%
DZ Algeria	3 / 4 / 5	4 / 4 / 5	8 / 8 / 9	9 / 11 / 12	8 / 8 / 13	5 / 7 / 7	89%	71%	-22%	-13%
EC Ecuador	1 / 2 / 7	3 / 5 / 16	1 / 2 / 4	1 / 0 / 5	3 / 4 / 7	4 / 5 / 27	25%	15%	+575%	+150%
EE Estonia	4 / 5 / 13	1 / 1 / 22	9 / 5 / 30	2 / 4 / 23	1 / 1 / 38	3 / 3 / 42	30%	7%	+40%	-40%
EG Egypt	17 / 18 / 22	40 / 42 / 53	48 / 55 / 60	38 / 39 / 46	33 / 42 / 44	23 / 26 / 28	80%	82%	-53%	-53%
FJ Fiji	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0				
FM Micronesia (Federated States of)	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 2	0 / 0 / 0	0 / 0 / 0				
GA Gabon	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 1 / 1	0 / 0 / 0	0 / 0 / 0				
GE Georgia	4 / 5 / 5	5 / 5 / 7	1 / 1 / 2	6 / 7 / 10	16 / 16 / 16	2 / 2 / 2	50%	100%	+0%	+100%
GH Ghana	1 / 1 / 1	1 / 1 / 1	1 / 1 / 1	1 / 1 / 1	1 / 1 / 1	0 / 0 / 0	100%			
GT Guatemala	2 / 2 / 2	0 / 0 / 0	3 / 3 / 3	0 / 0 / 0	2 / 2 / 2	0 / 0 / 1	100%		-67%	-100%
HN Honduras	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 1	0 / 0 / 0				
HR Croatia	14 / 14 / 21	28 / 33 / 50	12 / 23 / 41	17 / 18 / 34	11 / 13 / 33	13 / 18 / 36	29%	36%	-12%	-22%
HU Hungary	27 / 27 / 77	60 / 58 / 156	65 / 72 / 166	82 / 84 / 160	73 / 83 / 171	48 / 52 / 145	39%	33%	-13%	-28%
ID Indonesia	3 / 4 / 7	6 / 8 / 11	5 / 5 / 12	8 / 10 / 13	5 / 6 / 6	5 / 4 / 9	42%	56%	-25%	-20%
IN India	193 / 167 / 650	394 / 377 / 1,408	305 / 350 / 1,332	447 / 490 / 1,511	473 / 492 / 1,510	680 / 726 / 1,835	23%	37%	+38%	+107%

C. States included in the list throughout the entire period (cont.)										
ST.3 code, State	Applications before July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			Applications from July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			% of all applications having reductions		% change in filings	
	y-3	y-2	y-1	y+1	y+2	y+3	y-1	y+3	Total	Natural persons
IQ Iraq	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	1 / 1 / 1	1 / 1 / 1	0 / 1 / 2				
IR Iran (Islamic Republic of)	0 / 0 / 0	10 / 16 / 18	31 / 49 / 50	56 / 66 / 73	45 / 66 / 68	101 / 118 / 128	62%	79%	+156%	+141%
JM Jamaica	0 / 0 / 0	0 / 1 / 2	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 1 / 1				
JO Jordan	0 / 0 / 0	1 / 1 / 6	0 / 2 / 2	0 / 0 / 1	2 / 0 / 1	12 / 12 / 14		86%	+600%	+500%
KE Kenya	4 / 5 / 5	1 / 3 / 4	11 / 9 / 17	1 / 1 / 4	5 / 5 / 8	4 / 5 / 6	65%	67%	-65%	-44%
KG Kyrgyzstan	0 / 0 / 0	0 / 1 / 1	0 / 0 / 0	1 / 1 / 1	0 / 0 / 0	0 / 0 / 0				
KN Saint Kitts and Nevis	0 / 0 / 0	0 / 0 / 2	0 / 0 / 1	0 / 0 / 1	0 / 0 / 1	0 / 0 / 1			+0%	
KP Democratic People's Republic of Korea	1 / 1 / 1	2 / 2 / 3	5 / 5 / 5	5 / 4 / 5	1 / 1 / 1	2 / 2 / 2	100%	100%	-60%	-60%
KZ Kazakhstan	8 / 9 / 9	15 / 14 / 18	11 / 13 / 21	23 / 23 / 31	20 / 17 / 25	15 / 16 / 18	52%	83%	-14%	+23%
LB Lebanon	0 / 0 / 2	0 / 4 / 4	0 / 5 / 9	1 / 2 / 8	0 / 0 / 4	0 / 3 / 5			-44%	-40%
LC Saint Lucia	0 / 0 / 0	0 / 0 / 0	0 / 0 / 1	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0				
LK Sri Lanka	3 / 3 / 5	9 / 12 / 16	10 / 11 / 19	5 / 7 / 16	5 / 7 / 14	15 / 17 / 23	53%	65%	+21%	+55%
LT Lithuania	0 / 0 / 20	4 / 3 / 47	2 / 0 / 43	3 / 4 / 35	3 / 3 / 32	4 / 4 / 30	5%	13%	-30%	
LV Latvia	2 / 3 / 11	5 / 7 / 24	14 / 12 / 35	11 / 10 / 24	19 / 12 / 28	14 / 12 / 24	40%	58%	-31%	+0%
LY Libya	0 / 0 / 0	0 / 0 / 0	1 / 1 / 1	0 / 0 / 0	1 / 1 / 1	3 / 3 / 3	100%	100%	+200%	+200%
MA Morocco	8 / 8 / 19	10 / 10 / 48	14 / 14 / 53	12 / 15 / 42	9 / 11 / 38	10 / 10 / 43	26%	23%	-19%	-29%
MD Republic of Moldova	1 / 1 / 1	1 / 1 / 1	3 / 4 / 4	10 / 10 / 10	10 / 10 / 10	6 / 6 / 6	75%	100%	+50%	+50%
ME Montenegro	1 / 1 / 1	2 / 2 / 2	0 / 0 / 0	0 / 0 / 0	0 / 1 / 3	0 / 0 / 1				
MH Marshall Islands	0 / 0 / 0	0 / 0 / 2	0 / 0 / 1	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0				
MK North Macedonia	0 / 0 / 0	1 / 3 / 3	1 / 1 / 1	2 / 3 / 5	0 / 0 / 0	3 / 4 / 5	100%	60%	+400%	+300%
MN Mongolia	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	1 / 1 / 1	0 / 0 / 1	1 / 1 / 1		100%		
MU Mauritius	0 / 0 / 4	1 / 3 / 6	0 / 0 / 3	1 / 1 / 2	0 / 1 / 3	0 / 0 / 5			+67%	

C. States included in the list throughout the entire period (cont.)										
ST.3 code, State	Applications before July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			Applications from July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			% of all applications having reductions		% change in filings	
	y-3	y-2	y-1	y+1	y+2	y+3	y-1	y+3	Total	Natural persons
MX Mexico	46 / 50 / 88	142 / 150 / 271	142 / 155 / 299	139 / 145 / 285	139 / 151 / 288	138 / 149 / 279	47%	49%	-7%	-4%
MY Malaysia	12 / 13 / 129	31 / 34 / 400	27 / 30 / 203	44 / 45 / 235	39 / 38 / 165	38 / 40 / 142	13%	27%	-30%	+33%
NA Namibia	3 / 1 / 1	3 / 2 / 2	1 / 1 / 2	2 / 3 / 3	2 / 2 / 2	1 / 1 / 2	50%	50%	+0%	+0%
NG Nigeria	0 / 0 / 0	4 / 6 / 7	3 / 5 / 6	2 / 7 / 7	1 / 2 / 3	2 / 3 / 3	50%	67%	-50%	-40%
NI Nicaragua	1 / 1 / 1	1 / 1 / 1	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0				
OM Oman	0 / 0 / 0	1 / 1 / 3	1 / 1 / 1	4 / 5 / 9	3 / 5 / 5	6 / 8 / 9	100%	67%	+800%	+700%
PA Panama	0 / 0 / 8	0 / 0 / 12	2 / 2 / 19	2 / 2 / 6	1 / 2 / 58	3 / 3 / 163	11%	2%	+758%	+50%
PE Peru	2 / 3 / 6	10 / 10 / 16	11 / 10 / 16	19 / 19 / 27	22 / 22 / 27	27 / 27 / 35	69%	77%	+119%	+170%
PH Philippines	14 / 14 / 24	17 / 19 / 31	18 / 22 / 29	16 / 15 / 20	17 / 23 / 29	9 / 11 / 17	62%	53%	-41%	-50%
PK Pakistan	0 / 1 / 1	0 / 0 / 1	0 / 0 / 0	0 / 2 / 2	0 / 0 / 1	1 / 2 / 2		50%		
PL Poland	24 / 24 / 135	48 / 56 / 352	42 / 41 / 375	81 / 91 / 410	72 / 94 / 335	66 / 84 / 322	11%	20%	-14%	+105%
PY Paraguay	0 / 0 / 0	0 / 0 / 0	0 / 0 / 1	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0				
RO Romania	9 / 11 / 12	10 / 16 / 34	17 / 17 / 32	23 / 26 / 35	18 / 20 / 34	23 / 24 / 29	53%	79%	-9%	+41%
RS Serbia	5 / 8 / 15	9 / 11 / 15	15 / 20 / 30	10 / 13 / 24	9 / 9 / 11	10 / 13 / 20	50%	50%	-33%	-35%
RU Russian Federation	277 / 315 / 500	541 / 598 / 1,033	432 / 467 / 817	431 / 454 / 860	487 / 537 / 1,011	489 / 542 / 1,041	53%	47%	+27%	+16%
SC Seychelles	0 / 0 / 2	0 / 1 / 18	0 / 0 / 8	0 / 1 / 6	0 / 0 / 5	0 / 0 / 2			-75%	
SK Slovakia	4 / 5 / 13	26 / 28 / 67	10 / 13 / 41	11 / 11 / 41	20 / 20 / 47	19 / 21 / 58	24%	33%	+41%	+62%
SV El Salvador	0 / 0 / 0	1 / 1 / 1	1 / 1 / 3	0 / 0 / 0	1 / 2 / 2	0 / 0 / 0	33%			
SY Syrian Arab Republic	1 / 1 / 1	0 / 1 / 1	3 / 1 / 1	1 / 2 / 2	1 / 1 / 1	2 / 2 / 2	300%	100%	+100%	+100%
SZ Eswatini	0 / 0 / 0	0 / 0 / 0	1 / 1 / 1	1 / 1 / 1	0 / 0 / 0	0 / 0 / 0	100%			
TH Thailand	9 / 10 / 25	28 / 35 / 66	27 / 38 / 98	47 / 57 / 159	44 / 47 / 147	28 / 29 / 124	28%	23%	+27%	-24%

C. States included in the list throughout the entire period (cont.)										
ST.3 code, State	Applications before July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			Applications from July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			% of all applications having reductions		% change in filings	
	y-3	y-2	y-1	y+1	y+2	y+3	y-1	y+3	Total	Natural persons
TN Tunisia	2 / 2 / 2	4 / 5 / 7	3 / 4 / 7	2 / 3 / 3	4 / 2 / 4	9 / 10 / 11	43%	82%	+57%	+150%
TO Tonga	0 / 0 / 0	1 / 1 / 1	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0				
TR Turkey	125 / 138 / 358	191 / 216 / 822	237 / 254 / 908	253 / 268 / 1,019	265 / 283 / 1,143	243 / 284 / 1,220	26%	20%	+34%	+12%
TT Trinidad and Tobago	0 / 0 / 0	0 / 0 / 0	1 / 5 / 5	0 / 31 / 31	3 / 10 / 10	4 / 4 / 5	20%	80%	+0%	-20%
UA Ukraine	48 / 55 / 64	114 / 125 / 158	96 / 101 / 132	138 / 145 / 156	122 / 134 / 152	107 / 128 / 138	73%	78%	+5%	+27%
UY Uruguay	1 / 2 / 2	1 / 3 / 6	0 / 1 / 9	0 / 5 / 9	2 / 7 / 14	0 / 2 / 12			+33%	+100%
UZ Uzbekistan	2 / 0 / 2	1 / 1 / 1	4 / 6 / 7	2 / 3 / 3	2 / 2 / 2	4 / 4 / 4	57%	100%	-43%	-33%
VC Saint Vincent and the Grenadines	0 / 0 / 1	0 / 0 / 2	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0				
VE Venezuela (Bolivarian Republic of)	0 / 1 / 1	0 / 2 / 2	0 / 0 / 0	0 / 1 / 1	0 / 0 / 1	0 / 1 / 1				
VN Viet Nam	7 / 7 / 10	6 / 7 / 13	5 / 7 / 9	9 / 13 / 17	11 / 13 / 16	7 / 8 / 28	56%	25%	+211%	+14%
ZA South Africa	64 / 62 / 161	142 / 138 / 315	132 / 130 / 318	119 / 117 / 303	117 / 113 / 282	120 / 113 / 271	42%	44%	-15%	-13%
ZW Zimbabwe	1 / 1 / 2	1 / 1 / 1	1 / 1 / 1	1 / 1 / 1	2 / 2 / 2	1 / 21 / 22	100%	5%	+2,100%	+2,000%

D. Least-developed countries – nationals and residents eligible for the fee reduction whether a natural person or not										
ST.3 code, State	Applications before July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			Applications from July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			% of all applications having reductions		% change in filings	
	y-3	y-2	y-1	y+1	y+2	y+3	y-1	y+3	Total	Natural persons
AO Angola	1 / 1 / 1	2 / 3 / 3	0 / 1 / 1	1 / 1 / 1	0 / 0 / 0	0 / 0 / 0				
BD Bangladesh	0 / 0 / 0	0 / 0 / 3	0 / 0 / 2	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0				
BI Burundi	0 / 1 / 1	0 / 0 / 0	0 / 0 / 0	0 / 0 / 1	0 / 0 / 1	0 / 0 / 0				
CD Democratic Republic of the Congo	0 / 0 / 0	1 / 1 / 1	0 / 0 / 0	0 / 1 / 1	0 / 0 / 0	1 / 1 / 1		100%		
ER Eritrea	0 / 0 / 0	0 / 1 / 1	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0				
GN Guinea	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	1 / 1 / 1		100%		
KH Cambodia	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 1 / 1	0 / 0 / 0				
LA Lao People's Democratic Republic	0 / 0 / 1	0 / 0 / 1	0 / 0 / 1	0 / 2 / 2	0 / 0 / 1	0 / 0 / 1			+0%	
LR Liberia	0 / 0 / 0	0 / 0 / 1	0 / 0 / 1	0 / 0 / 0	0 / 0 / 0	0 / 1 / 1			+0%	
MG Madagascar	0 / 0 / 0	2 / 2 / 2	1 / 1 / 1	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	100%			
MW Malawi	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	1 / 1 / 1	0 / 0 / 0	0 / 0 / 0				
MZ Mozambique	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	1 / 1 / 1	0 / 0 / 0	0 / 1 / 1				
NE Niger	0 / 0 / 0	0 / 0 / 0	0 / 1 / 1	0 / 0 / 0	0 / 0 / 0	0 / 1 / 1			+0%	+0%
RW Rwanda	0 / 0 / 0	0 / 0 / 1	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	1 / 1 / 1		100%		
SB Solomon Islands	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	1 / 0 / 0				
SD Sudan	0 / 0 / 0	0 / 0 / 0	3 / 5 / 6	1 / 1 / 1	7 / 8 / 8	6 / 6 / 7	50%	86%	+17%	+20%
SN Senegal	0 / 0 / 0	0 / 3 / 3	3 / 16 / 16	4 / 8 / 8	1 / 4 / 4	2 / 3 / 3	19%	67%	-81%	-81%
TD Chad	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 1	0 / 0 / 0				
TG Togo	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	1 / 1 / 1	0 / 0 / 0				
TZ United Republic of Tanzania	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	1 / 1 / 2	0 / 0 / 0	0 / 0 / 0				
UG Uganda	0 / 0 / 2	1 / 1 / 2	1 / 1 / 3	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	33%			
VU Vanuatu	0 / 0 / 0	0 / 1 / 1	0 / 0 / 0	0 / 0 / 0	0 / 1 / 1	0 / 0 / 0				

D. Least-developed countries – nationals and residents eligible for the fee reduction whether a natural person or not (cont.)										
ST.3 code, State	Applications before July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			Applications from July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			% of all applications having reductions		% change in filings	
	y-3	y-2	y-1	y+1	y+2	y+3	y-1	y+3	Total	Natural persons
WS Samoa	0 / 0 / 2	0 / 0 / 1	2 / 0 / 8	2 / 0 / 3	1 / 0 / 1	0 / 0 / 1	25%		-88%	
YE Yemen	0 / 0 / 0	0 / 0 / 1	0 / 0 / 0	2 / 1 / 1	0 / 0 / 0	0 / 1 / 1				
ZM Zambia	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	0 / 0 / 0	1 / 1 / 1		100%		

E. States not included in the list at any time during the period										
ST.3 code, State	Applications before July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			Applications from July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			% of all applications having reductions		% change in filings	
	y-3	y-2	y-1	y+1	y+2	y+3	y-1	y+3	Total	Natural persons
AD Andorra	0 / 1 / 2	0 / 1 / 3	0 / 4 / 4	0 / 3 / 3	0 / 4 / 8	0 / 3 / 5			+25%	-25%
AT Austria	0 / 81 / 614	0 / 169 / 1,377	0 / 139 / 1,338	0 / 166 / 1,439	0 / 172 / 1,417	0 / 166 / 1,383			+3%	+19%
AU Australia	0 / 119 / 739	0 / 312 / 1,687	0 / 283 / 1,640	0 / 322 / 1,795	0 / 275 / 1,822	0 / 309 / 1,830			+12%	+9%
BE Belgium	0 / 29 / 541	0 / 40 / 1,172	0 / 46 / 1,154	0 / 45 / 1,214	0 / 56 / 1,376	0 / 47 / 1,295			+12%	+2%
BN Brunei Darussalam	0 / 0 / 0	0 / 0 / 0	0 / 0 / 2	0 / 0 / 7	0 / 0 / 1	0 / 1 / 1			-50%	
CA Canada	0 / 219 / 1,500	0 / 417 / 2,885	0 / 364 / 2,861	0 / 392 / 2,599	0 / 341 / 2,340	0 / 346 / 2,331			-19%	-5%
CH Switzerland	0 / 83 / 2,112	0 / 174 / 4,340	0 / 162 / 4,214	0 / 148 / 4,384	0 / 173 / 4,564	0 / 156 / 4,555			+8%	-4%
DE Germany	0 / 405 / 8,758	0 / 819 / 17,879	0 / 794 / 18,232	0 / 734 / 17,808	0 / 726 / 18,359	0 / 779 / 19,537			+7%	-2%
DK Denmark	0 / 24 / 604	0 / 39 / 1,296	0 / 26 / 1,280	0 / 31 / 1,341	0 / 23 / 1,385	0 / 31 / 1,455			+14%	+19%
ES Spain	0 / 185 / 820	0 / 363 / 1,716	0 / 370 / 1,544	0 / 361 / 1,535	0 / 324 / 1,501	0 / 314 / 1,386			-10%	-15%
FI Finland	0 / 41 / 1,244	0 / 48 / 1,812	0 / 58 / 1,674	0 / 49 / 1,550	0 / 43 / 1,550	0 / 59 / 1,726			+3%	+2%
FR France	0 / 150 / 3,813	0 / 333 / 8,270	0 / 290 / 8,503	0 / 340 / 8,303	0 / 340 / 8,044	0 / 356 / 7,906			-7%	+23%
GB United Kingdom	0 / 286 / 2,402	0 / 427 / 5,064	0 / 389 / 5,170	0 / 392 / 5,372	0 / 382 / 5,672	0 / 339 / 5,544			+7%	-13%
IE Ireland	0 / 21 / 212	0 / 50 / 437	0 / 38 / 424	0 / 56 / 472	0 / 33 / 654	0 / 28 / 552			+30%	-26%
IL Israel	0 / 128 / 821	0 / 294 / 1,542	0 / 259 / 1,659	0 / 238 / 1,692	0 / 234 / 1,811	0 / 256 / 1,791			+8%	-1%
IS Iceland	0 / 1 / 26	0 / 2 / 41	0 / 3 / 46	0 / 4 / 49	0 / 1 / 42	0 / 1 / 32			-30%	-67%
IT Italy	0 / 241 / 1,398	0 / 473 / 2,897	0 / 495 / 3,094	0 / 549 / 3,155	0 / 526 / 3,322	0 / 564 / 3,260			+5%	+14%

E. States not included in the list at any time during the period (cont.)										
ST.3 code, State	Applications before July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			Applications from July 1, 2015 <i>(with reductions / by natural persons only / total)</i>			% of all applications having reductions		% change in filings	
	y-3	y-2	y-1	y+1	y+2	y+3	y-1	y+3	Total	Natural persons
JP Japan	0 / 237 / 22,279	0 / 474 / 42,612	0 / 498 / 43,694	0 / 481 / 44,344	0 / 473 / 46,818	0 / 498 / 49,075			+12%	+0%
KR Republic of Korea	0 / 928 / 5,749	0 / 1,861 / 12,426	0 / 2,083 / 14,019	0 / 2,065 / 14,875	0 / 1,943 / 15,488	0 / 2,051 / 16,207			+16%	-2%
KW Kuwait	0 / 0 / 1	0 / 0 / 0	0 / 1 / 1	0 / 3 / 6	0 / 0 / 3	0 / 1 / 4			+300%	+0%
LI Liechtenstein	0 / 0 / 71	0 / 0 / 223	0 / 3 / 245	0 / 0 / 214	0 / 1 / 261	0 / 0 / 273			+11%	-100%
LU Luxembourg	0 / 3 / 202	0 / 10 / 488	0 / 5 / 400	0 / 4 / 478	0 / 5 / 438	0 / 3 / 425			+6%	-40%
MC Monaco	0 / 3 / 9	0 / 8 / 25	0 / 8 / 38	0 / 6 / 17	0 / 5 / 14	0 / 3 / 10			-74%	-63%
NL Netherlands	0 / 52 / 2,064	0 / 88 / 4,090	0 / 90 / 4,359	0 / 93 / 4,464	0 / 83 / 4,609	0 / 77 / 4,307			-1%	-14%
NO Norway	0 / 22 / 356	0 / 50 / 712	0 / 37 / 651	0 / 50 / 704	0 / 28 / 760	0 / 46 / 777			+19%	+24%
NZ New Zealand	0 / 25 / 143	0 / 70 / 325	0 / 58 / 350	0 / 50 / 334	0 / 56 / 286	0 / 37 / 259			-26%	-36%
QA Qatar	0 / 8 / 25	0 / 4 / 19	0 / 5 / 13	0 / 4 / 15	0 / 6 / 28	0 / 7 / 18			+38%	+40%
SE Sweden	0 / 64 / 2,004	0 / 143 / 3,938	0 / 111 / 3,960	0 / 100 / 3,790	0 / 97 / 3,699	0 / 83 / 4,106			+4%	-25%
SM San Marino	0 / 1 / 3	0 / 1 / 1	0 / 1 / 4	0 / 1 / 4	0 / 3 / 8	0 / 0 / 5			+25%	-100%
US United States of America	0 / 1,677 / 28,052	0 / 4,058 / 62,705	0 / 3,643 / 55,037	0 / 3,497 / 56,962	0 / 3,283 / 56,403	0 / 3,350 / 56,691			+3%	-8%

Some apparent anomalies exist because the data for the residence of applications as filed cannot be extracted perfectly from the International Bureau's databases. Consequently, the first figure is derived in a manner that can only be considered as an approximation for comparison with the second and third figures. Specifically, the first figure represents an approximation of the numbers concerning the residence of the first applicant *as filed*, based on assumptions, such as that the State is the same as that of the receiving Office where that Office is a national Office and the data is not otherwise clear. The second and third figures are based on the residence of the first *current* applicant, for which the data is of better quality, but the person or residence of the first applicant may have changed in the meantime. The differences represent a very small proportion of the total applications for most States but introduce significant errors, in particular for some States with low numbers of applications.

[End of Annex and of document]