



Topic 14: **Overview External Examination Work Products and Retrieval Options**

Lutz Mailänder

Head, International Cooperation on Examination and Training Section

Pretoria
17 March 2016

Agenda

- Opportunities
- Types of results
 - Intermediary
 - PCT
 - final
- Overview of public resources for retrieval
- Issues

Opportunities through patent families

- If same or similar invention was **filed in several IPOs**
 - e.g. a PCT application entered several national phases, the results of substantive examination for these members of the patent family may be utilized
- Types of families
 - Simple family (**usually same invention**, most likely similar claims)
 - Extended family (at least similar invention, claims may differ)
 - Technical family
- Need for **databases/platforms** providing
 - Family information
 - Examination status; to check if examination is pending
 - File inspection; to access examination reports, rejections

Types of examination work products

- Intermediary or **pre-grant** work products
 - Search reports (basic; enriched, e.g. including search strategies)
 - List of citations
 - Written opinions, examination reports
 - Communications between applicant and examiner
 - Third party observations
- **Final** work products/results
 - Granted claims; claims after opposition
 - Rejections; withdrawals following substantive reports
- **Post-grant** work products/results
 - Additional prior art from opposition/re-examination
 - Amended claims
 - Communications between involved parties (3+)

Overview of different terminology

- Search reports (basic; enriched)/Citations
 - USPTO: "List of references cited by examiner", "List of references cited by applicant and considered by examiner"
 - JPO: "Search Report by Registered Searching Organization"
 - EPO: "European Search Report"
- Written opinions, examination reports
 - PCT: "Written opinions" = examiner statements before IPRP issuance (sent to applicant)
 - PCT: IPRP = Written opinion sent to designated/elected offices at the end of the international phase
 - EPO: "European search opinion", "Communication from the examining division" (subsequent written opinions during examination)
 - USPTO: "non-final rejections", "final rejections"
 - JPO: "Notification of Reasons for Refusal"

Main products of PCT international phase

- **Publication of international application** (bibliographic data, abstract, description, drawings, claims)
- **International search report (ISR)**
- **Written opinion of ISA (WO-ISA)**
 - prepared as part of international search, but deals in substance with examination matters
- (Where applicable) supplementary international search report (SISR)
- (Optional) informal comments by applicant on WO-ISA
- **International preliminary report on patentability (IPRP)**
 - IPRP (Chapter I) = WO-ISA plus cover sheet
 - IPRP (Chapter II) = international preliminary examination report (IPER)

International publications

- 18 month after filing/priority date: **WO-A1** or **WO-A2**
- **WO-A1**: international application + international search report
- **WO-A2**: international application only if ISR not yet available
 - Front page, description, drawings, claims
 - Declaration that no ISR will be established (Article 17(2)(a))
- **WO-A3**: Later publication international search report + front page
- **WO-A4**: Later publication of amended claims and/or statement (Article 19)
- **WO-A8**: Republication front page with corrections
- **WO-A9**: Republication of full application or ISR with corrections, alterations or supplements

ISR

- Established by (selected) competent ISA
- **Search based on claims as originally filed (Article 15)**
- Search performed according to PCT examination Guidelines
- Prior art is everything made available to the public (Rule 33)
 - in written disclosure (may refer to oral disclosure, exhibition)
 - **prior to the international filing date** (ie priority is irrelevant, in case priority claims is invalid for certain subject matter)
- Not any written disclosure is to be searched: only PCT minimum documentation (Rule 34)
- In case of lack of unity, only "first" invention will be searched (Rule 40), unless additional fees are paid
- ISA can decline search of certain subject matter (Rule 39), namely subject matter that is often excluded from patentability in national laws (PCT does not define what is patentable!)

ISR

- ISR is "**enriched**" **search report** as it includes
 - List of relevant prior art documents (citations): plus indications:
 - For which claims a document is relevant
 - Which parts of the document are relevant (eg. Line 5-6, page 7; drawing 6) for those claims
 - Why the document is relevant (challenging novelty, inventive step; describing background art)
 - IPCs of the claimed subject matter
 - Limited search strategy: technology areas (IPC) searched
- Includes observations regarding lack of unity, or whether no meaningful search could be performed (clarity of claims)

Enriched prior art search reports



EUROPEAN SEARCH REPORT

Application Number
EP 09 16 8955

Application number

DOCUMENTS CONSIDERED TO BE RELEVANT			
Category	Citation of document with indication, where appropriate, of relevant passages	Relevant to claim	CLASSIFICATION OF THE APPLICATION (IPC)
X	EP 0 813 338 A2 (ROCKWELL INTERNATIONAL CORP [US]) 17 December 1997 (1997-12-17) * column 6, line 12 - column 8, line 26 * * column 8, line 52 - column 9, line 4; figure 1 *	1-13	INV. G01T1/17
Y	US 6 128 039 A (CHEN DATONG [US] ET AL) 3 October 2000 (2000-10-03) * column 3, line 57 - column 4, line 28; figure 2 *	1,3-7	
Y	US 6 163 029 A (YAMADA SHINICHI [JP] ET AL) 19 December 2000 (2000-12-19) * column 15, line 30 - column 16, line 45; figures 2,15,16 *	1,3-7	
A	FR 2 864 628 A1 (COMMISSARIAT ENERGIE ATOMIQUE [FR]) 1 July 2005 (2005-07-01) * page 4, line 18 - page 6, line 15; figure 3 *	1-13	
A,D	WO 2004/064168 A1 (SCHERRER INST PAUL [CH]; BROENNIMANN CHRISTIAN [CH]; SCHMITT BERND [CH]) 29 July 2004 (2004-07-29) * the whole document *	1-13	TECHNICAL FIELDS SEARCHED (IPC) G01T
E	WO 2009/131151 A1 (HAMAMATSU PHOTONICS KK [JP]; MORI HARUMICHI [JP]; KYUSHIMA RYUJI [JP];) 29 October 2009 (2009-10-29) * figure 12 *	1	
The present search report has been drawn up for all claims			
Place of search The Hague		Date of completion of the search 23 March 2010	Examiner Wulveryck, J
<p>CATEGORY OF CITED DOCUMENTS</p> <p>X : particularly relevant if taken alone Y : particularly relevant if combined with another document of the same category A : technological background O : non-written disclosure P : intermediate document</p> <p>T : theory or principle underlying the invention E : earlier patent document, but published on, or after the filing date D : document cited in the application L : document cited for other reasons & : member of the same patent family, corresponding document</p>			

International Patent Classification

Category X, Y, A, etc.

Relevant to Claim ...

Cited documents

Technical Fields Searched

Searching Authority

Date of Completion of the Search

Examiner

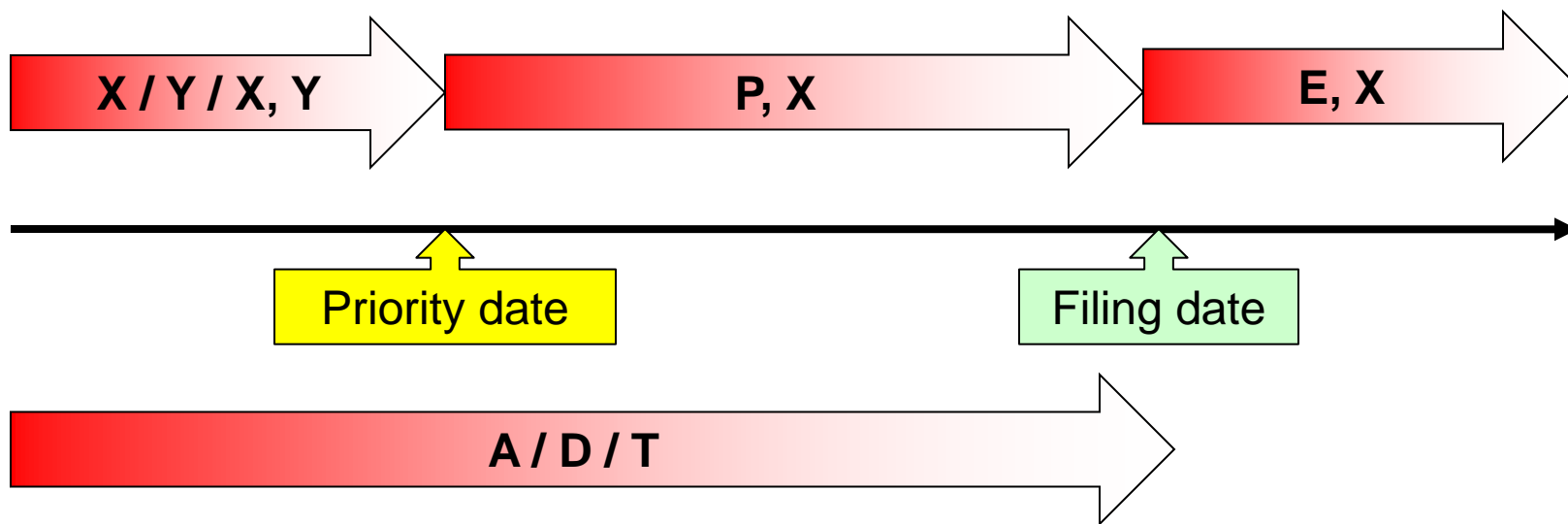
Categories of citations

- X particularly relevant if taken alone (novelty)
- Y particularly relevant if combined with another document of the same category (inventive step)
- A technological background
- O non written disclosure
- P intermediate document, i.e. published between the earliest priority date and the filing date
- T theory or principle underlying the invention
- E earlier document but published on or after the filing date
- D document cited in the application

See 16.59ff of the PCT Examination Guidelines

Prior art categories

Publication dates of prior art documents



US-PAIR: search report US examiner

Notice of References Cited				Application/Control No. 11/689,638		Applicant(s)/Patent Under Reexamination COX ET AL.	
				Examiner REGINA YOO		Art Unit 1773	Page 1 of 1
U.S. PATENT DOCUMENTS							
*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification		
*	A	US-4,662,516 A	05-1987	Baker et al.	206/363		
*	B	US-5,003,892 A	04-1991	Bricken, Jonathan	110/346		
	C	US-					
	D	US-					
	E	US-					
	F	US-					
	G	US-					
	H	US-					
	I	US-					
	J	US-					
	K	US-					
	L	US-					
	M	US-					
FOREIGN PATENT DOCUMENTS							
*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification	
	N						

Search reports are **not enriched**, i.e. no X,Y,A; no references to claims, no references to pages, lines, drawings,..

Written Opinion (WO) & IPRP (chapter I)

- WO is established together with ISR but not published with ISR
- Deals in substance with examination matters; Initial preliminary non-binding opinion on:
 - novelty (not anticipated)
 - inventive step (not obvious)
 - industrial applicability
- Relevant date for prior art is priority date!
- Provided to applicant with ISR
- WO is converted to IPRP (chapter I) if no chapter II preliminary examination is requested, and communicated to DO (30 months) together with any informal comments of the applicant on WO-ISA
- Made publicly accessible (file inspection) after 30 months (Rule 44ter), e.g. in
 - Patentscope, EP-Register
 - not yet CCD

PCT – WO

WRITTEN OPINION OF THE
INTERNATIONAL SEARCHING
AUTHORITY (SEPARATE SHEET)

International application No.

PCT/US2010/020787

Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)	Yes: Claims	<u>3, 19</u>
	No: Claims	<u>1, 2, 4-18, 20</u>
Inventive step (IS)	Yes: Claims	
	No: Claims	<u>1-20</u>
Industrial applicability (IA)	Yes: Claims	<u>1-20</u>
	No: Claims	

2. Citations and explanations

see separate sheet

Form PCT/ISA/237 (April 2007)

Statements
(Rule 70.6)

Explanations
(Rule 70.8)

Re Item V

Reasoned statement with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1 Reference is made to the following documents:

- D1 US 2002/186921 A1 (SCHUMACHER LYNN C [CA] ET AL) 12 December 2002 (2002-12-12)
- D2 WO 2007/136816 A2 (MASSACHUSETTS INST TECHNOLOGY [US]; BULOVIC VLADIMIR [YU]; KYMISSIS IO) 29 November 2007 (2007-11-29)

2 The present application does not meet the criteria of Article 33(1) PCT, because the subject-matter of claims 1, 4-15, 17-18, 20 is not new in the sense of Article 33(2) PCT.

2.1 D1 discloses

an optical fiber capable of being diagnosed non-invasively comprising an optical fiber (12) for conveying a light beam; said optical fiber comprising a first end for receiving said light beam and a second end opposed thereto, a core (14) comprising an inner wall, and a cladding (16) surrounding said core, said optical fiber further comprising at least one uncladded portion comprising a plurality of quantum dots (26) dispersed in a medium, wherein said quantum dots become activated by evanescent wave coupling resulting from total internal reflection of said light beam contacting said inner wall of said optical fiber core and wherein said activation results in emittance of light from said quantum dots (Fig. 2c; paragraphs [0033], [0045]).

Therefore, the subject-matter of present claim 1 is not novel over the teachings of D1.

2.2 D1 also discloses

Access to Citations and Search Reports

Summary: Access to prior art citations

Regular patent document publications:

- Publications of search reports (EP-A1/A3, WO-A1/A3)
- Front pages of publications of granted patents, republications after opposition (EP-B1/B2..)

Other access options per application

- Search reports accessible through file inspection (US-Pair, AIPN, KPION...)
- Prior art citations lists in registers (e.g DE or EP Register)
- Lists of forward and backward citations in patent databases, e.g. Espacenet, commercial providers,...

Other access options per family:

- CCD
- Forward citations: only Espacenet (per document, not per family)

Citations only, e.g. EP-B1

Patent literature

References cited:
GB-A- 2 131 952

THE MARCONI REVIEW, vol. XLIII, no. 218, 1980, pages 156-175, Rugby, GB; R.M. LANGDON: "Vibratory process control transducers"

IEEE TRANSACTIONS ON INSTRUMENTATION AND MEASUREMENT, vol. IM-32, no. 3, September 1983, pages 434-437, IEEE, New York, US; E. STEMME et al.: "Measuring liquid density with a tuning-fork transducer"

I.S.A. TRANSACTIONS, vol. 20, no. 3, 1981, pages 67-75, Research Triangle Park, NC, US; B.W. BALLS: "A new on-line density meter for viscous liquids and slurries"

Representative: **Stoole, Brian David et al**
Schlumberger Electronics (U.K.) Limited 124 Victoria Road
Farnborough Hampshire GU14 7PW (GB)

Non patent literature

Note: Within nine months from the publication of the mention of the grant of the European patent, any person may give notice to the European Patent Office of opposition to the European patent granted. Notice of opposition shall be filed in a written reasoned statement. It shall not be deemed to have been filed until the opposition fee has been paid (Art. 99(1) European patent convention).

Europäisches Patentamt
European Patent Office
Office européen des brevets

Publication number: **0 282 251 B1**

EUROPEAN PATENT SPECIFICATION

Date of publication of patent specification: 17.03.83 In: G1- G01N 8/00, G01N 11/16

Application number: 8801957.2

Date of filing: 07.03.88

Field of invention:

Priority: 11.03.87 GB 8705757
Date of publication of application: 14.05.88 Bulletin 8827
Publication of the grant of the patent: 17.03.83 Bulletin 8307
Designated Contracting States: AT BE CH DE FR IT LI NL SE
References cited: GB-A-2 131 952

Proprietor: SCHLUMBERGER INDUSTRIES LIMITED
124 Victoria Road
Farnborough Hampshire, GU14 7PW(GB)

Inventor: Rudkin, Mark Jonathan
19 Deigh Road
Windsore (Sussex)(GB)

Inventor: Atkinson, David Ian Heaton
4 Dottle Drive
Farnham Surrey(GB)

Representative: Stoole, Brian David et al
Schlumberger Electronics (U.K.) Limited 124
Victoria Road
Farnborough Hampshire GU14 7PW (GB)

THE MARCONI REVIEW, vol. XLIII, no. 218, 1980, pages 156-175, Rugby, GB, R.M. LANGDON: "Vibratory process control transducers"

IEEE TRANSACTIONS ON INSTRUMENTATION AND MEASUREMENT, vol. IM-32, no. 3, September 1983, pages 434-437, IEEE, New York, US, E. STEMME et al.: "Measuring liquid density with a tuning-fork transducer"

I.S.A. TRANSACTIONS, vol. 20, no. 3, 1981, pages 67-75, Research Triangle Park, NC, US; B.W. BALLS: "A new on-line density meter for viscous liquids and slurries"

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Rank form (06) Bureau Service
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EP 0 282 251 B1

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Citations

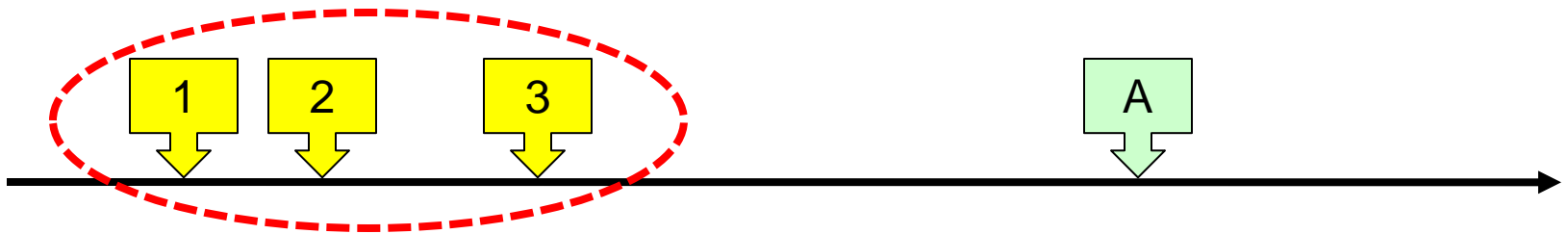
- Patent examination compares the invention with prior art
 - non-patent literature
 - other patents describing similar technologies/solutions
- Patents
 - can cite other patents as prior art (**backward citations**)
 - can be cited by other patents (**forward citations**)

Backward and forward citations

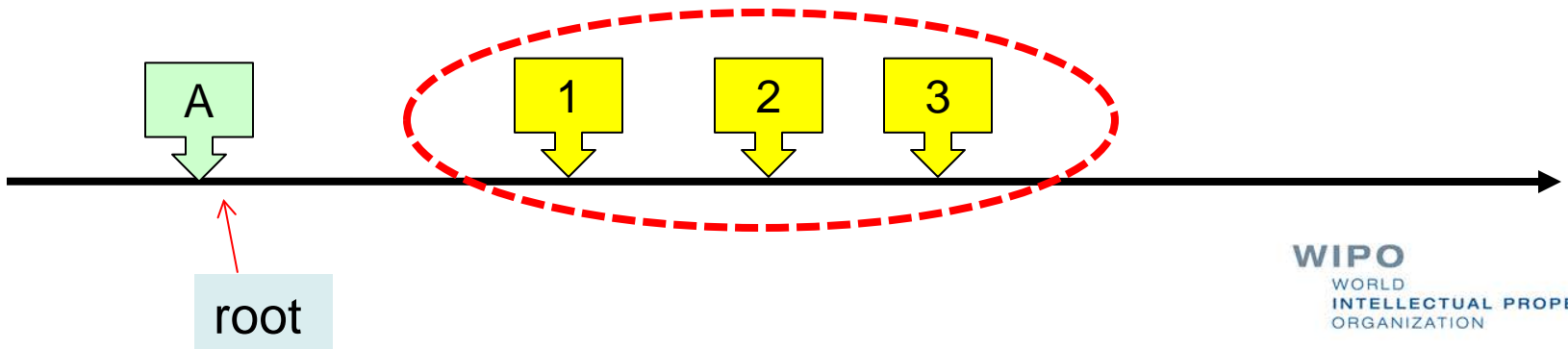
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WO201113363 (A1)

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Cited documents: WO201113363 (A1) — 2011-09-22

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3 documents cited in relation to WO201113363 (A1)

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International search citation

1. Agomelatine halogen hydride complex and preparation thereof

★ Inventor: PENG ZHANG [CN] HANBIN SHAN [CN] (+8)	Applicant: SHANGHAI INST PHARM INDUSTRY [CN]	CPC: C07C233/18	IPC: C07C233/18	Publication info: CN101481321 (A) 2009-07-15 CN101481321 (B) 2012-04-18	Priority date: 2009-02-27
---	---	---	---------------------------	--	-------------------------------------

2. New crystal form of Agomelatine, preparation method and use thereof

★ Inventor: HANBIN SHAN [CN] PENG ZHANG [CN] (+7)	Applicant: SHANGHAI INST PHARM INDUSTRY [CN]	CPC: A61K31/165 C07C233/18	IPC: A61K31/165 A61P1/00 A61P25/00 (+6)	Publication info: CN101585779 (A) 2009-11-25 CN101585779 (B) 2014-04-02	Priority date: 2009-03-10
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Patents cited by the applicant

3. Agomelatine halogen hydride complex and preparation thereof

★ Inventor: PENG ZHANG [CN] HANBIN SHAN [CN] (+8)	Applicant: SHANGHAI INST PHARM INDUSTRY [CN]	CPC: C07C233/18	IPC: C07C233/18	Publication info: CN101481321 (A) 2009-07-15 CN101481321 (B) 2012-04-18	Priority date: 2009-02-27
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Espacenet: Forward Citations



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3 documents citing WO2011113363 (A1)

Sort by Sort order

1. Agomelatine methanesulfonic acid complex and preparation method thereof

★ Inventor:	Applicant:	CPC:	IPC:	Publication info:	Priority date:
HAIPING WANG CHENG CHI (+3)	SHANGHAI RIGHT HAND MEDICAL TECHNOLOGY DEV CO LTD		A61K31/165 A61P1/00 A61P25/00 (+6)	CN102718675 (A) 2012-10-10 CN102718675 (B) 2015-03-25	2012-06-07

2. SOLID PHARMACEUTICAL COMPOSITION FOR ORALLY DELIVERING AGOMELATINE

★ Inventor:	Applicant:	CPC:	IPC:	Publication info:	Priority date:
THARRAULT FRANCOIS [FR] POIRIER CECILE [FR] (+2)	SERVIER LAB [FR] THARRAULT FRANCOIS [FR] (+3)	A61K31/165 A61K9/0056 A61K9/006 (+3)	A61K31/165 A61K9/00 A61K9/20	WO2013021139 (A1) 2013-02-14	2011-08-10

3. Solid pharmaceutical composition for buccal administration of agomelatine

★ Inventor:	Applicant:	CPC:	IPC:	Publication info:	Priority date:
THARRAULT FRANCOIS [FR] POIRIER CECILE [FR] (+2)	SERVIER LAB [FR]	A61K31/165 A61K9/0056 A61K9/006 (+3)	A61K31/165 A61K9/00 A61K9/20	EP2556824 (A1) 2013-02-13	2011-08-10

Citations (enriched) in EP-Register



European Patent Register

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Cited in

Search

Type: Patent literature

Publication No.: ↗ [US2011005662](#) [XY]
(SUNG KUO-HUA [US]) [X] 1-6,9-11,14 par. 21, 27, 30, 38, 41, 42, 43, 44 , fig. 4 [Y] 7-8,12-13,15

Type: Patent literature

Publication No.: ↗ [WO201112447](#) [Y]
(3M INNOVATIVE PROPERTIES CO [US], et al) [Y] 7-8,12-13 p. 11 , l. 28-31

Type: Patent literature

Publication No.: ↗ [TW201102698](#) [Y]
(MASTOUCH OPTOELECTRONICS TECHNOLOGIES CO LTD [TW]) [Y] 15 abstract , fig. B

Type: Non-patent literature

Publication information: US2011234526 A1 20110929 [] (MI DAVID [TW]) par. 0032 , fig. 1B, 3, 4 , par. 0040 , fig. 3, 4

Type: Patent literature

Publication No.: ↗ [US2010302195](#) [A]
(WANG WEN-CHUN [TW], et al) [A] 1,10 par. 0020 , fig. 5a

Type: Patent literature

Citations in Inpadoc family list



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WO2011113363 (A1)

- Bibliographic data
- Description
- Claims
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- Are all the documents in an INPADOC family equivalents?
- Why is the same document published several times in the same country?

Family list: WO2011113363 (A1) — 2011-09-22

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29 application(s) for: WO2011113363 (A1)

1 2 ▸
page 1

Sort by Sort order show citations

1. AGOMELATINE HYDROBROMIDE HYDRATE AND PREPARATION THEREOF

★ Inventor:	Applicant:	CPC:	Citations:	Publication info:	Priority date:
SHAN HANBIN [CN] YUAN ZHEDONG [CN] (+4)	SERVIER LAB [FR] SHAN HANBIN [CN] (+5)	A61K31/165 C07C233/18	CN101481321 A CN101585779 A	WO2011113363 (A1) 2011-09-22	2010-03-17

2. Agomelatine hydrobromide hydrate and preparation thereof

★ Inventor:	Applicant:	CPC:	Citations:	Publication info:	Priority date:
ZHANG PENG [CN] ZHU XUEYAN [CN] (+1)	SERVIER LAB [FR]	A61K31/165 C07C233/18		AP3199 (A) 2015-03-31	2010-03-17

3. Agomelatine hydrobromide hydrate and preparation thereof

★ Inventor:	Applicant:	CPC:	Citations:	Publication info:	Priority date:
SHAN HANBIN YUAN ZHEDONG (+4)	SERVIER LAB	A61K31/165 C07C233/18	US2011313198 A1	AU2011229619 (A1) 2012-09-27 AU2011229619 (B2) 2014-05-22	2010-03-17

4. AGOMELATINE HYDROBROMIDE HYDRATE AND PREPARATION THEREOF

★ Inventor:	Applicant:	CPC:	Citations:	Publication info:	Priority date:
SHAN HANBIN [CN] YUAN ZHEDONG [CN] (+4)	SERVIER LAB [FR]	A61K31/165 C07C233/18		CA2792430 (A1) 2011-09-22 CA2792430 (C) 2015-12-08	2010-03-17

US-PAIR: prior art in image file wrapper

"Image File Wrapper" contains search and examination reports

09-28-2006	WFEE	Fee Worksheet (SB06)	PROSECUTION	1	<input type="checkbox"/>
04-28-2006	CTNF	Non-Final Rejection	PROSECUTION	10	<input type="checkbox"/>
04-28-2006	1449	List of References cited by applicant and considered by examiner	PRIOR ART	1	<input type="checkbox"/>
04-28-2006	892	List of references cited by examiner	PRIOR ART	1	<input type="checkbox"/>
04-28-2006	FWCLM	Index of Claims	PROSECUTION	1	<input type="checkbox"/>

Notice of References Cited	Application/Control No. 11/093,685	Applicant(s)/Patent Under Reexamination CHAN ET AL.	
	Examiner Tina M. Wong	Art Unit 2874	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-6,081,638	06-2000	Zhou, Ping	385/31
*	B	US-6,842,467	01-2005	Aronson et al.	372/27
*	C	US-5,179,420	01-1993	So et al.	356/73.1
	D	US-			
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US-PAIR: prior art tab

11/689,638 Heat Processing Systems, Apparatuses, and Methods for Collection and Disposal of Infectious and Medical Waste							
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02-24-2011	892	List of references cited by examiner					
09-16-2010	1449	List of References cited by applicant and considered by examiner					
08-16-2010	IDS	Information Disclosure Statement (IDS) Form (SB08)					
06-23-2009	892	List of references cited by examiner					
06-23-2009	1449	List of References cited by applicant and considered by examiner					
09-12-2007	IDS	Information Disclosure Statement (IDS) Form (SB08)					
Foreign Patent and Non-Patent Documents							
Mail Room Date	Document Code	Document Description					
08-16-2010	NPL	Non Patent Literature					
08-16-2010	NPL	Non Patent Literature					
08-16-2010	NPL	Non Patent Literature					
08-16-2010	NPL	Non Patent Literature					
09-12-2007	FOR	Foreign Reference					
09-12-2007	FOR	Foreign Reference					
09-12-2007	FOR	Foreign Reference					

Access to Opinions

Summary: Access to written opinions, etc

- **File inspection** gives access to all communications between applicant and office/examiner, in particular
 - E.g. **examination reports/written opinions** which are not published like search reports
 - Amended claims
 - Final **rejection rulings, grant decisions**
- Possible usually through **authoritative registers**; e.g., at Patentscope, EP-Register, US-PAIR, AIPN, DPMA Register
 - Provide also up-to-date legal status information, i.e. whether
 - Application/examination is pending
 - Patent is in force, lapsed, ...
- For availability of online access see WIPO register portal (see browse tab of Patentscope) or at:
<http://www.wipo.int/brandddb/portal/portal.jsp>

WIPO patent register portal

The screenshot shows a web browser window with the address bar displaying `patentscope.wipo.int/search/en/search.jsf`. The page header includes the WIPO logo and the text "PATENTSCOPE Search International and National Patent Collections". A navigation menu contains "Search", "Browse", "Translate", "Options", "News", "Login", and "Help". The "Browse" menu is open, showing options: "Browse by Week (PCT)", "Sequence listing", "IPC Green Inventory", and "Portal to patent registers" (highlighted in yellow). Below the menu, there is a search box with "Front Page" selected and a "Search" button. A notification at the bottom states "National patent collection of Canada now available".

<http://www.wipo.int/branddb/portal/portal.jsp>

Saudi Arabia

also part of [Patent Office of the Cooperation Council for the Arab States of the Gulf \(GCC\)](#)

Online National Register

Y

English Interface

Y

Inventor Search

Y

PCT Search

N

PCT National Phase Entry

N

Fee Payment

N

Most Recent Legal Status

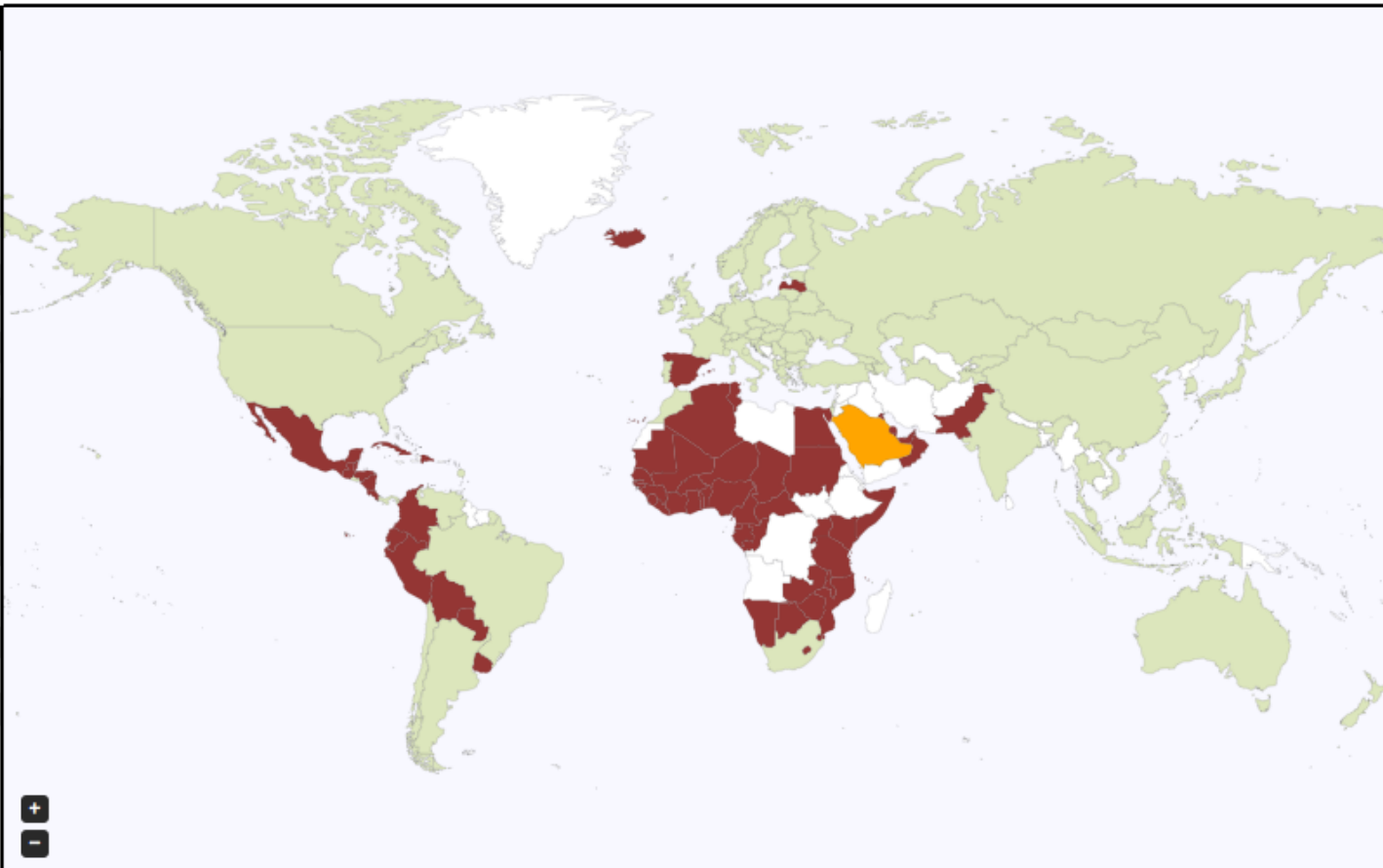
Y E.g. 'Lapsed' for application number 1210694

File Inspection

N

Full Publications

Y Documents are available in random manner, e.g. for application number 5260065: Open the link behind the title and select whether you want to see the publication of the application or the



+

-

Jurisdiction	Online National Register	English Interface	Inventor Search	PCT Search	PCT National Phase Entry	Fee Payment	Most Recent Legal Status	File Inspection	Full Publications	Online Gazette
African Intellectual Property Organization (OAPI)	N	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N	N
African Regional Intellectual Property Organization (ARIPO)	N*	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N	N

Selected online resources

- European Patent Register (EP)
 - <https://register.epo.org/espacenet/regviewer>
- Common Citation Document (Pilot)
 - <http://www.trilateral.net/ccd>
- Patentscope
 - <http://www.wipo.int/patentscope/search/en/search.jsf>
- Public Pair (US)
 - <http://portal.uspto.gov/external/portal/pair>
- AIPN (JP)
 - <http://aipn.ipdl.inpit.go.jp/>
- K-PION (KR)
 - <http://kposd.kipo.go.kr:8088/up/kpion/>
- DPMAregister (DE)
 - <http://register.dpma.de/DPMAregister/Uebersicht?lang=en>

Online resources

- European Patent Register (EP)
 - EP applications: enriched SR, ER, examination status, file wrapper)
 - Global Dossier (CN file inspection)
- Common Citation Document
 - SRs for EP, JP, US, WO,.....
- Patentscope
 - WO applications: enriched SR, ER, file wrapper
- Public PAIR (US)
 - US applications: file wrapper with SR, ER, examination status
- AIPN (JP)
 - See topic 6 presented by JPO
- K-PION (KR)
 - See topic 6 presented by JPO
- DPMAregister (DE)
 - DE applications: SR, examination status (file wrapper from Q3/2013)

Issues with final results

Utilization of final results (grants/refusals)

- Requires identical/similar invention (simple family)
 - E.g. if original claims are similar

For grants:

- Requires cooperative lawyers/applicants that agree to use/submit the claims granted abroad
- Requires those claims to be compatible with national law, e.g. exclusions
- Requires confidence in the work of other IPOs
- Results from different IPOs may be different (see exercises)
- Implies considerable delay because final results have to become available

Further secondary access platforms

"One-stop shop" file inspection platforms

- Global Dossier

- E.g.

 - [EP2570899](#)

- = IP5 One Portal Dossier

- WIPO CASE

Global Dossier in Espacenet





[EP2570899 \(A2\)](#) → [US2013069890 \(A1\)](#)

US2013069890 (A1)
Bibliographic data
Description
Claims
Mosaics
Original document
Cited documents
Citing documents
INPADOC legal status
INPADOC patent family





Quick help —

- [What is meant by high quality text as facsimile?](#)
- [What does A1, A2, A3 and B stand for after a European publication number?](#)
- [What happens if I click on "In my patents list"?](#)
- [What happens if I click on the](#)

Bibliographic data: **US2013069890 (A1)** — 2013-03-21

 In my patents list  **Global Dossier**  Report data error  Print

TOUCH DISPLAY DEVICE AND A METHOD OF MANUFACTURING THE SAME

Page bookmark	US2013069890 (A1) - TOUCH DISPLAY DEVICE AND A METHOD OF MANUFACTURING THE SAME
Inventor(s):	LEE YUH-WEN [TW]; JIANG YAU-CHEN [TW]; HUANG PINGPING [CN]; LUO JIANXING [CN] ±
Applicant(s):	LEE YUH-WEN [TW]; JIANG YAU-CHEN [TW]; HUANG PINGPING [CN]; LUO JIANXING [CN] ±
Classification:	- international: B32B37/06; B32B37/12; G06F3/041 - cooperative: G06F3/041; G06F2203/04103; Y10T156/10
Application number:	US201213559532 20120726
Priority number(s):	CN20111289572 20110918
Also published as:	 EP2570899 (A2)  EP2570899 (A3)  TWM440475 (U)  TW201314522 (A)  KR20130030721 (A) → more

Global Dossier in EP-Register



European Patent Register

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Help

EP2570899

About this file

Legal status

Federated register

Event history

Citations

Patent family

All documents

Quick help

- [What happens if I click on the "XML" or "ST36" buttons?](#)
- [What does "patent family" mean?](#)
- [What are "equivalents"?](#)
- [What is Global dossier?](#)
- [Which types of document will I find under "Patent family"?](#)
- [What does A1, A2, A3 and B stand for after a publication number?](#)

Maintenance news +

News flashes +

Related links +

Patent family: EP2570899

Refine search

↓ ST36

↗ Espacenet

Submit observations

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Print

Type

Equivalent

Publication No.

Date

Type

↗ [US2013069890](#)

[Global dossier](#)

21.03.2013

A1

Priority number

Date

CN201110289572

18.09.2011

Type

Equivalent

Publication No.

Date

Type

↗ [KR101452954B](#)

[Global dossier](#)

21.10.2014

B1

KR20130030721

27.03.2013

A

Priority number

Date

CN201110289572

18.09.2011

Type

Equivalent

Publication No.

Date

Type

↗ [JP5686777B](#)

[Global dossier](#)

18.03.2015

B2

Issues with final results

Utilization of final results (grants/refusals)

- Requires usually identical/similar invention (simple family)
 - E.g. if original claims are similar
 - Granted claims within initial disclosure?

For rejections:

- Requires access to file wrapper (file inspection) to see rejection ruling
- Rejection ruling only applicable if claims to be rejected are similar

Issues with intermediary results

- Implies some but smaller delay than waiting for final results
- Searches are based on claims: the foreign search results may be incomplete/inappropriate if claims are different
- Requires checking whether same priorities
- Different priorities and priority dates can lead to different claims or prior art
- Usually no problems if simple family
- Using results for members of extended family which are not in same simple family may be problematic (compare claims !)

Retrieval options

- Active retrieval by examiner, i.e. **research family information** and **research examination status** and **retrieve results** from online resources
 - Not all family members may be recorded
- Request applicant to submit information; some legislations provide for a respective obligation

Article 124 EPC

(1) The European Patent Office may, in accordance with the Implementing Regulations, **invite the applicant to provide information on prior art taken into consideration in national or regional patent proceedings** and concerning an invention to which the European patent application relates.

(2) **If the applicant fails to reply deemed to be withdrawn.**

- Can you trust the applicants? Better check

Checklist for using external examination products

- **Research family information** and
- Check examination status and
- **Retrieve available results** from online resources, or request applicant to submit information
- Carefully check whether external work products are applicable:
 - Same or similar claims (claim correspondance table)?
 - Claims within initial disclosure?
 - Compatible with your exclusions from patentability,...?
 - Is priority valid?
 - New search needed, e.g. if claims were not searched by ISA?
 - Are the results of other IPOs consistent?
 - Can or should you await further results from other IPOs?

REMINDER: National sovereignty

Paris Convention:

- **No** obligation to use results of others, or to follow their conclusions
- IPO has obligation to observe national legislation
- IPO has responsibility/liability for quality patents

Thank you

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