

**International Applications Containing a Sequence Listing  
PCT-SAFE Request (July 2009)  
Box No. IX and the Annex (Fee Calculation Sheet)**

A Sequence Listing (SL) forming part of an international application (IA) may be filed in electronic form via EFS-Web or on paper, as part of an IA filed in paper.

EFS-Web provides for the filing of a SL forming part of the IA, either a.) in Annex C/ST.25 text format only, which is highly recommended and financially preferable, since no fees are assessed for this SL, or b.) in PDF format, for which fees are assessed for each sheet, accompanied by an Annex C/ST.25 text format of the SL for search under PCT Rule 13*ter*.

For IAs filed on paper, the SL forming part of the IA must be filed on paper, for which fees are assessed for each sheet, accompanied by an Annex C/ST.25 text format of the SL for search under PCT Rule 13*ter*.

If the SL text file is larger than 100 MB, the SL cannot be filed via EFS-Web; however, the SL can be submitted in Annex C/ST.25 text format on a CD via Express Mail or hand-carry on the same day the remainder of the application is filed via EFS-Web. No page fees are assessed for a SL filed in this manner.

Instructions are provided for filling out the Request (PCT-SAFE) as well as examples of the resulting Fee Calculation Sheet for IAs filed using the following scenarios (“S” designates “SAFE”):

**PREFERRED**

**S1. EFS-Web - Annex C/ST.25 text format SL *only* (SL <100 MB)**

- S1.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings
- S1.B. Completed Box IX of the Request (PCT-SAFE) (July 2009)
- S1.C. Completed Fee Calculation Sheet (PCT-SAFE) (Annex) (July 2009)

**OTHER ALTERNATIVES**

**S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)**

- S2.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings
- S2.B. Completed Box IX of the Request (PCT-SAFE) (July 2009)
- S2.C. Completed Fee Calculation Sheet (PCT-SAFE) (Annex) (July 2009)

**S3. PAPER SL + Annex C/ST.25 text format SL for search on CD**

- S3.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings
- S3.B. Completed Box IX of the Request (PCT-SAFE) (July 2009)
- S3.C. Completed Fee Calculation Sheet (PCT-SAFE) (Annex) (July 2009)

**S4. EFS-Web - Annex C/ST.25 text format SL *only* on CD (SL >100 MB)**

- S4.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings
- S4.B. Completed Box IX of the Request (PCT-SAFE) (July 2009)
- S4.C. Completed Fee Calculation Sheet (PCT-SAFE) (Annex) (July 2009)

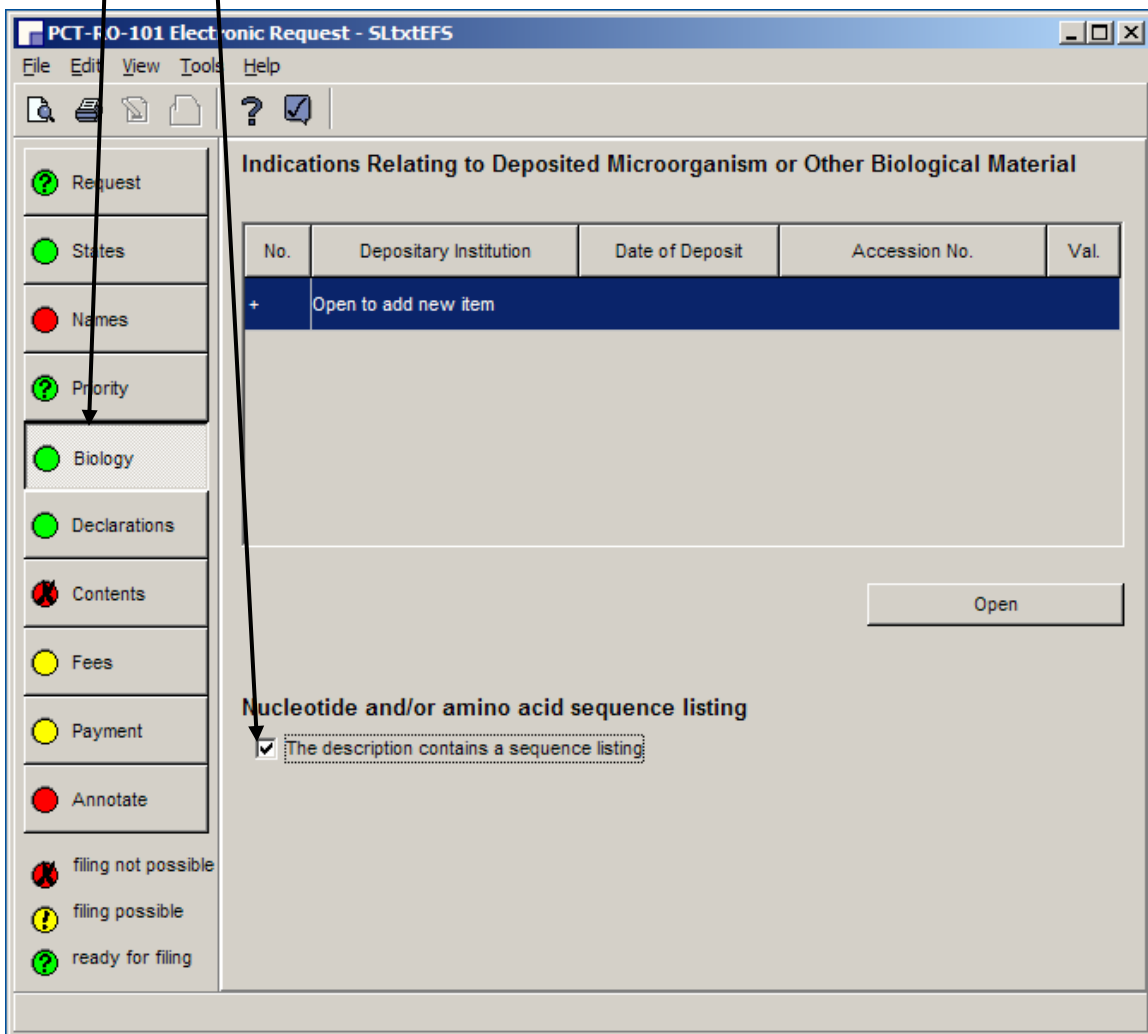
**S1. EFS-Web with Annex C/ST.25 text format SL *only* (SL <100 MB)**

**S1.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings**

1. To add a line item in the Contents for the Sequence Listing part of the description,

a. Click “Biology”

b. Check the box indicating “The description contains a sequence listing.”



## S1. EFS-Web with Annex C/ST.25 text format SL *only* (SL <100 MB)

### S1.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

2. To enter data into the Contents,

a. Click "Contents"

b. Double click on "Sequence listing part of description"

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)				✓
Description (excluding sequence listing ...)				✗
Claims				✗
Abstract				⚠
Drawings				?
Sequence listing part of description				✗

International Application      Accompanying Items

In total:  documents  files

Items under this tab form part of the IA

Items under this tab are not part of the IA

**S1. EFS-Web with Annex C/ST.25 text format SL *only* (SL <100 MB)**

**S1.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings**

3. In the “Content Details” for “Sequence listing part of the description”

Click “Electronic file is submitted in ST.25/text format”

The screenshot shows the 'Content Details' dialog box with the following elements:

- Left Sidebar:** A list of document components including 'Request (including declaration sheets)', 'Description (excluding sequence listing part)', 'Claims', 'Abstract', 'Drawings', 'Sequence listing part of description' (highlighted), 'fee calculation sheet', 'PCT-EASY physical medium', and 'sequence listing submitted for international search only'.
- Main Area - Paper document:** Radio buttons for 'is not enclosed' and 'is enclosed'.
- Main Area - Electronic file:** Radio buttons for 'is submitted in ST25/text format' (selected), 'will be filed separately in ST.25/text format on physical data carrier(s) on the same day', and 'is submitted in pdf format'.
- Input Fields:** A dropdown for 'type of carrier' and a text box for 'number' are associated with the 'will be filed separately...' option. Another text box for 'pages' is associated with the 'is submitted in pdf format' option.
- Buttons:** 'OK' and 'Cancel' buttons are at the bottom right.

## S1. EFS-Web with Annex C/ST.25 text format SL *only* (SL <100 MB)

### S1.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

#### 4. In the “Accompanying Items” tab,

It is not necessary to indicate an electronic file for “sequence listing submitted for international search,” since the text file provided as part of the international application will be used for search; therefore, no statement of identity is needed. (The light remains yellow, but filing is possible.)

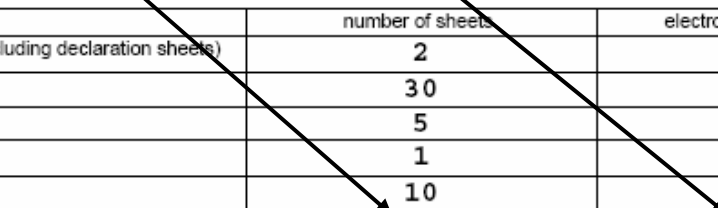
The screenshot shows the 'PCT-SAFE' software interface. The title bar reads 'PCT-RO-01 Electronic Request - SLbtEFS'. The menu bar includes 'File', 'Edit', 'View', 'Tools', and 'Help'. The sidebar on the left contains various request categories: Request (green), States (green), Names (red), Priority (green), Biology (green), Declarations (green), Contents (yellow), Fees (yellow), Payment (yellow), Annotate (red), filing not possible (red), filing possible (yellow), and ready for filing (green). The main area displays the 'Accompanying Items' tab. At the top, it shows 'Type of filing: PCT-EASY' and 'EFS-Web' checked. Below this is a table with columns: Document, Details, Pages, Electronic File, and Val. The table contains three rows: 'fee calculation sheet' (1 page, green Val.), 'PCT-EASY physical medium' (checked Electronic File, green Val.), and 'sequence listing submitted for internation...' (yellow Val.). An 'Open' button is located below the table. At the bottom, the summary shows 'In total: 7 documents, 1 files'.

Document	Details	Pages	Electronic File	Val.
fee calculation sheet		1		Green
PCT-EASY physical medium			<input checked="" type="checkbox"/>	Green
sequence listing submitted for internation...				Yellow

**S1. EFS-Web with Annex C/ST.25 text format SL *only* (SL <100 MB)**

**S1.B. Completed Box IX of the Request (PCT-SAFE) (July 2009)**

The filled-in form will indicate the parts of the application, including no sheets of Sequence Listing, but will indicate an electronic file attached.



<b>IX</b>	<b>Check list</b>	<b>number of sheets</b>	<b>electronic file(s) attached</b>
IX-1	Request (including declaration sheets)	2	✓
IX-2	Description	30	-
IX-3	Claims	5	-
IX-4	Abstract	1	✓
IX-5	Drawings	10	-
IX-6	Sequence listing part of the description	-	✓
IX-7	TOTAL	48	
	<b>Accompanying Items</b>	<b>paper document(s) attached</b>	<b>electronic file(s) attached</b>
IX-8	Fee calculation sheet	✓	-
IX-18	PCT-SAFE physical media	-	✓
IX-20	Figure of the drawings which should accompany the abstract	<b>Fig. No. 1</b>	
IX-21	Language of filing of the international application	<b>English</b>	

**S1. EFS-Web - Annex C/ST.25 text format SL *only* (SL <100 MB)**

**S1.C. Completed Fee Calculation Sheet (PCT-SAFE) (Annex) (July 2009)**

**July 1, 2009 Fees**

International filing fee (first 30 sheets).....\$1006 (\$1184 - \$178 for PCT-SAFE and electronic filing via EFS-Web))

Each sheet in excess of 30.....\$13

SL in Annex C/ST.25 text format.....No fee

12	Calculation of prescribed fees	fee amount/multiplier	Total amounts (USD)
12-1	Transmittal fee T	⇒	240
12-2-1	Search fee S	⇒	2080
12-2-2	International search to be carried out by US		
12-3	International filing fee (first 30 sheets) i1	1184	
12-4	Remaining sheets	18	
12-5	Additional amount (X) 13		
12-6	Total additional amount i2	234	
12-7	i1 + i2 = i	1418	
12-12	Electronic Filing reduction (Image) R	-178	
12-13	Total International filing fee (i-R) I	⇒	1240
12-14	Fee for priority document		
	Number of priority documents requested	0	
12-15	Fee per document (X) 0		
12-16	Total priority document fee: P	⇒	
12-17	Fee for restoration of priority rights RP		
	Number of requests for restoration of priority rights	0	
	Total amount of fees for restoration of priority rights		
12-19	<b>TOTAL FEES PAYABLE (T+S+I+P+RP)</b>	⇒	<b>3560</b>

## S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

### S2.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

1. To add a line item in the Contents for the Sequence Listing part of the description,

a. Click "Biology"

b. Check the box indicating "The description contains a sequence listing."

PCT-RO-101 Electronic Request - SLtxtEFS

File Edit View Tools Help

Request  
States  
Names  
Priority  
**Biology**  
Declarations  
Contents  
Fees  
Payment  
Annotate  
filing not possible  
filing possible  
ready for filing

Indications Relating to Deposited Microorganism or Other Biological Material

No.	Depository Institution	Date of Deposit	Accession No.	Val.
+ Open to add new item				

Open

Nucleotide and/or amino acid sequence listing

The description contains a sequence listing



## S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

### S2.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

2. To enter data into the Contents,

a. Click "Contents"

b. Double click on "Sequence listing part of description"

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)				✓
Description (excluding sequence listing ...)				✗
Claims				✗
Abstract				●
Drawings				?
Sequence listing part of description				✗

International Application      Accompanying Items

In total: 2 documents      0 files

Items under this tab form part of the IA

Items under this tab are not part of the IA

## S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

### S2.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

#### 3. In the “Content Details” for “Sequence listing part of the description”

- a. Click “is submitted in pdf format”
- b. Enter the number of pages

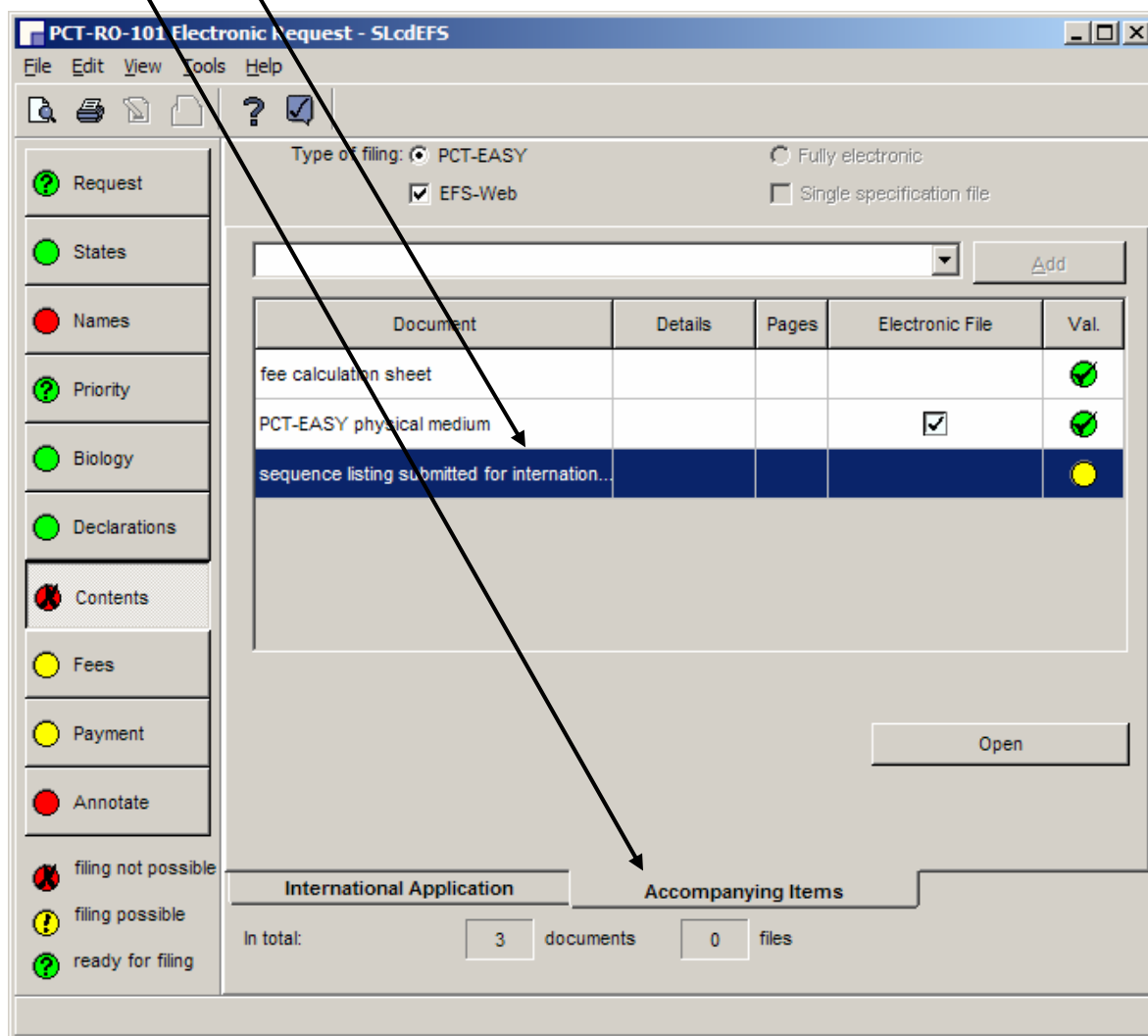
The screenshot shows the 'Content Details' dialog box. The left sidebar has the following items: Request (including declaration sheets), Description (excluding sequence listing part), Claims, Abstract, Drawings, Sequence listing part of description (highlighted), fee calculation sheet, PCT-EASY physical medium, and sequence listing submitted for international search only. The main area is divided into 'Paper document' and 'Electronic file' sections. Under 'Paper document', there are radio buttons for 'is not enclosed' and 'is enclosed'. Under 'Electronic file', there are radio buttons for 'is submitted in ST25 text format', 'will be filed separately in ST.25 text format on physical data carrier(s) on the same day', and 'is submitted in pdf format'. The 'is submitted in pdf format' radio button is selected. Below this, there is a field for 'type of carrier' (a dropdown menu) and a 'number' field. Below that, there is a label 'Type and number of carriers on which the sequence listing part is contained'. At the bottom of this section, there is a radio button for 'is submitted in pdf format' which is selected, followed by the text 'with' and a text box containing '250', and then the word 'pages'. At the bottom right of the dialog box are 'OK' and 'Cancel' buttons.

## S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

### S2.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

4. In the “Accompanying Items” tab,

Double click on “sequence listing submitted for international search”



## S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

### S2.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

#### 5. In the “Content Details” for “Sequence listing submitted for international search”

a. Click “submitted for the purposes of international search only (and not as part of the international application)”

b. Select “other” in the pull-down menu for “type of carrier”  
(itemizes the accompanying Annex C/ST.25 text file that is uploaded via EFS-Web)

c. Enter “1” for “number”

Content Details

Request (including declaration sheets)  
Description (excluding sequence listing part)  
Claims  
Abstract  
Drawings  
Sequence listing part of description  
fee calculation sheet  
PCT-EASY physical medium  
sequence listing submitted for international search only

Electronic file

is not enclosed  
 submitted for the purposes of international search only (and not as part of the international application)

type of carrier <other> number 1

OK Cancel

## S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

### S2.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

6. In the “Accompanying Items” tab, in the pull-down menu,
  - a. Select “statement as to identity of copy/copies with the SL part of the description”
  - b. Click “Add”

The screenshot shows the 'PCT-SAFE' software interface. The title bar reads 'PCT-RO-101 Electronic Request - SLpdfEFS'. The menu bar includes 'File', 'Edit', 'View', 'Tools', and 'Help'. The toolbar contains icons for search, print, save, and help. The main window is divided into a left sidebar with navigation buttons (Request, States, Names, Priority, Biology, Declarations, Contents, Fees, Payment, Annotate, filing not possible, filing possible, ready for filing) and a main content area. The main content area has a 'Type of filing' section with radio buttons for 'PCT-EASY' (selected) and 'Fully electronic', and checkboxes for 'EFS-Web' (checked) and 'Single specification file'. Below this is a pull-down menu with the selected text 'statement as to identity of copy/copies with the sequence listing part of the desc...' and an 'Add' button. A table with columns 'Document', 'Details', 'Pages', 'Electronic File', and 'Val.' contains the following data:

Document	Details	Pages	Electronic File	Val.
fee calculation sheet		1		✓
PCT-EASY physical medium			<input checked="" type="checkbox"/>	✓
sequence listing submitted for internation...		1 <other>		✓

At the bottom right, there is an 'Open' button. The bottom of the window shows two tabs: 'International Application' and 'Accompanying Items' (selected). Below the tabs, a summary line reads 'In total: 7 documents 1 files'.

## S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

### S2.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

7. In the “Accompanying Items” tab,

Double click on “statement as to identity of copy/copies...”

Type of filing:  PCT-EASY  Fully electronic  
 EFS-Web  Single specification file

Document	Details	Pages	Electronic File	Val.
fee calculation sheet		1		✓
PCT-EASY physical medium			<input checked="" type="checkbox"/>	✓
sequence listing submitted for internation...			1 <other>	✓
statement as to identity of copy/copies ...				●

Open

International Application      Accompanying Items

In total: 7 documents 1 files

## S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

### S2.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

8. In the “Content Details” for the “statement as to identity of copy/copies...”

Click “Paper document is enclosed”  
(itemizes the PDF file of the accompanying statement that is uploaded via EFS-Web)

The screenshot shows a window titled "Content Details" with a close button (X) in the top right corner. Below the title bar are icons for a checkmark, a question mark, a printer, and a document. A list on the left side of the window contains the following items: "Request (including declaration sheets)", "Description (excluding sequence listing part)", "Claims", "Abstract", "Drawings", "Sequence listing part of description", "fee calculation sheet", "PCT-EASY physical medium", "sequence listing submitted for international search only", and "statement as to identity of copy/copies with the seque...". The last item is highlighted. To the right of the list, there are two sections: "Paper document" and "Electronic file". Under "Paper document", there are two radio buttons: "is not enclosed" (unselected) and "is enclosed" (selected). Under "Electronic file", there are two radio buttons: "is not enclosed" (selected) and "is enclosed" (unselected). At the bottom right of the window are "OK" and "Cancel" buttons. An arrow from the text above points to the "is enclosed" radio button under "Paper document".

**S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)**

**S2.B. Completed Box IX of the Request (PCT-SAFE) (July 2009)**

The filled-in form will indicate the parts of the application including  
The number of sheets of Sequence Listing

IX	Check list	number of sheets	electronic file(s) attached
IX-1	Request (including declaration sheets)	4	✓
IX-2	Description (excluding sequence listing part)	30	-
IX-3	Claims	5	-
IX-4	Abstract	1	✓
IX-5	Drawings	10	-
IX-7a	Sub-total number of sheets	50	
IX-6	Sequence listing part of the description	250	✓
IX-7	TOTAL	300	
	<b>Accompanying Items</b>	paper document(s) attached	electronic file(s) attached
IX-8	Fee calculation sheet	✓	-
IX-16	Sequence listing in electronic form (Annex C/ST.25 text file) furnished only for the purposes of international search under Rule 13ter	-	1 other
IX-18	PCT-SAFE physical media	-	✓
IX-19	other	statement as to identity of copy/copies with the sequence listing part of the description	
IX-20	Figure of the drawings which should accompany the abstract		
IX-21	Language of filing of the international application	English	

The filled-in form will also indicate the accompanying items including  
The statement and the Annex C/ST.25 text file



**S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)**

**S2.C. Completed Fee Calculation Sheet (PCT-SAFE) (Annex) (July 2009)**

**July 1, 2009 Fees**

International filing fee (first 30 sheets).....\$1006 (\$1184 - \$178 for PCT-SAFE and electronic filing via EFS-Web)

Each sheet in excess of 30, including SL in PDF format.....\$13

0	For receiving Office use only		
0-1	International Application No.		
0-2	Date stamp of the receiving Office		
0-4	Form PCT/RO/101 (Annex)		
0-4-1	PCT Fee Calculation Sheet Prepared Using	PCT-SAFE [EASY mode] Version 3.51.041.217 MT/FOP 20090701/0.20.5.17	
0-9	Applicant's or agent's file reference	SLpdfEFS	
2	Applicant		
12	Calculation of prescribed fees	fee amount/multiplier	Total amounts (USD)
12-1	Transmittal fee T	↔	240
12-2-1	Search fee S	↔	2080
12-2-2	International search to be carried out by	US	
12-3	International filing fee (first 30 sheets) i1	1184	
12-4	Remaining sheets	270	
12-5	Additional amount (X)	13	
12-6	Total additional amount i2	3510	
12-7	i1 + i2 = i	4694	
12-12	Electronic Filing reduction (Image) R	-178	
12-13	Total International filing fee (i-R) I	↔	4516
12-14	Fee for priority document		
	Number of priority documents requested	0	
12-15	Fee per document (X)	0	
12-16	Total priority document fee: P	↔	
12-17	Fee for restoration of priority rights RP		
	Number of requests for restoration of priority rights	0	
	Total amount of fees for restoration of priority rights		
12-19	TOTAL FEES PAYABLE (T+S+I+P+RP)	↔	6836

### S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

#### S3.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

1. To add a line item in the Contents for the Sequence Listing part of the description,

a. Click “Biology”

b. Check the box indicating “The description contains a sequence listing.”

**Indications Relating to Deposited Microorganism or Other Biological Material**

No.	Depository Institution	Date of Deposit	Accession No.	Val.
+ Open to add new item				

**Nucleotide and/or amino acid sequence listing**  
 The description contains a sequence listing:

### S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

#### S3.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

2. To enter data into the Contents,

a. Click "Contents"

b. Double click on "Sequence listing part of description"

Items under this tab form part of the IA

Items under this tab are not part of the IA

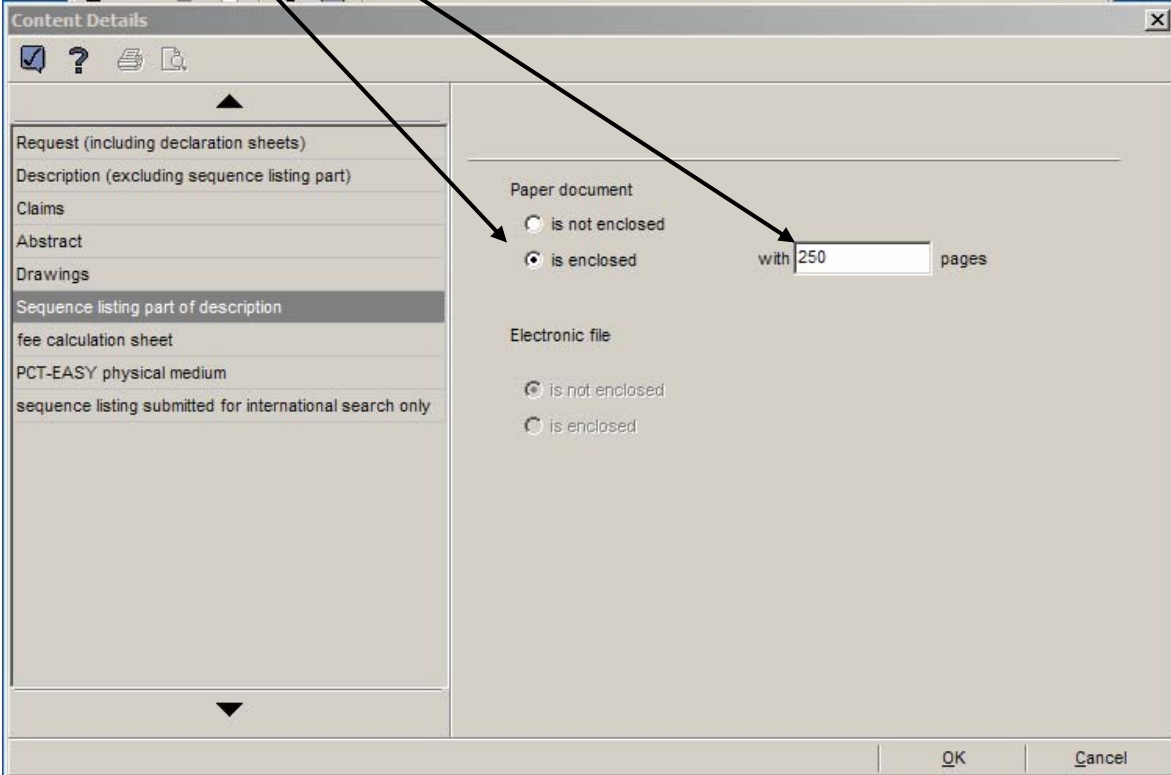
### S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

#### S3.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

3. In the “Content Details” for “Sequence listing part of the description”

a. Click “Paper document is enclosed”

b. Enter the number of pages



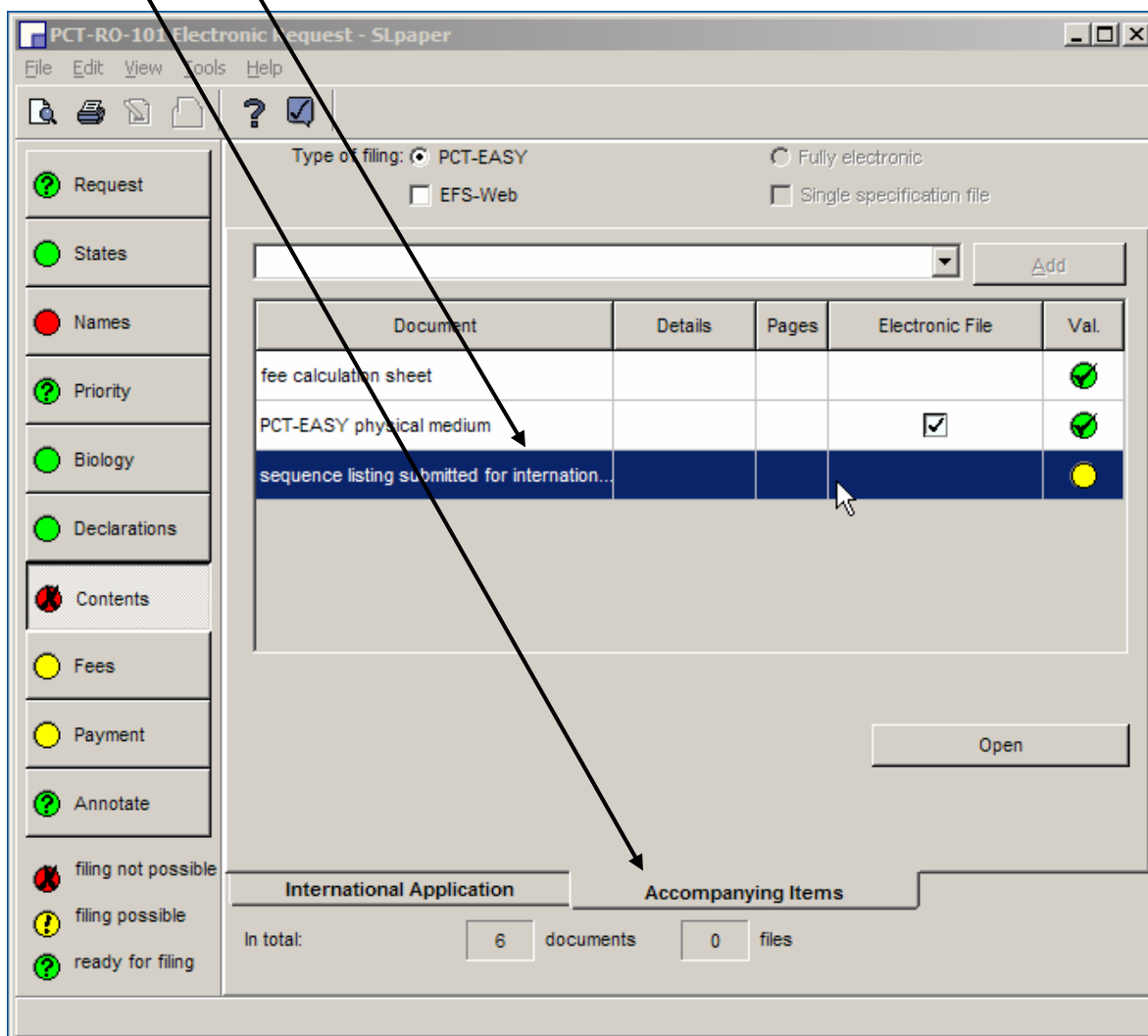
The screenshot shows a dialog box titled "Content Details" with a sidebar on the left and a main content area on the right. The sidebar contains a list of categories: "Request (including declaration sheets)", "Description (excluding sequence listing part)", "Claims", "Abstract", "Drawings", "Sequence listing part of description" (which is highlighted), "fee calculation sheet", "PCT-EASY physical medium", and "sequence listing submitted for international search only". The main content area is divided into two sections: "Paper document" and "Electronic file". Under "Paper document", there are two radio buttons: "is not enclosed" (unselected) and "is enclosed" (selected). To the right of the "is enclosed" radio button is a text input field containing the number "250", followed by the word "pages". Under "Electronic file", there are two radio buttons: "is not enclosed" (selected) and "is enclosed" (unselected). At the bottom right of the dialog box are "OK" and "Cancel" buttons. Two black arrows point from the text instructions above to the "is enclosed" radio button and the "250" input field.

### S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

#### S3.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

4. In the “Accompanying Items” tab,

Double click on “sequence listing submitted for international search”



### S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

#### S3.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

5. In the “Content Details” for “Sequence listing submitted for international search”
  - a. Click “submitted for the purposes of international search only (and not as part of the international application)”
  - b. Select “CD” in the pull-down menu for “type of carrier”
  - c. Enter the number of CDs  
(Only one copy is needed and the CD(s) should be clearly labeled in accordance with Annex F, Appendix IV, 2(f))

The screenshot shows a window titled "Content Details" with a sidebar on the left containing a list of document types. The "sequence listing submitted for international search only" option is selected. The main area shows the "Electronic file" section with two radio buttons. The second radio button, labeled "submitted for the purposes of international search only (and not as part of the international application)", is selected. Below this, there is a "type of carrier" dropdown menu set to "CD" and a "number" text box containing the value "1". At the bottom right, there are "OK" and "Cancel" buttons.

### S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

#### S3.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

6. In the “Accompanying Items” tab, in the pull-down menu,
  - a. Select “statement as to identity of copy/copies with the SL part of the description”
  - b. Click “Add”

The screenshot shows the 'PCT-R0-101 Electronic Request - SLpaper' application window. The 'Accompanying Items' tab is selected. A pull-down menu is open, displaying the selected option: "statement as to identity of copy/copies with the sequence listing part of the desc". An "Add" button is located to the right of the menu. Below the menu is a table with the following data:

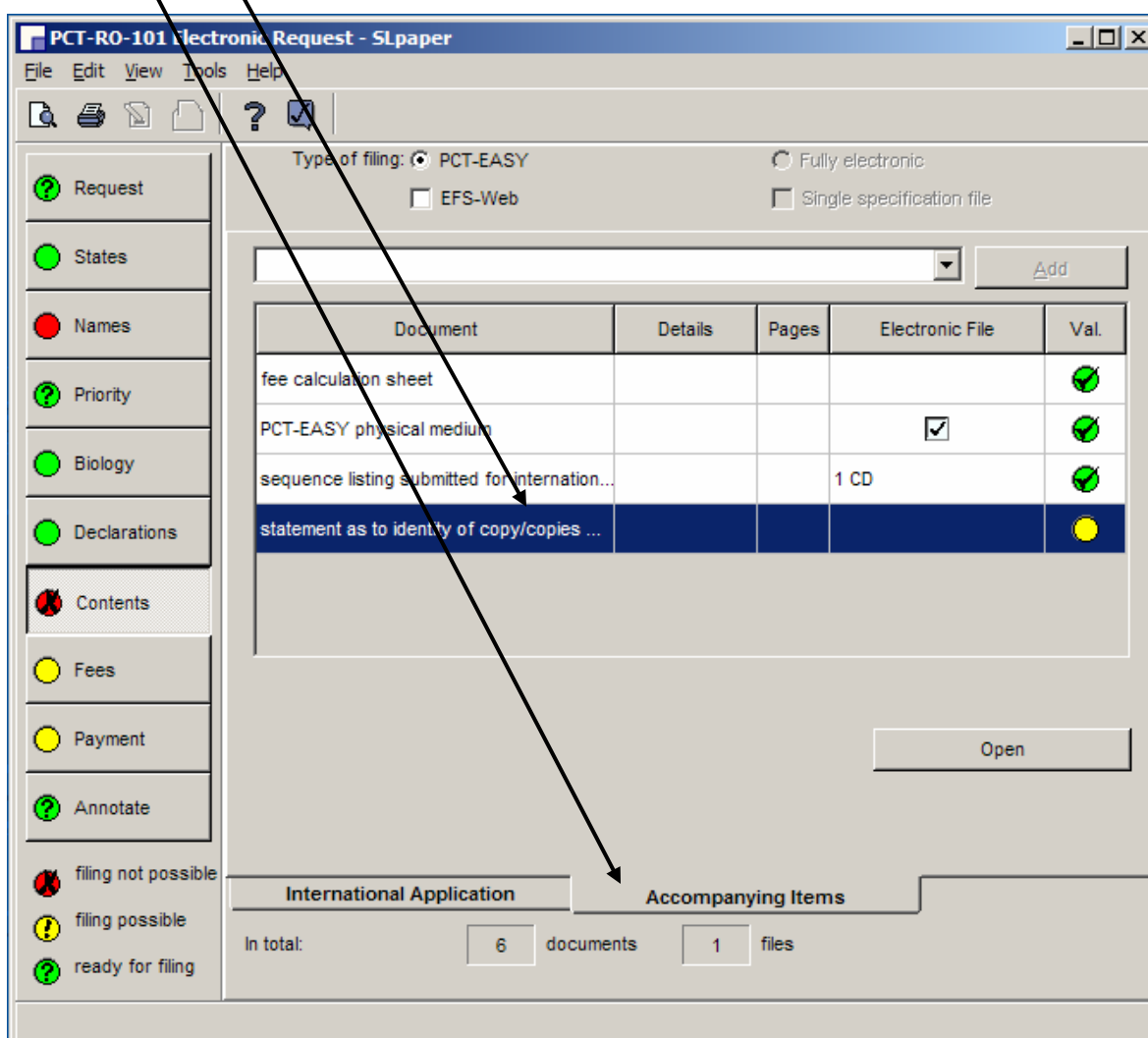
Document	Details	Pages	Electronic File	Val.
fee calculation sheet				✓
PCT-EASY physical medium			<input checked="" type="checkbox"/>	✓
sequence listing submitted for internation...		1 CD		✓

An "Open" button is located at the bottom right of the main window. At the bottom of the window, the status bar shows "In total: 6 documents 1 files".

### S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

#### S3.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

7. In the “Accompanying Items” tab,  
Double click on “statement as to identity of copy/copies...”



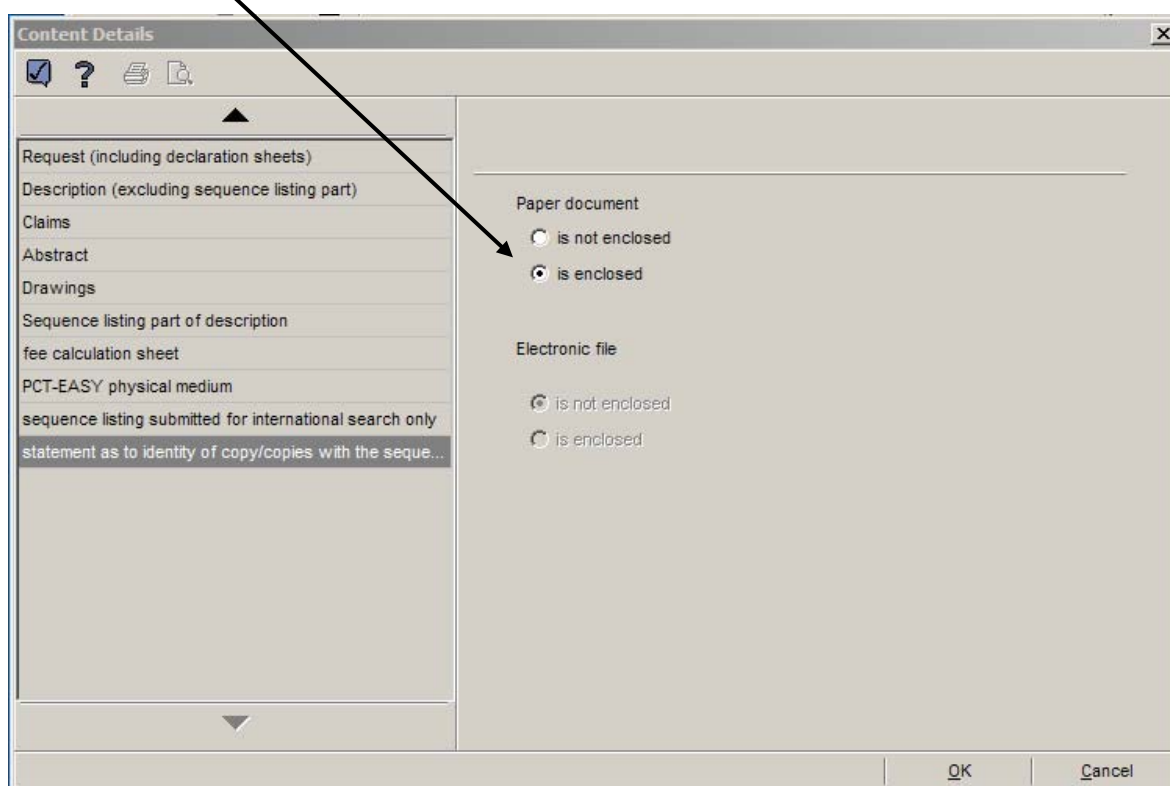


### S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

#### S3.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

8. In the “Content Details” for the “statement as to identity of copy/copies...”

Click “Paper document is enclosed”



### S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

#### S3.B. Completed Box IX of the Request (PCT-SAFE) (July 2009)

The filled-in form will indicate the parts of the application including  
The number of sheets of Sequence Listing,

IX	Check list	number of sheets	electronic file(s) attached
IX-1	Request (including declaration sheets)	4	✓
IX-2	Description (excluding sequence listing part)	30	-
IX-3	Claims	5	-
IX-4	Abstract	1	✓
IX-5	Drawings	0	-
IX-7a	Sub-total number of sheets	40	
IX-6	Sequence listing part of the description	250	✓
IX-7	TOTAL	290	
	<b>Accompanying Items</b>	paper document(s) attached	electronic file(s) attached
IX-8	Fee calculation sheet	✓	-
IX-16	Sequence listing in electronic form (Annex C/ST.25 text file) furnished only for the purposes of international search under Rule 13ter	-	1 CD
IX-18	PCT-SAFE physical media	-	✓
IX-19	other	statement as to identity of copy/ copies with the sequence listing part of the description	
IX-20	Figure of the drawings which should accompany the abstract		
IX-21	Language of filing of the international application	English	

The filled-in form will also indicate the accompanying items, including  
The statement and the SL text file on CD (The CD(s) should be clearly labeled in accordance with Annex F, Appendix IV, 2(f).)

**S3. PAPER SL + Annex C/ST.25 text format SL for search on CD**

**S3.C. Completed Fee Calculation Sheet (PCT-SAFE) (Annex) (July 2009)**

**July 1, 2009 Fees**

International filing fee (first 30 sheets).....\$1095 (\$1184 - \$89 for PCT-SAFE)

Each sheet in excess of 30, including  
SL in Annex C/ST.25 in paper.....\$13

0	For receiving Office use only		
0-1	International Application No.		
0-2	Date stamp of the receiving Office		
0-4	Form PCT/RO/101 (Annex) PCT Fee Calculation Sheet		
0-4-1	Prepared Using	PCT-SAFE [EASY mode] Version 3.51.041.217 MT/FOP 20090701/0.20.5.17	
0-9	Applicant's or agent's file reference	SLpaper	
2	Applicant		
12	Calculation of prescribed fees		
		fee amount/multiplier	Total amounts (USD)
12-1	Transmittal fee T	↔	240
12-2-1	Search fee S	↔	2080
12-2-2	International search to be carried out by	US	
12-3	International filing fee (first 30 sheets) i1	1184	
12-4	Remaining sheets	260	
12-5	Additional amount (X)	13	
12-6	Total additional amount i2	3380	
12-7	i1 + i2 = i	4564	
12-12	EASY Filing reduction R	-89	
12-13	Total International filing fee (i-R) I	↔	4475
12-14	Fee for priority document		
	Number of priority documents requested	0	
12-15	Fee per document (X)	0	
12-16	Total priority document fee: P	↔	
12-17	Fee for restoration of priority rights RP		
	Number of requests for restoration of priority rights	0	
	Total amount of fees for restoration of priority rights		
12-19	TOTAL FEES PAYABLE (T+S+i+P+RP)	↔	6795

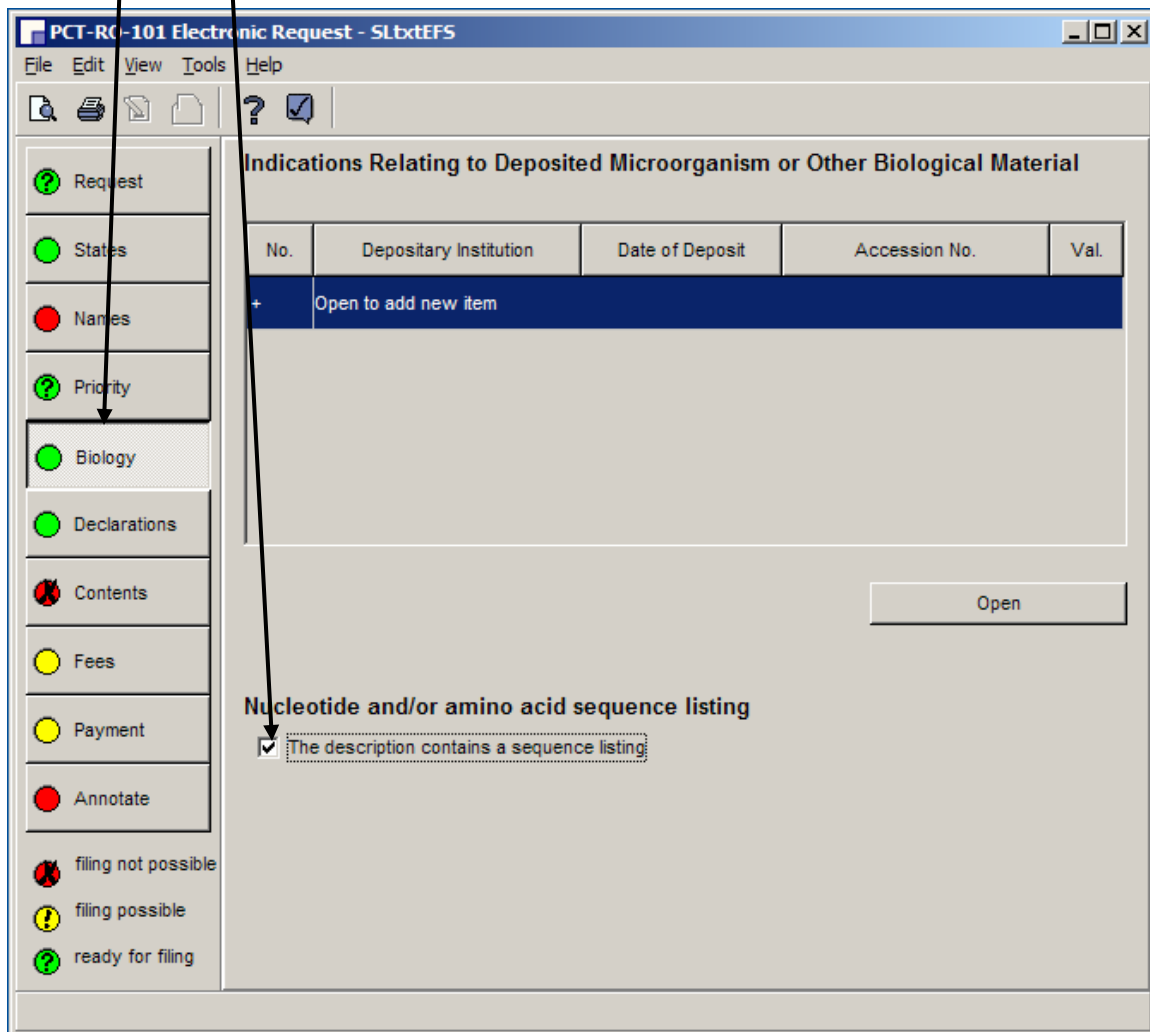
**S4. EFS-Web - Annex C/ST.25 text format SL *only* on CD (SL >100 MB)**

**S4.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings**

1. To add a line item in the Contents for the Sequence Listing part of the description,

a. Click "Biology"

b. Check the box indicating "The description contains a sequence listing."



## S4. EFS-Web - Annex C/ST.25 text format SL *only* on CD (SL >100 MB)

### S4.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

2. To enter data into the Contents,

Click "Contents"

Double click on "Sequence listing part of description"

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)				✓
Description (excluding sequence listing ...)				✗
Claims				✗
Abstract				●
Drawings				?
Sequence listing part of description				✗

total: [ ] pages

In total: [ 2 ] documents [ 0 ] files

Items under this tab form part of the IA

Items under this tab are not part of the IA

#### S4. EFS-Web - Annex C/ST.25 text format SL *only* on CD (SL >100 MB)

##### S4.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

3. In the “Content Details” for “Sequence listing part of the description”

a. Click “Electronic file is submitted in Annex C/ST.25 text format”

b. Click “will be filed separately in Annex C/ST.25 text format on physical data carrier(s) on the same day

The screenshot shows the 'Content Details' window. The sidebar on the left has 'Sequence listing part of description' selected. The main area shows the 'Electronic file' section with the option 'will be filed separately in ST.25/text format on physical data carrier(s) on the same day' selected. The 'type of carrier' dropdown is set to 'CD' and the 'number' field contains '1'. Arrows from the text above point to these specific elements in the interface.

c. Enter the number of CDs – only one copy is needed

d. Select “CD”<sup>1</sup> from the pull-down menu for “type of carrier”

<sup>1</sup> The CD(s) and an accompanying letter should clearly indicate that the CD(s) contain(s) a sequence listing forming part of the international application in Annex C/ST.25 text format, labeled in accordance with Annex F, Appendix IV, 2(f).

#### S4. EFS-Web - Annex C/ST.25 text format SL *only* on CD (SL >100 MB)

##### S4.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

#### 4. In the “Accompanying Items” tab,

It is not necessary to indicate an electronic file for “sequence listing submitted for international search,” since the text file on CD provided as part of the international application will be used for search; therefore, no statement of identity is needed. (The light remains yellow, but filing is possible.)

The screenshot displays the 'PCT-RO-101 Electronic Request - SLbtEFS' window. The 'Type of filing' is set to 'PCT-EASY' with 'EFS-Web' checked. The 'Electronic File' column in the table has a checkbox checked for 'PCT-EASY physical medium' and unchecked for 'sequence listing submitted for international search'. The status indicator for the sequence listing is a yellow circle. The bottom of the window shows 'International Application' and 'Accompanying Items' tabs, with a summary: 'In total: 7 documents 1 files'.

Document	Details	Pages	Electronic File	Val.
fee calculation sheet		1		🟢
PCT-EASY physical medium			<input checked="" type="checkbox"/>	🟢
sequence listing submitted for international search			<input type="checkbox"/>	🟡

**S4. EFS-Web - Annex C/ST.25 text format SL *only* on CD (SL >100 MB)**

**S4.B. Completed Box IX of the Request (PCT-SAFE) (July 2009)**

The filled-in form will indicate the parts of the application including no sheets of Sequence Listing, but will indicate 1 CD was filed separately on the same day

<b>IX</b>	<b>Check list</b>	<b>number of sheets</b>	<b>electronic file(s) attached</b>
IX-1	Request (including declaration sheets)	2	✓
IX-2	Description	30	-
IX-3	Claims	5	-
IX-4	Abstract	1	✓
IX-5	Drawings	10	-
IX-6	Sequence listing part of the description	-	1 CD
IX-7	TOTAL	48	
	<b>Accompanying Items</b>	<b>paper document(s) attached</b>	<b>electronic file(s) attached</b>
IX-8	Fee calculation sheet	✓	-
IX-18	PCT-SAFE physical media	-	✓
IX-20	Figure of the drawings which should accompany the abstract	1	
IX-21	Language of filing of the international application	<b>English</b>	



**S4. EFS-Web - Annex C/ST.25 text format SL *only* on CD (SL >100 MB)**

**S4.C. Completed Fee Calculation Sheet (PCT-SAFE) (July 2009)**

**July 1, 2009 Fees**

International filing fee (first 30 sheets).....\$1006 (\$1184 - \$178 for PCT-SAFE and electronic filing via EFS-Web))

Each sheet in excess of 30.....\$13

SL in Annex C/ST.25 text format.....No fee

12	Calculation of prescribed fees	fee amount/multiplier	Total amounts (USD)
12-1	Transmittal fee T	↕	240
12-2-1	Search fee S	↕	2080
12-2-2	International search to be carried out by	US	
12-3	International filing fee (first 30 sheets) i1	1184	
12-4	Remaining sheets	18	
12-5	Additional amount (X) 13		
12-6	Total additional amount i2	234	
12-7	i1 + i2 = i	1418	
12-12	Electronic Filing reduction (Image) R	-178	
12-13	Total International filing fee (i-R) I	↕	1240
12-14	Fee for priority document		
	Number of priority documents requested	0	
12-15	Fee per document (X) 0		
12-16	Total priority document fee: P	↕	
12-17	Fee for restoration of priority rights RP		
	Number of requests for restoration of priority rights	0	
	Total amount of fees for restoration of priority rights		
12-19	<b>TOTAL FEES PAYABLE (T+S+I+P+RP)</b>	↕	<b>3560</b>