

ePCT - Filing with RO/US in combination with EFS-Web

<https://pct.wipo.int>



Advantages of filing with ePCT

- Web-based system, no installation required
- The most up-to-date reference data based on the [PCT Applicant's Guide](#) and “best-in-class” validations
- Formality errors are detected prior to submission and can be corrected before the application is filed
- eOwnership is automatic
- Sharing access rights prior to filing
- **IMPORTANT: PCT-SAFE will no longer be supported by WIPO as of 01 July 2022**

ePCT-Filing

- ePCT-Filing with 73 PCT receiving Offices
<https://pct.wipo.int/ePCTExternal/pages/EFilingServers.xhtml>
- Direct filing with 70 receiving Offices
- A two-step process with CA, IL and US
- Login using a WIPO Account with strong authentication
- ePCT <https://pct.wipo.int>

ePCT-Filing for RO/US (1)

- 1st step in ePCT <https://pct.wipo.int>
 - Enter Bibliographic data
 - No documents can be attached (some can be prepared in ePCT, e.g., declarations)**
 - Create a .zip file
- 2nd step in EFS-Web <https://www.uspto.gov/patents/apply>
 - Upload your **ePCT** .zip file together with the specification and any other accompanying documents

Are you attaching a PCT-EASY zip file? Yes No

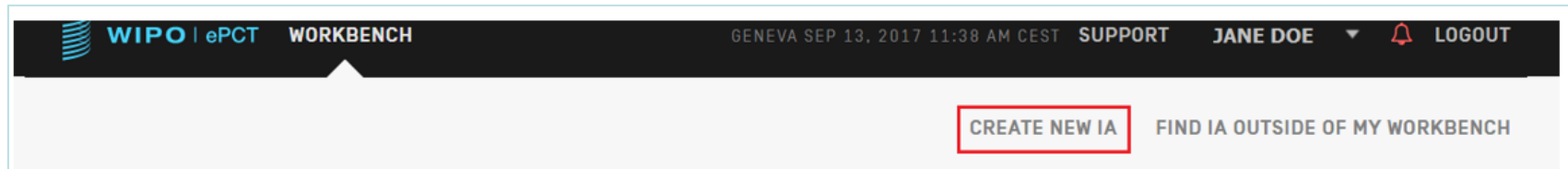
ePCT-Filing for RO/US (2)

- Upload to EFS-Web preferably on the same day in order to guarantee the ePCT validation results
 - at least be mindful of the validations that might be affected by uploading to EFS-Web on a later date
 - **do not forget to upload the zip file in EFS-Web at the time of filing - important for eOwnership in ePCT to be automatic when the record copy is received at the IB**

ePCT-Filing for RO/US (3)

- US foreign filing license scope amended (effective September 30, 2020)
 - covers PCT applications prepared using ePCT for filing with RO/US
 - no longer required to separately comply with export control regulations
 - see [PCT Newsletter No. 10/2020](#)
- Foreign filing license still required if not previously obtained or new subject matter added

Create New IA (1)



- Fill in the screens in the order in which they appear to benefit from re-use of certain data
- More detailed information on ePCT-Filing at <https://www.wipo.int/pct/en/epct/learnmore.html?N=567>

Create New IA (2)

- Enter file reference, limited to 25 characters, no special characters except hyphen “-”
- Select Receiving Office - US
- Select Access rights / Access rights group
<https://www.wipo.int/pct/en/epct/learnmore.html?N=542>
- Select Portfolio (optional)
<https://www.wipo.int/pct/en/epct/learnmore.html?N=546>

NEW IA Close

Applicant/agent's file reference *
D- Webinar-US

Access rights *
WIPO

The following default access rights will be assigned for the New IA

- eOwner: Pascal PIRIOU, Cécile CHATEL, K. Ann BARDINI
- eEditor: murray leach

Select Receiving Office *
US - United States Patent and Trademark Office (USPTO)

[Look up national security requirements](#)

Select Portfolio
GENEVA

Cancel Import New IA Create

Create New IA (3)

- Look up national security requirements
- Small entity and Micro entity fee reduction
- Entitlement documents to be uploaded in EFS-Web

Applicant/agent's file reference * D- Webinar-US	Language of Request * EN - English
Receiving Office US - United States Patent and Trademark Office [USPTO]	Language of filing of the international application * EN - English
Look up national security requirements Current time at RO/US: Wednesday, July 7, 2021 9:25 am EDT	
Filing method ePCT-Filing data package	
IMPORTANT - This package must be submitted to the receiving Office system independently of ePCT.	
Fee reduction under the America Invents Act Not specified	
Not specified	
Small entity fee reduction	
Micro entity fee reduction	

Cancel Update

Document[s] explaining the reduction entitlement will be submitted with this data package at the time of filing.

ePCT Validations

- Real-time validation of data against the electronic processing system of the International Bureau



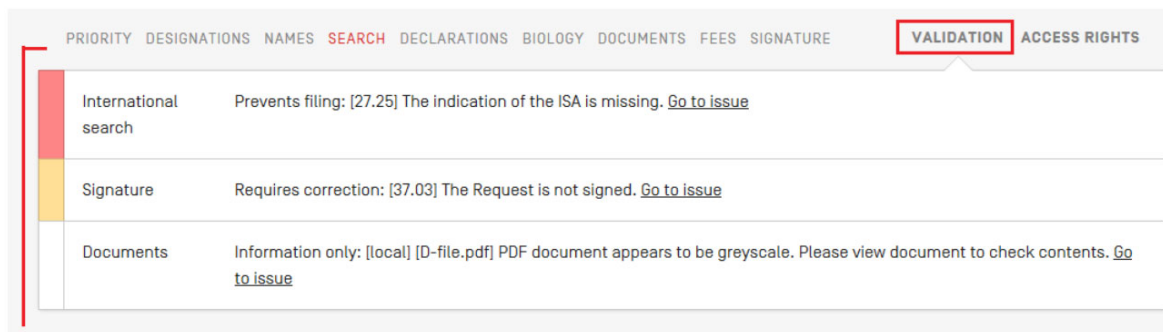
PRIORITY DESIGNATIONS NAMES SEARCH DECLARATIONS BIOLOGY DOCUMENTS FEES SIGNATURE VALIDATION ACCESS RIGHTS HISTORY

D-WEBINAR-US ▾

Save draft Preview R0/101 Close Review & create package

IMPORTANT - You MUST create and download the ePCT-Filing data package for subsequent submission to the receiving Office system independently of ePCT.

- Three types of warning
 - Red - prevents filing
 - Orange - correction required but does not prevent filing
 - White - Information only



PRIORITY DESIGNATIONS NAMES SEARCH DECLARATIONS BIOLOGY DOCUMENTS FEES SIGNATURE VALIDATION ACCESS RIGHTS

International search	Prevents filing: [27.25] The indication of the ISA is missing. Go to issue
Signature	Requires correction: [37.03] The Request is not signed. Go to issue
Documents	Information only: [local] [D-file.pdf] PDF document appears to be greyscale. Please view document to check contents. Go to issue

Priority claims (1)

- Each priority claim is validated: Type (national, regional or international), Country/Office, Filing Date and Option to provide the priority document to the IB

Type *	▼	Option(s) for providing the priority document to the IB *
National		<input checked="" type="radio"/> Receiving Office to prepare and transmit to the International Bureau
Country/Office *	▼	<input type="radio"/> To be provided by the applicant
US - United States of America		<input type="radio"/> An electronic copy of the priority document (certified by the issuing Office) will be submitted with this data package at the time of filing
Filing Date *	📅	<input type="radio"/> International Bureau to obtain from a digital library (DAS)
10/07/2020		<input type="checkbox"/> The receiving Office is requested to restore the right of priority for this earlier application.
Application number		
61/555,999		
format should be "08/999,999"		
		Cancel OK

Priority claim (2)

■ Validation of priority claims

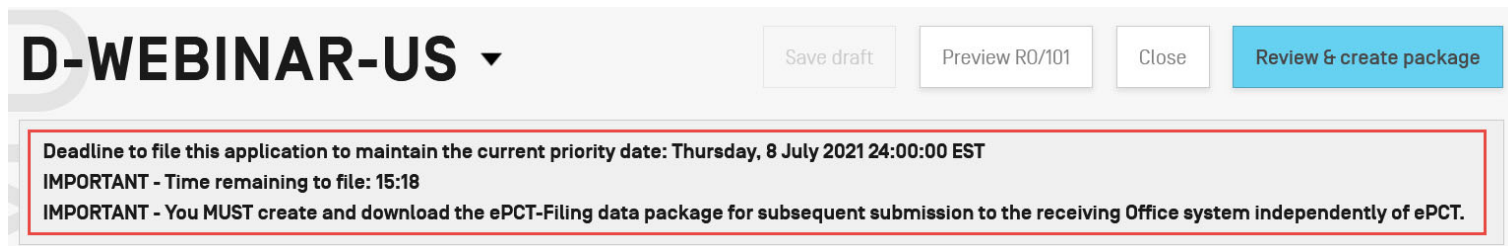
The screenshot shows two messages from a system, each with a '1 issue' indicator in the top right corner. The first message has a red background and states: 'Prevents filing: [US - 01 Mar 2020 - 61/111,999] Priority claim is not valid: the filing date of the earlier application is outside the 12 months priority period and also outside the 2 months that follow the expiration of that period.' The second message has a yellow background and states: 'Will require correction but does not prevent filing: [US - 01 May 2020 - 61/111,999] The priority claim is eligible for restoration. The filing date of the earlier application is outside the 12 months priority period but within the 2 months that follow the expiration of that period. IMPORTANT: You may wish to consider requesting the receiving Office to restore the right of priority in relation to this earlier application [PCT Rule 26bis.3]. If you choose not to request restoration of the right of priority at this stage, or if your request for restoration of the right of priority is refused by the receiving Office, it is important to note that all PCT time limits will nevertheless be calculated from the date of the earliest indicated priority claim, even if that date is outside the 12 months priority period but within the 2 months that follow the expiration of that period.'

■ Real time look-up in DAS validates the priority claim data against the access code (also useful in detecting typos)

The screenshot shows a form with two input fields. The first field is 'Filing Date *' with the value '30/06/2020'. Below it is a red error message: 'filing date does not match for US - 61/111,444 in DAS.' The second field is 'Application number *' with the value '61/111,444'. To the right, there is a 'DAS access code *' field with the value '111'. Below it is a red error message: 'access code incorrect.'

Draft New IAs with a priority claim (1)

- The deadline to upload the .zip file to EFS-Web is displayed in the user interface
- 24 hours before that deadline expires, a countdown of the time remaining to submit is also displayed and a deadline notification is sent to users with access rights



The screenshot shows a user interface for 'D-WEBINAR-US'. At the top right, there are four buttons: 'Save draft', 'Preview R0/101', 'Close', and 'Review & create package'. Below these buttons is a red-bordered notification box containing the following text:

Deadline to file this application to maintain the current priority date: Thursday, 8 July 2021 24:00:00 EST
IMPORTANT - Time remaining to file: 15:18
IMPORTANT - You MUST create and download the ePCT-Filing data package for subsequent submission to the receiving Office system independently of ePCT.

Draft New IAs with a priority claim (2)

■ ePCT notification: deadline to file a new IA

ePCT	WIPO
<p>ePCT Notification: Deadline to file a New IA - D-Webinar-US - DEMO</p> <p>Deadline to file this application to maintain the current priority date: 08 Jul 2021 24:00:00 EST</p> <p>You MUST download the ePCT-Filing data package and submit it to the receiving Office system independently of ePCT.</p> <hr/> <p>File reference: D-Webinar-US Receiving Office: RO/US</p> <hr/> <p>NOTE: This is an informal notification for information only.</p> <p>Access the international application directly in ePCT</p>	

Designations

- By default all the designations possible on the current date are displayed
- Exclude DE, JP and/or KR from designation if necessary

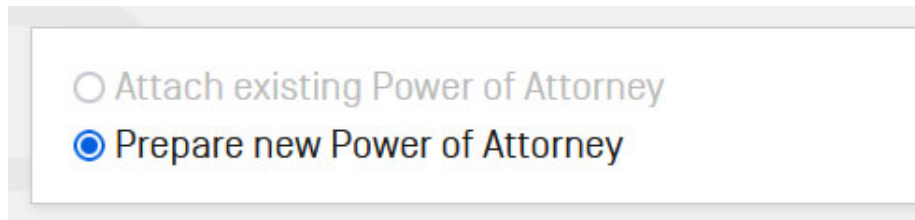
Designations	Prevents filing: [10.24] [DE] There is no National priority claim filed with the Office relevant to this exclusion. Go to issue
Designations	Prevents filing: [10.24] [JP] There is no National priority claim filed with the Office relevant to this exclusion. Go to issue
Designations	Prevents filing: [10.24] [KR] There is no National priority claim filed with the Office relevant to this exclusion. Go to issue

- ‘Add parent filing data’, for example ‘continuation’ or ‘continuation in part’ for the designation of US
- Info box with an shortcut link to add CON, CIP, etc

Identification of parent application or patent grant can be added in the Designations section, e.g., 'continuation' or 'continuation-in-part' for US. To add click [here](#)

Names

- Add Applicant(s), Applicant(s)/Inventor(s), Inventor(s) only
 - For all designated States
 - For specific States
- Add Agent, Common representative, Address for correspondence
- Power of Attorney
 - Create a Power of Attorney online in ePCT



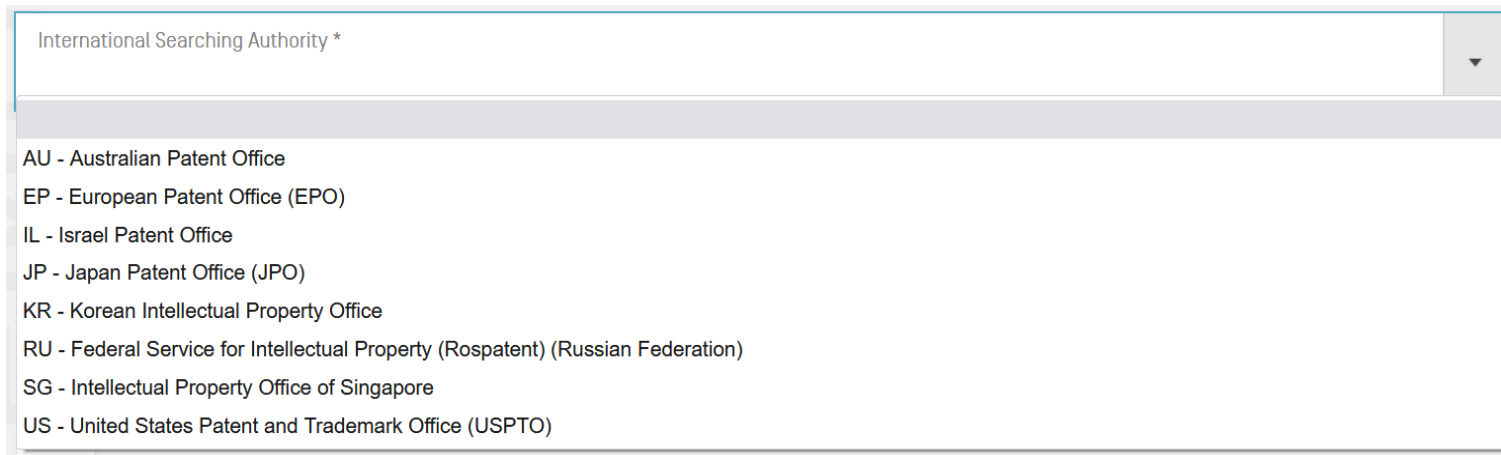
A screenshot of a web interface showing two radio button options for creating a Power of Attorney. The first option is "Attach existing Power of Attorney" with an unselected radio button. The second option is "Prepare new Power of Attorney" with a selected radio button.

Address Book

- Record and store contact details of applicants, inventors, and agents
- Import of existing address book (.csv), e.g. from PCT-SAFE
- Address book sharing based on access rights
 - eOwner (view, edit and share)
 - eEditor (view and edit)
 - eViewer (view only)

International Searching Authority (1)

■ For RO/US, the competent ISAs are :



A screenshot of a web form showing a dropdown menu for selecting an International Searching Authority (ISA). The menu is titled "International Searching Authority *" and contains the following options:

- AU - Australian Patent Office
- EP - European Patent Office (EPO)
- IL - Israel Patent Office
- JP - Japan Patent Office (JPO)
- KR - Korean Intellectual Property Office
- RU - Federal Service for Intellectual Property (Rospatent) (Russian Federation)
- SG - Intellectual Property Office of Singapore
- US - United States Patent and Trademark Office (USPTO)

International Searching Authority (2)

■ Earlier Search

- Request ISA to take into consideration results of earlier search

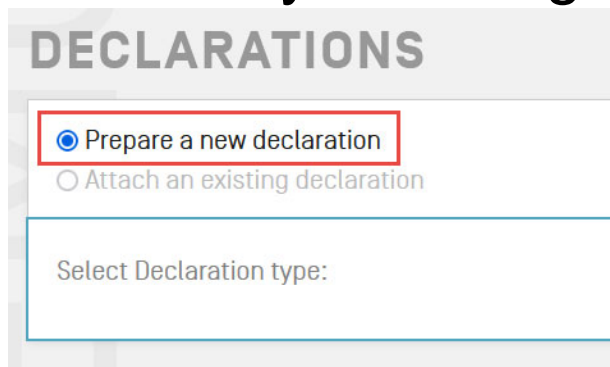
■ Reimbursement by ISA/EP to a deposit account with EPO

The screenshot shows a web interface titled "INTERNATIONAL SEARCH". It contains three main sections:

- A red-bordered box containing the text "ISA/EP - European Patent Office [EPO]".
- A button labeled "Use of earlier search and classification results".
- A button labeled "Add reimbursement instructions" with a red arrow pointing to it from the right.

Declarations

- Declarations under Rule 4.17 can be prepared online with the data entered in the 'Priority claims' and 'Names' sections by selecting 'Prepare a new declaration'



DECLARATIONS

Prepare a new declaration

Attach an existing declaration

Select Declaration type:

- Declarations preview: clicking on the 'Preview RO/101' button appearing at the top of the New IA screen
- External signature function available for inventors to sign a declaration under Rule 4.17(iv)

Biology

- References to deposited microorganisms or other biological material, e.g. Form RO/134

BIOLOGY

Add


The description of the international application as filed contains references to deposited microorganisms and/or other biological material

Prepare a new Form RO/134 Attach existing indications


Declarations

BIOLOGY

Add Preview RO/134



The selected receiving Office has informed the International Bureau that it will not extract Form PCT/RO/134 from the ePCT zip file. You must preview and download Form PCT/RO/134 as a PDF file and submit it to the receiving Office system at the time of filing.

▶	RO/134	ATCC	07 Jul 2020	
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Documents

■ Add page numbers for specification and indicate if sequence listing part of the description

□ Upload specification and sequence listing to EFS-Web

Add page numbers for specification

Description (No. of pages) 10	Drawings (No. of pages) 5
Claims (No. of pages) 2	Figure of the drawings which should accompany the abstract * 1
Abstract (No. of pages) 1	<input checked="" type="checkbox"/> Sequence listing part of the description in text format (.txt or .app) will be submitted with this data package at the time of filing
<input type="checkbox"/> The abstract contains Formula(e)	

Title of Invention

The title is provided below
 The title is as provided on page 1 of the description

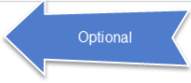
Allow lower case

I U x₂ x* |

TITLE OF THE INVENTION

Abstract Text

I U x₂ x* |

Abstract text..... | 

Save

Sequence listing part of the description

- For RO/US sequence listing files must be in text format (.txt, .app)
- Indicate sequence listing file on the 'Documents' screen as 'sequence listing part of the description in text format'
 - will also be used for the purposes of international search
 - not possible to indicate any sequence listing for search purposes only (always part of the description)
 - upload SL in EFS-Web

Sequence listing part of the description in text format [.txt or .app] will be submitted with this data package at the time of filing


Accompanying items

- Should be indicated in the accompanying items to generate the RO/101 Checklist correctly, but uploaded separately to EFS-Web
- Ensure that all items in the RO/101 Checklist generated by ePCT are uploaded to EFS-Web

ACCOMPANYING ITEMS

The following accompanying items do NOT form part of the international application and will be submitted with this data package at the time of filing:

Add other item to checklist

Document Type Fee reduction entitlement	Go to document
Document Type General correspondence: General correspondence	

Fees and payment method

- Fees should be paid to USPTO
- Fee reduction:
 - PDF: - 218 \$

FEES

Show fees Preview fee sheet

Payment method Credit card

Payment method
Credit card

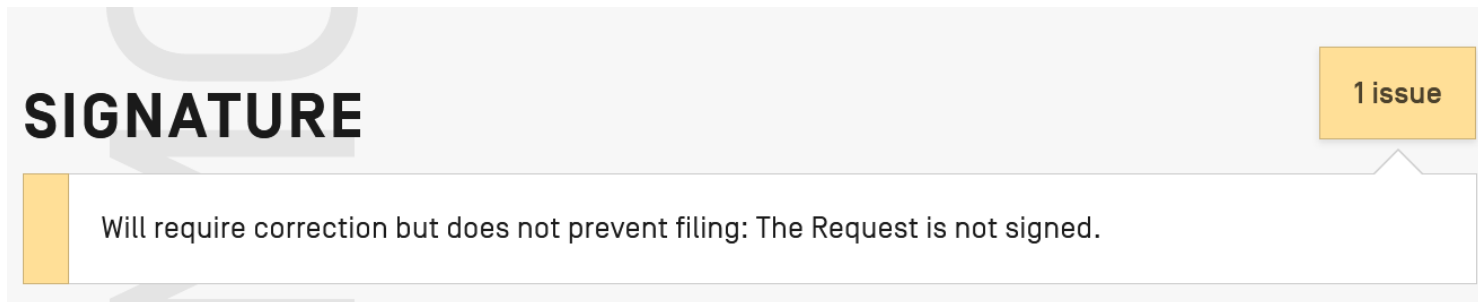
Credit card
Deposit account
No payment for the time being
Bank transfer

pascal.pascal@nrcv.fr

Cancel Update

Signature (1)

- ePCT access rights holders (eOwner or eEditor) are different from authorized signatories (applicant or agent)
- Applicant or agent may not necessarily be an eOwner or eEditor in ePCT
- Applicant or agent signatures are required for ePCT-Filing



SIGNATURE 1 issue

Will require correction but does not prevent filing: The Request is not signed.

Signature (2)

- Signatures may be applied in the form of a text string
- 'External signature' allows users without ePCT access to apply their signature

The screenshot shows a web form titled "SIGNATURE" with a "1 issue" indicator in the top right corner. A yellow warning box at the top states: "Will require correction but does not prevent filing: The Request is not signed." The form contains the following fields and options:

- Name ***: A dropdown menu with the selected value "PIRIOU, Pascal (Agent)".
- Signature type ***: Two radio button options: "Text signature" (which is selected) and "External signature".
- Signature (should include name) ***: A text input field containing the text "/ Pascal Piriou" on the left and ". Reg. No. 1235/" on the right.
- A note below the signature field: "The registration number 1235 will be added automatically to the signature".

At the bottom right of the form, there are two buttons: "Cancel" and "OK".

EFS-Web

<https://www.uspto.gov/patents/apply>

Unregistered eFilers | Please Read Announcements | Application Data | Attach Documents | Review Documents | Calculate Fees | Confirm & Submit | Pay Fees | Receipt

Attach Documents

A submission has not been filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO Eastern Time. The Acknowledgement Receipt is evidence of this submission.

Documents Not permitted Via EFS-WEB: Documents/Submissions not permitted to be filed using EFS-WEB include: (1) District court complaints or notices of appeals to the Federal Circuit; (2) Third Party Papers in patent applications such as Protest under 37 CFR 1.291; (3) Assignment documents under 35 U.S.C. 261. [See more information and complete list of documents not permitted.](#)

This is the application data associated with your filing. If any information is incorrect, please edit the Application Data

Title of Invention	Title of the invention
Applicant Name	Pascal Piriou
Customer Number,	211321
Correspondence Address	Pascal Piriou 150 Madison Avenue Milwaukee WI 55512 US
Filed By	Pascal Piriou
Attorney Docket Number	
Application Type	International Application (PCT) for filing in the US receiving office

Are you attaching a PCT-EASY zip file? Yes No

Files to be Submitted ⓘ

No file selected.

When attaching a PCT-EASY Zip file, you must also attach your application parts (Specification, Claims, Abstract, Drawings, etc) separately as PDF files.

Users are advised not to submit credit card payment form PTO-2038 via EFS-Web. Submission of the credit card payment form via EFS-Web may result in the form being included among the patent or trademark records open for public inspection. Users choosing to pay with a credit card should instead utilize the on-line payment method available through EFS-Web.

[Privacy Policy](#)

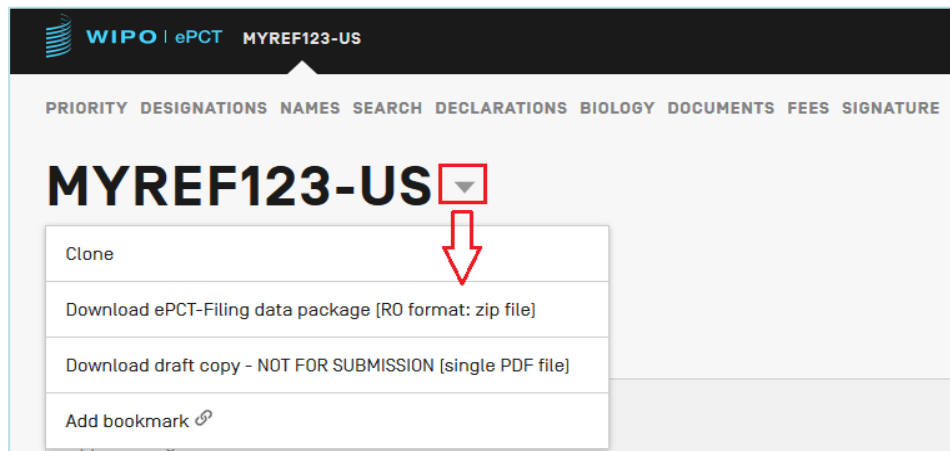
Please Upload & Validate before Review

If you need help:

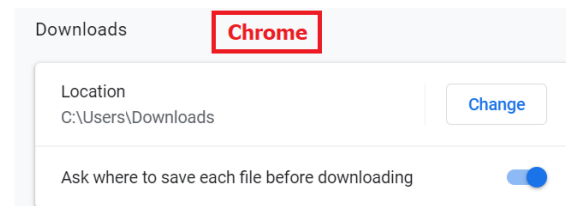
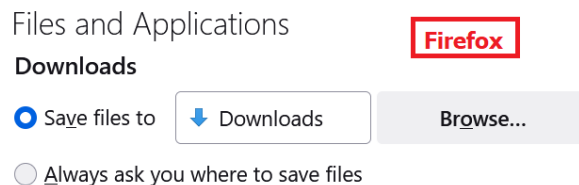
- To ask questions about Patent e-Filing, or to suggest improvements to the online system, or report technical problems, please call the Patent Electronic Business Center at (866) 217-9197 (toll free) or send email to EBC@uspto.gov.
- Send general questions about USPTO programs to the [USPTO Contact Center \(UCC\)](#).
- For general questions regarding a petition, or requirements for filing a petition, contact the Office of Petitions Help Desk at 1 800-786-9199.

Re-download .zip file

- If downloaded zip file for upload to EFS-Web cannot be located on your computer, download it again in RO format via the dropdown menu next to the file reference

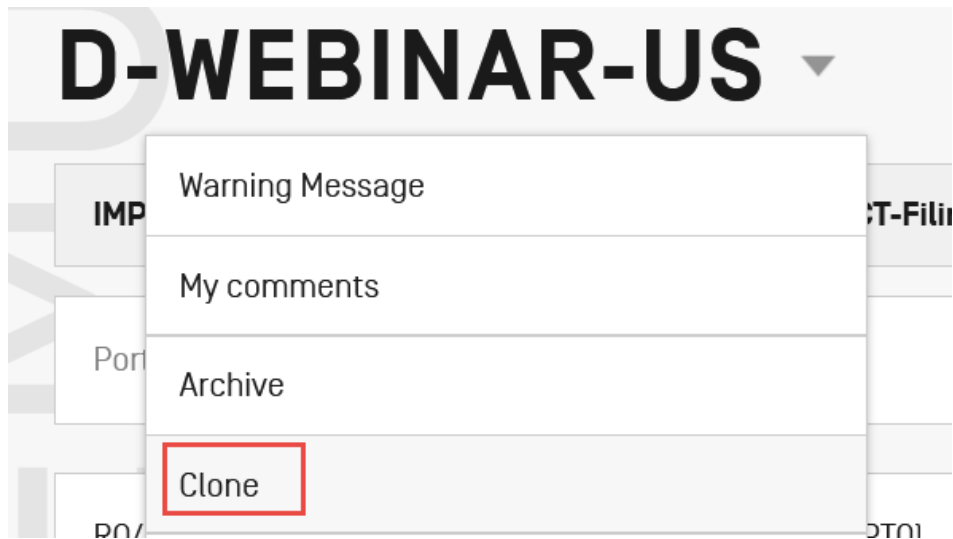


- Check your browser settings to confirm where downloaded files should be saved, e.g.



Clone

- Use Clone function to create a new draft
 - Bibliographic data of an existing application or a draft can be used as application template



HELP with ePCT (1)

- Use the 'HELP' link in the ePCT header
<https://www.wipo.int/pct/en/epct/support.html>
- FAQs and user documentation
 - ❑ Database of help info (use 'Search' feature to pinpoint a topic)
 - ❑ Useful 'how to' videos
 - ❑ Live Chat (during business hours) available via FAQ answers
 - ❑ Webinars on ePCT
- [Contingency upload service](#) available via HELP page to submit PDF documents to the IB (to be used only if the ePCT system is not available)

HELP with ePCT (2)

- Look up ePCT reference data held in IB data base – the basis for extensive validations in the system, including Office profiles, closed dates, fees, etc.

<https://pct.wipo.int/ePCTExternal/pages/home.xhtml>

- PCT eServices

- Tel: +41-22-338-9523

- E-mail: pct.eservices@wipo.int

- Monday to Friday, 9am-6pm Geneva time

- Chat feature available

Thank you!



WIPO
WORLD
INTELLECTUAL PROPERTY
ORGANIZATION

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