**ST.27 - ANNEX V**

COMMON SCENARIO GUIDANCE DOCUMENT

*This Annex is newly proposed for adoption at CWS/7. The former Annex V has been renumbered as Annex VI.*

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## INTRODUCTION

 WIPO Standard ST.27 is aimed to provide a standardized model which describes national, regional or international legal status events of a patent or supplementary protection certificate (SPC) in a global manner that is understandable to a user who lacks an in-depth understanding of the specific laws and/or prosecution practices of the prosecuting intellectual property office (IPO). The events of Standard ST.27 consist of Categories, Key events and Detailed events.

 It is recommended that IPOs map their national/regional events to the events defined in Standard ST.27, so that a user can understand the legal status of an application or IP right without in-depth knowledge of the specific national or regional prosecution practices. IPOs should attempt to map their national/regional event to a Detailed event(s) and/or a Key event(s). If it is not possible for an IPO to map their national/regional event to either a Key event or a Detailed event, the IPO should map it to a Category.

 The IPO should map their national or regional events to the standardized events and/or categories on the basis of their titles and descriptions, the examples provided in this Standard, the Overall Patent/SPC Prosecution Model, and the scenarios included in this Guidance Document. The list of events provided in the descriptions of the categories and key events are examples only and do not limit the scope of the category or key event.

 This Guidance Document is intended to help IPOs on how to map their national/regional events to the Key events, Detailed events, and Categories defined in Standard ST.27. It provides examples of possible event histories that can be used to describe a particular scenario. The Guidance Document includes event histories for actual patents or SPCs as well as for theoretical situations, which can be specific to an IPO or unspecific, in which case no national/regional events or dates will be included.

## STRUCTURE OF DOCUMENT

 This Guidance Document contains several common scenarios of situations that are common across many IPOs, and shows how several different IPOs map their national/regional events to ST.27 events. This is intended to illustrate the general principles of mapping to ST.27.

## STRUCTURE OF COMMON SCENARIOS

 Each common scenario starts with a general description of the situation it covers. In some scenarios, two alternate scenarios are described where each IPO implements only one of them, such as for SPCs and PTEs. After the scenario description, a number of examples from different IPOs are provided. Each example illustrates how that IPO records the described scenario in national/regional events, and how it maps those national/regional events to ST.27 events. The differences between IPOs may provide helpful information for understanding the process of mapping national/regional events to ST.27 events.

 Examples in this section have two parts. The first part contains basic information, including, the application or patent number so that the official records in the IPO's national/regional register can be located. A portion of the national/regional event data relevant to the scenario is shown and a table mapping the national/regional events to ST.27 events is included. The second part shows how the ST.27 data would be formatted for exchange with other IPOs, including data associated with the events such as type of right, application number, patent number, etc. The formatting shown here is only conceptual; the actual exchange would transform the data into XML according to WIPO ST.96.

### Scenario 1: Application abandoned and revived

Description

A national/regional patent application was filed with an IPO and a substantive examination was commenced. The application was abandoned by the applicant during prosecution for a reason provided by national/regional law, such as failure to respond to an office action. Later, the applicant successfully revived the application, including paying any necessary fees.

#### **Example: DE**

1. Mappings to ST.27

Basic Information

* Application number: 10 2013 017 921.1
* Type of IP right: National patent

Link to national Patent register: <https://register.dpma.de/DPMAregister/pat/register?AKZ=1020130179211>

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| R000 | The application is under preliminary examination | A10 | Application filed | 2013.10.24 | This is the first national event reported in case of a new patent application; due to this fact, the key event A10 was assigned to reach the initial stage “Filing”; a differentiation between national, regional or international applications is not possible with this event. |
| R012 | Request for examination effectively filed | D11 | Substantive examination requested | 2013.11.27 |  |
| R004 | Pre-registration procedure has been concluded | A00 | not mapped | 2013.12.11 | This national event indicates the end of the filing procedure; with this event, no stage change is executed so no key event is mapped; a detailed event indicated a corresponding step does not exists, consequently no detailed event is mapped; only a category assignment is provided; category A was chosen because this national event is related to filing. |
| R015 | Official communication on examination | D15 | Examination report issued | 2014.07.23 |  |
| R016 | Reply to official communication | P00 | Not reported | 2015.03.07 | A written statement of the applicant was received. If this is an amendment or correction or something else can only be decided reading the content of the statement. Due to this reason only the category P was chosen and specific event was assigned. A mapping to event P13 was skipped, because this is not always an amendment in response to a request by the applicant. |
| R200 | Publication of application (Offenlegungsschrift) | Q12 | Application published | 2015.04.30 |  |
| R119 | Application is deemed to be withdrawn due to non-payment of annual fee/ IP right has lapsed due to non-payment of annual fee | B12 | Application deemed to be withdrawn, abandoned or lapsed | 2016.05.03 | This national event is might either to category B or to category H, depending on the granting of the IP right. |
| R073 | Reinstatement requested | C11 | Application revival requested | 2017.04.13 | This national event is might either to category C or to category K, depending on the granting of the IP right. |
| R074 | Reinstatement granted | C10 | Application revived | 2017.05.14 | This national event is might either to category C or to category K, depending on the granting of the IP right. This event may occur without an explicit request, so the key event was chosen instead of detailed event C13. |
| R015 | Official communication on examination | D15 | Examination report issued | 2019.01.31 |  |

1. Data in ST.27 Format
2. ST.3 Office code: DE
3. Data file creation date: 2019.04.01
4. Document identification
	1. Application number: 10 2013 017 921.1
	2. Type of IP right: National patent
	3. Optional:
5. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2013.10.24 | R000 | A10 | A-0-1-A10-A00-R000 |  |
| 2013.11.27 | R012 | D11 | A-1-2-D10-D11-R012 |  |
| 2013.12.11 | R004 | A00 | A-0-0-A00-A00-R004 |  |
| 2014.07.23 | R015 | D15 | A-2-2-D00-D15-R015 |  |
| 2015.03.07 | R016 | P00 | A-0-0-P00-P00-R016 |  |
| 2015.04.30 | R200 | Q12 | A-0-0-Q10-Q12-R200 |  |
| 2016.05.03 | R119 | B12 | N-0-6-B10-B12-R119 |  |
| 2017.04.13 | R073 | C11 | N-6-6-C00-C11-R073 |  |
| 2017.05.14 | R074 | C10 | A-6-0-C10-C00-R074 |  |
| 2019.01.31 | R015 | D15 | A-2-2-D00-D15-R015 |  |

#### **Example: EP**

1. Mappings to ST.27

Basic Information

* Application number: EP05795962
* Type of IP right: Regional patent

Link to INPADOC legal event history in Espacenet: [https://worldwide.espacenet.com/publicationDetails/inpadoc?CC=EP&NR=1804761B1&KC=B1&FT=D&ND=1&date=20150902&DB=&locale=en\_EP#](https://worldwide.espacenet.com/publicationDetails/inpadoc?CC=EP&NR=1804761B1&KC=B1&FT=D&ND=1&date=20150902&DB=&locale=en_EP)

| **National/Regional Event** | **ST.27 Event** | **Event date**  | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| 17P | Request for examination filed | D11 | Substantive examination requested | 2008.05.14 |  |
| 17Q | First examination report dispatched | D15 | Examination report issued | 2009.04.22 |  |
| 18D | Application deemed to be withdrawn | B12 | Application deemed to be withdrawn, abandoned or lapsed | 2010.12.01 |  |
| 18RA | Request filed for re-establishment of rights before grant | C11 | Application revival requested | 2011.04.20 |  |
| 18RR | Decision to grant the request for re-establishment of rights before grant | C13 | Application revived following an application revival request | 2012.01.04 |  |
| D18D | Application deemed to be withdrawn (deleted) | Y10 | Event information corrected or deleted | 2012.01.04 |  |

1. Data in ST.27 Format
2. ST.3 Office code: EP
3. Data file creation date: 2019.05.01
4. Document identification:
	1. Application number: EP05795962
	2. Type of IP right: Regional patent
	3. Optional: Patent number: EP1804761B1, Filing language code: EN, Filing date: 2005.09.07
5. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2008.05.14 | 17P | D11 | A-2-2-D10-D11-17P |  |
| 2009.04.22 | 17Q | D15 | A-2-2-D00-D15-17Q |  |
| 2010.12.01 | 18D | B12 | N-2-6-B10-B12-18D |  |
| 2011.04.20 | 18RA | C11 | N-6-6-C00-C11-18RA |  |
| 2012.01.04 | 18RR | C13 | A-6-2-C10-C13-18RR |  |
| 2012.01.04 | D18D | Y10 | A-0-0-Y10-Y10-D18D |  |

#### **Example: GB**

1. Mappings to ST.27

Basic Information

* Application Number: GB1219221.7
* Type of IP right: National patent

Link to national Patent register: <https://www.ipo.gov.uk/p-ipsum/Case/ApplicationNumber/GB1219221.7>

|  |  |  |  |
| --- | --- | --- | --- |
| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| **code** | **description** | **code** | **title** |  |  |
| N/A | GB application filed  | A12 | National or regional application filed  | 2012.10.25 | Data extracted from our patents journal but can also be found in ‘Case Notes’ section of IPSUM(Applicant’s Name)Apparatus and method of augmented realityDate Lodged: 25 October 2012GB1219221.7 |
| N/A | Examination requested  | D11 | Substantive examination requested | 2012.10.25 |   |
| N/A | Examination report issued  | D15 | Examination report issued  | 2013.05.02 | Data taken from our document management system rather than our register. |
| N/A | Terminated after S16 | B10 | Application discontinued  | 2017.08.16 | Data taken from our patents journal as details of termination removed from the register once the application is restoredGB1219221.7 |
| N/A | Application for reinstatement  | C11 | Application revival requested | 2018.03.05 | Filed on 2018.02.28 |
| N/A | Application reinstated by order of the Comptroller-General  | C13 | Application revived following an application revival request | 2018.03.05 | Reinstated on 2018.03.05 subject to special terms for third parties |

1. Data in ST.27 Format
2. ST.3 Office code: GB
3. Data file creation date: 2019.05.01
4. Document identification
5. Application number:
6. Type of IP right: National patent
7. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date, Invention title
8. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2012.10.25(effective date used as no register event) | X000 | A12 | A-0-1-A10-A12-X000 | Effective Country Code Gazette Number & Publication DatePriority Country Code, Document Number and Filing DateApplicant name(s) |
| 2012.10.25(effective date used as no register event) | X000 | D11 | A-1-2-D10-D11-X000 | Effective Country Code |
| 2013.05.02(effective date used as no register event) | X000 | D15 | A-2-2-D00-D15-X000 | Effective Country Code |
| 2017.08.16(effective date used as no register event) | X000 | B10 | N-2-6-B10-B00-X000 | Effective Country CodeReason Not In Force Category |
| 2018.03.05 | X000 | C11 | N-6-6-C00-C11-X000 | Effective Country Code |
| 2018.03.05 | X000 | C13 | A-6-2-C10-C13-X000 | Effective Country CodeThird Party Terms Indicator |

#### **Example: KR**

1. Mappings to ST.27

Basic Information

* Application number: 10-2007-7010267
* Type of IP right: National patent

Link to national Patent register: http://eng.kipris.or.kr/enghome/main.jsp

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| PA0105 | Document under Article 203 of Patent Act | A15 | PCT application entered into the national phase | 2007.05.04 |  |
|  | Request for Amendment | P11 | Amendment of application requested | 2007.07.03 |  |
|  | [Amendment to Description, etc.] Amendment | P13 | Application amended | 2007.08.30 |  |
|  | [Amendment to Patent Application, etc.] Amendment | P13 | Application amended | 2007.09.10 |  |
|  | [Appointment of Sub-agent] Report on Agent (Representative) | R17 | Change to representative recorded | 2007.09.10 |  |
|  | [Appointment of Agent] Report on Agent (Representative) | R17 | Change to representative recorded | 2007.09.10 |  |
|  | Notice for Disposition of Invalidation | B12 | Application deemed to be withdrawn, abandoned or lapsed | 2007.09.10 |  |
|  | [Period Expiry Reconsideration] Request for Extension of Period (Reduction, Expiry Reconsideration) | C11 | Application revival requested | 2007.09.13 |  |
|  | Notice for Disposition of Revocation for Disposition of Invalidation | C13 | Application revived following an application revival request | 2007.09.28 |  |
| PG1501 | Laying Open of Application | Q12 | Application published | 2007.10.25 |  |

1. Data in ST.27 Format
2. ST.3 Office code: KR
3. Data file creation date: 2019.05.01
4. Document identification
5. Application number: 10-2007-7010267
6. Type of IP right: National patent
7. Optional: Patent/SPC number(10-1276080), Applicant file reference, Filing language code, Application filing category, Filing date
8. Event data

| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| --- | --- | --- | --- | --- |
| 2007.05.04 | PA0105 | A15 | A-0-1-A10-A15-PA0105 |  |
| 2007.07.03 | X000 | P11 | A-1-1-P10-P11-X000 |  |
| 2007.08.30 | X000 | P13 | A-1-1-A10-P13-X000 |  |
| 2007.09.10 | X000 | P13 | A-1-1-A10-P13-X000 |  |
| 2007.09.10 | X000 | R17 | A-1-1-A10-R17-X000 |  |
| 2007.09.10 | X000 | R17 | A-1-1-A10-R17-X000 |  |
| 2007.09.10 | X000 | B12 | N-1-6-B10-B12-X000 |  |
| 2007.09.13 | X000 | C11 | N-6-6-C00-C11-X000 |  |
| 2007.09.28 | X000 | C13 | A-6-1-C10-C13-X000 |  |
| 2007.10.25 | PG1501 | Q12 | A-1-1-A10-Q12-PG1501 |  |

#### **Example: US**

1. Mappings to ST.27

Basic Information

* Application number: 15/331,931
* Type of IP right: National patent

Link to national Patent register: <https://portal.uspto.gov/pair/PublicPair>

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **Code** | **title** |  |  |
| IEXX | Initial Exam Team nn | A10 | Application filed: An application for an IP right was filed. | 2016.10.24 | 15/331,931Actual filing date granted may be different depending on documentation provided. |
| MABN2 | Mail Abandonment for Failure to Respond to Office Action | B12 | Application deemed to be withdrawn, abandoned or lapsed  | 2017.12.19 | The actual abandonment date is earlier than the mailing of the notice.  |
| PET. | Petition Entered | C11 | Application revival requested  | 2018.05.11 |   |
| MPREV | Mail-Petition to Revive Application - Granted | C13 | Application revived following an application revival request (An application was revived, reinstated or restored following an application revival request.)  | 2018.05.11 |  |

1. Data in ST.27 Format
2. ST.3 Office code: US
3. Data file creation date: 2019.05.01
4. Document identification
	1. Application number: 15/331,931
	2. Type of IP right: National patent
	3. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date
5. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2016.10.24 | IEXX | A10 | A-1-A10-A10-IEXX |  |
| 2017.12.19 | MABN2 | B12 | A-1-B10-B12-MABN2 |  |
| 2018.05.11 | PET. | C11 | A-1-C10-C11-PET. |  |
| 2018.05.11 | MPREV | C13 | A-1-C10-C13-MPREV |  |

######

### Scenario 2: Ownership transfer / assignment and licensing changes

Description

A national/regional patent application was granted following substantive examination. Several years later the patent was sold to a new owner and subsequently licensed to a third party. The license was later cancelled and the owner continued to pay the relevant renewal fees to keep the patent in force.

#### **Example: EP**

* + - 1. Mappings to ST.27

Basic Information

* Application number: EP08714471
* Type of IP right: Regional patent

Link to INPADOC legal event history in Espacenet: [https://worldwide.espacenet.com/publicationDetails/inpadoc?CC=EP&NR=2178625B1&KC=B1&FT=D&ND=1&date=20160928&DB=&locale=en\_EP#](https://worldwide.espacenet.com/publicationDetails/inpadoc?CC=EP&NR=2178625B1&KC=B1&FT=D&ND=1&date=20160928&DB=&locale=en_EP)

|  |  |  |  |
| --- | --- | --- | --- |
| **National/Regional Event** | **ST.27 Event** | **Event date**  | **Remarks** |
| **code** | **description** | **code** | **title** |  |  |
|  |  |  |  |  | Patent granted: 2016.09.28 |
| RAP2 | RIGHTS OF A PATENT TRANSFERRED | R14 | Transfer of ownership recorded | 2016.12.28 |  |
| RAP2 | RIGHTS OF A PATENT TRANSFERRED | R14 | Transfer of ownership recorded | 2016.12.28 |  |
| RAP2 | RIGHTS OF A PATENT TRANSFERRED | R14 | Transfer of ownership recorded | 2016.12.28 |  |
| 111L | LICENCE RECORDED | S10 | Licensing information recorded | 2017.06.21 |  |

2. Data in ST.27 Format

1. ST.3 Office code: EP
2. Data file creation date: 2019.05.01
3. Document identification
4. Application number: EP08714471
5. Type of IP right: Regional patent
6. Optional: Patent number: EP2178625B1, Filing language code: EN, Filing date: 2008.03.26
7. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2016.12.28 | RAP2 | R14 | A-0-0-R10-R14-RAP2 | 7. New Party Name: IGNITE RESOURCES PTY LTD |
| 2016.12.28 | RAP2 | R14 | A-0-0-R10-R14-RAP2 | 7. New Party Name: LICELLA FIBRE FUELS PTY LTD |
| 2016.12.28 | RAP2 | R14 | A-0-0-R10-R14-RAP2 | 7. New Party Name: LICELLA PTY LIMITED |
| 2007.05.02 | 111L | S10 | A-0-0-S10-S10-111L | 1. Effective country or region: AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC MT NL NO PL PT RO SE SI SK TR11. Name of Licensee: CANFOR PULP LTD12. Country code of licensee: CA |

#### **Example: JP**

1. Mappings to ST.27

Basic Information

* Application number: JP 2009-138XXX
* Type of IP right: National patent

Link to national Patent register:

|  |  |  |  |
| --- | --- | --- | --- |
| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| **code** | **description** | **code** | **title** |  |  |
|  | Request for a Patent | A12 | National or regional application filed | 2009.06.08 |  |
|  | Request for Examination | D11 | Substantive examination requested | 2010.04.26 | In JPO practice, an applicant needs to request for substantive examination in order to start examination. |
|  | Decision to Grant a Patent | D22 | Grant of IP right intended | 2010.08.30 |  |
|  | Payment notice of fee for patent | U11 | Full renewal or maintenance fee paid | 2010.09.21 |  |
|  | Certificate of patent | Q16 | A copy of IP right certificate issued | 2010.10.12 |  |
|  | Application for establishment registration of exclusive license (contract/licensing) | S14 | Exclusive voluntary license recorded | 2011.11.02 |  |
|  | Payment notice of fee for patent | U11 | Full renewal or maintenance fee paid | 2013.09.27 |  |

2. Data in ST.27 Format

1. ST.3 Office code: JP
2. Data file creation date: 2019.04.02
3. Document identification
4. Application number: JP 2009-138XXX
5. Type of IP right: National patent
6. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date
7. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2009.06.08 | X000 | A12 | A-2-2-A10-A12-X000 |  |
| 2010.04.26 | X000 | D11 | A-2-2-D10-D11-X000 |  |
| 2010.08.30 | X000 | D22 | A-2-4-D10-D22-X000 |  |
| 2010.09.21 | X000 | U11 | A-4-4-U10-U11-X000 |  |
| 2010.10.12 | X000 | Q16 | A-4-4-Q10-Q16-X000 |  |
| 2011.11.02 | X000 | S14 | A-4-4-S10-S14-X000 |  |
| 2013.09.27 | X000 | U11 | A-4-4-U10-U11-X000 |  |

#### **Example: GB**

1. Mappings to ST.27

Basic Information

* Application number: GB0409479.3
* Type of IP right: National patent

Link to national Patent register: <https://www.ipo.gov.uk/p-ipsum/Case/ApplicationNumber/GB0409479.3>

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| N/A | Grant of patent (Notification under Section 18(4))  | F11 | IP right granted following substantive examination | 2005.06.07 |  |
| N/A | Application under Section 32  | R11 | Change to the name of applicant or owner or transfer of ownership requested  | 2013.11.27 | Filed on 2013.11.25 (Effective date) |
| N/A | (Name and Address) registered as applicant/proprietor in place of (Name and Address) by virtue of assignment  | R14 | Transfer of ownership recorded  | 2014.01.16 | Filed on 2013.11.13. Form 21 and documents viewable on patent number GB2396631. |
| N/A | Notice of licence to (Name and Address)  | S14 | Voluntary license recorded  | 2014.01.16 | Filed on 2013.12.19. Form 21 and documents kept on GB2396631. |
| N/A | Notification of termination of a licence. | S16 | S16 Recordation of voluntary license cancelled  | 2017.04.25 | Dated 2016.02.25registration is entered at 2014.01.16. Form 21 and documents filed on GB2396631 |
| N/A | Payment of renewal fee | U11 | Renewal or maintenance fee paid  | 2018.10.24 |  |

1. Data in ST.27 Format
2. ST.3 Office code: GB
3. Data file creation date: 2019.05.01
4. Document identification
5. Application number: GB0409479.3
6. Type of IP right: National patent
7. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date
8. Event data

| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| --- | --- | --- | --- | --- |
| 2005.06.07 | X000 | F11 | A-2-4-F10-F11-X000 | Effective Country CodeGazette Number Owner Name(s)Priority Country Code, Document Number and Filing DateInventor Name(s)CPC Classification(s) |
| 2013.11.27 | X000 | R11 | A-4-4-R00-R11-X000 | Effective Country Code |
| 2014.01.16 | X000 | R14 | A-4-4-R10-R14-X000 | Effective Country CodeComment TextParty Change CategoryPrevious Party BagNew Party BagOwnership Transfer DateLegalDocumentCategory (new) |
| 2014.01.16 | X000 | S14 | A-4-4-S10-S14-X000 | Effective Country CodeComment TextLicence DateLicence CategoryLicensee details |
| 2017.04.25 | X000 | S16 | A-4-4-S10-S16-X000 | Effective Country CodeComment TextLicence End DateLicence Category |
| 2018.10.24 | X000 | U11 | A-4-4-U10-U11-X000 | Effective Country Code |

#### **Example: KR**

1. Mappings to ST.27

Basic Information

* Application number: 10-2011-0020365
* Type of IP right: National patent

Link to national Patent register: http://eng.kipris.or.kr/enghome/main.jsp

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| PA0109PA0201 | [Patent Application] Patent Application | A12D11 | National application filedSubstantive examination requested | 2011.03.08 |  |
|  | Request for Prior Art Search | D13 | Search requested | 2012.06.22 |  |
|  | Report of Prior Art Search | D14 | Search report issued | 2012.07.20 |  |
| PE0701 | Decision to grant | D22 | Grant of IP right intended | 2012.08.31 |  |
| PG1501 | Laying Open of Application | Q12 | Application published | 2012.09.18 |  |
|  | Notification of change of applicant's information | R18 | Changes to party contact information recorded | 2012.10.24 |  |
| PR1002PR0701 | [Patent·Registration Fee] Payment FormPayment of Registration FeeRegistration of Establishment | U11F11 | Full renewal or maintenance fee paidIP right granted following substantive examination | 2012.11.30 |  |
| PG1601 | Publication of Registration | Q13 | IP right document published | 2012.12.06 |  |
|  | Notification of change of applicant's information | R18 | Changes to party contact information recorded | 2012.12.24 |  |
|  | Integrated management of display change of obligees of registration | 2012.12.24 |  |
|  | Transfer of Right of Joint Owner | R14 | Transfer of ownership recorded | 2012.12.27 |  |
|  | Registration of confirmation of the joint-ownership portion |  |  | 2013.01.07 |  |
|  | Registration for Establishment of Non-exclusive License | S17 | Non-exclusive voluntary license recorded | 2016.01.12 |  |
|  | Integrated management of display change of obligees of registration | R18 | Changes to party contact information recorded | 2016.01.13 |  |
|  | Registration for Establishment of Exclusive License | S14 | Exclusive voluntary license recorded | 2016.03.03 |  |

1. Data in ST.27 Format
2. ST.3 Office code:
3. Data file creation date: 2019.05.01
4. Document identification
5. Application number:
6. Type of IP right: National patent
7. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date
8. Event data

| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| --- | --- | --- | --- | --- |
| 2011.03.08 | PA0109 | A12 | A-0-1-A10-A12-PA0109 |  |
| 2011.03.08 | PA0201 | D11 | A-1-2-D10-D11-PA0201 |  |
| 2012.06.22 | X000 | D13 | A-2-2-D10-D13-X000 |  |
| 2012.07.20 | X000 | D14 | A-2-2-D10-D14-X000 |  |
| 2012.08.31 | PE0701 | D22 | A-2-2-D10-D22-PE0701 |  |
| 2012.09.18 | PG1501 | Q12 | A-2-2-D10-Q12-PG1501 |  |
| 2012.10.24 | X000 | R18 | A-2-2-D10-R18-X000 |  |
| 2012.11.30 | PR1002 | U11 | A-2-4-F10-U11-PR1002 |  |
| 2012.11.30 | PR0701 | F11 | A-4-4-F10-F11-PR0701 |  |
| 2012.12.06 | PG1601 | Q13 | A-4-4-F10-A13-PG1601 |  |
| 2012.12.24 | X000 | R18 | A-4-4-F10-R18-X000 |  |
| 2012.12.27 | X000 | R14 | A-4-4-F10-R14-X000 |  |
| 2016.01.12 | X000 | S17 | A-4-4-F10-S17-X000 |  |
| 2016.01.13 | X000 | R18 | A-4-4-F10-R18-X000 |  |
| 2016.03.03 | X000 | S14 | A-4-4-F10-S14-X000 |  |

### Scenario 3: IP right review and patent revoked

Description

A national/regional patent application was filed with an IPO and the request for a substantive examination was filed at a later date. The patent was granted without any objection. Several years after the grant, an IP right review to invalidate the patent was initiated by a third party. After review, the IPO decided to revoke the patent completely.

#### **Example: DE**

1. Mappings to ST.27

Basic Information

* Application number: 10 2005 011 790.2
* Type of IP right: National patent

Link to national Patent register: <https://register.dpma.de/DPMAregister/pat/register?AKZ=1020050117902>

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| R000 | The application is under preliminary examination | A10 | Application filed | 2005.03.11 | This is the first national event reported in case of a new patent application; due to this fact, the key event A10 was assigned to reach the initial stage “Filing”; a differentiation between national, regional or international applications is not possible with this event |
| R012 | Request for examination effectively filed | D11 | Substantive examination requested | 2005.04.08 |  |
| R004 | Pre-registration procedure has been concluded | A00 | not mapped | 2005.05.12 | This national event indicates the end of the filing procedure; with this event, no stage change is executed so no key event is mapped; a detailed event indicated a corresponding step does not exists, consequently no detailed event is mapped; only a category assignment is provided; category A was chosen because this national event is related to filing |
| R079 | Change of IPC main class | P22 | Classification modified | 2005.10.17 |  |
| R015 | Official communication on examination | D15 | Examination report issued | 2006.03.30 |  |
| R018 | Decision to grant patent by Examining Section/Patent Division | D22 | Grant of IP right intended | 2006.07.26 |  |
| R203 | Patent specification | Q13 | IP right document published | 2006.11.23 |  |
| R020 | Grant of patent has become final | F11 | IP right granted following substantive examination | 2007.02.23 | This national event is might be mapped either to category F or to category M, depending on the granting of the IP right |
| R039 | Action brought for declaration of nullity | L15 | Invalidation requested | 2011.07.19 |  |
| R008 | Case file pending with Federal Patent Court | W00 | not mapped | 2011.07.19 | This national event is used to indicate a further processing by Federal Patent Court. This event is used in several procedure, so category W was chosen |
| R042 | Final declaration of nullity of patent in full | H12 | IP right ceased following an IP right review | 2015.08.11 |  |
| R078 | Other <with further information such as lien, etc> | W10 | Other event occurred | 2015.12.24 | This national event is used to inform about a specific situation or treatment with a corresponding free text reported in DPMAregister. Due to the reason, key event W10 was chosen to emphasize that import information might be available in nation register |

1. Data in ST.27 Format
2. ST.3 Office code: DE
3. Data file creation date: 2019.04.01
4. Document identification
5. Application number: 10 2005 011 790.2
6. Type of IP right: National patent
7. Optional
8. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2005.03.11 | R000 | A10 | A-0-1-A10-A00-R000 |  |
| 2005.04.08 | R012 | D11 | A-1-2-D10-D11-R012 |  |
| 2005.05.12 | R004 | A00 | A-0-0-A00-A00-R004 |  |
| 2005.10.17 | R079 | P22 | A-0-0-P10-P22-R079 |  |
| 2006.03.30 | R015 | D15 | A-2-2-D00-D15-R015 |  |
| 2006.07.26 | R018 | D22 | A-0-0-D00-D22-R079 |  |
| 2006.11.23 | R203 | Q13 | A-0-0-Q10-Q13-R203 |  |
| 2007.02.23 | R020 | F11 | A-0-4-F10-F11-R020 |  |
| 2011.07.19 | R039 | L15 | A-4-5-L10-L15-R039 |  |
| 2011.10.19 | R008 | W00 | A-0-0-W00-W00-R008 |  |
| 2015.08.11 | R042 | H12 | N-5-6-H10-H12-R042 |  |
| 2015.12.24 | R078 | W10 | N-0-0-W10-W00-R078 |  |

#### **Example: EP**

1. Mappings to ST.27

Basic Information

* Application number: EP04010143
* Type of IP right: Regional patent

Link to INPADOC legal event history in Espacenet: [https://worldwide.espacenet.com/publicationDetails/inpadoc?CC=EP&NR=1475141B1&KC=B1&FT=D&ND=&date=20120118&DB=&locale=en\_EP#](https://worldwide.espacenet.com/publicationDetails/inpadoc?CC=EP&NR=1475141B1&KC=B1&FT=D&ND=&date=20120118&DB=&locale=en_EP)

|  |  |  |  |
| --- | --- | --- | --- |
| **National/Regional Event** | **ST.27 Event** | **Event date**  | **Remarks** |
| **code** | **description** | **code** | **title** |  |  |
|  |  |  |  |  | Patent granted: 2012.01.18  |
| 26 | OPPOSITION FILED | L11 | Post-grant opposition filed | 2012.11.21 |  |
| 27W | PATENT REVOKED | H10 | IP right ceased | 2017.10.04 |  |

2. Data in ST.27 Format

1. ST.3 Office code: EP
2. Data file creation date: 2019.05.01
3. Document identification
4. Application number: EP04010143
5. Type of IP right: Regional patent
6. Optional: Patent number: EP1475141B1, Filing language code: EN, Filing date: 2004.04.29
7. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2012.11.21 | 26 | L11 | A-4-5-L10-L11-26 | 4. Party Name: HELBIG, CHRISTIAN, DR |
| 2017.10.04 | 27W | H10 | N-5-6-H10-H10-27W |  |

#### **Example: JP**

1. Mappings to ST.27

Basic Information

* Application number: JP 2011-192XXX
* Type of IP right: National patent

Link to national Patent register:

|  |  |  |  |
| --- | --- | --- | --- |
| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| **code** | **description** | **code** | **title** |  |  |
|  | Request for a Patent | A12 | National or regional application filed | 2011.09.02 |  |
|  | Request for Examination | D11 | Substantive examination requested | 2013.06.04 | In JPO practice, an applicant needs to request for substantive examination in order to start examination. |
|  | Notice of Reasons for Refusal | D15 | Examination report issued | 2014.06.03 |  |
|  | Decision to Grant a Patent | D22 | Grant of IP right intended | 2015.04.21 |  |
|  | Registration fee payment | U11 | Full renewal or maintenance fee paid | 2015.05.21 |  |
|  | Written opposition | L11 | Post-grant opposition filed | 2016.01.29 |  |
|  | Decision on Opposition | H12 | IP right ceased following an IP right review | 2017.04.07 |  |

1. Data in ST.27 Format
2. ST.3 Office code: JP
3. Data file creation date: 2019.04.02
4. Document identification
5. Application number: JP 2011-192XXX
6. Type of IP right: National patent
7. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date
8. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2011.09.02 | X000 | A12 | A-2-2-A10-A12-X000 |  |
| 2013.06.04 | X000 | D11 | A-2-2-D10-D11-X000 |  |
| 2014.06.03 | X000 | D15 | A-2-2-D10-D15-X000 |  |
| 2015.04.21 | X000 | D22 | A-2-4-D10-D22-X000 |  |
| 2015.05.21 | X000 | U11 | A-4-4-U10-U11-X000 |  |
| 2016.01.29 | X000 | L11 | A-4-5-L10-L11-X000 |  |
| 2017.04.07 | X000 | H12 | A-5-5-H10-H12-X000 |  |

#### **Example: GB**

1. Mappings to ST.27

Basic Information

* Application number: GB9930876.9
* Type of IP right: National patent

Link to national Patent register: https://www.ipo.gov.uk/p-ipsum/Case/ApplicationNumber/GB9930876.9

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| N/A | GB application filed  | A12 | National or regional application filed | 1999.12.30 | Data extracted from our patents journal but can also be found in ‘Case Notes’ section of IPSUM(Applicant’s name)Improvements in and relating to liquid dispensing apparatusDate Lodged: 30 December 1999GB9930876.9 |
| N/A | Examination requested   | D11 | Substantive Examination requested | 2002.01.03 |   |
| N/A | Grant of patent (Notification under Section 18(4))  | F11 | IP right granted following substantive examination | 2003.08.05 |   |
| N/A | Form 12 filing date | U11 | Renewal or maintenance fee paid | 2003.12.12 |  |
| N/A | S73(2) action taken  | L15 | Invalidation requested  | 2010.11.22 | on 22 November 2010 in view of EP(UK) 1246702 |
| N/A | Patent Revoked | H12 | IP Right ceased following an IP right review | 2011.10.10 |  |
|  |  |  |  |  |  |

1. Data in ST.27 Format
2. ST.3 Office code: GB
3. Data file creation date: 2019.05.01
4. Document identification
5. Application number:
6. Type of IP right: National patent
7. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date, Invention Title
8. Event data

| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| --- | --- | --- | --- | --- |
| 1999.12.30(effective date used as no register event) | X000 | A12 | A-0-1-A10-A12-X000 | Effective Country Code Gazette Number & Publication DatePriority Country Code, Document Number and Filing DateApplicant name(s) |
| 2002.01.03(effective date used as no register event) | X000 | D11 | A-2-2-D10-D11-X000 | Effective Country Code |
| 2003.08.05 | X000 | F11 | A-2-4-F10-F11-X000 | Effective Country CodeGazette Number Owner Name(s)Priority Country Code, Document Number and Filing DateInventor Name(s)CPC Classification(s) |
| 2003.12.12 | X000 | U11 | A-4-4-U10-U11-X000 | Effective Country Code |
| 2010.11.22 | X000 | L15 | A-4-5-L10-L15-X000 | Effective Country Code |
| 2011.10.10 | X000 | H12 | T-5-6-H10-H12-X000 | Effective Country Code |

#### **Example: KR**

1. Mappings to ST.27

Basic Information

* Application number: 10-2016-0053202
* Type of IP right: National patent

Link to national Patent register: http://eng.kipris.or.kr/enghome/main.jsp

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| PA0109PA0201 | [Patent Application] Patent Application | A12D11 | National application filedSubstantive examination requested | 2016.04.29 |  |
|  | [Appointment of Agent] Report on Agent (Representative) | R17 | Change to representative recorded | 2016.08.24 |  |
| PA0302 | [Request for Preferential Examination] Request for Examination (Request for Preferential Examination) | D16 | Fast track examination requested | 2016.08.26 |  |
|  | [Request for Preferential Examination] Request for Prior Art Search | D13 | Search requested | 2016.08.30 |  |
|  | [Request for Preferential Examination] Report of Prior Art Search | D14 | Search report issued | 2016.09.02 |  |
|  | Notice of decision on preferential examination | D17 | Fast track examination accepted | 2016.10.14 |  |
| PE0902 | Notification of reason for refusal | D15 | Examination report issued | 2016.10.14 |  |
|  | [Amendment to Description, etc.] Amendment | P13 | Application amended | 2016.11.14 |  |
|  | [Opinion according to the Notification of Reasons for Refusal] Written Opinion(Written Reply, Written Substantiation) |  |  | 2016.11.14 |  |
|  | Record of an Interview |  |  | 2016.12.01 |  |
|  | [Opinion according to the Notification of Reasons for Refusal] Written Opinion(Written Reply, Written Substantiation) |  |  | 2016.12.14 |  |
|  | [Amendment to Description, etc.] Amendment | P13 | Application amended | 2016.12.14 |  |
|  | Notification of Withdrawal Deemed of Amendment | P12 | Request for amendment of application rejected | 2016.12.16 |  |
| PE0701 | Decision to grant | D22 | Grant of IP right intended | 2016.12.30 |  |
| PR1002PR0701 | [Patent·Registration Fee] Payment FormPayment of Registration FeeRegistration of Establishment | U11F11 | Full renewal or maintenance fee paidIP right granted following substantive examination | 2017.01.06 |  |
| PG1601 | Publication of Registration | Q13 | IP right document published | 2017.01.12 |  |
| PJ0204 | [Request for Trial] Request for Trial | L15 | Invalidation requested | 2017.03.29 |  |
| PJ1301 | Invalidation Trial Decision (Patent, Utility Model, Industrial Design) | H12 | IP right ceased following an IP right review | 2017.10.30 | Decision |
|  | Notification of Final Determination of Trial Decision | H12 | IP right ceased following an IP right review | 2018.01.25 | Notification of conclusive and final trial decision |

2. Data in ST.27 Format

1. ST.3 Office code: KR
2. Data file creation date: 2019.05.01
3. Document identification
4. Application number:
5. Type of IP right: National patent
6. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date
7. Event data

| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| --- | --- | --- | --- | --- |
| 2016.04.29 | PA0109 | A12 | A-0-1-A10-A12-PA0109 |  |
| 2016.04.29 | PA0201 | D11 | A-1-2-D10-D11-PA0201 |  |
| 2016.08.24 | X000 | R17 | A-2-2-D10-R17-X000 |  |
| 2016.08.26 | PA0302 | D16 | A-2-2-D10-D16-PA0302 |  |
| 2016.08.30 | X000 | D13 | A-2-2-D10-D13-X000 |  |
| 2016.09.02 | X000 | D14 | A-2-2-D10-D14-X000 |  |
| 2016.10.14 | X000 | D17 | A-2-2-D10-D17-X000 |  |
| 2016.10.14 | PE0902 | D15 | A-2-2-D10-D15-PE0902 |  |
| 2016.11.14 | X000 | P13 | A-2-2-D10-P13-X000 |  |
| 2016.12.01 | X000 | - | A-2-2-D10-D00-X000 |  |
| 2016.12.14 | X000 | P13 | A-2-2-D10-P13-X000 |  |
| 2016.12.16 | X000 | P12 | A-2-2-D10-P12-X000 |  |
| 2016.12.30 | PE0701 | D22 | A-2-2-D10-D22-PE0701 |  |
| 2017.01.06 | PR1002 | U11 | A-2-4-F10-U11-PR1002 |  |
| 2017.01.06 | PR0701 | F11 | A-4-4-F10-F11-PR0701 |  |
| 2017.01.12 | PG1601 | Q13 | A-4-4-F10-Q13-PG1601 |  |
| 2017.03.29 | PJ0204 | L15 | A-4-5-L10-L15-PJ0204 |  |
| 2017.10.30 | PJ1301 | H12 | N-5-6-H10-H12-PJ1301 |  |
| 2018.01.25 | X000 | H12 | T-6-6-H10-H12-X000 |  |

#### **Example: US**

1. Mappings to ST.27

Basic Information

* Application number: 11/336,758
* Type of IP right: National patent

Link to national Patent register: <https://portal.uspto.gov/pair/PublicPair>

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| IEXX | Initial Exam Team nn | A10 | Application filed: An application for an IP right was filed. | 2006.01.19 | 11/336,758Actual filing date granted may be different depending on documentation provided.  |
| N/A | N/A | Q10 | Document published: A document was published by the IPO. This includes, but is not limited to publication of an application, IP right document or bibliographic information. | 2006.06.08 |  US 2006-0118619 A1 |
| PGM/ | Issue Date of Patent: | F10 | IP right granted: An IP right was granted in full or amended form after an examination, a pre-grant review or an appeal. | 2008.02.26 |  7,334,720 |
| TRIALPET | Petition Requesting Trial | L10 | IP right review requested: An IP right review was requested. This includes, but is not limited to a request for a postgrant opposition, re-examination, limitation, reissue, surrender, or invalidation.  | 2014.03.31 | Post grant review –The user will need to read actual petition documents to assess the status. This was the earliest request received.  |
| REVCM | Review Certificate Mailed | H10 | IP right ceased: An IP right has ceased. This includes, but is not limited to when an IP right has ceased following an IP right review or an appeal, due to a refusal to revive, or because of a lapse or expiry. | 2019.03.12 |  Post Grant Review Certificate |

1. Data in ST.27 Format
2. ST.3 Office code: US
3. Data file creation date: 2019.05.01
4. Document identification
5. Application number:
6. Type of IP right: National patent
7. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date
8. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2006.01.19 | IEXX | A10 | A-1-A10-IEXX |  |
| 2006.06.08 | N/A | Q10 | A-0-Q10- |  |
| 2008.02.26 | PGM/ | F10 | A-4-F10-PGM/ |  |
| 2014.03.31 | TRIALPET | L10 | A-5-L10-TRIALPET |  |
| 2019.03.12 | REVCM | H10 | A-5-H10-REVCM |  |

### Scenario 4: SPC or PTE granted / issued

Description

1. The applicant applied for a Supplementary Protection Certificate to extend the duration of their rights. The Supplementary Protection Certificate was granted and the patent protection adjusted accordingly.

or

1. A national patent application was filed with an IPO and a patent was subsequently granted. The applicant then applied for a Patent Term Extension to extend the duration of their rights. The Patent Term Extension was granted and the patent protection adjusted accordingly.

#### **Example: DE**

1. Mappings to ST.27

Basic Information

* Application number: 12 2013 000 069.4
* Type of IP right: Supplementary Protection Certificate

Link to national Patent register: https://register.dpma.de/DPMAregister/pat/register?AKZ=1220130000694

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| R065 | Application for supplementary protection certificate effectively filed | A10 | Application filed | 2013.08.16 | This is the first national event reported in case of a new supplementary protection certificate; due to this fact, the key event A10 was assigned to reach the initial stage “Filing”; in Germany a supplementary protection certificate is treated as a separate IP right with a separate application number and a separate data file; with this event such a new application has come to live.  |
| R067 | Decision to grant supplementary protection certificate by Patent Division | D22 | Grant of IP right intended | 2017.04.05 |  |
| R069 | Supplementary protection certificate granted | F12 | IP right granted following formality examination | 2017.05.12 |  |

1. Data in ST.27 Format
2. ST.3 Office code: DE
3. Data file creation date: 2019.01.01
4. Document identification
5. Application number: 12 2013 000 069.4
6. Type of IP right: Supplementary Protection Certificate
7. Optional
8. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2013.08.16 | R065 | A10 | A-0-1-A10-A00-R065 |  |
| 2017.04.05 | R067 | D22 | A-0-0-D00-D22-R067 |  |
| 2017.05.12 | R069 | F12 | A-2-4-F10-F12-R069 |  |

#### **Example: GB**

1. Mappings to ST.27

Basic Information

* Application number: SPC/GB05/031
* Type of IP right: SPC

Link to national Patent register: https://www.ipo.gov.uk/p-ipsum/Case/ApplicationNumber/EP01204920.1

|  |  |  |  |
| --- | --- | --- | --- |
| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| **code** | **description** | **code** | **title** |  |  |
| N/A | Application for a supplementary protection certificate filed | A12 | National or regional application filed | 2005.05.13 |  SPC/GB05/031 in respect of "Cinacalcet" was filed on 09 May 2005. |
| N/A | Application for a supplementary protection certificate granted | F12 | IP right granted following formality examination  | 2005.11.22 | The UKIPO does not use D22 – Grant of IP right intended.SPC/GB05/031 in respect of "Cinacalcet or a pharmaceutically acceptable salt or complex thereof" was granted on 22 November 2005 with a maximum period expiring on 21 October 2019.  |
| N/A | Application for a supplementary protection certificate entered into force | W10 | N/A - see remarks column for further info | 2015.10.28 | Talks are ongoing as to whether a new legal status event is required for this, but for now we have mapped to W10.SPC/GB05/031 in respect of “Cinacalcet or a pharmaceutically acceptable salt or complex thereof” entered into force on 23 October 2015 with a maximum period expiring on 21 October 2019. |

1. Data in ST.27 Format
2. ST.3 Office code: GB
3. Data file creation date: 2019.05.01
4. Document identification
5. Application number: SPC/GB05/031
6. Type of IP right: Supplementary Protection Certificate
7. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date, Invention Title, Product Description (SPC), Latest Expiry Date (SPC), Entered Into Force Date (SPC)
8. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2005.05.13 | X000 | A12 | A-0-1-A10-A12-X000 | Parent publication number: EP1203761Effective Country Code Gazette Number Priority Country Code, Document Number and Filing DateApplicant name(s) |
| 2005.11.22 | X000 | F12 | A-2-4-F10-F12-X000 | Effective Country Code  |
| 2015.10.28 | X000 | W10 | A-4-4-W10-W00-X000 | Effective Country Code Comment Text |

#### **Example: JP**

1. Mappings to ST.27

Basic Information

* Application number: JP 1997-504XXX
* Type of IP right: National patent

Link to national Patent register:

| **National/Regional Event** | **ST.27 Event** | **Exact Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
|  | Request for a Patent | A12 | National or regional application filed | 1996.06.03 | Original application for patent. Unlike SPCS, PTE is not a separate type of IP right. |
|  | Request for Examination | D11 | Substantive examination requested | 1998.03.25 | In JPO practice, an applicant needs to request for substantive examination in order to start examination. |
|  | Decision to Grant a Patent | D22 | Grant of IP right intended | 2002.04.02 |   |
|  | Registration fee payment | U11 | Full renewal or maintenance fee paid | 2002.04.10 |   |
|  | Certificate of patent | Q16 | A copy of IP right certificate issued | 2002.04.30 |   |
|  | Request for a Patent | G18 | PTE requested | 2015.06.23 |   |
|  | Decision to Grant a Patent | G20 | PTE granted | 2016.02.16 | The event date corresponds to the date the PTE was granted and not necessarily when the extended protection begins. |
|  | Payment notice of fee for patent | U11 | Full renewal or maintenance fee paid | 2016.04.01 |   |

1. Data in ST.27 Format
2. ST.3 Office code: JP
3. Data file creation date: 2019.04.02
4. Document identification
5. Application number: JP 1997-504XXX
6. Type of IP right: National patent
7. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date
8. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 1996.06.03 | X000 | A12 | A-2-2-A10-A12-X000 |  |
| 1998.03.25 | X000 | D11 | A-2-2-D10-D11-X000 |  |
| 2002.04.02 | X000 | D22 | A-2-4-D10-D22-X000 |  |
| 2002.04.10 | X000 | U11 | A-4-4-U10-U11-X000 |  |
| 2002.04.30 | X000 | Q16 | A-4-4-Q10-Q16-X000 |  |
| 2015.06.23 | X000 | G18 | A-4-4-G10-G18-X000 | Application number for PTE: JP 2015-700XXX |
| 2016.02.16 | X000 | G20 | A-4-4-G10-G20-X000 |  |
| 2016.04.01 | X000 | U11 | A-4-4-U10-U11-X000 |  |

#### **Example: KR**

1. Mappings to ST.27

Basic Information

* Application number: 10-2009-0086079, 10-2017-0077332
* Type of IP right: National patent

Link to national Patent register: <http://eng.kipris.or.kr/enghome/main.jsp>
http://www.kipo.go.kr/kpo/user.tdf?a=user.html.HtmlApp&c=4020&catmenu=m03\_03\_08

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| PA0109 | [Patent Application] Patent Application(10-2009-0086079) | A12 | National application filed | 2009.09.11 |  |
|  | [Certificate of Priority] Submission of Document | P18 | Priority claim added or amended | 2009.09.23 |  |
| PG1501 | Laying Open of Application | Q12 | Application published | 2010.03.19 |  |
|  | [Amendment to Description, etc.] Amendment | P13 | Application amended | 2011.02.16 |  |
| PA0201 | [Request for Examination] Request for Examination (Request for Preferential Examination) | D11 | Substantive examination requested | 2011.10.04 |  |
|  | [Amendment to Description, etc.] Amendment | P13 | Application amended | 2011.10.04 |  |
| PA0107 | [Divisional Application] Patent Application | A16 | Divisional application filed | 2012.03.13 |  |
| PE0902 | Notification of reason for refusal | D15 | Examination report issued | 2013.05.31 |  |
|  | [Amendment to Description, etc.] Amendment | P13 | Application amended | 2013.07.31 |  |
|  | [Opinion according to the Notification of Reasons for Refusal] Written Opinion(Written Reply, Written Substantiation) |  |  | 2013.07.31 |  |
|  | Notification of change of applicant's information | R18 | Changes to party contact information recorded | 2013.08.26 |  |
| PE0701 | Decision to grant | D22 | Grant of IP right intended | 2013.12.24 |  |
| PR1001PR0701 | [Patent·Registration Fee] Payment Form | U11F11 | Full renewal or maintenance fee paidIP right granted following substantive examination | 2014.03.24 |  |
| PG1601 | Publication of Registration | Q13 | IP right document published | 2014.03.31 |  |
| PR1001 | [Payment] Year 4 - 4 | U11 | Full renewal or maintenance fee paid | 2016.12.29 |  |
| PA0101 | Application to Register Extension of Patent Right Term by Permission, etc.(10-2017-0077332) | G18 | PTE requested | 2017.06.19 |  |
|  | Publication of Patent Application to Register Extension of Patent Right Term by Permission, etc. | Q12 | Application published | 2017.06.27 |  |
|  | Request for Amendment | P11 | Amendment of application requested (by KIPO) | 2017.10.18 |  |
|  | [Designated Period Extension] Application of Period Extension(Reduction, Progress relief) | T11 | Administrative time limit extension requested | 2017.11.17 |  |
|  | [Amendment to Patent Application, etc.] Amendment | P13 | Application amended | 2017.12.18 |  |
| PR1001 | [Payment] Year 5 - 5Payment of Annual Fee | U11 | Full renewal or maintenance fee paid | 2017.12.28 |  |
|  | Notification of reason for refusal | D15 | Examination report issued | 2018.04.10 |  |
|  | [Amendment to Patent Application, etc.] Amendment | P13 | Application amended | 2018.09.10 |  |
|  | [Opinion according to the Notification of Reasons for Refusal] Written Opinion(Written Reply, Written Substantiation) |  |  | 2018.09.10 |  |
| PR1001 | [Payment] Year 6 - 6Payment of Annual Fee | U11 | Full renewal or maintenance fee paid | 2018.12.27 |  |
|  | Decision to Register Extension of Patent Right Term by Permission, etc. | G20 | PTE granted | 2019.01.15 |  |
|  | Publication of Decision to Register Extension of Patent Right Term by Permission, etc. | Q13 | IP right document published | 2019.01.18 |  |

1. Data in ST.27 Format
2. ST.3 Office code: KR
3. Data file creation date: 2019.05.01
4. Document identification
5. Application number:
6. Type of IP right: National patent
7. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date
8. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2009.09.11 | PA0109 | A12 | A-0-1-A10-A12-PA0109 |  |
| 2009.09.23 | X000 | P18 | A-1-1-A10-P18-X000 |  |
| 2010.03.19 | PG1501 | Q12 | A-1-1-A10-Q12-PG1501 |  |
| 2011.02.16 | X000 | P13 | A-1-1-A10-P13-X000 |  |
| 2011.10.04 | PA0201 | D11 | A-1-2-D10-D11-PA0201 |  |
| 2011.10.04 | X000 | P13 | A-2-2-D10-P13-X000 |  |
| 2012.03.13 | PA0107 | A16 | A-2-2-D10-A16-PA0107 |  |
| 2013.05.31 | PE0902 | D15 | A-2-2-D10-D15-PE0902 |  |
| 2013.07.31 | X000 | P13 | A-2-2-D10-P13-X000 |  |
| 2013.08.26 | X000 | R18 | A-2-2-D10-R18-X000 |  |
| 2013.12.24 | PE0701 | D22 | A-2-2-D10-D22-PE0701 |  |
| 2014.03.24 | PR1001 | U11 | A-2-4-F10-U11-PR1001 |  |
| 2014.03.24 | PR0701 | F11 | A-4-4-F10-F11-PR0701 |  |
| 2014.03.31 | PG1601 | Q13 | A-4-4-F10-Q13-PG1601 |  |
| 2016.12.29 | PR1001 | U11 | A-4-4-F10-U11-PR1001 |  |
| 2017.06.19 | PA0101 | G18 | A-4-2-G10-G18-PA0101 |  |
| 2017.06.27 | X000 | Q12 | A-2-2-D10-Q12-X000 |  |
| 2017.10.18 | X000 | P11 | A-2-2-D10-P11-X000 |  |
| 2017.11.17 | X000 | T11 | A-2-2-D10-T11-X000 |  |
| 2017.12.18 | X000 | P13 | A-2-2-D10-P13-X000 |  |
| 2017.12.28 | PR1001 | U11 | A-2-2-D10-U11-PR1001 |  |
| 2018.04.10 | X000 | D15 | A-2-2-D10-D15-X000 |  |
| 2018.09.10 | X000 | P13 | A-2-2-D10-P13-X000 |  |
| 2018.12.27 | PR1001 | U11 | A-2-2-D10-U11-PR1001 |  |
| 2019.01.15 | X000 | G20 | A-2-4-G10-G20-X000 |  |
| 2019.01.18 | X000 | Q13 | A-4-4-G10-Q13-X000 |  |

#### **Example: US**

1. Mappings to ST.27

Basic Information

* Application number: 13/549,373
* Type of IP right: National patent

Link to national Patent register: <https://portal.uspto.gov/pair/PublicPair>

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| IEXX | Initial Exam Team nn | A10 | Application filed: An application for an IP right was filed. | 2012.07.13 | 13/549,373Actual filing date granted may be different depending on documentation provided. |
| PG-ISSUE | PG-Pub Issue Notification | Q10 | Document published: A document was published by the IPO. This includes, but is not limited to publication of an application, IP right document or bibliographic information. | 2012.11.08 | US 2012-0283818 A1 |
| PGM/ | Issue Date of Patent: | F10 | IP right granted: An IP right was granted in full or amended form after an examination, a pre-grant review or an appeal. | 2013.04.16 | 8,419,788 |
| PTER | Patent Term Extension Application under 35 USC 156 Filed | G18 | PTE requested (A Patent Term Extension (PTE) was requested.) | 2014.04.14 | An application for patent term extension is submitted by the owner of record of the patent or its agent. |
| PTEC | Patent Term Extension Certificate | G20 | PTE granted (A Patent Term Extension (PTE) was granted.)      | 2018.03.27 | A certificate of extension of patent term is issued if the USPTO determines that the patent is eligible for extension. The certificate becomes part of the official patent record.Note:If the application has been determined to be ineligible for patent term extension, an appropriate Notice of Final Determination-Ineligible is mailed to applicant which dismisses the application and sets forth the basis for the dismissal. The applicant is given a period, usually two months, in which to seek reconsideration of the determination.  If a PTE application is denied, remedy for the PTE applicant is via an Administrative Procedure Act (APA) suit in Federal District Court. |

1. Data in ST.27 Format
2. ST.3 Office code: US
3. Data file creation date: 2019.05.01
4. Document identification
5. Application number:
6. Type of IP right: National patent
7. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date
8. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2012.07.13 | IEXX | A10 | A-1-A10-IEXX |  |
| 2012.11.08 | PG-ISSUE | Q10 | A-1-Q10-PG-ISSUE |  |
| 2013.04.16 | PGM/ | F10 | A-4-F10-PGM/ |  |
| 2014.04.14 | PTER | G18 | A-5-G18-PTER |  |
| 2018.03.27 | PTEC | G20 | A-5-G20-PTEC |  |

### Scenario 5: Utility model registered / granted and then lapsed

Description

1. A utility model application was filed with an IPO. After a formality examination, the IP right was granted and entered into the national register. The owner paid the maintenance fee for the first year. Afterwards the utility model lapsed for failure to make the next maintenance payment.

or

1. Same scenario, but with a substantive examination in addition to the formality examination.

#### **Example: DE**

1. Mappings to ST.27

Basic Information

* Application number: 20 2013 005 057.8
* Type of IP right: National utility model

Link to national Patent register: <https://register.dpma.de/DPMAregister/pat/register?AKZ=2020130050578>

|  |  |  |  |
| --- | --- | --- | --- |
| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| **code** | **description** | **code** | **title** |  |  |
| R000 | The application is under preliminary examination | A10 | Application filed | 2013.06.04 | This is the first national event reported in case of a new utility model; due to this fact, the key event A10 was assigned to reach the initial stage “Filing”. |
| R160 | Registration of utility model | F12 | IP right granted following formality examination | 2013.09.11 |  |
| R207 | Utility model specification | Q13 | IP right document published | 2013.10.31 |  |
| R156 | IP right lapsed after expiry of 3 years | H13 | IP right lapsed | 2017.01.03 |  |

1. Data in ST.27 Format
2. ST.3 Office code: DE
3. Data file creation date: 2019.01.01
4. Document identification
5. Application number: 20 2013 005 057.8
6. Type of IP right: National utility model
7. Optional:
8. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2013.06.04 | R000 | A10 | A-0-1-A10-A00-R000 |  |
| 2013.09.11 | R160 | F12 | A-2-4-F10-F12-R069 |  |
| 2013.10.13 | R207 | Q13 | A-0-0-Q10-Q13-R207 |  |
| 2017.01.03 | R156 | H13 | N-0-6-H10-H13-R156 |  |

#### **Example: JP**

1. Mappings to ST.27

Basic Information

* Application number: JP 2006-008XXX
* Type of IP right: National Utility Model

Link to national Patent register:

|  |  |  |  |
| --- | --- | --- | --- |
| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| **code** | **description** | **code** | **title** |  |  |
|  | Request for an Utility Model | A12 | National or regional application filed | 2006.12.01 |  |
|  | Certificate of utility model registration | Q16 | A copy of IP right certificate issued | 2007.02.13 | JPO has non-examination system in utility model. |
|  | Payment notice of fee for registration of utility model | U11 | Full renewal or maintenance fee paid | 2010.02.01 |  |
|  | Cancellation due to non-payment of annual fee Expiration date of term of right | U13 | Renewal or maintenance fee not paid | 2011.01.31 |  |
|  | Expiration date of right | H13 | IP right lapsed | 2011.01.31 |  |

1. Data in ST.27 Format
2. ST.3 Office code: JP
3. Data file creation date: 2019.04.02
4. Document identification
5. Application number: JP 1997-504XXX
6. Type of IP right: National patent
7. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date
8. Event data

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| 2006.12.01 | X000 | A12 | A-2-2-A10-A12-X000 |  |
| 2007.02.13 | X000 | Q16 | A-2-4-Q10-Q16-X000 |  |
| 2010.02.01 | X000 | U11 | A-4-4-U10-U11-X000 |  |
| 2011.01.31 | X000 | U13 | U-4-0-U10-U13-X000 |  |
| 2011.01.31 | X000 | H13 | U-0-0-H10-H13-X000 |  |

#### **Example: KR**

1. Mappings to ST.27

Basic Information

* Application number: 20-2013-0008135
* Type of IP right: Utility Model

Link to national Patent register: http://eng.kipris.or.kr/enghome/main.jsp

| **National/Regional Event** | **ST.27 Event** | **Event Date** | **Remarks** |
| --- | --- | --- | --- |
| **code** | **description** | **code** | **title** |  |  |
| UA0108UA0201 | [Utility Model Registration Application] Application for Utility Model Registration | A12D11 | National application filedSubstantive examination requested | 2013.10.02 |  |
|  | [Appointment of Agent] Report on Agent (Representative) | R17 | Change to representative recorded | 2014.05.13 |  |
|  | Request for Prior Art Search | D13 | Search requested | 2014.08.09 |  |
|  | Report of Prior Art Search | D14 | Search report issued | 2014.09.15 |  |
| UE0902 | Notification of reason for refusal | D15 | Examination report issued | 2014.11.26 |  |
|  | [Opinion according to the Notification of Reasons for Refusal] Written Opinion(Written Reply, Written Substantiation) |  |  | 2015.01.20 |  |
|  | [Amendment to Description, etc.] Amendment | P13 | Application amended | 2015.01.20 |  |
| UG1501 | Laying open of Application | Q12 | Application published | 2015.04.10 |  |
| UE0701 | Decision to grant | D22 | Grant of IP right intended | 2015.04.20 |  |
| UR1002UR0701 | [Patent Registration Fee] Payment FormPayment of Registration FeeRegistration of Establishment | U11F11 | Full renewal or maintenance fee paidIP right granted following substantive examination | 2015.05.28 |  |
| UG1601 | Publication of Registration | Q13 | IP right document published | 2015.06.03 |  |
|  | Notification of change of applicant's information | R18 | Changes to party contact information recorded | 2016.12.16 |  |
| UC1903 | Unpaid Annual Fee | U13 | Renewal or maintenance fee not paid | 2018.05.29 |  |
|  | Registration of Extinguishment | H13 | IP right lapsed | 2019.03.08 | Date of the Occurrence of Cause of Registration: 2018.05.29.Cause of Registration: Default of Registration Fee |

1. Data in ST.27 Format
2. ST.3 Office code: KR
3. Data file creation date: 2019.05.01
4. Document identification
5. Application number:
6. Type of IP right: National patent
7. Optional: Patent/SPC number, Applicant file reference, Filing language code, Application filing category, Filing date
8. Event data

| **Event Date** | **Nat. Code** | **ST.27 Code** | **Status Event Code** | **Supplementary Data (optional)** |
| --- | --- | --- | --- | --- |
| 2013.10.02 | UA0108 | A12 | A-0-1-A10-A12-UA0108 |  |
| 2013.10.02 | UA0201 | D11 | A-1-2-D10-D11-UA0201 |  |
| 2014.05.13 | X000 | R17 | A-2-2-R10-R17-X000 |  |
| 2014.08.09 | X000 | D13 | A-2-2-D10-D13-X000 |  |
| 2014.09.15 | X000 | D14 | A-2-2-D10-D14-X000 |  |
| 2014.11.26 | UE0902 | D15 | A-2-2-D10-D15-UE0902 |  |
| 2015.01.20 | X000 | P13 | A-2-2-D10-P13-X000 |  |
| 2015.04.10 | UG1501 | Q12 | A-2-2-D10-Q12-UG1501 |  |
| 2015.04.20 | UE0701 | D22 | A-2-2-D10-D22-UE0701 |  |
| 2015.05.28 | UR1002 | U11 | A-2-4-F10-U11-UR1002 |  |
| 2015.05.28 | UR0701 | F11 | A-4-4-F10-F11-UR0701 |  |
| 2015.06.03 | UG1601 | Q13 | A-4-4-F10-Q13-UG1601 |  |
| 2016.12.16 | X000 | R18 | A-4-4-F10-R18-X000 |  |
| 2018.05.29 | UC1903 | U13 | A-4-4-U00-U13-UC1903 |  |
| 2019.03.08 | X000 | H13 | T-4-6-H10-H13-X000 |  |

[Annex II follows]