

WORLD INTELLECTUAL PROPERTY  
ORGANIZATION

世界知识产权组织

ORGANIZACIÓN MUNDIAL  
DE LA PROPIEDAD INTELECTUAL



ORGANISATION MONDIALE DE LA  
PROPRIÉTÉ INTELLECTUELLE

المنظمة العالمية للملكية الفكرية

ВСЕМИРНАЯ ОРГАНИЗАЦИЯ  
ИНТЕЛЛЕКТУАЛЬНОЙ СОБСТВЕННОСТИ

C. SCIT 2508  
00

August 10, 2000

Re: PCT Minimum Documentation: Updating of the Inventory of Patent Documents According to PCT Rule 34.1

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Sir,  
Madam,

The current version of the Inventory of Patent Documents for the PCT Minimum Documentation, as defined in PCT Rule 34.1, which is published on the WIPO *Handbook on Industrial Property Information and Documentation* CD-ROM (see pages 4.1.1 to 4.1.8), covers the period from 1920 to 1996. The International Bureau intends to update the Inventory so as to cover the entire period from 1920 to 1999, and, subsequently, to publish it in Part 4.1 of the WIPO Handbook CD-ROM and on WIPO's Web site.

You are kindly requested to provide information in respect of patent documents which are part of the PCT Minimum Documentation and have been published by your Office in the years 1997 to 1999 (in the case of OAPI, ARIPO, Australia and Switzerland for the years which are not covered by the enclosed Inventory up to the end of 1999). You are also requested to provide the International Bureau with the appropriate kind-of-document code from WIPO Standard ST.16 that corresponds to each kind of patent document published by your Office, and listed in the Inventory.

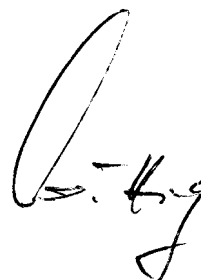
/...

In order to facilitate your compliance with this request, a copy of the said Inventory as well as a copy of the introductory pages 4.0.1 and 4.0.2 of the WIPO Handbook CD-ROM are attached as an Annex hereto.

In the case where your Office has been publishing a series of patent documents sequentially numbered as issued, and there are certain unused numbers, it would be of assistance if you could provide us with a list of such numbers.

It would be highly appreciated if the reply of your Office could reach the International Bureau not later than October 20, 2000.

Sincerely yours,

A handwritten signature in black ink, appearing to read 'K. Wittig', written in a cursive style.

Klaus-Peter Wittig  
Deputy Director  
Inter-Office Information Services



## HANDBOOK ON INDUSTRIAL PROPERTY INFORMATION AND DOCUMENTATION

Ref.: PCT Minimum Documentation

page: 4.0.1

## PCT MINIMUM DOCUMENTATION

## INTRODUCTION

The Patent Cooperation Treaty, commonly referred to in abbreviated form as the “PCT”, was concluded on June 19, 1970. The Treaty provides for the filing of an “international” patent application with the national patent office of the contracting State of which the applicant is a national or resident. The effect of any international patent application in each designated State where the applicant desires the protection of his invention is the same as if a national patent application had been filed with the national Office of that State. The international application is then subjected to what is called an “international search”. The search is carried out by one of the major national patent offices or by the European Patent Office referred to as an “International Searching Authority”. The said search results in an “international search report”, that is, a listing of the citations of such published documents—mainly patent documents of the countries issuing the most patents and sometimes articles in non-patent literature—that may affect the novelty of the invention claimed in the international application.

For performing the “international search”, the respective offices or Organizations must have at their ready disposal at least the minimum documentation defined by Rule 34 of the PCT Regulations, properly arranged for search and examination purposes. The text of the Rule is given below:

MINIMUM DOCUMENTATION  
(RULE 34.1 OF PCT REGULATIONS)

## 34.1 Definition

- (a) The definitions contained in Article 2(i) and (ii) shall not apply for the purposes of this Rule.
- (b) The documentation referred to in Article 15(4) (“minimum documentation”) shall consist of:
  - (i) the “national patent documents” as specified in paragraph (c),
  - (ii) the published international (PCT) applications, the published regional applications for patents and inventors’ certificates, and the published regional patents and inventors’ certificates,
  - (iii) such other published items of non-patent literature as the International Searching Authorities shall agree upon and which shall be published in a list by the International Bureau when agreed upon for first time and whenever changed.
- (c) Subject to paragraphs (d) and (e), the “national patent documents” shall be the following:
  - (i) the patents issued in and after 1920 by France, the former *Reichspatentamt* of Germany, Japan, the former Soviet Union, Switzerland (in French and German languages only), the United Kingdom, and the United States of America,
  - (ii) the patents issued by the Federal Republic of Germany and the Russian Federation,
  - (iii) the patent applications, if any, published in and after 1920 in the countries referred to in items (i) and (ii),
  - (iv) the inventors’ certificates issued by the former Soviet Union,
  - (v) the utility certificates issued by, and the published applications for utility certificates of, France,
  - (vi) such patents issued by, and such patent applications published in, any other country after 1920 as are in the English, French, German, Spanish language and in which no priority is claimed, provided that the national Office of the interested country sorts out these documents and places them at the disposal of each International Searching Authority.



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(d) Where an application is republished once (for example, an *Offenlegungsschrift* as an *Auslegeschrift*) or more than once, no International Searching Authority shall be obliged to keep all versions in its documentation; consequently, each such Authority shall be entitled not to keep more than one version. Furthermore, where an application is granted and is issued in the form of a patent or a utility certificate (France), no International Searching Authority shall be obliged to keep both the application and the patent or utility certificate (France) in its documentation; consequently, each such Authority shall be entitled to keep either the application only or the patent or utility certificate (France) only.

(e) Any International Searching Authority whose official language, or one of whose official languages, is not Japanese, Russian or Spanish is entitled not to include in its documentation those patent documents of Japan, the Russian Federation and the former Soviet Union as well as those patent documents in the Spanish language, respectively, for which no abstracts in the English language are generally available. English abstracts becoming generally available after the date of entry into force of these Regulations shall require the inclusion of the patent documents to which the abstracts refer no later than six months after such abstracts become generally available. In case of the interruption of abstracting services in English in technical fields in which English abstracts were formerly generally available, the Assembly shall take appropriate measures to provide for the prompt restoration of such services in the said fields.

(f) For the purposes of this Rule, applications which have only been laid open for public inspection are not considered published applications.



HANDBOOK ON INDUSTRIAL PROPERTY INFORMATION AND DOCUMENTATION

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**PCT MINIMUM DOCUMENTATION**

INVENTORY OF PATENT DOCUMENTS ACCORDING TO PCT RULE 34.1  
(PERIOD FROM 1920 TO 1999)

*Explanatory Notes*

1. On the following pages is given the inventory of patent documents, covering the period January 1, 1920, to December 31, 1999, forming the PCT Minimum Documentation according to PCT Rule 34.1.
2. The different kinds of patent documents issued by each Office falling within the PCT Minimum Documentation according to PCT Rule 34.1 are arranged in the third column in the order in which patent documents were issued by that Office at various procedural steps. The letter code from WIPO Standard ST.16 that corresponds to each kind of those patent documents is given in the second column.
3. The fourth column gives the range of publication numbers of each kind of patent document issued by each Office. The fifth column gives the publication years of those documents. The sixth column of the inventory gives an indication of the total number of each kind of patent document issued. In some cases, the number of patent documents issued can only be estimated.
4. In the last column is given an indication of the nature of each series of patent documents issued; the indications have the following significance:
  - “a” indicates a series consisting of documents sequentially numbered as issued;
  - “b” indicates a series consisting of documents numbered at an earlier procedural step before issuance and therefore not sequentially numbered as issued, the series normally having many unused numbers;
  - “c” indicates that a list of unused numbers, or of the issued documents in the series, has been reported to the International Bureau.
5. The patent documents issued by Australia, Austria and Canada fall within the PCT Minimum Documentation by virtue of PCT Rule 34.1(c)(vi).
6. The total number of patent documents forming part of the PCT Minimum Documentation by the end of December 1999 is estimated at xx million (estimation by..... taking into account patent family data).

[Inventory of Patent Documents follows]


**HANDBOOK ON INDUSTRIAL PROPERTY INFORMATION AND DOCUMENTATION**

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**INVENTORY OF PATENT DOCUMENTS ACCORDING TO PCT RULE 34.1  
(PERIOD FROM 1920 TO 1999)**

ISSUING OFFICE OR ORGANIZATION	ST.16 CODE	KIND OF PATENT DOCUMENT	NUMBER RANGE	PUBLICATION YEAR(S)	NUMBER OF DOCUMENTS ACTUALLY PUBLISHED	TYPE OF SERIES
AFRICAN INTELLECTUAL PROPERTY ORGANIZATION	A	Patents for Inventions	3,960-9,545	1979-1992	5,580	a
AFRICAN REGIONAL INDUSTRIAL PROPERTY ORGANIZATION		Patents	1-162	1985-1991	162	a
AUSTRALIA	B	Complete Specifications Accepted	405,922-644,999	1970-1993	34,325	b
	A	Complete Specifications Lapsed	56,216/58-89,250/82	1970-1993	17,096	b
AUSTRIA	B	Granted Patents	277,651-365,300	1970-1981	–	a
			366,301-396,950	1982-1993	8,703	a
			396,951-401,950	1994-1996	4,248	a
U	Published Utility Models	1-1,268	1994-1996	1,153	a	
CANADA	A, B	Patents and Reissued Patents	848,159-1,338,819	1970-1996	17,360	a, c
	C, E	Patents and Reissued Patents	Filed under the 1989 Act, numbered from 2,000,001	1992-1996	1,749	b
	A1	Laid-open Applications	Numbered from 2,000,001	1990-1996	14,283	b
EURASIAN PATENT OFFICE	A1, A2	Published Patent Applications	960,001-960,118	1996	35	b
	B1, B2	Granted Patents				a



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ISSUING OFFICE OR ORGANIZATION	ST.16 CODE	KIND OF PATENT DOCUMENT	NUMBER RANGE	PUBLICATION YEAR(S)	NUMBER OF DOCUMENTS ACTUALLY PUBLISHED	TYPE OF SERIES
EUROPEAN PATENT OFFICE	A1, A2, A3	Published Patent Applications	1-750,455	1978-1996	621,302	a, c
	B1, B2	Granted Patents		1980-1996	367,412	b, c
FORMER REICHSPATENT-AMT OF GERMANY		Patents	280,717-317,999 318,000-768,161	1920-1945	2,455 450,162	b, c a, c
FRANCE	A	Applications for all Types of Patents <sup>1</sup>	2,000,001-2,735,946	1969-1996	735,945	a
	B	Patents for Inventions: 1. Old law	498,201-1,605,586	1920-1988	1,107,385	a
	B1	2. New law <sup>1</sup> (including additions)	2,000,001-2,735,946	1969-1996	640,272	b
	B2	Certificates of Addition to Patents (numbering under old law)	20,951-96,692	1920-1985	75,742	a
	M	Special Medicament Patents	1-8,496 M	1961-1967 (filing) 1961-1973 (grant)	8,496	a
	M	Certificates of Addition to Special Medicament Patents	1-357 CAM	1961-1967 (filing) 1961-1973 (grant)	357	a

<sup>1</sup> Under the new law (publications numbered from 2,000,001), no individual numbering series for applications and certificates of addition. With the introduction of the new law 90-1052 of November 26, 1990—Official Gazette of November 28, 1990—applications for certificates of addition could no longer be made.



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ISSUING OFFICE OR ORGANIZATION	ST.16 CODE	KIND OF PATENT DOCUMENT	NUMBER RANGE	PUBLICATION YEAR(S)	NUMBER OF DOCUMENTS ACTUALLY PUBLISHED	TYPE OF SERIES
GERMANY	A	<i>Offenlegungs-schriften</i> (OS) (Non-examined Patent Applications)	1,400,001-1,799,035	1958-1996	1,375,892	b
			1,800,001-1,818,031			
			1,900,001-1,971,696			
			2,000,001-2,068,374			
			2,100,001-2,180,117			
			2,200,001-2,265,372			
			2,300,001-2,366,094			
			2,400,001-2,463,067			
			2,500,001-2,559,893			
			2,600,001-2,660,544			
			2,700,001-2,759,806			
			2,800,001-2,857,725			
2,900,001-2,953,938						
3,000,001-3,050,560						
3,100,001-3,152,146						
3,200,001-3,224,778						
3,300,001-3,347,748						
3,400,001-3,447,910						
3,500,001-3,546,424						
3,600,001-3,643,493						
3,700,001-3,741,848						
3,800,001-3,841,745						
3,900,001-3,943,579						
4,000,001-4,042,594						
4,100,001-4,143,265						
4,200,001-4,244,637						
4,300,001-4,345,133						
4,400,001-4,447,632						
		(Application number is used as publication number. The numbers are not consecutive.)				
GERMANY	B	<i>Auslegeschriften</i> (Examined Patent Applications)	1,000,001-1,303,280	1957-1968	222,000	b
			1,400,001-1,799,038	1968-1982	280,000	b
			1,800,001-3,038,914	1968-1988	290,917	b
GERMANY	C	Patents and Patents of Addition	800,001-980,132	1948-1957	177,910	b
			1,000,001-1,303,280	1957-1968	50,000	b
			1,400,001-1,798,402	1968-1979	140,000	b
			1,800,001-4,495,617	1968-1996	598,137	b





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ISSUING OFFICE OR ORGANIZATION	ST.16 CODE	KIND OF PATENT DOCUMENT	NUMBER RANGE	PUBLICATION YEAR(S)	NUMBER OF DOCUMENTS ACTUALLY PUBLISHED	TYPE OF SERIES
GERMANY (cont'd)	A	DD-A documents <sup>2</sup>	DD 283,026-302,032	1990-1996	19,007	a
	B, C	DD-B, DD-C documents <sup>3</sup>	Publication number of DD-A documents is used again	1990-1996	3,497	b
INTERNATIONAL BUREAU OF WIPO	A	International Publications under PCT Art. 21(i)	78/00001-78/00,019	1978	19	a, c
			79/00001-79/01,170	1979	1,168	a, c
			80/00001-80/02,902	1980	2,897	a, c
			81/00001-81/03,734	1981	3,726	a, c
			82/00001-82/04,519	1982	4,499	a, c
			83/00001-83/04,466	1983	4,454	a, c
			84/00001-84/05,012	1984	4,996	a, c
			85/00001-85/05,758	1985	5,747	a, c
			86/00001-86/07,663	1986	7,643	a, c
			87/00001-87/07,998	1987	7,978	a, c
			88/00001-88/10,550	1988	10,516	a, c
			89/00001-89/12,951	1989	12,920	a, c
			90/00001-90/16,143	1990	16,102	a, c
			91/00001-91/20,179	1991	20,143	a, c
			92/00001-92/22,998	1992	22,971	a, c
			93/00001-93/26,148	1993	26,090	a, c
			94/00001-94/30,035	1994	30,007	a, c
			95/00001-95/35,648	1995	35,635	a, c
			96/00001-96/42,189	1996	35,635	a, c
			97/00001-97/50,286	1997	50,325	a, c
98/00001-98/59,531	1998	59,531	a, c			
99/00001-99/67,979	1999	67,979	a, c			
JAPAN	C1, C2	Tokkyo hatsumeimei meisaisho (Patent Specification)	35,166-45,728	1920-1923	10,563	a
			60,001-181,600	1924-1950	121,600	a
			181,601-216,017	1956	34,417	a
	B1, B2	Tokkyo kôhô (Published Examined Patent Application)	11/1-11/840	1922	2,113,154	a
			12/50,000-12/52,180	1923		
			13/1-13/2,840	1924		
			14/2,841-14/7,390	1925		
			15/7,391-15/11,310	1926		
			2/1-2/5,215	1927		
			3/1-3/5,145	1928		
			4/1-4/5,320	1929		
			5/1-5/5,180	1930		
			6/1-6/4,900	1931		
			7/1-7/5,705	1932		
			8/1-8/5,460	1933		

<sup>2</sup> Patents and non-examined patent applications based upon applications filed with the Patent Office of the former German Democratic Republic but published after the accession of the German Democratic Republic to the Federal Republic of Germany.

<sup>3</sup> Second and third publications of patents which had been granted for the first time by the Patent Office of the former German Democratic Republic (DD-A publications), republished after the accession of the German Democratic Republic to the Federal Republic of Germany.



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ISSUING OFFICE OR ORGANIZATION	ST.16 CODE	KIND OF PATENT DOCUMENT	NUMBER RANGE	PUBLICATION YEAR(S)	NUMBER OF DOCUMENTS ACTUALLY PUBLISHED	TYPE OF SERIES
			9/1-9/4,970	1934		
JAPAN (cont'd)	B1, B2	Tokkyo kôhô (Published Examined Patent Application) (cont'd)	10/1-10/5,460 11/1-11/4,970 12/1-12/5,005 13/1-13/5,495 14/1-14/6,580 15/1-15/7,540 16/1-16/7,500 17/1-17/6,300 18/1-18/5,900 No publication No publication No publication 22/1-22/2,100 23/1-23/3,500 24/1-24/4,950 25/1-25/4,600 26/1-26/7,850 27/1-27/5,450 28/1-28/6,700 29/1-29/8,700 30/1-30/9,550 31/1-31/10,950 32/1-32/10,900 33/1-33/10,800 34/1-34/11,050 35/1-35/18,750 36/1-36/24,250 37/1-37/19,000 38/1-38/26,950 39/1-39/30,380 40/1-40/29,240 41/1-41/22,400 42/1-42/27,680 43/1-43/30,480 44/1-44/32,800 45/1-45/41,640 46/1-46/44,000 47/1-47/52,000 48/1-48/45,000 49/1-49/49,600 50/1-50/41,000 51/1-51/49,600 52/1-52/50,800 53/1-53/48,240 54/1-54/44,800 55/1-55/51,880 56/1-56/54,680 57/1-57/62,040 58/1-58/58,920 59/1-59/54,040	1935 1936 1937 1938 1939 1940 1941 1942 1943 1944 1945 1946 1947 1948 1949 1950 1951 1952 1953 1954 1955 1956 1957 1958 1959 1960 1961 1962 1963 1964 1965 1966 1967 1968 1969 1970 1971 1972 1973 1974 1975 1976 1977 1978 1979 1980 1981 1982 1983 1984		



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ISSUING OFFICE OR ORGANIZATION	ST.16 CODE	KIND OF PATENT DOCUMENT	NUMBER RANGE	PUBLICATION YEAR(S)	NUMBER OF DOCUMENTS ACTUALLY PUBLISHED	TYPE OF SERIES
JAPAN (cont'd)	B1, B2	Tokkyo kôhô (Published Examined Patent Application) (cont'd)	60/1-60/60,080	1985	5,952,048	a
			61/1-61/62,000	1986		
			62/1-62/62,480	1987		
			63/1-63/67,880	1988		
			64/1-64/600	1989		
			1/601-1/61,280	1989		
			2/1-2/63,320	1990		
			3/1-3/81,400	1991		
			4/1-4/82,200	1992		
			5/1-5/88,920	1993		
			6/1-6/106,040	1994		
			7/1-7/123,360	1995		
			8/1-8/26,720	1996		
			2,500,001-2,568,300	1996		
			A	Kôkai Tokkyo kôhô (Published Unexamined Patent Application)		
	47/1-47/46,300	1972				
	48/1-48/104,600	1973				
	49/1-49/136,000	1974				
	50/1-50/161,700	1975				
	51/1-51/152,000	1976				
	52/1-52/157,000	1977				
	53/1-53/150,000	1978				
	54/1-54/164,400	1979				
	55/1-55/167,300	1980				
	56/1-56/170,000	1981				
	57/1-57/212,900	1982				
	58/1-58/225,800	1983				
	59/1-59/233,100	1984				
	60/1-60/264,400	1985				
	61/1-61/297,000	1986				
	62/1-62/300,000	1987				
	63/1-63/319,300	1988				
	64/1-64/3,200	1989				
1/3,201-1/322,100	1989					
2/1-2/312,600	1990					
3/1-3/297,800	1991					
4/1-4/373,400	1992					
5/1-5/347,800	1993					
6/1-6/351,300	1994					
7/1-7/337,100	1995					
8/1-8/340,700	1996					



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ISSUING OFFICE OR ORGANIZATION	ST.16 CODE	KIND OF PATENT DOCUMENT	NUMBER RANGE	PUBLICATION YEAR(S)	NUMBER OF DOCUMENTS ACTUALLY PUBLISHED	TYPE OF SERIES
RUSSIAN FEDERATION	A	Published Patent Applications	3042738-5068566 (old numbering system)	1993 <sup>4</sup> -1996	255	b
	A, A1	Published Patent Applications	92000004-96113450 (new annual numbering system)	1993-1996	60,034	b
	C1, C2	Patents for Inventions	2000001-2005332 2005333-2025913 2025914-2051546 2051547-2071224	1993	5,332	a
				1994	20,581	a
			1995	25,633	a	
			1996	19,678	a	
SOVIET UNION (FORMER)	A, A1 to A4	Inventor's Certificates and Patents	1-1,839,786	1924-1993 <sup>5</sup>	1,449,837	b
SWITZERLAND		Published Examined Applications for Textiles and Horology	20,576/55-678,999 G	1962-1991	9,290	b, c
		Patents, including Patents of Addition	71,331-83,751	1920-1921	499	b, c
			83,752-679,196	1920-1991	594,522	a, c
UNITED KINGDOM	A	Granted Patents	105,769-135,820 136,852-1,605,411	1920-1996	87 1,468,558	b a
	A	Published Patent Applications	2,000,001-2,302,004	1979-1996	302,004	a
	B	Granted Patents	2,000,001-2,299,255	1979-1996	215,327	b
UNITED STATES OF AMERICA	A	Patents	1,326,899-5,590,419	1920-1996	4,253,534	a, c
	E	Reissued patents	RE14,785-RE35,417	1920-1996	20,516	a, c
	H	Statutory Invention Registrations	H1-H1,622	1985-1996	1,611	a, c

[End of Inventory of Patent Documents]

<sup>4</sup> Publications of patent documents under the new Patent Law of the Russian Federation of October 14, 1992, began in 1993.

<sup>5</sup> Publications of SU patent documents continued up to 1993.