



EPO Online Filing 2.0

Importing data into EPO Online Filing 2.0

XML rules and structures for data exchange with the EPO's Online Filing 2.0 system

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2 Introduction

2.1 Introduction

This document aims to provide a comprehensive guide on structuring XML files for seamless import into OLF2.0.

Understanding the correct XML structure is essential for ensuring data integrity and smooth operations with submissions imports.

OLF2.0 requires XML files to follow specific formatting rules to be processed correctly. This guide will cover the essential elements and attributes needed, common pitfalls to avoid, and best practices for creating XML files that meet the application's requirements.

By adhering to these guidelines, users can ensure that their data is accurately imported, helping better data management and more efficient workflows within OLF2.0.

2.2 How to use this document

Chapter [XML data exchange with patent management systems](#) explains briefly how to convert XML data and import them into OLF2.0.

Later chapters describe the specific XML data structure for all the currently supported submission forms, providing samples of standard OLF2.0 procedures applicable to each:

- [Form EP1001 – Request for grant of a European patent](#)
- [Form EP1200 – Entry into the European phase](#)
- [Form EP1038 – Subsequently filed documents](#)
- [Form EP2300 – EP opposition procedure](#)
- [Form EP7000 – Request for unitary effect](#)
- [Form EP7038 – Subsequently filed documents for Request for unitary effect](#)
- [Form EP3002 – EP appeal procedure](#)

3 XML data exchange with patent management systems

3.1 Converting data into XML for OLF2.0

Start your project with an in-depth analysis of the XML structure produced by your application. Then set up detailed rules on which data system must be mapped to which OLF2.0 data.

- Use the [XML element list](#) for OLF2.0 contained in the annex to this document.
- Note that important data is also stored in the attributes, so use the [XML attribute lists](#) also for the specific procedure.
- Insert a new column and enter the corresponding element (or attribute) names from your PMS in the table.
- Refer to the DTDs to define the structure of the XML documents. Note that each procedure uses different DTDs.
- The mandatory and optional XML and PDF files for each procedure are listed at the beginning of each section. These are the files you need to produce using your PMS data (except for those files marked as OLF system files).
- Rename your user-specific PDF attachments to the OLF2.0 standard file names. Note that all documents and drawings must be Annex F-compliant.
- Write and set up your own conversion tool to convert your PMS data into XML for OLF2.0.

3.2 Preparing the package for import

Each procedure in Online Filing 2.0 requires a specific set of XML and PDF files packed in a ZIP archive file. If you import single applications manually in OLF2.0, the files may also be prepared in a specific folder *. ZIP is the recommended possibility, however.

For example, Online Filing 2.0 expects the following XML files for an application in procedure EP1001:

XML file name	DTD	Description
package-data.xml	package-data.dtd	References attached documents, including those already referenced in application-body.xml file.
application-body.xml	ep-application-body-v1-7.dtd	(a)References attached documents as part of patent specification (technical documents or translations of technical documents into EPO language). (b)Contains complete text (or its translation into EPO language) of patent specification with referenced files for drawings.
ep-request.xml	ep-request-v1-16.dtd	Application data as entered in Form EP1001, references other attached documents.

In a standard EP1001 application, the technical documents and their translations may be attached as single or multiple PDF files. The pages are referenced in the **application-body.xml** file with a specific element for each section of the technical documents: **<description>**, **<claims>**, **<abstract>** and **<drawings>**. A **<doc-type>** child element contains more information on each section in the following attributes: **id**, **type**, **file**, **page count**. The **id** attribute and **file** attribute must match the EPO document codes and EPO system file names defined by the OLF2.0 system.

3.3 Importing XML into OLF2.0

You can use one of the following methods to import XML data into Online Filing 2.0:

1. Importing applications using the GUI of the OLF2.0 application
2. Importing applications using the corresponding endpoint of the OLF2.0 B2B API

Online Filing 2.0 allows you to import individual applications from a patent management system (PMS) or from the EPO's Online Filing software as .zip files. You can perform an import in both the production and demo environments of OLF2.0. Note that, to use the import function, you need appropriate procedural access rights in Online Filing 2.0, i.e. your user account rights should include the procedural form used in the application to be imported.

A .zip file must meet the same requirements in Online Filing 2.0 as it does in the EPO's Online Filing software, i.e.:

- It should be valid **.zip (archive)** file.
- It should contain:
 - .xml files containing data that is otherwise entered manually, usually accompanied by relevant documents.
 - a form supported by OLF2.0 supplied as an xml file
 - all the required*.xml files (please refer to section “*Structure of XML files for...*” specific to the form being filed, e.g.: [Form EP1001 - Structure of XML files for EP1001](#)).
- The zip archive must contain all necessary files directly in the root directory, not within an enclosing folder (i.e. do not zip a folder that contains all the files, select all files and add them to a zip archive)

Each *.xml file references a *.dtd file and must meet the validation requirements laid down in that *.dtd file.


Each form requires a separate set of*.xml files. If one or more of the optional files is present but fails the *.dtd validation, it will be ignored during the import. The names of the *.xml files are not important, as long as the *.dtd file referenced from the*.xml file matches a *.dtd file for the relevant procedure.

3.3.1 Importing package from the OLF2.0 GUI

Once you have ensured that your .zip file meets all the requirements, you can import it into Online Filing 2.0.

- Convert the XML data exported (from your system or create it from scratch) into XML data for OLF2.0.
- Prepare the package with all XML and PDF files to be imported (either a folder or a ZIP archive).
- On the OLF2.0 application, go to **Administration** in the navigation bar and select **Submissions Import**.
- Select the button **Import Submission**.
- Select **Drag and drop here the file you want to upload** or **Select a file**, as right.
- Select **Import**.

Online Filing 2.0 automatically detects the type of form that is imported. You can check the import status in the import overview.

 Note that the Online Filing 2.0 GUI only allows for importing submissions as drafts (which must be digitally signed at a later stage). When using the above method, OLF2.0 will automatically put the imported form into **Draft status**, even if the provided package is already signed.

3.3.2 Importing package using B2B import API

As an alternative to the manual procedures using the web interface, *Online Filing 2.0* provides a public REST API exposing operations for EPO users to import, export and manage their submissions.

Additionally, the B2B API also supports the importation of **signed** submission packages directly into “*Ready to send*” status, which is a functionality not supported in the OLF2.0 UI.

Please refer to the public *Swagger* page for OLF2.0's *B2B Service API*, which contains more details on how to request access and use the API, as well as the full list of all available endpoints and the request/response format for each of them. This page is currently available at:

- <https://api.apps.epo.org/documentation/swagger-ui/index.html?urls.primaryName=latest-olf20-prod>

4 Form EP1001 – Request for grant of a European patent

4.1 Structure of XML files for EP1001

The following three XML files are required for an EP1001 application to be imported:

File name	DTD	Description
package-data.xml	package-data.dtd	References attached documents, except those already referenced in application-body.xml file.
application-body.xml	ep-application-body-v1-7.dtd	(a)References attached documents as part of patent specification (technical documents or translations of technical documents into EPO language). (b)Contains complete text (or its translation into EPO language) of patent specification with referenced files for drawings.
ep-request.xml	ep-request-v1-16.dtd	Application data as entered in Form EP1001, references other attached documents.

4.1.1 References from XML files to other files

All PDF files and other attachments must be referenced by the **package-data.xml** file, or by one of the XML files that are referenced in the **package-data.xml** file, i.e. the **application-body.xml** or **ep-request.xml** file.

package-data.xml file

The **package-data.xml** file must contain a root element **<package-data>** with the following attributes:

- **lang**: Country code corresponding to the language of filing (i.e., "en", "fr" or "de").
- **dtd-version**: Fixed value of "1.0".
- **produced-by**: Fixed value of "applicant".

The top-level XML elements inside **<package-data>** are the following (all of them are mandatory, with the exception of **<application-body>** in certain cases -- please see below):

- **<transmittal-info>**: This element contains a fixed structure common to all forms, indicating the type of package data (in this case, **<new-application>**) and the filing office (EP):

```
<transmittal-info>
```

```

<new-application>
  <to>
    <country>EP</country>
  </to>
</new-application>
</transmittal-info>

```

- **<signatories>**: This element contains information regarding the parties signing the submission and the type and contents of the provided signature(s). Please refer to annex [Structure of signatures in package-data.xml](#) for a more detailed explanation on the structure and expected contents of this element when importing signed submissions. The snippet below shows the basic empty structure for an unsigned submission:

```

<signatories>
  <signatory>
    <name/>
    <electronic-signature date="">
      <basic-signature>
        <text-string/>
      </basic-signature>
    </electronic-signature>
  </signatory>
</signatories>

```

- **<application-request>**: Contains a reference to the XML request file (e.g., for EP1001, the *ep-request.xml* file) included in the package.
- **<application-body>**: Contains a reference to the "application-body.xml" file, if present. Note that, for forms where said XML files is not included in the submission package (e.g., EP2300), this element does not need to be present.
- **<other-documents>**: References the file names for attached documents in multiple **<other-doc>** child elements, using the **file** and **file-type** attributes. The document code to be received by the EPO server is contained in the **<document-name>** child element. E.g., for a EP1001 draft submission containing only the minimum required files:

```

<other-documents>
  <other-doc file="ep-request.pdf" file-type="pdf">
    <document-name>1001P</document-name>
    <dtext/>
  </other-doc>
  <other-doc file="ep-request.xml" file-type="xml">
    <document-name>REQXML</document-name>
    <dtext/>
  </other-doc>
  <other-doc file="application-body.xml" file-type="xml">
    <document-name>APPBODYXML</document-name>
    <dtext/>
  </other-doc>
</other-documents>

```

The example below shows the structure of a *package-data.xml* file for a EP1001 submission filed in *English* containing an attached application document (*SPECEPO*) in addition to the minimum required files:

```


1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE package-data SYSTEM "package-data.dtd">
3  <package-data lang="en" dtd-version="1.0" produced-by="applicant">
4    <transmittal-info>
5      <new-application>
6        <to>
7          <country>EP</country>
8        </to>
9      </new-application>
10   </transmittal-info>
11   <signatories>
12     <signatory>
13       <name/>
14       <electronic-signature date="">
15         <basic-signature>
16           <text-string/>
17         </basic-signature>
18       </electronic-signature>
19     </signatory>
20   </signatories>
21   <application-request file="ep-request.xml"/>
22   <application-body-doc file="application-body.xml"/>
23   <other-documents>
24     <other-doc file="ep-request.pdf" file-type="pdf">
25       <document-name>1001P</document-name>
26       <dtext/>
27     </other-doc>
28     <other-doc file="ep-request.xml" file-type="xml">
29       <document-name>REQXML</document-name>
30       <dtext/>
31     </other-doc>
32     <other-doc file="application-body.xml" file-type="xml">
33       <document-name>APPBODYXML</document-name>
34       <dtext/>
35     </other-doc>
36     <other-doc file="SPECEPO-1.pdf" file-type="pdf">
37       <document-name>SPECEPO</document-name>
38       <dtext/>
39     </other-doc>
40   </other-documents>
41 </package-data>

```

Element list:

- (1) Filing language
- (2) Type of application
- (3) Filing office
- (4) Signatories (section **must be present**, but may contain a blank entry for draft/unsigned submissions)
- (5) Reference to *ep-request.xml*
- (6) Reference to *application-body.xml*
- (7) Other document - EPO file name
- (8) File type of other document


- (9) Document code of other document
- (10) Additional text, e.g. figure to be published with abstract, number of claims, number of drawings

 The example above illustrates a blank **<signatories>** entry corresponding to an unsigned submission. To see the details of the structure of this element and an example corresponding to a signed submission, please refer to [Annex - Structure of signatures in package-data.xml](#) this document.

application-body.xml

The *application-body.xml* file references the files and page numbers for the technical documents in the **<doc-page>** element, each one within the **<description>**, **<claims>**, **<abstract>** and **<drawings>** elements, using the **id** attribute for the document code and the **file** attribute for the file name.

- The **id** attribute of the **<doc-page>** element has a unique identifier consisting of the section (e.g. **DRAW**) plus a counter (e.g. **1**), thus **DRAW1**.
- Only drawings can be contained in more than one document: If there is more than one drawing section, there must be another **<doc-page>** element with the attribute **id = DRAW2**, and so forth.
- The counter (e.g. **1**) in the file name (e.g. **SPECEPO-1.pdf**) does not relate to a specific document section (e.g. description), but it counts the files one by one when being attached via OLF2.0.

 Note that, for a successful import of an EP1001 submission, both the **<description>** and **<claims>** elements must be present, although they can be empty. The **<abstract>** and **<drawings>** elements are not mandatory and may be omitted if not applicable.

Below is a snippet corresponding to a basic example with the minimum required content in *application-body.xml* for importation of an EP1001 submission:

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE application-body
  SYSTEM "ep-application-body-v1-7.dtd">
<application-body lang="en" dtd-version="1.7" country="EP">
  <description>
  </description>
  <claims>
  </claims>
</application-body>
```

In this example, four individual files are attached for each section, but there could also be combined files having more than one section of the technical documents - see the examples in [EP1001 - Documents](#)).

```

<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE application-body
SYSTEM "ep-application-body-v1-7.dtd">
<application-body lang="en" dtd-version="1.7" country="EP">
  (3) <description>
    (1) <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPECEPO-1.pdf" ppf="1" ppl="30" pp="30"/>
    (2)
    </description>
    (4) (5) (6) (7) (8) (9) (10) (11)
    <claims>
      <doc-page id="CLMS1" he="1" wi="1" type="pdf" file="SPECEPO-2.pdf" ppf="31" ppl="67" pp="37"/>
    </claims>
    <abstract>
      <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECEPO-3.pdf" ppf="68" ppl="90" pp="23"/>
    </abstract>
    <drawings>
      <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPECEPO-4.pdf" ppf="91" ppl="102" pp="12"/>
    </drawings>
  </application-body>

```

Figure 7: XML elements in application-body.xml file

Element list:

- (1) Filing language
- (2) Filing office
- (3) Description reference
- (4) Document code for description
- (5) Height of document (page format)
- (6) Width of document (page format)
- (7) File type
- (8) EPO file name of first attached document (having the description, in this case)
- (9) First page of description
- (10) Last page of description
- (11) Number of pages in description

ep-request.xml

The *ep-request.xml* file indicates the document code in the **doc-type** attribute of the **<ep-electronic-files>** element and the file name in the **<epo-file-name>** element. In addition, the original file name as given by the user is contained in the **<applicant-file-name>** element.

See the following sections for details and examples.

```

101 | <ep-office-specific-data office="EP" lang="en">
102 |   <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
109 |     <ep-declarations>
113 |       <ep-electronic-files doc-type="1001">
114 |         <applicant-file-name/>
115 |         <epo-file-name>ep-request.pdf</epo-file-name>
116 |       </ep-electronic-files>
117 |       <ep-electronic-files doc-type="SPECEPO"> (1)
118 |         <applicant-file-name>instant water description.pdf</applicant-file-name> (2)
119 |         <epo-file-name>SPECEPO-1.pdf</epo-file-name> (3)
120 |       </ep-electronic-files>
121 |       <ep-electronic-files doc-type="F1002">
125 |         <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
458 |       </ep-office-specific-data>
459 |     </ep-request>

```

Figure 8: XML elements for electronic files in ep-request.xml file

Element list:

- (1) Document code for any technical document
- (2) Original file name
- (3) EPO file name of first attached document (having the description, in this case)

4.1.2 References to translated documents

In the example below, Italian has been selected as the filing language of the attached application. Therefore, the original in Italian and the translation into English must be supplied. There is one PDF file having description, claims and abstract and a second PDF file having the drawings.

application-body.xml

```

<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE application-body
SYSTEM "ep-application-body-v1-7.dtd">
<application-body lang="en" dtd-version="1.7" country="EP">
  <description> (1)
    <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="1" ppl="30" pp="30"/> (2)
  </description>
  <claims> (3)
    <doc-page id="CLMS1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="31" ppl="67" pp="37"/> (2)
  </claims>
  <abstract> (4)
    <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="68" ppl="90" pp="23"/> (2)
  </abstract>
  <drawings> (5)
    <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" ppf="91" ppl="102" pp="12"/> (6)
  </drawings>
</application-body>

```

Figure 9: Document codes for translated documents in the application-body.xml

ep-request.xml

```

<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
  <ep-declarations>
  <ep-electronic-files doc-type="1001">
    <applicant-file-name/>
    <epo-file-name>ep-request.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECNONEPO"> (7)
    <applicant-file-name>Filtro motore IT.pdf</applicant-file-name> (8)
    <epo-file-name>SPECNONEPO.pdf</epo-file-name> (9)
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECTRANEPO"> (10)
    <applicant-file-name>Filtro motore EN.pdf</applicant-file-name> (11)
    <epo-file-name>SPECTRANEPO-1.pdf</epo-file-name> (2)
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECTRANEPO"> (10)
    <applicant-file-name>Filtro motore disegno EN.pdf</applicant-file-name> (12)
    <epo-file-name>SPECTRANEPO-2.pdf</epo-file-name> (6)
  </ep-electronic-files>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
</ep-office-specific-data>
</ep-request>

```

Figure 10: XML elements for electronic files and translation files in ep-request.xml file

Element list

- (1) Document code for the description
- (2) EPO file name for translated document having the description, the claims, and the abstract
- (3) Document code for the claims
- (4) Document code for the abstract
- (5) Document code for the drawings
- (6) EPO file name for translated document having the drawings
- (7) Document code for original file in non-EPO language
- (8) Original file name of document having the technical documents (Italian, in this example)
- (9) EPO file name for the technical documents in non-EPO language
- (10) Document code for translation of any technical document
- (11) Original file name of document having description, the claims, and the abstract
- (12) Original file name of document having the drawings

4.1.3 Basic structure of ep-request.xml

The *ep-request.xml* file contains the application data in Form EP1001. Its root element is **<ep-request>**, which contains the following attributes:

XML Attribute	Attribute Description	Example/fixed value
lang	Procedural language for the attached/previous application, indicated by its 2-letter language code (en, fr, de).	E.g.: "en"
dtd-version	Version of DTD used.	Fixed value: "1.0"
produced-by	Indicates role of party generating the submission (e.g., applicant).	Fixed value: "applicant"
ro	Code for the filing office.	Fixed value: "EP".
date-produced	Date/time of package generation in "YYYYMMDD hh:mm:ss" format.	E.g.: "20240122 11:19:17"

The table below lists the top-level XML elements under **<ep-request>** and their key attributes:

XML Element	Description and attributes
<file-reference-id>	<p>Internal ID name for the EP1001 submission, as it will appear on the OLF2.0 GUI for edition/review. Can be any name chosen by the user with the following limitations:</p> <ul style="list-style-type: none"> ▪ Up to 25 characters long. ▪ Only letters, numbers, double quotes and the following symbols: .,<>=_-()/ are supported <p>E.g.: <file-reference-id>My_1001_request</file-reference-id></p>

<request-petition>	<p>Descriptive name of the request corresponding to the form.</p> <p>For EP1001, this will be a fixed string as follows:</p> <pre><request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested.</request-petition></pre>
<invention-title>	<p>Title of the invention in each EPO language.</p> <p>A EP1001 request must have 3 <invention-title> elements corresponding to each main EPO language (en, fr, de).</p> <p>Attributes:</p> <ul style="list-style-type: none"> ▪ lang: Language code (2-letters) of the provided invention title (en, fr, de). <p>E.g.: <invention-title lang="en">ENTER YOUR TITLE</invention-title></p>
<ep-previously-filed-application>	<p><u>When filing an EP1001 form by reference to a previously filed application</u>, this element must be present and contain the details of said referred application (<u>otherwise, it should not appear</u>).</p> <p>Please see Reference to a previously filed application for details and an example case.</p>
<parties>	<p>List of parties involved in the application (applicants, inventors, representatives...).</p> <p>This element has no text value nor attributes, and instead contains a set of children elements.</p> <p>Please see EP1001 – Parties, Inventors for details and example cases.</p>
<priority-claims>	<p>This element is only present when the application includes declaration of one or more priority claims and contains the information regarding them (<u>otherwise, it should not appear</u>).</p> <p>Please see EP1001 – Application details – Priority for details and example cases.</p>
<check-list>	<p>Contains a list of children nodes corresponding to the type of document (request, description, claims...). E.g.: <cl-description></p> <p>Each of the aforementioned child elements indicates numeric values related to each of the documents included in the submission, such as the total count of pages on it, no. of the first and last pages, etc.</p> <p>This section is not mandatory. However, please note that, if present, this section should always contain, at least, a single empty child element <cl-request/></p> <p>E.g.:</p> <pre><check-list> <cl-request/> <cl-description page-count="30" ppf="1" ppl="30"/> ...</pre>

	Please see the section about <check-list> in EP1001 – Documents for more details and example cases.
<ep-language-of-filing>	<p>Filing language of the attached/previous application. E.g.: “en”</p> <p>Attributes:</p> <ul style="list-style-type: none"> ▪ lang-code: Code saying the type of specified filing language. Its value should be: <ul style="list-style-type: none"> ○ “epo” for an EPO official language. ○ “non-epo” for a language admissible but not officially supported for EP filings. ○ “other” for any other language. <p>E.g.: <code><ep-language-of-filing lang-code="epo">en</ep-language-of-filing></code></p> <p>Please see EP1001 – General information for details and example cases.</p>
<ep-office-specific-data>	<p>EP1001 request data specific to the filing office (declarations, fees...).</p> <p>Attributes:</p> <ul style="list-style-type: none"> ▪ office: Filing office to which the specific data in the element applies. <u>For EP1001 filed to EPO, this should have a fixed value of “EP”.</u> ▪ lang: Procedural language, same as in element <ep-request>. E.g.: “en” <p>This element will contain the applicable requests/declarations for EP1001 (e.g., request for reduction of fees under <i>Rule 7a(1)</i>), application details (i.e., designated states, priority claims...), information about the attached documents, the information regarding fees, and (optionally) any enclosed annotations to EPO.</p> <ul style="list-style-type: none"> ▪ Applicable requests/declarations for EP1001 (e.g., request for reduction of fees under <i>Rule 7a(1)</i>), grouped inside sub-element <ep-declarations> (containing one or more children for each applicable declaration). Note that, for the <i>Request for examination in an admissible non-EPO language (Article 14(4) EPC)</i>, a separate sub-element <ep-request-for-exam-art94> is used instead. ▪ Application details, i.e., designated states and biological materials (when applicable): <ul style="list-style-type: none"> ○ Information regarding designated states is contained in sub-element <ep-designated-states>. ○ Information regarding biological materials is contained in sub-element <ep-biological-material>. ▪ Information about the attached documents, in one or more <ep-electronic-files> sub-elements. ▪ Information regarding fees, in sub-element <ep-financial-data>.

	<ul style="list-style-type: none"> ▪ Annotations to EPO (if enclosed), contained in sub-element <code><ep-notes-to-EPO></code>. <p>The basic example below illustrates the general structure of element <code><ep-office-specific-data></code>:</p> <pre> <ep-office-specific-data office="EP" lang="en"> <ep-designated-states waiver-communication-and-processing-of- non-designated-states="no"> ... </ep-designated-states> <ep-request-for-exam-art94 lang="pt"/> <ep-declarations> <waiver-to-indicate-further-processing/> <declaration-of-entity-or-natural-person/> <declaration-of-micro-entity/> </ep-declarations> <ep-electronic-files doc-type="1001"> <applicant-file-name/> <epo-file-name>ep-request.pdf</epo-file-name> </ep-electronic-files> <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no"> ... </ep-financial-data> </ep-office-specific-data> </pre> <p>Note that, for a successful import, <u>the sub-section regarding fees</u> (i.e., sub-element <code><ep-financial-data></code>) <u>is required as a minimum</u>.</p> <p>Please see the following subchapters for details and example cases of each of the items listed above:</p> <ul style="list-style-type: none"> • EP1001 – General information (requests/declarations) • EP1001 – Application details (designated states and biological materials) • EP1001 – Documents • EP1001 – Fees • EP1001 – Annotations to EPO
--	--

Below is an example showing the general structure in ep-request.xml and the top-level elements listed in the previous table:

<pre> <?xml version="1.0" encoding="UTF-8"?> <!DOCTYPE ep-request SYSTEM "ep-request-v1-16.dtd"> <ep-request lang="en" dtd-version="1.0" produced-by="applicant" ro="EP" date-produced="20240122 11:19:17"> <file-reference-id>1001_appl-inv</file-reference-id> <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested. </request-petition> <invention-title lang="en">INSTANT WATER</invention-title> <invention-title lang="fr">EAU INSTANTANÉE</invention-title> <invention-title lang="de">INSTANT-WASSER</invention-title> <parties> ... </pre>
--

```
</parties>
<check-list>
  <cl-request/>
</check-list>
<ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
  ...
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  ...
  </ep-financial-data>
</ep-office-specific-data>
</ep-request>
```

The details for the child elements of **<ep-request>**, their relevant attributes and how they are mapped to the different form fields and tabs (e.g., the list of involved parties and their contact information in the **<parties>** element, filled out via the **Parties, Inventors** tab in the EP1001 form) will be described in subsequent section in this form's chapter.

4.2 Document codes and file types for EP1001

For the successful import of XML data into OLF2.0, the values for the **<document-name>** element, the **doc-type** attribute and the **file** attribute must follow the standard values for the **document code** as listed in the table below. Without the correct document code, the receiving server at the EPO cannot accept files.

Document code	EPO file name *)	Description
Request		
ADDRESSXML	address-matching.xml	Package
APPBODYXML	application-body.xml	Application body, see Structure of XML files for EP1001 (p. 15)
APPMERGEXML	result-filing.xml	Package
BIODEPXML		Biology
PACKDATAXML	package-data.xml	Package
RECXML	xmit-receipt.xml	Receipt in XML format
REQUESTXML	ep-request.xml	EP1001 form in XML format
REQXML	ep-request.xml	Application data, see Structure of XML files for EP1001 (p. 15)
Technical documents and their translation in official EPO language (selected procedural language)		
SPECEPO	SPECEPO-1.pdf	Single file specification in EPO language
SPECTRANEPO	SPECTRANEPO-1.pdf	Single file translated specification from a non-EPO language
Technical documents in non-official EPO language or other languages		
CLMSNONEPO	CLMSNONEPO.pdf	Claims in admissible non-EPO language
CLMS	CLMSNONEPO.pdf	Claims in admissible non-EPO language (when referenced in package-data.xml and application-body.xml)

DRAWNONEPO	DRAWNONEPO.pdf	Drawings in admissible non-EPO language
SPECNONEPO	SPECNONEPO.pdf	Specification in admissible non-EPO language

Document code	EPO file name *)	Description
Optional additional files for technical documents		
OLF-ARCHIVE	OLF-ARCHIVE.zip	Pre-conversion archive (contains original technical documents in any language, before conversion to PDF, e.g. in DOC format)
Documents concerning biological material, sequence listings		
SEQXML26	SEQXML26.xml	Sequence listing in XML format (by WIPO Standard ST.26)
SEQZIP26	SEQZIP26.zip	Sequence listing in ZIP format (by WIPO Standard ST.26)
BIOMAUTH	BIOM-AUTH-1.pdf	Authorisation under Rule 31(1)(d)
BIOMRECEIPT	BIOM-RECEIPT-1.pdf	Receipt(s) of deposit issued by depositary institution
BIOMWAIV	BIOM-WAIV-1.pdf	Waiver of the right to an undertaking from requestor pursuant to Rule 33(2)
Documents concerning applicant, representative and inventor		
1003	SPECAUTH-1.pdf	Specific authorisation
1004	GENAUTH-1.pdf	General authorisation
INVT201	Signed-EPR201.pdf	Inventor waiver - Rule 20(1) EPC
Graphic files		
PATXMLTIF	<filename>.jpg	Drawing in JPG format (referenced by application-body.xml file as a result of attaching specification in XML format)
PATXMLTIF	<filename>.tif	Drawing in TIF format (referenced by application-body.xml file created by PatXML)

OTHERTIF	<filename>.tif	Other
SIGNIMGTIF	<Request>-signature-1.tif	Unexpected/undefined document
Additional documents		
PRIOTRAN	PRIOTRAN-1.pdf	Translation of priority documents
REESGROUNDS	REESGROUNDS.pdf	Grounds for re-establishment of rights
CERTPRIO	CERTPRIO-1.pdf	Certified priority document (must be digitally signed)
OTHERPDF	OTHER-1.pdf	Other document in PDF format
PRSR	PRSR-1.pdf	Search results required under Rule 141(1) EPC for priority claim
Document code	EPO file name *)	Description
PRSR-REF	PRSR-REF.pdf	Search results required under Rule 141(1) EPC for previously filed application
Documents generated by OLF2.0 (not to be imported)		
F1002	F1002-1.pdf	Designation of inventor
INVT201	EPR201-1.pdf	Waiver - Rule 20(1) EPC / Inventor-related document
1001P	ep-request.pdf	Application in PDF format

Other document codes PDF related		
ADDRREPPDF	address-matching.pdf	Manual correction of address details
BIOM	BIOM-1.pdf	Letter concerning biological material
CERTPRIO	CERTPRIO-1.pdf	Electronic priority document
DASCODE	DASACCDOC.pdf	
F1002E	f1002-1.pdf	Designation of inventor

INCANNEX	SPECEPO-1.PDF	Annex
INVT	INVT-1.pdf	Letter concerning the inventor
PRIODOC	PRIO-1.pdf	Priority document
PRSR-PRIO	PRSR-1.pdf	
RECPDF	receipt.pdf	Acknowledgement of receipt of electronic submission of the request for grant of a European patent
SRCH	SRCH-1.pdf	Letter concerning search matters

Other document codes ZIP related		
ABBNR	bundled-xml.zip	Application body containing PDF files (for publication purposes)

*) If there is more than one file of this type of document, the character **1** in the file names must be replaced by **2, 3** etc.

4.3 EP1001 – General information

Form EP1001 starts with the **General information** tab where basic data for the application is entered.

- Filing office
- Waivers, requests, and declarations
- Procedural language
- Filing language
- Title of invention



Note that, in the OLF2.0 GUI, **annotations** (i.e. notes for the EPO) are added in the overview tab. **This point will be described later** in section [EP1001 – Annotations to EPO](#).

The basic request information listed above is imported from the following top-level XML elements and attributes under **<ep-request>**:

XML Element	Description and attributes
<code><file-reference-id></code>	Internal ID name for the EP1001 submission, as it will appear on the OLF2.0 GUI for edition/review. Can be any name chosen by the user with the following limitations: <ul style="list-style-type: none"> ▪ Up to 25 characters long. ▪ No blank spaces. E.g.: <code><file-reference-id>My_1001_request</file-reference-id></code>
<code><invention-title></code>	Title of the invention in a given EPO language. A EP1001 request must contain 3 <code><invention-title></code> elements corresponding to each main EPO language (en, fr, de). <p>Required attributes:</p> <ul style="list-style-type: none"> ▪ lang: Language code (2-letters) of the provided invention title (en, fr, de). E.g.: <pre><invention-title lang="en">INSTANT WATER</invention-title> <invention-title lang="fr">EAU INSTANTANÉE</invention-title> <invention-title lang="de">INSTANT-WASSER</invention-title></pre>
<code><ep-previously-filed-application></code>	<u>When filing an EP1001 form by reference to a previously filed application</u> , this element must be present and contain the details of said referred application (<u>otherwise, it should not appear</u>). <p>Please see Reference to a previously filed application for details and an example case.</p>
<code><ep-language-of-filing></code>	Must have the 2-3 letter code of the filing language of the attached/previous application. E.g.: "en" <p>Required attributes:</p>

	<ul style="list-style-type: none"> ▪ lang-code: Code indicating the type of specified filing language. Its value should be: <ul style="list-style-type: none"> ○ “epo” for an EPO official language. Possible values in this case are: en (<i>English</i>), fr (<i>French</i>), de (<i>German</i>). ○ “non-epo” for a language admissible but not officially supported for EP filings. Possible values in this case are: sq (<i>Albanian</i>), bg (<i>Bulgarian</i>), hr (<i>Croatian</i>), cs (<i>Czech</i>), da (<i>Danish</i>), nl (<i>Dutch</i>), et (<i>Estonian</i>), fi (<i>Finnish</i>), el (<i>Greek</i>), hu (<i>Hungarian</i>), is (<i>Icelandic</i>), ga (<i>Irish</i>), it (<i>Italian</i>), lv (<i>Latvian</i>), lt (<i>Lithuanian</i>), lb (<i>Luxembourgish</i>), mk (<i>Macedonian</i>), mt (<i>Maltese</i>), cnr (<i>Montenegrin</i>), no (<i>Norwegian</i>), pl (<i>Polish</i>), pt (<i>Portuguese</i>), ro (<i>Romanian</i>), sr (<i>Serbian</i>), sk (<i>Slovak</i>), sl (<i>Slovenian</i>), es (<i>Spanish</i>), sv (<i>Swedish</i>), tr (<i>Turkish</i>) ○ “other” for any other language. <p>E.g.: <code><ep-language-of-filing lang-code="epo">en</ep-language-of-filing></code></p> <p>Note that, when attribute lang-code is “non-epo” or “other”, a second <code><ep-language-of-filing></code> element with lang-code=“translation” must appear indicating the language in which the (mandatory) translation of the filing is being submitted. E.g.:</p> <pre><ep-language-of-filing lang-code="other">ab</ep-language-of-filing> <ep-language-of-filing lang-code="translation">en</ep-language-of-filing></pre>
<code><ep-office-specific-data></code>	<p>EP1001 request data specific to the filing office. This XML element may contain data from the <i>General information</i> tab related to procedural language and applicable requests and declarations.</p> <p>The attributes containing general application information are:</p> <ul style="list-style-type: none"> ▪ office: Filing office to which the specific data in the element applies. For EP1001 filed to EPO, this should have a fixed value of “EP”. ▪ lang: Procedural language, same as in element <code><ep-request></code>. E.g.: “en” <p>E.g.: <code><ep-office-specific-data office="EP" lang="en"></code></p> <p>Depending on When the submission includes any of the following requests and/or declarations, element <code><ep-office-specific-data></code> may contain one or more additional children (see below).</p>

When the submission includes any of the following requests and/or declarations selectable from the **General information** tab, element `<ep-office-specific-data>` must contain one or more additional children as described below:

- **Request for examination in an admissible non-EPO language (Article 14(4) EPC):** A `<ep-request-for-exam-art94>` child element must be present indicating the code of the requested language in its `lang` attribute. E.g.:

```
<ep-request-for-exam-art94 lang="sq"/>
```

- **Filing of a new European patent application by the entitled person (Article 61(1)(b) EPC, Rule 17 EPC):** An `<ep-art61-appl>` child element must be present indicating the application number of the earlier application, following the EP#####.# format. E.g.:

```
<ep-art61-appl>EP20760406.7</ep-art61-appl>
```

- **Waiver of the right to be asked whether to proceed further with the application (Rule 70(2) EPC):** An `<ep-declarations>` child must be present having an empty element `<waiver-to-indicate-further-processing/>` to indicate this declaration.
- **The/Each applicant requests a reduction of fees under Rule 7a(1) EPC and is a natural person or entity under Rule 7a(2) EPC:** An `<ep-declarations>` child must be present containing an empty element `<declaration-of-entity-or-natural-person/>` to indicate this declaration.
- **The/Each applicant requests a reduction of fees under Rule 7a(3) EPC and is a micro-entity under Rule 7a(3) EPC:** An `<ep-declarations>` child must be present containing an empty element `<declaration-of-micro-entity/>` to indicate this declaration.

The example snippet below shows the structure of an `<ep-office-specific-data>` element containing all the above declarations, including a request for examination in *Portuguese* (pt) and a referral to an earlier application for filing of a new EP by the entitled person under *Article 61*:

```
<ep-office-specific-data>
...
<ep-request-for-exam-art94 lang="pt"/>
<ep-art61-appl>EP20760406.7</ep-art61-appl>
<ep-declarations>
  <waiver-to-indicate-further-processing/>
  <declaration-of-entity-or-natural-person/>
  <declaration-of-micro-entity/>
</ep-declarations>
...
</ep-office-specific-data>
```



Depending on the **General information** options selected for the request, additional XML elements and attributes may also need to be defined in other sections of *ep-request.xml* besides the items in the above list. Please see the examples provided in the subsequent sections for various examples covering different scenarios and applicable options.

4.3.1 Request in English

XML ep-request.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-request
3  SYSTEM "ep-request-v1-15.dtd">
4  <ep-request lang="en" 5
5  dtd-version="1.0"
6  produced-by="applicant"
7  ro="EP" 2
8  date-produced="20240119 12:55:29" 9 --software_name --><!--software_version --><!--stylesheet_version
9  1 <file-reference-id>1001-request-EN</file-reference-id>
10 <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby
11 requested.
12 </request-petition>
13 6 <invention-title lang="en">INSTANT WATER</invention-title>
14 <invention-title lang="fr">EAU INSTANTANÉE</invention-title> 7
15 8 <invention-title lang="de">INSTANT-WASSER</invention-title>
16 <parties>
17 </parties>
46 <check-list>
47 </check-list>
49 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
50 4 <ep-office-specific-data office="EP" lang="en">
51 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
58 <ep-declarations>
59 <waiver-to-indicate-further-processing/> 3
60 </ep-declarations>
61 10 <ep-electronic-files doc-type="1001">
62 <applicant-file-name/>
63 <epo-file-name>ep-request.pdf</epo-file-name>
64 </ep-electronic-files>
65 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
395 </ep-office-specific-data>
396 </ep-request>

```

Figure 12: Request XML: general data

Element list

- (1) User reference
- (2) Filing office
- (3) Waiver pursuant to Rule 70(2) EPC: empty element
- (4) Procedural language
- (5) Filing language of attached or previous application
- (6) Title of invention in English (use upper case letters)
- (7) Translation (of title of invention) into French (use upper case letters)
- (8) Translation (of title of invention) into German (use upper case letters)
- (9) Last saved date: **not shown on form GUI**, must not be imported, because value will be overwritten by OLF2.0
- (10) Reference to EP1001 request PDF document – **must be included for a successful import**, even if the PDF file is not present in package.

The above fields are mapped to XML elements/attributes as follows:

Field	XML Element	How value is stored
(1)	<file-reference-id>	Element value. E.g.: <file-reference-id>1001-request-EN</file-reference-id>
(2)	<ep-request>	Value in attribute "ro". E.g.: <ep-request lang="en" ro="EP" ... >
(4)	<waiver-to-indicate-further-processing/>	Element presence (empty)
(5)	<ep-office-specific-data>	Value in attribute "lang"
(6)	<ep-language-of-filing>	Element value

(7)	<invention-title lang="en">	Element value
(8)	<invention-title lang="fr">	Element value
(9)	<invention-title lang="de">	Element value
(10)	<ep-request>	Value in attribute "date-produced"

4.3.2 Request in other languages, declaration under Rule 7a(1) EPC

This example proves an application where both the request for examination and the patent application documents are submitted in an admissible non-official EPO language (i.e., the language is not English, German or French).

If all applicant(s) fulfil the conditions of Rule 7a(2) EPC, they can opt for the **Declaration under Rule 7a(1)**. Please refer to the *Online Filing 2.0 User Guide* for more details on the effect of the language settings.

The <declaration-of-entity-or-natural-person/> element requires that:

- the <ep-request-for-exam-art94/> is present and the value of its **lang** attribute is the two-letter code of one of the admissible non-official EPO languages -OR-
- "non-epo" is the value of the **lang-code** attribute in the <ep-language-of-filing> element and the content of the element is the two-letter code of one of the admissible non-official EPO languages.

The <declaration-of-entity-or-natural-person/> element is required where applicant(s) referred to in Article 14(4) EPC fulfil the conditions of Rule 7a(2) EPC and therefore wish to apply fee reductions; for details see: [Parties, Inventors -- Two applicants with Rule 7a\(2\) declaration, first applicant represented by authorised employee.](#)

XML ep-request.xml

```

1 <?xml version="1.0" encoding="UTF-8"?>
2 <!DOCTYPE ep-request
3 SYSTEM "ep-request-v1-15.dtd">
4 <ep-request lang="fr" (6)
5   dtd-version="1.0"
6   produced-by="applicant"
7   ro="EP" (2)
8   date-produced="20240122 07:41:16" (13) --software_name --><!--software_version --><!--stylesheet_version
9   3--><!--fop_version Version 0.20.5-->
10 <file-reference-id>1001-request-IT/FR</file-reference-id> (1)
11 <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby
12   requested.
13 </request-petition>
14 <invention-title lang="fr">EAU INSTANTANÉE</invention-title> (10)
15 <invention-title lang="en">INSTANT WATER</invention-title> (11)
16 <invention-title lang="de">INSTANT-WASSER</invention-title> (12)
17 <parties>
18 <check-list>
19 <ep-language-of-filing lang-code="non-epo">it</ep-language-of-filing> (7)
20 <ep-language-of-filing lang-code="translation">fr</ep-language-of-filing> (8)
21 <ep-office-specific-data office="EP" lang="fr">
22   <ep-designated-states waiver-communicat (6) and-processing-of-non-designated-states="no">
23   <ep-request-for-exam-art94 lang="it"/> (3)
24   <ep-declarations>
25     <declaration-of-entity-or-natural-person/> (4)
26   </ep-declarations>
27   <ep-electronic-files doc-type="1001">
28     <applicant-file-name/>
29     <epo-file-name>ep-request.pdf</epo-file-name>
30   </ep-electronic-files>
31   <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
32 </ep-office-specific-data>
33 </ep-request>

```

Figure 16: Request XML: filing office FR, procedural language FR and language of filing IT

Element list

- (1) User reference
- (2) Filing office
- (3) Request for examination in admissible non-EPO language
- (4) Language of request for examination
- (5) Declaration under Rule 7a(1) EPC
- (6) Procedural language
- (7) Filing language of attached or previous application is an admissible non-EPO language
- (8) Country code of filing language of attached or previous application
- (9) Filing language of the **translation** of the attached/previous application (**mandatory when application is filed in a non-EPO language**)
- (10) Title of invention in French (use upper case letters)
- (11) Translation (of title of invention) into English (use upper case letters)
- (12) Translation (of title of invention) into German (use upper case letters)
- (13) Last saved date: **not shown on form GUI**, recorded in format “YYYYMMDD “ in XML.

The above fields are mapped to XML elements/attributes as follows:

Field	XML Element	How value is stored
(1)	<file-reference-id>	Element value
(2)	<ep-request>	Attribute “ro”
(3)	<ep-request-for-exam-art-94>	Element presence (when 3 is applicable)
(4)	<ep-request-for-exam-art-94>	Attribute “lang”
(5)	<ep-office-specific-data>	Attribute “lang”
(6)	<declaration-of-entity-or-natural-person />	Element presence

(7)	<ep-office-specific-data>	Attribute “lang”
(8)	<ep-language-of-filing>	Attribute “lang-code”
(9)	<ep-language-of-filing>	Element value
(10)	<invention-title lang=“fr”>	Element value
(11)	<invention-title lang=“en”>	Element value
(12)	<invention-title lang=“de”>	Element value
(13)	<ep-request>	Attribute “date-produced”

4.3.3 Divisional application

XML ep-request.xml

The proper extra filing fee for a divisional application (code 552 to 555) is determined by the value of the **generation** attribute; see [EP1001 – Fees](#). Only one fee for a divisional application can be selected.

```

100 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
101 <ep-office-specific-data office="EP" lang="en">
102 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
109 ① <ep-divisional-appl>
110 <parent-doc>
111 <document-id lang="en">②
112 <country>EP</country>③
113 <doc-number>EP14800500.2</doc-number>④
114 <date>20140917</date>⑤
115 </document-id>
116 </parent-doc>
117 <ep-first-communication-raising-lack-of-unity>
118 <date/>⑥
119 </ep-first-communication-raising-lack-of-unity>
120 <ep-divisional-generation generation="3"/>⑦
121 <ep-declaration-and-request-on-sequence-listing-of-earlier-application/>⑧
122 </ep-divisional-appl>
123 <ep-declarations/>
124 <ep-electronic-files doc-type="1001">
128 <ep-electronic-files doc-type="F1002">
132 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
136 </ep-office-specific-data>
137 </ep-request>

```

Figure 20: Request XML: divisional application

Element list

- (1) Indication that this is a divisional EP application
- (2) Filing language of referred application (indicated by country code in attribute **lang**).
- (3) Country / filing office: **EP** is inferred, since divisional applications can only be filed with the EPO
- (4) Application number of earlier application
- (5) Filing date of earlier application
- (6) Generation of this divisional application
- (7) Date of first communication: not shown on GUI. For filings on or after 01/04/2014, the <date> element must be empty.
- (8) Request to copy sequence listing from parent application for search purposes: if present, <ep-declaration-and-request-on-sequence-listing-of-earlier-application/> is an empty element.

4.3.4 Filing of a new European patent application by the entitled person, declaration under Rule 7a(3) EPC

This example proves an application where a request is made for **filing of a new European patent application referencing an earlier application** (*Article 61(1)(b) EPC, Rule 17 EPC*) and with the applicant being **declared a micro-entity** under *Rule 7a(3) EPC* in order to request a reduction of fees.

Following [Article 61\(1\)\(b\) EPC, Rule 17 EPC](#), if by a final decision it is adjudged that a person other than the applicant is entitled to the grant of the European patent, that person may file a new European patent application in respect of the same invention. This is indicated by selecting the “*Filing of a new European patent application by the entitled person (Article 61(1)(b) EPC, Rule 17 EPC)*” checkbox on the **General information** tab on the OLF2.0 GUI.

If all applicant(s) fulfil the conditions of [Rule 7a\(3\) EPC](#), they can opt for the declaration under said rule to request a reduction of fees. This is indicated by selecting the “*The/Each applicant requests a reduction of fees under Rule 7a(3) EPC and is a micro-entity under Rule 7a(3) EPC*” checkbox on the **General information** tab on the OLF2.0 GUI.

XML ep-request.xml

In this scenario, the *ep-request.xml* file must include the following additional XML elements inside the `<ep-office-specific-data>` element (shown as highlighted lines on the example snippet below):

- **Filing of a new European patent application by the entitled person:** Element `<ep-art61-appl>` must appear under the `<ep-office-specific-data>`, containing the application number of the earlier application in question following the EP#####.# format.
- **The/Each applicant requests a reduction of fees and is a micro-entity under Rule 7a(3) EPC:** Section `<ep-declarations>` must be present under `<ep-office-specific-data>` and contain an empty child element `<declaration-of-micro-entity/>`.

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE ep-request
  SYSTEM "ep-request-v1-16.dtd">
<ep-request lang="en"
  dtd-version="1.0"
  produced-by="applicant"
  no="EP"
  date-produced="20240122 11:19:17">
  <file-reference-id>1001_appl-inv</file-reference-id>
  <request-petition>Grant of European patent, and examination of the application under Article 94,
  are hereby requested.</request-petition>
  <invention-title lang="en">INSTANT WATER</invention-title>
  <invention-title lang="fr">EAU INSTANTANÉE</invention-title>
  <invention-title lang="de">INSTANT-WASSER</invention-title>
  <parties>
  ...
  </parties>
  <check-list>
  <cl-request/>
  </check-list>
  <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
```



```

<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    ...
  </ep-designated-states>
  <ep-art61-appl>EP20760406.7</ep-art61-appl>
  <ep-declarations>
    <declaration-of-micro-entity/>
  </ep-declarations>
  <ep-electronic-files doc-type="1001">
    <applicant-file-name/>
    <epo-file-name>ep-request.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    ...
  </ep-financial-data>
</ep-office-specific-data>
</ep-request>

```

4.3.5 Reference to a previously filed European application

XML ep-request.xml

When referring to a previously filed EP application (element 4), the *ep-request.xml* file will include an additional XML element **<ep-previously-filed-application>**, which contains the EP following attributes:

XML Attribute	Attribute Description	Example/fixed value
filing-date	Date of filing of the previously filed application, in YYYYMMDD format (element 7)	E.g.: "20090430"
ep-document-type	Type of referred document (element 6). Can be one of the following: patent, provisional, utility, PCT	E.g.: "patent"
replaces-claim	"yes" or "no" value indicating if the previously filed application also replaces claims (Rule 57(c)).	E.g.: "no"
number-of-claims	If the application replaces claims (see above), this specifies the no. of claims in the previously filed application.	Blank when replaces-claim="no" .
contains-sequence-listing	"yes" or "no" value indicating if the description contains a sequence listing in accordance with Rule 30(1).	E.g.: "no"
is-also-priority	"yes" or "no" value indicating if the referred previously filed application is also a priority application.	E.g.: "no"

certified-copy	This is an optional attribute when the “Office where the previously filed application was filed” is not EP	E.g.: "later"
----------------	--	---------------

```

10 1 <file-reference-id>1001-doc-prevref</file-reference-id>
11 <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby
12 requested.
13 </request-petition>
14 <invention-title lang="en">Instant water</invention-title>
15 <invention-title lang="fr">Eau instantane</invention-title>
16 <invention-title lang="de">Instant wasser</invention-title>
17 4 <ep-previously-filed-application filing-date="20090430" 7
18 ep-document-type="patent" 6
19 replaces-claims="no"
20 number-of-claims=""
21 contains-sequence-listing="no"
22 is-also-priority="no">
23 <document-id lang="en">
24 5 <country>EP</country>
25 <doc-number>EP09000123.1</doc-number> 8
26 </document-id>
27 </ep-previously-filed-application>
28 <parties>
47 <check-list>
50 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
51 <ep-office-specific-data office="EP" lang="en">
52 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
59 2 <ep-art61-appl>EP09000123.1</ep-art61-appl>
60 <ep-declarations>
62 <ep-electronic-files doc-type="1001">
66 <ep-electronic-files doc-type="SPECEPO">
70 <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
399 </ep-office-specific-data>
400 </ep-request>

```

Figure 24: Request XML: Reference to an Art. 61(1)(b) application

Element list

- (1) User reference (field shown in section **About the application** on the GUI)
- (2) Art. 61(1)(b) application of earlier application
- (3) Application number of Art. 61(1)(b) application of earlier application
- (4) Reference is made to previously filed application
- (5) Office where previous application was filed (only EP for Art. 61(1)(b) application)
- (6) Kind of application (only patent application for Art. 61(1)(b) application)
- (7) Filing date
- (8) Application number (inferred from (3))

4.3.6 Reference to a previous international application

XML ep-request.xml

```

1 <ep-previously-filed-application filing-date="20120627" 4
3 ep-document-type="patent"
6 replaces-claims="yes"
7 number-of-claims="25"
10 contains-sequence-listing="yes"
9 is-also-priority="yes"
11 certified-copy="later">
  <document-id lang="it" 14
2 <country>IT</country>
  <doc-number>TO2012A123456</doc-number> 5
  </document-id>
</ep-previously-filed-application>
<parties>
<priority-claims>
12 <ep-priority-claim sequence="1" kind="national" ep-document-type="patent">
  <country>IT</country>
  <doc-number>TO2012A800789</doc-number>
  <date>20121125</date>
  <priority-doc-from-library/>
  <earlier-searches>
  </ep-priority-claim>
</priority-claims>
<check-list>
  <cl-request/>
  <cl-claims number-claims-fee-calculation="15" 8
  <cl-abstract page-count="8" ppf="1" ppl="8">
</check-list>
<figure-to-publish>
<ep-language-of-filing lang-code="non-epo">it</ep-language-of-filing>
<ep-language-of-filing lang-code="translation">en</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
</ep-declarations>
13 <declaration-translation-filed-later/>
</ep-declarations>
  <ep-electronic-files doc-type="1001">

```

Figure 27: Request XML: reference to previously filed priority application, re-establishment of rights requested

Element list

- (1) Reference is made to a previously filed application
- (2) Office where previous application was filed
- (3) Kind of application
- (4) Filing date
- (5) Application number
- (6) Reference to previously filed application also replaces claims (Rule 57(c))
- (7) Number of claims in previous application
- (8) Number of claims you intend to pay for (example including first 15 claims)
This value is used for the fee calculation. Please set the value to **0** (zero) if you do not intend to pay for any claims with this application.
- (9) Previously filed application is also a priority application.
- (10) Description contains a sequence listing in accordance with Rule 30(1)
- (11) A certified copy will be filed later
- (12) Further priority declaration (as filled out in **Priority** section in the **Application details** tab).
More details in section [EP1001 – Application details – Priority](#).
- (13) A translation of the previously filed application will be supplied later (selected in **Documents** tab).
- (14) Filing language of previous application (selected in **General information** tab).

4.4 EP1001 – Parties, Inventors

The **Parties, Inventors** tab of Form EP1001 accommodates all data for names, persons and addresses relating to the application. At least one applicant is required.

- Applicant(s)
- Representative(s)
- Inventor(s)
- Authorisations and waivers
- Address for correspondence

The **<parties>** element in *ep-request.xml* contains all the different parties involved in the submission (in the case of EP1001, applicants, representatives/agents or inventors) and is grouped into the following entries:

- **<applicants>** contains one or more **<applicant>** elements for each involved applicant.
 - When an applicant is named in **<applicants>** section as a *common representative*, a single **<correspondence-address>** element may also be present under **<parties>** providing a separate address for correspondence for said applicant (if applicable). Please see [Example: Applicant is natural person and also inventor](#) for more details.
- **<agents>** contains one or more **<ep-agent>** elements for each involved representative.
- **<inventors>** contains one or more **<ep-inventor>** elements for each involved inventor.

The required attributes for each individual **<applicant>**, **<ep-inventor>** and **<ep-agent>** element are mostly specific to the type of party, as listed in the table below:

XML Element	XML Attribute	Attribute Description	Example/fixed value
<applicant>	sequence	Order no. of the applicant in the list of applicants. Always required. For submissions with no applicants named, this value should be "0" . See note (*) below this table.	E.g.: "1" for 1 st applicant
	designation	Fixed value indicating that designated states are as indicated in the submission. Always required.	Fixed value: "as-indicated"
	app-type	Indicates the type of applicant. Always required. Can be one of the following: <ul style="list-style-type: none"> ▪ "applicant": regular applicant. ▪ "applicant-inventor": applicant who is also the inventor. 	E.g.: "applicant-inventor"

		<ul style="list-style-type: none"> ▪ “employee”: legal applicant who is represented by an employee. 	
<ep-agent>	sequence	Order no. of the representative in the list of representatives. Always required.	E.g.: “1” for 1 st representative
	rep-type	Always required. Indicates sub-type of representative as follows: <ul style="list-style-type: none"> ▪ “common-representative”: association. ▪ “agent”: individual. ▪ “attorney”: legal practitioner. 	E.g.: “common-representative”
	ep-association-number	If rep-type= “common-representative” (association), this attribute is required and must provide its registration no.	E.g.: “125”
	ep-authorisation	Required if representative chooses to file a general authorisation, and the value indicates its type as follows: <ul style="list-style-type: none"> ▪ “attached”: individual authorisation is attached. ▪ “registered”: general authorisation has been registered under number in attribute general_authorisation_number (see below). ▪ “filed-not-yet-registered”: 	E.g.: “attached”
	general_authorisation_number	If ep-authorisation= “registered” , this attribute is required and must provide the no. under the authorisation is registered.	E.g.: “102356”
<ep-inventor>	sequence	Order no. of the inventor in the list of inventors. Always required.	E.g.: “1” for 1 st inventor
	designation	Fixed value indicating that designated states are as indicated in the submission. Always required.	Fixed value: “as-indicated”
	deceased	“yes” or “no” value indicating if the inventor is deceased or not. Always required.	E.g.: “no”
	inv-rights	Always required. Indicates how the inventor has acquired the right to the European patent: <ul style="list-style-type: none"> ▪ “employee”: as employer. ▪ “successor”: as a successor in title. ▪ “under-agreement”: by an agreement dated as indicated by attribute inv-rights-date (see below). 	E.g.: “under-agreement”

(*) Note that, even if a submission is to be imported with no applicants listed under the **Parties, Inventors** section (either as a draft to be filled out later, or as a submission with only representatives named), the **<applicants>** section must still be present and contain an empty **<applicant>** entry with a **sequence** no. **"0"**, as the example snippet below:

```
<applicants>
  <applicant sequence="0" app-type="applicant" designation="as-indicated">
    <addressbook lang="en">
      <name name-type="legal"/>
      <address>
        <postcode/>
        <country/>
      </address>
    </addressbook>
    <nationality>
      <country/>
    </nationality>
    <residence>
      <country/>
    </residence>
  </applicant>
</applicants>
```



Please refer to the example scenarios provided in subsequent sub-chapters in this section (e.g.: [Two applicants, two representatives, one inventor](#)) for more details on how the above attributes are set in each possible case.

Each **<applicant>**, **<ep-inventor>** and **<ep-agent>** element should contain:

- A single **<addressbook>** sub-element with the **name and address details**. This element should **always be present** (required).
- If a specific country of **nationality** is to be specified, a **<nationality>** sub-element should also be present. This will contain a single **<country>** child element with the 2-letter country code (e.g.: "IT" for Italy).
- Similarly, if a specific country of **residence** is to be specified, a **<residence>** sub-element should also be present, with the same internal structure as the above.



The **<nationality>** and **<residence>** sections are only applicable to **<applicant>** and **<ep-agent>** entries (i.e., not for **<ep-inventor>**)

The example below shows the basic structure for the **<parties>** section in a request that only includes a single applicant specifying *Italy* (IT) as both their nationality and residence country:

```
<parties>
  <applicants>
    <applicant sequence="1"
      designation="as-indicated"
      app-type="applicant">
      <addressbook lang="en">
```

```

...
</addressbook>
<nationality>
  <country>IT</country>
</nationality>
<residence>
  <country>IT</country>
</residence>
</applicant>
</applicants>
</parties>

```

The **<addressbook>** element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: `<addressbook lang="en">`

The structure of the **<addressbook>** element is specific to the type of party involved (applicant/representative/inventor) and its sub-type (e.g., legal or natural person, for applicants):

Party role	Sub-type	XML Elements in <addressbook>
<applicant>	Applicant, legal person	<pre> <name name-type="legal"> <registered-number/> (***) <address> <address-2> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
	Applicant, natural person	<pre> <last-name> <first-name> <orgname> <department> <registered-number/> (***) <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
<ep-agent>	Professional representative, association	<pre> <last-name> (*) <department> <registered-number> <address> <pobox> <street> <city> <state> <postcode> <country> </address> </pre>

		<phone> <email>
	Professional representative, individual	<last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email>
	Legal practitioner	<i>Same as above.</i>
<ep-inventor> (**)	Inventor	<last-name> <first-name> <address> <city> <postcode> <country> </address>

- i** (*) For representatives of sub-type *association* (i.e., with attribute **rep-type="common-representative"**), the value of the **<last-name>** element corresponds to the **Organisation name** of the association acting as representative.
- i** (**) Note that other address detail elements available for **Applicants** do not appear for **Inventors** in OLF2.0's GUI and the PDF request. However, those elements still exist in XML.
- i** (***) In the case of applicants, element **<registered-number/>** is ignored and can be empty.

Below is an example showing the general structure of a **<parties>** element in *ep-request.xml* containing a single **<applicant>** entry, with the top-level elements and attributes listed in the previous tables:

```

<parties>
  <applicants>
    <applicant sequence="1"
      designation="as-indicated"
      app-type="applicant-inventor">
      <addressbook lang="en">
        <last-name>Manzoni</last-name>
        <first-name>Salvatore</first-name>
        <orgname>Borghese S.A.</orgname>
        <department>Invenzioni</department>
        <registered-number/>
        <address>
          <pobox/>
          <street>Via Roma 8 / Piazza del Duomo</street>
          <city>Milano</city>
          <state/>
        </address>
      </applicant>
    </applicants>
  </parties>

```



```

        <postcode>20100</postcode>
        <country>IT</country>
    </address>
    <phone>+39 2 5056 10</phone>
    <email>manzoni@borghese.it</email>
</addressbook>
<nationality>
    <country>IT</country>
</nationality>
<residence>
    <country>IT</country>
</residence>
</applicant>
</applicants>
</parties>

```

See the examples included below in subsequent chapters for more details about other possible scenarios including different parties involved.

4.4.1 Example: Applicant is natural person and also inventor

XML ep-request.xml

In this example, there is only one **<applicant>** in the **<applicants>** group:

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE ep-request
3    SYSTEM "ep-request-v1-15.dtd">
4  <ep-request lang="en"
5    dtd-version="1.0"
6    produced-by="applicant"
7    ro="EP"
8    date-produced="20240122 11:19:17"><!--software_name --><!--software_version --><!--stylesheet_version 3-->
9  <file-reference-id>1001_appl-inv</file-reference-id>
10 <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby
11   requested.
12 </request-petition>
13 <invention-title lang="en">INSTANT WATER</invention-title>
14 <invention-title lang="fr">EAU INSTANTANÉE</invention-title>
15 <invention-title lang="de">INSTANT-WASSER</invention-title>
16 <parties>
17   <applicants>
18     <applicant sequence="1"
19       designation="as-indicated"
20       app-type="applicant-inventor">
21       <addressbook lang="en">
22         <prefix/>
23         <last-name>Manzoni</last-name>
24         <first-name>Salvatore</first-name>
25         <orgname>Borghese S.A.</orgname>
26         <department>Invenzioni</department>
27         <registered-number/>
28         <address>
29           <pobox/>
30           <street>Via Roma 8 / Piazza del Duomo</street>
31           <city>Milano</city>
32           <state/>
33           <postcode>20100</postcode>
34           <country>IT</country>
35         </address>
36         <phone>+39 2 5056 10</phone>
37         <email>manzoni@borghese.it</email>
38       </addressbook>
39       <nationality>
40         <country>IT</country>
41       </nationality>
42       <residence>
43         <country>IT</country>
44       </residence>
45     </applicant>
46   </applicants>
47 </parties>
48 <check-list>
49 </check-list>
50 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
51 <ep-office-specific-data office="EP" lang="en">
52 </ep-office-specific-data>
399 </ep-request>

```

Figure 30: Parties, Inventors XML: applicant is also inventor

Element list

- (1) Applicant 1 (does not appear in GUI)
- (2) Last name
- (3) First name
- (4) Title / prefix: **this element is deprecated and ignored if present.**
- (5) Registration number: does not appear in GUI and PDF, but element still exists in XML
- (6) Organisation name
- (7) Department
- (8) Country
- (9) Address / street (Line 1): joined with (10) into a single string in XML and PDF, using character “/” as separator.
- (10) Address / street (Line 2): see above
- (11) P.O. box number
- (12) Postal code
- (13) City

- (14) Province/state/county - only applicable to US (US states), GB (GB counties) and other countries with states or regions (Australia, Canada)
- (15) Telephone
- (16) E-mail
- (17) Country/territory of nationality
- (18) Country/territory of residence
- (19) **Address for correspondence:** If selected, no representative can be added, but a separate address for correspondence (if different from applicant's address). **Not shown in the example above (see note below).**
- (20) **Applicant is also inventor:** if selected, inventor's address in the PDF form is copied from applicant's address.



Element (19) **Address for correspondence** can only be supplied if, for the referred applicant:

* Checkbox “*Common representative*” is enabled in the GUI.

* Element (18) **Country/territory of residence** is set to an EPC contracting state (e.g.: IT)

A **<correspondence-address>** child element must also be present inside **<parties>** in XML file *ep-request.xml*, in addition to **<applicants>**. This element must contain a single **<addressbook>** record in a similar format as described above, but containing only the following children: **<last-name>**, **<first-name>**, **<address>**

See example below:

```

16 | <parties>
17 |   <applicants>
47 |   <correspondence-address>
48 |     <addressbook lang="en">
49 |       <last-name>Manzoni</last-name>
50 |       <first-name>Salvatore</first-name>
51 |       <address>
52 |         <pobox/>
53 |         <street>Via Roma 8 / Piazza del Duomo</street>
54 |         <city>Milano</city>
55 |         <state/>
56 |         <postcode>20100</postcode>
57 |         <country>IT</country>
58 |       </address>
59 |     </addressbook>
60 |   </correspondence-address>
61 | </parties>

```

4.4.2 Example: Two applicants, two representatives, one inventor

The structure of the names data is basically the same for all persons and is described above in [5.4.1 Applicant is natural person and also inventor](#) for the applicant. There are further options for representatives.

```

29 <parties>
30   <applicants>
31     (2) <applicant sequence="2" designation="as-indicated" app-type="applicant">
54     (1) <applicant sequence="1" designation="as-indicated" app-type="applicant">
80   </applicants>
81   <inventors>
82     (3) <ep-inventor sequence="1"
83           designation="as-indicated"
84           deceased="no"
85           inv-rights="successor">
97   </inventors>
98   <agents>
99     <ep-agent rep-type="common-representative" (5)
100           (4) sequence="1"
101             ep-authorisation="registered" (6)
102             (7) general_authorisation_number="102356"
103             ep-association-number="0.0" (8)
104     <addressbook lang="en">
105       <last-name>IP Partners</last-name>
106       (9) <first-name/>
107       <department>European Patents</department>
108       <registered-number/>
109       <address>
110         <pobox>5088</pobox>
111         <street>Cambridge Science Park / 100 Red Lion Square</street>
112         <city>Cambridge</city>
113         <state>Cambridgeshire</state>
114         <postcode>CB2 1AB</postcode>
115         <country>GB</country>
116       </address>
117       <phone>+44 1223 3516-0</phone>
118       <email>office@ip-partners.co.uk</email>
119     </addressbook>
120   </ep-agent> (11) (10) (12)
121   <ep-agent rep-type="attorney" sequence="2" ep-authorisation="attached">
141   </agents>
142 </parties>

```

Figure 37: Names XML: attributes for inventor, address for second representative

Element list

- (1) Applicant 1
- (2) Applicant 2 (n applicants possible)
- (3) Inventor 1 (n inventors possible)
- (4) Representative 1
- (5) Representative 1 is a legal person
- (6) Type of authorisation of representative 1
- (7) General authorisation number of representative 1
- (8) Association number of representative 1
- (9) <first-name/> is empty for legal persons
- (10) Representative 2 (n representatives possible)
- (11) Representative 2 is an authorised representative (natural person)
- (12) Type of authorisation of representative 2

4.4.3 Example: Two applicants with Rule 7a(1) declaration, first applicant represented by authorised employee

XML ep-request.xml

```

<parties>
  <applicants>
    1 <applicant sequence="1" designation="as-indicated" app-type="applicant">
      <addressbook lang="en">
        <nationality>
          <country/>
        </nationality>
        <residence>
          2 <country>CH</country>
        </residence>
      </applicant>
    3 <applicant sequence="2" designation="as-indicated" app-type="applicant">
      <addressbook lang="en">
        <nationality>
          4 <country>IT</country>
        </nationality>
        <residence>
          5 <country>IT</country>
        </residence>
      </applicant>
    6 <applicant sequence="1" app-type="employee" designation="as-indicated">
      <addressbook lang="en">
        <prefix/> 9
        7 <last-name>Mercer</last-name>
        <first-name>Jeanne-Marie</first-name> 8
        10 <iid>23.78990</iid>
        <address>
          <postcode/>
          <country/>
        </address>
      </addressbook>
      <nationality>
        <country>EP</country>
      </nationality>
      <residence>
        <country>EP</country>
      </residence>
    </applicant>
  </applicants>
</parties>

11 <check-list>
  <ep-language-of-filing lang-code="non-epo">it</ep-language-of-filing>
  <ep-language-of-filing lang-code="translation">en</ep-language-of-filing>
  <ep-office-specific-data office="EP" lang="en">
    <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    </ep-designated-states>
    12 <ep-request-for-exam-art94 lang="it"/>
    <ep-declarations>
      <declaration-of-entity-or-natural-person/> 13
    </ep-declarations>
    <ep-electronic-files doc-type="1001">
    </ep-electronic-files>
    <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    </ep-financial-data>
  </ep-office-specific-data>
</check-list>
</ep-request>

```

Figure 40: Names XML: employee representing applicant

Element list

- (1) Applicant 1: legal person
- (2) Principal place of business is in an EPC contracting state
- (3) Applicant 2: natural person

- (4) Nationality of an EPC contracting state
- (5) Residence in an EPC contracting state
- (6) Applicant 1: employee acting pursuant to Art. 133(3) EPC
If an employee acts as representative, no further representative can be added.
- (7) Last name
- (8) First name
- (9) Prefix / Title. **This element is deprecated and ignored if present.**
- (10) General authorisation number
- (11) Filing language in an admissible non-official EPO language
- (12) Language of request for examination in an admissible non-official EPO language
- (13) Declaration under Rule 7(1) activated

4.4.4 Example: Inventor with waiver under Rule 20(1) EPC

XML ep-request.xml

```

<inventors>
  1 <ep-inventor sequence="1" designation="as-indicated" deceased="no" inv-rights="under-agreement" inv-rights-date="20140923">
  4 <ep-inventor sequence="2" designation="as-indicated" deceased="no" inv-rights="under-agreement" inv-rights-date="20131126">
  7 <ep-inventor sequence="3"
    designation="as-indicated"
    deceased="no"
    8 renunciation="1"
    inv-rights="employee"> 9
    <addressbook lang="en">
      <last-name>Lavail</last-name>
      <first-name>Thierry</first-name>
      <address>
        <city>Rome</city>
        <postcode/>
        <country>IT</country>
      </address>
    </addressbook>
  11 </ep-inventor>
  10 <ep-inventor sequence="4" designation="as-indicated" deceased="no" inv-rights="employee">
  12 <ep-inventor sequence="5"
    designation="as-indicated"
    13 deceased="yes"
    inv-rights="successor"> 14
    <addressbook lang="en">
      <last-name>Lavail</last-name>
      <first-name>Bertrand</first-name>
      <address>
        <city/>
        <postcode/>
        15 <country>FR</country>
      </address>
    </addressbook>
  </ep-inventor>
</inventors>

```

[...]

```


<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
  <ep-declarations/>
  <ep-electronic-files doc-type="1001">
  16 <ep-electronic-files doc-type="INVT201">
    <applicant-file-name/>
    <epo-file-name>Signed-EPR201-1.pdf</epo-file-name>
  </ep-electronic-files>
  17 <ep-electronic-files doc-type="F1002">
    <applicant-file-name/>
    <epo-file-name>f1002-1.pdf</epo-file-name>
  </ep-electronic-files>
  18 <ep-electronic-files doc-type="F1002E">
    <applicant-file-name/>
    <epo-file-name>f1002-2.pdf</epo-file-name>
  </ep-electronic-files>

```

Figure 46: Names XML: inventors, inventor waivers

Element list

- (1) Inventor 1
- (2) The applicant has acquired the right to the European patent under an agreement.
- (3) Date of the agreement
- (4) Inventor 2
- (5) The applicant has acquired the right to the European patent under an agreement.
- (6) Date of the agreement
- (7) Inventor 3
- (8) Inventor 3 waives the right to be mentioned under Rule 20(1).

 The signed waiver must be attached as an additional document (**Signed-EPR201.pdf**) to take effect. The internal **EPR201-3.pdf** which is automatically created by Online Filing may be used for printing and signing; however, you are not required to attach it to the application.

- (9) The applicant has acquired the right to the European patent as employer of the inventor
- (10) Inventor 4
- (11) The applicant has acquired the right to the European patent as employer of the inventor
- (12) Inventor 5
- (13) Inventor 5 is deceased
- (14) The applicant has acquired the right to the European patent as successor in title
- (15) Address elements of deceased inventor are empty, except <country> which is mandatory
- (16) Waiver under Rule 20(1) for Inventor 3 attached as **Signed-EPR201.pdf**
- (17) Designation of public inventors: EPO file name **f1002-1.pdf**
- (18) Designation of non-public inventors: EPO file name **f1002-2.pdf**

The extra forms concerning the non-public inventor are referenced. See [EP1001 - Documents / Additional documents](#) for an example with the corresponding PDF files.

4.5 EP1001 – Application details – Designation of states

The **Designation of contracting states, extension states, validation states** section of tab **Application details** in Form EP1001 allows applicants to select designated states, extension states and validation states for their application.

- **All the contracting states party to the EPC are automatically selected for designation;** there is only one flat fee for all states.
- Different designations can be assigned to different applicants, if there is more than one applicant. The designation fee, however, has always to be paid for all contracting states.
- All extension states or individual extension states can be selected. The extension fee is due for each individual state.
- All validation states or individual validation states can be selected where applicable. The validation fee is due for each individual state.

The applicable designation, extension and validation states are defined by the states applicable on the date of import/export or filing, respectively. In case of a divisional application, the states as of the date of filing of the earlier application are deemed to be designated.



For the latest list of EPC contracting states, extension states and validation states see the EPO website at **About us** > [Legal foundations and member states](#). The EPC contracting states include all overseas departments and territories.

The global information about selection of designated contracting/extension/validation states (applicable to all applicants) is imported from element `<ep-designated-states>` inside `<ep-office-specific-data>`. Below is an example showing the basic structure of element `<ep-designated-states>` in *ep-request.xml* and the top-level elements in it:

```
<ep-request lang="en"
  dtd-version="1.0"
  produced-by="applicant"
  ro="EP"
  date-produced="20240122 11:19:17">
...
  <ep-office-specific-data office="EP" lang="en">
    <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
      <region>
        <country>EP</country>
      </region>
      <country>...</country>
      ...
      <extension-states>
        ...
      </extension-states>
      <validation-states>
        ...
      </validation-states>
    </ep-designated-states>
  </ep-office-specific-data>
</ep-request>
```

The root `<ep-designated-states>` element shown above must contain the following attributes:

- **waiver-communication-and-processing-of-non-designated-states**: required value which must be always present and set to value “no” (see example in [EP1001 - Application details / Designation – All states designated](#)).

The root `<ep-designated-states>` element should be followed by:

- A `<region>` element, which is **always present** and always contains the following single entry: `<country>EP</country>` (representing all contracting states in EPC).
- A set of **none** or **more** `<country>` child elements, one per contracting state that is hereby designated to the application. E.g.: `<country>FR </country>`
- A `<extension-states>` element, which can either be **empty** (if no extension states are selected for the application) or, otherwise, contain a set of **one** or **more** `<country>` child elements listing the selected extension states.

- A **<validation-states>** element, identical in format to the one above but for validation states.

For scenarios where multiple applicants need to indicate different designated states from the others, this information will be imported from a **<designated-states>** element inside their corresponding **<applicant>** entry in **<parties>**. (see: [EP1001 – Parties, Inventors](#)). The basic structure of this **<designated-states>** element is the same as the one inside **<ep-office-specific-data>** as previously described. E.g.:

```

<applicant sequence="1"
           designation="as-indicated"
           app-type="applicant">
  <addressbook lang="en">
    ...
  </addressbook>
  <nationality/>
  <residence/>
  <designated-states>
    <region>
      <country>EP</country>
    </region>
    <country>...</country>
    ...
  </designated-states>
</applicant>

```

See the examples provided below for details about the structure of this element and its expected children elements / attributes for several scenarios.

4.5.1 Example: Designation – All states designated

XML ep-request.xml

```

148 | <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
149 | <ep-office-specific-data office="EP" lang="en">
150 |   ① <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
151 |     <region>
152 |       <country>EP</country> ②
153 |     </region>
154 |     <extension-states/>
155 |     <validation-states/>
156 |   </ep-designated-states>
157 | <ep-declarations>

```

Figure 51: States XML: designation of all contracting states to the EPC

Element list

- (1) All states which are contracting to the EPC at the time of filing this application are hereby designated.
- (2) Country = EP, comprising automatically all states

4.5.2 Example: Different states for two applicants in divisional application

For scenarios where multiple applicants have different designated states, those will be listed in a **<designated-states>** element inside their corresponding **<applicant>** entry in **<parties>**. (see: [EP1001 – Parties, Inventors](#)). The basic structure of this **<designated-states>** element is the same as the one inside **<ep-office-specific-data>** as previously described. E.g.:

```

<applicant sequence="1"
           designation="as-indicated"
           app-type="applicant">
  <addressbook lang="en">
    ...
  </addressbook>
  <nationality/>
  <residence/>
  <designated-states>
    <region>
      <country>EP</country>
    </region>
    <country>...</country>
    ...
  </designated-states>
</applicant>

```

The example below demonstrates the selection of different designation states for two different applicants.



By default, when using the OLF2.0 GUI, all states are designated for a European patent application. If you want to include only specific states for the applicants individually, you can do so by selecting them in the form – or listing them in the XML file for import.

XML ep-request.xml

```

<parties>
  <applicants>
    (1) <applicant sequence="1" designation="as-indicated" app-type="applicant">
      <addressbook lang="en">
        <nationality>
        <residence>
          (2) <designated-states>
            <country>ES</country>
            <country>FR</country>
            <country>IT</country>
            <country>MC</country>
            <country>MT</country>
          </designated-states>
        </applicant>
        (4) <applicant sequence="2" designation="as-indicated" app-type="applicant-inventor">
          <addressbook lang="en">
            <nationality>
            <residence>
              (5) <designated-states>
                <region>
                  <country>EP</country>
                </region>
                <country>AL</country>
                <country>AT</country>
                <country>BE</country>
                <country>TR</country>
                <country>LI</country>
              </designated-states>
            </applicant>
          </applicants>
        </parties>
      <check-list>
        <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
        <ep-office-specific-data office="EP" lang="en">
          (6) <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
            <region>
              <country>EP</country> (3)
            </region>
            <extension-states/>
            <validation-states/>
          </ep-designated-states>
          <ep-declarations>
            <ep-electronic-files doc-type="1001">
            <ep-electronic-files doc-type="1003">
            <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
          </ep-office-specific-data>
        </ep-request>

```

Figure 56: States XML: all designations for applicant 2 and applicant 1

Element list

- (1) Applicant 1
- (2) Designations for applicant 1: specific **<country>** element for each state
- (3) Summary of designations for applicant 1 and applicant 2
- (4) Applicant 2
- (5) Designations for applicant 2: specific **<country>** element for each state
- (6) All contracting states [...] are deemed to be designated

4.5.3 Example: All extension states and no validation states selected

XML ep-request.xml

If no validation states are selected, the `<validation-states/>` element must be empty, as shown in the example below:

```
<ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
  <region>
    <country>EP</country>
  </region>
  <extension-states>
    <country>BA</country>
  </extension-states>
  <validation-states/>
</ep-designated-states>
```

4.5.4 Example: All validation states and no extension states selected

XML ep-request.xml


If no extension states are selected, the `<extension-states/>` element must be empty, as shown in the example below:

```
<ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
  <region>
    <country>EP</country>
  </region>
  <extension-states/>
  <validation-states>
    <country>KH</country>
    <country>MA</country>
    <country>MD</country>
    <country>TN</country>
    <country>GE</country>
  </validation-states>
</ep-designated-states>
```

4.6 EP1001 – Application details – Priority

The **Priority** section in tab **Application details** in Form EP1001 is used to enter all priority declarations. The number of national, regional and international priorities is unlimited.

The information about priority claims for the application is imported from section `<priority-claims>` inside `<ep-request>` in *ep-request.xml*.

 This section must be present if the application has a declaration for one or more priority claims. Otherwise, it can be omitted from *ep-request.xml*.

Below is an example showing the basic structure of element `<priority-claims>` in *ep-request.xml* and the top-level elements in it:

```
...
```

```

</parties>
<priority-claims>
  <ep-priority-claim sequence="1" kind="national" ep-document-type="patent">
    <country/>
    <doc-number/>
    <date/>
    <priority-doc-from-library/>
    <earlier-searches>
      <earlier-search search-type="national"
        id="ID_1"
        office=""
        declaration-of-no-search="not-determined">
        <doc-page he="1" type="pdf" wi="1" file=""/>
      </earlier-search>
    </earlier-searches>
  </ep-priority-claim>
  ...
</priority-claims>
<check-list>
...

```

Each declaration of priority is stored as a **<ep-priority-claim>** element in **<priority-claims>**, and must contain the following attributes:

- **sequence**: Order no. of the priority claim in the list. E.g.: **"1"** for the first claim.
- **kind**: can be **"national"**, **"regional"** and **"international"**, depending on the type of claim.
- **ep-document-type**: type of application document being attached. Can be one of the following values:
 - **"patent"** (default type in most cases)
 - **"utility"** (utility model)
 - **"provisional"**
 - **"PCT"** (for *international* claims)

The table below list the child elements in each **<ep-priority-claim>** entry:

XML Element	Description, attributes and sub-elements
<country>	2-letter code of country/region to which the claim applies. E.g.: <country>FR</country> (France) <country>EP</country> (all EPC countries).
<doc-number>	Application number of priority claim.
<date>	Date of priority claim, in yyyyMMdd format.
<priority-doc-from-library>	When the EPO is requested to retrieve priority documents from the WIPO <i>Digital Access System</i> (DAS), this element must be present with an empty value and the following attributes : <ul style="list-style-type: none"> ▪ library-identifier: <i>Empty value.</i> ▪ action-by: <i>Empty value.</i> ▪ priority-doc-access-code: DAS Access code.

	<p>E.g.: <code><priority-doc-from-library library-identifier="" action-by="" priority-doc-access-code="1234"/></code></p> <p>If there is no such request, the element can be empty or missing.</p>
<code><earlier-searches></code>	<p>Contains a single <code><earlier-search></code> element with the following attributes:</p> <ul style="list-style-type: none"> ▪ search-type: must be one of the following values depending on how of the kind attribute in its parent <code><ep-priority-claim></code> element was set: <ul style="list-style-type: none"> ○ "national", if kind="national" ○ "international-type", if kind="regional" ○ "isr", if kind="international" ▪ id-by: "ID_#", where # is the sequence number of the claim. E.g.: "ID_1" ▪ office: must match the value of the country attribute in its parent <code><ep-priority-claim></code> element. E.g.: "FR" ▪ declaration-of-no-search: should always be fixed value "not-determined". <p>This <code><earlier-search></code> element contains a single <code><doc-page></code> sub-element with the following attributes:</p> <ul style="list-style-type: none"> ▪ he: fixed value "1". ▪ type: fixed value "pdf". ▪ wi: fixed value "1". ▪ file: EPO filename of attached priority document (see Document codes and file types for EP1001 for details on document naming convention). E.g.: "PRSR-1.pdf" <p>E.g.:</p> <pre><earlier-searches> <earlier-search search-type="national" id="ID_1" office="FR" declaration-of-no-search="not-determined"> <doc-page he="1" type="pdf" wi="1" file="PRSR-1.pdf"/> </earlier-search> </earlier-searches></pre>

Additionally, when adding a priority claim, it is also possible to:

- Request the **re-establishment of rights** (Article 122 EPC, Rule 136(1) EPC) in respect of the priority period (Article 87(1) EPC). **Re-establishment of rights** is applicable when the filing date of the priority application is between 12 and 14 months prior to the filing date of the new application.
- Declare that the European patent application being filed is a **complete translation** of this priority application (Rule 53(3) EPC).
- Declare that there is **no intention to file a (further) declaration of priority**.

In those cases, additional information needs to be imported from section **<ep-declarations>** in the **<ep-office-specific-data>** top-level element in *ep-request.xml*, specifically from the following entries that must be present if any of the above cases are applicable (otherwise, they can be missing from the XML file).

- **<request-re-establishment>**
- **<declaration-complete-translation-of-priority>**
- **<declaration-no-intention-to-file-further-priority/>**

The following sample snippet shows the basic structure for the above entries:

```
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    ...
  </ep-designated-states>
  <ep-declarations>
    <request-re-establishment>
      <document-id lang="">
        <country>EP</country>
        <doc-number>10123000.1</doc-number>
      </document-id>
    </request-re-establishment>
    <declaration-complete-translation-of-priority>
      <document-id lang="">
        <country>IT</country>
        <doc-number>TO 2011 A234098</doc-number>
      </document-id>
    </declaration-complete-translation-of-priority>
    <declaration-no-intention-to-file-further-priority/>
  </ep-declarations>
```

Please see the example scenario provided below for more details on the structure described above.

4.5.3 Example: Three types of priority claims (national, regional, international)

In the provided example:

- Three priorities have been entered, one for each priority type: **national**, **regional** and **international**.
- The national priority has the **translation option** selected and the international priority with the **Request for retrieval of priority document from DAS** option selected.
- Copies of the search results have been attached for both the national and the regional priority.
- The applicant also declares that it is not intended to file a further declaration of priority.

```

1 <priority-claims>
2   <ep-priority-claim sequence="1" kind="national" ep-document-type="patent">
3     <country>IT</country>
4     <doc-number>TO 2011 A234098</doc-number>
5     <date>20110906</date>
6     <priority-doc-from-library/>
7     <earlier-searches>
8       <earlier-search search-type="national">
9         id="ID 1"
10        office="IT"
11        declaration-of-no-search="not-determined"
12        <doc-page he="1" type="pdf" wi="1" file="PRSR-1.pdf"/>
13      </earlier-search>
14    </earlier-searches>
15  </ep-priority-claim>
16  <ep-priority-claim sequence="2" kind="regional" ep-document-type="patent">
17    <country>EP</country>
18    <doc-number>EP23123456.8</doc-number>
19    <date>20231019</date>
20    <priority-doc-from-library/>
21    <earlier-searches>
22      <earlier-search search-type="international-type">
23        id="ID 3"
24        office="EP"
25        declaration-of-no-search="not-determined"
26        <doc-page he="1" type="pdf" wi="1" file="PRSR-2.pdf"/>
27      </earlier-search>
28    </earlier-searches>
29  </ep-priority-claim>
30  <ep-priority-claim sequence="3" kind="international" ep-document-type="patent">
31    <country>US</country>
32    <doc-number>PCT/US2011/123456</doc-number>
33    <date>20110712</date>
34    <priority-doc-from-library library-identifier="" action-by="" priority-doc-access-code="1234"/>
35    <earlier-searches>
36      <earlier-search search-type="isr">
37        id="ID 2"
38        office="US"
39        declaration-of-no-search="not-determined"
40        <doc-page he="1" type="pdf" wi="1" file=""/>
41      </earlier-search>
42    </earlier-searches>
43  </ep-priority-claim>
44 </priority-claims>

```

Figure 65: Priority XML: national, regional and international priority

[...]

```

56 <ep-office-specific-data office="EP" lang="en">
57   <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
58     <ep-declarations>
59       <declaration-complete-translation-of-priority>
60         <document-id lang="">
61           <country>IT</country>
62           <doc-number>TO 2011 A234098</doc-number>
63         </document-id>
64       </declaration-complete-translation-of-priority>
65       <declaration-no-intent-to-file-further-priority/>
66     </ep-declarations>
67     <ep-electronic-files doc-type="1001">
68       <applicant-file-name/>
69       <epo-file-name>ep-request.pdf</epo-file-name>
70     </ep-electronic-files>
71     <ep-electronic-files doc-type="PRSR">
72       <applicant-file-name>Search results IT.pdf</applicant-file-name>
73       <epo-file-name>PRSR-1.pdf</epo-file-name>
74     </ep-electronic-files>
75     <ep-electronic-files doc-type="PRSR">
76       <applicant-file-name>Search results EP.pdf</applicant-file-name>
77       <epo-file-name>PRSR-2.pdf</epo-file-name>
78     </ep-electronic-files>
79     <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
80   </ep-office-specific-data>

```

Figure 66: Priority XML: priority declarations and search results

Element list

- (1) Priority 1
- (2) Type of priority 1: national
- (3) Kind of priority 1: patent application
- (4) Country of priority 1
- (5) Application number of priority 1
- (6) Filing date of priority 1
- (7) Earlier search data priority 1 (element always exists, remains empty if no document attached)
- (8) Earlier search type priority 1
- (9) Earlier search priority 1 internal ID
- (10) Earlier search priority 1 country
- (11) Earlier search priority 1 declaration
- (12) Earlier search priority 1 file type (**always pdf**)
- (13) Earlier search priority 1 EPO file name
- (14) Search results required under Rule 141(1) for priority 1 attached
- (15) Earlier search priority 1 original file name
- (16) Declaration for priority 1: This application is a complete translation of the previous application
- (17) Declaration of complete translation: country of priority 1
- (18) Declaration of complete translation: application number of priority 1
- (19) Declaration of no intention to file (further) declaration of priority
- (20) Priority 2
- (21) Type of priority 2: regional
- (22) Kind of priority 2: patent application
- (23) Country of priority 2
- (24) Application number of priority 2
- (25) Filing date of priority 2
- (26) Earlier search priority 2: EPO file name
- (27) Search results required under Rule 141(1) for priority 2 attached
- (28) Earlier search priority 2: original file name
- (29) Priority 3
- (30) Type of priority 3: international
- (31) Application number of priority 3
- (32) Request for retrieval of priority document from DAS

4.7 EP1001 – Application details – Biological Material

The EP1001 **Biological Material** section of the **Application details** tab is provided to enable applicants to enter all data concerning any biological materials relating to the application.

- Depository institutions (name and address)
- Accession numbers
- References to patent description
- Receipts, authorisations and waivers as attached documents

 Sequence listings are attached in sub-tab *Sequence listings*. See: [EP1001 – Application details – Sequence listings](#)

Each deposit of biological material is imported from a `<ep-biological-material>` element inside section `<ep-office-specific-data>` in *ep-request.xml*. Below is a snippet showing the basic structure of a sample element `<ep-biological-material>` and the top-level elements in it:

```
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    ...
  </ep-designated-states>
  <ep-declarations/>
  <ep-biological-material id="bio1" num="CBS" dnum="Bio-123456">
    <depository>CBS
      <address>
        <address-1>Uppsalalaan 8, 3584 CT Utrecht, Netherlands, or, P.O. Box 85167, 3508 AD
Utrecht, Netherlands</address-1>
        <postcode/>
        <country/>
      </address>
    </depository>
    <bio-accno>CBS-908070</bio-accno>
    <bio-receipt will-be-filed-later="yes"/>
    <bio-authorization will-be-filed-later="yes"/>
    <bio-waiver>BIOM-WAIV-1.pdf</bio-waiver>
    <ep-biological-material-reference>
      <ep-bio-references-page>5</ep-bio-references-page>
      <ep-bio-references-lines>245</ep-bio-references-lines>
    </ep-biological-material-reference>
    <bio-other-deposant>TechInvent SA
34, place de la république
69008 Lyon
France</bio-other-deposant>
    <bio-restriction-to-expert/>
  </ep-biological-material>
  ...
</ep-office-specific-data>
```

An `<ep-biological-material>` element must contain the following attributes:

- **id**: internal ID name of the biological material deposit. This should always start with “**bio**”, followed by its order no. of creation. E.g.: “**bio1**” for the first deposit.
- **num**: short name (abbreviated) of the depository institution. E.g.: “**CBS**”.
- **dnum**: identification reference (i.e., name under which the deposit is listed in OLF2.0 GUI). This can be freely entered by the user filing. E.g.: “**Bio-123456**”.

The table below list the child elements in each `<ep-biological-material>` entry:

XML Element	Description, attributes and sub-elements
<code><depository></code>	This element must contain: <ul style="list-style-type: none"> ▪ A text value indicating the short name of the depository institution. E.g.: “CBS”. ▪ An <code><address></code> child element indicating the full address of the referred institution.

	<p>The aforementioned <code><address></code> record should contain the following sub-elements:</p> <ul style="list-style-type: none"> ▪ <code><address-1></code>: Full address of the institution. This may be followed by additional <code><address-2></code> and <code><address-3></code> elements if the address is to be split into multiple lines. ▪ <code><postcode></code>: Postal code (may be empty). ▪ <code><country></code>: 2-letter country code of the institution. This element must be present, even if its empty. <p>Example:</p> <pre><depository>CBS <address> <address-1>Uppsalalaan 8, 3584 CT Utrecht, Netherlands, or, P.O. Box 85167, 3508 AD Utrecht, Netherlands</address-1> <postcode/> <country/> </address> </depository></pre>
<code><bio-accno></code>	<p>Accession number for the deposit.</p> <p>E.g.: <code><bio-accno>CBS-908070</bio-accno></code></p>
<code><bio-receipt></code>	<p>Indicates if a copy of the deposit receipt issued by the depository institution is to be either attached with the submission or to be filed later:</p> <ul style="list-style-type: none"> ▪ Attached: indicated simply by a <code><bio-receipt/></code> empty element with no attributes. ▪ To be filed later: indicated by an empty element with a <code>will-be-filed-later="yes"</code> attribute.
<code><bio-authorization></code>	<p>Indicates if an authorisation under Rule 31(1)(d) EPC is to be either attached with the submission or to be filed later:</p> <ul style="list-style-type: none"> ▪ Attached: indicated simply by a <code><bio-authorization /></code> empty element with no attributes. ▪ To be filed later: indicated by an empty element with a <code>will-be-filed-later="yes"</code> attribute.
<code><bio-waiver></code>	<p>If a <i>waiver pursuant to Rule 33(2)</i> is attached to the submission, this element must also be present and indicate the name of the attached file corresponding to said document as its value.</p> <p>E.g.: <code><bio-waiver>BIOM-WAIV-1.pdf</bio-waiver></code></p>
<code><ep-biological-material-reference></code>	<p>If the depository institution and accession no. / depositor's identification reference are indicated in the application documents, this element must be present with no value and the following required sub-elements:</p> <ul style="list-style-type: none"> ▪ <code><ep-bio-references-page></code>: Numeric value indicating the page(s) containing the reference. ▪ <code><ep-bio-references-lines></code>: Numeric value indicating the line(s) in the specified page(s) containing the reference.

	<p>E.g.:</p> <pre><ep-biological-material-reference> <ep-bio-references-page>5</ep-bio-references-page> <ep-bio-references-lines>245</ep-bio-references-lines> </ep-biological-material-reference></pre> <p><u>If there is no such reference, this section can be missing.</u></p>
<code><bio-other-deposant></code>	<p>If the deposit is done by a person other than the applicant, this element must be present and have the full address of the deposant as its value.</p> <p>E.g.:</p> <pre><bio-other-deposant>TechInvent SA 34, place de la république 69008 Lyon France</bio-other-deposant></pre>
<code><bio-restriction-to-expert/></code>	<p>If this empty element is present, it indicates that availability is restricted to an expert (Rule 32(1) EPC).</p>

See the examples provided below for more details about the structure of element `<ep-biological-material>` and its expected children elements / attributes for several scenarios.

4.7.1 Example: Deposit details provided, receipt and authorisation to be filed later

XML ep-request.xml

```

<ep-biological-material id="bio1" num="CBS" dnum="bio1-123456">
  <depository>CBS<address>
    <address-1>Uppsalaalan 8, 3584 CT Utrecht, Netherlands, or, P.O. Box 85167, 3508 AD Utrecht, Netherlands</address-1>
    <postcode/>
    <country/>
  </address>
</depository>
  <bio-accno>CBS-908070</bio-accno>
  <bio-receipt will-be-filed-later="yes"/>
  <bio-authorization will-be-filed-later="yes"/>
  <ep-biological-material-reference>
    <ep-bio-references-page>2</ep-bio-references-page>
    <ep-bio-references-lines>5</ep-bio-references-lines>
  </ep-biological-material-reference>
  <bio-other-deposant>TechInvent SA
  34, place de la republique
  69008 Lyon
  France</bio-other-deposant>
  <bio-restriction-to-expert/>
</ep-biological-material>
```

Element list

- (1) Deposit 1
- (2) Identification reference
- (3) Depository institution, abbreviation
- (4) Address of depository institution
- (5) Accession number of deposit
- (6) Reference to description
- (7) Reference page in description
- (8) Reference lines in description

- (9) Availability restricted to experts (Rule 32(1))
- (10) Receipt of deposit will be filed later: if selected, no document can be attached
- (11) Deposit by a person other than the applicant (name and address)
- (12) Authorisation under Rule 31(1)(d) will be filed later: if selected, no document can be attached

4.7.2 Example: Further details, documents attached

XML ep-request.xml

```

<ep-biological-material id="bio1" num="CBS" dnum="bio1-123456">
<ep-biological-material id="bio2" num="ECACC" dnum="EUR-bio-080227">
  <depository>ECACC<address>
  <bio-accno>ECACC-080227</bio-accno>
  <bio-receipt>BIOM-RECEIPT-1.pdf</bio-receipt>
  <bio-authorization>BIOM-AUTH-1.pdf</bio-authorization>
  <bio-waiver>BIOM-WAIV-1.pdf</bio-waiver>
</ep-biological-material>
<ep-electronic-files doc-type="1001">
  <applicant-file-name/>
  <epo-file-name>ep-request.pdf</epo-file-name>
</ep-electronic-files>
<ep-electronic-files doc-type="BIOMRECEIPT">
  <applicant-file-name>bio_receipt.pdf</applicant-file-name>
  <epo-file-name>BIOM-RECEIPT-1.pdf</epo-file-name>
</ep-electronic-files>
<ep-electronic-files doc-type="BIOMAUTH">
  <applicant-file-name>bio_authorisation.pdf</applicant-file-name>
  <epo-file-name>BIOM-AUTH-1.pdf</epo-file-name>
</ep-electronic-files>
<ep-electronic-files doc-type="BIOMWAIV">
  <applicant-file-name>bio_waiver.pdf</applicant-file-name>
  <epo-file-name>BIOM-WAIV-1.pdf</epo-file-name>
</ep-electronic-files>
<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
</ep-office-specific-data>
</ep-request>

```

Figure 74: Biological Material XML: deposit 2, files attached

Element list

- (1) Deposit 2
- (2) Identification reference for deposit 2
- (3) Receipt of deposit is attached (EPO file name)
- (4) Authorisation under Rule 31(1)(d) is attached (EPO file name)
- (5) Waiver pursuant to Rule 33(2) is attached (EPO file name)

4.8 EP1001 – Application details – Sequence listings

If you file a sequence listing with an application using form EP1001, the sequence listing file must always be attached in computer-readable format in accordance with WIPO Standard ST.26.. Only one

sequence listing file can be attached, i.e. either a XML file or a ZIP file (containing only a single ST.26-compliant XML file inside).

Computer-readable sequence listings can be attached as the following file types:

▪ **Sequence Listing in ST.26 (XML)**

- document code = **SEQLXML26**
- EPO file name = **SEQLXML26.xml**

▪ **Sequence Listing in ST.26 (ZIP)**

- document code = **SEQLZIP26**
- EPO file name = **SEQLZIP26.zip**

➔ If you attach a ZIP file, please refer to the list above for the corresponding document codes and EPO file names.

➔ For an example of a sequence listing in ZIP format, see [Sequence listings in computer-readable format](#) in the section about form EP1200.

The provided example shows a sequence listing attached in XML format.

XML ep-request.xml

```

44 <check-list>
45 <cl-request/>
46 (1) <cl-sequence-listing quantity="0"/>
47 </check-list>
48 <ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
49 <ep-office-specific-data office="EP" lang="en">
50 <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
51 <region>
52 <country>EP</country>
53 </region>
54 <extension-states/>
55 <validation-states/>
56 </ep-designated-states>
57 <ep-declarations/>
58 <ep-electronic-files doc-type="1001">
59 <applicant-file-name/>
60 <epo-file-name>ep-request.pdf</epo-file-name>
61 </ep-electronic-files>
62 <ep-electronic-files doc-type="SPECEPO">
63 <applicant-file-name>Claims.pdf</applicant-file-name>
64 <epo-file-name>SPECEPO-1.pdf</epo-file-name>
65 </ep-electronic-files>
66 (2) <ep-electronic-files doc-type="SEQLXML26">
67 <applicant-file-name>st26-annex-iii-sequence-listing-specimen2.xml</applicant-file-name> (3)
68 (4) <epo-file-name>SEQLXML26.xml</epo-file-name>
69 </ep-electronic-files>

```

Figure 95: Documents XML: sequence listing referenced in ep-request.xml file

Element list

- (1) The description contains a sequence listing as part of the description
- (2) The sequence listing is attached in computer-readable format
- (3) Original file name of sequence listing in XML format
- (4) EPO file name for sequence listing in XML format



Note that attribute **quantity** in element **(1)** will always have a fixed value of **"0"**, even if a sequence list document is attached.

4.9 EP1001 – Documents

The **Documents** tab in Form EP1001 offers various combinations for attaching documents. The choices depend on the languages that have been selected in the **General information** tab. For example, if the procedural language has been set to French and the language of the request to Italian, both the original in Italian and the translations of all documents into French must be supplied together with the application.

- The files containing the technical documents are referenced in both the **application-body.xml** file and the **ep-request.xml** file.
- All other documents are referenced only in the **ep-request.xml** file.

All attached documents related to patent specifications must be Annex F compliant (see "[Annex F rules for documents and files](#)").

The list of standard document names required by the EPO can be found in chapter [Document codes and file types for EP1001](#).

Specification

- Technical document(s) in EPO language (*n* PDF files)
EPO language corresponds to the selected procedural language, i.e. English, French or German.
- XML attachments in EPO language (1 XML file)
- Original in non-EPO language (1 PDF file)
- Translation(s) of technical document(s) into EPO language (*n* PDF files)
- XML attachments translation into EPO language (1 XML file)
- Pre-conversion archive (ZIP)

Sequence listing

- Sequence listing in computer-readable APP, SEQ, TXT or ZIP format
- Sequence listing in PDF format

Additional documents

Only PDF files are allowed.

- General authorisation
- Specific authorisation
- Translation of priority documents
- Grounds for re-establishment of rights
- Electronic priority document (digitally signed)
- Search results required under Rule 141(1) EPC for previously filed application

- Other documents

For each document attached with the submission, a **<ep-electronic-files>** element inside section **<ep-office-specific-data>** must be present in *ep-request.xml*. An **<ep-electronic-files>** element must always contain the following attribute:

- **doc-type**: standard EPO code identifying the document type. E.g.: **SPECEPO** (*Single file specification in EPO language*). Please see section [Document codes and file types for EP1001](#) for a full reference list.

The table below list the child elements in each **<ep-electronic-files>** entry:

XML Element	Description, attributes and sub-elements
<code><applicant-file-name></code>	Name of the file as originally uploaded by the applicant during the submission in OLF2.0. E.g.: <code><applicant-file-name>specs_document.pdf</applicant-file-name></code> Note that, for the EP1001 request document itself (doc-type="1001") <u>this element should always be empty.</u>
<code><epo-file-name></code>	Standard EPO file name corresponding to the type of provided document (please see section Document codes and file types for EP1001 for a full list). E.g.: <code><epo-file-name>SPECNONEPO.pdf</epo-file-name></code>

Below is a snippet showing the basic structure of element **<ep-electronic-files>** for both the EP1001 request itself and an additional document (*Specification in admissible non-EPO language*) as examples:

```
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    ...
  </ep-designated-states>
  <ep-declarations/>
  <ep-electronic-files doc-type="1001">
    <applicant-file-name/>
    <epo-file-name>ep-request.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECNONEPO">
    <applicant-file-name>_10 (1).pdf</applicant-file-name>
    <epo-file-name>SPECNONEPO.pdf</epo-file-name>
  </ep-electronic-files>
  ...
</ep-office-specific-data>
```

For each **technical document** provided with the submission (i.e., description, claims...), a reference to it must also appear inside the **<application-body>** element in the *application-body.xml* file. This reference must consist of one of the following XML elements depending on its type: **<description>**, **<claims>**, **<abstract>** or **<drawings>**. Said element must, in turn, contain a single **<doc-page>** child element including the following required attributes:

- **id**: Order no. of the priority claim in the list. E.g.: **"DESC1"** for the first claim.

- **he**: Height. E.g.: "1"
- **wi**: Width. E.g.: "1"
- **type**: File type. This should always be: "pdf".
- **file**: EPO standard filename of the attached document. E.g., for a description, this should be "SPECTRANEPO-1.pdf".
- **ppf**: No. of the first page (this will generally be "1").
- **ppl**: No. of the last page. E.g.: "30".
- **pp**: Total no. of pages in the document. E.g.: "30".

Below is an example corresponding to a reference to an attached *Description* document (<description>) in the *application-body.xml* file:

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE application-body
  SYSTEM "ep-application-body-v1-7.dtd">
<application-body lang="en" dtd-version="1.7" country="EP">
  <description>
    <doc-page id="DESC1"
      he="1"
      wi="1"
      type="pdf"
      file="SPECTRANEPO-1.pdf"
      ppf="1"
      ppl="30"
      pp="30"/>
  </description>
  ...
```

In addition to the aforementioned XML entries, section <check-list> in *ep-request.xml* must contain a child node for each of the provided technical documents (request, description, claims...) and for each additional document that are present in the submission. The table below list the possible child elements in that can figure in the <check-list> section depending on the provided documents and their expected contents:

XML Element	Document type	Value and/or Attributes
<cl-request>	EP1001 request (doc-type="1001")	This element is not mandatory (can be missing). If present, it should always be empty .
<cl-description>	Description (doc-type="DESC")	Attributes: <ul style="list-style-type: none"> ▪ page-count: Total no. of pages for description. E.g.: "30" ▪ ppf: Page no. in the attached file corresponding to 1st page of the description. E.g.: "1" ▪ ppl: Page no. in the attached file corresponding to last page of the description. E.g.: "30"
<cl-claims>	Claims (doc-type="CLMS")	Attributes: <ul style="list-style-type: none"> ▪ page-count: Total no. of pages for claims. ▪ ppf: Page no. in the attached file corresponding to 1st page of the claims. ▪ ppl: Page no. in the attached file corresponding to last page of the claims. ▪ number-of-claims: No. of claims listed.

		<ul style="list-style-type: none"> ▪ number-claims-fee-calculation: No. of claims for which the applicant intends to pay (used for the fee calculation). Please set the value to "0" (zero) if you do not intend to pay for any claims with this application.
<code><cl-abstract></code>	Abstract (doc-type="ABST")	Attributes: <ul style="list-style-type: none"> ▪ page-count: Total no. of pages for abstract. ▪ ppf: Page no. in the attached file corresponding to 1st page of the abstract. ▪ ppl: Page no. in the attached file corresponding to last page of the abstract.
<code><cl-drawings> (*)</code>	Drawings (doc-type="DRAW")	Attributes: <ul style="list-style-type: none"> ▪ page-count: Total no. of pages for drawings. ▪ ppf: Page no. in the attached file corresponding to 1st page of the drawings. ▪ ppl: Page no. in the attached file corresponding to last page of the drawings. ▪ fig-count: No. of figures included in the drawings. E.g.: "2"
<code><cl-sequence-listing></code>	Sequence listing ST.26 (doc-type="SEQLXML26").	Attributes: <ul style="list-style-type: none"> ▪ quantity: Total no. of sequences in the provided sequence listing. E.g.: "5".
<code><cl-other-document></code>	Any additional document.	No attributes. Value should be the full name of the provided document. E.g.: <i>"Translation of priority documents"</i>

(*) If a drawings document is attached, an **<figure-to-publish>** element may follow the **<check-list>** section, containing a single **<fig-number>** sub-element indicating the no. of the figure of the drawings which should accompany the abstract when published.

Below is a snippet showing an example **<check-list>** section containing the required attributes for all technical documents that can be included in the EP1001 request, as well as the **<figure-to-publish>** additional element corresponding to the **<cl-drawings>** entry:

```

...
</parties>
<check-list>
  <cl-request/>
  <cl-description page-count="30" ppf="1" ppl="30"/>
  <cl-claims page-count="37"
             ppf="31"
             ppl="67"
             number-of-claims="6"
             number-claims-fee-calculation="6"/>
  <cl-abstract page-count="23" ppf="68" ppl="90"/>
  <cl-drawings page-count="12" ppf="91" ppl="102" fig-count="2"/>
</check-list>
<figure-to-publish>
  <fig-number>2</fig-number>
</figure-to-publish>
...

```

See the example scenarios provided below for more details about the structure of the above elements for several possible cases.

4.9.1 Example: Request in English, technical documents in one PDF file

In this example, the technical documents in English are attached in one PDF file, and the claims will be filed later (i.e., element `<declaration-intention-to-file-claims-later/>` is present in section `<ep-declarations>`).

XML ep-request.xml

```

<parties>
<check-list>
  <cl-request/>
  3 <cl-description page-count="7" ppf="1" ppl="7"/>
  7 <cl-abstract page-count="1" ppf="8" ppl="8"/>
  13 <cl-drawings page-count="2" ppf="9" ppl="10" fig-count="5"/>
</check-list>
<figure-to-publish>
  9 <fig-number>3c</fig-number>
</figure-to-publish>
<ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    <ep-declarations>
      <declaration-intention-to-file-claims-later/> 18
    </ep-declarations>
    <ep-electronic-files doc-type="1001">
      <applicant-file-name/>
      <epo-file-name>ep-request.pdf</epo-file-name>
    </ep-electronic-files>
    <ep-electronic-files doc-type="SPECEPO">
      1 <epo-file-name>SPECEPO-1.pdf</epo-file-name> 2
    </ep-electronic-files>
    <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  </ep-office-specific-data>
</ep-request>

```



Please note that, if the user chooses to file a translation for the attached/previously filed application at a later point (i.e., if element `<declaration-translation-filed-later/>` is present in section `<ep-declarations>`), none of the following documents should be added to the submission:

- * SPECTRANEPO-1.PDF
- * SPECTRANEPO.DOCX
- * PDFBACKUP-1.PDF

XML application-body.xml

Note that there is no `id` attribute for the `<claims>` element and both the `ppf` and the `ppl` attribute are empty, because there is no document attached for the claims.

```

<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE application-body
  SYSTEM "ep-application-body-v1-7.dtd">
<application-body lang="en" dtd-version="1.7" country="EP">
  (3) <description>
    (1) (4) (5) (6)
    <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPECEPO-1.pdf" ppf="1" ppl="7" pp="7"/>
  </description>
  (7) <claims>
    <doc-page he="1" wi="1" type="pdf" pp="" ppf="" ppl="" file=""/>
  </claims>
  (8) <abstract>
    (9) (10) (11) (12)
    <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECEPO-1.pdf" ppf="8" ppl="8" pp="1"/>
  </abstract>
  (13) <drawings>
    (14) (15) (16) (17)
    <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPECEPO-1.pdf" ppf="9" ppl="10" pp="2"/>
  </drawings>
</application-body>

```

Figure 78: Documents XML: references in application-body.xml file

Element list

- (1) EPO standard file name for specification in EPO language
- (2) Original file name
- (3) Description
- (4) First page of description in attached document
- (5) Last page of description in attached document
- (6) No. of pages for description in attached document (automatically calculated)
- (7) Claims: not selected and deactivated, because (18) *It is intended to submit claims later* has been selected
- (8) Abstract
- (9) Figure to be published with abstract
- (10) First page of abstract in attached document
- (11) Last page of abstract in attached document
- (12) No. of pages for abstract in attached document (automatically calculated)
- (13) Drawings
- (14) Number of drawings
- (15) First page of drawings in attached document
- (16) Last page of drawings in attached document
- (17) No. of pages for drawings in attached document (automatically calculated)
- (18) It is intended to submit claims later

4.9.2 Example: Request in English, technical documents in multiple PDF files

In this example, description, claims, abstracts and drawings have been attached one by one as separate PDF files.

XML ep-request.xml

```

<parties>
<check-list>
  <cl-request/>
  <cl-description page-count="7" ppf="1" ppl="7"/>
  <cl-claims page-count="4" ppf="1" ppl="4" number-of-claims="25" number-claims-fee-calculation="15"/>
  <cl-abstract page-count="2" ppf="1" ppl="2"/>
  <cl-drawings page-count="1" ppf="1" ppl="1" fig-count="2"/>
</check-list>
<figure-to-publish>
  <fig-number>2</fig-number>
</figure-to-publish>
<ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
  <ep-declarations>
  <ep-electronic-files doc-type="1001">
    <applicant-file-name/>
    <epo-file-name>ep-request.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECEPO">
    <applicant-file-name>Instant Water description.pdf</applicant-file-name>
    <epo-file-name>SPECEPO-1.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECEPO">
    <applicant-file-name>Instant Water claims.pdf</applicant-file-name>
    <epo-file-name>SPECEPO-2.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECEPO">
    <applicant-file-name>Instant Water abstract.pdf</applicant-file-name>
    <epo-file-name>SPECEPO-3.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECEPO">
    <applicant-file-name>Instant Water drawings.pdf</applicant-file-name>
    <epo-file-name>SPECEPO-4.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
</ep-office-specific-data>
</ep-request>

```

Figure 82: Documents XML: data in ep-request.xml file

XML application-body.xml

Note that only the **id** element in the **<doc-page>** elements specifies in which of the attached files and at which position the description, claims, abstract and drawings are exactly located.

```

<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE application-body
  SYSTEM "ep-application-body-v1-7.dtd">
<application-body lang="en" dtd-version="1.7" country="EP">
  <description>
    <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPECEPO-1.pdf" ppf="1" ppl="7" pp="7"/>
  </description>
  <claims>
    <doc-page id="CLMS1" he="1" wi="1" type="pdf" file="SPECEPO-2.pdf" ppf="1" ppl="4" pp="4"/>
  </claims>
  <abstract>
    <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECEPO-3.pdf" ppf="1" ppl="2" pp="2"/>
  </abstract>
  <drawings>
    <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPECEPO-4.pdf" ppf="1" ppl="1" pp="1"/>
  </drawings>
</application-body>

```

Figure 83: Documents XML: attached files referenced in the application-body.xml file

Element list

- (1) EPO file name for 1st document attached

- (2) Original file name for description
- (3) First page of description in attached document
- (4) Last page of description in attached document
- (5) EPO file name for 2nd document attached
- (6) Original file name for claims
- (7) Number of claims
- (8) Number of claims you intend to pay for (including first 15 claims)
This value is used for the fee calculation. Please set the value to **0** (zero) if you do not intend to pay for any claims with this application.
- (9) First page of claims in attached document
- (10) Last page of claims in attached document
- (11) EPO file name for 3rd document attached
- (12) Original file name for abstract
- (13) Figure to be published with abstract
- (14) First page of abstract in attached document
- (15) Last page of abstract in attached document
- (16) EPO file name for 4th document attached
- (17) Original file name for drawings
- (18) Number of drawings
- (19) First page of drawings in attached document
- (20) Last page of drawings in attached document
- (21) Document code for description
- (22) Document code for claims
- (23) Document code for abstract
- (24) Document code for drawings
- (25) Description as part of specification
- (26) Claims as part of specification
- (27) Abstract as part of specification
- (28) Drawings (figures) as part of specification

4.9.4 Example: Request in admissible non-official EPO language

The technical documents in Italian for this example have been attached in PDF format. This file contains the description, claims and abstract. An extra PDF file has been attached for the drawings in Italian.

The translations into French for both specification file (description, claims and abstract) and drawings file, have also been attached in PDF format.

XML ep-request.xml

```

<parties>
<check-list>
  <cl-request/>
  <cl-description page-count="5" ppf="1" ppl="5"/>
  <cl-claims page-count="2" ppf="6" ppl="7" number-of-claims="21" number-claims-fee-calculation="15"/>
  <cl-abstract page-count="1" ppf="8" ppl="8"/>
  <cl-drawings page-count="1" ppf="1" ppl="1" fig-count=""/>
</check-list>
<figure-to-publish>
  <fig-number>1</fig-number>
</figure-to-publish>
<ep-language-of-filing lang-code="non-epo">it</ep-language-of-filing>
<ep-language-of-filing lang-code="translation">fr</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="fr">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
  <ep-request-for-exam-art94 lang="it"/>
  <ep-declarations>
    <declaration-intention-to-file-claims-later/>
  </ep-declarations>
  <ep-electronic-files doc-type="1001">
    <applicant-file-name/>
    <epo-file-name>ep-request.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="DRAWNONEPO">
    <applicant-file-name>Acqua instantanea disegno.pdf</applicant-file-name>
    <epo-file-name>DRAWNONEPO.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECTRANEPO">
    <applicant-file-name>Eau instantane dessin.pdf</applicant-file-name>
    <epo-file-name>SPECTRANEPO-1.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECNONEPO">
    <applicant-file-name>Acqua instantanea.pdf</applicant-file-name>
    <epo-file-name>SPECNONEPO.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECTRANEPO">
    <applicant-file-name>Eau instantane.pdf</applicant-file-name>
    <epo-file-name>SPECTRANEPO-2.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
</ep-office-specific-data>
</ep-request>

```

Figure 91: Documents XML: data and file references in ep-request.xml file

XML application-body.xml

```

<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE application-body
SYSTEM "ep-application-body-v1-7.dtd">
<application-body lang="en" dtd-version="1.7" country="EP">
  <description>
    <doc-page id="DESC1" he="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" ppf="5" ppl="1" pp="5"/>
  </description>
  <claims>
    <doc-page id="CLMS1" he="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" ppf="6" ppl="7" pp="2"/>
  </claims>
  <abstract>
    <doc-page id="ABST1" he="1" wi="1" type="pdf" file="SPECTRANEPO-2.pdf" ppf="8" ppl="8" pp="1"/>
  </abstract>
  <drawings>
    <doc-page id="DRAW1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="1" ppl="1" pp="1"/>
  </drawings>
</application-body>

```

Figure 92: Documents XML: references to translations into EPO language in application-body.xml file

Element list

- (1) EPO file name for specification in non-EPO language

- (2) Original file name for technical documents
- (3) Number of claims in original document
- (4) Number of claims you intend to pay for (including first 15 claims)
This value is used for the fee calculation. Please set the value to **0** (zero) if you do not intend to pay for any claims with this application.
- (5) EPO file name for translation of 1st attached document containing translation of specification into EPO language
- (6) Original file name for translated drawing
- (7) EPO file name for translation of 2nd attached document containing translation of specification into EPO language
- (8) Original file name for translated specification
- (9) EPO file name for drawings in non-EPO language
- (10) Original file name for drawings in non-EPO language
- (11) Number of figures in drawings in non-EPO language **(only shown in GUI – not present in XML)**
- (12) Figure to be published with abstract in original document
- (13) Description
- (14) First page of description in translation document
- (15) Last page of description in translation document
- (16) Claims
- (17) First page of claims in translation document
- (18) Last page of claims in translation document
- (19) Abstract
- (20) First page of abstract in translation document
- (21) Last page of abstract in translation document
- (22) Drawings
- (23) First page of drawings in translation document
- (24) Last page of drawings in translation document

4.9.5 Example: Additional documents

Several additional documents are attached in this example to show the different document types. The technical documents have been attached in four separate PDF files.

XML ep-request.xml


```

<check-list>
  <cl-request/>
  <cl-description page-count="20" ppf="1" ppl="20"/>
  <cl-claims page-count="33" ppf="21" ppl="53" number-of-claims="25"
    number-claims-fee-calculation="15"/>
  <cl-other-document>Specific Authorisation</cl-other-document> 5
  <cl-other-document>General authorisation</cl-other-document> 2
  <cl-other-document>Translation of priority documents</cl-other-document> 8
  <cl-other-document>Grounds for Re-establishment of Rights</cl-other-document> 11
  <cl-other-document>Inventor waiver - Rule 20(1) EPC</cl-other-document> 14
  <cl-other-document>OTHER-1.pdf</cl-other-document> 17
</check-list>
<ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    <ep-declarations/>
    <ep-electronic-files doc-type="1001">
      <ep-electronic-files doc-type="SPECEPO">
        <ep-electronic-files doc-type="1003">
          <applicant-file-name>Authorisation Portland.pdf</applicant-file-name> 6
          <epo-file-name>SPECAUTH-1.pdf</epo-file-name> 4
        </ep-electronic-files>
        <ep-electronic-files doc-type="1004">
          <applicant-file-name>Authorisation Nano.pdf</applicant-file-name> 3
          <epo-file-name>GENAUTH-1.pdf</epo-file-name> 1
        </ep-electronic-files>
        <ep-electronic-files doc-type="PRIOTRAN">
          <applicant-file-name>Translation priority.pdf</applicant-file-name> 9
          <epo-file-name>PRIOTRAN-1.pdf</epo-file-name> 7
        </ep-electronic-files>
        <ep-electronic-files doc-type="REESGROUNDS">
          <applicant-file-name>Grounds reestablishment.pdf</applicant-file-name> 12
          <epo-file-name>REESGROUNDS.pdf</epo-file-name> 10
        </ep-electronic-files>
        <ep-electronic-files doc-type="INVT201">
          <applicant-file-name>Waiver rule 20.pdf</applicant-file-name> 15
          <epo-file-name>Signed-EPR201.pdf</epo-file-name> 13
        </ep-electronic-files>
        <ep-electronic-files doc-type="OTHERPDF">
          <applicant-file-name>Assignment documents.pdf</applicant-file-name> 18
          <epo-file-name>OTHER-1.pdf</epo-file-name> 16
        </ep-electronic-files>
      <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    </ep-office-specific-data>
  </ep-request>

```

Figure 104: Documents XML: data for additional documents in ep-request.xml file


Element list

- (1) EPO file name for general authorisation 1
- (2) Document type: general authorisation
- (3) Original file name for general authorisation 1
- (4) EPO file name for specific authorisation 1
- (5) Document type: specific authorisation
- (6) Original file name for specific authorisation 1
- (7) EPO file name for translation of priority documents 1
- (8) Document type: translation of priority documents
- (9) Original file name for translation of priority documents 1
- (10) EPO file name for grounds for re-establishment of rights
- (11) Document type: grounds for re-establishment of rights
- (12) Original file name for grounds for re-establishment of rights
- (13) EPO file name for Inventor Waiver Rule 20(1) EPC
- (14) Document type: Inventor Waiver Rule 20(1) EPC

- (15) Original file name for Inventor Waiver Rule 20(1) EPC
- (16) EPO file name for other document 1
- (17) Document type: Assignment documents
- (18) Original file name for other document 1

4.10 EP1001 – Fees

The **Fees** tab in Form EP1001 allows applicants to enter payment details for fees charged by the EPO. The fee selection is set automatically by the OLF2.0 application; users can also select additional fees manually.

 You can retrieve the most recent fee schedule from the EPO website under [interactive schedule of fees](https://my.epoline.org/epoline-portal/classic/epoline.Scheduleoffees) (<https://my.epoline.org/epoline-portal/classic/epoline.Scheduleoffees>).

Please note that some of the fees may be enabled or blocked by OLF2.0 for the submission depending on certain conditions and/or values set by the user in the **General Information, Documents** and/or other tabs:

- **Fee 13:** Can only be added for payment if the submission includes a **declaration of priority of a national application** with a filing date between 14-12 months before the current date, as well as a **request for re-establishment of rights** (*Article 122 EPC, Rule 136(1) EPC*) in respect of the priority period (*Article 87(1) EPC*). I.e., the following XML elements must be present in *ep-request.xml*:
 - An **<ep-priority-claim>** entry must appear under XML section **<priority-claims>**, referring to the national application. The value in the **<date>** child element inside **<ep-priority-claim>** must meet the condition previously described for the filing date. Please refer to chapter [EP1001 - Application details - Priority](#) for more details on how to fill out the aforementioned elements.
 - Element **<request-re-establishment>** must be present under XML section **<ep-declarations>**. It must contain a **<document-id>** entry with children **<country>** and **<doc-number>** matching the values of the previous declaration of priority.

The example snippet below illustrates the relevant sections required before **fee 13** can be included as a feed to be paid in the submission (considering a current date of *08-05-2024*):

```
<ep-request lang="en"
  dtd-version="1.0"
  produced-by="applicant"
  ro="EP"
  date-produced="">
  <file-reference-id>1001_reestablishment</file-reference-id>
  <request-petition>Grant of European patent, and examination of the application under Article 94, are hereby requested.</request-petition>
  <invention-title lang="en">Title English</invention-title>
  <invention-title lang="fr">Title French</invention-title>
  <invention-title lang="de">Title German</invention-title>
  <parties>
```

```

...
</parties>
<priority-claims>
  <ep-priority-claim sequence="1" kind="national" ep-document-type="patent">
    <country>BR</country>
    <doc-number>20202020.2</doc-number>
    <date>20230401</date>
    <priority-doc-from-library/>
    <earlier-searches>
      <earlier-search search-type="national"
        id="ID_1"
        office="BR"
        declaration-of-no-search="not-determined">
        <doc-page he="1" type="pdf" wi="1" file=""/>
      </earlier-search>
    </earlier-searches>
  </ep-priority-claim>
</priority-claims>
<check-list>
  <cl-request/>
  <cl-description page-count="1" ppf="1" ppl="1"/>
</check-list>
<figure-to-publish>
  <fig-number>1</fig-number>
</figure-to-publish>
<ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    ...
  </ep-designated-states>
  <ep-declarations>
    <request-re-establishment>
      <document-id lang="">
        <country>BR</country>
        <doc-number>20202020.2</doc-number>
      </document-id>
    </request-re-establishment>
    <declaration-no-intention-to-file-further-priority/>
  </ep-declarations>
  <ep-electronic-files doc-type="1001">
    <applicant-file-name/>
    <epo-file-name>ep-request.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECEPO">
    <applicant-file-name>specs.pdf</applicant-file-name>
    <epo-file-name>SPECEPO-1.pdf</epo-file-name>
  </ep-electronic-files>
  ...
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    ...
  </ep-financial-data>
</ep-office-specific-data>
</ep-request>

```

- **Fee 15:** Can only be added for payment if both the no. of claims submitted and to be paid are greater than 15 but less than 51. I.e., the numeric attributes in elements **<cl-claims>** in XML section **<check-list>** in *ep-request.xml* must be set as follows:
 - **number-claims-fee-calculation** → Value must be **between 16 and 50**.
 - **number-of-claims** → Value must be greater or equal than **number-claims-fee-calculation**.

E.g.:

```

<check-list>
  <cl-request/>
  <cl-description page-count="2" ppf="1" ppl="2"/>
  <cl-claims page-count="2"
    ppf="3"
    ppl="4"

```

```

        number-of-claims="24"
        number-claims-fee-calculation="18"/>
    </check-list>

```



Please refer to the passage about **<check-list>** element in chapter [EP1001 - Documents](#) for more details on said XML section.

- **Fee 15e:** Similarly to fee 15, can only be added for payment if both the no. of claims submitted and to be paid exceed 50. I.e., attributes in element **<cl-claims>** in XML section **<check-list>** in *ep-request.xml* must be set as follows:
 - **number-claims-fee-calculation** → Value must be **greater than 50**.
 - **number-of-claims** → Value must be greater or equal than **number-claims-fee-calculation**.
- **Fee 501:** Can only be added for payment if an application document is being submitted AND the total no. of pages in the attached application documents exceeds 36. I.e., the sum of the values of all attributes **page-count** in XML section **<check-list>** in *ep-request.xml* must be **greater than 36**. E.g.:

```

<check-list>
  <cl-request/>
  <cl-description page-count="19" ppf="1" ppl="19"/>
  <cl-claims page-count="34"
    ppf="20"
    ppl="53"
    number-of-claims="24"
    number-claims-fee-calculation="18"/>
</check-list>

```



Please refer to the passage about **<check-list>** element in chapter [EP1001 - Documents](#) for more details on said XML section.

The global information about fee payment is imported from section **<ep-financial-data>** inside **<ep-office-specific-data>**. This root **<ep-financial-data>** element must contain the following attributes:

- **curr:** currency for fee payment. This is always "EUR" by default.
- **fee-amounts-unlocked-by-user:** if set to "yes", indicates that the user has intentionally unlocked the fee amounts and the EPO will not correct any values in this case. Otherwise, this is set to "no", and the fees may therefore be subject to automatic correction by the EPO. Note that, for OLF2.0, this value will always be "no" (if set to "yes" in the imported *ep-request.xml* file, it will revert to "no" upon successful importation).

The root **<ep-financial-data>** XML element should be followed by the following child elements:

XML Element	Description, attributes and sub-elements
-------------	--

<mode-of-payment>	Element containing the details of the chosen mode of fee payment. Please refer to section EP1001 - Fees / Payment details for details. Not mandatory for importation.
<reimbursement>	<i>(only present when providing refund instructions)</i> Element with a single attribute accno , containing the <i>date of fee schedule validity</i> (in yyyyMMdd format), and the full name of the account holder as value. E.g.: <reimbursement accno="28123456">John Smith</reimbursement>
<sr-refund>	<i>(only when providing refund instructions)</i> when requesting refund of search fee ((Article 9(2) RFees)), this element should be present and contain the application number to which the search report corresponds. Not mandatory for importation nor submission. E.g.: <sr-refund>EP1000000</sr-refund>
<add-copies>	<i>(only when providing refund instructions)</i> element indicating the no. of additional copies of the documents cited in the EP search report. E.g.: <add-copies>3</add-copies> Please note that, although this element is optional and can be entirely missing from the XML file when not required, <u>it must have a value if it's present</u> (i.e., this cannot be a <add-copies/> empty element).
<fees>	This section must be always present. The <fees> element must include a single attribute date , containing the <i>date of fee schedule validity</i> (in yyyyMMdd format) plus the following sub-elements: <ul style="list-style-type: none"> ▪ <standard-fee>: contains a set of <fee> elements, each one indicating the details of one of the applicable standard fees for EP1001. This section must be always present. Please refer to section EP1001 - Fees / Standard fee amounts for details. ▪ <fee-total-amount>: element containing a numeric value indicating the total amount to be paid for all selected fees and in the selected currency. E.g.: <fee-total-amount>2842.5</fee-total-amount>

Below is a basic example showing the general structure of element <ep-financial-data> in *ep-request.xml* and the top-level sub-elements in it:

```
<ep-request lang="en"
  dtd-version="1.0"
  produced-by="applicant"
  no="EP"
  date-produced="20240122 11:19:17">
  ...
  <ep-office-specific-data office="EP" lang="en">
  ...
  </ep-electronic-files>
```

```

<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  <mode-of-payment accno="28555555"
    mode-type="deposit"
    currency="EUR"
    deferred-execution-date="20231130">Account holder</mode-of-payment>
  <fees date="20231114">
    <standard-fee>
      <fee index="1" topay="yes">
        <type-of-fee>standard</type-of-fee>
        <fee-factor>0.7</fee-factor>
        <fee-schedule>94.50</fee-schedule>
        <fee-sub-amount>135.00</fee-sub-amount>
        <fee-reduction-factor>0.30</fee-reduction-factor>
      </fee>
      ...
    </standard-fee>
    <fee-total-amount>2842.5</fee-total-amount>
  </fees>
</ep-financial-data>
</ep-office-specific-data>
</ep-request>

```

4.10.1 Payment details

Information regarding the payment details is imported from the **<mode-of-payment>** XML element under **<ep-financial-data>** in *ep-request.xml*. This element must contain the following attributes:

- **accno**: when using **mode-type** “**auto**” or “**deposit**” (see below), this must be set to the number of EPO deposit account to be used. E.g.: “**28123456**”
- **mode-type**: selected mode of payment. Can be one of the following values depending on the chosen option:
 - “**auto**”: Automatic debit order.
 - “**deposit**”: Debit from deposit account.
 - “**bank**”: Bank transfer.
 - “**ccard**”: Credit card.
- **currency**: currency for fee payment. This is always “**EUR**” by default.
- **deferred-execution-date**: when requesting a deferred date of payment execution, this attribute must be present and have said date in yyyyMMdd format as value.



In addition to the applicable attributes described above, the element should also contain the full name of the **account/card holder** to be used for payment as its value.

Below is a snippet showing the basic structure of element **<mode-of-payment>**:

```

<ep-office-specific-data office="EP" lang="en">
  ...
</ep-office-specific-data>
<ep-electronic-files>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    <mode-of-payment accno="28555555"
      mode-type="deposit"
      currency="EUR"
      deferred-execution-date="20231130">Account holder</mode-of-payment>
    <fees date="20231114">

```

Note that, in the OLF2.0 GUI, there are different options for the mode of payment. If **automatic debit order** is selected, the sub-tabs for selection of individual fees (e.g., **Procedural fees**) will not display any options. Likewise, the PDF form does not contain any fee lists, but the fees will be included in the XML data.

The example below demonstrates the data for payment by debit from **deposit account**. For an XML example using bank transfer as the mode of payment, see [Payment details](#) in the **EP1200** section of this document.

XML ep-request.xml

- The **accno** attribute in the **<mode-of-payment>** element can be used for both the client's account number (payment by debit from deposit account or automatic debit order is indicated) and the IBAN code of the EPO's bank account number (payment by bank transfer is indicated).
- The **deferred-execution-date** attribute in the **<mode-of-payment>** element can either be set to an empty value or be omitted if the import file should not specify a deferred execution date. OLF2.0 sets the attribute as **deferred-execution-date=""** if no date has been entered in the GUI.

Figure 106: Fee Payment XML: payment details in ep-request.xml file

Element list

- (1) Mode of payment
- (2) Currency: default is EUR
- (3) EPO account number
- (4) Account holder's name
- (5) Deferred execution date (optional)


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- (6) Reimbursement option: **<reimbursement>** element is only required if a different account number than (3) should be used
- (7) EPO account number for reimbursement
- (8) Account holder's name for reimbursement
- (9) Refund of search fee (*Art. 9(2) RFees*) is requested on the basis of the earlier search report
- (10) Document number of earlier search report

4.10.2 Standard fee amounts

Information regarding the applicable EP1001 standard fees is imported from the **<standard-fee>** XML element under **<fees>** in *ep-request.xml*.

 Note that, if you intend to pay for any of the specific fees applicable to form EP1001 (or want to be able to select/de-select it from the **Fees** tab in the GUI at a later point before filing), a **<fee>** element for it must be present under **<standard-fee>**. Otherwise, the fee will not be selected for payment, and you will not be able to select it on the draft submission using the GUI.

Each **<fee>** element must contain the following attributes:

- **index**: index no. of the corresponding applicable fee, as it appears on the **Fees** tab in OLF2.0. Note that any zeroes on the left should not be included. E.g.: "1" for fee 001, "5e", for fee 005e, "401"...
- **topay**: *yes/no* value indicating if the corresponding fee is intended to be paid ("yes") or not ("no").

Each **<fee>** element must contain the following XML child elements:

XML Element	Description, attributes and sub-elements
<type-of-fee>	Indicates the type of fee. This should always have the value " standard ". E.g.: <code><type-of-fee>standard</type-of-fee></code>
<fee-factor>	Indicates the factor (from 0 to 1, corresponding to a 0-100% percentage) in which the fee will be paid, according to the specified quantity and applicable reduction factor. I.e., this value should be equal to: quantity (i.e., number of fees as indicated in GUI) * <fee-reduction-factor> (from 0 to 1) E.g., for a quantity of 2 and a reduction of 30% (0.3), this value should be 1.4 .

	<p>If the fee is not selected for payment (topay="no"), this element can be empty.</p> <p>Note that, when applying reductions using fixed amounts in the currency (€), this element can have a negative value.</p>
<fee-schedule>	<p>Indicates the amount to pay for the total quantity of the specified fee, after applying reductions. I.e., this value should be equal to:</p> <p><fee-sub-amount> * quantity (i.e., number of fees as indicated in GUI) * <fee-reduction-factor> (from 0 to 1)</p> <p>E.g.: 94.50</p>
<fee-sub-amount>	<p>Indicates the base amount for the fee according to the current fee schedule (i.e., not taking reductions into account). E.g.: 135.00</p> <p>If the fee is not selected for payment (topay="no"), this element can be empty.</p>
<fee-reduction-factor>	<p>Indicates the reduction factor (from 0 to 1, corresponding to a 0-100% percentage) for the fee, when applicable. E.g.: 0.30</p> <p>This element can be left empty if the fee is not selected for payment (topay="no") or for a default value of 0.</p>



The **<fee-schedule>** element is used for the (calculated) fee amount and the **<fee-sub-amount>** element contains the fee schedule (for one single fee).

Use the **<fee-reduction-factor>** element to indicate a fee reduction on a fixed or percentage basis. The default value is **0**.

Use the **<fee-reduction-amount>** element to indicate a fee reduction on an amount basis. E.g.: to apply a reduction of 500€ (for EUR currency), this element should be present and set to **500**.

Below is a snippet showing the basic structure of element **<standard-fee>** that includes a **<fee>** entry for procedural fee **001** (i.e., *Filing fee - EP direct - online*) applicable to form EP1001:

```

<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  <mode-of-payment accno="28555555"
    mode-type="deposit"
    currency="EUR"
    deferred-execution-date="20231130">Account holder</mode-of-payment>
  <fees date="20231114">
    <standard-fee>
      <fee index="1" topay="yes">
        <type-of-fee>standard</type-of-fee>
        <fee-factor>0.7</fee-factor>
        <fee-schedule>94.50</fee-schedule>
        <fee-sub-amount>135.00</fee-sub-amount>
        <fee-reduction-factor>0.30</fee-reduction-factor>
      </fee>
    </standard-fee>
  </fees>
</ep-financial-data>

```

```
</fee>
...
<fee-total-amount>2842.5</fee-total-amount>
</fees>
```

Please see the example provided below for further details:

XML ep-request.xml

All the fees applicable to this procedure are listed in full by default in the XML file. The attribute **topay** in the **<fee>** element takes the value “**yes**” if this specific fee has been selected.

Please note:

- The number of claims can be found in the **number-of-claims** attribute (21) in the **<cl-claims>** element.
- The number of claims you intend to pay for (including first 15 claims) is reflected in the **number-claims-fee-calculation** attribute (22) in the same **<cl-claims>** element.

This value is used for the fee calculation. Please set the value to **0** (zero) if you do not intend to pay for any claims with this application.

```

<check-list>
  <cl-request/>
  <cl-description page-count="20" ppf="1" ppl="20"/>
  <cl-claims page-count="20" ppf="21" ppl="40"
    number-of-claims="20" number-claims-fee-calculation="20"/>
  <cl-abstract page-count="13" 14 f="41" ppl="53"/> 15
</check-list>
<figure-to-publish>
<ep-language-of-filing lang-code="epo">en</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
  <ep-declarations>
  <ep-electronic-files doc-type="1001">
  <ep-electronic-files doc-type="SPECEPO"> 11
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    <mode-of-payment accno="28123456" mode-type="deposit" currency="EUR"
      deferred-execution-date="20240615">Salvatore Manzoni</mode-of-payment>
  12 <fees date="20240515">
    <standard-fee>
      <fee index="1" topay="yes"> 1
        <type-of-fee>standard</type-of-fee>
        <fee-factor>1</fee-factor> 5
        <fee-schedule>135.00</fee-schedule>
        <fee-sub-amount>135.00</fee-sub-amount> 3
        <fee-reduction-factor>0</fee-reduction-factor>
      </fee>
      <fee index="2" topay="yes">
        <type-of-fee>standard</type-of-fee>
        <fee-factor>1</fee-factor>
        <fee-schedule>1520.00</fee-schedule>
        <fee-sub-amount>1520.00</fee-sub-amount>
        <fee-reduction-factor>0</fee-reduction-factor>
      </fee>
      <fee index="5e" topay="no">
      <fee index="6" topay="no">
      <fee index="13" topay="no">
      7 <fee index="15" topay="yes"> 6
        <type-of-fee>standard</type-of-fee>
        10 <fee-factor>5</fee-factor>
        <fee-schedule>1375.00</fee-schedule> 9
        8 <fee-sub-amount>275.00</fee-sub-amount>
        <fee-reduction-factor/>
      </fee>
      <fee index="15e" topay="no">
    </standard-fee>
    <fee index="501" topay="yes">
      <type-of-fee>standard</type-of-fee>
      <fee-factor>18</fee-factor>
      <fee-schedule>306.00</fee-schedule>
      <fee-sub-amount>17.00</fee-sub-amount>
      <fee-reduction-factor>0</fee-reduction-factor>
    </fee>
    <fee index="552" topay="no">
    <fee index="553" topay="no">
    <fee index="554" topay="no">
    <fee index="555" topay="no">
    </standard-fee>
    13 <fee-total-amount>3336.0</fee-total-amount>
    </fees>
  </ep-financial-data>
</ep-office-specific-data>
</ep-request>

```

Figure 109: Fee Payment XML: fees list

Element list**(1)** Fee selected

- (2) Fee code, indicated by the **index** attribute
- (3) Fee schedule = one single fee
- (4) Fee amount to pay = fee schedule * fee factor
- (5) Fee factor = quantity (i.e., number of fees as indicated in GUI) * fee reduction factor
- (6) Fee 015 selected and locked by default
- (7) Fee code, indicated by the **index** attribute
- (8) Fee schedule = one single fee
- (9) Fee amount to pay = fee schedule * fee factor
- (10) Fee factor for fee 015 = **number-of-claims-fee-calculation** - 15 (first 15 claims are free of charge)
- (11) Fees are not unlocked for editing by user; **this will always be the case for OLF2.0.**
- (12) Date of fee schedule validity
- (13) Total sum of fees in EUR
- (14) Number of claims, as indicated in the **Documents** tab
- (15) Number of claims you intend to pay for (including first 15 claims), as indicated in the **Documents** tab



Please note that, for fee 015 in particular, the value of **<fee-factor>** depends on the number of claims for which the fees will be paid. I.e., the value indicated in the **Documents** tab in the GUI, and in element **(16)** in the XML file. Please see point regarding fee 15 in chapter [EP1001 – Fees](#) for more details

4.10.3 Example: Reduced fee amounts (declaration under Rule7a(1))

This example demonstrates how to apply a 30% fee reduction in the filing fees where the applicant(s) make a declaration under Rule 7a(1) EPC. For more details on the conditions to be fulfilled, see [Request in other languages, declaration under Rule 7a\(1\)](#).

In addition, the selection of fees for a divisional application is shown; see also: [Divisional application](#).

XML ep-request.xml

```

1 <ep-language-of-filing lang-code="non-epo">it</ep-language-of-filing>
  <ep-language-of-filing lang-code="translation">en</ep-language-of-filing>
  <ep-office-specific-data office="EP" lang="en">
    <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
4 <ep-divisional-appl>
  <parent-doc>
    <ep-first-communication-raising-lack-of-unity>
5 <ep-divisional-generation generation="4"/>
  </ep-divisional-appl>
2 <ep-request-for-exam-art94 lang="it"/>
  <ep-declarations>
    <declaration-no-intention-to-file-further-priority/>
3 <declaration-of-entity-or-natural-person/>
  </ep-declarations>
  <ep-electronic-files doc-type="1001">
  <ep-electronic-files doc-type="SPECNONEPO">
  <ep-electronic-files doc-type="SPECTRANEPO">

  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    <mode-of-payment accno="DE20 7008 0000 0333 880000" mode-type="bank" currency="EUR">DE</mode-of-payment>
    <fees date="20240515">
      <standard-fee>
6 <fee index="1" topay="yes">
  <type-of-fee>standard</type-of-fee>
  <fee-factor>0.7</fee-factor> 10
9 <fee-schedule>94.50</fee-schedule>
  <fee-sub-amount>135.00</fee-sub-amount> 7
8 <fee-reduction-factor>0.30</fee-reduction-factor>
  </fee>
11 <fee index="2" topay="yes">
12 <fee index="554" topay="yes">
  <type-of-fee>standard</type-of-fee>
  <fee-factor>0.7</fee-factor> 16
15 <fee-schedule>500.50</fee-schedule>
  <fee-sub-amount>715.00</fee-sub-amount> 13
14 <fee-reduction-factor>0.30</fee-reduction-factor>
  </fee>
17 <fee-total-amount>2115.0</fee-total-amount>
    </fees>
  </ep-financial-data>
</ep-office-specific-data>
</ep-request>

```

Figure 112: Fee Payment XML: fees list, including reduced fees

Element list

At least one of the conditions for making a [declaration under Rule 7a\(1\)](#) must be fulfilled; i.e. (1) or (2).


- (1) Language of filing is an admissible language of an EPC contracting state
- (2) Request for examination in an admissible non-official EPO language
- (3) Declaration under Rule 7a(1)
- (4) Application is a divisional EP application
- (5) Generation of the divisional application
- (6) Fee 001 selected, reduction applied
- (7) Fee reduction factor (indicated in GUI)
- (8) Fee schedule = one single fee
- (9) Fee amount to pay = fee schedule * fee factor
- (10) Fee factor = 1 - fee reduction factor (indicated in PDF)
- (11) Fee 002 selected
- (12) Fee 554 selected, reduction applied
- (13) Fee reduction factor (indicated in GUI)

(14) Fee schedule = one single fee

(15) Fee amount to pay = fee schedule * fee factor

(16) Fee factor = 1 - fee reduction factor (indicated in PDF)

(17) Total sum of fees in EUR

 The **<fee-schedule>** element is used for the (calculated) fee amount and the **<fee-sub-amount>** element contains the fee schedule (for one single fee).


Use the **<fee-reduction-factor>** element to indicate a fee reduction on a fixed or percentage basis.

Use the **<fee-reduction-amount>** element to indicate a fee reduction on an amount basis.

4.10.4 Importing the correct fee amounts depending on the date of filing


If importing XML files, the most recent fee schedule is automatically applied to the XML code by the OLF2.0 system. Thus, it is not necessary to add all **<fee>** elements with the correct values in the **<fee-sub-amount>** and **<fee-schedule>** elements in the XML file. Only the fees to be paid must be included in the XML file with the respective **index** attribute and the attribute value **topay="yes"**.

The **<fee-total-amount>** element will be automatically added by OLF2.0 during import, also calculating the correct value.

 If you import an XML file on or after 01/04/2014, the previous reduction rates for the filing fees (20%) become invalid. To have the automatic correction apply the 30% reduction rate, the **<declaration-of-entity-or-natural-person/>** element must be present.

4.11 EP1001 – Annotations to EPO

At the end of the **<ep-office-specific-data>** section (right after closure of the **<ep-financial-data>** section corresponding to fee payment details), one or more **<ep-notes-to-EPO>** elements can be included, each one containing **Annotations** to send additional information to the EPO. The number of annotations is unlimited.

 If no annotations are to be included in the submission (as they are entirely optional), no **<ep-notes-to-EPO>** elements should be present in the *ep-request.xml* file.

The root element for each annotation (`<ep-notes-to-EPO>`) must contain the following attributes:

- **page**: fixed string value `"Annotate"`.
- **id**: a `"note#"` string where # is a number representing the order of creation of the current note (i.e.: **note1** for the firstly note created, then **note2**, **note3** and so on).

E.g.: `<ep-notes-to-EPO page="Annotate" id="note1">`

The table below lists the child XML elements that must appear under each `<ep-notes-to-EPO>` entry:

XML Element	Description and attributes
<code><author></code>	Full name (first + last name) of the user authoring the annotation.
<code><subject></code>	Subject of the annotation.
<code><date></code>	Date in which the annotation was created, in yyyyMMdd format. Note that this value is not shown in the request PDF for EP1001.
<code><dtext></code>	Text contents of the annotation.

The example below shows how two annotations created on the same day by two different users are stored in the `ep-request.xml` file:

```

<ep-office-specific-data>
...
  <ep-notes-to-EPO page="Annotate" id="note1">
    <author>Salvatore Manzoni</author>
    <subject>Account information</subject>
    <date>20130127</date>
    <dtext>Payment details may be changed at a later date.</dtext>
  </ep-notes-to-EPO>
  <ep-notes-to-EPO page="Annotate" id="note2">
    <author>Luigi Manzoni</author>
    <subject>General authorisation.</subject>
    <date>20130127</date>
    <dtext>My father, Salvatore Manzoni, is going to issue a general authorisation for me in
order to represent him in all respects.</dtext>
  </ep-notes-to-EPO>
</ep-office-specific-data>
</ep-request>

```

5 Form EP1200 – Entry into the European phase

5.1 Structure of XML files for EP1200

The following four XML files are required for a EP1200 application (also known as *Euro-PCT(1200)*) to be imported:

File name	DTD	Description
package-data.xml	package-data.dtd	References attached documents, except those already referenced in application-body.xml file.
application-body.xml	application-body-v1-7.dtd	References attached documents as part of patent specification (amendments or translations of technical documents).
ep-euro-pct.xml	ep-euro-pct-v1-17.dtd	Application data as entered in Form EP1200, references other attached documents.

Unlike in EP1001, the technical documents (patent specification) cannot be attached in XML format. This is why the ***application-body.xml*** file is only used for referencing attached files and does not contain any additional text.

The XML structure of the ***package-data.xml*** and ***application-body.xml*** files is the same as for EP1001 applications – see: [Form EP1001 / References from XML files to other files](#).

More information on the XML structure of the ***ep-euro-pct.xml*** file can be found in the following sections.

5.1.1 Basic structure of ep-euro-pct.xml

The ***ep-euro-pct.xml*** file contains the application data in Form EP1200. Its root element is **<ep-euro-pct>**, which contains the following attributes:

XML Attribute	Attribute Description	Example/fixed value
lang	Procedural language for the attached/previous application, indicated by its 2-letter language code (en, fr, de).	E.g.: "en"
dtd-version	Version of DTD used.	Fixed value: "1.0"
ro	Code for the filing office . For EP1200 filings in OLF2.0, this will always be "EP" for EPO.	Fixed value: "EP" .

produced-by	Indicates role of party generating the submission (e.g., applicant).	Fixed value: "applicant"
date-produced	Date/time of package generation in "YYYYMMDD hh:mm:ss" format.	E.g.: "20240122 11:19:17"
regional-phase-office	Indicates if EPO is the filing office for the EP1200 request either as designated or elected .	E.g.: "designated" .
amendments-enclosed	Indicates if the EP1200 request encloses amendment documents ("yes") or not ("no").	E.g.: "no" .
comments-on	Indicates if the EP1200 request contains comments.	Fixed value: "no" .

The table below lists the top-level XML elements under **<ep-euro-pct>** and their key attributes:

XML Element	Description and attributes
<file-reference-id>	<p>User's file reference. This is the internal ID name for the EP1200 submission, as it will appear on the OLF2.0 GUI for edition/review. Can be any name chosen by the user with the following limitations:</p> <ul style="list-style-type: none"> Up to 25 characters long. No blank spaces. <p>E.g.: <file-reference-id>My_1200_request</file-reference-id></p>
<request-petition>	<p>Descriptive name of the request corresponding to the form.</p> <p>For EP1200, this will be a fixed string as follows:</p> <p><request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby requested.</request-petition></p>
<parties>	<p>List of parties involved in the application (applicants, inventors, representatives...).</p> <p>This element has no text value nor attributes, and instead contains a set of children elements.</p> <p>Please see EP1200 – Parties for details and example cases.</p>
<priority-claims>	<p>Includes the declaration of one or more priority claims and contains the information regarding them.</p> <p>The data in this element is populated with the values corresponding to the fields in section <i>Information about international phase</i> in the EP Entry tab of form EP1200. Please see EP1200 – EP Entry for details and example cases.</p> <p>Includes the declaration of one or more priority claims and contains the information regarding them.</p>
<search-authority>	<p>Indicates the regional office which acts as the <i>International searching authority</i> (ISA).</p>

	<p>The country/region for the ISA is indicated with a <code><isa></code> sub-element containing a <code><country></code> entry indicating its 2-letter code. E.g.:</p> <pre><search-authority> <isa> <country>EP</country> </isa> </search-authority></pre> <p>Please note that, if the value of the <code><country></code> sub-element is different than EP, some rules may be applied to enable/block other fields in the EP1200 form.</p>
<p><code><check-list></code></p>	<p>Contains a list of children nodes corresponding to the type of document (request, description, claims...). E.g.: <code><cl-description></code></p> <p>Please refer to the following chapters on this guide for the full list of all sub-elements and attributes applicable to each type of document and other relevant details:</p> <ul style="list-style-type: none"> ▪ EP1200 – Documents - Amendments ▪ EP1200 - Documents - Document details and number of pages <p>Each of the aforementioned child elements indicates numeric values related to each of the documents referred to in the submission, such as the total count of pages on it, no. of the first and last pages, etc.</p> <p>Note that this section should always contain, at least, a single empty child element <code><cl-request/></code></p> <p>E.g.:</p> <pre><check-list> <cl-request/> <cl-claims number-of-claims=""/> </check-list></pre>
<p><code><ep-language-of-filing></code></p>	<p>For EP1200, this element indicates the languages of both the international publication and for the proceedings before the EPO with their corresponding 2-letter country codes:</p> <ul style="list-style-type: none"> ▪ Language of the international publication: indicated via the element's lang-code attribute. ▪ Language of the proceedings before the EPO: indicated via the element's value. <p>E.g., for <i>Arabic</i> (AR) as language of the international publication and <i>English</i> (EN) as language of the proceedings:</p> <pre><ep-language-of-filing lang-code="ar">en</ep-language-of-filing></pre> <p>Please see EP1200 – EP Entry for details and example cases.</p>
<p><code><ep-office-specific-data></code></p>	<p>EP1200 request data specific to the filing office (declarations, fees...).</p> <p>Attributes:</p>

	<ul style="list-style-type: none"> ▪ office: Filing office to which the specific data in the element applies. For EP1200 filed to EPO, this should have a fixed value of “EP”. ▪ lang: Procedural language, same as in element <code><ep-euro-pct></code>. E.g.: “en” <p>This element will contain the details for states, biological material and sequence listings, information about the attached documents, the information regarding fees, and (optionally) any enclosed annotations to EPO. Please see the following subchapters for details and example cases:</p> <ul style="list-style-type: none"> • EP(1200) – States/BIOM/SEQL – States • EP1200 – States/BIOM/SEQL – Biological Material • EP1200 – States/BIOM/SEQL – Sequence Listings • EP1200 – Documents • EP1200 – Fees • EP1200 – Annotations <p>For a list of <code><ep-office-specific-data></code> sub-elements relevant to the EP Entry tab, please see this chapter: 6.3 EP1200 - EP Entry</p>
--	--

Below is an example showing the general structure in *ep-euro-pct.xml* and the top-level elements listed in the previous table:

```

<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE ep-euro-pct
  SYSTEM "ep-euro-pct-v1-17.dtd">
<ep-euro-pct lang="en"
  dtd-version="1.0"
  produced-by="applicant"
  ro="EP"
  date-produced=""
  regional-phase-office="designated"
  amendments-enclosed="no"
  comments-on="no">
  <file-reference-id>1200_designated</file-reference-id>
  <request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby
  requested.</request-petition>
  <parties>
  ...
  </parties>
  <priority-claims>
  ...
  </priority-claims>
  <search-authority>
  <isa>
  <country>EP</country>
  </isa>
  </search-authority>
  <check-list>
  <cl-request/>
  ...
  </check-list>
  <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
  <ep-office-specific-data office="EP" lang="en">
  ...
  </ep-office-specific-data>
</ep-euro-pct>

```

The details for the child elements of **<ep-euro-pct>**, their relevant attributes and how they are mapped to the different form fields and tabs (e.g., the list of involved parties and their contact information in the **<parties>** element, filled out via the **Parties** tab in the EP1200 form) will be described in subsequent section in this form's chapter.

5.2 Document codes and file types for EP1200

For the successful import of XML data into Online Filing 2.0, the values for the **<document-name>** element, the **doc-type** attribute and the **file** attribute, must follow the standard values for the **document code** as listed in the table below.

Document code	EPO file name *)	Description
Request		
APPBODYXML	application-body.xml	Application body, see: Structure of XML files for EP1200
APPMERGEXML	result-filing.xml	Package
BIODEPXML		Biology
EP1200XML	ep-euro-pct.xml	Application data, see: Structure of XML files for EP1200
PACKDATAXML	package-data.xml	Package
REXML	xmit-receipt.xml	Receipt in XML format
ADDRESSXML	address-matching.xml	Address

Document code	EPO file name *)	Description
Amendments		
AMSPECEPO	AMSPECEPO-1.pdf	Amended specification (contains at least description and abstract)
CLMS-HWA	CLMS-HWA-1.pdf	Amended claims with annotations
DESC-HWA	DESC-HWA.pdf	Amended description with annotations
DRAW-HWA	DRAW-HWA-1.pdf	Amended drawings with annotations

Translations		
SPECTRANEPO	SPECTRANEPO-1.pdf	Translation of international application (contains at least description and abstract)
AMCLMSTRAN	AMCLMSTRAN.pdf	Translation of amended claims (only applicable when EPO as designated office is selected)
IPERTRAN	IPERTRAN.pdf	Translation of the annex(es) to the international preliminary examination report
PRIOTRANAPP	PRIOTRANAPP-1.pdf	Translation of the priority application(s)
Optional additional files for technical documents		
OLF-ARCHIVE OLF-	ARCHIVE.zip Pre-	conversion archive (contains original technical documents in any language, before conversion to PDF, e.g. in DOC format)

Documents concerning biological material, sequence listings		
SEQLTX	SEQLTX.app	Sequence listing in APP format (in accordance with WIPO Standard ST.25)
SEQLTX	SEQLTX.seq	Sequence listing in SEQ format (in accordance with WIPO Standard ST.25)
SEQLTX	SEQLTX.txt	Sequence listing in TXT format (ASCII text, in accordance with WIPO Standard ST.25)
SEQLZIP	SEQLTX.zip	Sequence listing in ZIP format (in accordance with WIPO Standard ST.25)
SEQXML26	SEQXML26.xml	Sequence listing in XML format (in accordance with WIPO Standard ST.26)
SEQLZIP26	SEQLZIP26.zip	Sequence listing in ZIP format (in accordance with WIPO Standard ST.26)
BIOMRECEIPT	BIOM-RECEIPT-1.pdf	Receipt(s) of deposit issued by depositary institution
BIOMWAIV	BIOM-WAIV-1.pdf	Waiver of right to an undertaking from requestor pursuant to Rule 33(2)
Additional documents		
1003	SPECAUTH-1.pdf	Specific authorisation
1004	GENAUTH-1.pdf	General authorisation
REPWOIPER	REPLYWO-1.pdf	Reply to written opinion on IPER (EPO as elected office is selected)
REPWOISA	REPLYWO-1.pdf	Reply to written opinion on ISA (EPO as designated office is selected)
Document code	EPO file name *)	Description
CERTPRIO	CERTPRIO-1.pdf	Certified priority document (must be digitally signed)
OTHERPDF	OTHER-1.pdf	Other document in PDF format
PRSR	PRSR-1.pdf	Search results required under Rule 141(1)
Internal documents generated by Online Filing 2.0 (not to be imported)		
1001	epf1200.pdf	Application in PDF format

Other document codes PDF related		
ADDRREPPDF	address-matching.pdf	Address

BIOM	BIOM-1.pdf	Letter concerning biological material
CERTPRIO	CERTPRIO-1.pdf	
DRAW	DRAW-1.pdf	Drawings
DRAWTRAN	DRAWTRAN-1.pdf	
FEESHEETINT	feesheetint.pdf	
FEESHEETPDF	fee-corrections.pdf	
RECPDF	receipt.pdf	(Electronic) Receipt
SPECEPO	SPECEPO-1.pdf	Combined specification/claims/abstract

Other document codes ZIP related		
---	--	--

OLF-ARCHIVE	OLF-ARCHIVE.zip	Preconversion OLF archive
-------------	-----------------	---------------------------

Graphic files		
----------------------	--	--

OTHERTIF	<filename>.tif	Package
SIGNIMGTIF	<Request>-signature-1.tif	Unexpected/undefined document

*) If there is more than one file of this type of document, the character **1** in the file names must be replaced by **2, 3** etc.

5.3 EP1200 – EP Entry

Form EP1200 starts with the **EP Entry** tab, where the roles for the EPO are selected and the data referring to the previous application is entered.

The basic request information listed above is imported from the following top-level XML elements and attributes under **<ep-euro-pct>** previously mentioned.

The data in section **<priority-claims>** is populated with the values corresponding to the fields in panel *Information about international phase* in the **EP Entry** tab of form EP1200. This section will contain a **<ep-priority-claim>** element for each referred application/publication no. in the aforementioned panel, following the structure and order indicated below:

- **PCT application number (mandatory)**: This entry must always appear and be the first in the sequence. The corresponding **<ep-priority-claim>** entry must contain:
 - Attributes **sequence="1"** (1st claim) and **kind="international"**

- Sub-element **<country>** indicating the country/region of the corresponding PCT application.
- Sub-element **<doc-number>** indicating the PCT application no.
- Sub-element **<date>** indicating the international date of filing of the PCT application.

E.g.:

```
<ep-priority-claim sequence="1" kind="international">
  <country>IB</country>
  <doc-number>PCT/GB2020/098123</doc-number>
  <date>20201101</date>
</ep-priority-claim>
```

- **EP application number (optional):** An additional **<ep-priority-claim>** entry may appear if an EP application no. is provided, and it must contain:
 - Attributes **sequence="n"** (where *n* is the next available sequence number) and **kind="regional"**
 - Sub-element **<country>** indicating "EP" as the country/region of the application.
 - Sub-element **<doc-number>** indicating the EP application no.
 - Empty sub-element **<date/>**.

E.g.:

```
<ep-priority-claim sequence="2" kind="regional">
  <country>EP</country>
  <doc-number>EP16155428.2</doc-number>
  <date/>
</ep-priority-claim>
```

- **International publication number (optional):** An additional **<ep-priority-claim>** entry may appear if an international publication no. is provided (in *WOxxxxxxx* format), and it must contain:
 - Attributes **sequence="n"** (where *n* is the next available sequence number) and **kind="international"**
 - Sub-element **<country>** indicating the country/region of the corresponding PCT application.
 - Sub-element **<doc-number>** indicating the international publication no.
 - Empty sub-element **<date/>**.

E.g.:

```
<ep-priority-claim sequence="3" kind="international">
  <country>IB</country>
  <doc-number>W0999999999</doc-number>
  <date/>
</ep-priority-claim>
```

Finally, the data in **<ep-office-specific-data>** relevant to options in the **EP Entry** tab in EP1200 are the following:

- **<waiver-to-indicate-further-processing/>**: If the option "Waiver of the right to be asked whether to proceed further with the application (Rule 70(2) EPC)" applies, this empty element must be present under section **<ep-declarations>**. E.g.:

```
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-
  states="no">
```



```

...
</ep-designated-states>
<ep-declarations>
  <waiver-to-indicate-further-processing/>
</ep-declarations>
...

```

- **<waiver-for-communication/>**: If the option “*Waiver of the right to the communication under Rule 161(1) or (2) EPC and Rule 162 EPC*” applies, this empty element must be present under section **<ep-declarations>**. E.g.:

```

<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-
    states="no">
  ...
</ep-designated-states>
<ep-declarations>
  <waiver-for-communication/>
</ep-declarations>
...

```

- **<declaration-of-entity-or-natural-person/>**: If the option “*The/Each applicant requests a reduction of fees under Rule 7a(1) EPC and is a natural person or entity under Rule 7a(2) EPC.*” applies, this empty element must be present under section **<ep-declarations>**. E.g.:

```

<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-
    states="no">
  ...
</ep-designated-states>
<ep-declarations>
  <declaration-of-entity-or-natural-person/>
</ep-declarations>
...

```

- **<early-processing/>**: If the option “*Request for early processing of the application under Article 23(2) PCT / Article 40(2) PCT*” (i.e., 'early entry into the European phase') applies, this empty element must be present under section **<ep-declarations>**. E.g.:

```

<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-
    states="no">
  ...
</ep-designated-states>
<ep-declarations>
  <early-processing/>
</ep-declarations>
...

```

Note that, for declaration **<early-processing/>** to be applicable, an **<ep-priority-claim>** entry referring to an *international* (PCT) application with a **<date>** up to 31 months old must be present under **<priority-claims>**. E.g., if the current date is 08-05-2024:

```

<priority-claims>
  <ep-priority-claim sequence="1" kind="international">
    <country>IB</country>
    <doc-number>PCT/GB2020/098123</doc-number>
    <date>20230501</date>
  </ep-priority-claim>
...

```

- **<declaration-of-micro-entity/>**: If the option “*The/Each applicant requests a reduction of fees under Rule 7a(3) EPC and is a micro-entity under Rule 7a(3) EPC*” applies, this empty element must be present under section **<ep-declarations>**. E.g.:

```
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-
states="no">
  ...
</ep-designated-states>
<ep-declarations>
  <declaration-of-micro-entity/>
</ep-declarations>
...
```



Please note that, when multiple of the declarations listed above need to be included under element **<ep-declarations>**, it is important to insert them in the specific order shown in the example snippet below, in order to avoid issues during importation or submission:

```
<ep-declarations>
  <waiver-to-indicate-further-processing/>
  <waiver-for-communication/>
  <declaration-of-entity-or-natural-person/>
  <early-processing/>
  <declaration-of-micro-entity/>
</ep-declarations>
```

- **<fee-calc-info>**: This element must appear under section **<ep-financial-data>**, containing the following children holding information about the selected ISA (*International searching authority*) and IPEA (*International Preliminary Examining Authority*):
 - **<search-region>**: Empty element containing a **region** attribute, indicating if the ISA is the EPO (“**EP**”) or any other authority (“**Other**”).
 - **<IPEA>**: Empty element containing an **ipea** attribute, indicating if the IPEA is the EPO (“**EP**”) or any other authority (“**other**”).

E.g.: for any other regional authority than EPO as the ISA, and EPO as the IPEA:

```
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-
states="no">
  ...
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    <mode-of-payment accno="" mode-type="auto" currency="EUR"/>
    <fees date="20240214">
      <standard-fee>
      ...
    </standard-fee>
    <fee-calc-info>
      <search-region region="Other"/>
      <IPEA ipea="EP"/>
    </fee-calc-info>
  </ep-financial-data>
</ep-office-specific-data>
```

Below is a basic example showing the elements listed above populated with the data filled out in the **EP Entry** tab:

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE ep-euro-pct
  SYSTEM "ep-euro-pct-v1-17.dtd">
<ep-euro-pct lang="en"
  dtd-version="1.0"
  produced-by="applicant"
  ro="EP"
  date-produced=""
  regional-phase-office="designated"
  amendments-enclosed="no"
  comments-on="no">
  <file-reference-id>1200_designated</file-reference-id>
  <request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby
  requested.</request-petition>
  <parties>
  ...
  </parties>
  <priority-claims>
    <ep-priority-claim sequence="1" kind="international">
      <country>IB</country>
      <doc-number>PCT/GB2020/098123</doc-number>
      <date>20201101</date>
    </ep-priority-claim>
    <ep-priority-claim sequence="2" kind="regional">
      <country>EP</country>
      <doc-number>EP16155428.2</doc-number>
      <date/>
    </ep-priority-claim>
    <ep-priority-claim sequence="3" kind="international">
      <country>IB</country>
      <doc-number>W09999999999</doc-number>
      <date/>
    </ep-priority-claim>
  </priority-claims>
  <search-authority>
    <isa>
      <country>EP</country>
    </isa>
  </search-authority>
  <check-list>
    <cl-request/>
    ...
  </check-list>
  <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
  <ep-office-specific-data office="EP" lang="en">
    <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    ...
  </ep-designated-states/>
  <ep-declarations>
    <waiver-to-indicate-further-processing/>
    ...
  </ep-declarations>
  <translation-info>
    <tr-inter-appl>0</tr-inter-appl>
    <tr-prio-appl>0</tr-prio-appl>
    <tr-originally-filed>1</tr-originally-filed>
    <tr-amended-claims>0</tr-amended-claims>
    <tr-annexes>0</tr-annexes>
  </translation-info>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    <mode-of-payment accno="" mode-type="auto" currency="EUR"/>
    <fees date="20240214">
```

```
<standard-fee>
...
</standard-fee>
<fee-calc-info>
  <search-region region="EP"/>
  <IPEA ipea="EP"/>
</fee-calc-info>
...
</ep-office-specific-data>
</ep-euro-pct>
```



Depending on the **EP Entry** options selected for the request, additional XML elements and attributes may also need to be defined in other sections of *ep-euro-pct.xml* besides the items in the above list. Please see the examples provided in the subsequent sections for various examples covering different scenarios and applicable options.

5.3.1 Example: EPO as designated office

XML ep-euro-pct.xml

```

<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE ep-euro-pct
  SYSTEM "ep-euro-pct-v1-17.dtd">
<ep-euro-pct lang="en" dtd-version="1.0" ro="EP" produced-by="applicant" date-produced=""
  regional-phase-office="designated" amendments-enclosed="no" comments-on="no">
  (1) <file-reference-id>1200-doc-entry1</file-reference-id>
  (2) <request-petition>Entry into the European phase (EPO as designated or elected Office) is
  hereby requested.</request-petition> (3)
  <parties>
  <priority-claims>
    <ep-priority-claim sequence="1" kind="international">
      (5) <country>IB</country>
      <doc-number>PCT/US2011/123456</doc-number>
      <date>20110705</date> (8)
    </ep-priority-claim>
    <ep-priority-claim sequence="2" kind="regional">
      (7) <country>EP</country>
      <doc-number>EP11080400.2</doc-number>
      <date/>
    </ep-priority-claim>
    <ep-priority-claim sequence="3" kind="international">
      (6) <country>IB</country>
      <doc-number>WO2011123456</doc-number>
      <date/>
    </ep-priority-claim>
  </priority-claims>
  <search-authority>
    <isa>
      <country>EP</country> (9)
    </isa>
  </search-authority>
  <check-list total-page-count="1"> (4)
  <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
  <ep-office-specific-data office="EP" lang="en">
    <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    <ep-declarations>
      <waiver-for-communication/> (11)
    </ep-declarations>
    <translation-info>
    </ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
      <fees date="20240515">
        <standard-fee>
          <fee-calc-info>
            <search-region region="EP"/>
            (10) <IPEA ipea="EP"/>
            </fee-calc-info>
            <fee-total-amount>4835.0</fee-total-amount>
          </fees>
        </ep-financial-data>
        <ep-electronic-files doc-type="1001">
          <applicant-file-name/>
          <epo-file-name>epf1200.pdf</epo-file-name>
        </ep-electronic-files>
      </ep-office-specific-data>
    </ep-euro-pct>

```

Figure 121: EP Entry XML: general data and priority claims

Element list

- (1) User reference
- (2) EPO as designated office
- (3) Examination under Art. 94 EPC requested

- (4) Language of the international publication: is represented by the **lang-code** attribute of the **ep-language-of-filing** element, whereas the contents of **ep-language-of-filing** is used for the procedural language.
- (5) PCT application number
- (6) PCT publication number
- (7) EP application number
- (8) International filing date (refers to PCT application number)
- (9) International Searching Authority (ISA)
- (10) IPEA is EPO is inferred; can only be modified if *EPO as elected office* is selected
- (11) Waiver, Rules 161(1) or (2) and 162 EPC

5.3.2 Example: Request for examination in admissible non-EPO language

The example below demonstrates an application where the EPO is the elected office and acts as IPEA. Spanish has been selected as the language for the request for examination, which enables the option to make the declaration under Rule 7a(1) EPC.

The **<declaration-of-entity-or-natural-person/>** element is required where applicant(s) referred to in Article 14(4) EPC wish to apply fee reductions. This element requires that **<ep-request-for-exam-art94/>** is also present and the value of its **lang** attribute is the two-letter code of one of the admissible non-official EPO languages.

XML ep-euro-pct.xml

```

<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE ep-euro-pct
SYSTEM "ep-euro-pct-v1-17.dtd">
<ep-euro-pct lang="en" dtd-version="1.0" ro="EP" produced-by="applicant" date-produced=""
regional-phase-office="elected" amendments-enclosed="no" comments-on="no">
  (2)
  (1) <file-reference-id>1200-doc-entry1</file-reference-id>
  <request-petition>Entry into the European phase (EPO as designated or elected Office) is
  hereby requested.</request-petition> (3)
  <parties>
  <priority-claims>
  <search-authority>
    <isa>
      (9) <country>EP</country>
    </isa>
  </search-authority>
  <check-list total-page-count="1"> (8)
  <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
  <ep-office-specific-data office="EP" lang="en">
    (4) <ep-request-for-exam-art94 lang="es"/> (5)
    <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    <ep-declarations>
      (6) <waiver-to-indicate-further-processing/> (7)
      <declaration-of-entity-or-natural-person/>
    </ep-declarations>
    <translation-info>
    <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
      <fees date="20240515">
        <standard-fee>
        <fee-calc-info>
          <search-region region="EP"/>
          (10) <IPEA ipea="EP"/>
          </fee-calc-info>
          <fee-total-amount>4835.0</fee-total-amount>
        </fees>
      </ep-financial-data>
    <ep-electronic-files doc-type="1001">
      <applicant-file-name/>
      <epo-file-name>epf1200.pdf</epo-file-name>
    </ep-electronic-files>
    </ep-office-specific-data>
  </ep-euro-pct>


```

Figure 126: EP Phase XML: general data, request in Spanish

Element list

- (1) User reference
- (2) EPO as elected office
- (3) Request for examination
- (4) Request for examination in admissible non-EPO language
- (5) Selected examination language (Spanish), indicated by attribute **lang** of **ep-request-for-exam-art94**
- (6) Declaration under Rule 7a(1) EPC
- (7) Waiver under Rule 70(2) EPC
- (8) Language of the international publication
 Note: this data is represented by the **lang-code** attribute of the **ep-language-of-filing** element, whereas the contents of **ep-language-of-filing** is used for the procedural language.
- (9) International Searching Authority (ISA)

(10) International Preliminary Examining Authority (IPEA)

 To apply for declaration 7a(3) when applicable (instead of 7a(1)), element **(6)** can simply be replaced with `<declaration-of-micro-entity/>`

5.4 EP1200 – Parties


The **Parties** tab of Form EP1200 accommodates all data for names, persons and addresses relating to the application. At least one applicant is required.

- Applicant(s)
- Representative(s)
- Authorisations and waivers
- Address for correspondence

The XML structure for the `<parties>` element in the *ep-euro-pct.xml* file holding the information about involved parties is basically the same as in the *ep-request.xml* file in form EP1001, except that only `<applicants>` and `<agents>` (representative) elements are accepted (i.e., section `<inventors>` is not applicable here).

The `<parties>` element can contain `<applicants>` and `<agents>` (representative) elements, each with multiple `<applicant>` and `<ep-agent>` sub-elements, following the same structure as described in: [EP1001 – Parties, Inventors](#)

- `<applicants>` contains one or more `<applicant>` elements for each involved applicant.
- `<agents>` contains one or more `<ep-agent>` elements for each involved representative.

 If an address for correspondence has been entered for the first-named applicant, no representative can be added, and vice versa.

The required attributes for each individual `<applicant>` and `<ep-agent>` element are mostly specific to the type of party, as listed in the table below:

XML Element	XML Attribute	Attribute Description	Example/fixed value
<code><applicant></code>	<code>sequence</code>	Order no. of the applicant in the list of applicants. Always required. For submissions with no applicants named, this value should be "0" . See note (*) below this table.	E.g.: "1" for 1 st applicant

	designation	Fixed value indicating that designated states are as indicated in the submission. Always required.	Fixed value: "as-indicated"
	app-type	Indicates the type of applicant. Always required. Can be one of the following: <ul style="list-style-type: none"> ▪ "applicant": regular applicant. ▪ "applicant-inventor": applicant who is also the inventor. ▪ "employee": legal applicant who is represented by an employee. 	E.g.: "applicant-inventor"
<ep-agent>	sequence	Order no. of the representative in the list of representatives. Always required.	E.g.: "1" for 1 st representative
	rep-type	Always required. Indicates sub-type of representative as follows: <ul style="list-style-type: none"> ▪ "common-representative": association. ▪ "agent": individual. ▪ "attorney": legal practitioner. 	E.g.: "common-representative"
	ep-association-number	If rep-type="common-representative" (association), this attribute is required and must provide its registration no.	E.g.: "125"
	ep-authorisation	Required if representative chooses to file a general authorisation, and the value indicates its type as follows: <ul style="list-style-type: none"> ▪ "attached": individual authorisation is attached. ▪ "registered": general authorisation has been registered under number in attribute general_authorisation_number (see below). ▪ "filed-not-yet-registered": general authorisation has been filed but has not yet been registered. ▪ "includes-ep-phase": the authorisation filed with the EPO as PCT receiving office expressly includes the European phase. 	E.g.: "attached"
	general-authorisation-number	If ep-authorisation="registered" , this attribute is required and must provide the no. under the authorisation is registered.	E.g.: "102356"

(*) Note that, even if a submission is to be imported with no applicants listed under the **Parties**, section (either as a draft to be filled out later, or as a submission with only representatives named), the **<applicants>** section must still be present and contain an empty **<applicant>** entry with a **sequence** no. **"0"**, as the example snippet below:

```
<applicants>
  <applicant sequence="0" app-type="applicant" designation="as-indicated">
    <addressbook lang="en">
      <name name-type="legal"/>
      <address>
        <postcode/>
        <country/>
      </address>
    </addressbook>
    <nationality>
      <country/>
    </nationality>
    <residence>
      <country/>
    </residence>
  </applicant>
</applicants>
```



Please refer to the example scenarios provided in subsequent sub-chapters in this section (e.g.: [One applicant, one representative with authorisation](#)) for more details on how the above attributes are set in each possible case.

Each **<applicant>** and **<ep-agent>** element should contain:

- A single **<addressbook>** sub-element with the **name and address details**. This element should **always be present** (required).
- If a specific country of **nationality** is to be specified, a **<nationality>** sub-element should also be present. This will contain a single **<country>** child element with the 2-letter country code (e.g.: "IT" for Italy).
- Similarly, if a specific country of **residence** is to be specified, a **<residence>** sub-element should also be present, with the same internal structure as the above.

The example below shows the basic structure for the **<parties>** section in a request that only includes a single applicant specifying *Italy* (IT) as both their nationality and residence country:

```
<parties>
  <applicants>
    <applicant sequence="1"
      designation="as-indicated"
      app-type="applicant">
      <addressbook lang="en">
        ...
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
    </applicant>
  </applicants>
</parties>
```

```

        </residence>
    </applicant>
</applicants>
</parties>
    
```

The **<addressbook>** element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: `<addressbook lang="en">`

The structure of the **<addressbook>** element is specific to the type of party involved (applicant/representative/inventor) and its sub-type (e.g., legal or natural person, for applicants):

Party role	Sub-type	XML Elements in <addressbook>
<applicant>	Applicant, legal person	<pre> <name name-type="legal"> <registered-number/> <address> <address-2> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
	Applicant, natural person	<pre> <last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
<ep-agent>	Professional representative, association	<pre> <last-name> (*) <department> <registered-number> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
	Professional representative, individual	<pre> <last-name> <first-name> <orgname> <department> <address> <pobox> </pre>

		<pre><street> <city> <state> <postcode> <country> </address> <phone> <email></pre>
	Legal practitioner	Same as above.



(*) For representatives of sub-type *association* (i.e., with attribute **rep-type="common-representative"**), the value of the **<last-name>** element corresponds to the **Organisation name** of the association acting as representative.

Below is an example showing the general structure of a **<parties>** element in *ep-euro-pct.xml* containing a single **<applicant>** entry, with the top-level elements and attributes listed in the previous tables:

```
<parties>
  <applicants>
    <applicant sequence="1"
      designation="as-indicated"
      app-type="applicant-inventor">
      <addressbook lang="en">
        <last-name>Manzoni</last-name>
        <first-name>Salvatore</first-name>
        <orgname>Borghese S.A.</orgname>
        <department>Invenzioni</department>
        <registered-number/>
        <address>
          <pobox/>
          <street>Via Roma 8 / Piazza del Duomo</street>
          <city>Milano</city>
          <state/>
          <postcode>20100</postcode>
          <country>IT</country>
        </address>
        <phone>+39 2 5056 10</phone>
        <email>manzoni@borghese.it</email>
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
    </applicant>
  </applicants>
</parties>
```

See the examples included below in subsequent chapters for more details about other possible scenarios including different parties involved.

5.4.1 Example: Applicant is represented by employee and has separate address for correspondence

In this example, an employee is acting as a representative on behalf of the applicant. No other representative can be added. A separate address for correspondence is connected with the applicant.

The `<address>` element within the `<applicant>` element for the employee is empty, since it is inferred that employee and applicant have the same address.

XML ep-euro-pct.xml

```

<parties>
  1 <applicants>
    2 <applicant sequence="1" designation="as-indicated" app-type="applicant">
      3 <addressbook lang="fr">
        <name name-type="legal">TechInvent SA</name>
        <registered-number/>
        <address>
          <address-2>Brevets</address-2> 4
          7 <pobox/>
          <street>34, place de la republique</street> 5
          <city>Lyon</city> 9
          <state/>
          8 <postcode>69008</postcode>
          <country>FR</country> 6
        </address>
        10 <phone>+33 4 2568 10</phone>
        <email>info@techinvent.fr</email> 11
      </addressbook>
      <nationality>
        <country/>
      </nationality>
      <residence>
        <country>FR</country> 12
      </residence>
      13 <applicant-IB-recorded>true</applicant-IB-recorded>
    </applicant>
    14 <applicant sequence="1" app-type="employee" designation="as-indicated">
      <addressbook lang="fr">
        17 <prefix/>
        <last-name>Vallonier</last-name> 15
        16 <first-name>Monique</first-name>
        <iid>13.45667</iid> 18
        <address>
          <postcode/>
          <country/>
        </address>
      </addressbook>
      <nationality>
        <country>EP</country>
      </nationality>
      <residence>
        <country>EP</country>
      </residence>
    </applicant>
  </applicants>

```

Figure 131: Names XML: data for applicant and employee

[...]

```

</applicants>
(19) <correspondence-address>
  <addressbook lang="fr">
    <name name-type="legal"/>
    <registered-number/>
    <address>
      (3) <address-1>TechInvent SA</address-1>
      <address-2>Affaires légales</address-2> (20)
      (23) <pobox>201</pobox>
      <street>54 rue Jean-Monnet</street> (22)
      (25) <city>Lyon</city>
      <state/>
      <postcode>69015</postcode> (24)
      <country>FR</country> (21)
    </address>
  </addressbook>
</correspondence-address>
</parties>

```

Figure 132: Names XML: address for correspondence data

Element list

- (1) Applicants
- (2) Applicant 1 - legal person
- (3) Company name
- (4) Department
- (5) Country
- (6) Street
- (7) P.O. box number
- (8) Postal code
- (9) City
- (10) Telephone
- (11) E-mail
- (12) Principal place of business
- (13) Applicant 1 has already been recorded by the International Bureau
- (14) Applicant 1 is represented by an employee
- (15) Last name of employee
- (16) First name of employee
- (17) Title/prefix of employee – **deprecated value**, ignored if present **and not shown in GUI**.
- (18) General authorisation of employee
- (19) Address for correspondence is connected with applicant 1
- (20) Address for correspondence of applicant 1: department
- (21) Country (must be an EPC contracting state)
- (22) Street
- (23) P.O. box number
- (24) Postal code
- (25) City

5.4.2 Example: One applicant, one representative with authorisation

XML ep-euro-pct.xml

```

<parties>
  (1) <applicants>
    <applicant sequence="1" designation="as-indicated" app-type="applicant">
      <addressbook lang="en">
        <last-name>Manzoni</last-name>
        <first-name>Salvatore</first-name>
        <orgname>Borghese S.A.</orgname>
        <department>Invenzioni</department>
        <registered-number/>
        <address>
          <pobox/>
          <street>Via Roma 8 / Piazza del Duomo</street>
          <city>Milano</city>
          <state/>
          <postcode>20100</postcode>
          <country>IT</country>
        </address>
        <phone>+39 2 5056 10</phone>
        <email>manzoni@borghese.it</email>
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
    </applicant>
  </applicants>
  (2) <agents>
    (3) <ep-agent sequence="1" rep-type="common-representative" ep-authorisation="registered"
      general_authorisation_number="780650" ep-association-number="145"> (16)
      <addressbook lang="en">
        (4) <name name-type="legal">IP Partners</name> (17)
        <registered-number>0.0</registered-number> (6)
        <address>
          (5) <address-2>European Patents</address-2>
          <pobox>5088</pobox> (10)
          (9) <street>Cambridge Science Park / 100 Red Lion Square</street>
          <city>Cambridge</city> (12)
          <state>Cambridgeshire</state> (13)
          (11) <postcode>CB2 1AB</postcode>
          <country>GB</country> (8)
        </address>
        (14) <phone>+44 1223 35160</phone>
        <email>office@ip-partners.co.uk</email> (15)
      </addressbook>
    </ep-agent>
  </agents>
</parties>

```

Figure 136: Names XML: data for representative 1 (agent)

Element list


- (1) Applicants (see previous chapter: [Example: Applicant is represented by employee...](#) for more details on the contents of this section)
- (2) Representatives (agents)
- (3) Representative 1
- (4) Name
- (5) Department
- (6) EP registration number (not required)

- (7) EP association number (if applicable)
- (8) Country (must be in an EPC contracting state)
- (9) Address: street and number
- (10) P.O. box number
- (11) Postal code
- (12) City
- (13) State, county or province (if applicable for selected country)
- (14) Telephone
- (15) E-mail
- (16) Authorisation type
- (17) General authorisation number


5.5 EP1200 – States/BIOM/SEQL – States

The lists of states in the **States** section in tab **States/BIOM/SEQL** are defined by the states applicable on the international filing date specified in the **EP Entry** tab.

- All designation states are automatically selected (Article 79(1) EPC).
- All extension states or individual extension states can be selected. The extension fee is due for each individual state.
- All validation states or individual validation states can be selected where applicable. The validation fee is due for each individual state.

 For the latest list of EPC contracting states, extension states and validation states see the EPO website at **About us > Legal foundations and member states > [Member states of the European Patent Organisation](#)**. The EPC contracting states include all overseas departments and territories.

Although all the contracting states to the EPC at the time of filing of the PCT application and designated therein are deemed to be designated in EP1200, it is not required to specify all individual <country> elements for the designated states in the **ep-euro-pct.xml** file to be imported. It is sufficient to produce the **<ep-designated-states>** element with the **<extension-states>** and **<validation-states>** elements. If no extension states and validation states are designated, the **<extension-states/>** and **<validation-states/>** elements must be present as empty elements.

 See the corresponding sections under Form EP1001 for more details on the extension states and validation states: [EP1001 – Application details – Designation of states](#)

The example provided below shows the structure of a **<ep-designated-states>** XML section for a scenario where both extension and validation states are designated.

XML ep-euro-pct.xml


```

<ep-language-of-filing lang-code="">en</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
  (1) <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no"> (2)
    (3) <extension-states>
      (4) <country>BA</country>
      (5) <country>ME</country>
    </extension-states>
    (6) <validation-states>
      (7) <country>MA</country>
      (8) <country>MD</country>
    </validation-states>
  </ep-designated-states>
  <translation-info>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  <ep-electronic-files doc-type="1001">
    <applicant-file-name/>
    <epo-file-name>epf1200.pdf</epo-file-name>
  </ep-electronic-files>
</ep-office-specific-data>
</ep-euro-pct>

```

Figure 139: States XML: designated states and extension states

Element list

- (1) Designation of contracting states
- (2) All contracting states are designated
The **waiver-communication-and-processing-of-non-designated-states** attribute must always be present in the **ep-designated-states** element. The value must be set to **no**.
- (3) Designation of extension states
- (4) Extension state selected: specific **<country>** element
- (5) Extension state selected: specific **<country>** element
- (6) Designation of validation states
- (7) Validation state selected: specific **<country>** element
- (8) Validation state selected: specific **<country>** element

5.6 EP1200 – States/BIOM/SEQL – Biological Material

The EP1200 **Biological Material** section of the **States/BIOM/SEQL** tab is provided to enable applicants to enter all data concerning any biological materials relating to the application.

- Depository institutions (name and address)
- Accession numbers
- References to patent description
- Receipts, authorisations and waivers as attached documents

 Sequence listings are attached in sub-tab **Sequence listings**. See: [EP1200 – States/BIOM/SEQL – Sequence Listings](#)

Each deposit of biological material is imported from a **<ep-biological-material>** element inside section **<ep-office-specific-data>** in *ep-euro-pct.xml*. Below is a snippet showing the basic structure of a sample element **<ep-biological-material>** and the top-level elements in it:

```

<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    ...
  </ep-designated-states>
</ep-declarations/>
<ep-biological-material id="bio1" num="CBS" dnum="Bio-123456">
  <depository>CBS
    <address>
      <address-1>Uppsalalaan 8, 3584 CT Utrecht, Netherlands, or, P.O. Box 85167, 3508 AD
Utrecht, Netherlands</address-1>
      <postcode/>
      <country/>
    </address>
  </depository>
  <bio-accno>CBS-908070</bio-accno>
  <bio-receipt will-be-filed-later="yes"/>
  <bio-waiver>BIOM-WAIV-1.pdf</bio-waiver>
  <ep-biological-material-reference>
    <ep-bio-references-page>5</ep-bio-references-page>
    <ep-bio-references-lines>245</ep-bio-references-lines>
  </ep-biological-material-reference/>
</ep-biological-material>
...

```

An **<ep-biological-material>** element must contain the following attributes:

- **id**: internal ID name of the biological material deposit. This should always start with “**bio**”, followed by its order no. of creation. E.g.: “**bio1**” for the first deposit.
- **num**: short name (abbreviated) of the depository institution. E.g.: “**CBS**”. Currently permitted values are:

ABC	CCY	MSCL
NNRL	CCM	MTCC
VKM	ECACC	NBIMCC
ATCC	GDMCC	NCAIM
BEA	IAFB	NCTC
BCCM	DBVPG	NCYC
IMI	IDAC	NCIMB
CCTCC	IPOD	NIBSC
CGMCC	IZSLER	NPMD
CChRGM	KACC	NMI
CM-CNRRG	KCLRF	PCM
CECT	KCTC	NCMA
CNCM	KCCM	VKPM
CCMM	CBA	VTTC
CCAP	DSMZ	CBS
CCOS	MCC	OTHER

- **dnum**: identification reference (i.e., name under which the deposit is listed in OLF2.0 GUI). This can be freely entered by the user filing. E.g.: “**Bio-123456**”.


The table below list the child elements in each **<ep-biological-material>** entry:

XML Element	Description, attributes and sub-elements
<depository>	This element must contain:

	<ul style="list-style-type: none"> ▪ A text value indicating the short name of the depositary institution. E.g.: “CBS”. This should match the value of attribute num in the <code><ep-biological-material></code> element. ▪ An <code><address></code> child element indicating the full address of the referred institution. <p>The aforementioned <code><address></code> record should contain the following sub-elements:</p> <ul style="list-style-type: none"> ▪ <code><address-1></code>: Full address of the institution. This may be followed by additional <code><address-2></code> and <code><address-3></code> elements if the address is to be split into multiple lines. ▪ <code><postcode></code>: Postal code (may be empty). ▪ <code><country></code>: 2-letter country code of the institution. This element must be present, even if its empty. <p>Example:</p> <pre><depositary>CBS <address> <address-1>Uppsalalaan 8, 3584 CT Utrecht, Netherlands, or, P.O. Box 85167, 3508 AD Utrecht, Netherlands</address-1> <postcode/> <country/> </address> </depositary></pre>
<code><bio-accno></code>	<p>Accession number for the deposit.</p> <p>E.g.: <code><bio-accno>CBS-908070</bio-accno></code></p>
<code><bio-receipt></code>	<p>Indicates if a copy of the deposit receipt issued by the depositary institution is to be either attached with the submission or to be filed later:</p> <ul style="list-style-type: none"> ▪ Attached: indicated simply by a <code><bio-receipt/></code> empty element with no attributes. ▪ To be filed later: indicated by an empty element with a <code>will-be-filed-later="yes"</code> attribute.
<code><bio-waiver></code>	<p>If a <i>waiver pursuant to Rule 33(2)</i> is attached to the submission, this element must also be present and indicate the name of the attached file corresponding to said document as its value.</p> <p>E.g.: <code><bio-waiver>BIOM-WAIV-1.pdf</bio-waiver></code></p>
<code><ep-biological-material-reference></code>	<p>If the depositary institution and accession no. / depositor's identification reference are indicated in the application documents, this element must be present with no value and the following required sub-elements:</p> <ul style="list-style-type: none"> ▪ <code><ep-bio-references-page></code>: Numeric value indicating the page(s) containing the reference. ▪ <code><ep-bio-references-lines></code>: Numeric value indicating the line(s) in the specified page(s) containing the reference. <p>E.g.:</p> <pre><ep-biological-material-reference> <ep-bio-references-page>5</ep-bio-references-page></pre>

	<pre><ep-bio-references-lines>245</ep-bio-references-lines> </ep-biological-material-reference></pre> <p>If there is no such reference, this section can be missing.</p>
--	---

The example below deposit details and attached documents relating to biological materials. Multiple biological materials can be listed.

 See also the examples provided in [EP1001 – Application details – Biological Material](#) for more details about the structure of element **<ep-biological-material>** and its expected children elements / attributes for several scenarios.

XML ep-euro-pct.xml

```
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
  <ep-declarations>
    (1) <ep-biological-material id="bio1" num="CNCM" dnum="12-Inst5678">
      (2) <depository>CNCM<address>
        (4) <address-1>Institut Pasteur , 25-28 rue du Dr. Roux, 75724 Paris C̄dex 15, France</address-1>
        <postcode/>
        <country/>
      </address>
      </depository>
      (5) <bio-accno>CNCM-908010</bio-accno>
      <bio-receipt>BIOM-RECEIPT-1.pdf</bio-receipt> (9)
      <bio-waiver>BIOM-WAIV-1.pdf</bio-waiver> (11)
      (6) <ep-biological-material-reference>
        <ep-bio-references-page>14</ep-bio-references-page> (7)
        <ep-bio-references-lines>1200-1250</ep-bio-references-lines> (8)
      </ep-biological-material-reference>
    </ep-biological-material>
  <translation-info>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  <ep-electronic-files doc-type="1001">
    <applicant-file-name/>
    <epo-file-name>epf1200.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="BIOMRECEIPT"> (13)
    <applicant-file-name>bio_receipt.pdf</applicant-file-name> (14)
    (10) <epo-file-name>BIOM-RECEIPT-1.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="BIOMWAIV"> (15)
    <applicant-file-name>bio_waiver.pdf</applicant-file-name> (16)
    (12) <epo-file-name>BIOM-WAIV-1.pdf</epo-file-name>
  </ep-electronic-files>
</ep-office-specific-data>
</ep-euro-pct>
```

Figure 143: Biological Material XML: deposit details and documents

Element list

- (1) Deposit 1
- (2) Identification reference
- (3) Depository institution (full name in GUI is retrieved from OLF database)
- (4) Depository address (address in GUI is retrieved from OLF database)
- (5) Accession number
- (6) Reference to publication
- (7) Page number in publication
- (8) Line numbers in publication

- (9) Copy of receipt(s) of deposit attached
- (10) EPO file name for receipt of deposit
- (11) Waiver of the right Rule 33(2) EPC attached
- (12) EPO file name for waiver Rule 33(2)
- (13) EPO document code for receipt of deposit
- (14) Original file name for receipt of deposit
- (15) EPO document code for waiver Rule 33(2)
- (16) Original file name for waiver Rule 33(2)

5.7 EP1200 – States/BIOM/SEQL – Sequence Listings

The EP1200 **Sequence Listings** section of the **States/BIOM/SEQL** tab is provided to enable applicants to indicate if the PCT application discloses nucleotide and/or amino acid sequences complying with the WIPO Standard applicable at the international date of filing. All data concerning any biological materials relating to the application.

- **Attached** to the EP1200 submission. Note that only one sequence listing may be attached.
- **Already available to EPO** in computer readable format (filed under *Rule 5.2(a) PCT*, furnished to the EPO as ISA under *Rule 13ter.1(a) PCT*, or otherwise).

When indicating that the PCT application discloses a sequence listing, a **<declaration-application-contains-sequence-listing>** XML element must be present under section **<ep-declarations>** in the **<ep-office-specific-data>** top element in *ep-euro-pct.xml*, indicating the following required attributes:

- **furnishment-of-sequence-listing**: value must be **“attached”** (if sequence listing file is attached) or **“already”** (if already made available to EPO).
- **not-including-matter-beyond-original-application**: if applicant wants to indicate that the sequence listing does not include matter that goes beyond the content of the application, value should be **“yes”**. Otherwise, this attribute should be either set to **“no”** value (default) or entirely omitted.

E.g., for an attached sequence listing with the *“does not include matter that goes beyond the content of the application as filed”* option enabled:

```

<ep-office-specific-data office="EP" lang="de">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    ...
  </ep-designated-states>
  <ep-declarations>
    <waiver-for-communication/>
    <declaration-application-contains-sequence-listing furnishment-of-sequence-
listing="attached" not-including-matter-beyond-original-application="yes"/>
  </ep-declarations>
  ...

```

Additionally, and only if the sequence listing is furnished as an attachment, the following XML elements and attributes should also be present in the *ep-euro-pct.xml* file to be imported (populated with data as described):

- A **<cl-sequence-listing>** entry under the **<check-list>** top element, specifying the following attributes:
 - **quantity**: fixed value of **"1"** (i.e., only one sequence listing per submission).
 - **page-count**: fixed value of **"0"** (not applicable).
 - **seq-type**: indicates the type of sequence listing file attached with one of the following possible values:
 - **"app"**: ST.25 format as APP file.
 - **"txt"**: ST.25 format as text file.
 - **"zip"**: ST.26 format as ZIP package.
 - **"xml"**: ST.26 format as XML file.

E.g., for a ST.26 sequence listing file provided as ZIP:

```
<check-list total-page-count="1">
  <cl-request/>
  ...
  <cl-sequence-listing quantity="1" page-count="0" seq-type="zip">SEQLZIP26.zip</cl-
sequence-listing>
</check-list>
```

- An **<ep-electronic-files>** entry under the **<ep-office-specific-data>** top element, containing the following information:
 - **doc-type**: Attribute indicating the document type for the furnished sequence listing (e.g., **"SEQLZIP26"**).
 - **<applicant-file-name>**: Child element containing the original name of the file (if different from the EPO file name).
 - **<epo-file-name>**: Child element containing the standard EPO file name for the corresponding **doc-type**. See: [Document codes and file types for EP1200](#)

E.g., for a sequence listing provided in ST.26 format as ZIP file:

```
<ep-office-specific-data office="EP" lang="de">
  ...
  <ep-electronic-files doc-type="SEQLZIP26">
    <applicant-file-name>ST_26_zip_package.zip</applicant-file-name>
    <epo-file-name>SEQLZIP26.zip</epo-file-name>
  </ep-electronic-files>
  ...
```

The snippet below provides a basic example of the overall structure of an *ep-euro-pct.xml* file containing a declaration for an attached sequence listing in ST.26 ZIP format:

```
<ep-euro-pct lang="de"
  dtd-version="1.0"
  ro="EP"
  produced-by="applicant"
  date-produced=""
  regional-phase-office="elected"
  amendments-enclosed="yes">
```

```

        comments-on="no">
...
    <check-list total-page-count="1">
        <cl-request/>
        <cl-claims number-of-claims=""/>
        <cl-sequence-listing quantity="1" page-count="0" seq-type="zip">SEQLZIP26.zip</cl-sequence-
listing>
    </check-list>
    <ep-language-of-filing lang-code="de">de</ep-language-of-filing>
    <ep-office-specific-data office="EP" lang="de">
        <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
            ...
        </ep-designated-states>
    <ep-declarations>
        <waiver-for-communication/>
        <declaration-application-contains-sequence-listing furnishment-of-sequence-
listing="attached" not-including-matter-beyond-original-application="yes"/>
    </ep-declarations>
...
    <ep-electronic-files doc-type="1001">
        <applicant-file-name/>
        <epo-file-name>epf1200.pdf</epo-file-name>
    </ep-electronic-files>
    <ep-electronic-files doc-type="SEQLZIP26">
        <applicant-file-name>ST_26_zip_package.zip</applicant-file-name>
        <epo-file-name>SEQLZIP26.zip</epo-file-name>
    </ep-electronic-files>
...
    </ep-office-specific-data>
</ep-euro-pct>

```

See the subsequent sub-chapters in this section for additional details depending on the way the sequence listing is furnished (attached or already available).

5.7.1 Sequence listings attached in computer-readable format

If you attach a sequence listing to a EP1200 application, this file must always be submitted in computer-readable format in accordance with WIPO Standard ST.25 or ST.26. On 1 July 2022, WIPO Standard ST.26 entered into force. For applications with a filing date on or after 1 July 2022, sequence listings should be filed in ST.26.



Only one sequence listing file can be attached, i.e. either a ST.25 file (APP/SEQ/TXT/ZIP) or a ST.26 file (XML/ZIP).

Computer-readable sequence listings can be attached as the following file types:

▪ Sequence listing in ST.25 (APP or TXT)

- document code = **SEQLTXT**
- EPO file name for APP files = **SEQLTXT.app**
- EPO file name for TXT files = **SEQLTXT.txt**

▪ Sequence listing in ST.25 (ZIP)

- document code = **SEQLZIP**

- EPO file name = **SEQLTXT.zip**

▪ Sequence listing in ST.26 (XML)

- document code = **SEQLXML26**
- EPO file name = **SEQLXML26.xml**

▪ Sequence listing in ST.26 (ZIP)

- document code = **SEQLZIP26**
- EPO file name = **SEQLZIP26.zip**

The example shows a sequence listing attached in ST.26 ZIP format (doc. code **SEQLZIP26**).

- ➔ If you attach APP or TXT files, please refer to the list above for the corresponding document codes and EPO file names.
- ➔ For an example of a sequence listing in ST.26 XML format, see: [EP1001 – Application details – Sequence listings](#)

XML ep-euro-pct.xml

```

</search-authority>
<check-list total-page-count="4">
  <cl-request/>
  <cl-description page-count="1"
    phase="international-application-as-filed"
    application-pages=""/>
  <cl-claims page-count="2"
    phase="international-application-as-filed"
    application-pages=""/>
  <cl-claims number-of-claims="20"/>
  <cl-sequence-listing quantity="1" page-count="0" seq-type="zip">SEQLZIP26.zip</cl-sequence-listing>
</check-list>
<ep-language-of-filing lang-code="en"></ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    <ep-declarations>
      (1) <declaration-application-contains-sequence-listing
        (2)   furnishment-of-sequence-listing="attached"
        (6)   not-including-matter-beyond-original-application="yes"/>
    </ep-declarations>
    <translation-info>
      <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
        <ep-electronic-files doc-type="1001">
          <applicant-file-name/>
          <epo-file-name>epf1200.pdf</epo-file-name>
        </ep-electronic-files>
        <ep-electronic-files doc-type="SEQLZIP26">
          (4) <applicant-file-name>ST_26_zip_package.zip</applicant-file-name>
          <epo-file-name>SEQLZIP26.zip</epo-file-name> (5)
        </ep-electronic-files>
      </ep-office-specific-data>
    </ep-euro-pct>
  
```

Figure 175: Documents XML: data of sequence listing attached

Element list

- (1) International application discloses nucleotide and/or amino acid sequences
- (2) Sequence listing is attached
- (3) Sequence listing is attached in computer-readable format
- (4) Original file name of sequence listing in ZIP format (not displayed in GUI)
- (5) EPO file name for sequence listings in ST.26 ZIP format
- (6) Sequence listing does not include matter that goes beyond content of application as filed

5.7.2 Sequence listings available to the EPO

If a sequence listing as part of the international application was already filed under Rule 5.2(a) PCT, or furnished to the EPO as ISA under Rule 13ter.1(a) PCT, or is otherwise available to the EPO, in computer-readable format in accordance with the WIPO standard applicable at the time of filing (ST.25 or ST.26), you are not required to attach a sequence listing file.

XML ep-euro-pct.xml

```

</search-authority>
<check-list total-page-count="4">
<ep-language-of-filing lang-code="">en</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
  <ep-declarations>
    1 <declaration-application-contains-sequence-listing furnishement-of-sequence-listing="already"/>
    2 </ep-declarations>
  </ep-office-specific-data>
</ep-office-specific-data>
<translation-info>
<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
<ep-electronic-files doc-type="1001">
  <applicant-file-name/>
  <epo-file-name>epf1200.pdf</epo-file-name>
</ep-electronic-files>
<ep-electronic-files doc-type="BIOMRECEIPT">
<ep-electronic-files doc-type="BIOMWAIV">
</ep-office-specific-data>
</ep-euro-pct>

```

Figure 183: Documents XML: sequence listing has been furnished, no file is attached

Element list

- (1) The international application discloses nucleotide and/or amino acid sequences
- (2) The sequence listing is available to the EPO in computer-readable format

5.8 EP1200 – Documents

The **Documents** tab in form EP1200 allows applicants to attach documents containing translations or amendments to parts of the previously filed application and other documents. The available choices depend on the EPO role selected in the **EP Entry** tab and the settings for amendments in the **Documents for proceedings** sub-tab.

- The files containing amendments or translations of technical documents are referenced in the **application-body.xml** file.
- All other documents are referenced in the **ep-euro-pct.xml** file.

For each document attached with the submission, a **<ep-electronic-files>** element inside section **<ep-office-specific-data>** must be present in **ep-euro-pct.xml**, as well as the corresponding entry in the **<check-list>** element in the same section for enclosed technical documents.



The structure of both elements are basically the same as previously described for form EP1001 in: [EP1001 – Documents](#)

Apart from the aforementioned elements covered in the EP1001 chapter, an additional XML element **<translation-info>** is also present under section **<ep-office-specific-data>** for EP1200 form submissions. This element must provide data related to any enclosed amendments/translation documents via the sub-elements detailed in the table below, which can only take values **1** (yes) or **0** (no):

XML Element	Description, attributes and sub-elements
<code><tr-inter-appl></code>	Indicates whether a translation of the international application is attached (1) or not (0).
<code><tr-prio-appl></code>	Indicates whether translations of priority applications are attached (1) or not (0).
<code><tr-originally-filed></code>	Indicates whether the PCT application as originally filed is a complete translation of the previous application under Rule 53(3) EPC (1) or not (0).
<code><tr-amended-claims></code>	Indicates whether amended claims are attached (1) or not (0).
<code><tr-annexes></code>	Indicates whether a translation of annexes to the international preliminary examination report (IPER) is attached (1) or not (0).

The snippet below shows the structure of a complete **<translation-info>** element for a basic case where none of the options described above are applicable (other cases and examples will be described in subsequent sub-chapters):

```

<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    ...
  </ep-designated-states>
  <ep-declarations>
    ...
  </ep-declarations>
  <translation-info>
    <tr-inter-appl>0</tr-inter-appl>
    <tr-prio-appl>0</tr-prio-appl>
    <tr-originally-filed>0</tr-originally-filed>
    <tr-amended-claims>0</tr-amended-claims>
    <tr-annexes>0</tr-annexes>
  </translation-info>

```

The types of documents that can be attached to a EP1200 submission are:

Amendments and translations

- Amendments
- Translation of international application (**if publication language is a non-EPO language**)
- Translation of priority applications

- Translation of annexes to the international preliminary examination report (**if publication language is a non-EPO language**)
- Pre-conversion archive (ZIP)

Sequence listing

- Sequence listing in PDF format
- Sequence listing in computer-readable format compliant with WIPO ST.25 (APP, TXT or ZIP file)
- Sequence listing in computer-readable format compliant with WIPO ST.26 (XML or ZIP file)



Details related to sequence listings are covered in chapter [EP1200 – States/BIOM/SEQL – Sequence Listings](#)

Additional documents

Only PDF files are allowed.

- General authorisation
- Specific authorisation
- Electronic priority document (digitally signed)
- Reply to written opinion/IPER
- Search results required under Rule 141(1) EPC
- Amendments with annotations (claims, description, drawings)
- Other documents
- Request for retrieval of priority document from WIPO Digital Access Service (DAS)

For naming conventions, see the list of document names required by the EPO in: [Document codes and file types for EP1200](#). All attached documents must be **Annex F** compliant. For more information about preparing documents for attachment and patent specifications in XML format please refer to the *OLF2.0 User Guide*.

5.8.1 Documents for proceedings

In the **Documents for proceedings** panel of the **Documents** tab in EP1200, general settings and declarations are made.

- If you wish to **attach/enclose documents containing amendments** (option *“amended replacement pages attached”* in the OLF2.0 GUI), this must be indicated by setting attribute **amendments-enclosed** in top-level element `<ep-euro-pct>` to **“yes”**:

```
<ep-euro-pct lang="en"
  dtd-version="1.0"
  ro="EP"
  produced-by="applicant"
  date-produced=""
  regional-phase-office="designated"
  amendments-enclosed="yes">
```

```
comments-on="no">
```

- If you wish to **attach/enclose comments on the International preliminary examination report** (option “Comments on the International preliminary examination report established by the EPO as the International Preliminary Examining Authority and/or observations are enclosed” in the OLF2.0 GUI), this must be indicated by setting attribute **comments-on** in top-level element **<ep-euro-pct>** to **“yes”**:

```
<ep-euro-pct lang="en"
  dtd-version="1.0"
  ro="EP"
  produced-by="applicant"
  date-produced=""
  regional-phase-office="designated"
  amendments-enclosed="yes"
  comments-on="yes">
```

- If you wish to **indicate that the PCT application as originally filed is a complete translation of the previous application (Rule 53(3) EPC)**, the XML element **<tr-originally-filed>** under section **<translation-info>** in top element **<ep-office-specific-data>** must have a value of **1** (otherwise, said element should be set to **“0”**):

```
<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    ...
  </ep-designated-states>
  <ep-declarations>
    ...
  </ep-declarations>
  <translation-info>
    <tr-inter-appl>0</tr-inter-appl>
    <tr-prio-appl>0</tr-prio-appl>
    <tr-originally-filed>1</tr-originally-filed>
    <tr-amended-claims>0</tr-amended-claims>
    <tr-annexes>0</tr-annexes>
  </translation-info>
  ...
</ep-office-specific-data>
```



The option “Proceedings before the EPO can be based on test reports if the EPO as IPEA has been provided with such reports” is automatically selected (and cannot be deselected) if the options “EPO as elected office” and “IPEA is EPO” are selected in the **EP Entry** tab. Similarly, it is not available if **IPEA other than EPO** or **EPO as designated office** are selected.

The example below shows how the data for the **Documents for proceedings** options described above are stored in *ep-euro-pct.xml*:

XML ep-euro-pct.xml

```

1 <?xml version="1.0" encoding="UTF-8"?>
2 <!DOCTYPE ep-euro-pct
3   SYSTEM "ep-euro-pct-v1-17.dtd">
4 <ep-euro-pct lang="en" dtd-version="1.0" ro="EP" produced-by="applicant"
5   date-produced="" regional-phase-office="elected" amendments-enclosed="yes"
6   comments-on="no">
7   <file-reference-id>1200_elected</file-reference-id>
8   <request-petition>Entry into the European phase (EPO as designated or elected Office) is hereby
9     requested.</request-petition>
10  <parties>
11  </parties>
12  <priority-claims>
13  </priority-claims>
14  <search-authority>
15  </search-authority>
16  <check-list total-page-count="19">
17  </check-list>
18  <ep-language-of-filing lang-code="ko">en</ep-language-of-filing>
19  <ep-office-specific-data office="EP" lang="en">
20  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
21  </ep-designated-states>
22  <ep-declarations>
23  </ep-declarations>
24  <translation-info>
25  <tr-inter-appl>0</tr-inter-appl>
26  <tr-prio-appl>0</tr-prio-appl>
27  <tr-originally-filed>1</tr-originally-filed>
28  <tr-amended-claims>0</tr-amended-claims>
29  <tr-annexes>0</tr-annexes>
30  </translation-info>
31  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
32  <mode-of-payment accno="" mode-type="ccard" currency="EUR"/>
33  <fees date="20231114">
34  <standard-fee>
35  </standard-fee>
36  <fee-calc-info>
37  <search-region region="EP"/>
38  <IPEA ipea="EP"/>
39  </fee-calc-info>
40  <fee-total-amount>4233.0</fee-total-amount>
41  </fees>
42  </ep-financial-data>
43  <ep-electronic-files doc-type="1001">
44  <applicant-file-name/>
45  <epo-file-name>epf1200.pdf</epo-file-name>
46  </ep-electronic-files>
47  <ep-notes-to-EPO page="Annotate" id="notel">
48  </ep-notes-to-EPO>
49  </ep-office-specific-data>
50 </ep-euro-pct>

```

Figure 147: Documents XML: options for proceedings

Element list

- (1) Enclosed amendments
- (2) The international application as originally filed is a complete translation of the previous application (Rule 53(3) EPC)
- (3) Use of test reports (**implicit if EPO as IPEA has been supplied with test reports**)
- (4) Translation information: selected in the PDF if any of the XML child elements takes the value **1**.
- (5) **<ep-electronic-files>** entry for the EP request document (document code 1001).



Please note that, as a bare minimum for an EP1200 submission to be importable, an **<ep-electronic-files>** entry for the corresponding EP request document (document code 1001) **must always be present by default** with the contents shown in the example above, in addition to any entries for other attached documents.

5.8.2 Amendments

When amended specification documents are attached to the EP1200 submission, and in addition to the corresponding **<ep-electronic-files>** element(s), section **<check-list>** in **ep-euro-pct.xml** must contain a child node for each of the provided technical documents (request, description, claims...) and for each additional document that are present in the submission. The table below list the possible child elements in that can figure in the **<check-list>** section depending on the provided documents and their expected contents:

XML Element	Document type	Value and/or Attributes
<cl-request>	EP1200 request	This element should always be empty .
<cl-description>	Description	Attributes: <ul style="list-style-type: none"> ▪ page-count: Total no. of pages for description. E.g.: "30" ▪ ppf: Page no. in the attached file corresponding to 1st page of the description. E.g.: "1" ▪ ppl: Page no. in the attached file corresponding to last page of the description. E.g.: "30" ▪ phase: Fixed value "entry-into-regional-phase" ▪ application-pages: Page range for Description in the provided document, this attribute is not mandatory. E.g.: "free text"
<cl-claims>	Claims	Attributes: <ul style="list-style-type: none"> ▪ page-count: Total no. of pages for claims. ▪ ppf: Page no. in the attached file corresponding to 1st page of the claims. ▪ ppl: Page no. in the attached file corresponding to last page of the claims. ▪ number-of-claims: No. of claims listed. ▪ number-claims-fee-calculation: No. of claims for which the applicant intends to pay (used for the fee calculation). <u>Please set the value to "0" (zero) if you do not intend to pay for any claims with this application.</u> ▪ phase: Fixed value "entry-into-regional-phase" ▪ application-pages: Page range for Claims in the provided document, this attribute is not mandatory. E.g.: "free text"
<cl-abstract>	Abstract	Attributes: <ul style="list-style-type: none"> ▪ page-count: Total no. of pages for abstract. ▪ ppf: Page no. in the attached file corresponding to 1st page of the abstract. ▪ ppl: Page no. in the attached file corresponding to last page of the abstract. ▪ phase: Fixed value "entry-into-regional-phase"
<cl-drawings> (*)	Drawings	Attributes:

		<ul style="list-style-type: none"> ▪ page-count: Total no. of pages for drawings. ▪ ppf: Page no. in the attached file corresponding to 1st page of the drawings. ▪ ppl: Page no. in the attached file corresponding to last page of the drawings. ▪ fig-count: No. of figures included in the drawings. E.g.: "2" ▪ phase: Fixed value "entry-into-regional-phase" ▪ application-pages: Page range for Drawings in the provided document, this attribute is not mandatory. E.g.: "free text"
<code><cl-sequence-listing></code>	Sequence listing.	See section EP1200 – States/BIOM/SEQL – Sequence Listings in this guide for details.

(*) If a drawings document is attached, an `<figure-to-publish>` element may follow the `<check-list>` section, containing a single `<fig-number>` sub-element indicating the no. of the figure of the drawings which should accompany the abstract when published.

Below is a snippet showing an example `<check-list>` section containing the required attributes for all amended documents that can be included in the EP1200 request:

```

...
</parties>
<check-list page-count="8">
  <cl-request/>
  <cl-description page-count="2"
    ppf="1"
    ppl="2"
    phase="entry-into-regional-phase">AMSPECEPO-1.pdf</cl-description>
  <cl-claims page-count="1"
    number-of-claims="20"
    number-claims-fee-calculation="2"
    ppf="3"
    ppl="3"
    phase="entry-into-regional-phase">AMSPECEPO-1.pdf</cl-claims>
  <cl-abstract page-count="2" ppf="4" ppl="5">AMSPECEPO-1.pdf</cl-abstract>
  <cl-drawings page-count="3"
    ppf="6"
    ppl="8"
    phase="entry-into-regional-phase">AMSPECEPO-1.pdf</cl-drawings>
</check-list>
<ep-language-of-filing lang-code="en">en</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
...

```

In addition to the `<ep-electronic-files>` element(s) and `<check-list>` entries corresponding to the amended document(s) provided, the XML element `<translation-info>` must also be present under section `<ep-office-specific-data>` for EP1200 form submissions and contain the following sub-elements:


XML Element	Description, attributes and sub-elements
<code><tr-amended-claims></code>	Indicates whether amended claims are attached (1) or not (0).


The snippet below shows the structure of the `<ep-office-specific-data>` element in *ep-euro-pct.xml* for a case where a single document containing amended description/claims/drawings has been attached:

```

<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    ...
  </ep-designated-states>
  <ep-declarations>
    ...
  </ep-declarations>
  <translation-info>
    <tr-inter-appl>0</tr-inter-appl>
    <tr-prio-appl>0</tr-prio-appl>
    <tr-originally-filed>0</tr-originally-filed>
    <tr-amended-claims>1</tr-amended-claims>
    <tr-annexes>0</tr-annexes>
  </translation-info>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    ...
  </ep-financial-data>
  <ep-electronic-files doc-type="1001">
    <applicant-file-name/>
    <epo-file-name>epf1200.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="AMSPECEPO">
    <applicant-file-name>Amended_specs.pdf</applicant-file-name>
    <epo-file-name>AMSPECEPO-1.pdf</epo-file-name>
  </ep-electronic-files>
  ...
</ep-office-specific-data>

```

 Please note that, as a bare minimum for an EP1200 submission to be importable, an `<ep-electronic-files>` entry for the corresponding EP request document (document code 1001) **must always be present** with the contents shown in the example above.

 Note that amendments can be attached as one combined file or multiple PDF documents.

In this example, a combined file contains the amended description, abstract and drawings, and two separate files are attached for the amended claims and another amended drawings. In addition, a document with **translations of priority application** is provided.

XML ep-euro-pct.xml


```

57  <priority-claims>
74  <search-authority>
79  <check-list total-page-count="1">
80    <cl-request/>
81    <cl-claims number-of-claims=""/> 12 13 6
82    11 <cl-abstract page-count="1" ppf="8" ppl="8">AMSPECEPO-2.pdf</cl-abstract>
83  </check-list>
84  <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
85  <ep-office-specific-data office="EP" lang="en">
86    <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
135  <ep-biological-material id="bio1" num="CNM" dnum="09-Inst3412">
151  <translation-info>
152    <tr-inter-appl>0</tr-inter-appl>
153    22 <tr-prio-appl>1</tr-prio-appl>
154    <tr-originally-filed>0</tr-originally-filed>
155    <tr-amended-claims>0</tr-amended-claims>
156    <tr-annexes>0</tr-annexes>
157  </translation-info>
158  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
159    <fees date="20100401">
360  </ep-financial-data>
361  <ep-electronic-files doc-type="1001">
365  <ep-electronic-files doc-type="AMSPECEPO">
366    <applicant-file-name>Claims Modification.pdf</applicant-file-name> 2
367    1 <epo-file-name>AMSPECEPO-1.pdf</epo-file-name>
368  </ep-electronic-files>
369  <ep-electronic-files doc-type="AMSPECEPO">
370    <applicant-file-name>Instant water specification.pdf</applicant-file-name> 7
371    6 <epo-file-name>AMSPECEPO-2.pdf</epo-file-name>
372  </ep-electronic-files>
373  <ep-electronic-files doc-type="AMSPECEPO">
374    <applicant-file-name>Instant water drawing.pdf</applicant-file-name> 18
375    17 <epo-file-name>AMSPECEPO-3.pdf</epo-file-name>
376  </ep-electronic-files>
377  <ep-electronic-files doc-type="PRIOTRANAPP">
378    <applicant-file-name>Translation priority.pdf</applicant-file-name> 24
379    23 <epo-file-name>PRIOTRANAPP-1.pdf</epo-file-name>
380  </ep-electronic-files>
381  <ep-electronic-files doc-type="BIOMRECEIPT">
385  <ep-electronic-files doc-type="BIOMWAIV">
389  </ep-office-specific-data>
390  </ep-euro-pct>

```

Figure 150: Documents XML: amendments and translation of priority application

XML application-body.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
3  <application-body lang="en" dtd-version="1.6" country="EP">
4  <description> 6 9 10
5  8 <doc-page id="AMDESC2" he="1" wi="1" type="pdf" file="AMSPECEPO-2.pdf" ppf="1" ppl="7" pp="7"/>
6  </description>
7  <claims> 1 4 5
8  3 <doc-page id="AMCLMS1" he="1" wi="1" type="pdf" file="AMSPECEPO-1.pdf" ppf="1" ppl="4" pp="4"/>
9  </claims>
10 <abstract> 6 12 13
11 11 <doc-page id="AMABST2" he="1" wi="1" type="pdf" file="AMSPECEPO-2.pdf" ppf="8" ppl="8" pp="1"/>
12 </abstract>
13 <drawings> 6 15 16
14 14 <doc-page id="AMDRAW2" he="1" wi="1" type="pdf" file="AMSPECEPO-2.pdf" ppf="9" ppl="10" pp="2"/>
15 19 <doc-page id="AMDRAW3" he="1" wi="1" type="pdf" file="AMSPECEPO-3.pdf" ppf="1" ppl="1" pp="1"/>
16 </drawings> 17 20 21
17 </application-body>

```

Figure 151: Documents XML: amendments to application in application-body.xml file

Element list

- (1) EPO file name for amended claims
- (2) Original file name of amended claims
- (3) Amended claims in separate file
- (4) First page of amended claims
- (5) Last page of amended claims
- (6) EPO file name for other amendments in combined file
- (7) Original file name of other amendments in combined file
- (8) Amended description in combined file
- (9) First page of amended description in combined file
- (10) Last page of amended description in combined file
- (11) Amended abstract in combined file
- (12) First page of amended abstract in combined file
- (13) Last page of amended abstract in combined file
- (14) Amended drawings in combined file
- (15) First page of amended drawings in combined file
- (16) Last page of amended drawings in combined file
- (17) EPO file name for amended drawings
- (18) Original file name of amended drawings
- (19) Amended drawings in separate file
- (20) First page of amended drawings in separate file
- (21) Last page of amended drawings in separate file
- (22) Translation of priority application
- (23) EPO file name for translation of priority application
- (24) Original file name of translation of priority application

5.8.3 Translations

When translation documents are attached to the EP1200 submission, and in addition to the **<ep-electronic-files>** element(s) corresponding to the specific type of document(s) provided, the XML element **<translation-info>** must also be present under section **<ep-office-specific-data>** for EP1200 form submissions. This element must provide data related to any enclosed translation documents via the sub-elements detailed in the table below, which can only take values **1** (yes) or **0** (no):

XML Element	Description, attributes and sub-elements
<code><tr-inter-appl></code>	Indicates whether a translation of the international application is attached (1) or not (0). Note that this is <u>only applicable if the publication language is a non-EPO language.</u>
<code><tr-prio-appl></code>	Indicates whether translations of priority applications are attached (1) or not (0).

<code><tr-annexes></code>	<p>Indicates whether a translation of annexes to the international preliminary examination report (IPER) is attached (1) or not (0).</p> <p>If the publication language is a non-EPO language</p>
---------------------------------	---

The snippet below shows the structure of the `<ep-office-specific-data>` element for a case where all types of translation documents described above have been attached:

```

<ep-office-specific-data office="EP" lang="en">
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    ...
  </ep-designated-states>
  <ep-declarations>
    ...
  </ep-declarations>
  <translation-info>
    <tr-inter-appl>1</tr-inter-appl>
    <tr-prio-appl>1</tr-prio-appl>
    <tr-originally-filed>0</tr-originally-filed>
    <tr-amended-claims>0</tr-amended-claims>
    <tr-annexes>1</tr-annexes>
  </translation-info>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    ...
  </ep-financial-data>
  <ep-electronic-files doc-type="1001">
    <applicant-file-name/>
    <epo-file-name>epf1200.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="SPECTRANEPO">
    <applicant-file-name>translation_PCT.pdf</applicant-file-name>
    <epo-file-name>SPECTRANEPO-1.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="PRIOTRANAPP">
    <applicant-file-name>translation_prio.pdf</applicant-file-name>
    <epo-file-name>PRIOTRANAPP-1.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="IPERTRAN">
    <applicant-file-name>translation_annex_IPER.pdf</applicant-file-name>
    <epo-file-name>IPERTRAN.pdf</epo-file-name>
  </ep-electronic-files>
  ...
</ep-office-specific-data>

```



Note that the translation of the international application can be attached as one combined file for all technical documents (description, claims...) or as multiple PDF documents.

In this example, all translation documents have been added as a combined file. Additionally, the translation of annexes to the international preliminary search report has been attached.

XML ep-euro-pct.xml

```

74  <search-authority>
79  <check-list total-page-count="1">
80    <cl-request/>
81    <cl-claims number-of-claims="10 11 1">
82      <cl-abstract page-count="1" ppf="9" ppl="9">SPECTRANEPO-1.pdf</cl-abstract>
83    </check-list>
84    <ep-language-of-filing lang-code="es">en</ep-language-of-filing>
85    <ep-office-specific-data office="EP" lang="en">
86      <ep-request-for-exam-art94 lang="es"/>
87      <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
129    <ep-declarations>
132    <translation-info>
133      <tr-inter-appl>1</tr-inter-appl>
134      <tr-prio-appl>0</tr-prio-appl>
135      <tr-originally-filed>1</tr-originally-filed>
136      <tr-amended-claims>0</tr-amended-claims>
137      <tr-annexes>1</tr-annexes>
138    </translation-info>
139    <ep-financial-data cur="EUR" fee-amounts-unlocked-by-user="no">
342    <ep-electronic-files doc-type="1001">
346    <ep-electronic-files doc-type="SPECTRANEPO">
347      <applicant-file-name>Instant water.pdf</applicant-file-name>
348      <epo-file-name>SPECTRANEPO-1.pdf</epo-file-name>
349    </ep-electronic-files>
350    <ep-electronic-files doc-type="IPERTRAN">
351      <applicant-file-name>Translation Annex.pdf</applicant-file-name>
352      <epo-file-name>IPERTRAN.pdf</epo-file-name>
353    </ep-electronic-files>
354    </ep-office-specific-data>
355  </ep-euro-pct>

```

Figure 154: Documents XML: files, file names and document types listed

XML application-body.xml

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE application-body SYSTEM "application-body-v1-6.dtd">
3  <application-body lang="en" dtd-version="1.6" country="EP">
4    <description>
5      <doc-page id="DESCTRAN1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="1" ppl="6" pp="6"/>
6    </description>
7    <claims>
8      <doc-page id="CLMSTRAN1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="7" ppl="8" pp="2"/>
9    </claims>
10   <abstract>
11     <doc-page id="ABSTTRAN1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="9" ppl="9" pp="1"/>
12   </abstract>
13   <drawings>
14     <doc-page id="DRAWTRAN1" he="1" wi="1" type="pdf" file="SPECTRANEPO-1.pdf" ppf="10" ppl="10" pp="1"/>
15   </drawings>
16 </application-body>

```

Figure 155: Documents XML: Translations of original application attached

Element list

- (1) EPO file name for translation of international application in combined document
- (2) Original file name for translation of international application
- (3) Translation of the description as originally filed
- (4) First page of translated description in combined document
- (5) Last page of translated description in combined document
- (6) Translation of the claims as originally filed

- (7) First page of translated claims in combined document
- (8) Last page of translated claims in combined document
- (9) Translation of the abstract as published
- (10) First page of translated abstract in combined document
- (11) Last page of translated abstract in combined document
- (12) Translation of any text in the drawings as originally filed
- (13) First page of translated text in the drawings in combined document
- (14) Last page of translated text in the drawings in combined document
- (15) EPO file name for translation of annexes to international preliminary examination report
- (16) Original file name of translation of annexes to international preliminary examination report
- (17) Translation of international application [...] attached
- (18) Translation for annexes [...] attached

5.8.4 Document details and number of pages

The data to be entered in the **Document details and number of pages** section of the tab indicates the associated number of pages of the set of documents entering any European phase. The number of pages is required by the EPO in order to calculate the additional filing fee (520) for the 36th and each subsequent page.

- The documents attached to the application must be indicated: document type, number of pages, page range.
- Those sections of the international application to be used by the EPO must also be indicated.
- The total of pages is automatically calculated by the OLF2.0 system.

In the **overview** sections, users must enter the page numbers and page ranges of all relevant documents (attached, previously filed or published) in three sub-sections: **Description**, **Claims** and **Drawings**. For the abstract, one page is added per default. The total number of pages is then calculated automatically in the **overview** tab and used to calculate the amount for the fee 520 to be paid.

The options for entering page numbers in the **Document details and number of pages** sub-tab depend on:

- whether the EPO is designated or elected office (**EP Phase** tab)
- the language of the international application (**EP Phase** tab)
- the options selected in the **Documents for proceedings** sub-tab
- the attachments made in the **Amendments and Translations** sub-tab



Certain options are mutually exclusive. These are explained in more detail in the example cases below.

The data corresponding to the selected options and entered page count/intervals in the **Document details and number of pages** sub-tab is stored as empty additional **<cl-description>**, **<cl-**

claims> and cl-drawings> child elements in section check-list> in *ep-euro-pct.xml*. These elements will feature the following attributes:

- **phase**: Phase of the application in which the description/claims/drawings information was submitted. This will correspond to the selected option in the **Document details and number of pages** sub-tab (see table below for possible values).
- **page-count**: No. of pages of the corresponding type of information (description/claims/drawings).
- **application-pages**: Page range (from-to) of the application that contains the referred type of information (description/claims/drawings).

The possible values of the **phase** attribute are:

Document overview type	XML Sub-element in check-list>	Option selected in sub-tab	Value of phase
Description	cl-description>	Description in the PCT application as published	"international-application-as-filed"
		Translation of published description (**)	"translation-of-international-application"
		Description amended under Article 34 PCT	"amendments-during-international-exam"
		Translation of description amended under Article 34 PCT (**)	"translation-of-amendments-during-international-exam"
		Amendments on entry into the European phase	"entry-into-regional-phase"
Claims (*)	cl-claims>	Claims in the PCT application as published	"international-application-as-filed"
		Claims amended under Article 19 PCT	"amendments-after-international-srep"
		Claims amended under Article 34 PCT	"amendments-during-international-exam"
		Amendments on entry into the European phase	"entry-into-regional-phase"
Drawings	cl-drawings>	Drawings in the PCT application as published (***)	"international-application-as-filed"
		Translation of published drawings (**)	"translation-of-international-application"
		Drawings amended under Article 34 PCT	"amendments-during-international-exam"
		Amendments on entry into the European phase	"entry-into-regional-phase"

(*) For claims, only one of the listed options can be selected at a time, i.e., only one cl-claims> entry containing its overview data may be present in check-list> for the single selected option for claims.

(**) Option only available if the selected **Language of the international publication** in the **EP Entry** tab is a non-EPO language

(***) For drawings, this option is mutually exclusive with all others (i.e., you can either select this option only **or** any combination of the others excluding the former).

In addition to the pages no. and interval overview information described above, the following attributes must also be included in a separate `<cl-claims>` element containing information concerning the no. of claims:


- **number-of-claims**: Number of claims for the European phase.
- **number-claims-fee-calculation**: **Only when amended claims are attached**. Number of claims for which claims fees will be paid (including first 15 claims).

Below is a snippet showing an example `<check-list>` section containing the document overview information for all types of specifications documents listed above (description, claims and drawings) with the “*in the PCT application as published*” option selected for all of them:

```

...
</parties>
<check-list total-page-count="8">
  <cl-request/>
  <cl-description page-count="1"
    phase="international-application-as-filed"
    application-pages="1-1"/>
  <cl-claims page-count="2"
    phase="international-application-as-filed"
    application-pages="2-3"/>
  <cl-claims number-of-claims="20"/>
  <cl-drawings page-count="1"
    phase="international-application-as-filed"
    application-pages="4-4"/>
</check-list>
<ep-language-of-filing lang-code="de">en</ep-language-of-filing>
<ep-office-specific-data office="EP" lang="en">
...

```

 Please note that the total number of pages registered in the **total-page-count** attribute of the `<check-list>` element is **recalculated during import** and it is thus not necessary to include this data in the file to be imported.

Additionally, please note also that, if amendments are attached to the EP1200 submission, their corresponding page count and other overview attributes are stored in separate entries in `<check-list>` with attribute `phase="entry-into-regional-phase"`. For `<cl-claims>`, the **number-of-claims** attributes should also appear in said entry along with the rest of the metadata concerning the amended claims.

See the example below for a case where the application’s **description** is both referred to as published in the PCT application (`phase="international-application-as-filed"`) and for which amendments are also being attached in the EP1200 submission:

```

<check-list page-count="8">
  <cl-request/>
  <cl-description page-count="10"
    phase="international-application-as-filed"
    application-pages="4-6"/>
  <cl-description page-count="2"
    ppf="1"
    ppl="2"
    phase="entry-into-regional-phase">AMSPECEPO-1.pdf</cl-description>
  ...

```

Some more detailed scenarios will be shown on the subsequent examples provided below:

Amendments on entry into the European phase, EPO is designated office:

XML ep-euro-pct.xml: check-list

The total number of pages is registered in the **total-page-count** attribute of the **<check-list>** element. It is recalculated during import and it is thus not necessary to include this data in the file to be imported.

For each part of the documents indicated in the document overview, a separate child element is added to the **<check-list>** element: **<cl-description>**, **<cl-claims>** and **<cl-drawings>**. The number of pages is specified in the **page-count** attribute, while the type of document to be examined is contained in the **phase** attribute.

Please note:

- The number of claims can be found in the **number-of-claims** attribute (12) in a separate **<cl-claims>** element.
- The number of claims you intend to pay for (including first 15 claims) is reflected in the **number-claims-fee-calculation** attribute (13) in the same **<cl-claims>** element.

```

10  <parties>
59  <priority-claims>
76  <search-authority>
77  <isa>
78  <country>EP</country>
79  </isa>
80  </search-authority>
81  <check-list total-page-count="23">
82  <cl-request/>
83  <cl-description page-count="8" phase="international-application-as-filed" application-pages="1-8"/>
84  <cl-description page-count="7" phase="entry-into-regional-phase" application-pages="1-7"/>
85  <cl-claims page-count="4" phase="entry-into-regional-phase" application-pages="1-4"/>
86  <cl-claims number-of-claims="25" number-claims-fee-calculation="20"/>
87  <cl-drawings page-count="2" phase="international-application-as-filed" application-pages="13-15"/>
88  <cl-drawings page-count="1" phase="entry-into-regional-phase" application-pages="1-1"/>
89  </check-list>
90  <ep-language-of-filing lang-code="en">en</ep-language-of-filing>
91  <ep-office-specific-data office="EP" lang="en">

```

The figure shows an XML document overview with 19 red circular annotations (numbered 1-19) pointing to specific attributes in the <check-list> element. The annotations are: 1: total-page-count, 2: page-count, 3: phase, 4: application-pages, 5: phase, 6: page-count, 7: phase, 8: application-pages, 9: page-count, 10: phase, 11: application-pages, 12: number-of-claims, 13: number-claims-fee-calculation, 14: page-count, 15: phase, 16: application-pages, 17: page-count, 18: phase, 19: application-pages.

Figure 162: Document overview XML: page count and phase attributes for all document parts

Element list

- (1) Abstract: Default one page count
- (2) Total number of pages
- (3) Page count of description: International application as published
- (4) Description: International application as published
- (5) Page range of (4)
- (6) Page count of description: Amendments on entry into the European phase
- (7) Description: Amendments on entry into the European phase
- (8) Page range of (7)
- (9) Page count of claims: Amendments on entry into the European phase
- (10) Claims: Amendments on entry into the European phase
- (11) Page range of (10)
- (12) Number of claims on entry into the European phase
- (13) Number of claims you intend to pay for (including first 15 claims)
This value is used for the fee calculation. Please set the value to **0** (zero) if you do not intend to pay for any claims with this application.
- (14) Page count of drawings: International application as published
- (15) Drawings: International application as published
- (16) Page range of (14)
- (17) Page count of drawings: Amendments on entry into the European phase
- (18) Drawings: Amendments on entry into the European phase
- (19) Page range of (17)
- (20) Number of pages to be paid (see below)
- (21) Fee schedule for fee 520 (see below)
- (22) Amount to be paid for fee 520, i.e. for the 36th and each subsequent page (see below)
- (23) Fee factor for claims to be paid (see below)

XML ep-euro-pct.xml: fees

It is not necessary to indicate the fee factor for fee 520 in the XML code, since the fee amount will be calculated from the data in the **total-page-count** attribute during import. However, it is still generated by the Online Filing software. Please note:

- The **<fee-sub-amount>** element stands for one single fee and the **<fee-schedule>** indicates the total amount of the fee to be paid.
- The values of the **<fee-factor>** elements for both fee 015 and fee 015e are calculated from the value in the **number-claims-fee-calculation** attribute (13).
In the example, the number of claims intended to pay for is 20, from which 15 (for the first 15 claims free of charge) are subtracted, thus resulting in 5 claims to be paid (23).

```

195 <fee index="15" topay="yes">
196 <type-of-fee>standard</type-of-fee>
197 <23><fee-factor>5</fee-factor>
198 <fee-schedule>1125</fee-schedule>
199 <fee-sub-amount>225</fee-sub-amount>
200 <fee-reduction-factor>-1</fee-reduction-factor>
201 </fee>
202 <fee index="15e" topay="yes">
203 <type-of-fee>standard</type-of-fee>
204 <fee-factor>0</fee-factor>
205 <fee-schedule>0</fee-schedule>
206 <fee-sub-amount>555</fee-sub-amount>
207 <fee-reduction-factor>-1</fee-reduction-factor>
208 </fee>
333 <fee index="520" topay="yes">
334 <type-of-fee>standard</type-of-fee>
335 <20><fee-factor user-input="">0</fee-factor>
336 <fee-schedule>0</fee-schedule> <21>
337 <22><fee-sub-amount>14</fee-sub-amount>
338 <fee-reduction-factor>-1</fee-reduction-factor>
339 </fee>
340 </standard-fee>
341 <fee-calc-info>
342 <search-region region="EP"/>
343 <IPEA ipea="EP"/>
344 </fee-calc-info>
345 <fee-total-amount>6085</fee-total-amount>
346 </fees>
347 </ep-financial-data>

```

Figure 163: Fees XML: fee factor and fee-sub-amount calculated from the document overview

The factor for the claims fee (23) is calculated from the value in the **number-claims-fee-calculation** attribute (13).

The amount to pay is calculated from the total number of pages minus 35 fee-exempt pages multiplied by the current fee for one exceed page (fee 520).

Translation of international application and other documents, EPO is elected office:

The translation of the international application as originally filed has been attached in the **Amendments and Translations** sub-tab, consisting of translation of description, translation of claims, translation of abstract and translation of text in the drawings. The page numbers and page ranges of these document parts are entered into the **Document details and number of pages** sub-tab.

XML ep-euro-pct.xml: check-list

The total number of pages is registered in the **total-page-count** attribute of the **<check-list>** element. It is recalculated during import and it is thus not necessary to include this data in the file to be imported.

For each part of the documents indicated in the document overview, a separate child element is added to the **<check-list>** element: **<cl-description>**, **<cl-claims>** and

<cl-drawings>. The number of pages is specified in the **page-count** attribute, while the type of document to be examined is contained in the **phase** attribute; see [Attributes in ep-euro-pct.xml file – EP1200](#).

Please note:

- The number of claims can be found in the **number-of-claims** (6) attribute in a separate **<cl-claims>** element.
- The number of claims you intend to pay for (including first 15 claims) is reflected in the **number-claims-fee-calculation** (7) attribute in the same **<cl-claims>** element.
- The **phase** attribute value for **Translation of international application as published** is **translation-of-international-application** (3, 11).
- The **phase** attribute value for **International application as published** is **international-application-as-filed** (8).
- The **phase** attribute value for **Translation of Art. 34 PCT amendments** is **translation-of-amendments-during-international-exam** (14).
- The **<check-list>** also contains the page count of the translated abstract attached under **Amendments and Translations** (line 56 of the XML code). However, this document is not part of the document overview and therefore the page number is not added to the total page count. Instead, one page is added as the default count for the abstract.

10	<parties>	
59	<priority-claims>	
76	<search-authority>	
77	<isa>	
78	<country>EP</country>	
79	</isa>	
80	</search-authority>	2
81	<check-list total-page-count="23">	
82	<cl-request/>	3
83	<cl-description page-count="8" phase="international-application-as-filed" application-pages="1-8"/>	4 5
84	<cl-description page-count="7" phase="entry-into-regional-phase" application-pages="1-7"/>	6 7 8
85	<cl-claims page-count="4" phase="entry-into-regional-phase" application-pages="1-4"/>	9 10 11
86	<cl-claims number-of-claims="25" number-claims-fee-calculation="20"/>	12 13
87	<cl-drawings page-count="2" phase="international-application-as-filed" application-pages="13-15"/>	14 15 16
88	<cl-drawings page-count="1" phase="entry-into-regional-phase" application-pages="1-1"/>	17 18 19
89	</check-list>	
90	<ep-language-of-filing lang-code="en">en</ep-language-of-filing>	
91	<ep-office-specific-data office="EP" lang="en">	

Figure 171: Document overview XML: page count and phase attributes for all document parts

Element list

- (1) Abstract: Default one page count (**not shown in XML**)
- (2) Total number of pages
- (3) Description: Translation of international application as published
- (4) Page range of (3)
- (5) Page count of description: Translation of international application as published
- (6) Number of claims on entry into the European phase
- (7) Number of claims you intend to pay for (including first 15 claims)

This value is used for the fee calculation. Please set the value to **0** (zero) if you do not intend to pay for any claims with this application.

- (8) Claims: International application as published
- (9) Page range of (8)
- (10) Page count of claims: International application as published
- (11) Drawings: Translation of international application as published
- (12) Page range of (11)
- (13) Page count of drawings: Translation of international application as published
- (14) Drawings: Translation of Art. 34 PCT amendments
- (15) Page range of (14)
- (16) Page count of drawings: Translation of Art. 34 PCT amendments
- (17) Number of pages to be paid
- (18) Fee schedule for fee 520
- (19) Amount to be paid for fee 520, i.e. for the 36th and each subsequent page

XML ep-euro-pct.xml: fees

It is not necessary to indicate the fee factor for fee 520 in the XML code, since the fee amount will be calculated from the data in the **total-page-count** attribute. However, it is still generated by OLF2.0. Please note:

- The **<fee-sub-amount>** element stands for one single fee and the **<fee-schedule>** indicates the total amount of the fee to be paid.

```

334 <fee index="520" topay="yes">
335   <type-of-fee>standard</type-of-fee>
336   <fee-factor user-input="">6</fee-factor> 17
337   <fee-schedule>84</fee-schedule> 19
338   <fee-sub-amount>14</fee-sub-amount> 18
339   <fee-reduction-factor>-1</fee-reduction-factor>
340 </fee>

```

Figure 172: Fees XML: fee factor and fee-sub-amount calculated from the document overview


5.8.5 Additional documents

The additional documents that can be attached to a EP1200 application are:

- Other documents:
 - General authorisations
 - Specific authorisations
 - US certified priority documents
 - Other documents (description is entered by applicant)
- Replies to written opinion/IPER
- Search results required under Rule 141(1) EPC

- Amendments with annotations
 - Amended claims with annotations
 - Amended description with annotations
 - Amended drawings with annotations

The example below shows an application with three documents attached: a general authorisation, a reply to written opinion/IPER and amended drawings with annotations.

 Documents with handwritten amendments are no longer accepted (for exceptions to this rule see the [EPO Official Journal 2013, 603-604](#))

(http://archive.epo.org/epo/pubs/oj013/12_13/12_6033.pdf).

XML ep-euro-pct.xml

```

352  <ep-electronic-files doc-type="SPECTRANEPO">
356  <ep-electronic-files doc-type="REPWOIPER"> 1
357  <applicant-file-name>Reply.pdf</applicant-file-name> 3
358  <epo-file-name>REPLYWO-1.pdf</epo-file-name>
359  </ep-electronic-files>
360  <ep-electronic-files doc-type="1004"> 4
361  <applicant-file-name>Authorization Nano.pdf</applicant-file-name> 6
362  <epo-file-name>GENAUTH-1.pdf</epo-file-name>
363  </ep-electronic-files>
364  <ep-electronic-files doc-type="DRAW-HWA"> 7
365  <applicant-file-name>Drawings amended annotations.pdf</applicant-file-name> 9
366  <epo-file-name>DRAW-HWA.pdf</epo-file-name>
367  </ep-electronic-files>
368  </ep-office-specific-data>
369  </ep-euro-pct>

```

Figure 186: Documents XML: reply to written opinion and authorisation attached

Element list

- (1) Reply to written opinion of ISA 1
Please note: **REPWOISA** is applicable for the **doc-type** attribute where the EPO is the designated office, and **REPWOIPER** is used where the EPO is the elected office.
- (2) EPO file name for reply of written opinion
- (3) Original file name of reply of written opinion
- (4) General authorisation
- (5) EPO file name for general authorisation
- (6) Original file name of general authorisation
- (7) Amended drawings with annotations
- (8) EPO file name for amended drawings with annotations
- (9) Original file name of amended drawings with annotations

The other XML structure and file types are basically identical with those for EP1001; see [Additional documents](#).

5.9 EP1200 – Fees

The **Fees** tab in form EP1200 allows applicants to enter payment details for the fees charged by the EPO. The fee selection is set automatically by the OLF2.0 application; users can also select additional fees manually.



You can retrieve the most recent fee schedule from the EPO website under [interactive schedule of fees](https://my.epoline.org/epoline-portal/classic/epoline.Scheduleoffees) (<https://my.epoline.org/epoline-portal/classic/epoline.Scheduleoffees>).

The global information about fee payment is imported from imported from section **<ep-financial-data>** inside **<ep-office-specific-data>**. This root **<ep-financial-data>** element must contain the following attributes:

- **curr**: currency for fee payment. This is always **“EUR”** by default.
- **fee-amounts-unlocked-by-user**: if set to **“yes”**, indicates that the user has intentionally unlocked the fee amounts and the EPO will not correct any values in this case. Otherwise, this is set to **“no”**, and the fees may therefore be subject to automatic correction by the EPO. Note that, for OLF2.0, this value will always be “no” (if set to “yes” in the imported *ep-euro-pct.xml* file, it will revert to “no” upon successful importation).

The root **<ep-financial-data>** XML element should be followed by the following child elements:

XML Element	Description, attributes and sub-elements
<mode-of-payment>	Element containing the details of the chosen mode of fee payment. Please refer to section EP1200 – Fees / Payment details for more details and examples.
<reimbursement>	<i>(only present when providing refund instructions)</i> Element with a single attribute accno , containing the <i>date of fee schedule validity</i> (in yyyyMMdd format), and the full name of the account holder as value. E.g.: <code><reimbursement accno="28123456">John Smith</reimbursement></code>
<sr-refund>	<i>(only when providing refund instructions)</i> when requesting refund of search fee ((Article 9(2) RFees)), this element should be present and contain the application number to which the search report corresponds. E.g.: <code><sr-refund>John Smith</sr-refund></code>
<add-copies>	<i>(only when providing refund instructions)</i> element indicating the no. of additional copies of the documents cited in the EP search report.
<fees>	This section must be always present. The <fees> element must include a single attribute date , containing the <i>date of fee schedule validity</i> (in yyyyMMdd format) plus the following sub-elements:

	<ul style="list-style-type: none"> ▪ <standard-fee>: contains a set of <fee> elements, each one indicating the details of one of the applicable standard fees for EP1200. <u>This section must be always present.</u> Please refer to section EP1200 – Fees - Standard fees for details. ▪ <fee-calc-info>: This element must contain the following children holding information about the selected ISA (<i>International searching authority</i>) and IPEA (<i>International Preliminary Examining Authority</i>): <ul style="list-style-type: none"> ○ <search-region>: Empty element containing a region attribute, indicating if the ISA is the EPO (“EP”) or any other authority (“Other”). ○ <IPEA>: Empty element containing an ipea attribute, indicating if the IPEA is the EPO (“EP”) or any other authority (“other”). ▪ <fee-total-amount>: element containing a numeric value indicating the total amount to be paid for all selected fees and in the selected currency. E.g.: <code><fee-total-amount>2842.5</fee-total-amount></code>
--	---

Below is a basic example showing the general structure of element **<ep-financial-data>** in *ep-euro-pct.xml* and the top-level sub-elements in it:

```

<ep-euro-pct lang="en"
  dtd-version="1.0"
  ro="EP"
  produced-by="applicant"
  date-produced=""
  regional-phase-office="designated"
  amendments-enclosed="no"
  comments-on="no">
...
  <ep-office-specific-data office="EP" lang="en">
...
  </ep-electronic-files>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    <mode-of-payment accno="28555555"
      mode-type="deposit"
      currency="EUR"
      deferred-execution-date="20231130">Account holder</mode-of-payment>
    <fees date="20231114">
      <standard-fee>
        <fee index="2" topay="yes">
          <type-of-fee>standard</type-of-fee>
          <fee-factor>0.7</fee-factor>
          <fee-schedule>94.50</fee-schedule>
          <fee-sub-amount>135.00</fee-sub-amount>
          <fee-reduction-factor>0.30</fee-reduction-factor>
        </fee>
        ...
      </standard-fee>
      <fee-calc-info>
        <search-region region="EP"/>
        <IPEA ipea="EP"/>
      </fee-calc-info>
    </fees>
  </ep-financial-data>
</ep-office-specific-data>
...
</ep-euro-pct>

```



```

    </fees>
  </ep-financial-data>
</ep-office-specific-data>
</ep-euro-pct>

```

5.9.1 Payment details

Information regarding the payment details is imported from the **<mode-of-payment>** XML element under **<ep-financial-data>** in *ep-euro-pct.xml*. This element must contain the following attributes:

- **accno**: when using **mode-type** “**auto**” or “**deposit**” (see below), this must be set to the number of EPO deposit account to be used. E.g.: “**28123456**”
- **mode-type**: selected mode of payment. Can be one of the following values depending on the chosen option:
 - “**auto**”: Automatic debit order.
 - “**deposit**”: Debit from deposit account.
 - “**bank**”: Bank transfer.
 - “**ccard**”: Credit card.
- **currency**: currency for fee payment. This is always “**EUR**” by default.
- **deferred-execution-date**: when requesting a deferred date of payment execution, this attribute must be present and have said date in yyyyMMdd format as value.



In addition to the applicable attributes described above, the element should also contain the full name of the **account/card holder** to be used for payment as its value.

Below is a snippet showing the basic structure of element **<mode-of-payment>**:

```

<ep-office-specific-data office="EP" lang="en">
...
</ep-electronic-files>
<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  <mode-of-payment accno="28555555"
                    mode-type="deposit"
                    currency="EUR"
                    deferred-execution-date="20231130">Account holder</mode-of-payment>
  <fees date="20231114">
...

```

Note that, in the OLF2.0 GUI, there are different options for the mode of payment. If **automatic debit order** is selected, the sub-tabs for selection of individual fees (e.g., **Procedural fees**) will not display any options. Likewise, the PDF form does not contain any fee lists, but the fees will be included in the XML data.

In the example below, **bank transfer** is selected as the mode of payment. As of 01/09/2014, Euro payments within the *Single Euro Payments Area* (SEPA) must be exclusively issued to the EPO's bank account with the *Commerzbank AG, München* (DE). The most recent information on making payments

to the EPO is available from the EPO website at **Applying for a patent > Forms and fees > Making payments** (<http://www.epo.org/applying/forms-fees/payment.html>).

XML ep-euro-pct.xml

i If an XML file contains an invalid EPO bank account, this data is not imported and a severity 1 validation message is triggered.

```

150  <translation-info>
157  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
158      <mode-of-payment accno="DE20 7008 0000 0333 880000" mode-type="bank" currency="EUR">DE</
mode-of-payment>
159      <reimbursement accno="28987654 " ">Universal Engineering</reimbursement>
160      <fees date="20140401">
161          <standard-fee>
387          <fee-calc-info>
391          <fee-total-amount>3680</fee-total-amount>
392      </fees>
393  </ep-financial-data>

```

Figure 189: Fee Payment XML: payment and account data

Element list

- (1) Mode of payment
- (2) Currency: default is EUR
- (3) Country of the Commerzbank: DE for Germany
- (4) Official name of the Commerzbank
- (5) IBAN-code of the EPO's bank account with the Commerzbank
- (6) BIC code of the Commerzbank
The BIC code is not required in the XML. It will be added during import.
- (7) EPO deposit account number for reimbursement
- (8) Account holder for reimbursement

5.9.2 Standard fees

Information regarding the applicable EP1200 standard fees is imported from the **<standard-fee>** XML element under **<fees>** in *ep-euro-pct.xml*.

i Note that, if you intend to pay for any of the specific fees applicable to form EP1200 (or want to be able to select/de-select it from the **Fees** tab in the GUI at a later point before filing), a **<fee>** element for it must be present under **<standard-fee>**. Otherwise, the fee will not be selected for payment, and you will not be able to select it on the draft submission using the GUI.

Each **<fee>** element must contain the following attributes:

- **index**: index no. of the corresponding applicable fee, as it appears on the **Fees** tab in OLF2.0. Note that any zeroes on the left should not be included. E.g.: "1" for fee 001, "5e", for fee 005e, "401"...
- **topay**: yes/no value indicating if the corresponding fee is intended to be paid ("yes") or not ("no").

Each **<fee>** element must contain the following XML child elements:

XML Element	Description, attributes and sub-elements
<type-of-fee>	Indicates the type of fee. This should always have the value "standard". E.g.: <code><type-of-fee>standard</type-of-fee></code>
<fee-factor>	Indicates the factor (from 0 to 1, corresponding to a 0-100% percentage) in which the fee will be paid, according to the specified quantity and applicable reduction factor. I.e., this value should be equal to: <div style="border: 1px dashed black; padding: 5px; width: fit-content; margin: 5px auto;"> $\text{quantity (i.e., number of fees as indicated in GUI)} * \text{<fee-reduction-factor> (from 0 to 1)}$ </div> E.g., for a quantity of 2 and a reduction of 30% (0.3), this value should be 1.4 . If the fee is not selected for payment (topay="no"), this element can be empty. Note that, when using element <fee-reduction-amount> to apply a fixed reduction (when applicable according to the guidelines), this value should be a negative amount instead of a 0-1 factor. E.g., for a reduction of 100%: <code><fee-factor>-1460</fee-factor></code> <code><fee-sub-amount>1460.00</fee-sub-amount></code> <code><fee-reduction-amount>1460</fee-reduction-amount></code>
<fee-schedule>	Indicates the amount to pay for the total quantity of the specified fee, after applying reductions. I.e., this value should be equal to: $\text{<fee-sub-amount> * quantity (i.e., number of fees as indicated in GUI) * <fee-reduction-factor> (from 0 to 1)}$ E.g.: 94.50
<fee-sub-amount>	Indicates the base amount for the fee according to the current fee schedule (i.e., not taking reductions into account). E.g.: 135.00 If the fee is not selected for payment (topay="no"), this element can be empty.
<fee-reduction-factor>	Indicates the reduction factor (from 0 to 1, corresponding to a 0-100% percentage) for the fee, when applicable. E.g.: 0.30

	This element can be left empty if the fee is not selected for payment (<code>topay="no"</code>) or for a default value of 0 .
--	--

i The `<fee-schedule>` element is used for the (calculated) fee amount and the `<fee-sub-amount>` element contains the fee schedule (for one single fee).

Use the `<fee-reduction-factor>` element to indicate a fee reduction on a fixed or percentage basis. The default value is **0**.

Use the `<fee-reduction-amount>` element to indicate a fee reduction on an amount basis.

Below is a snippet showing the basic structure of element `<standard-fee>` that includes a `<fee>` entry for procedural fee **002** (i.e., *Fee for a European search - Applications filed on/after 01.07.2005*) applicable to form EP1200:

```
<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  <mode-of-payment accno="28555555"
    mode-type="deposit"
    currency="EUR"
    deferred-execution-date="20231130">Account holder</mode-of-payment>
  <fees date="20231114">
    <standard-fee>
      <fee index="2" topay="yes">
        <type-of-fee>standard</type-of-fee>
        <fee-factor>1</fee-factor>
        <fee-schedule> 1390</fee-schedule>
        <fee-sub-amount>1390.00</fee-sub-amount>
        <fee-reduction-amount>0</fee-reduction-amount>
      </fee>
      ...
    <fee-total-amount>2842.5</fee-total-amount>
  </fees>
</ep-financial-data>
```

For more details, please see the example provided below and/or refer to the examples previously provided in: [EP1001 – Fees](#)

5.9.3 Fee selection example

The example in this section shows an application with the EPO as elected office and the IPEA is the EPO. The number of claims on entry into the European phase is 25, of which 20 are intended for the fee calculation. The translations and amended documents add up to 37 pages. Furthermore, the applicant(s) selected the *Declaration under Rule 7a(1)* option to apply a reduction in some fees.

XML ep-euro-pct.xml

The `<check-list>` element contains the information on the number of claims; see: [EP\(1200\) – Documents - Amendments](#).

```

<ep-office-specific-data office="EP" lang="en">
  24 <ep-request-for-exam-art94 lang="es"/>
  <ep-designated-states waiver-communication-and-processing-of-non-designated-states="no">
    <ep-declarations>
      <declaration-of-entity-or-natural-person/> 25
    </ep-declarations>
    <translation-info>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    <mode-of-payment accno="DE20 7008 0000 0333 880000" mode-type="bank" currency="EUR">DE</mode-of-payment>
    21 <fees date="20240516">
      <standard-fee>
        2 <fee index="2" topay="yes"> 1
          <type-of-fee>standard</type-of-fee>
          6 <fee-factor>1</fee-factor>
          <fee-schedule>1520.00</fee-schedule> 5
          3 <fee-sub-amount>1520</fee-sub-amount>
          <fee-reduction-factor>0</fee-reduction-factor> 4
        </fee>
        <fee index="5e" topay="yes"> 7
          9 <fee index="6" topay="yes"> 8
            <type-of-fee>standard</type-of-fee>
            13 <fee-factor>0.7</fee-factor>
            <fee-schedule>1340.50</fee-schedule> 12
            10 <fee-sub-amount>1915</fee-sub-amount>
            <fee-reduction-factor>0.30</fee-reduction-factor> 11
          </fee>
          <fee index="6e" topay="no">
          <fee index="13" topay="no">
          15 <fee index="15" topay="yes"> 14
            <type-of-fee>standard</type-of-fee>
            19 <fee-factor>5</fee-factor>
            <fee-schedule>1375.00</fee-schedule> 18
            16 <fee-sub-amount>275</fee-sub-amount>
            <fee-reduction-factor/> 17
          </fee>
          <fee index="15e" topay="no">
          20 <fee index="20" topay="yes">
      </fees>
    </ep-financial-data>
  </translation-info>
</ep-office-specific-data>

```

[...]

```

  <fee index="520" topay="no">
    <type-of-fee>standard</type-of-fee>
    <fee-factor user-input=""/>
    <fee-schedule/>
    <fee-sub-amount>17</fee-sub-amount>
    <fee-reduction-factor>0</fee-reduction-factor>
  </fee>
</standard-fee>
<fee-calc-info>
  23 <search-region region="EP"/>
  <IPEA ipea="EP"/>
</fee-calc-info>
  22 <fee-total-amount>5699.5</fee-total-amount>
</fees>
</ep-financial-data>

```

Figure 193: Fee Payment XML: fees listed

Element list

- (1) Fee 002 selected
- (2) Fee code, indicated by the **index** attribute
- (3) Fee schedule for fee 002
- (4) Fee reduction amount
- (5) Fee amount to pay = fee schedule + fee factor (i.e., in this case, the factor is summed up and not multiplied)
- (6) Fee factor = negative value of fee reduction amount * quantity
- (7) Fee 005e selected, fee factor = 1
- (8) Fee 006 selected

- (9) Fee code, indicated by the **index** attribute
- (10) Fee schedule for fee 006
- (11) Fee reduction factor = 0.30 (i.e., 30% is indicated in GUI)
- (12) Fee amount to pay = fee schedule * fee factor
- (13) Fee factor = (1 - fee reduction factor) * quantity
- (14) Fee 015 selected and locked by default
- (15) Fee code, indicated by the **index** attribute
- (16) Fee schedule for fee 015
- (17) Fee reduction factor = -1 (i.e., no value is indicated in GUI)
- (18) Fee amount to pay = fee schedule * fee factor
- (19) Fee factor = quantity * fee reduction factor (quantity = **number-of-claims-fee-calculation** – 15, as the first 15 claims are free of charge)
- (20) Fee 020 selected, fee factor = 1
- (21) Date of fee schedule validity
- (22) Total amount of fees in EUR

The following conditions must be fulfilled to apply a reduction in the examination fee:

- (23) IPEA is EPO
- (24) Request for examination in an admissible non-EPO language
- (25) Declaration under Rule 7a(1) EPC



The **<fee-schedule>** element is used for the (calculated) fee amount and the

<fee-sub-amount> element contains the fee schedule (for one single fee).


Use the **<fee-reduction-factor>** element to indicate a fee reduction on a fixed or percentage basis.

Use the **<fee-reduction-amount>** element to indicate a fee reduction on an amount basis.

For more information on importing fee data from XML files, see [Importing the correct fee amounts depending on the date of filing](#).

5.10 EP1200 – Annotations

At the end of the `<ep-office-specific-data>` section (right after closure of the `<ep-electronic-files>` section corresponding to documents details), one or more `<ep-notes-to-EPO>` elements can be included, each one containing **Annotations** to send additional information to the EPO. The number of annotations is unlimited.

 If no annotations are to be included in the submission (as they are entirely optional), no `<ep-notes-to-EPO>` elements should be present in the *ep-euro-pct.xml* file.

The root element for each annotation (`<ep-notes-to-EPO>`) must contain the following attributes:

- **page**: fixed string value **"Annotate"**.
- **id**: a **"note#"** string where **#** is a number representing the order of creation of the current note (i.e.: **note1** for the firstly note created, then **note2**, **note3** and so on).

E.g.: `<ep-notes-to-EPO page="Annotate" id="note1">`

The table below lists the child XML elements that must appear under each `<ep-notes-to-EPO>` entry:

XML Element	Description and attributes
<code><author></code>	Full name (first + last name) of the user authoring the annotation.
<code><subject></code>	Subject of the annotation.
<code><date></code>	Date in which the annotation was created, in yyyyMMdd format. Note that this value is not shown in the request PDF for EP1200.
<code><dtext></code>	Text contents of the annotation.

The example below shows how two annotations created by two different users are stored in the *ep-euro-pct.xml* file:

```

<ep-office-specific-data office="EP" lang="en">
...
  <ep-notes-to-EPO page="Annotate" id="note1">
    <author>Salvatore Manzoni</author>
    <subject>Account information</subject>
    <date>20130127</date>
    <dtext>Payment details may be changed at a later date.</dtext>
  </ep-notes-to-EPO>
  <ep-notes-to-EPO page="Annotate" id="note2">
    <author>Luigi Manzoni</author>
    <subject>Representation</subject>
    <date>20141027</date>
    <dtext>There will be a new representative for Mr. Manzoni starting Jan 1 2015, who will
take over all applications of Salvatore Manzoni and TechInvent S.A. The details and the
authorisation will be filed subsequently.</dtext>
  </ep-notes-to-EPO>
</ep-office-specific-data>
</ep-euro-pct>

```

6 Form EP1038 – Subsequently filed documents

As the data contained in form EP1038 is different depending on the procedural phase in which it is intended to be filed, OLF2.0 handles **four** different variants of said form that will henceforth be referred to in this chapter using the following abbreviations:

- *EP1038 FSE*: Refers to the form variant for the *Filing/Search/Examination* phases.
- *EP1038 OPPO*: Refers to the form variant for the *Opposition* phase.
- *EP1038 LR*: Refers to the form variant for the *Limitation/Revocation* phases.
- *EP1038 APPEAL*: Refers to the form variant for the *Appeal* phase.

6.1 XML files for an EP1038 application

The following two XML files are required for an EP1038 application to be imported. Note that unlike in EP1001 and EP1200, there is no *application-body.xml*.

File name	DTD	Description
package-data.xml	package-data.dtd	References attached documents including ep-sfd-request.xml file.
ep-sfd-request.xml	ep-cms-sfd-request-v1-9.dtd (<i>FSE</i>) ep-cms-sfd-request-v1-7.dtd (<i>OPPO, LR and APPEAL</i>)	Application data as entered in Form EP1038, references attached documents.

The XML structure of *package-data.xml* is the same as for EP1001 applications - see section: [Form EP1001 - References from XML files to other files](#)

More information on the XML structure of the *ep-sfd-request.xml* file can be found below and in subsequent sections in this chapter.

6.1.1 Basic structure of ep-sfd-request.xml

The *ep-sfd-request.xml* file contains the application data in Form EP1038. Its root element is `<ep-cms-sfd-request>`, which contains the following attributes:

XML Attribute	Attribute Description	Example/fixed value
<code>lang</code>	Procedural language for the application, indicated by its 2-letter language code (en, fr, de).	Fixed value: <code>"en"</code>

dtd-version	Version of DTD used.	Fixed value: "1.1"
produced-by	Indicates role of party generating the submission (e.g., applicant).	Fixed value: "applicant"
ro	Code for the filing office. For EP1038 filings in OLF2.0, this will always be "EP" for EPO.	Fixed value: "EP" .
ep-procedural-phase	Indicates the procedural phase of the application for which documents are being subsequently filed, which in turn indicates the <u>variant of the EP1038 form being submitted</u> .	Value must be one of the following: <ul style="list-style-type: none"> ▪ "All-procedures" for FSE ▪ "Opposition" for OPPO ▪ "Limitation_Revocation" for LR ▪ "Appeal" for APPEAL
regulation	Patent guidelines/convention applicable.	Fixed value: "EPC" .
capacity	Capacity in which the filing office acts.	Must be one of the following fixed values: <ul style="list-style-type: none"> ▪ "IPEA" for FSE ▪ "ISA" for OPPO, LR, APPEAL
date-produced	Date/time of package generation in "YYYYMMDD hh:mm:ss" format.	E.g.: "20240122 11:19:17"

The table below lists the top-level XML elements under **<ep-cms-sfd-request>** and their key attributes:

XML Element	Description and attributes
<document-id>	Basic application/patent information for the EP1038 submission, including the corresponding EP application no. and other specific data for the FSE/OPPO variants. See EP1038 – Application/patent data for details
<file-reference-id>	User's file reference. This is the internal ID name for the EP1038 submission, as it will appear on the OLF2.0 GUI for edition/review. Can be any name chosen by the user with the following limitations: <ul style="list-style-type: none"> ▪ Up to 25 characters long. ▪ No blank spaces. E.g.: <file-reference-id>My_1038_request</file-reference-id>
<parties>	List of parties involved in the application (applicants, inventors, representatives...). This element has no text value nor attributes, and instead contains a set of children elements.

	Please see EP1038 – Parties for details and example cases.
<code><ep-declarations></code>	<p>For EP1038 FSE submissions, this element contains the list of declarations related to selected requests for the application to which the EP1038 submission refers (such as a PACE request for accelerated search/examination).</p> <p>E.g.:</p> <pre><ep-declarations> <declaration-of-entity-or-natural-person/> </ep-declarations></pre> <p>Please see EP1038 – Requests for details and example cases.</p>
<code><check-list></code>	<p>Contains a list of children nodes corresponding to the type of document (request, description, claims...). E.g.: <code><cl-other-document></code></p> <p>Each of the aforementioned child elements indicates numeric values related to each of the documents referred to in the submission, such as the total count of pages on it, no. of the first and last pages, etc.</p> <p>Note that this section should always contain, at least, a single empty child element <code><cl-request/></code></p> <p>E.g.:</p> <pre><check-list> <cl-request/> <cl-other-document>Other document</cl-other-document> </check-list></pre> <p>Please see EP1038 – Documents for more details and example cases.</p>
<code><office-specific-data></code>	<p>EP1038 request data specific to the filing office (attached documents, fees...).</p> <p>Attributes:</p> <ul style="list-style-type: none"> ▪ office: Filing office to which the specific data in the element applies. <u>For EP1038 filed to EPO, this should have a fixed value of “EP”.</u> ▪ lang: Procedural language, same as in element <code><ep-cms-sfd-request></code>. E.g.: “en” <p>This element will contain information about the attached documents, the information regarding fees, and (optionally) any enclosed annotations to EPO. Please see the following subchapters for details and example cases:</p> <ul style="list-style-type: none"> • EP1038 – Documents • EP1038 – Fees <p>Note that attribute doc-type in the <code><ep-electronic-files></code> entry under <code><office-specific-data></code> corresponding to the EP1038 request itself can be used to identify the specific variant of form EP1038 being submitted (FSE, OPPO, LR or APPEAL). Please see EP1038 – Documents for details.</p>

Below is an example showing the general structure in *ep-sfd-request.xml* and the top-level elements listed in the previous table:

```
<?xml version="1.1" encoding="UTF-8"?>
<!DOCTYPE ep-cms-sfd-request
  SYSTEM "ep-cms-sfd-request-v1-9.dtd">
<ep-cms-sfd-request lang="en"
  dtd-version="1.1"
  ro="EP"
  produced-by="applicant"
  ep-procedural-phase="All-procedures"
  regulation="EPC"
  capacity="IPEA"
  date-produced="20231122 17:23:54">
  <document-id lang="en">
    <country>EP</country>
    <doc-number>EP20202020.2</doc-number>
    <kind>application</kind>
    <date>20231101</date>
  </document-id>
  <file-reference-id>1038-FSE-Example</file-reference-id>
  <parties>
    ...
  </parties>
  <ep-declarations>
    <declaration-of-entity-or-natural-person/>
    ...
  </ep-declarations>
  <check-list>
    <cl-request/>
    ...
  </check-list>
  <office-specific-data office="EP" lang="en">
    <ep-electronic-files doc-type="1038-CMS-SE">
      <applicant-file-name/>
      <ep-file-name>epf1038.pdf</ep-file-name>
    </ep-electronic-files>
    ...
    <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
      ...
    </ep-financial-data>
  </office-specific-data>
</ep-cms-sfd-request>
```

The details for the child elements of **<ep-cms-sfd-request>**, their relevant attributes and how they are mapped to the different form fields and tabs (e.g., the list of involved parties and their contact information in the **<parties>** element, filled out via the **Parties** tab in the EP1038 form) will be described in subsequent section in this form’s chapter.

6.2 Document codes and file types for EP1038

EP1038 allows applicants to attach many different document types, all of which are subject to legal modifications to the procedure.

There are some restrictions as to combining document types and fee payments in one application. Please create separate import packages for each of the following submissions:

- Public documents and fees related to public documents
- Non-public documents and fees related to non-public documents; see [EP1038 – Fees](#)

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
Request			
PACKDATAXML	package-data.xml	All	Package
REXML	xmit-receipt.xml	All	Receipt in XML format
REQXML	ep-sfd-request.xml	All	Application data, see table above
Internal documents generated by OLF2.0 (not to be imported)			
1038-CMS-SE	epf1038	FSE	EP 1038 request for subsequent filing of documents (filing/search/examination)
1038-CMS-O	epf1038	OPPO	EP 1038 request for subsequent filing of documents (opposition)
1038-CMS-L	epf1038	LR	EP 1038 request for subsequent filing of documents (limitation/revocation)
1038-CMS-AP	epf1038	APPEAL	EP 1038 request for subsequent filing of documents (appeal)

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
Other document codes ZIP related			
OLF-ARCHIVE	OLF-ARCHIVE.zip		Preconversion OLF archive

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
Graphic files			
OTHERTIF	<filename>.tif		Other
SIGNIMGTIF	<Request>-signature-1.tif		Unexpected/undefined document
SIGNIMGJPG	<Request>-signature-X.jpg		Unexpected/undefined document

*) If there is more than one file of this type of document, the character **1** in the file names must be replaced by **2, 3** etc.

As each variant of the EP1038 form (FSE, OPPO...) accept different types of document attachments, the list has been split into four individual sub-chapters for convenience.

6.2.1 Documents for EP1038 FSE

The list below provides a reference of documents that can be submitted in EP1038 **FSE**, although some of them can also be attached in other variants of EP1038 (as indicated in the “*Phase / Form 1038 Variant*” column):

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
PDF Attachments, in alphabetical order (the file name extension is always*.pdf)			
1002E	1002E-X	FSE	Designation of inventor (non-public)
1003	1003-X	FSE	Authorisation of representative
1005	1005	FSE	Request for accelerated search/examination (non-public)
1009	1009	FSE	Request for participation in the Patent Prosecution Highway (PPH) (non-public)
1012	1012	FSE	Enquiry as to the processing of the file
1013	1013-X	FSE	Request for retrieval of priority document from DAS
2936	ADVOFDELIVERY-X	FSE	Acknowledgement of receipt

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
ABEX	ABEX-X	FSE	Amendments before examination
ABSTMOD	ABSTMOD-X	FSE	Modified abstract
ABSTTRAN	ABSTTRAN-X	FSE	Translation of the abstract
ANNEX-NP	ANNEX-NP-X	FSE, APPEAL	Non-public annex

APPRASSI	APPRASSI-X	FSE	Request for assignment
BIOM	BIOM-X	FSE	Document concerning micro-organisms and medical inventions
CD-MISC-E	CD-MISC-E-X	FSE	Miscellaneous requests concerning client data
CDAPPR-CHOA	CDAPPR-CHOA-X	FSE, APPEAL	Request for change of address
CDAPPR-CHON	CDAPPR-CHON-X	FSE, APPEAL	Request for change of name
CDAPPR-CHOR	CDAPPR-CHOR-X	FSE, APPEAL	Request for change of representative

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
CDAPPR-RFA	CDAPPR-RFA-X	FSE	Request for assignment
CDAPPR-TOR	CDAPPR-TOR-X	FSE	Request for transfer of rights
CLMS	CLMS-X	FSE, APPEAL	Claims
CLMS-HWA	CLMS-HWA-X	FSE, OPPO, APPEAL	Amended claims with annotations
CLMSPAMD	CLMS-X	FSE, APPEAL	Amended claims (clean copy)
CLMSTRAN-DE	CLMSTRAN-DE-X	FSE, OPPO	German translation of the claims
CLMSTRAN-EN	CLMSTRAN-EN-X	FSE, APPEAL	English translation of the claims
CLMSTRAN-FR	CLMSTRAN-FR-X	FSE, APPEAL	French translation of the claims
DESC-HWA	DESC-HWA-X	FSE, OPPO, APPEAL	Amended description with annotations
DESCNEW	DESCNEW-X	FSE	Missing parts of the description
DESCPAMD	DESC-X	FSE	Amended description (clean copy)
DESCTRAN	DESCTRAN-X	FSE	Translation of description
DEST	DEST-X	FSE	Document concerning designated contracting states, extension/validation states

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
DRAW	DRAW-X	FSE, APPEAL	Drawings

DRAW-HWA	DRAW-HWA-X	FSE, OPPO, APPEAL	Amended drawings with annotations
DRAWNEW	DRAWNEW-X	FSE, APPEAL	Missing parts of the drawings
DRAWPAMD	DRAW-X	FSE, APPEAL	Amended drawings (clean copy)
DRAWTRAN	DRAWTRAN-X	FSE, APPEAL	Translation of text in drawings
ENQUIRY	ENQUIRY-X	FSE	General enquiry
EPLETT	EPLETT-X	FSE	Letter relating to the search and examination procedure
EUCLWAIVER	EUCLWAIVER-X	FSE	Waiver in respect of communication under Rule 161/162 EPC
EXAM	EXAM-X	FSE	Document filed during examination procedure
EXAMREQ	EXAMREQ-X	FSE	Request for examination
EXRE3	EXRE3-X	FSE	Reply to examination report
EXRE92	EXRE92-X	FSE	Request for extension of time limit during examination procedure
F1002	F1002-X	FSE	Designation of inventor
FEES	FEES-X	FSE	Document concerning fees and payments
FICO	FICO-X	FSE, APPEAL	Request for certified copies of application (non-public)
FISP	FISP	FSE, APPEAL	Request for inspection of file (non-public)
FREP	FREP-X	FSE, APPEAL	Document concerning representation
IGRA	IGRA-X	FSE	Reply to communication under Rule 71(3) EPC
IGRE	IGRE-X	FSE	Request for correction/amendment of the text proposed for grant sent from 01.04.2012
INVT	INVT-X	FSE	Document concerning the inventorship
INVT201	SignedEPR201-X	FSE	Inventor waiver – Rule 20(1) EPC (non-public)
IPERTRAN	IPERTRAN-X	FSE	Translation of international preliminary examination report
MEDA	MEDA-X	FSE, APPEAL	Medical certificate (non-public)

MEPA	MEPA-X	FSE	Maintenance of the application
ORAL	ORAL-X	FSE	Letter dealing with oral proceedings
ORALWDRA	ORALWDRA-X	FSE, APPEAL	Withdrawal of request for oral proceedings
OTHERPDF	OTHER-X	FSE, LR	Other document
PPH-EXAM	PPH-EXAM-X	FSE	PPH: documents for examination
PPH-SRCH	PPH-SRCH-X	FSE	PPH: documents for search
PRIO	PRIO-X	FSE, OPPO	Document concerning the priority claims

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
PRIOTRAN	PRIOTRAN-X	FSE, OPPO	Translation of priority documents
PRSR	PRSR-X	FSE	Search results required under Rule 141(1) EPC
PRSR-NON	PRSR-NON-X	FSE	Statement of non-availability of search results required under Rule 141(1) EPC
PRSR-REPLY	PRSR-REPLY-X	FSE	Reply to the communication under rule 70b EPC
R88	R139-X	FSE	Request for correction of the documents (Rule 139 EPC)
RDEC	RDEC-X	FSE, OPPO	Request for a decision
REES	REES-X	FSE, OPPO, APPEAL	Request for re-establishment of rights/restitutio in integrum
REESGROUNDS	REESGROUNDS-X	FSE, OPPO	Grounds for re-establishment of rights/restitutio in integrum
REPTORCLAR	REPTORCLAR-X	FSE	Reply to request for clarification
RFPR	RFPR-X	FSE, APPEAL	Request for further processing
SRCH	SRCH-X	FSE	Document concerning search matters
SUBCLMS	SUBCLMS-X	FSE	Subsequently filed claims
SUSI	SUSI-X	FSE, APPEAL	Request for suspension/interruption of procedure

TDOC	TDOC-X	FSE, OPPO	Citations filed by a third party
TDOCNPL	TDOCNPL-X	FSE	Non-patent literature filed by a third party
TDOCP	TDOCP-X	FSE	Patent document filed by a third party
TIMEEXTREQ	TIMEEXTREQ-X	FSE, APPEAL	Request for extension of time limit
TIPA1	TIPA1-X	FSE	Observations filed by third parties (Art. 115 EPC)
TIPA7	TIPA7-X	FSE	Reply to third party observations
TIPAREPLY	TIPAREPLY-X	FSE	Reply from applicant/patentee regarding third party observations
TRANEAPP	TRANEAPP-X	FSE	Translation of previously filed application
CERTPRIO	CERTPRIO-X	FSE	Certified priority document
WDRA	WDRA-X	FSE, APPEAL	Withdrawal of application
WDRADEST	WDRADEST-X	FSE	Withdrawal of designated or extension states
WOREPLY	WOREPLY-X	FSE	Reply to search opinion/written opinion/IPER
Text file attachments (TXT, APP, SEQ, XML)			
SEQLTXT	SEQLTXT-X.txt	FSE	Document concerning sequence listings in ST.25 format (.txt file)
SEQLTXT	SEQLTXT-X.app	FSE	Document concerning sequence listings in ST.25 format (.app file)
SEQLTXT	SEQLTXT-X.seq	FSE	Document concerning sequence listings in ST.25 format (.seq file)
SEQLXML26	SEQLXML26.xml	FSE	Document concerning sequence listings in ST.26 format (.xml file)

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
Other document codes PDF related			
1005-EG	epf1005.pdf	FSE	Request for accelerated search/examination
1011BIS	1011BIS.pdf	FSE	Enquiry as to the processing of the file

1012-EG	epf1012.pdf	FSE	Request for retrieval of priority document via DAS
R139	R139-X.pdf	FSE	Request for correction of errors in filed documents
RECPDF	receipt.pdf		(Electronic) Receipt

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
Other document codes ZIP related			
SEQLZIP	SEQLZIP.zip	FSE	Document concerning sequence listing in ST.25 format (.zip file)
SEQLZIP26	SEQLZIP26.zip	FSE	Document concerning sequence listing in ST.26 format (.zip file)

*) If there is more than one file of this type of document, the character **1** in the file names must be replaced by **2, 3** etc.

6.2.2 Documents for EP1038 OPPO

The list below provides a reference of documents that can be submitted in EP1038 **OPPO**, although some of them can also be attached in other variants of EP1038 (as indicated in the “Phase / Form 1038 Variant” column):

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
PDF Attachments, in alphabetical order (the file name extension is always *.pdf)			
2936	ADVOFDELIVRY	OPPO	Acknowledgement
CDOPPO-CHOA	CDAPPR-CHOA-X	OPPO	Request for change of address
CDOPPO-CHON	CDOPPO-CHON-X	OPPO	Request for change of name
CDOPPO-CHOR	CDOPPO-CHOR-X	OPPO	Request for change of representative
CDOPPO-TOR	CDOPPO-TOR-X	OPPO	Request for transfer of rights
CLMS-CLEAN-R82	CLMS-CLEAN-R82	OPPO	Clean copy of amended claim(s)

CLMS-HWA	CLMS-HWA-X	FSE, OPPO, APPEAL	Amended claims with annotations
CLMSTRAN-DE	CLMSTRAN-DE-X	FSE, OPPO	German translation of the claims
DESC-CLEAN-R82	DESC-CLEAN-R82	OPPO	Clean copy of amended description
DESC-HWA	DESC-HWA-X	FSE, OPPO, APPEAL	Amended description with annotations

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
DRAW-CLEAN-R82	DRAW-CLEAN-R82.pdf	OPPO	Clean copy of amended drawing(s)
DRAW-HWA	DRAW-HWA-X	FSE, OPPO, APPEAL	Amended drawings with annotations
OPPOANNEX	OTHER-X	OPPO	Other document
PRIO	PRIO-X	FSE, OPPO	Document concerning the priority claims
PRIOTRAN	PRIOTRAN-X	FSE, OPPO	Translation of priority documents
RDEC	RDEC-X	FSE, OPPO	Request for a decision
REES	REES-X	FSE, OPPO, APPEAL	Request for re-establishment of rights/restitutio in integrum
REESGROUNDS	REESGROUNDS-X	FSE, OPPO	Grounds for re-establishment of rights/restitutio in integrum
TDOC	TDOC-X	FSE, OPPO	Citations filed by a third party

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
Other document codes PDF related			
RECPDF	receipt.pdf		(Electronic) Receipt

6.2.3 Documents for EP1038 LR

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
LIMDOC	LIMDOC-X	LR	Citation for the limitation procedure
LIMLETT	LIMLETT-X	LR	Letter/request relating to the limitation procedure
LIMWDRA	LIMWDRA	LR	Withdrawal of limitation request
LIRE3	LIRE3-X	LR	Reply to the limitation report
OTHERPDF	OTHER-X	FSE, LR	Other document
RALL2	RALL2-X	LR	Letter regarding the translation of the limited claims
REVLETT	REVLETT-X	LR	Letter/request relating to the revocation procedure
REVOREQ	REVOREQ	LR	Request for revocation of patent

6.2.4 Documents for EP1038 APPEAL

The list below provides a reference of documents that can be submitted in EP1038 **APPEAL**, although some of them can also be attached in other variants of EP1038 (as indicated in the “Phase / Form 1038 Variant” column):

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
ANNEX-NP	ANNEX-NP-X	FSE, APPEAL	Non-public annex
APPEAL	APPEAL	APPEAL	Notice of appeal
APPEAL-ANNEX	APPEAL-ANNEX-X	APPEAL	Annexes (other than cited documents) regarding appeal procedure
APPEAL-CDOC	APPEAL-CDOC-X	APPEAL	Cited documents during appeal procedure
APPEAL-CNPL	APPEAL-CNPL-X	APPEAL	Non-patent literature cited during the appeal procedure
APPEAL-CP	APPEAL-CP-X	APPEAL	Patent document cited during the appeal procedure
APPEAL-EVID	APPEAL-EVID-X	APPEAL	Evidence in support of the appeal
APPEAL-GRDS	APPEAL-GRDS	APPEAL	Statement of grounds of appeal

APPEAL-LETT	APPEAL-LETT-X	APPEAL	Letter relating to appeal procedure
APPEAL-ORAL	APPEAL-ORAL-X	APPEAL	Letter dealing with oral proceedings during the appeal procedure
APPEAL-TCNPL	APPEAL-TCNPL-X	APPEAL	Non-patent literature filed by a third party during the appeal procedure
APPEAL-TCP	APPEAL-TCP-X	APPEAL	Patent document filed by a third party during the appeal procedure
APPEAL-TIPA	APPEAL-TIPA-X	APPEAL	Observations by third parties (Art. 115 EPC) during the appeal procedure
APPEALG-AC	APPEALG-AC-X	APPEAL	amicus curiae (statement by third parties in the proceedings before the Enlarged Board of Appeal in accordance with Art. 10 RPEBA)
APPEALG-LETT	APPEALG-LETT-X	APPEAL	Incoming letter in referral procedure
APPEALR-LETT	APPEALR-LETT-X	APPEAL	Letter relating to the review procedure
APPEALR-ANX	APPEALR-ANX-X	APPEAL	Annexes (other than cited documents) regarding review procedure
APPEALWDRA	APPEALWDRA	APPEAL	Withdrawal of an appeal
CDAPPR-CHOA	CDAPPR-CHOA-X	FSE, APPEAL	Request for change of address
CDAPPR-CHON	CDAPPR-CHON-X	FSE, APPEAL	Request for change of name
CDAPPR-CHOR	CDAPPR-CHOR-X	FSE, APPEAL	Request for change of representative

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
CLMS	CLMS-X	FSE, APPEAL	Claims
CLMS-HWA	CLMS-HWA-X	FSE, OPPO, APPEAL	Amended claims with annotations
CLMSPAMD	CLMS-X	FSE, APPEAL	Amended claims (clean copy)
CLMSTRAN-EN	CLMSTRAN-EN-X	FSE, APPEAL	English translation of the claims
CLMSTRAN-FR	CLMSTRAN-FR-X	FSE, APPEAL	French translation of the claims
DESC-HWA	DESC-HWA-X	FSE, OPPO, APPEAL	Amended description with annotations

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
DG3OTHER	DG3OTHER-X	APPEAL	Other document
DRAW	DRAW-X	FSE, APPEAL	Drawings
DRAW-HWA	DRAW-HWA-X	FSE, OPPO, APPEAL	Amended drawings with annotations
DRAWNEW	DRAWNEW-X	FSE, APPEAL	Missing parts of the drawings
DRAWPAMD	DRAW-X	FSE, APPEAL	Amended drawings (clean copy)
DRAWTRAN	DRAWTRAN-X	FSE, APPEAL	Translation of text in drawings
FICO	FICO-X	FSE, APPEAL	Request for certified copies of application (non-public)
FISP	FISP	FSE, APPEAL	Request for inspection of file (non-public)
FREP	FREP-X	FSE, APPEAL	Document concerning representation
MEDA	MEDA-X	FSE, APPEAL	Medical certificate (non-public)
ORALWDRA	ORALWDRA-X	FSE, APPEAL	Withdrawal of request for oral proceedings
REES	REES-X	FSE, OPPO, APPEAL	Request for re-establishment of rights/restitutio in integrum
RFPR	RFPR-X	FSE, APPEAL	Request for further processing
SUSI	SUSI-X	FSE, APPEAL	Request for suspension/interruption of procedure
TIMEEXTREQ	TIMEEXTREQ-X	FSE, APPEAL	Request for extension of time limit
WDRA	WDRA-X	FSE, APPEAL	Withdrawal of application

Document code	EPO file name *)	Phase / Form 1038 Variant	Description
Other document codes PDF related			
ADVOFDELIVRY	ADVOFDELIVRY-X.pdf	APPEAL	Advice of delivery
RECPDF	receipt.pdf		(Electronic) Receipt

6.3 EP1038 – Application/patent data

The **Application/patent data** tab in form EP1038 holds only the number(s) and type of the application/patent to which the subsequent filing of document applies, plus the user’s file reference (i.e., custom name entered by the user to identify the submission in OLF2.0).

- The referred application’s information is imported from one or more **<document-id>** XML elements under **<ep-cms-sfd-request>**. This element must contain a single attribute lang indicating the application’s procedural language with a 2-letter code (i.e., “en”, “de”, “fr”) and a set of sub-elements providing the app. no. and type information.
 - For all sub-types of form EP1038, at least one **<document-id>** element must be present with providing the referred **application** number. E.g.:

```
<document-id lang="en">
  <country>EP</country>
  <doc-number>EP20202020.2</doc-number>
  <kind>application</kind>
</document-id>
```

- For EP1038 OPPO and APPEAL variants, and in addition to the entry described above, a second **<document-id>** entry must also be present providing the referred **patent** number. This second element must have a **<kind>** sub-element with value **“publication”**. E.g.:

```
<document-id lang="en">
  <country>EP</country>
  <doc-number>EP20202020.2</doc-number>
  <kind>application</kind>
</document-id>
<document-id lang="en">
  <country>EP</country>
  <doc-number>EP20202020.2</doc-number>
  <kind>publication</kind>
</document-id>
```



The second **<document-id>** element must always be present for the **OPPO** and **APPEAL** EP1038 form variants. However, the value of sub-element **<doc-number>** can be a blank mask “EP_____” when the submission doesn’t include a reference to a patent no. (which is an optional field).

- The user’s file reference is imported from the **<file-reference-id>** element following the **<document-id>** entries. E.g.:

```
<file-reference-id>1038-Example</file-reference-id>
```

The table below lists the required sub-elements in **<document-id>** and their expected values/formats:

XML Element	Description
-------------	-------------

<code><country></code>	Country/region of the referred application. For EP1038 submissions, this value will always be “EP”.
<code><doc-number></code>	<p>Application/patent number in EP#####.# format. E.g.:</p> <pre data-bbox="515 383 1046 528"><document-id lang="en"> <country>EP</country> <doc-number>EP20202020.2</doc-number> <kind>application</kind> </document-id></pre> <p>Note that, if the <code><document-id></code> element refers to a patent no. for EP1038 OPPO or APPEAL (i.e., <code><kind></code> is “publication”), the value can be a blank mask “EP_____” if no such reference is made. E.g.:</p> <pre data-bbox="515 680 1007 826"><document-id lang="en"> <country>EP</country> <doc-number>EP_____</doc-number> <kind>publication</kind> </document-id></pre>
<code><kind></code>	<p>Indicates whether the <code><document-id></code> entry contains an application or a patent number. The accepted values are:</p> <ul style="list-style-type: none"> ▪ application: when indicating the <u>EP application no. for any type of EP1038 submission</u>. ▪ publication: when indicating a <u>patent number for EP1018 OPPO or APPEAL</u>.
<code><date></code>	<p>Indicates the date of filing of the referred application. <u>This element must be present when the user intends to pay for any fees in the EP1038 submission.</u> Otherwise, it can be left blank or omitted.</p> <p>Note that this value is stored in is set on the Fees tab in the OLF2.0 GUI. Please see EP1038 – Fees / Payment details in this guide for more details.</p>

Below is a basic example showing the elements listed above populated with the data filled out in the **Application/patent data** tab for an EP1038 FSE form:

```
<?xml version="1.1" encoding="UTF-8"?>
<!DOCTYPE ep-cms-sfd-request
  SYSTEM "ep-cms-sfd-request-v1-9.dtd">
<ep-cms-sfd-request lang="en"
  dtd-version="1.1"
  ro="EP"
  produced-by="applicant"
  ep-procedural-phase="All-procedures"
  regulation="EPC"
  capacity="IPEA"
  date-produced="20231122 17:23:54">
  <document-id lang="en">
    <country>EP</country>
    <doc-number>EP20202020.2</doc-number>
    <kind>application</kind>
    <date>20231101</date>
  </document-id>
  <file-reference-id>1038_example</file-reference-id>
  ...
```

6.4 EP1038 – Parties

The **Parties** tab of Form EP1038 accommodates all data for names, persons and addresses relating to the submission. This information is imported from the **<parties>** element in the *ep-sfd-request.xml* file.

The general structure for the top-level **<parties>** element in *ep-sfd-request.xml* is similar as in the *ep-request.xml* file in form EP1001. However, different types of parties may be involved depending which variant of form EP1038 is being filled, as described in the table below:

Form EP1038 Variant	Accepted parties
FSE	<ul style="list-style-type: none"> ▪ Applicant ▪ Representative ▪ Third parties
OPPO	<ul style="list-style-type: none"> ▪ Third parties ▪ Proprietors ▪ Representatives ▪ Opponents ▪ Interveners
LR	<ul style="list-style-type: none"> ▪ Proprietors ▪ Representatives
APPEAL	<ul style="list-style-type: none"> ▪ Applicants ▪ Proprietors ▪ Opponents ▪ Interveners ▪ Third parties ▪ Representatives

The **<parties>** element can contain **<applicants>** and **<agents>** elements, each with multiple **<ep-applicant>** and **<ep-agent>** sub-elements. The specific structure of the **<parties>** XML section and its corresponding sub-elements for each EP1038 form variant will be described in further detail for each in the sub-chapters below.

6.4.1 <parties> XML structure for EP1038 FSE

The **<parties>** element can contain **<applicants>** and **<agents>** elements structured as follows:

- **<applicants>** may contain one or more **<ep-applicant>** element, either referring to a single **applicant** or to any involved **third party**. The distinction between the two roles is made from the value of the **app-type** attribute in **<ep-applicant>** (see table below for details).
- **<agents>** may contain one **<ep-agent>** element for the involved **representative**.

i In form EP1038 **FSE**, either **one** applicant or **one** representative can be added at the same time, although multiple third parties may be added. Inventors or an address for correspondence cannot be added.

The required attributes for each individual **<ep-applicant>** and **<ep-agent>** element are mostly specific to the type of party, as listed in the table below:

XML Element	XML Attribute	Attribute Description	Example/fixed value
<ep-applicant>	sequence	Order no. of the applicant in the list of applicants. Always required.	E.g.: "1" for 1 st applicant/third-party.
	designation	Fixed value indicating that designated states are as indicated in the submission. Always required.	Fixed value: "as-indicated"
	app-type	Indicates the specific type of party the <ep-applicant> element refers to: applicant or third party .	Value must be one of the following: <ul style="list-style-type: none"> "applicant" "third-party"
<ep-agent>	sequence	Order no. of the representative in the list of representatives. Always required.	E.g.: "1" for 1 st representative
	rep-type	Always required. Indicates sub-type of representative as follows: <ul style="list-style-type: none"> "common-representative": association. "agent": individual. "attorney": legal practitioner. 	E.g.: "common-representative"
	ep-association-number	If rep-type="common-representative" (association), this attribute is required and must provide its registration no.	E.g.: "125"

Each **<ep-applicant>** element should contain:

- A single **<addressbook>** sub-element with the **name and address details**. This element should **always be present** (required).
- If a specific country of **nationality** is to be specified, a **<nationality>** sub-element should also be present. This will contain a single **<country>** child element with the 2-letter country code (e.g.: "IT" for Italy).
- Similarly, if a specific country of **residence** is to be specified, a **<residence>** sub-element should also be present, with the same internal structure as the above.

The example below shows the basic structure for the **<parties>** section in a request that only includes a single applicant specifying *Italy* (IT) as both their nationality and residence country:

```

<parties>
  <applicants>
    <ep-applicant sequence="1"
      designation="as-indicated"
      app-type="applicant">
      <addressbook lang="en">
        ...
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
    </ep-applicant>
  </applicants>
</parties>

```

Each **<ep-agent>** element should contain:

- A single **<addressbook>** sub-element with the **name and address details**. This element should **always be present** (required).
- Optionally, an **<applicant-name>** sub-element may also be present indicating the name of the party they are representing.

The example below shows the basic structure for the **<parties>** section in a request that only includes a single representative specifying the named of their represented applicant:

```

<parties>
  <agents>
    <ep-agent sequence="1"
      rep-type="common-representative"
      ep-association-number="123">
      <addressbook lang="en">
        ...
      </addressbook>
      <applicant-name>Salvatore Manzoni</applicant-name>
    </ep-agent>
  </agents>
</parties>

```

The **<addressbook>** element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: **<addressbook lang="en">**

The structure of the **<addressbook>** element is specific to the type of party involved (applicant/representative/inventor) and its sub-type (e.g., legal or natural person, for applicants):

Party element	Sub-type(s)	XML Elements in <addressbook>
<ep-applicant>	Applicant, legal person Third-party, legal person	<name name-type="legal"> <address> <address-2> <pobox> <street> <city> <state>

		<pre><postcode> <country> </address> <phone> <email></pre>
	Applicant, natural person Third-party, natural person	<pre><last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email></pre>
<ep-agent>	Professional representative, association	<pre><last-name> (*) <department> <registered-number> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email></pre>
	Professional representative, individual	<pre><last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email></pre>
	Legal practitioner	Same as above.



(*) For representatives of sub-type *association* (i.e., with attribute `rep-type="common-representative"`), the value of the `<last-name>` element corresponds to the **Organisation name** of the association acting as representative.

Below is an example showing the general structure of a `<parties>` element in *ep-sfd-request.xml* containing a single `<ep-applicant>` entry, with the top-level elements and attributes listed in the previous tables:

```
<parties>
  <applicants>
    <ep-applicant sequence="1"
```

```

        designation="as-indicated"
        app-type="applicant">
    <addressbook lang="en">
        <last-name>Manzoni</last-name>
        <first-name>Salvatore</first-name>
        <orgname>Borghese S.A.</orgname>
        <department>Invenzioni</department>
        <address>
            <pobox/>
            <street>Via Roma 8 / Piazza del Duomo</street>
            <city>Milano</city>
            <state/>
            <postcode>20100</postcode>
            <country>IT</country>
        </address>
        <phone>+39 2 5056 10</phone>
        <email>manzoni@borghese.it</email>
    </addressbook>
    <nationality>
        <country>IT</country>
    </nationality>
    <residence>
        <country>IT</country>
    </residence>
    </ep-applicant>
</applicants>
</parties>

```

6.4.2 <parties> XML structure for EP1038 OPPO

The <parties> element can contain <applicants> and <agents> elements structured as follows:

- <applicants> may contain one or more <ep-applicant> element, referring one of the following party types indicated by the value of the element's **app-type** attribute:
 - **Proprietor** (**app-type="proprietor"**)
 - **Third party** (**app-type="third-party"**)
 - **Opponent** (**app-type="opponent"**)
 - **Intervener** (**app-type="intervener"**)
- <agents> may contain a single <ep-agent> element for the **representative** (if referenced).



In form EP1038 **OPPO**, either **one** representative of any sub-type (association, natural person or legal) can be added at the same time.

The required attributes for each individual <ep-applicant> and <ep-agent> element are mostly specific to the type of party, as listed in the table below:

XML Element	XML Attribute	Attribute Description	Example/fixed value
<ep-applicant>	sequence	Order no. of the <ep-applicant> entry of the corresponding role (app-type). Always required.	E.g.: "1" for 1 st proprietor, "2" for 2 nd proprietor, etc.

	designation	Fixed value indicating that designated states are as indicated in the submission. Always required.	Fixed value: "as-indicated"
	app-type	Indicates the specific type of party the <code><applicant></code> element refers to.	Value must be one of the following: <ul style="list-style-type: none"> ▪ "proprietor" ▪ "third-party" ▪ "opponent" ▪ "intervener"
<code><ep-agent></code>	sequence	Order no. of the representative in the list of representatives. Always required.	E.g.: "1" for 1 st representative
	rep-type	Always required. Indicates sub-type of representative as follows: <ul style="list-style-type: none"> ▪ "common-representative": association. ▪ "agent": individual. ▪ "attorney": legal practitioner. 	E.g.: "common-representative"
	ep-association-number	If rep-type="common-representative" (association), this attribute is required and must provide its registration no.	E.g.: "125"

Each `<ep-applicant>` element should contain:

- A single `<addressbook>` sub-element with the **name and address details**. This element should **always be present** (required).
- If a specific country of **nationality** is to be specified, a `<nationality>` sub-element should also be present. This will contain a single `<country>` child element with the 2-letter country code (e.g.: "IT" for Italy).
- Similarly, if a specific country of **residence** is to be specified, a `<residence>` sub-element should also be present, with the same internal structure as the above.

The example below shows the basic structure for the `<parties>` section in a request that only includes a single applicant specifying *Italy* (IT) as both their nationality and residence country:

```

<parties>
  <applicants>
    <applicant sequence="1"
      designation="as-indicated"
      app-type="applicant">
      <addressbook lang="en">
        ...
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
    </applicant>
  </applicants>
</parties>

```

```
</applicants>
</parties>
```

Each <ep-agent> element should contain:

- A single <addressbook> sub-element with the **name and address details**. This element should **always be present** (required).
- An <applicant-name> sub-element may also be present indicating the name of the party they are representing. For EP1038 **OPPO**, this element should **always be present** (required).

The example below shows the basic structure for the <parties> section in a request that only includes a single representative specifying the named of their represented applicant:

```
<parties>
  <agents>
    <ep-agent sequence="1"
              rep-type="common-representative"
              ep-association-number="123">
      <addressbook lang="en">
        ...
      </addressbook>
      <applicant-name>Salvatore Manzoni</applicant-name>
    </ep-agent>
  </agents>
</parties>
```

The <addressbook> element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: <addressbook lang="en">

The structure of the <addressbook> element is specific to the type of party involved (applicant/representative/inventor) and its sub-type (e.g., legal or natural person, for applicants):

Party element	Sub-type(s)	XML Elements in <addressbook>
<ep-applicant>	Proprietor, legal person Third-party, legal person Opponent, legal person Intervener, legal person	<name name-type="legal"> <registered-number/> <address> <address-2> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email>
	Proprietor, natural person Third-party, natural person Opponent, natural person Intervener, natural person	<last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state>

		<pre><postcode> <country> </address> <phone> <email></pre>
<ep-agent>	Professional representative, association	<pre><last-name> (*) <department> <registered-number> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email></pre>
	Professional representative, individual Legal practitioner	<pre><last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email></pre>



(*) For representatives of sub-type *association* (i.e., with attribute `rep-type="common-representative"`), the value of the `<last-name>` element corresponds to the **Organisation name** of the association acting as representative.

Below is an example showing the general structure of a `<parties>` element in `ep-sfd-request.xml` containing two `<ep-applicant>` entries for a proprietor (natural person) and an opponent (legal person):

```
<parties>
  <applicants>
    <ep-applicant sequence="1"
      designation="as-indicated"
      app-type="proprietor">
      <addressbook lang="en">
        <last-name>Manzoni</last-name>
        <first-name>Salvatore</first-name>
        <orgname>Borghese S.A.</orgname>
        <department>Invenzioni</department>
        <address>
          <pobox/>
          <street>Via Roma 8 / Piazza del Duomo</street>
          <city>Milano</city>
          <state/>
          <postcode>20100</postcode>
          <country>IT</country>
        </address>
        <phone>+39 2 5056 10</phone>
```

```


        <email>manzoni@borghese.it</email>
    </addressbook>
    <nationality>
        <country>IT</country>
    </nationality>
    <residence>
        <country>IT</country>
    </residence>
</ep-applicant>
<ep-applicant sequence="1"
    designation="as-indicated"
    app-type="opponent">
    <addressbook lang="en">
        <name name-type="legal">Legal Opponent Name</name>
        <address>
            <pobox/>
            <street>Via Roma 8 / Piazza del Duomo</street>
            <city>Milano</city>
            <state/>
            <postcode>20100</postcode>
            <country>IT</country>
        </address>
        <phone>+39 2 5056 10</phone>
        <email>manzoni@borghese.it</email>
    </addressbook>
    </ep-applicant>
</applicants>
</parties>

```

6.4.3 <parties> XML structure for EP1038 LR

The <parties> element can contain <applicants> and <agents> elements, each with multiple <ep-applicant> and <ep-agent> sub-elements:

- <applicants> may contain one <ep-applicant> element referring to a proprietor.
- <agents> may contain one <ep-agent> element referring to a representative.

 In form EP1038 **LR**, only either **one** applicant or **one** representative can be added at the same time.

The required attributes for each individual <ep-applicant> and <ep-agent> element are mostly specific to the type of party, as listed in the table below:

XML Element	XML Attribute	Attribute Description	Example/fixed value
<ep-applicant>	sequence	Order no. of the proprietor in the list of named proprietors. Always required.	Fixed value: "1" (only 1 proprietor allowed)
	designation	Fixed value indicating that designated states are as indicated in the submission. Always required.	Fixed value: "as-indicated"

	app-type	Indicates the specific type of party the <code><ep-applicant></code> element refers to.	Fixed value: "proprietor"
<code><ep-agent></code>	sequence	Order no. of the representative in the list of representatives. Always required.	Fixed value: "1" (only 1 representative allowed)
	rep-type	Always required. Indicates sub-type of representative as follows: <ul style="list-style-type: none"> ▪ "common-representative": association. ▪ "agent": individual. ▪ "attorney": legal practitioner. 	E.g.: "common-representative"
	ep-association-number	If rep-type="common-representative" (association), this attribute is required and must provide its registration no.	E.g.: "125"

Each `<ep-applicant>` element should contain:

- A single `<addressbook>` sub-element with the **name and address details**. This element should **always be present** (required).
- If a specific country of **nationality** is to be specified, a `<nationality>` sub-element should also be present. This will contain a single `<country>` child element with the 2-letter country code (e.g.: "IT" for Italy).
- Similarly, if a specific country of **residence** is to be specified, a `<residence>` sub-element should also be present, with the same internal structure as the above.

The example below shows the basic structure for the `<parties>` section in a request that only includes a single proprietor specifying *Italy* (IT) as both their nationality and residence country:

```

<parties>
  <applicants>
    <ep-applicant sequence="1"
      designation="as-indicated"
      app-type="proprietor">
      <addressbook lang="en">
        ...
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
    </ep-applicant>
  </applicants>
</parties>

```

Each `<ep-agent>` element should contain:

- A single **<addressbook>** sub-element with the **name and address details**. This element should **always be present** (required).
- An **<applicant-name>** sub-element may also be present indicating the name of the party they are representing. For EP1038 LR, this element should **always be present** (required).

The example below shows the basic structure for the **<parties>** section in a request that only includes a single representative specifying the named of their represented applicant:

```

<parties>
  <agents>
    <ep-agent sequence="1"
              rep-type="common-representative"
              ep-association-number="123">
      <addressbook lang="en">
        ...
      </addressbook>
      <applicant-name>Salvatore Manzoni</applicant-name>
    </ep-agent>
  </agents>
</parties>
    
```

The **<addressbook>** element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: **<addressbook lang="en">**

The structure of the **<addressbook>** element is specific to the type of party involved (applicant/representative/inventor) and its sub-type (e.g., legal or natural person, for applicants):

Party element	Sub-type(s)	XML Elements in <addressbook>
<ep-applicant>	Proprietor, legal person	<name name-type="legal"> <address> <address-2> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email>
	Proprietor, natural person	<last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email>

<ep-agent>	Professional representative, association	<last-name> (*) <department> <registered-number> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email>
	Professional representative, individual Legal practitioner	<last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email>



(*) For representatives of sub-type *association* (i.e., with attribute **rep-type="common-representative"**), the value of the **<last-name>** element corresponds to the **Organisation name** of the association acting as representative.

Below is an example showing the general structure of a **<parties>** element in *ep-sfd-request.xml* containing a single **<ep-applicant>** entry corresponding to a proprietor (natural person), with the top-level elements and attributes listed in the previous tables:

```

<parties>
  <applicants>
    <ep-applicant sequence="1"
      designation="as-indicated"
      app-type="proprietor">
      <addressbook lang="en">
        <last-name>Manzoni</last-name>
        <first-name>Salvatore</first-name>
        <orgname>Borghese S.A.</orgname>
        <department>Invenzioni</department>
        <address>
          <pobox/>
          <street>Via Roma 8 / Piazza del Duomo</street>
          <city>Milano</city>
          <state/>
          <postcode>20100</postcode>
          <country>IT</country>
        </address>
        <phone>+39 2 5056 10</phone>
        <email>manzoni@borghese.it</email>
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
    </ep-applicant>
  </applicants>
</parties>

```

```

    <residence>
      <country>IT</country>
    </residence>
  </ep-applicant>
</applicants>
</parties>

```

6.4.4 <parties> XML structure for EP1038 APPEAL

The <parties> element can contain <applicants> and <agents> elements structured as follows:

- <applicants> may contain one or more <ep-applicant> element, referring one of the following party types indicated by the value of the element's **app-type** attribute:
 - **Applicant** (**app-type**="applicant")
 - **Proprietor** (**app-type**="proprietor")
 - **Third party** (**app-type**="third-party")
 - **Opponent** (**app-type**="opponent")
 - **Intervener** (**app-type**="intervener")
- <agents> may contain one or more <ep-agent> element for the **representatives** (if referenced).

The required attributes for each individual <ep-applicant> and <ep-agent> element are mostly specific to the type of party, as listed in the table below:

XML Element	XML Attribute	Attribute Description	Example/fixed value
<ep-applicant>	sequence	Order no. of the <ep-applicant> entry of the corresponding role (app-type). Always required.	E.g.: "1" for 1 st proprietor, "2" for 2 nd proprietor, etc.
	designation	Fixed value indicating that designated states are as indicated in the submission. Always required.	Fixed value: "as-indicated"
	app-type	Indicates the specific type of party the <ep-applicant> element refers to.	Value must be one of the following: <ul style="list-style-type: none"> ▪ "applicant" ▪ "proprietor" ▪ "third-party" ▪ "opponent" ▪ "intervener"
<ep-agent>	sequence	Order no. of the representative in the list of representatives. Always required.	E.g.: "1" for 1 st representative
	rep-type	Always required. Indicates sub-type of representative as follows:	E.g.: "common-representative"

		<ul style="list-style-type: none"> ▪ “common-representative”: association. ▪ “agent”: individual. ▪ “attorney”: legal practitioner. 	
	ep-association-number	If rep-type=“ common-representative ” (association), this attribute is required and must provide its registration no.	E.g.: “125”

Each **<ep-applicant>** element should contain:

- A single **<addressbook>** sub-element with the **name and address details**. This element should **always be present** (required).
- If a specific country of **nationality** is to be specified, a **<nationality>** sub-element should also be present. This will contain a single **<country>** child element with the 2-letter country code (e.g.: “IT” for Italy).
- Similarly, if a specific country of **residence** is to be specified, a **<residence>** sub-element should also be present, with the same internal structure as the above.

The example below shows the basic structure for the **<parties>** section in a request that only includes a single applicant specifying *Italy* (IT) as both their nationality and residence country:

```

<parties>
  <applicants>
    <ep-applicant sequence="1"
      designation="as-indicated"
      app-type="applicant">
      <addressbook lang="en">
        ...
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
    </applicant>
  </applicants>
</parties>

```

Each **<ep-agent>** element should contain:

- A single **<addressbook>** sub-element with the **name and address details**. This element should **always be present** (required).
- An **<applicant-name>** sub-element may also be present indicating the name of the party they are representing. For EP1038 **APPEAL**, this element should **always be present** (required).

The example below shows the basic structure for the **<parties>** section in a request that only includes a single representative specifying the named of their represented applicant:

```

<parties>
  <agents>
    <ep-agent sequence="1"
      rep-type="common-representative"

```

```

ep-association-number="123">
  <addressbook lang="en">
    ...
  </addressbook>
  <applicant-name>Salvatore Manzoni</applicant-name>
</ep-agent>
</agents>
</parties>

```

The **<addressbook>** element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: `<addressbook lang="en">`

The structure of the **<addressbook>** element is specific to the type of party involved (applicant/representative/inventor) and its sub-type (e.g., legal or natural person, for applicants):

Party element	Sub-type(s)	XML Elements in <addressbook>
<ep-applicant>	Applicant, legal person Proprietor, legal person Third-party, legal person Opponent, legal person Intervener, legal person	<pre> <name name-type="legal"> <registered-number/> <address> <address-2> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
	Applicant, natural person Proprietor, natural person Third-party, natural person Opponent, natural person Intervener, natural person	<pre> <last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
<ep-agent>	Professional representative, association	<pre> <last-name> (*) <department> <registered-number> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
	Professional representative, individual	<pre> <last-name> <first-name> <orgname> </pre>

	Legal practitioner	<pre> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
--	--------------------	---



(*) For representatives of sub-type *association* (i.e., with attribute `rep-type="common-representative"`), the value of the `<last-name>` element corresponds to the **Organisation name** of the association acting as representative.

Below is an example showing the general structure of a `<parties>` element in `ep-sfd-request.xml` containing two `<ep-applicant>` entries for a proprietor (natural person) and an opponent (legal person):

```

<parties>
  <applicants>
    <ep-applicant sequence="1"
      designation="as-indicated"
      app-type="proprietor">
      <addressbook lang="en">
        <last-name>Manzoni</last-name>
        <first-name>Salvatore</first-name>
        <orgname>Borghese S.A.</orgname>
        <department>Invenzioni</department>
        <address>
          <pobox/>
          <street>Via Roma 8 / Piazza del Duomo</street>
          <city>Milano</city>
          <state/>
          <postcode>20100</postcode>
          <country>IT</country>
        </address>
        <phone>+39 2 5056 10</phone>
        <email>manzoni@borghese.it</email>
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
    </ep-applicant>
    <ep-applicant sequence="1"
      designation="as-indicated"
      app-type="opponent">
      <addressbook lang="en">
        <name name-type="legal">Name of opponent</name>
        <address>
          <pobox/>
          <street>Via Roma 8 / Piazza del Duomo</street>
          <city>Milano</city>
          <state/>
          <postcode>20100</postcode>
          <country>IT</country>


```

```

        </address>
        <phone>+39 2 5056 10</phone>
        <email>manzoni@borghese.it</email>
    </addressbook>
</ep-applicant>
</applicants>
</parties>


```

6.5 EP1038 – Requests

 This tab and its corresponding XML data are only applicable to the EP1038 FSE form variant.

In the **Requests** tab of Form EP1038 FSE, users can make one of the following requests/declarations:

- **Request for accelerated search/examination (PACE request)**
- **Enquiry as to the processing of the file**
- **Request for examination in an admissible non-EPO language (Article 14(4) EPC)**
- **Declaration that the/each applicant is a natural person or an entity under Rule 7a(1) EPC**
- **Declaration that the/each applicant is a micro-entity under Rule 7a(3) EPC**

 Note that the first request (PACE) is **mutually exclusive** from the other two requests on the list above.

The information regarding the aforementioned options is imported from the contents of top-level XML element **<ep-declarations>** section in *ep-sfd-request.xml*. The table below lists the child XML elements that must appear under each **<ep-declarations>** entry:

Request/Declaration	XML Element in <ep-declarations>	Details and/or additional elements
PACE request	<code><written_request_for_accelerated_processing_EP_application></code>	The element on the left must contain one of the following child elements depending on the type of PACE request: <code><request_for_accelerated_search/></code> OR (exclusive): <code><request_for_accelerated_examination/></code>
Enquiry as to processing of the file	<code><enquiry_regarding_expected_issue_of_search_report/></code>	
Request for examination in	<code><request_examination_in_admissible_non-EPO_language/></code>	Additionally, element <code><ep-request-for-exam-art94></code> must also appear under <code><office-specific-</code>

admissible non-EPO language		<p><code>data</code>), with an attribute lang indicating the requested examination language. E.g.:</p> <pre><office-specific-data office="EP" lang="en"> <ep-request-for-exam-art94 lang="it"/> </office-specific-data></pre>
Declaration of natural person or an entity under Rule 7a(1) EPC	<code><declaration-of-entity-or-natural-person/></code>	<p>Requires a <i>Request for examination in admissible non-EPO language</i> (see necessary elements above) in order to be applicable for a <u>fee reduction</u>.</p> <p>E.g.:</p> <pre><ep-declarations> <declaration-of-entity-or-natural-person/> <request_examination_in_admissible_non- EPO_language/> </ep-declarations> <check-list> <cl-request/> </check-list> <office-specific-data office="EP" lang="en"> <ep-request-for-exam-art94 lang="it"/> ... </pre>
Declaration of micro-entity under Rule 7a(3) EPC	<code><declaration-of-micro-entity/></code>	

The snippet below shows the sections in file *ep-sfd-request.xml* for an example including a ***PACE request for accelerated examination*** and a ***Declaration of micro-entity under Rule 7a(3) EPC***:

```
...
</parties>
<ep-declarations>
  <declaration-of-micro-entity/>
  <written_request_for_accelerated_processing_EP_application>
  <request_for_accelerated_examination/>
  </written_request_for_accelerated_processing_EP_application>
</ep-declarations>
<check-list>
...

```


The snippet below shows the sections in file *ep-sfd-request.xml* for an example including a ***Request for examination in admissible non-EPO language***, a ***Declaration of natural person or an entity under Rule 7a(1) EPC***, and an ***Enquiry as to processing of the file***:

```
...
</parties>
<ep-declarations>
  <declaration-of-entity-or-natural-person/>
  <enquiry_regarding_expected_issue_of_search_report/>
  <request_examination_in_admissible_non-EPO_language/>
</ep-declarations>
<check-list>
...
</check-list>
<office-specific-data office="EP" lang="en">
  <ep-request-for-exam-art94 lang="it"/>
...

```


When the PACE request or enquiry is electronically submitted, OLF2.0 generates a separate PDF file for the request:

- ***epf1005.pdf*** for the PACE request
- ***epf1012.pdf*** for the enquiry

 OLF2.0 will automatically create the corresponding **<ep-electronic-files>** XML element (in section **<office-specific-data>**) and **<cl-other-document>** (in section **<check-list>**) referencing the attached documents upon successful importation of the package (i.e., it is not necessary to include the latter elements in the *ep-sfd-request.xml* file to be imported). For more details on the structure of the aforementioned elements, please refer to: [EP1038 – Documents](#)


Alternatively, the user can submit the signed request or enquiry as a PDF file attached in the **Documents** tab:

- ***1005.pdf*** for the PACE request
- ***1012.pdf*** for the enquiry

 **XML takes precedence over referenced PDF documents.** If the *ep-sfd-request.xml* file contains the XML elements for a PACE request or for the enquiry as to the processing of the file, any referenced PDF file will not be imported if the doc-type is 1005, 1005-EG, 1012 or 1012-EG. OLF2.0 will generate a new *epf1005.pdf* or *epf1012.pdf* during import.

Please see the example cases below for more details.

6.5.1 PACE request for accelerated search, Declaration of natural person

 The request for accelerated search and the request for accelerated examination are mutually exclusive: only one can be selected in Form EP1038.

Creating the PACE request requires the **<ep-declarations>** element with the child element **<written_request_for_accelerated_processing_EP_application>**. The request for accelerated search is represented by the **<request_for_accelerated_search/>** element (for the request for accelerated examination, use the **<request_for_accelerated_examination/>** element).

The snippet below corresponds to the contents of *ep-sfd-request.xml* for a EP1038 FSE submission that includes both a PACE request for accelerated search and a declaration of natural person under Rule 7a(1):

```
...
</parties>
<ep-declarations>
```

```

<declaration-of-entity-or-natural-person/>
<written_request_for_accelerated_processing_EP_application>
  <request_for_accelerated_search/>
</written_request_for_accelerated_processing_EP_application>
</ep-declarations>
<check-list>
...

```

The details of the PACE request, i.e., accelerated search or accelerated examination, are contained in the electronic form **epf1005.pdf**. The **epf1005.pdf** is not required for import. It will be re-generated by OLF2.0 when the XML package is imported.

i XML takes precedence over referenced PDF documents: If the **ep-sfd-request.xml** file contains the elements for a PACE request, any referenced PDF file will not be imported if the doc-type is **1005** or **1005-EG**. Online Filing will generate a new **epf1005.pdf** during import.

6.5.2 Enquiry as to the processing, Request for examination in non-EPO language

i The enquiry as to the processing of the file and the PACE request are mutually exclusive: only one can be selected in Form EP1038 FSE.

Creating the enquiry requires the **<ep-declarations>** element with the child element **<enquiry_regarding_expected_issue_of_search_report>**.

Creating the request for examination in a non-EPO language requires the **<ep-declarations>** element with the child element **<enquiry_regarding_expected_issue_of_search_report>**, as well as the inclusion of the **<ep-request-for-exam-art94>** child element under **<office-specific-data>** specifying the requested language via its attribute **lang**.

The snippet below corresponds to the contents of **ep-sfd-request.xml** for a EP1038 FSE submission that includes both an enquiry as to the processing of the file and a request for examination in an admissible non-EPO language:

```

...
</parties>
<ep-declarations>
  <enquiry_regarding_expected_issue_of_search_report/>
  <request_examination_in_admissible_non-EPO_language/>
</ep-declarations>
<check-list>
...
</check-list>
<office-specific-data office="EP" lang="en">
  <ep-request-for-exam-art94 lang="it"/>
...

```

The enquiry as to the processing of the file is indicated in the **Request** section and is attached as document with EPO file name **EPF1012.PDF**. The **EPF1012.pdf** file is not required for import. It will be re-generated by OLF2.0 when the XML package is imported.

i XML takes precedence over referenced PDF documents: If the **ep-sfd-request.xml** file contains the elements for the enquiry as to the processing of the file, any referenced PDF file will not be imported if the doc-type is **1012** or **1012-EG**. OLF2.0 will generate a new **epf1012.pdf** during import.

6.6 EP1038 – Documents

In the **Documents** tab of Form EP1038, users attach subsequently filed documents. Note that the total number of files to be attached is NOT limited.

i Please note that selecting a "PACE request" option in the **Request** tab for EP1038 FSE blocks the user from adding several types of documents (e.g., *Amended description/claims/drawings*) to the submission in the UI. As a result, trying to import a EP1038 submission that includes both a PACE request and any of those documents attached is **not advisable**, as this may lead to unexpected results (i.e., the PACE request option being automatically disabled, or the attached documents being ignored and not processed).

For each document attached with the submission, a **<ep-electronic-files>** element inside section **<office-specific-data>** must be present in **ep-sfd-request.xml**. An **<ep-electronic-files>** element must always contain the following attribute:

- **doc-type**: standard EPO code identifying the document type. Please see section [Document codes and file types for EP1038](#) for a full reference list.

The table below list the child elements in each **<ep-electronic-files>** entry:

XML Element	Description, attributes and sub-elements
<code><applicant-file-name></code>	Name of the file as originally uploaded by the applicant during the submission in OLF2.0. E.g.: <code><applicant-file-name>specs_document.pdf</applicant -file-name></code> Note that, for the EP1038 request document itself (doc-type="1038-CMS-*) <u>this element should always be empty</u> .
<code><ep-file-name></code>	Standard EPO file name corresponding to the type of provided document (please see section Document codes and file types for EP1038 for a full list). E.g.: <code><ep-file-name>SPECNONEPO.pdf</ep-file-name></code>

Note that the **doc-type** attribute for the **<ep-electronic-files>** element corresponding to the EP1038 request itself should have one of the following values depending on which form variant is being filed:

- EP1038 **FSE**: **doc-type="1038-CMS-SE"**
- EP1038 **OPPO**: **doc-type="1038-CMS-O"**
- EP1038 **LR**: **doc-type="1038-CMS-L"**
- EP1038 **APPEAL**: **doc-type="1038-CMS-AP"**

Section **<check-list>** in *ep-sfd-request.xml* must contain a child node for each document filed in the submission. The table below list the possible child elements in that can figure in the **<check-list>** section depending on the provided documents and their expected contents:

XML Element	Document type	Value and/or Attributes
<cl-request>	EP10308 request of the corresponding phase.	This element should always be empty .
<cl-other-document>	Any subsequently filed document.	No attributes . Value should be the full name of the provided document. E.g.: <i>"Translation of priority documents"</i>

Below is a snippet showing the basic structure of the corresponding **<ep-electronic-files>** elements and sub-elements inside **<check-list>** in *ep-sfd-request.xml* corresponding to a EP1038 **FSE** request where two documents are being filed: an authorisation of representative and a document concerning representation.

```

...
</parties>
<check-list>
  <cl-request/>
  <cl-other-document>Authorisation of representative</cl-other-document>
  <cl-other-document>Document concerning representation</cl-other-document>
</check-list>
<office-specific-data office="EP" lang="en">
  <ep-declarations/>
  <ep-electronic-files doc-type="1038-CMS-SE">
    <applicant-file-name/>
    <ep-file-name>epf1038.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="1003">
    <applicant-file-name>Authorisation Kilburn.pdf</applicant-file-name>
    <ep-file-name>1003-X.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="FREP">
    <applicant-file-name>Representation for Nano Enterprise.pdf</applicant-file-name>
    <ep-file-name>FREP-X.pdf</epo-file-name>
  </ep-electronic-files>
...


```

Please refer to section [Document codes and file types for EP1038](#) in this guide to find the full list of documents that can be filed with EP1038 depending on the chosen form variant (**FSE**, **OPPO**, **LR** or **APPEAL**), including their official names and their corresponding document codes for the **doc-type** attribute in the **<ep-electronic-files>** element referring to it.

6.7 EP1038 – Fees

Unlike in EP1001 and EP1200, fees are not automatically selected in the **Fees** tab of form EP1038. OLF2.0 users need to manually check the specific fees that they want to pay. The reduction and the fee amount can be modified in the GUI.

For the data in the XML file, however, this is not significant, because the **<fee-sub-amount>**, **<fee-factor>** and **<fee-schedule>** elements just have to be filled using the appropriate values.

 The **<fee-schedule>** element is used for the (calculated) fee amount and the **<fee-sub-amount>** element contains the fee schedule (for a single fee).

Filing non-public documents and paying fees

When attaching non-public documents to your application, only the following fees can be selected:

- 025 – Duplicate copies of the patent certificate
- 026 – Extracts from the European Patent Register
- 027 – Inspection of the files
- 029 – Certified copy of application; priority document
- 080 – Certification of other documents


For all other fees, a separate submission is required.

Selecting the correct fee schedule

The fee reform of 1 April 2009 introduced a number of changes, in particular with regard to the designation fees and claims fees. If the date of filing or of entry into the regional phase of your application is **earlier than 1 April 2009**, you need to modify the date of the fee schedule to be applied.

There are two options for applications filed with Form EP1038:

- (A) Date of filing or entry in to regional phase **on or after 1 April 2009**. This is the default option and the most recent schedule applies (1 April 2010 as of the day of last editing this document).
 - Set **<fees date="20100401">** or the most recent fee schedule, for applications on or after 1 April 2009.
- (B) Date of filing or entry in to regional phase **before 1 April 2009**. The schedule of 1 April 2008 applies.
 - Set **<fees date="20080401">** for applications before 1 April 2009.
 - Specify the **date** attribute in the XML file for the option you require.

 You can retrieve the most recent fee schedule from the EPO website under [interactive schedule of fees](https://my.epoline.org/epoline-portal/classic/epoline.Scheduleoffees) (<https://my.epoline.org/epoline-portal/classic/epoline.Scheduleoffees>).

The global information about fee payment is imported from imported from section **<ep-financial-data>** inside **<office-specific-data>**. This root **<ep-financial-data>** element must contain the following attributes:

- **curr**: currency for fee payment. This is always “EUR” by default.
- **fee-amounts-unlocked-by-user**: if set to “yes”, indicates that the user has intentionally unlocked the fee amounts and the EPO will not correct any values in this case. Otherwise, this is set to “no”, and the fees may therefore be subject to automatic correction by the EPO. Note that, for OLF2.0, this value will always be “no” (if set to “yes” in the imported *ep-euro-pct.xml* file, it will revert to “no” upon successful importation).

The root **<ep-financial-data>** XML element should be followed by the following child elements:

XML Element	Description, attributes and sub-elements
<mode-of-payment>	Element containing the details of the chosen mode of fee payment. Please refer to section EP1200 – Fees / Payment details for more details and examples.
<reimbursement>	<i>(only present when providing refund instructions)</i> Element with a single attribute accno , containing the <i>date of fee schedule validity</i> (in yyyyMMdd format), and the full name of the account holder as value. E.g.: <code><reimbursement accno="28123456">John Smith</reimbursement></code>
<sr-refund>	<i>(only when providing refund instructions)</i> when requesting refund of search fee ((Article 9(2) RFees)), this element should be present and contain the application number to which the search report corresponds. E.g.: <code><sr-refund>John Smith</sr-refund></code>
<add-copies>	<i>(only when providing refund instructions)</i> element indicating the no. of additional copies of the documents cited in the EP search report.
<fees>	This section must be always present. The <fees> element must include a single attribute date , containing the <i>date of fee schedule validity</i> (in yyyyMMdd format) plus the following sub-elements: <ul style="list-style-type: none"> ▪ <standard-fee>: contains a set of <fee> elements, each one indicating the details of one of the applicable standard fees for EP1038. This section must be always present. Please refer to section EP1038 - Fees / Standard fee amounts for details. ▪ <fee-total-amount>: element containing a numeric value indicating the total amount to be paid for all selected fees and in the selected currency. E.g.: <code><fee-total-amount>2842.5</fee-total-amount></code>

Note that, although the date of filing of the application is set on the **Fees** tab in the OLF2.0 GUI, this value is imported/stored from XML element `<date>` in the `<document-id>` sections in *ep-sfd-request.xml* (see [EP1038 – Application/patent data](#) for further details on said elements). E.g.:

```
<document-id lang="en">
  <country>EP</country>
  <doc-number>EP20202020.2</doc-number>
  <kind>application</kind>
  <date>20240101</date>
</document-id>
```

Below is a basic example showing the general structure of element `<ep-financial-data>` in *ep-sfd-request.xml* and the top-level sub-elements in it:

```
<ep-cms-sfd-request lang="en"
  dtd-version="1.1"
  ro="EP"
  produced-by="applicant"
  ep-procedural-phase="All-procedures"
  regulation="EPC"
  capacity="IPEA"
  date-produced="20231122 17:23:54">
  ...
  <office-specific-data office="EP" lang="en">
    ...
    </ep-electronic-files>
    <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
      <mode-of-payment currency="EUR"
        accno="28555555"
        deferred-execution-date="20231130"
        mode-type="deposit">Account holder</mode-of-payment>
      <fees date="20231114">
        <standard-fee>
          <fee index="1" topay="yes">
            <type-of-fee>standard</type-of-fee>
            <fee-factor>0.7</fee-factor>
            <fee-schedule>94.50</fee-schedule>
            <fee-sub-amount>135.00</fee-sub-amount>
            <fee-reduction-factor>0.30</fee-reduction-factor>
          </fee>
          ...
        </standard-fee>
        <fee-total-amount>2842.5</fee-total-amount>
      </fees>
    </ep-financial-data>
  </office-specific-data>
</ep-cms-sfd-request>
```

6.7.1 Payment details and fee schedule

Three different fee schedules can be applied. By default, the most recent fee schedule applies. The option to make a declaration under Rule 6(4) EPC is only available if the schedule **Date of filing** or **Date of entry into the regional phase** are on or after 01.04.2014.

Information regarding the payment details is imported from the `<mode-of-payment>` XML element under `<ep-financial-data>` in *ep-sfd-request.xml*. This element must contain the following attributes:

- **currency**: currency for fee payment. This is always **“EUR”** by default.
- **accno**: when using **mode-type “deposit”** (see below), this must be set to the number of EPO deposit account to be used. E.g.: **“28123456”**
- **deferred-execution-date**: when requesting a deferred date of payment execution, this attribute must be present and have said date in yyyyMMdd format as value. This attribute can either be set to an empty value or be omitted if the import file should not specify a deferred execution date.
- **mode-type**: selected mode of payment. Can be one of the following values depending on the chosen option:
 - **“deposit”**: Debit from deposit account.
 - **“bank”**: Bank transfer.
 - **“ccard”**: Credit card.



In addition to the applicable attributes described above, the element should also contain the full name of the **account/card holder** to be used for payment as its value.

Below is a snippet showing the basic structure of element **<mode-of-payment>**:

```
<ep-office-specific-data office="EP" lang="en">
...
</ep-electronic-files>
<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  <mode-of-payment currency="EUR"
    accno="28555555"
    deferred-execution-date="20231130"
    mode-type="deposit">Account holder</mode-of-payment>
  <fees date="20231114">
...

```

6.7.2 Standard fees

Information regarding the applicable EP1038 standard fees is imported from the **<standard-fee>** XML element under **<fees>** in *ep-sfd-request.xml*.



Note that, if you intend to pay for any of the specific fees applicable to form EP1038 (or want to be able to select/de-select it from the **Fees** tab in the GUI at a later point before filing), a **<fee>** element for it must be present under **<standard-fee>**. Otherwise, the fee will not be selected for payment, and you will not be able to select it on the draft submission using the GUI.

Each **<fee>** element must contain the following attributes:

- **index**: index no. of the corresponding applicable fee, as it appears on the **Fees** tab in OLF2.0. Note that any zeroes on the left should not be included. E.g.: **“1”** for fee 001, **“5e”**, for fee 005e, **“401”**...

- **topay**: *yes/no* value indicating if the corresponding fee is intended to be paid (“**yes**”) or not (“**no**”).

Each **<fee>** element must contain the following XML child elements:

XML Element	Description, attributes and sub-elements
<type-of-fee>	Indicates the type of fee. This should always have the value “ standard ”. E.g.: <code><type-of-fee>standard</type-of-fee></code>
<fee-factor>	Indicates the factor (from 0 to 1, corresponding to a 0-X00% percentage) in which the fee will be paid, according to the specified quantity and applicable reduction factor. I.e., this value should be equal to: <div style="border: 1px dashed black; padding: 5px; margin: 5px 0;"> quantity (i.e., number of fees as indicated in GUI) * <fee-reduction-factor> (from 0 to 1) </div> E.g., for a reduction of 30% (0.3), this value should be 0.7 .: <code><fee-factor>0.7</fee-factor></code> <code><fee-schedule>94.50</fee-schedule></code> <code><fee-sub-amount>135.00</fee-sub-amount></code> <code><fee-reduction-factor>0.30</fee-reduction-factor></code> If the fee is not selected for payment (topay="no"), this element can be empty. Note that, when using element <fee-reduction-amount> to apply a fixed reduction (when applicable according to the guidelines), this value should be a negative amount instead of a 0-1 factor. E.g., for a reduction of 100%: <code><fee-factor>-1460</fee-factor></code> <code><fee-sub-amount>1460.00</fee-sub-amount></code> <code><fee-reduction-amount>1460</fee-reduction-amount></code>
<fee-schedule>	Indicates the amount to pay for the total quantity of the specified fee, after applying reductions. I.e., this value should be equal to: <code><fee-sub-amount></code> * quantity (i.e., number of fees as indicated in GUI) * <code><fee-reduction-factor></code> (from 0 to 1) E.g.: 94.50
<fee-sub-amount>	Indicates the base amount for the fee according to the current fee schedule (i.e., not taking reductions into account). E.g.: 135.00 If the fee is not selected for payment (topay="no"), this element can be empty.
<fee-reduction-factor>	Indicates the reduction factor (from 0 to 1, corresponding to a 0-100% percentage) for the fee, when applicable. E.g.: 0.30

	This element can be left empty if the fee is not selected for payment (topay="no") or for a default value of 0 .
--	--

i The **<fee-schedule>** element is used for the (calculated) fee amount and the **<fee-sub-amount>** element contains the fee schedule (for one single fee).

Use the **<fee-reduction-factor>** element to indicate a fee reduction on a fixed or percentage basis. The default value is **0**.

Use the **<fee-reduction-amount>** element to indicate a fee reduction on an amount basis.

Below is a snippet showing the basic structure of element **<standard-fee>** that includes a **<fee>** entry for procedural fee **001** (i.e., *Filing fee - EP direct - online*) applicable to form EP1001:

```
<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  <mode-of-payment accno="28555555"
    mode-type="deposit"
    currency="EUR"
    deferred-execution-date="20231130">Account holder</mode-of-payment>
  <fees date="20231114">
    <standard-fee>
      <fee index="1" topay="yes">
        <type-of-fee>standard</type-of-fee>
        <fee-factor>0.7</fee-factor>
        <fee-schedule>94.50</fee-schedule>
        <fee-sub-amount>135.00</fee-sub-amount>
        <fee-reduction-factor>0.30</fee-reduction-factor>
      </fee>
      ...
    <fee-total-amount>2842.5</fee-total-amount>
  </fees>
</ep-financial-data>
```

For more details, please see the example cases provided below.

6.7.3 Example: Date of filing or entry into the regional phase on or after 01.04.2014, reduced fees under Rule 7a(1) / 7a(3) EPC

Reduced fees can be applied in a EP1038 FSE submission when either the declaration under *Rule 7a(1)* or the declaration under *Rule 7a(3)* is selected in the **Requests** tab (see [EP1038 – Requests](#) for more details). On the *ep-sfd-request.xml* file, this is indicated as follows:

- **Reduction of fees under Rule 7a(1) – declaration of entity or natural person:** The **<declaration-of-entity-or-natural-person/>** element must be present under **<ep-declarations>**. Additionally, this requires a *Request for examination in admissible non-EPO language* to be filed as well, i.e.:
 - **<ep-request-for-exam-art94/>** must be present and the value of its **lang** attribute is the two-letter code of one of the admissible non-official EPO languages.

- `<request_examination_in_admissible_non-EPO_language/>` must also be present under `<ep-declarations>`.
- **Reduction of fees under Rule 7a(3) – declaration of micro-entity:** The `<declaration-of-entity-or-natural-person/>` element must be present under `<ep-declarations>`.

All other fees can be selected as usual.

The example below shows the selection of the filing fee 001 and the examination fee 006, both with a reduction of 30% applied and a declaration under rule 7a(1).

XML ep-sfd-request.xml

```

16  <parties>
44  <ep-declarations>
45  (1) <declaration-of-entity-or-natural-person/>
46  <request_examination_in_admissible_non-EPO_language/> (2)
47  </ep-declarations>
48  <check-list>
51  <office-specific-data office="EP" lang="en">
52  (3) <ep-request-for-exam-art94 lang="sq"/>
53  <ep-electronic-files doc-type="1038-CMS-SE">
54  <applicant-file-name/>
55  <ep-file-name>epf1038.pdf</ep-file-name>
56  </ep-electronic-files>
57  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
58  <mode-of-payment currency="EUR" accno="28123456" mode-type="deposit">IP Partners</mode-of-payment>
59  (4) <fees date="20240509">
60  <standard-fee>
61  (5) <fee index="1" topay="yes">
62  <type-of-fee>standard</type-of-fee>
63  (6) <fee-factor user-input="1">0.7</fee-factor>
64  <fee-schedule>94.50</fee-schedule> (7)
65  (8) <fee-sub-amount>135.00</fee-sub-amount>
66  <fee-reduction-factor>0.30</fee-reduction-factor> (9)
67  </fee>
68  <fee index="1e" topay="no">
75  <fee index="2" topay="no">
82  <fee index="5" topay="no">
89  <fee index="5e" topay="no">
96  (10) <fee index="6" topay="yes">
97  <type-of-fee>standard</type-of-fee>
98  (11) <fee-factor user-input="1">0.7</fee-factor>
99  <fee-schedule>1340.50</fee-schedule> (12)
100 (13) <fee-sub-amount>1915.00</fee-sub-amount>
101 <fee-reduction-factor>0.30</fee-reduction-factor> (14)
102 </fee>
103 <fee index="6e" topay="no">
110 <fee index="7" topay="no">
670 </fee index="520" topay="no">
671 </standard-fee>
678 </fees>
679 (15) <fee-total-amount>1435.0</fee-total-amount>
680 </ep-financial-data>
681 </office-specific-data>
682

```

Figure 218: Fee Payment XML: selected reduced fees

Element list

- (1) Declaration under Rule 7a(1) EPC
- (2) Request for examination in admissible non-EPO language
- (3) Selection of non-EPO language for examination (via attribute **lang**)

i To apply for fee reduction under declaration 7a(3) instead of 7a(1), element **(1)** can simply be replaced with **<declaration-of-micro-entity/>**. Note that, for declaration 7a(3), elements **(2)** and **(3)** are not required and may be omitted if not applicable to the submission.

- (4)** Date of fee schedule validity
- (5)** Fee 001 selected
- (6)** Fee factor = 1 - fee reduction factor = 0.7
- (7)** Fee schedule for fee 001
- (8)** Fee reduction factor: 0.3
- (9)** Fee amount to be paid = fee schedule * fee factor
- (10)** Fee 006 selected
- (11)** Fee factor = 1 - fee reduction factor = 0.7
- (12)** Fee schedule for fee 006
- (13)** Fee reduction factor: 0.3
- (14)** Fee amount to be paid = fee schedule * fee factor
- (15)** Total amount of fees to pay

i The **<fee-schedule>** element is used for the (calculated) fee amount and the **<fee-sub-amount>** element contains the fee schedule (for one single fee).

Use the **<fee-reduction-factor>** element to indicate a fee reduction on a fixed or percentage basis.

Use the **<fee-reduction-amount>** element to indicate a fee reduction on an amount basis.

6.7.4 Example: Date of filing from 01.04.2009 to 31.03.2014

For the designation of states, a flat fee (code 005e) is applied. The listing of all selected countries within the corresponding **<fee>** element is not required.

XML ep-sfd-request.xml

```

<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  <mode-of-payment accno="IBAN: DE20 7008 0000 0333 880000 / BIC: DRESDEFF700"
    mode-type="bank"
    currency="EUR">DE</mode-of-payment>
  1 <fees date="20240516">
    <standard-fee>
      <fee index="1" topay="no">
      <fee index="1e" topay="no">
      <fee index="2" topay="no">
      <fee index="5" topay="no">
      2 <fee index="5e" topay="yes">
        <type-of-fee>standard</type-of-fee>
        5 <fee-factor user-input="1">1</fee-factor>
        <fee-schedule>685.00</fee-schedule> 6
        3 <fee-sub-amount>685.00</fee-sub-amount>
          <fee-reduction-factor>0</fee-reduction-factor> 4
        </fee>
      <fee index="6" topay="no">
      (...)
      <fee index="520" topay="no">
    </standard-fee>
    7 <fee-total-amount>685.0</fee-total-amount>
  </fees>
</ep-financial-data>
</office-specific-data>
</ep-cms-sfd-request>

```

Figure 221: Fee Payment XML: selected fees and designated states

Element list

- (1) Fee schedule from 01.04.2009 to 31.03.2014, i.e. 01.04.2012
The **date** attribute indicates the fee schedule to be applied, which determines the available fee combinations or fee reductions. The valid fee amounts, however, are always determined by the most recent fee schedule date which is shown in the GUI (8).
- (2) Fee 005 selected
- (3) Fee schedule for fee 005
- (4) Fee reduction factor: not applicable
- (5) Fee factor = quantity (i.e., as indicated in GUI)
- (6) Fee amount to be paid = fee schedule * fee factor
- (7) Total amount of fees to pay




The **<fee-schedule>** element is used for the (calculated) fee amount and the **<fee-sub-amount>** element contains the fee schedule (for one single fee).

Use the **<fee-reduction-factor>** element to indicate a fee reduction on a fixed or percentage basis.

Use the **<fee-reduction-amount>** element to indicate a fee reduction on an amount basis.

6.8 EP (1038) – Annotations

At the end of the **<office-specific-data>** section (right after closure of the **<ep-financial-data>** section corresponding to fee payment details), one or more **<ep-notes-to-EPO>** elements can be included, each one containing **Annotations** to send additional information to the EPO. The number of annotations is unlimited.

 If no annotations are to be included in the submission (as they are entirely optional), no **<ep-notes-to-EPO>** elements should be present in the *ep-sfd-request.xml* file.

The root element for each annotation (**<ep-notes-to-EPO>**) must contain the following attributes:

- **page**: fixed string value **"Annotate"**.
- **id**: a **"note#"** string where **#** is a number representing the order of creation of the current note (i.e.: **note1** for the firstly note created, then **note2**, **note3** and so on).

E.g.: `<ep-notes-to-EPO page="Annotate" id="note1">`

The table below lists the child XML elements that must appear under each **<ep-notes-to-EPO>** entry:

XML Element	Description and attributes
<code><author></code>	Full name (first + last name) of the user authoring the annotation.
<code><subject></code>	Subject of the annotation.
<code><date></code>	Date in which the annotation was created, in yyyyMMdd format. Note that this value is not shown in the request PDF for EP1038.
<code><dtext></code>	Text contents of the annotation.

The example below shows how two annotations created by two different users are stored in the *ep-sfd-request.xml* file:

```

<office-specific-data office="EP" lang="en">
...
  <ep-notes-to-EPO page="Annotate" id="note1">
    <author>Salvatore Manzoni</author>
    <subject>Account information</subject>
    <date>20130127</date>
    <dtext>Payment details may be changed at a later date.</dtext>
  </ep-notes-to-EPO>
  <ep-notes-to-EPO page="Annotate" id="note2">
    <author>Luigi Manzoni</author>
    <subject>Representation</subject>
    <date>20141027</date>

```

<dtxt>There will be a new representative for Mr. Manzoni starting Jan 1 2015, who will take over all applications of Salvatore Manzoni and TechInvent S.A. The details and the authorisation will be filed subsequently.</dtxt>

</ep-notes-to-EPO>

</office-specific-data>

</ep-cms-sfd-request>

7 Form EP2300 – EP Opposition procedure

Form **EP2300**, also referred to as **EP(Oppo)**, is used for filing a notice of opposition to a European patent (first communication). Depending on the purpose of the filing, various options are possible:

- All natural or legal persons can use Form EP2300 to file an opposition to a patent with the EPO, provided they have their residence or corporate headquarters in a contracting state to the EPC. **Opponents** may be represented by one of their employees.
- Further parties can join ongoing opposition proceeding as **interveners** and designate any representatives they may have. Both opponents and interveners can designate other persons as **witnesses**.
- Persons who do not have their residence in a contracting state to the EPC must authorise a professional **representative** or a legal practitioner entitled to act as a professional representative.



To subsequently file additional information and documents on an opposition already filed (second communication), form **EP1038 OPPO** should be used instead.

7.1 XML files for an EP2300 application

The following two XML files are required for an EP2300 application to be imported. Note that unlike in EP1001 and EP1200, there is no **application-body.xml**.

File name	DTD	Description
package-data.xml	package-data.dtd	References attached documents including ep-opposition-data.xml file.
ep-opposition-data.xml	ep-xmit-opposition-data-v1.5.dtd	Application data as entered in Form EP2300, references attached documents.

The XML structure of **package-data.xml** is the same as for EP1001 applications - see section: [Form EP1001 - References from XML files to other files](#)

More information on the XML structure of the **ep-opposition-data.xml** file can be found below and in subsequent sections in this chapter.

7.1.1 Basic structure of ep-opposition-data.xml

The *ep-opposition-data.xml* file contains the application data in Form EP2300. Its root element is `<ep-xmit-opposition-data>`, which contains the following attributes:

XML Attribute	Attribute Description	Example/fixed value
<code>dtd-version</code>	Version of DTD used.	Fixed value: "1.1"
<code>lang</code>	Procedural language for the application, indicated by its 2-letter language code (en, fr, de).	Fixed value: "en"
<code>date-produced</code>	Date/time of package generation in "YYYYMMDD hh:mm:ss" format.	E.g.: "20240122 11:19:17"

The table below lists the top-level XML elements under `<ep-xmit-opposition-data>` and their key attributes:

XML Element	Description and attributes
<code><file-reference-id></code>	<p>User's file reference. This is the internal ID name for the EP2300 submission, as it will appear on the OLF2.0 GUI for edition/review. Can be any name chosen by the user with the following limitations:</p> <ul style="list-style-type: none"> ▪ Up to 25 characters long. ▪ No blank spaces. <p>E.g.: <code><file-reference-id>My_2300_request</file-reference-id></code></p>
<code><publication-reference></code> <code><application-reference></code>	<p>Basic application/patent information for the EP2300 submission, including the corresponding EP application no. and date of grant.</p> <p>See EP2300 – General information for details</p>
<code><gazette-reference></code>	<p>Contains information related to the publication of the granted patent in the <i>European Patent Bulletin</i>.</p> <p>See EP2300 – General information for details</p>
<code><invention-title></code>	<p>Title of the invention of the opposed application/patent, in the EPO language selected for EP2300.</p> <p>E.g.:</p> <p><code><invention-title>INDUSTRIAL TRUCK EQUIPPED FOR DRIVERLESS AUTONOMOUS OPERATION</invention-title></code></p>
<code><assignees></code>	<p>Contains a single element stating the name of the proprietor of the application/patent that is being opposed.</p> <p>See EP2300 – General information for details.</p>
<code><ep-opposition-external-party></code>	<p>List of main parties involved in the opposition procedure (opponent, interveners, representatives).</p>

	<p>Attributes:</p> <ul style="list-style-type: none"> ▪ external-party-role: Role of the filing party in the EP2300 submission: "opponent" or "intervener". <p>This section contains a single <code><ep-external-party-participants></code> XML element, which in turn contains a set of child elements providing the information about each opponent/intervener. Additionally, if representatives are also designated, it may contain an <code><ep-agents></code> section listing them.</p> <p>Please see EP2300 – Parties for full details and example cases.</p> <p>Note that the information regarding parties of type witness is stored separately in element <code><ep-opposition-notice></code> (see below).</p>
<code><ep-opposition-notice></code>	<p>This section contains a set of child elements holding the information about the scope/grounds for the opposition procedure and any requests included in the submission (e.g., request for oral proceedings).</p> <p>E.g.:</p> <pre> <ep-opposition-notice> <opposition-filed-against> <entire-patent/> </opposition-filed-against> <grounds-for-opposition> <opposition-subject-matter> <novelty-not-valid/> </opposition-subject-matter> </grounds-for-opposition> <ep-submission-requests> <ep-submission-request request-type="oral-proceedings"/> </ep-submission-requests> </ep-opposition-notice> </pre> <p>Please see the following sections for details and additional example cases:</p> <ul style="list-style-type: none"> ▪ EP2300 – General information ▪ EP2300 – Requests <p>Additionally, if expert witnesses are cited in the EP2300 submission, this section may also contain their party data. Please see EP2300 – Parties / Witnesses for the full details.</p>
<code><ep-electronic-files></code>	<p>The <code><ep-xmit-opposition-data></code> element will contain one or more <code><ep-electronic-files></code> elements, holding information about each of the attached documents enclosed with the EP2300 submission (including the EP2300 request itself).</p> <p>Please see EP2300 – Documents for more details and example cases.</p>
<code><ep-financial-data></code>	<p>This element will contain information regarding the fees applicable to the EP2300 request.</p> <p>Attributes:</p> <ul style="list-style-type: none"> ▪ curr: Currency for fee payment. <u>For EP2300, this should have a fixed value of "EUR".</u>

	Please see EP2300 – Fees for details and example cases.
<code><ep-notes-to-EPO></code>	Optional element that may be present if the EP2300 submission includes enclosed annotations to EPO. See EP2300 – Annotations for more details and an example.

Below is an example showing the general structure in *ep-opposition-data.xml* and the top-level elements listed in the previous table:

```
<?xml version="1.1" encoding="UTF-8"?>
<!DOCTYPE ep-xmit-opposition-data
  SYSTEM "ep-xmit-opposition-data-v1.5.dtd">
<ep-xmit-opposition-data dtd-version="1.1" lang="en" date-produced="20231122 17:23:54">
  <file-reference-id>2300_Example</file-reference-id>
  <publication-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP3062148</doc-number>
      <kind/>
      <name/>
      <date>20231101</date>
    </document-id>
  </publication-reference>
  <application-reference>
    <document-id lang="en">
      ...
    </document-id>
  </application-reference>
  <gazette-reference>
    <gazette-num/>
    <date>20231101</date>
  </gazette-reference>
  <invention-title>DEVICE WITH AN ADAPTIVE CAMERA ARRAY</invention-title>
  <assignees>
    <assignee>
      <name>Proprietor of the patent</name>
    </assignee>
  </assignees>
  <ep-opposition-external-party external-party-role="opponent">
    ...
  </ep-opposition-external-party>
  <ep-opposition-notice>
    <opposition-filed-against>
      <entire-patent/>
    </opposition-filed-against>
    <grounds-for-opposition>
      <opposition-subject-matter>
        <inventive-step-not-valid/>
      </opposition-subject-matter>
    </grounds-for-opposition>
  </ep-opposition-notice>
  <ep-electronic-files doc-type="2300E">
    <applicant-file-name/>
    <epo-file-name>ep-oppo.pdf</epo-file-name>
  </ep-electronic-files>
  <ep-electronic-files doc-type="FACTS_ARGMTS">
    <applicant-file-name>_10 (1).pdf</applicant-file-name>
    <epo-file-name>FACTS_ARGMTS.pdf</epo-file-name>
  </ep-electronic-files>
  ...
  <ep-financial-data curr="EUR">
    ...
  </ep-financial-data>
  ...
</ep-xmit-opposition-data>
```

```
</ep-financial-data>
</ep-xmit-opposition-data>
```

The details for the child elements of **<ep-xmit-opposition-data>**, their relevant attributes and how they are mapped to the different form fields and tabs (e.g., the list of involved parties and their contact information in the **<ep-opposition-external-party>** element, filled out via the **Parties** tab in the EP2300 form) will be described in subsequent section in this form’s chapter.

7.2 Document codes and file types for EP2300

The receiving server at the EPO requires the values listed in the table below for importing the application (leading document) and the attachments for an EP Opposition procedure.

In the **package-data.xml** file:

- **Document code** to be filled into **<document-name>** child-element of **<other-doc>** element
- **EPO file name** for **file** attribute of **<other-doc>** element

In the **ep-opposition-data.xml** file:

- **Document code** for **doc-type** attribute of **<ep-electronic-files>** element
- **EPO file name** to be filled into **<epo-file-name>** element



You cannot attach a combination of both public and non-public documents to Form EP2300. If you attach non-public documents in the same form, you cannot submit a request by selecting one of the options in the **Request** tab or select a fee. Please use separate forms for public and non-public submissions to the EPO.

Document code	EPO file name *)	Description
PACKDATAXML	package-data.xml	Receipt in XML format
REXML	xmit-receipt.xml	Package
REQUESTXML	ep-opposition-data.xml	Package
Leading Document		
2300E	ep-oppo.pdf	Notice of opposition to a European patent
ORALLETT	ep-oppo.pdf	Submission in opposition proceedings made following summons to oral proceedings

OPPOLETT	ep-oppo.pdf	Submission in opposition proceedings
----------	-------------	--------------------------------------

Document code	EPO file name *)	Description
TIPA1	ep-oppo.pdf	Observations by third parties (Art. 115 EPC)
REQXML	ep-opposition-data.xml	XML file of data elements
Main attachments		
FACTS_ARGMTS	OPPO.pdf	Facts and arguments
OBSO3	OBSO3.pdf	Reply of the patent proprietor to the notice(s) of opposition
OPEX4	OPEX4.pdf	Reply to the communication concerning admissibility of an opposition
OREX3	OREX3.pdf	Reply to an examination report in opposition proceedings
DOBS3	DOBS3.pdf	Reply from the opponent to submission of proprietor
OPPOANNEX	OTHER-1.pdf	Any annexes (other than citation) to an opposition letter
TDOC	TDOC.pdf TDOC-1.pdf	Observations/Citations filed by a third party
Evidence		
PATENT	Published-Evidence-1.pdf	Patent document
ARTICLE	Published-Evidence-1.pdf	Non-patent literature – article
BOOK	Published-Evidence-1.pdf	Non-patent literature – book
DATABASE	Published-Evidence-1.pdf	Non-patent literature – database
INTERNET	Published-Evidence-1.pdf	Non-patent literature – internet
MODEL	Model-Reference-1.pdf	Cover letter for a non-scannable object
AFFIDAVIT	Affidavit-1.pdf	Affidavit
IMAGE	evidence-image-1.pdf	Image or photo (PDF)
EVDNCE_TRAN	Evidence-Tran-1.pdf	Translation of a citation

EVDNCE_OTHER	Other-evidence-1.pdf	Other evidence
Optional additional files		
1004	SPECAUTH-1.pdf	Specific authorisation
1003	GENAUTH-1.pdf	General authorisation
2936	ADVOFDELIVRY.pdf	Acknowledgement
MAINREQ-O	MAINREQ-1.pdf	Main request in opposition
AUXREQ-O	AUXREQ-1.pdf	Auxiliary request in opposition
CD-FREP	CD-FREP-1.pdf	Document containing information about further representatives
CDAPPR-CHOA	CDAPPR-CHOA-1.pdf	Request for change of address – proprietor
CDAPPR-CHON	CDAPPR-CHON-1.pdf	Request for change of name – proprietor
CDAPPR-CHOR	CDAPPR-CHOR-1.pdf	Request for change of proprietor's representative
CDAPPR-TOR	CDAPPR-TOR-1.pdf	Request for transfer of rights – proprietor
CDOPPO-CHOA	CDOPPO-CHOA-1.pdf	Request for a change of address – opponent
CDOPPO-CHON	CDOPPO-CHON-1.pdf	Request for change of name – opponent
Document code	EPO file name *)	Description
CDOPPO-CHOR	CDOPPO-CHOR-1.pdf	Request for change of opponent's representative
CDOPPO-TOR	CDOPPO-TOR-1.pdf	Request for transfer of rights – opponent
CLMS	CLMS-1.pdf	Claims
CLMSTRAN-DE	CLMSTRAN-DE-1.pdf	German translation of claims
CLMSTRAN-EN	CLMSTRAN-EN-1.pdf	English translation of claims
CLMSTRAN-FR	CLMSTRAN-FR-1.pdf	French translation of claims
CLMS-CLEAN-R82	CLMS-CLEAN-R82.pdf	Clean copy of amended claim(s)
DESC-CLEAN-R82	DESC-CLEAN-R82.pdf	Clean copy of amended description
DRAW-CLEAN-R82	DRAW-CLEAN-R82.pdf	Clean copy of amended drawing(s)

PRIO	PRIO-1.pdf	Document concerning the priority claims
PRIOTRAN	PRIOTRAN-1.pdf	Translation of priority document
RDEC	RDEC-1.pdf	Request for a decision
REES	REES-1.pdf	Request for re-establishment of rights
REESGROUNDS	REESGROUNDS-1.pdf	Grounds for re-establishment of rights
TIMEEXTREQ	TIMEEXTREQ.pdf	Substantiation of the request for time extension
Non-public documents		
ANNEX-NP	ANNEX-NP-1.pdf	Non-public annex
FICO	FICO-1.pdf	Request for certified copies of the application
FISP	FISP-1.pdf	Request for inspection of the file
MEDA	MEDA-1.pdf	Medical certificate

Other document codes PDF related		
ADVOFDELIVRY	ADVOFDELIVRY-1.pdf	Advice of delivery
FEESHEETINT	feesheetint.pdf	Annex
FEESHEETPDF	Fees.pdf	Document concerning the payment of fees
OTHERPDF	OTHER-1.pdf	Annex
RECPDF	receipt.pdf	(Electronic) Receipt

Other document codes ZIP related		
OLF-ARCHIVE	OLF-ARCHIVE.zip	Preconversion OLF archive

Graphic files		
OTHERTIF	<filename>.tif	Other
SIGNIMGTIF	<Request>-signature-1.tif	Unexpected/undefined document

SIGNIMGJPG	<Request>-signature-1.jpg	Unexpected/undefined document
------------	---------------------------	-------------------------------

*) If there is more than one file of this type of document, the character **1** in the file names must be replaced by **2, 3** etc.

7.3 EP2300 – General information

Both the basic data on the patent opposed and the scope/grounds of the opposition request is entered in the **General information** tab.

The data concerning the **references to the opposed application/patent** is structured in the following top-level elements under **<ep-xmit-opposition-data>** in *ep-opposition-data.xml* as follows:

- The user's file reference is imported from the **<file-reference-id>** element. E.g.:

```
<file-reference-id>2300_Example</file-reference-id>
```

- The referred patent and application's information is imported from the contents of XML elements **<publication-reference>** and **<application-reference>** (respectively). Each of these sections consists of a single **<document-id>** XML element containing a single attribute lang indicating the application's procedural language with a 2-letter code (i.e., "en", "de", "fr") and the following set of sub-elements:
 - **<country>**: Country/region code of the application/patent. For EP2300 filings, this should always be "EP".
 - **<doc-number>**: ID number of the referred EP patent/application.
 - **<date>**: Date of mention of the grant. Should be the same for both **<publication-reference>** and **<application-reference>**.

Additional sub-elements may be present (i.e., **<kind>** and **<name>**), although their values are not required for EP2300 submissions and thus can be left empty (since their values will be ignored).

Example:

```
<publication-reference>
  <document-id lang="en">
    <country>EP</country>
    <doc-number>EP3062148</doc-number>
    <kind/>
    <name/>
    <date>20231101</date>
  </document-id>
</publication-reference>
<application-reference>
```

```

<document-id lang="en">
  <country>EP</country>
  <doc-number>EP16155428.2</doc-number>
  <kind/>
  <name/>
  <date>20231101</date>
</document-id>
</application-reference>

```

- Following `<application-reference>`, section `<gazette-reference>` should be present with the structure shown in the example below, providing the date of mention of grant (if included in the submission) in the same way as done in the previously described reference elements:

```

<gazette-reference>
  <gazette-num/>
  <date>20231101</date>
</gazette-reference>

```

- The name of the invention corresponding to the opposed patent is imported from the value of XML element `<invention-title>`. E.g.:

```

<invention-title>DEVICE WITH AN ADAPTIVE CAMERA ARRAY</invention-title>

```

- The name of the proprietor of the opposed patent is imported from the contents of the `<assignees>` element, which should be present with the structure shown in the example below:

```

<assignees>
  <assignee>
    <name>Salvatore Manzoni</name>
  </assignee>
</assignees>

```

The data regarding the scope and grounds of the opposition procedure is imported from the contents of XML element `<ep-opposition-notice>`. The table below lists the required sub-elements in `<document-id>` and their expected values/formats:

XML Element	Description and sub-elements
<code><opposition-filed-against></code>	<p>Provides the <u>scope</u> of the opposition request. It contains a single child element, which will be different depending on the applicable option from the list below:</p> <ul style="list-style-type: none"> Opposition filed against the patent as a whole: indicated by an empty <code><entire-patent/></code> sub-element.

	<ul style="list-style-type: none"> ▪ Opposition filed against specific claims: indicated by a <code><claim-num></code> sub-element containing the number(s) of the opposed claims. E.g.: <code><claim-num>1, 3</claim-num></code>
<code><grounds-for-opposition></code>	<p>Provides the data corresponding to the grounds of the opposition request. This element can contain one or more child elements depending on the applicable option(s) from the list below:</p> <ul style="list-style-type: none"> ▪ The subject-matter of the patent opposed is not patentable (Art. 100(a) EPC). This is indicated by the presence of XML element <code><opposition-subject-matter></code>, containing in turn one or more of the following sub-elements depending on the reason(s): <ul style="list-style-type: none"> ○ <code><novelty-not-valid/></code>: Empty element indicating that the patent is not new (<i>Articles 52(1), 54 EPC</i>). ○ <code><inventive-step-not-valid/></code>: Empty element indicating that the patent does not involve an inventive step (<i>Articles 52(1), 56 EPC</i>). ○ <code><not-valid-other-grounds></code>: Element indicating that patentability is excluded on other grounds. This element must include a <code><article-num></code> child element providing the number(s) of the cited EPC article(s). ▪ The patent opposed does not disclose the invention in a manner sufficiently clear and complete (<i>Art. 100(b) EPC, Art .83 EPC</i>). Indicated by an empty <code><opposition-clarity/></code> element. ▪ The subject-matter of the patent opposed extends beyond the content of the application (<i>Art. 100(c) EPC, Art.123(2) EPC</i>). Indicated by an empty <code><opposition-subject-matter-extension/></code> element. <p>Below is an example of element <code><grounds-for-opposition></code> corresponding to an opposition filed on all the aforementioned grounds:</p> <pre> <grounds-for-opposition> <opposition-subject-matter> <novelty-not-valid/> <inventive-step-not-valid/> <not-valid-other-grounds> <article-num>52(1)</article-num> </not-valid-other-grounds> </opposition-subject-matter> <opposition-clarity/> <opposition-subject-matter-extension/> </grounds-for-opposition> </pre>
<code><ep-submission-requests></code>	<p>This element is optional and may be present if the EP2300 submission is to include any requests related to the opposition process (corresponding to the options available in the Requests tab of the form,</p>

	<p>e.g., “Request for taking of evidence by hearing of a witness”). Otherwise, this element can be omitted.</p> <p>Please see EP2300 – Requests in this guide for more details.</p>
--	---

i Note that XML element **<grounds-for-opposition>** is **mandatory** and must be present in *ep-opposition-data.xml* before the EP2300 submission can be imported.

Below is a basic example showing the elements listed above populated with the data filled out in the **General information** tab for an EP2300 form:

```
<?xml version="1.1" encoding="UTF-8"?>
<!DOCTYPE ep-xmit-opposition-data
  SYSTEM "ep-xmit-opposition-data-v1.5.dtd">
<ep-xmit-opposition-data dtd-version="1.1" lang="en" date-produced="20231122 17:23:54">
  <file-reference-id>2300_Example</file-reference-id>
  <publication-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP3062148</doc-number>
      <kind/>
      <name/>
      <date>20231101</date>
    </document-id>
  </publication-reference>
  <application-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP16155428.2</doc-number>
      <kind/>
      <name/>
      <date>20231101</date>
    </document-id>
  </application-reference>
  <gazette-reference>
    <gazette-num/>
    <date>20231101</date>
  </gazette-reference>
  <invention-title>DEVICE WITH AN ADAPTIVE CAMERA ARRAY</invention-title>
  <assignees>
    <assignee>
      <name>Proprietor of the patent</name>
    </assignee>
  </assignees>
  <ep-opposition-external-party external-party-role="opponent">
    ...
  </ep-opposition-external-party>
  <ep-opposition-notice>
    <opposition-filed-against>
      <entire-patent/>
    </opposition-filed-against>
    <grounds-for-opposition>
      <opposition-subject-matter>
        <inventive-step-not-valid/>
      </opposition-subject-matter>
    </grounds-for-opposition>
  </ep-opposition-notice>
  ...
</ep-xmit-opposition-data>
```

7.3.1 Example: Notice of opposition or intervention

The example shows the grounds for the notice of opposition issued by the opponents. An extra example illustrates the opposition filed against specific claims of the patent, issued by an intervener.

XML ep-opposition-data.xml, opposition filed against the patent as a whole



Figure 238: XML data: grounds for opposition

Opposition filed against specific claims



Figure 239: XML data: opposition is filed against the claims specified

Element list

- (1) Opposition is filed against the entire patent
- (2) The subject-matter of the patent opposed is not patentable (Art. 100(a) EPC)
- (3) Not new (Art. 52(1), 54 EPC)
- (4) No incentive step (Art. 52(1), 56 EPC)
- (5) Other grounds
- (6) Not sufficiently clear (Art. 100(b) EPC, see Art. 83 EPC)
- (7) Extends beyond the content of the application (Art. 100(c) EPC, see Art. 123(2) EPC)
- (8) Opposition is filed against claims No.

7.4 EP2300 – Parties

The **Parties** tab of Form EP2300 accommodates all data for names, persons and addresses relating to the submission:

- *Opponents*
- *Interveners*
- *Representatives*
- *Witnesses*

An EP2300 form submission must identify at least either one opponent or one intervener. Note however that opponents and interveners are **mutually exclusive**, depending on the role of the party filing the EP2300 submission.

The role of the identified party (opponent/intervener) is imported from attribute **external-party-role** in XML element `<ep-opposition-external-party>` in the *ep-opposition-data.xml* file, which can take value **"opponent"** or **"intervener"**.

Unlike other forms in OLF2.0 such as EP1001 where the information for all parties is contained in the same top-level element (named `<parties>`), the data regarding parties for EP2300 is split into different sections in the *ep-opposition-data.xml.xml* file depending on the type:

- The data for both opponents/interveners and representatives is contained in the `<ep-opposition-external-party>` element, separated as follows:
 - Sub-section `<ep-external-party-participants>` holds the data for the **opponents/interveners**, each one represented by an individual `<ep-opposition-external-party>` child element.
 - Sub-section `<ep-agents>` holds the data for the **representatives**, each one be represented by an individual `<ep-agent>` child element.
- The data on the **witnesses**, however, is contained in the `<ep-opposition-notice>` element, which can include one or more `<opposition-expert-witness>` child elements (one per named witness).

Below is a simplified excerpt from *ep-opposition-data.xml* which shows the general structure for the party data in a EP2300 submission that includes an **opponent**, a **representative** and a **witness**, each one referred in their respective XML parent element as previously described:

```

<ep-opposition-external-party external-party-role="opponent">
  <ep-external-party-participants>
    <ep-external-party-participant sequence="1">
      ...
    </ep-external-party-participant>
    ...
  </ep-external-party-participants>
  <ep-agents>
    <ep-agent rep-type="agent" sequence="1">
      ...
    </ep-agent>
  </ep-agents>

```

```

</ep-opposition-external-party>
<ep-opposition-notice>
  <opposition-expert-witness>
    ...
  </opposition-expert-witness>
</ep-opposition-notice>
...

```

The specific structure and format for each type of party will be covered in detail in the subsequent chapters.

7.4.1 Opponents/Interveners

Information regarding identified opponents/interveners is imported from the **<ep-opposition-external-party>** element in the *ep-opposition-data.xml* file. This element must contain:

- Attribute **external-party-role** with a fixed value of **"opponent"** or **"intervener"**, depending on the applicable role.
- A single **<ep-external-party-participants>** child element containing the list of opponents/interveners (as described in detail after the basic example provided below).

```

<ep-opposition-external-party external-party-role="opponent">
  <ep-external-party-participants>
    <ep-external-party-participant sequence="1">
      ...
    </ep-external-party-participant>
    ...
  </ep-external-party-participants>
</ep-opposition-external-party>

```

Inside **<ep-external-party-participants>**, a **<ep-external-party-participant>** element must appear per each named opponent/intervener, containing:

- A **sequence** attribute indicating the number of the party in the list of identified opponents/interveners (**"1"** for the first, **"2"** for the second and so on).
- A single **<addressbook>** sub-element with the **name and address details**. This element should **always be present** (required).
- If a specific country of **nationality** is to be specified, a **<nationality>** sub-element should also be present. This will contain a single **<country>** child element with the 2-letter country code (e.g.: **"IT"** for Italy).
- Similarly, if a specific country of **residence** is to be specified, a **<residence>** sub-element should also be present, with the same internal structure as the above.

The example below shows the basic structure for the **<ep-opposition-external-party>** section in a request that only includes a single **opponent** specifying *Italy* (IT) as both their nationality and residence country:

```

<ep-opposition-external-party external-party-role="opponent">
  <ep-external-party-participants>
    <ep-external-party-participant sequence="1">
      <addressbook lang="en">
        ...
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
    </ep-external-party-participant>
  </ep-external-party-participants>
</ep-opposition-external-party>

```

The **<addressbook>** element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: `<addressbook lang="en">`

The structure of the **<addressbook>** element is specific to the person type (e.g., legal or natural) of the opponent/intervener:

Party type	XML Elements in <addressbook>
Opponent, legal person Intervener, legal person	<pre> <name name-type="legal"> <registered-number/> <address> <address-2> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
Opponent, natural person Intervener, natural person	<pre> <last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>

Below is an example showing the general structure of a **<ep-opposition-external-party>** element in *ep-opposition-data.xml* containing two **<ep-external-party-participant>** entries for two interveners: a natural person and a legal one:

```

<ep-opposition-external-party external-party-role="intervener">
  <ep-external-party-participants>

```



```

<ep-external-party-participant sequence="1">
  <addressbook lang="en">
    <last-name>Manzoni</last-name>
    <first-name>Salvatore</first-name>
    <orgname>Borghese S.A.</orgname>
    <department>Invenzioni</department>
    <address>
      <pobox/>
      <street>Via Roma 8 / Piazza del Duomo</street>
      <city>Milano</city>
      <state/>
      <postcode>20100</postcode>
      <country>IT</country>
    </address>
    <phone>+39 2 5056 10</phone>
    <email>manzoni@borghese.it</email>
  </addressbook>
  <nationality>
    <country>IT</country>
  </nationality>
  <residence>
    <country>IT</country>
  </residence>
</ep-external-party-participants>
<ep-external-party-participant sequence="2">
  <addressbook lang="en">
    <name name-type="legal">Legal Intervener's Name</name>
    <address>
      <pobox/>
      <street>Via Roma 8 / Piazza del Duomo</street>
      <city>Milano</city>
      <state/>
      <postcode>20100</postcode>
      <country>IT</country>
    </address>
    <phone>+39 2 5056 10</phone>
    <email>manzoni@borghese.it</email>
  </addressbook>
</ep-external-party-participant>
</ep-external-party-participants>
</ep-opposition-external-party>

```

7.4.2 Representatives

Information regarding identified representatives is imported from the **<ep-opposition-external-party>** element in the *ep-opposition-data.xml* file. In addition to the attributes and elements previously described for **Opponents/Interveners**, this element may also contain a single **<ep-agents>** child element containing the list of representatives:

```

<ep-opposition-external-party external-party-role="opponent">
  <ep-external-party-participants>
    ...
  </ep-external-party-participants>
  <ep-agents>
    <ep-agent sequence="1">
      ...
    </ep-agent>
    ...
  </ep-agents>
</ep-opposition-external-party>

```

Inside **<ep-agents>**, a **<ep-agent>** element must appear per each named opponent/intervener, containing:

- A **rep-type** attribute indicating the specific type of representative number with one of the following possible values:
 - **“common-representative”**: association.
 - **“agent”**: individual.
 - **“attorney”**: legal practitioners.
- A **sequence** attribute indicating the number of the party in the list of identified representatives (**“1”** for the first representative in the list, **“2”** for the second and so on).
- If the representative is of type **“Association”** (**rep-type=“common-representative”**), an **ep-association-number** attribute must be present indicating the association’s **registration number** with EPO.
- A single **<addressbook>** sub-element with the **name and address details**. This element should **always be present** (required).
- If the representative is providing a **general authorisation**, an additional **<ep-authorisation>** sub-element should also be present. This will either be an empty element (if the authorisation is **attached** to the submission) or an element containing a single **<ep-authorisation-number>** child element providing the authorisation number, if said authorisation has **already been registered** by the EPO. E.g.:

```

<ep-authorisations>
  <ep-authorisation-number>12345</ep-authorisation-number>
</ep-authorisations>
```

The example below shows the basic structure for the **<ep-agents>** section in a request that only includes a single **representative** of type **“Individual”** with a general authorisation referring to an already registered authorisation:

```


<ep-opposition-external-party external-party-role="opponent">
  <ep-agents>
    <ep-agent rep-type="agent" sequence="1">
      <addressbook lang="en">
        ...
      </addressbook>
      <ep-authorisations>
        <ep-authorisation-number>12345</ep-authorisation-number>
      </ep-authorisations>
    </ep-agent>
  </ep-agents>
</ep-opposition-external-party>
```

The **<addressbook>** element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: **<addressbook lang="en">**

The structure of the **<addressbook>** element is specific to the person type (e.g., legal or natural) of the opponent/intervener:

Party type	XML Elements in <addressbook>
Professional representative, association	<pre> <last-name> (*) <department> <registered-number> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
Professional representative, individual Legal practitioner	<pre> <last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>

 (*) For representatives of sub-type *association* (i.e., with attribute `rep-type="common-representative"`), the value of the `<last-name>` element corresponds to the **Organisation name** of the association acting as representative.

Below is an example showing the general structure of a `<ep-agents>` element in *ep-opposition-data.xml* containing a `<ep-agent>` entry for a representative of type association with a general authorisation referred by no.:

```

<ep-opposition-external-party external-party-role="opponent">
  <ep-external-party-participants>
    ...
  </ep-external-party-participants>
  <ep-agents>
    <ep-agent rep-type="common-representative" sequence="1">
      <addressbook lang="en">
        <last-name>IP Partners</last-name>
        <first-name/>
        <orgname>European Patents</orgname>
        <registered-number>0.0</registered-number>
        <address>
          <pobox>5088</pobox>
          <street>Cambridge Science Park
100 Red Lion Square</street>
          <city>Cambridge</city>
          <state>Cambridgeshire</state>
          <postcode>CB2 1AB</postcode>
          <country>GB</country>
        </address>
        <phone>+44 1223 3516-0</phone>
        <email>office@ip-partners.co.uk</email>
      </addressbook>
    </ep-agent>
  </ep-agents>
</ep-opposition-external-party>

```

```

    <ep-authorisations>
      <ep-authorisation-number>12345</ep-authorisation-number>
    </ep-authorisations>
  </ep-agent>
</ep-agents>
</ep-opposition-external-party>

```

7.4.3 Witnesses

Information for named witnesses is imported from the **<ep-opposition-notice>** element, which can include one or more **<opposition-expert-witness>** child elements (one per named witness):

```

<ep-opposition-external-party external-party-role="opponent">
  ...
</ep-opposition-external-party>
<ep-opposition-notice>
  <opposition-expert-witness>
    ...
  </opposition-expert-witness>
</ep-opposition-notice>
...

```

Each **<opposition-expert-witness>** child element in **<ep-opposition-notice>** must contain a single **<addressbook>** sub-element with the **name and address details**. This **<addressbook>** element will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: **<addressbook lang="en">**

The **<addressbook>** element should contain the following child elements:

Party type	XML Elements in <addressbook>
Witness, natural person	<pre> <last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>

Below is an example showing the general structure of a **<ep-opposition-external-party>** element in *ep-opposition-data.xml* containing two **<ep-external-party-participant>** entries for two interveners: a natural person and a legal one:

```

<ep-opposition-external-party external-party-role="opponent">
  ...
</ep-opposition-external-party>
<ep-opposition-notice>

```

```

<opposition-expert-witness>
  <addressbook lang="en">
    <last-name>Manzoni</last-name>
    <first-name>Salvatore</first-name>
    <orgname>Borghese S.A.</orgname>
    <department>Invenzioni</department>
    <address>
      <pobox/>
      <street>Via Roma 8 / Piazza del Duomo</street>
      <city>Milano</city>
      <state/>
      <postcode>20100</postcode>
      <country>IT</country>
    </address>
    <phone>+39 2 5056 10</phone>
    <email>manzoni@borghese.it</email>
  </addressbook>
</opposition-expert-witness>
</ep-opposition-notice>

```

7.4.4 Example: Opposition by multiple opponents, first-named opponent represented by employee, separate address for correspondence

The example shows the data for three opponents, the first opponent being a legal person and represented by an employee. In addition, there is a separate address for correspondence connected with the first-named opponent.

XML ep-opposition-data.xml, multiple opponents

```

</assignees>
<ep-opposition-external-party external-party-role="opponent">
  <ep-external-party-participants> 1
    <ep-external-party-participant sequence="1"> 2
      <addressbook lang="en">
        <name name-type="legal">Micro York</name> 3
        <registered-number/>
        <address>
          <address-2>Patents</address-2> 4
          <pobox/> 7
          <street>38, Fullerton St.</street> 6
          <city>York</city> 9
          <state>Yorkshire</state> 10
          <postcode>YO1 9QN</postcode> 8
          <country>GB</country> 5
        </address>
        <phone>+44 1904 660345</phone> 11
        <email>info@micro-york.co.uk</email> 12
      </addressbook>
      <nationality/>
      <residence>
        <country>GB</country> 13
      </residence>
    </ep-external-party-participant>
    <ep-external-party-participant sequence="2"> 14
    <ep-external-party-participant sequence="3"> 15
  </ep-external-party-participants>
  <correspondence-address> 16
    <ep-agents>
      <ep-agent rep-type="employee" sequence="1"> 17
        <addressbook lang="en">
          <prefix/> 20
          <last-name>Scott</last-name> 18
          <first-name>Jessica</first-name> 19
          <address>
            <postcode/>
            <country/>
          </address>
        </addressbook>
        <ep-authorisations>
          <ep-authorisation-number>13.90876</ep-authorisation-number> 21
        </ep-authorisations>
      </ep-agent>
    </ep-agents>
  </ep-opposition-external-party>
</ep-opposition-notice>

```

Figure 243: XML data for multiple opponents, represented by employee

[...]

```

1 <ep-opposition-external-party external-party-role="opponent">
  <ep-external-party-participants>
    2 <ep-external-party-participant sequence="1">
      <ep-external-party-participant sequence="2"> 14
    15 <ep-external-party-participant sequence="3">
    </ep-external-party-participants>
  16 <correspondence-address>
    <addressbook lang="en">
      <name>Micro York</name> 3
      <address>
        24 <pobox>8900</pobox>
          <street>5, Forest Road</street> 23
          <city>York</city> 26
          27 <state>Yorkshire</state>
          <postcode>YO2 9QT</postcode> 25
          22 <country>GB</country>
        </address>
      </addressbook>
    </correspondence-address>
  <ep-agents>

```

Figure 244: XML data for address for correspondence connected with the first-named applicant

Element list

All names are contained in the **<ep-opposition-external-party>** element. The **external-party-role** attribute indicates the persons' role, i.e. the value is **opponents** in this example.

The **<registered-number>** element is not required in the XML import file.

- (1) Role of the external party is opponent
- (2) Opponent 1
- (3) Company name, legal person
- (4) Department
- (5) Country
- (6) Address
- (7) P.O. box number
- (8) Postal code
- (9) City
- (10) County (for addresses in GB)
- (11) Telephone
- (12) E-mail
- (13) Principal place of business
- (14) Opponent 2
- (15) Opponent 3
- (16) Address for correspondence is address of opponent 1
- (17) Opponent 1 represented by an employee – value of **sequence** attribute must match that of (2)
- (18) Last name of employee
- (19) First name of employee
- (20) Title of employee (**deprecated field – value is ignored if present**)

- (21) Number of General Authorisation registered with the EPO
- (22) Address for correspondence: country of opponent 1
- (23) Address for correspondence: street and number of opponent 1
- (24) Address for correspondence: P.O. box of opponent 1
- (25) Address for correspondence: postal code of opponent 1
- (26) Address for correspondence: city of opponent 1
- (27) Address for correspondence: county of opponent 1 (for addresses in GB)

7.5 EP2300 – Requests

The options available in the **Requests** tab of form EP2300 allows users to, optionally, file for one or more of the following additional requests related to the opposition process in the submission:

- **Oral proceedings:**
 - Request for oral proceedings
 - Request for interpreting
- **Other requests:**
 - Request for taking of evidence by hearing of a witness
 - Request for accelerated processing of opposition
 - Other request(s)

The information regarding requests in EP2300 is imported from XML element **<ep-opposition-notice>** in *ep-opposition-data.xml*, specifically from its child element **<ep-submission-requests>** (if present). The latter may contain one or more <ep-submission-request> elements corresponding to each of the admissible request types as described in the table below:

Request type	<ep-submission-request> Attributes	<ep-submission-request> Child elements
<i>Request for oral proceedings</i>	<code>request-type="oral-proceedings"</code> When requesting an auxiliary oral proceeding as well, the following attribute must also be present: <code>auxiliary-request="yes"</code>	N/A
<i>Request for interpreting</i>	<code>request-type="interpretation-oral-proceedings"</code>	Must contain a <interpretation-oral-proceedings> element specifying the language in which the OP will be carried out (listening) and the language to be spoken by the interpreter (speaking). E.g.: <code><interpretation-oral-proceedings lang-speaking="fr" lang-listening="en"/></code>
<i>Request for taking of evidence by hearing of a witness</i>	<code>request-type="hearing-of-witness"</code>	N/A

Request for accelerated processing of opposition	<code>request-type="acceleration-proceedings"</code>	Must contain a <code><ep-submission-request-comment></code> element with a <code><p></code> free text providing the reason for the request for accelerated processing. E.g.: <code><ep-submission-request-comment></code> <code><p num="0001">Pending infringement proceedings in a national court.</p></code> <code></ep-submission-request-comment></code>
Other request(s)	<code>request-type="other"</code>	Must contain a <code><ep-submission-request-comment></code> element with a <code><p></code> free text providing the request being made. E.g.: <code><ep-submission-request-comment></code> <code><p num="0001">We request access for file inspection.</p></code> <code></ep-submission-request-comment></code>



A request for the taking of evidence by the hearing of a witness must always be indicated if one or more witnesses have been nominated in the **Parties** tab.

The following snippet shows a basic example of element `<ep-opposition-notice>`, corresponding to an EP2300 submission that includes a `<ep-submission-requests>` section containing an individual request per each of the 5 request types previously listed:

```
<ep-opposition-notice>
...
  <ep-submission-requests>
    <ep-submission-request request-type="oral-proceedings" auxiliary-request="yes"/>
    <ep-submission-request request-type="interpretation-oral-proceedings">
      <interpretation-oral-proceedings lang-speaking="fr" lang-listening="en"/>
    </ep-submission-request>
    <ep-submission-request request-type="hearing-of-witness"/>
    <ep-submission-request request-type="acceleration-proceedings">
      <ep-submission-request-comment>
        <p num="0001">Reason for accelerated processing</p>
      </ep-submission-request-comment>
    </ep-submission-request>
    <ep-submission-request request-type="other">
      <ep-submission-request-comment>
        <p num="0001">Other request</p>
      </ep-submission-request-comment>
    </ep-submission-request>
  </ep-submission-requests>
</ep-opposition-notice>
```

The following example illustrates most of the possible combinations.

7.5.1 Example: Opponents request for oral proceedings

In addition, this example shows the filing of more requests by the opponents: request for oral proceedings with “auxiliary” option, request for interpreting, request for accelerated processing and another individual request.

The same options are also available for the interveners in case of notice of intervention.

XML ep-opposition-data.xml

```

26  <assignees>
31  <ep-opposition-external-party external-party-role="opponent">
32  <ep-external-party-participants>
33  <ep-external-party-participant sequence="1">
56  <ep-external-party-participant sequence="2">
79  <ep-external-party-participant sequence="3">
105 </ep-external-party-participants>
106 <correspondence-address>
119 </ep-opposition-external-party>
120 <ep-opposition-notice>
121 <opposition-expert-witness>
140 <opposition-filed-against>
143 <grounds-for-opposition>
149 <ep-submission-requests>
150 <ep-submission-request request-type="oral-proceedings" auxiliary-request="yes"/>
151 <ep-submission-request request-type="interpretation-oral-proceedings">
152 <interpretation-oral-proceedings lang-speaking="fr" lang-listening="fr"/>
153 </ep-submission-request>
154 <ep-submission-request request-type="hearing-of-witness"/>
155 <ep-submission-request request-type="acceleration-proceedings">
156 <ep-submission-request-comment>
157 <p num="0001">Pending infringement proceedings in a national court</p>
158 </ep-submission-request-comment>
159 </ep-submission-request>
160 <ep-submission-request request-type="other">
161 <ep-submission-request-comment>
162 <p num="0001">We request access for file inspection.</p>
163 </ep-submission-request-comment>
164 </ep-submission-request>
165 </ep-submission-requests>
166 </ep-opposition-notice>

```

Figure 259: XML data: Requests by opponent

Element list

- (1) Request for oral proceedings
- (2) Auxiliary request
- (3) Request for interpreting
- (4) Listening language
- (5) Speaking language
- (6) Request for the taking of evidence by the hearing of a witness
- (7) Request for accelerated processing
- (8) Reason for the request for accelerated processing
- (9) Reason No. 1 - more paragraphs can be added and enumerated consecutively

- (10) Other requests
- (11) Comment for the other request
- (12) Other request No. 1 - more paragraphs can be added and enumerated consecutively
- (13) Notice of opposition selected
- (14) Opponents listed


7.6 EP2300 – Documents

Various documents may be attached to the EP2300 form in the **Documents** tab. As a basic principle, the choices depend on the kind of communication selected (notice of opposition or intervention) and the persons listed. See the complete list in chapter: [Document codes and file types for EP2300](#)

Please note that certain documents may not be attached at the same time (i.e., they are mutually exclusive). In general, only PDF documents are allowed.

Documents for EP2300 submissions are grouped into the following two main categories (as presented in the **Documents** tab on the OLF2.0 GUI):

- **Evidences:** refers to published articles/books/etc. that are cited as evidences supporting the request for opposition.
- **Other documents:** refers to any other attached documents that are not supplied as evidences, including the mandatory **Facts and Arguments** document for opposition.

 Any EP2300 submission must provide, at the very least, an attached copy of the **Facts and Arguments** document (*FACTS_ARGMTS*) from the aforementioned “Other documents” category.

In addition to the PDF/XML documents for the EP2300 request itself (*2300E* and *REQXML*), an **<other-doc>** entry must be included in section **<other-documents>** in *package-data.xml* for each individually attached document, as explained in [5.1.1 References from XML files to other files](#). See the example snippet below from an *package-data.xml* file corresponding to a EP2300 submission including the mandatory facts and arguments document (of category “Other documents”) and multiple “Evidence” documents: affidavit, published patent and published article:

```
<other-documents>
  <other-doc file="ep-oppo.pdf" file-type="pdf">
    <document-name>2300E</document-name>
    <dtext/>
  </other-doc>
  <other-doc file="ep-opposition-data.xml" file-type="xml">
    <document-name>REQXML</document-name>
    <dtext/>
  </other-doc>
  <other-doc file="FACTS_ARGMTS.pdf" file-type="pdf">
    <document-name>FACTS_ARGMTS</document-name>
    <dtext/>
  </other-doc>
```

```

<other-doc file="Affidavit-1.pdf" file-type="pdf">
  <document-name>AFFIDAVIT</document-name>
  <dtext/>
</other-doc>
<other-doc file="Published-Evidence-Patent-1.pdf" file-type="pdf">
  <document-name>PATENT</document-name>
  <dtext/>
</other-doc>
<other-doc file="Published-Evidence-Article-1.pdf" file-type="pdf">
  <document-name>ARTICLE</document-name>
  <dtext/>
</other-doc>
</other-documents>

```

7.6.1 Evidences

Details for each attached evidence document must be provided through a **<ep-opposition-evidence>** element in *ep-opposition-data.xml*. The internal structure of this element will be different depending on the type of evidence provided, as described below.

Published evidences:

- *Article*
- *Book extract*
- *Database*
- *Internet publication*
- *Patent*

It is important to provide accurate data for the evidences, following the system also used for scientific bibliographies. The number of evidences is unlimited. Each evidence, **<patcit>** for patent literature or **<nplcit>** for non-patent literature, is enclosed in an **<ep-opposition-evidence>** element and is numbered consecutively.

The details for evidence documents corresponding to any of the types listed above must be provided in a child element **<nplcit>** inside **<ep-opposition-evidence>**, with the exception of "Patent", which uses a **<patcit>** child element instead. Both the **<nplcit>** and **<patcit>** elements must include the following XML attributes:

- **num**: attribute with blank value "" (unused).
- **file**: indicates the EPO standard file name corresponding to the attached document's type (see the table below).

The table below describes the structure of the **<ep-opposition-evidence>** element for each type of published evidence document that can be attached in a EP2300 submission. Note that elements highlighted in **yellow** represent required fields that must always contain a value:

Evidence type	EPO file name (*)	<ep-opposition-evidence> XML Structure Example

<i>Article</i>	Published-Evidence-Article-1.pdf	<pre> <nplcit num="" file="Published-Evidence-Article-1.pdf"> <article> <author> <last-name>Smith</last-name> <first-name>John</first-name> </author> <atl/> <serial> <sertitle>Name of periodical/magazine/journal</sertitle> <pubdate>20220315</pubdate> (***) <vid>Volume number</vid> <issn>ISBN 978-0-545-01022-1</issn> </serial> <artid>Article number</artid> </article> <rel-passagen> <text/>Passage of particular relevance (page, column, line, fig.)</text> </rel-passagen> </nplcit> </pre>
<i>Book extract</i>	Published-Evidence-Book-1.pdf	<pre> <nplcit num="" file="Published-Evidence-Book-1.pdf"> <book> <author> (**) </author> <book-title>Evidence Book Title</book-title> <edition/> <imprint> <address> <text>Place of publication</text> </address> <name>Publisher name</name> <pubdate>20220315</pubdate> (***) </imprint> <isbn>ISBN 978-0-545-01022-1</isbn> </book> <rel-passagen> <text/>Passage of particular relevance (page, column, line, fig.)</text> </rel-passagen> </nplcit> </pre>
<i>Database</i>	Published-Evidence-Database-1.pdf	<pre> <nplcit num="" file="Published-Evidence-Database-1.pdf"> <online> <author> (**) </author> <online-title>Title of database</online-title> <hosttitle>Host/database name</hosttitle> <pubdate>20220315</pubdate> <hostno>Host/DB accession number</hostno> <absno>Abst/Accession No.</absno> <avail/>Owner/service/URL</avail> <srchdate> <date/>20201012</date> </srchdate> </online> </nplcit> </pre>
<i>Internet publication</i>	Published-Evidence-Internet-1.pdf	<pre> <nplcit num="" file="Published-Evidence-Internet-1.pdf"> <online> <author> <last-name>Smith</last-name> <first-name>John</first-name> </author> <online-title>Publication Title</online-title> </pre>

		<pre> <pubdate>20220315</pubdate> <avail>https://url-of-publication.com</avail> <datecit> <date>20220315</date> </datecit> </online> <rel-passage> <text>Passage of particular relevance (page, column, line, fig.)</text> </rel-passage> </nplcit> </pre>
Patent	Published-Evidence-Patent-1.pdf	<pre> <patcit num="" file="Published-Evidence-Patent-1.pdf"> <document-id lang="en"> <country>EP</country> <doc-number>EP20202020.2</doc-number> <kind>A</kind> <date>20220315</date> </document-id> <rel-passage> <text>Passage of particular relevance (page, column, line, fig.)</text> </rel-passage> </patcit> </pre>

(*) If there is more than one file of this type of document, the character **1** in the file names must be replaced by **2, 3** etc.

(**) The element `<author>`, corresponding to the name of the author of the publication, can refer to either a legal person (i.e., **company name**) or a natural person's **first and last name**, which must be indicated as shown in the examples below:

Author as company name	Author as natural person
<pre> <author> <orgname>Company Inc.</orgname> </author> </pre>	<pre> <author> <last-name>Smith</last-name> <first-name>John</first-name> </author> </pre>

(***) In the case of **books and articles**, the element `<pubdate>`, corresponding to the publication date of a published evidence (e.g., book), can be supplied as a full date in **YYYYmmDD** format (e.g.: 20220315), a year and a month (**YYYYmm**, e.g.: 202401) or just a year (**YYYY**, e.g.: 2024).

Other evidence files:

The options for attaching files under **Evidence - other** are the same for all categories of persons and communication:

- Affidavit
- Image or photo (PDF)
- Model reference
- Other evidence
- Translation of evidence

For any of the above, an **<opposition-evidence-other-file>** child element should appear inside the corresponding **<ep-opposition-evidence>** element. The aforementioned must include a single **<doc-page>** XML element with the following attributes:

- **file**: indicates the EPO standard file name corresponding to the attached document's type (see the table below).
- **wi**: attribute with blank value "" (unused).
- **he**: attribute with blank value "" (unused).
- **Type**: type of attached file (should always be "pdf").

The example below illustrates the structure of an **<ep-opposition-evidence>** element in *ep-opposition-data.xml* referencing an attached **affidavit** evidence document:

```

<ep-opposition-evidence party-reference="A01">
  <opposition-evidence-other-file>
    <doc-page file="Affidavit-1.pdf" wi="" he="" type="pdf"/>
  </opposition-evidence-other-file>
</ep-opposition-evidence>
```

Please see [Example: Evidences of other types](#) for a more comprehensive example containing multiple types of evidence documents named in this category.

Content in colour:

If you wish to indicate that any of the pieces of evidence contain content in colour (i.e., content that is not black and white), this must be done via free text inserted in an **annotation to EPO**. Please see section [EP2300 – Annotations](#) in this guide for further details regarding the XML structure to be used.

7.6.2 Example: Evidence – Published patent

XML ep-opposition-data.xml, data for patent publication

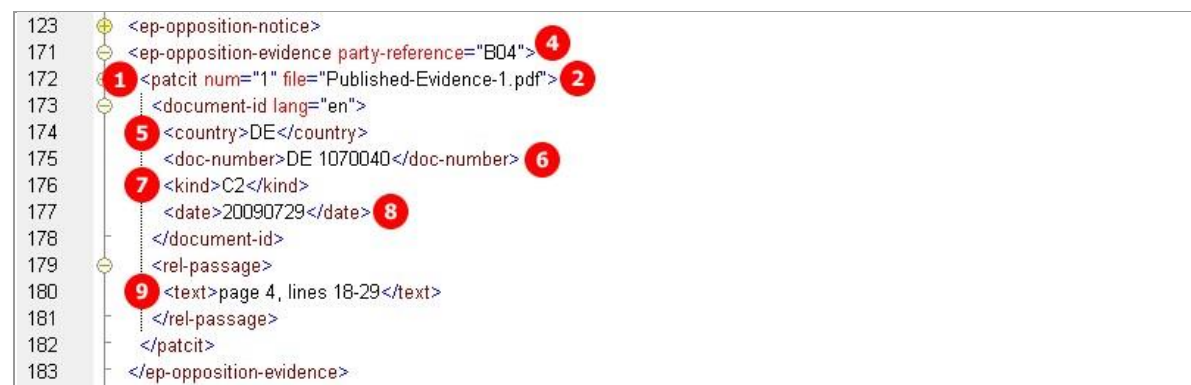


Figure 285: XML data for citation of a patent

Element list

- (1) Citation type **Patent**
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) Patent office (country)
- (6) Publication number
- (7) Publication kind
- (8) Publication date
- (9) Passages of particular relevance

7.6.3 Example: Evidence – Published article**XML ep-opposition-data.xml, data for article publication**

184	<ep-opposition-evidence party-reference="B01">	4
185	<nplcit num="2" file="Published-Evidence-2.pdf">	2
186	<article>	1
187	<author>	
188	<last-name>Foster</last-name>	5
189	<first-name>Joseph</first-name>	6
190	<suffix>et al.</suffix>	7
191	</author>	
192	<atl>Process of humidification of surfaces using powdered water</atl>	8
193	<serial>	
194	<sertitle>Nanotechnology - Progress in surface treatments</sertitle>	9
195	<pubdate>20080819</pubdate>	12
196	<vid>3</vid>	10
197	<issn>977-3-1234-5678-3</issn>	13
198	</serial>	
199	<artid>15</artid>	11
200	</article>	
201	<rel-passage>	
202	<text>page 35, fig. 5</text>	14
203	</rel-passage>	
204	</nplcit>	
205	</ep-opposition-evidence>	

Figure 288: XML data for citation of an article

Element list

- (1) Citation type **Article** (non-patent literature)
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) Author's last name
- (6) Author's first name
- (7) Author's suffix
- (8) Article title

- (9) Periodical name
- (10) Volume number
- (11) Article number
- (12) Publication date
- (13) ISBN number
- (14) Passages of particular relevance

7.6.4 Example: Evidence – Published books

XML ep-opposition-data.xml, data for book publication

206	<ep-opposition-evidence party-reference="B06">	4
207	<nplcit num="3" file="Published-Evidence-3.pdf">	2 3
208	<book>	1
209	<author>	
210	<last-name>Kensington</last-name>	5
211	<first-name>Harold</first-name>	6
212	</author>	
213	<book-title>Best Practices of Modern Surface Coating Technology</book-title>	7
214	<edition>3rd</edition>	12
215	<imprint>	
216	<address>	
217	<text>Singapore</text>	10
218	</address>	
219	<name>Blackwater House Publishers</name>	9
220	<pubdate>2009</pubdate>	8
221	</imprint>	
222	<isbn>978-2-4321-8765-3</isbn>	11
223	</book>	
224	<rel-passage>	
225	<text>pages 345-356</text>	13
226	</rel-passage>	
227	</nplcit>	
228	</ep-opposition-evidence>	

Figure 291: XML data for citation of a book

Element list

- (1) Citation type **Book** (non-patent literature)
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) Author's last name
- (6) Author's first name
- (7) Book title
- (8) Publication date / year
- (9) Publisher
- (10) Place of publication
- (11) ISBN number
- (12) Edition number

(13) Passages of particular relevance**7.6.5 Example: Evidence – Published database****XML ep-opposition-data.xml, data for database publication**

```

228 | </ep-opposition-evidence>
229 | <ep-opposition-evidence party-reference="B07"> 4
230 | <nplcit num="4" file="Published-Evidence-4.pdf"> 2
231 | <online> 1
232 | <author>
233 | 5 <orgname>Institute of Polymer Research</orgname>
234 | </author>
235 | 6 <online-title>Research Database of the Institute of Polymer Research</online-title>
236 | <hosttitle>Polymer Database</hosttitle> 7
237 | 8 <pubdate>20091029</pubdate>
238 | <hostno>2345.9090</hostno> 9
239 | 10 <absno>345</absno>
240 | <avail>http://www.polymer.org/research/database.php</avail> 11
241 | <srchdate>
242 | 12 <date>20100504</date>
243 | </srchdate>
244 | </online>
245 | </nplcit>
246 | </ep-opposition-evidence>

```

Figure 294: XML data for citation of database

Element list

- (1)** Citation type **Database** (non-patent literature)
- (2)** EPO file name
- (3)** Original file name
- (4)** Applicant's reference
- (5)** Name of publishing organisation
- (6)** Title of database
- (7)** Host / database name
- (8)** Publication date
- (9)** Host / database accession number
- (10)** Abstract / accession number
- (11)** Owner / service / url
- (12)** Date of search

7.6.6 Example: Evidence – Online publication (internet)**XML ep-opposition-data.xml, data for Internet publication**

```

247 | <ep-opposition-evidence party-reference="B02"> 4
248 | <nplcit num="5" file="Published-Evidence-5.pdf">
249 | 1 <online> 2
250 | <author>
251 | 9 <last-name>Foster</last-name>
252 | <first-name>Joseph</first-name> 10
253 | </author>
254 | 6 <online-title>World of molecules - Novelty water powder successfully tested for surface coating</online-title>
255 | <pubdate>20090901</pubdate> 7
256 | 5 <avail>www.nanotechnology.info/publish/articles/091123WaterPowder.html</avail>
257 | <datecit>
258 | 8 <date>20100406</date>
259 | </datecit>
260 | </online>
261 | <rel-passage>
262 | 11 <text>lines 245-280</text>
263 | </rel-passage>
264 | </nplcit>
265 | </ep-opposition-evidence>

```

Figure 297: XML data for citation of Internet publication

Element list

- (1) Citation type **Internet** (non-patent literature)
- (2) EPO file name
- (3) Original file name
- (4) Applicant's reference
- (5) URL of Internet publication
- (6) Title of Internet publication
- (7) Publication date
- (8) Retrieval date
- (9) Author's last name
- (10) Author's first name
- (11) Passages of particular relevance

7.6.7 Example: Evidences of other types

The options for attaching files under **Evidence - other** are the same for all categories of persons and communication:

- *Affidavit*
- *Image or photo (PDF)*
- *Model reference*
- *Other evidence*
- *Translation of evidence*

The example shows an opponent filing other evidences.

XML package-data.xml:

```

<package-data dtd-version="1.0" produced-by="applicant" lang="en">
  <transmittal-info>
  <signatories>
  <application-request file="ep-opposition-data.xml"/>
  <other-documents>
    <other-doc file="ep-oppo.pdf" file-type="pdf">
      <document-name>2300E</document-name>
      <dtext/>
    </other-doc>
    <other-doc file="ep-opposition-data.xml" file-type="xml">
      <document-name>REQXML</document-name>
      <dtext/>
    </other-doc>
    <other-doc file="Affidavit-1.pdf" file-type="pdf">
      1 <document-name>AFFIDAVIT</document-name>
      <dtext/>
    </other-doc>
    <other-doc file="Other-evidence-1.pdf" file-type="pdf">
      7 <document-name>EVDNCE_OTHER</document-name>
      <dtext/>
    </other-doc>
    <other-doc file="Evidence-Tran-1.pdf" file-type="pdf">
      10 <document-name>EVDNCE_TRAN</document-name>
      <dtext/>
    </other-doc>
    <other-doc file="Model-Reference-1.pdf" file-type="pdf">
      5 <document-name>MODEL</document-name>
      <dtext/>
    </other-doc>
    <other-doc file="Evidence-image-1.pdf" file-type="pdf">
      3 <document-name>IMAGE</document-name>
      <dtext/>
    </other-doc>
  </other-documents>
</package-data>

```

XML ep-opposition-data.xml:

```

</ep-opposition-notice>
<ep-opposition-evidence party-reference="D06">
  <opposition-evidence-other-file>
    <doc-page file="Evidence-image-1.pdf" wi="" he="" type="pdf"/> 4
  </opposition-evidence-other-file>
</ep-opposition-evidence>
<ep-opposition-evidence party-reference="D04">
  <opposition-evidence-other-file>
    <doc-page file="Model-Reference-1.pdf" wi="" he="" type="pdf"/> 6
  </opposition-evidence-other-file>
</ep-opposition-evidence>
<ep-opposition-evidence party-reference="D08">
  <opposition-evidence-other-file>
    <doc-page file="Evidence-Tran-1.pdf" wi="" he="" type="pdf"/> 11
  </opposition-evidence-other-file>
</ep-opposition-evidence>
<ep-opposition-evidence party-reference="D07">
  <opposition-evidence-other-file>
    <doc-page file="Affidavit-1.pdf" wi="" he="" type="pdf"/> 2
  </opposition-evidence-other-file>
</ep-opposition-evidence>
<ep-opposition-evidence party-reference="D12">
  8 <opposition-evidence-title>Draft of a research paper by the Institute of Polymers</opposition-evidence-title>
  <opposition-evidence-other-file>
    <doc-page file="Other-evidence-1.pdf" wi="" he="" type="pdf"/> 9
  </opposition-evidence-other-file>
</ep-opposition-evidence>
<ep-electronic-files doc-type="2300E">
  <applicant-file-name/>
  <epo-file-name>ep-oppo.pdf</epo-file-name>
</ep-electronic-files>

```

Figure 301: XML data for other evidence: details and file references

Element list

- (1) Document type ***Affidavit***
- (2) EPO file name
- (3) Document type ***Image or Photo***
- (4) EPO file name
- (5) Document type ***Model reference***
- (6) EPO file name
- (7) Document type ***Other evidence***
- (8) Description of other evidence
- (9) EPO file name
- (10) Document type ***Translation of evidence***
- (11) EPO file name

7.6.8 Other documents

The ***Other documents (not supplied as evidence)*** panel in the ***Documents*** tab in OLF2.0 allow for attached any other EP2300-related documents besides the ones handled in the ***Evidence*** panel, i.e.:

- Acknowledgment of receipt
- Authorisation
- Clean copy of amended claim(s)
- Clean copy of amended description
- Clean copy of amended drawing(s)
- Document concerning representation
- Document concerning the priority claim
- English/French/German translation of the claims
- General authorisation
- Ground for re-establishment of rights
- Main request document
- Medical certificate
- Non-public annex
- Other document
- Reply to an examination report in opposition proceedings
- Reply to notices(s) of opposition
- Request for a decision
- Request for certified copies of the application
- Request for change of address
- Request for change of name
- Request for change of representative
- Request for extension of time limit
- Request for inspection of the file
- Request for re-establishment of rights

- Request for transfer of rights
- Separate auxiliary request document

For each document of this category attached with the submission, an **<ep-electronic-files>** element inside section **<office-specific-data>** must be present in *ep-opposition-data.xml*. An **<ep-electronic-files>** element must always contain the following attribute:

- **doc-type**: standard EPO code identifying the document type. Please see section [Document codes and file types for EP2300](#) for a full reference list.

The table below list the child elements in each **<ep-electronic-files>** entry:

XML Element	Description, attributes and sub-elements
<code><applicant-file-name></code>	Name of the file as originally uploaded by the applicant during the submission in OLF2.0. E.g.: <code><applicant-file-name>facts_document.pdf</applicant -file-name></code> Note that, for the EP2300 request document itself (doc-type="2300E") <u>this element should always be empty.</u>
<code><epo-file-name></code>	Standard EPO file name corresponding to the type of provided document (please see section Document codes and file types for EP2300 for a full list). E.g.: <code><epo-file-name>FACTS_ARGMTS.pdf</epo-file-name></code>

The example below shows the basic structure of an *ep-opposition-data.xml* file containing the minimum **<ep-electronic-files>** elements corresponding to the request form itself and the mandatory facts and arguments document that must be filed in each EP2300 request:

```
<ep-xmit-opposition-data dtd-version="1.1" lang="en" date-produced="20231122 17:23:54">
  <file-reference-id>2300 Example</file-reference-id>
  <publication-reference>
    ...
  </publication-reference>
  <application-reference>
    ...
  </application-reference>
  <gazette-reference>
    ...
  </gazette-reference>
  <invention-title>DEVICE WITH AN ADAPTIVE CAMERA ARRAY</invention-title>
  <assignees>
    ...
  </assignees>
  <ep-opposition-external-party external-party-role="opponent">
    ...
  </ep-opposition-external-party>
  <ep-opposition-notice>
    ...
  </ep-opposition-notice>
  <ep-electronic-files doc-type="2300E">
    <applicant-file-name/>
    <ep-file-name>ep-oppo.pdf</ep-file-name>
  </ep-electronic-files>
</ep-xmit-opposition-data>
```

```

</ep-electronic-files>
<ep-electronic-files doc-type="FACTS_ARGMTS">
  <applicant-file-name>_10 (1).pdf</applicant-file-name>
  <epo-file-name>FACTS_ARGMTS.pdf</epo-file-name>
</ep-electronic-files>
...
<ep-financial-data curr="EUR">
...
</ep-financial-data>
</ep-xmit-opposition-data>

```

7.6.9 Example: Opponents file other documents for opposition

The example shows the attachment of the mandatory *facts and arguments* and of a document containing information about further representatives, issued by the opponent (or intervener) in 1st communication.

The options for *other documents* are:

- *General authorisation*
- *Specific authorisation*
- *Document containing information on further representatives*
- *Request for change of address*
- *Request for change of name*
- *Request for change of representative*
- *Request for transfer of rights*
- *<other document>*

XML ep-opposition-data.xml

Like in other electronic EP filing procedures, the attached documents are referenced both in the XML request file (**ep-opposition-data.xml**) and in the **package-data.xml** file. There is no **application-body.xml** file.


```

8 <file-reference-id>Oppo_1st_oppon</file-reference-id>
9 <publication-reference>
15 <application-reference>
21 <gazette-reference>
25 <invention-title>Instant Water</invention-title>
26 <assignees>
31 <ep-opposition-external-party external-party-role="opponent">
123 <ep-opposition-notice>
171 <ep-opposition-evidence party-reference="B04">
184 <ep-opposition-evidence party-reference="B01">
206 <ep-opposition-evidence party-reference="B06">
229 <ep-opposition-evidence party-reference="B07">
247 <ep-opposition-evidence party-reference="B02">
266 8 <ep-electronic-files doc-type="2300E">
267 <applicant-file-name/>
268 9 <epo-file-name>ep-oppo.pdf</epo-file-name>
269 </ep-electronic-files>
270 1 <ep-electronic-files doc-type="FACTS_ARGMTS">
271 <applicant-file-name>Micro York Opposition Instant Water.pdf</applicant-file-name> 5
272 2 <epo-file-name>OPPO.pdf</epo-file-name>
273 </ep-electronic-files>
274 3 <ep-electronic-files doc-type="CD-FREP">
275 <applicant-file-name>Micro York Representative Info.pdf</applicant-file-name> 7
276 4 <epo-file-name>CD-FREP-1.pdf</epo-file-name>
277 </ep-electronic-files>
278 <ep-financial-data curr="EUR">
335 </ep-xmit-opposition-data>

```

Figure 271: Documents data in XML file

XML package-data.xml

```

1 <?xml version="1.0" encoding="UTF-8"?>
2 <DOCTYPE package-data SYSTEM "package-data.dtd">
3 <package-data lang="en" dtd-version="1.0" produced-by="applicant">
4 <transmittal-info>
11 <signatories>
21 <application-request file="ep-opposition-data.xml"/>
22 <other-documents>
23 <other-doc file="ep-oppo.pdf" file-type="pdf"> 9
24 8 <document-name>2300E</document-name>
25 <dtext/>
26 </other-doc>
27 <other-doc file="ep-opposition-data.xml" file-type="xml"> 11
28 10 <document-name>REQXML</document-name>
29 <dtext/>
30 </other-doc>
31 <other-doc file="OPPO.pdf" file-type="pdf"> 2
32 1 <document-name>FACTS_ARGMTS</document-name>
33 <dtext>Facts_and_Arguments_in_Opposition</dtext>
34 </other-doc>
35 <other-doc file="CD-FREP-1.pdf" file-type="pdf"> 4
36 3 <document-name>CD-FREP</document-name>
37 <dtext>Document containing information about further representatives</dtext>
38 </other-doc>
39 <other-doc file="Published-Evidence-1.pdf" file-type="pdf">
43 <other-doc file="Published-Evidence-2.pdf" file-type="pdf">
47 <other-doc file="Published-Evidence-3.pdf" file-type="pdf">
51 <other-doc file="Published-Evidence-4.pdf" file-type="pdf">
55 <other-doc file="Published-Evidence-5.pdf" file-type="pdf">
59 </other-documents>
60 </package-data>

```

Figure 272: References to attached files in package-data.xml


Element list


- (1)** Document type ***Facts and Arguments***
- (2)** EPO file name for Facts and Arguments
- (3)** EPO file name for information on further representatives
- (4)** Document type ***Document concerning information on further representatives***
- (5)** Original file name of Facts and Arguments
- (6)** Number of pages (does not appear in XML file or in PDF form)
- (7)** Original file name of document concerning information on further representatives
- (8)** Document type ***Notice of opposition***, Form 2300E
- (9)** EPO file name for notice of opposition
- (10)** Document type XML for notice of opposition
- (11)** EPO file name for notice of opposition

7.7 EP2300 – Fees

In EP2300, only **fee 010, 017** and **018** are available for opponents and interveners.

The reduction and the fee amount can be modified in the GUI. For the data in the XML file, however, this is not significant, because the **<fee-sub-amount>**, **<fee-factor>** and **<fee-schedule>** elements just have to be filled using the appropriate values.

 The **<fee-schedule>** element is used for the (calculated) fee amount and the **<fee-sub-amount>** element contains the fee schedule (for one single fee).

 You can retrieve the most recent fee schedule from the EPO website under interactive schedule of fees (<https://my.epoline.org/epoline-portal/classic/epoline.Scheduleoffees>).

The global information about fee payment is imported from section **<ep-financial-data>** inside **<ep-xmit-opposition-data>**. This root **<ep-financial-data>** element must contain the following attributes:

- **curr**: currency for fee payment. This is always **“EUR”** by default.

The root **<ep-financial-data>** XML element should be followed by the following child elements:

XML Element	Description, attributes and sub-elements
<mode-of-payment>	Element containing the details of the chosen mode of fee payment. Please refer to section EP1200 – Fees / Payment details for more details and examples.
<reimbursement>	<i>(only present when providing refund instructions)</i> Element with a single attribute accno , containing the <i>date of fee schedule validity</i> (in yyyyMMdd format), and the full name of the account holder as value. E.g.: <code><reimbursement accno="28123456">John Smith</reimbursement></code>
<sr-refund>	<i>(only when providing refund instructions)</i> when requesting refund of search fee ((Article 9(2) RFees)), this element should be present and contain the application number to which the search report corresponds. E.g.: <code><sr-refund>John Smith</sr-refund></code>
<add-copies>	<i>(only when providing refund instructions)</i> element indicating the no. of additional copies of the documents cited in the EP search report.

<fees>	<p>This section must be always present. The <fees> element must include a single attribute date, containing the <i>date of fee schedule validity</i> (in yyyyMMdd format) plus the following sub-elements:</p> <ul style="list-style-type: none"> ▪ <standard-fee>: contains a set of <fee> elements, each one indicating the details of one of the applicable standard fees for EP3002. This section must be always present. Please refer to section EP2300 - Fees / Standard fees for details. ▪ <fee-total-amount>: element containing a numeric value indicating the total amount to be paid for all selected fees and in the selected currency. E.g.: <fee-total-amount>2842.5</fee-total-amount>
--------	---

Below is a basic example showing the general structure of element <ep-financial-data> in *ep-opposition-data.xml* and the top-level sub-elements in it:

```
<ep-xmit-opposition-data dtd-version="1.1" lang="en" date-produced="20231122 16:23:52">
...
  </ep-electronic-files>
  <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
    <mode-of-payment accno="28555555"
      mode-type="deposit"
      currency="EUR"
      deferred-execution-date="20231130">Account holder</mode-of-payment>
    <fees date="20231114">
      <standard-fee>
        <fee index="10" topay="yes">
          <type-of-fee>standard</type-of-fee>
          <fee-factor>0.7</fee-factor>
          <fee-schedule>94.50</fee-schedule>
          <fee-sub-amount>135.00</fee-sub-amount>
          <fee-reduction-factor>0.30</fee-reduction-factor>
        </fee>
        ...
      </standard-fee>
      <fee-total-amount>2842.5</fee-total-amount>
    </fees>
  </ep-financial-data>
</ep-xmit-opposition-data>
```

7.7.1 Payment details

Information regarding the payment details is imported from the <mode-of-payment> XML element under <ep-financial-data> in *ep-opposition-data.xml*. This element must contain the following attributes:

- **accno**: when using **mode-type** “deposit” (see below), this must be set to the number of EPO deposit account to be used. E.g.: “28123456”
- **mode-type**: selected mode of payment. Can be one of the following values depending on the chosen option:
 - “deposit”: Debit from deposit account.
 - “bank”: Bank transfer.
 - “ccard”: Credit card.

- **currency**: currency for fee payment. This is always **“EUR”** by default.
- **deferred-execution-date**: when requesting a deferred date of payment execution, this attribute must be present and have said date in yyyyMMdd format as value. This attribute can either be set to an empty value or be omitted if the import file should not specify a deferred execution date.



In addition to the applicable attributes described above, the element should also contain the full name of the **account/card holder** to be used for payment as its value.

Below is a snippet showing the basic structure of element **<mode-of-payment>**:

```

...
</ep-electronic-files>
<ep-financial-data curr="EUR">
  <mode-of-payment accno="28555555"
    mode-type="deposit"
    currency="EUR"
    deferred-execution-date="20231130">Account holder</mode-of-payment>
  <fees date="20231114">
...

```

The example below shows payment details entered by the opponent.

XML ep-opposition-data.xml

```

<ep-electronic-files doc-type="FACTS_ARGMTS">
  <applicant-file-name>Facts and arguments.pdf</applicant-file-name>
  <epo-file-name>FACTS_ARGMTS.pdf</epo-file-name>
</ep-electronic-files>
<ep-financial-data curr="EUR">
  <mode-of-payment accno="28123456"
    mode-type="deposit"
    currency="EUR"
    deferred-execution-date="20240530">Nano Enterprise</mode-of-payment>
  <reimbursement accno="28405060">IP Partners</reimbursement>
  <fees date="20240516">
    <standard-fee>
      <fee index="10" topay="yes">
        <type-of-fee>standard</type-of-fee>
        <fee-factor>1</fee-factor>
        <fee-schedule>880.00</fee-schedule>
        <fee-sub-amount>880.00</fee-sub-amount>
        <fee-reduction-factor/>
      </fee>
    </standard-fee>
    <fee-total-amount>880.0</fee-total-amount>
  </fees>
</ep-financial-data>
</ep-xmit-opposition-data>

```

Figure 303: Fee Payment XML data for payment details




The **deferred-execution-date** attribute in the **<mode-of-payment>** element can either be set to an empty value or be omitted if the import file should not specify a deferred execution date. OLF2.0 sets the attribute as **deferred-execution-date=""** if no date has been entered in the GUI.

Element list

- (1) Mode of payment
- (2) Currency (EUR as default)
- (3) Account number for debit from deposit account
- (4) Account holder's name
- (5) Deferred execution date
- (6) Reimbursement information - if applicable
- (7) Account number for reimbursement
- (8) Account holder's name for reimbursement

7.7.2 Standard fees

Information regarding the applicable EP2300 standard fees is imported from the **<standard-fee>** XML element under **<fees>** in *ep-opposition-data.xml*.

 Note that, if you intend to pay for any of the specific fees applicable to form EP2300 (or want to be able to select/de-select it from the **Fees** tab in the GUI at a later point before filing), a **<fee>** element for it must be present under **<standard-fee>**. Otherwise, the fee will not be selected for payment, and you will not be able to select it on the draft submission using the GUI.

Each **<fee>** element must contain the following attributes:

- **index**: index no. of the corresponding applicable fee, as it appears on the **Fees** tab in OLF2.0. Note that any zeroes on the left should not be included. E.g.: "1" for fee 001, "5e", for fee 005e, "401" ...
- **topay**: yes/no value indicating if the corresponding fee is intended to be paid ("yes") or not ("no").

Each **<fee>** element must contain the following XML child elements:

XML Element	Description, attributes and sub-elements
<type-of-fee>	Indicates the type of fee. This should always have the value " standard ". E.g.: <type-of-fee>standard</type-of-fee>
<fee-factor>	Indicates the factor (from 0 to 1, corresponding to a 0-100% percentage) in which the fee will be paid, according to the specified quantity and applicable reduction factor. I.e., this value should be equal to: <div style="border: 1px dashed black; padding: 5px; margin: 5px 0;">quantity (i.e., number of fees as indicated in GUI) * <fee-reduction-factor> (from 0 to 1)</div> E.g., for a quantity of 2 and a reduction of 30% (0.3), this value should be 1.4 .

	<p>If the fee is not selected for payment (topay="no"), this element can be empty.</p> <p>Note that, when using element <fee-reduction-amount> to apply a fixed reduction (when applicable according to the guidelines), this value should be a negative amount instead of a 0-1 factor. E.g., for a reduction of 100%:</p> <pre><fee-factor>-1460</fee-factor> <fee-sub-amount>1460.00</fee-sub-amount> <fee-reduction-amount>1460</fee-reduction-amount></pre>
<fee-schedule>	<p>Indicates the amount to pay for the total quantity of the specified fee, after applying reductions. I.e., this value should be equal to:</p> <p><fee-sub-amount> * quantity (i.e., number of fees as indicated in GUI) * <fee-reduction-factor> (from 0 to 1)</p> <p>E.g.: 94.50</p>
<fee-sub-amount>	<p>Indicates the base amount for the fee according to the current fee schedule (i.e., not taking reductions into account). E.g.: 135.00</p> <p>If the fee is not selected for payment (topay="no"), this element can be empty.</p>
<fee-reduction-factor>	<p>Indicates the reduction factor (from 0 to 1, corresponding to a 0-100% percentage) for the fee, when applicable. E.g.: 0.30</p> <p>This element can be left empty if the fee is not selected for payment (topay="no") or for a default value of 0.</p>



The **<fee-schedule>** element is used for the (calculated) fee amount and the **<fee-sub-amount>** element contains the fee schedule (for one single fee).

Use the **<fee-reduction-factor>** element to indicate a fee reduction on a fixed or percentage basis. The default value is **0**.

Use the **<fee-reduction-amount>** element to indicate a fee reduction on an amount basis.

Below is a snippet showing the basic structure of element **<standard-fee>** that includes a **<fee>** entry for procedural fee **010** (i.e., *Opposition fee*) applicable to form EP2300:

```
<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  <mode-of-payment accno="28555555"
    mode-type="deposit"
    currency="EUR"
    deferred-execution-date="20231130">Account holder</mode-of-payment>
  <fees date="20231114">
    <standard-fee>
      <fee index="10" topay="yes">
        <type-of-fee>standard</type-of-fee>
        <fee-factor>1</fee-factor>
        <fee-schedule>880.00</fee-schedule>
        <fee-sub-amount>880.00</fee-sub-amount>
        <fee-reduction-factor/>
```


```

    </fee>
  </standard-fee>
  <fee-total-amount>880.0</fee-total-amount>
</fees>

```

7.8 EP2300 – Annotations


At the end of the **<office-specific-data>** section (right after closure of the **<ep-financial-data>** section corresponding to fee payment details), one or more **<ep-notes-to-EPO>** elements can be included, each one containing **Annotations** to send additional information to the EPO. The number of annotations is unlimited.

 If no annotations are to be included in the submission (as they are entirely optional), no **<ep-notes-to-EPO>** elements should be present in the *ep-xmit-opposition-data.xml* file.

The root element for each annotation (**<ep-notes-to-EPO>**) must contain the following attributes:

- **page**: fixed string value **"Annotate"**.
- **id**: a **"note#"** string where **#** is a number representing the order of creation of the current note (i.e.: **note1** for the firstly note created, then **note2**, **note3** and so on).

E.g.: `<ep-notes-to-EPO page="Annotate" id="note1">`

 The **id** **"coloured_content_note"** is special and refers to an annotation automatically added by OLF2.0 when specifying the coloured content (i.e., which documents are not in black & white) in the attached evidence.

The table below lists the child XML elements that must appear under each **<ep-notes-to-EPO>** entry:

XML Element	Description and attributes
<code><author></code>	Full name (first + last name) of the user authoring the annotation.
<code><subject></code>	Subject of the annotation.
<code><date></code>	Date in which the annotation was created, in yyyyMMdd format. Note that this value is not shown in the request PDF for EP2300.
<code><dtext></code>	Text contents of the annotation.

The example below shows how two annotations created by two different users are stored in the *ep-xmit-opposition-data.xml* file:

```

<office-specific-data office="EP" lang="en">
  ...
  <ep-notes-to-EPO page="Annotate" id="note1">
    <author>Salvatore Manzoni</author>
    <subject>Account information</subject>
    <date>20130127</date>
  </ep-notes-to-EPO>

```

```
<dtext>Payment details may be changed at a later date.</dtext>
</ep-notes-to-EPO>
<ep-notes-to-EPO page="Annotate" id="note2">
  <author>Luigi Manzoni</author>
  <subject>Representation</subject>
  <date>20141027</date>
  <dtext>There will be a new representative for Mr. Manzoni starting Jan 1 2015, who will
take over all applications of Salvatore Manzoni and TechInvent S.A. The details and the
authorisation will be filed subsequently.</dtext>
</ep-notes-to-EPO>
</office-specific-data>
</ep-xmit-opposition-data>
```


8 Form EP3002 – EP Appeal procedure

Form EP3002 is used for filing a notice of appeal. An appeal lies from decisions of the Receiving Section, the examining divisions, the opposition divisions and the Legal Division of the EPO.

8.1 XML files for an EP3002 application

The following two XML files are required for an EP3002 application to be imported. Note that unlike in EP1001 and EP1200, there is no *application-body.xml*.

File name	DTD	Description
package-data.xml	package-data.dtd	References attached documents including ep-boa-request.xml file.
ep-boa-request.xml	ep-boa-request-v1-0.dtd	Application data as entered in Form EP3002, references attached documents.

The XML structure of *package-data.xml* is the same as for EP1001 applications - see section: [Form EP1001 - References from XML files to other files](#)

More information on the XML structure of the *ep-boa-request.xml* file can be found below and in subsequent sections in this chapter.

8.1.1 Basic structure of ep-boa-request.xml

The *ep-boa-request.xml* file contains the application data in Form EP3002. Its root element is `<ep-boa-request>`, which contains the following attributes:

XML Attribute	Attribute Description	Example/fixed value
<code>dtd-version</code>	Version of DTD used.	Fixed value: "1.0"
<code>ro</code>	Code for the filing office. For EP3002 filings in OLF2.0, this will always be "EP" for EPO.	Fixed value: "EP".
<code>produced-by</code>		Fixed value: "applicant"
<code>ep-procedural-phase</code>	Indicates the procedural phase of the application. For EP3002, this will always be "Appeal".	Fixed value: "Appeal"
<code>capacity</code>	Capacity in which the filing party is submitting the form.	Fixed value: "Appeal"

lang	Procedural language for the application, indicated by its 2-letter language code (en, fr, de).	Fixed value: "en"
date-produced	Date/time of package generation in "YYYYMMDD hh:mm:ss" format.	E.g.: "20240122 11:19:17"

The table below lists the top-level XML elements under **<ep-boa-request>** and their key attributes:

XML Element	Description and attributes
<invention-title>	Title of the invention in a given EPO language. A EP3002 request may contain up to 3 <invention-title> elements corresponding to each main EPO language (en, fr, de). Note that these elements are optional and not present in the generated PDF document. Attributes: lang: Language code (2-letters) of the provided invention title (en, fr, de).
<file-reference-id>	User's file reference. This is the internal ID name for the 3002 submission, as it will appear on the OLF2.0 GUI for edition/review. Can be any name chosen by the user with the following limitations: <ul style="list-style-type: none"> Up to 25 characters long. No blank spaces. E.g.: <file-reference-id>My_3002_request</file-reference-id>
<publication-reference> <application-reference>	Basic application/patent information for the EP3002 submission, including the corresponding EP application no. and date of grant. See EP3002 – General information for details.
<appeal-case-number>	Contains the number of the existing appeal case related to the submission (if it exists). E.g.: T0498/14-3507 If there is no case no. to refer, the element must be present with an empty template as value. I.e.: "____/____-____" See EP3002 – General information for details.
<impugned-decision>	Impugned decision (<i>Rule 99(1)b EPC</i>).
<ep-submission-requests>	This section contains a set of child elements holding the information about the requests included in the submission (e.g., request for oral proceedings). E.g.: <pre> <ep-submission-requests> <notice-of-appeal>test</notice-of-appeal> <ep-submission-requests> <ep-submission-request request-type="oral-proceedings"/> <ep-submission-request-comment> <p num="0001">test</p> </ep-submission-request-comment> </ep-submission-requests> </pre>

	<p><code></ep-submission-requests></code></p> <p>Please see the following sections for details and additional example cases:</p> <ul style="list-style-type: none"> ▪ EP3002 – General information ▪ EP3002 – Requests
<code><ep-boa-evidence></code>	<p>The <code><ep-boa-request></code> element will contain one or more <code><ep-boa-evidence></code> elements, holding information about each of the attached evidence documents enclosed with the EP3002 submission.</p> <p>Please see EP3002 – Documents for details and example cases.</p>
<code><check-list></code>	<p>Contains a list of children nodes corresponding to the type of document (request, description, claims, other...) . E.g.: <code><cl-other-document></code></p> <p>Each of the aforementioned child elements indicates numeric values related to each of the documents referred to in the submission, such as the total count of pages on it, no. of the first and last pages, etc.</p> <p>Note that this section should always contain, at least, a single empty child element <code><cl-request/></code></p> <p>E.g.:</p> <pre> <check-list> <cl-request/> <cl-other-document>Other document</cl-other-document> </check-list> </pre> <p>Please see EP3002 – Documents for more details and example cases.</p>
<code><office-specific-data></code>	<p>EP3002 request data specific to the filing office (declarations, fees...).</p> <p>Attributes:</p> <ul style="list-style-type: none"> ▪ office: Filing office to which the specific data in the element applies. <u>For EP3002 filed to EPO, this should have a fixed value of "EP".</u> <p>This element will contain the applicable requests, information about the attached documents, the information regarding fees, and (optionally) any enclosed annotations to EPO. Please see the following subchapters for details and example cases:</p> <ul style="list-style-type: none"> • EP3002 – Requests • EP3002 – Documents • EP3002 – Fees • EP3002 – Annotations
<code><parties></code>	<p>List of parties involved in the application (applicants, proprietors, representatives...).</p> <p>This element has no text value nor attributes, and instead contains a set of children elements.</p> <p>Please see EP3002 – Parties for details and example cases.</p>

Below is an example showing the general structure in *ep-boa-request.xml* and the top-level elements listed in the previous table:

```

<?xml version="1.1" encoding="UTF-8"?>
<!DOCTYPE ep-boa-request
  SYSTEM "ep-boa-request-v1-0.dtd">
<ep-boa-request dtd-version="1.0"
  no="EP"
  produced-by="applicant"
  ep-procedural-phase="Appeal"
  lang="en"
  date-produced="">
  <file-reference-id>3002_Example</file-reference-id>
  <publication-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP3062148</doc-number>
      <kind/>
      <name/>
      <date/ >
    </document-id>
  </publication-reference>
  <application-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP16155428.2</doc-number>
      <kind/>
      <name/>
      <date>20231101</date>
    </document-id>
  </application-reference>
  <appeal-case-number>____/____.____<appeal-case-number>
  <impugned-decision>test</impugned-decision>
  <ep-submission-requests>
    ...
  </ep-submission-requests>
  <ep-boa-evidence party-reference="a">
    ...
  </ep-boa-evidence>
  <check-list>
    <cl-request/>
    <cl-other-document>Advice of delivery</cl-other-document>
  </check-list>
  <office-specific-data office="EP">
    ...
  </office-specific-data>
  <parties>
    ...
  </parties>
</ep-boa-request>


```

The details for the child elements of **<ep-boa-request>**, their relevant attributes and how they are mapped to the different form fields and tabs (e.g., the list of involved parties and their contact information in the **<parties>** element, filled out via the **Parties** tab in the EP3002 form) will be described in subsequent section in this form's chapter.

8.2 Document codes and file types for EP3002

The receiving server at the EPO requires the values listed in the table below for importing the application (leading document) and the attachments for an EP Appeals procedure. In the **package-data.xml** file:

- **Document code** to be filled into <document-name> child-element of <other-doc> element
- **EPO file name** for **file** attribute of <other-doc> element In the **ep-boa-request.xml** file:
- **Document code** for **doc-type** attribute of <ep-electronic-files> element
- **EPO file name** to be filled into <epo-file-name> element

 Non-public documents cannot be attached to Form EP3002. These must be submitted subsequently via **EP 1038** for the **Appeals** proceeding instead.

Document code	EPO file name *)	Description
PACKDATAXML	package-data.xml	Receipt in XML format
REXML	ep-boa-request.xml	XML file of data elements
Leading Document		
3002E	Form3002E.pdf	Notice of appeal request

Evidence		
PATENT	Published-Evidence-1.pdf	Patent document
ARTICLE	Published-Evidence-1.pdf	Non-patent literature – article
BOOK	Published-Evidence-1.pdf	Non-patent literature – book
DATABASE	Published-Evidence-1.pdf	Non-patent literature – database
INTERNET	Published-Evidence-1.pdf	Non-patent literature – internet
MODEL	Model-Reference-1.pdf	Cover letter for a non-scannable object
AFFIDAVIT	Affidavit-1.pdf	Affidavit
IMAGE	evidence-image-1.pdf	Image or photo (PDF)

EVDNCE_TRAN	Evidence-Tran-1.pdf	Translation of a citation
EVDNCE_OTHER	Other-evidence-1.pdf	Other evidence

Other document (not filed as evidence)		
Document code	EPO file name *)	Description
3936	ADVOFDELIVRY-1.pdf	Advice of delivery
APPEAL-ANNEX	APPEAL-ANNEX-1	Annexes regarding appeal proceedings
APPEAL-CDOC	APPEAL-CDOC-1	Cited documents during appeal procedure
APPEAL-CNPL	APPEAL-CNPL-1	Non-patent literature cited during the appeal procedure
APPEAL-CP	APPEAL-CP-1	Patent document cited during the appeal procedure
APPEAL-GRDS	APPEAL-GRDS-1	Statement of grounds of appeal
APPEAL-LETT	APPEAL-LETT-1	Letter relating to appeal procedure
APPEAL-ORAL	APPEAL-ORAL-1	Letter dealing with oral proceedings during the appeal procedure
APPEALG-LETT	APPEALG-LETT-1	Letter in referral procedure
APPEALR-ANX	APPEALR-ANX-1	Annexes regarding review procedure
APPEALR-LETT	APPEALR-LETT-1	Letter relating to the review procedure
APPEALWDRA	APPEALWDRA	Withdrawal of an appeal
BOA-INTERVEN	BOA-INTERVEN-1	Intervention of the assumed infringer
BOAOTHER	BOAOTHER-1	Other document
CDAPPR-CHOA	CDAPPR-CHOA-1	Request for change of address
CDAPPR-CHON	CDAPPR-CHON-1	Request for change of name
CDAPPR-CHOR	CDAPPR-CHOR-1	Request for change of representative

CDAPPR-TOR	CDAPPR-TOR-1	Request for transfer of rights
CLMS	CLMS-1	Claims
CLMS-HWA	CLMS-HWA-1	Amended claims with annotations
DESC-HWA	DESC-HWA-1	Amended description with annotations
DRAW	DRAW-1	Drawings
DRAW-HWA	DRAW-HWA-1	Amended drawings with annotations
DRAWNEW	DRAWNEW-1	Missing parts of the drawings
DRAWPAMD	DRAW-1	Amended drawings (clean copy)
DRAWTRAN	DRAWTRAN-1	Translation of text in drawings
FREP	FREP-1	Document concerning representation
INTERP	INTERP-1	Request for interpreters during the oral proceedings
OPPOWDRA	OPPOWDRA-1	Withdrawal of an opposition
ORALWDRA	ORALWDRA-1	Withdrawal of request for oral proceedings
RAAP	RAAP-1	Request for acceleration of the appeal proceedings
REES	REES-1	Request for re-establishment of rights/restitutio in integrum
REQDATOP	REQDATOP-1	Oral proceedings: Request for postponement
RFPR	RFPR-1	Request for further processing
SUSI	SUSI-1	Request for suspension/interruption of procedure
WDRA	WDRA-1	Withdrawal of application

Document code	EPO file name *)	Description
RECPDF	receipt.pdf	(Electronic) Receipt

*) If there is more than one file of this type of document, the character **1** in the file names must be replaced by **2, 3** etc.

8.3 EP3002 – General information

The basic data on the application/patent for which an appeal is being filed in the **General information** tab. It is structured in the following top-level elements under **<ep-boa-request>** in *ep-boa-request.xml*:

- The invention title may be provided (**optional**) in up to three languages using **<invention-title>** elements. E.g.:

```
<invention-title lang="en">INSTANT WATER</invention-title>
<invention-title lang="fr">EAU INSTANTANÉE</invention-title>
<invention-title lang="de">INSTANT-WASSER</invention-title>
```

- The user's file reference is imported from the **<file-reference-id>** element. E.g.:

```
<file-reference-id>3002_Example</file-reference-id>
```

- The referred patent and application's information is imported from the contents of XML elements **<publication-reference>** and **<application-reference>** (respectively). Each of these sections consists of a single **<document-id>** XML element containing a single attribute lang indicating the application's procedural language with a 2-letter code (i.e., "en", "de", "fr") and the following set of sub-elements:
 - **<country>**: Country/region code of the application/patent. For EP3002 filings, this should always be "EP".
 - **<doc-number>**: ID number of the referred EP patent/application.

Additional sub-elements may be present (i.e., **<kind>**, **<name>** and **<date>**), although their values are not required for EP3002 submissions and thus can be left empty (since their values will be ignored).

Example:

```
<publication-reference>
  <document-id lang="en">
    <country>EP</country>
    <doc-number>EP3062148</doc-number>
    <kind/>
    <name/>
    <date/>
  </document-id>
</publication-reference>
<application-reference>
  <document-id lang="en">
    <country>EP</country>
    <doc-number>EP16155428.2</doc-number>
```



```
</document-id>
</application-reference>
```

- The no. of an existing appeal case (if applicable) may be cited in an **<appeal-case-number>** XML element. E.g.:

```
<appeal-case-number>11234/56-7.8.90</appeal-case-number>
```



Note that the **presence of the element is mandatory**. However, if no appeal case no. is to be provided, the element should not be left empty but rather contain an **empty template** for an appeal case number. E.g.:

```
<appeal-case-number>____/____.____.____</appeal-case-number>
```

- A description of the impugned decision (*Rule 99(1)b) EPC*) must be provided in an **<appeal-case-number>** XML element as free text.


Below is a basic example showing the elements listed above populated with the data filled out in the **General information** tab for an EP3002 form:

```
<?xml version="1.1" encoding="UTF-8"?>
<!DOCTYPE ep-boa-request
  SYSTEM "ep-boa-request-v1-0.dtd">
<ep-boa-request dtd-version="1.0"
  no="EP"
  produced-by="applicant"
  ep-procedural-phase="Appeal"
  lang="en"
  date-produced="">
  <file-reference-id>3002 Example</file-reference-id>
  <publication-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP3062148</doc-number>
      <kind/>
      <name/>
      <date/>
    </document-id>
  </publication-reference>
  <application-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP16155428.2</doc-number>
      <kind/>
      <name/>
      <date>20231101</date>
    </document-id>
  </application-reference>
  <appeal-case-number>11234/56-7.8.90</appeal-case-number>
  <impugned-decision>test</impugned-decision>
  ...
</ep-boa-request>
```

8.4 EP3002 – Parties

The **Parties** tab of Form EP3002 accommodates all data for names, persons and addresses relating to the submission:

- *Applicants*
- *Proprietors*
- *Opponents*
- *Interveners*
- *Third parties*
- *Representatives*

 An EP3002 form submission must identify at least one appellant of any of the above party types. Note however that some of them (e.g., applicants and opponents) are **mutually exclusive**.

The **<parties>** element can contain **<applicants>** and **<agents>** elements structured as follows:

- **<applicants>** may contain one or more **<ep-applicant>** element, referring one of the following party types indicated by the value of the element's **app-type** attribute:
 - **Applicant** (**app-type**="applicant")
 - **Proprietor** (**app-type**="proprietor")
 - **Third party** (**app-type**="third-party")
 - **Opponent** (**app-type**="opponent")
 - **Intervener** (**app-type**="intervener")
- **<agents>** may contain one or more **<ep-agent>** element for the **representatives** (if referenced).

The required attributes for each individual **<ep-applicant>** and **<ep-agent>** element are mostly specific to the type of party, as listed in the table below:

XML Element	XML Attribute	Attribute Description	Example/fixed value
<ep-applicant>	sequence	Order no. of the <ep-applicant> entry of the corresponding role (app-type). Always required.	E.g.: "1" for 1 st proprietor, "2" for 2 nd proprietor, etc.
	designation	Fixed value indicating that designated states are as indicated in the submission. Always required.	Fixed value: "as-indicated"
	app-type	Indicates the specific type of party the <applicant> element refers to.	Value must be one of the following: <ul style="list-style-type: none"> ▪ "applicant"

			<ul style="list-style-type: none"> ▪ “proprietor” ▪ “third-party” ▪ “opponent” ▪ “intervener”
<ep-agent>	sequence	Order no. of the representative in the list of representatives. Always required.	E.g.: “1” for 1 st representative
	rep-type	Always required. Indicates sub-type of representative as follows: <ul style="list-style-type: none"> ▪ “common-representative”: association. ▪ “agent”: individual. ▪ “attorney”: legal practitioner. 	E.g.: “common-representative”
	ep-association-number	If rep-type=“common-representative” (association), this attribute is required and must provide its registration no.	E.g.: “125”

Each <ep-applicant> element should contain:

- A single <addressbook> sub-element with the **name and address details**. This element should **always be present** (required).
- If a specific country of **nationality** is to be specified, a <nationality> sub-element should also be present. This will contain a single <country> child element with the 2-letter country code (e.g.: “IT” for Italy).
- Similarly, if a specific country of **residence** is to be specified, a <residence> sub-element should also be present, with the same internal structure as the above.
- Lastly, if the named <ep-applicant> is to be designated as the appellant for the EP3002 request, an empty element <select-as-appellant/> should appear after the above.

The example below shows the basic structure for the <parties> section in a request that only includes a single applicant designated as the appellant, specifying *Italy* (IT) as both their nationality and residence country:

```

<parties>
  <applicants>
    <applicant sequence="1"
              designation="as-indicated"
              app-type="applicant">
      <addressbook lang="en">
        ...
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
      <select-as-appellant/>
    </applicant>
  </applicants>
</parties>

```

```

</applicants>
</parties>

```

Each **<ep-agent>** element should contain:

- A single **<addressbook>** sub-element with the **name and address details**. This element should **always be present** (required).

The example below shows the basic structure for the **<parties>** section in a request that only includes a single representative specifying the named of their represented applicant:

```

<parties>
  <agents>
    <ep-agent sequence="1"
              rep-type="common-representative"
              ep-association-number="123">
      <addressbook lang="en">
        ...
      </addressbook>
      <applicant-name>Salvatore Manzoni</applicant-name>
    </ep-agent>
  </agents>
</parties>

```

The **<addressbook>** element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: **<addressbook lang="en">**

The structure of the **<addressbook>** element is specific to the type of party involved (applicant/representative/inventor) and its sub-type (e.g., legal or natural person, for applicants):

Party element	Sub-type(s)	XML Elements in <addressbook>
<ep-applicant>	Applicant, legal person Proprietor, legal person Third-party, legal person Opponent, legal person Intervener, legal person	<pre> <name name-type="legal"> <registered-number/> <address> <address-2> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
	Applicant, natural person Proprietor, natural person Third-party, natural person Opponent, natural person Intervener, natural person	<pre> <last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> </pre>

		<email>
<ep-agent>	Professional representative, association	<last-name> (*) <department> <registered-number> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email>
	Professional representative, individual Legal practitioner	<last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email>



(*) For representatives of sub-type *association* (i.e., with attribute `rep-type="common-representative"`), the value of the `<last-name>` element corresponds to the **Organisation name** of the association acting as representative.

Below is an example showing the general structure of a `<parties>` element in `ep-sfd-request.xml` containing two `<ep-applicant>` entries for a proprietor (natural person) and an opponent (legal person):

```

<parties>
  <applicants>
    <ep-applicant sequence="1"
      designation="as-indicated"
      app-type="proprietor">
      <addressbook lang="en">
        <last-name>Manzoni</last-name>
        <first-name>Salvatore</first-name>
        <orgname>Borghese S.A.</orgname>
        <department>Invenzioni</department>
        <address>
          <pobox/>
          <street>Via Roma 8 / Piazza del Duomo</street>
          <city>Milano</city>
          <state/>
          <postcode>20100</postcode>
          <country>IT</country>
        </address>
        <phone>+39 2 5056 10</phone>
        <email>manzoni@borghese.it</email>
      </addressbook>
      <nationality>

```

```

    <country>IT</country>
  </nationality>
  <residence>
    <country>IT</country>
  </residence>
</ep-applicant>
<ep-applicant sequence="2"
  designation="as-indicated"
  app-type="opponent">
  <addressbook lang="en">
    <name name-type="legal">Name of opponent</name>
    <address>
      <pobox/>
      <street>Via Roma 8 / Piazza del Duomo</street>
      <city>Milano</city>
      <state/>
      <postcode>20100</postcode>
      <country>IT</country>
    </address>
    <phone>+39 2 5056 10</phone>
    <email>manzoni@borghese.it</email>
  </addressbook>
</ep-applicant>
</applicants>
</parties>

```

8.5 EP3002 – Requests

The options available in the **Requests** tab of form EP3002 allows users to provide the *request defining the subject of the appeal (Notice of appeal)* and, optionally, to file for one or more of the following additional requests related to the opposition process in the submission:

- **Oral proceedings:**
 - Request for oral proceedings
 - Request for interpreting
- **Declaration relating to payment of the appeal fee:**
 - Declaration of the appellant being an entity or a natural person under Rule 6(4) and (5) EPC.
- **Other requests:**
 - Request for taking of evidence by hearing of a witness
 - Request for accelerated processing of opposition
 - Other request(s)

The information regarding requests in EP3002 is imported from XML element **<ep-submission-requests>** in *ep-boa-request.xml*. The latter should contain:

- **Required:** A single child element **<notice-of-appeal>**, defining the subject of the appeal (*Rule 99(1)(c) EPC*) as free text.
- **Optionally:** one or more **<ep-submission-request>** elements corresponding to each of the admissible request types as described in the table below:

Request type	<code><ep-submission-request></code> Attributes	<code><ep-submission-request></code> Child elements
<i>Request for oral proceedings</i>	<code>request-type="oral-proceedings"</code> When requesting an auxiliary oral proceeding as well, the following attribute must also be present: <code>auxiliary-request="yes"</code>	If an auxiliary request is made, the element must contain a <code><ep-submission-request-comment></code> child element with a <code><p></code> free text providing the reason for the request. E.g.: <code><ep-submission-request-comment></code> <code> <p num="0001">(Reason text here)</p></code> <code></ep-submission-request-comment></code>
<i>Request for interpreting</i>	<code>request-type="interpretation-oral-proceedings"</code>	Must contain a <code><interpretation-oral-proceedings></code> element specifying the language in which the OP will be carried out (listening) and the language to be spoken by the interpreter (speaking). E.g.: <code><interpretation-oral-proceedings lang-speaking="fr" lang-listening="en"/></code> Optionally, it may also contain a <code><lang-understood></code> child element listing the languages understood by the requester. E.g.: <code><lang-understood></code> <code> <country>de</country></code> <code> <country>fr</country></code> <code></lang-understood></code>
<i>Declaration of the appellant as entity or natural person under Rule 6(4) and (5) EPC.</i>	<code>request-type="further-declarations"</code>	N/A
<i>Request for taking of evidence by hearing of a witness</i>	<code>request-type="hearing-of-witness"</code>	N/A
<i>Request for acceleration of the appeals proceedings (Article 10(3) RPBA)</i>	<code>request-type="acceleration-proceedings"</code>	Must contain a <code><ep-submission-request-comment></code> element with a <code><p></code> free text providing the reason for the request for accelerated processing. E.g.: <code><ep-submission-request-comment></code> <code> <p num="0001">Pending infringement proceedings in a national court.</p></code> <code></ep-submission-request-comment></code>
<i>Other request(s)</i>	<code>request-type="other"</code>	Must contain a <code><ep-submission-request-comment></code> element with a <code><p></code> free text providing the request being made. E.g.: <code><ep-submission-request-comment></code> <code> <p num="0001">We request access for file inspection.</p></code> <code></ep-submission-request-comment></code>

The following snippet shows a basic example of element **<ep-submission-requests>**, corresponding to an EP3002 submission that includes an individual request per each of the 5 request types previously listed:

```

<ep-submission-requests>
  <notice-of-appeal>(text defining the subject of the appeal)</notice-of-appeal>
  <ep-submission-request request-type="oral-proceedings" auxiliary-request="yes"/>
  <ep-submission-request request-type="interpretation-oral-proceedings">
    <interpretation-oral-proceedings lang-speaking="fr" lang-listening="en"/>
    <lang-understood>
      <country>de</country>
      <country>fr</country>
    </lang-understood>
  </ep-submission-request>
  <ep-submission-request request-type="hearing-of-witness"/>
  <ep-submission-request request-type="acceleration-proceedings">
    <ep-submission-request-comment>
      <p num="0001">Reason for accelerated processing</p>
    </ep-submission-request-comment>
  </ep-submission-request>
  <ep-submission-request request-type="other">
    <ep-submission-request-comment>
      <p num="0001">Other request</p>
    </ep-submission-request-comment>
  </ep-submission-request>
</ep-submission-requests>

```

8.6 EP3002 – Documents

Various documents may be attached to the EP3002 form in the **Documents** tab. See the complete list in chapter: [Document codes and file types for EP3002](#)

Please note that certain documents may not be attached at the same time (i.e., they are mutually exclusive). In general, only PDF documents are allowed.

Documents for EP3002 submissions are grouped into the following two main categories (as presented in the **Documents** tab on the OLF2.0 GUI):

- **Evidences:** refers to published articles/books/etc. that are cited as evidences supporting the request of appeal.
- **Other documents:** refers to any other attached documents that are not supplied as evidences.

In addition to the PDF/XML documents for the EP3002 request itself (*3002E* and *REQXML*), an **<other-doc>** entry must be included in section **<other-documents>** in *package-data.xml* for each individually attached document, as explained in [5.1.1 References from XML files to other files](#). See the example snippet below from an *package-data.xml* file corresponding to a EP3002 submission including the mandatory facts and arguments document (of category “Other documents”) and multiple “Evidence” documents: affidavit, published patent and published article:


```

<other-documents>
  <other-doc file="Form3002E.pdf" file-type="pdf">
    <document-name>3002E</document-name>
    <dtext/>
  </other-doc>
  <other-doc file="ep-boa-request.xml" file-type="xml">
    <document-name>REQXML</document-name>
    <dtext/>
  </other-doc>
  <other-doc file="Affidavit-1.pdf" file-type="pdf">
    <document-name>AFFIDAVIT</document-name>
    <dtext/>
  </other-doc>
  <other-doc file="Published-Evidence-Patent-1.pdf" file-type="pdf">
    <document-name>PATENT</document-name>
    <dtext/>
  </other-doc>
  <other-doc file="Published-Evidence-Article-1.pdf" file-type="pdf">
    <document-name>ARTICLE</document-name>
    <dtext/>
  </other-doc>
</other-documents>

```

8.6.1 Evidences

Details for each attached evidence document must be provided through a `<ep-boa-evidence>` element in *ep-boa-request.xml*.



The internal structure of `<ep-boa-evidence>` is very similar to that of element `<ep-opposition-evidence>` in file *ep-opposition-data.xml*. Please refer to section [EP\(2003\) – Documents](#) in this guide for additional examples.

The internal structure of element `<ep-boa-evidence>` will be different depending on the type of evidence provided, as described below.

Published evidences:

- *Article*
- *Book extract*
- *Database*
- *Internet publication*
- *Patent*

It is important to provide accurate data for the evidences, following the system also used for scientific bibliographies. The number of evidences is unlimited. Each evidence, `<patcit>` for patent literature or `<nplcit>` for non-patent literature, is enclosed in an `<ep-boa-evidence>` element and is numbered consecutively.

The details for evidence documents corresponding to any of the types listed above must be provided in a child element `<nplcit>` inside `<ep-boa-evidence>`, with the exception of “Patent”, which uses

a `<patcit>` child element instead. Both the `<nplcit>` and `<patcit>` elements must include the following XML attributes:

- **num**: attribute with blank value "" (unused).
- **file**: indicates the EPO standard file name corresponding to the attached document's type (see the table below).

The table below describes the structure of the `<ep-boa-evidence>` element for each type of published evidence document that can be attached in a EP3002 submission. Note that elements highlighted in **yellow** represent required fields that must always contain a value:

Evidence type	EPO file name (*)	<ep-opposition-evidence> XML Structure Example
Article	Published-Evidence-Article-1.pdf	<pre> <nplcit num="" file="Published-Evidence-Article-1.pdf"> <article> <author> <last-name>Smith</last-name> <first-name>John</first-name> </author> <atl/> <serial> <sertitle>Name of periodical/magazine/journal</sertitle> <pubdate>20220315</pubdate> (**) <vid>Volume number</vid> <issn>ISBN 978-0-545-01022-1</issn> </serial> <artid>Article number</artid> </article> <rel-passage> <text/>Passage of particular relevance (page, column, line, fig.)</text> </rel-passage> <etal>Other related info</etal> </nplcit> </pre>
Book extract	Published-Evidence-Book-1.pdf	<pre> <nplcit num="" file="Published-Evidence-Book-1.pdf"> <book> <author> (**) </author> <book-title>Evidence Book Title</book-title> <edition/> <imprint> <address> <text/>Place of publication</text> </address> <name>Publisher name</name> <pubdate>20220315</pubdate> (**) </imprint> <isbn>ISBN 978-0-545-01022-1</isbn> </book> <rel-passage> <text/>Passage of particular relevance (page, column, line, fig.)</text> </rel-passage> <etal>Other related info</etal> </nplcit> </pre>

Database	Published-Evidence-Database-1.pdf	<pre> <nplcit num="" file="Published-Evidence-Database-1.pdf"> <online> <author> (**) </author> <online-title>Title of database</online-title> <hosttitle>Host/database name</hosttitle> <pubdate>20220315</pubdate> <hostno>Host/DB accession number</hostno> <absno>Abst/Accession No.</absno> <avail/>Owner/service/URL</avail> <srchdate> <date/>20201012</date> </srchdate> </online> </nplcit> </pre>
Internet publication	Published-Evidence-Internet-1.pdf	<pre> <nplcit num="" file="Published-Evidence-Internet-1.pdf"> <online> <author> <last-name>Smith</last-name> <first-name>John</first-name> </author> <online-title>Publication Title</online-title> <pubdate>20220315</pubdate> <avail>https://url-of-publication.com</avail> <datecit> <date>20220315</date> </datecit> </online> <rel-passage> <text>Passage of particular relevance (page, column, line, fig.)</text> </rel-passage> <etal>Other related info</etal> </nplcit> </pre>
Patent	Published-Evidence-Patent-1.pdf	<pre> <patcit num="" file="Published-Evidence-Patent-1.pdf"> <document-id lang="en"> <country>EP</country> <doc-number>EP20202020.2</doc-number> <kind>A</kind> <date>20220315</date> </document-id> <rel-passage> <text>Passage of particular relevance (page, column, line, fig.)</text> </rel-passage> <author> <company>Company/Organisation</company> <last-name>Smith</last-name> <first-name>John</first-name> <title>Title/Alias</title> <etal>Other related info </etal> </author> </patcit> </pre>

(*) If there is more than one file of this type of document, the character 1 in the file names must be replaced by 2, 3 etc.

(**) The element <author>, corresponding to the name of the author of the publication, can refer to either a legal person (i.e., **company name**) or a natural person's **first and last name**, which must be indicated as shown in the examples below:

Author as company name	Author as natural person
<pre><author> <orgname>Company Inc.</orgname> </author></pre>	<pre><author> <last-name>Smith</last-name> <first-name>John</first-name> </author></pre>

(***) In the case of **books and articles**, the element `<pubdate>`, corresponding to the publication date of a published evidence (e.g., book), can be supplied as a full date in **YYYYmmDD** format (e.g.: 20220315), a year and a month (**YYYYmm**, e.g.: 202401) or just a year (**YYYY**, e.g.: 2024).

Other evidence files:

The options for attaching files under **Evidence - other** are the same for all categories of persons and communication:

- *Affidavit*
- *Image or photo (PDF)*
- *Model reference*
- *Other evidence*
- *Translation of evidence*

For any of the above, an `<boa-evidence-other-file>` child element should appear inside the corresponding `<ep-boa-evidence>` element. The aforementioned must include a single `<doc-page>` XML element with the following attributes:

- **file**: indicates the EPO standard file name corresponding to the attached document's type (see the table below).
- **wi**: attribute with blank value "" (unused).
- **he**: attribute with blank value "" (unused).
- **Type**: type of attached file (should always be "pdf").

The example below illustrates the structure of an `<ep-boa-evidence>` element in *ep-boa-request.xml* referencing an attached **affidavit** evidence document:

```
<ep-boa-evidence party-reference="A01">
  <boa-evidence-other-file>
    <doc-page file="Affidavit-1.pdf" wi="" he="" type="pdf"/>
  </boa-evidence-other-file>
</ep-boa-evidence>
```

8.6.2 Other documents

The **Other documents (not supplied as evidence)** panel in the **Documents** tab in OLF2.0 allow for attached any other EP3002-related documents besides the ones handled in the **Evidence** panel, i.e.:

- *Advice of delivery*

- *Amended claims with annotations*
- *Amended description with annotations*
- *Amended drawings with annotations*
- *Annexes regarding appeal proceedings*
- *Annexes regarding review procedure*
- *Cited documents during appeal proceedings*
- *Claims*
- *Description*
- *Document concerning representation*
- *Drawings*
- *Intervention of the assumed infringer*
- *Letter dealing with oral proceedings during the appeal proceedings*
- *Letter in referral procedure*
- *Letter relating to Appeal proceedings*
- *Letter relating to review procedure*
- *Oral proceedings: Request for postponement*
- *Other document*
- *Patent document cited during appeal proceedings*
- *Request for acceleration of the appeal proceedings*
- *Request for change of address*
- *Request for change of name*
- *Request for change of representative*
- *Request for further processing*
- *Request for interpreters during the oral proceedings*
- *Request for re-establishment of rights*
- *Request for suspension/interruption of the procedure*
- *Request for transfer of rights*
- *Statement of grounds of appeal*
- *Withdrawal of an application*
- *Withdrawal of an opposition*

For each document of this category attached with the submission, an **<ep-electronic-files>** element inside section **<office-specific-data>** must be present in *ep-boa-request.xml*. An **<ep-electronic-files>** element must always contain the following attribute:

- **doc-type**: standard EPO code identifying the document type. Please see section [Document codes and file types for EP3002](#) for a full reference list.

The table below list the child elements in each **<ep-electronic-files>** entry:

XML Element	Description, attributes and sub-elements
<applicant-file-name>	Name of the file as originally uploaded by the applicant during the submission in OLF2.0. E.g.: <applicant-file-name>facts_document.pdf</applicant -file-name>

<code><epo-file-name></code>	Standard EPO file name corresponding to the type of provided document (please see section Document codes and file types for EP3002 for a full list). E.g.: <code><epo-file-name>FACTS_ARGMTS.pdf</epo-file-name></code>
------------------------------------	--

Section `<check-list>` in *ep-boa-request.xml* must contain a child node for each document of this type filed in the submission. The table below list the possible child elements in that can figure in the `<check-list>` section depending on the provided documents and their expected contents:

XML Element	Document type	Value and/or Attributes
<code><cl-request></code>	EP3002 request.	This element should always be empty .
<code><cl-other-document></code>	Any other filed document.	No attributes . Value should be the full name of the provided document. E.g.: <i>“Translation of the patent”</i>

The example snippet below shows the basic structure of an *ep-boa-request.xml* file containing multiple `<ep-electronic-files>` elements (and their corresponding entries under `<check-list>`) for three different non-evidence documents filed in an EP3002 request:

```

<ep-boa-request dtd-version="1.0"
  no="EP"
  produced-by="applicant"
  ep-procedural-phase="Appeal"
  lang="en"
  date-produced="">
  <file-reference-id>3002 Example</file-reference-id>
  <publication-reference>
  ...
  </publication-reference>
  <application-reference>
  ...
  </application-reference>
  <appeal-case-number>11234/56-7.8.90</appeal-case-number>
  <impugned-decision>test</impugned-decision>
  <ep-submission-requests>
  ...
  </ep-submission-requests>
  <ep-boa-evidence party-reference="a">
  ...
  </ep-boa-evidence>
  <check-list>
    <cl-request/>
    <cl-other-document>Advice of delivery</cl-other-document>
    <cl-other-document>Amended drawings with annotations</cl-other-document>
    <cl-other-document>Request for change of address</cl-other-document>
  </check-list>
  <office-specific-data office="EP">
    <ep-electronic-files doc-type="3936">
      <applicant-file-name>20 MB PDF 02.pdf</applicant-file-name>
      <epo-file-name>ADVOFDELIVRY-1.pdf</epo-file-name>
    </ep-electronic-files>
    <ep-electronic-files doc-type="DRAW-HWA">
      <applicant-file-name>20 MB PDF 03.pdf</applicant-file-name>
      <epo-file-name>DRAW-HWA-1.pdf</epo-file-name>
    </ep-electronic-files>

```


```

<ep-electronic-files doc-type="CDAPPR-CHOA">
  <applicant-file-name>20 MB PDF 05.pdf</applicant-file-name>
  <epo-file-name>CDAPPR-CHOA-1.pdf</epo-file-name>
</ep-electronic-files>
<ep-financial-data curr="EUR">
  ...
</ep-financial-data>
</office-specific-data>
<parties>
  ...
</parties>
</ep-boa-request>

```

8.7 EP3002 – Fees

The **Fees** tab in Form EP3002 allows applicants to enter payment details for fees charged by the EPO. The fee selection is set automatically by the OLF2.0 application; users can also select additional fees manually.

 You can retrieve the most recent fee schedule from the EPO website under [interactive schedule of fees](https://my.epoline.org/epoline-portal/classic/epoline.Scheduleoffees) (<https://my.epoline.org/epoline-portal/classic/epoline.Scheduleoffees>).

The global information about fee payment is imported from imported from section **<ep-financial-data>** inside **<office-specific-data>**. This root **<ep-financial-data>** element must contain the following attributes:

- **curr**: currency for fee payment. This is always “EUR” by default.

The root **<ep-financial-data>** XML element should be followed by the following child elements:

XML Element	Description, attributes and sub-elements
<mode-of-payment>	Element containing the details of the chosen mode of fee payment. Please refer to section EP1200 – Fees / Payment details for more details and examples.
<reimbursement>	<i>(only present when providing refund instructions)</i> Element with a single attribute accno , containing the <i>date of fee schedule validity</i> (in yyyyMMdd format), and the full name of the account holder as value. E.g.: <code><reimbursement accno="28123456">John Smith</reimbursement></code>
<sr-refund>	<i>(only when providing refund instructions)</i> when requesting refund of search fee ((Article 9(2) RFees)), this element should be present and contain the application number to which the search report corresponds. E.g.: <code><sr-refund>John Smith</sr-refund></code>

<code><add-copies></code>	<i>(only when providing refund instructions)</i> element indicating the no. of additional copies of the documents cited in the EP search report.
<code><fees></code>	<p>This section must be always present. The <code><fees></code> element must include a single attribute date, containing the <i>date of fee schedule validity</i> (in <i>yyyyMMdd</i> format) plus the following sub-elements:</p> <ul style="list-style-type: none"> ▪ <code><standard-fee></code>: contains a set of <code><fee></code> elements, each one indicating the details of one of the applicable standard fees for EP3002. This section must be always present. Please refer to section EP3002 - Fees / Standard fees for details. ▪ <code><fee-total-amount></code>: element containing a numeric value indicating the total amount to be paid for all selected fees and in the selected currency. E.g.: <code><fee-total-amount>2842.5</fee-total-amount></code>

Below is a basic example showing the general structure of element `<ep-financial-data>` in *ep-boa-request.xml* and the top-level sub-elements in it:

```

<ep-boa-request dtd-version="1.0"
  ro="EP"
  produced-by="applicant"
  ep-procedural-phase="Appeal"
  lang="en"
  date-produced="" >
...
  <office-specific-data office="EP">
    <ep-electronic-files doc-type="3936">
...
    </ep-electronic-files>
...
    <ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
      <mode-of-payment accno="28555555"
        mode-type="deposit"
        currency="EUR"
        deferred-execution-date="20231130">Account holder</mode-of-payment>
      <fees date="20231114">
        <standard-fee>
          <fee index="11e" topay="yes">
            <type-of-fee>standard</type-of-fee>
            <fee-factor>1</fee-factor>
            <fee-schedule>2015.00</fee-schedule>
            <fee-sub-amount>2015.00</fee-sub-amount>
            <fee-reduction-factor/>
          </fee>
          ...
        </standard-fee>
        <fee-total-amount>2015.00</fee-total-amount>
      </fees>
    </ep-financial-data>
  </office-specific-data>
  <parties>
...
  </parties>
</ep-boa-request>

```


8.7.1 Payment details

Information regarding the payment details is imported from the **<mode-of-payment>** XML element under **<ep-financial-data>** in *ep-boa-request.xml*. This element must contain the following attributes:

- **accno**: when using **mode-type** “**auto**” or “**deposit**” (see below), this must be set to the number of EPO deposit account to be used. E.g.: “**28123456**”
- **mode-type**: selected mode of payment. Can be one of the following values depending on the chosen option:
 - “**auto**”: Automatic debit order.
 - “**deposit**”: Debit from deposit account.
 - “**bank**”: Bank transfer.
 - “**ccard**”: Credit card.
- **currency**: currency for fee payment. This is always “**EUR**” by default.
- **deferred-execution-date**: when requesting a deferred date of payment execution, this attribute must be present and have said date in yyyyMMdd format as value. This attribute can either be set to an empty value or be omitted if the import file should not specify a deferred execution date.



In addition to the applicable attributes described above, the element should also contain the full name of the **account/card holder** to be used for payment as its value.

Below is a snippet showing the basic structure of element **<mode-of-payment>**:

```

...
</ep-electronic-files>
<ep-financial-data curr="EUR">
  <mode-of-payment accno="28555555"
    mode-type="deposit"
    currency="EUR"
    deferred-execution-date="20231130">Account holder</mode-of-payment>
  <fees date="20231114">
...

```

8.7.2 Standard fees

Information regarding the applicable EP3002 standard fees is imported from the **<standard-fee>** XML element under **<fees>** in *ep-boa-request.xml*.



Note that, if you intend to pay for any of the specific fees applicable to form EP3002 (or want to be able to select/de-select it from the **Fees** tab in the GUI at a later point before filing), a **<fee>** element for it must be present under **<standard-fee>**. Otherwise, the fee will not be selected for payment, and you will not be able to select it on the draft submission using the GUI.

Each **<fee>** element must contain the following attributes:

- **index**: index no. of the corresponding applicable fee, as it appears on the **Fees** tab in OLF2.0. Note that any zeroes on the left should not be included. E.g.: "1" for fee 001, "5e", for fee 005e, "401"...
- **topay**: *yes/no* value indicating if the corresponding fee is intended to be paid ("yes") or not ("no").

Each **<fee>** element must contain the following XML child elements:

XML Element	Description, attributes and sub-elements
<type-of-fee>	Indicates the type of fee. This should always have the value " standard ". E.g.: <code><type-of-fee>standard</type-of-fee></code>
<fee-factor>	Indicates the factor (from 0 to 1, corresponding to a 0-100% percentage) in which the fee will be paid, according to the specified quantity and applicable reduction factor. I.e., this value should be equal to: quantity (i.e., number of fees as indicated in GUI) * <fee-reduction-factor> (from 0 to 1) E.g., for a quantity of 2 and a reduction of 30% (0.3), this value should be 1.4 . If the fee is not selected for payment (topay="no"), this element can be empty. Note that, when using element <fee-reduction-amount> to apply a fixed reduction (when applicable according to the guidelines), this value should be a negative amount instead of a 0-1 factor. E.g., for a reduction of 100%: <code><fee-factor>-1460</fee-factor></code> <code><fee-sub-amount>1460.00</fee-sub-amount></code> <code><fee-reduction-amount>1460</fee-reduction-amount></code>
<fee-schedule>	Indicates the amount to pay for the total quantity of the specified fee, after applying reductions. I.e., this value should be equal to: <fee-sub-amount> * quantity (i.e., number of fees as indicated in GUI) * <fee-reduction-factor> (from 0 to 1) E.g.: 94.50
<fee-sub-amount>	Indicates the base amount for the fee according to the current fee schedule (i.e., not taking reductions into account). E.g.: 135.00 If the fee is not selected for payment (topay="no"), this element can be empty.
<fee-reduction-factor>	Indicates the reduction factor (from 0 to 1, corresponding to a 0-100% percentage) for the fee, when applicable. E.g.: 0.30

	This element can be left empty if the fee is not selected for payment (topay="no") or for a default value of 0 .
--	--

i The **<fee-schedule>** element is used for the (calculated) fee amount and the **<fee-sub-amount>** element contains the fee schedule (for one single fee).

Use the **<fee-reduction-factor>** element to indicate a fee reduction on a fixed or percentage basis. The default value is **0**.

Use the **<fee-reduction-amount>** element to indicate a fee reduction on an amount basis.

Below is a snippet showing the basic structure of element **<standard-fee>** that includes a **<fee>** entry for procedural fee **011e** (i.e., *Fee for appeal filed by natural person*) applicable to form EP3002, with a 30% reduction applied as an example:

```
<ep-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
  <mode-of-payment accno="28555555"
    mode-type="deposit"
    currency="EUR"
    deferred-execution-date="20231130">Account holder</mode-of-payment>
  <fees date="20231114">
    <standard-fee>
      <fee index="11e" topay="yes">
        <type-of-fee>standard</type-of-fee>
        <fee-factor>0.7</fee-factor>
        <fee-schedule>94.50</fee-schedule>
        <fee-sub-amount>135.00</fee-sub-amount>
        <fee-reduction-factor>0.30</fee-reduction-factor>
      </fee>
      ...
    <fee-total-amount>2842.5</fee-total-amount>
  </fees>
</ep-financial-data>
```

8.8 EP3002 – Annotations

At the end of the **<office-specific-data>** section (right after closure of the **<ep-financial-data>** section corresponding to fee payment details), one or more **<ep-notes-to-EPO>** elements can be included in *ep-boa-request.xml*, each one containing **Annotations** to send additional information to the EPO. The number of annotations is unlimited.

i If no annotations are to be included in the submission (as they are entirely optional), no **<ep-notes-to-EPO>** elements should be present in the *ep-boa-request.xml* file.

The root element for each annotation (**<ep-notes-to-EPO>**) must contain the following attributes:

- **page**: fixed string value **"Annotate"**.

- **id**: a “note#” string where # is a number representing the order of creation of the current note (i.e.: **note1** for the firstly note created, then **note2**, **note3** and so on).

E.g.: `<ep-notes-to-EPO page="Annotate" id="note1">`



The **id** “coloured_content_note” is special and refers to an annotation automatically added by OLF2.0 when specifying the coloured content (i.e., which documents are not in black & white) in the attached evidence.

The table below lists the child XML elements that must appear under each `<ep-notes-to-EPO>` entry:

XML Element	Description and attributes
<code><author></code>	Full name (first + last name) of the user authoring the annotation.
<code><subject></code>	Subject of the annotation.
<code><date></code>	Date in which the annotation was created, in yyyyMMdd format. Note that this value is not shown in the request PDF for EP3002.
<code><dtext></code>	Text contents of the annotation.

The example below shows how two annotations created by two different users are stored in the `ep-boa-request.xml` file:

```

<office-specific-data office="EP" lang="en">
...
  <ep-notes-to-EPO page="Annotate" id="note1">
    <author>Salvatore Manzoni</author>
    <subject>Account information</subject>
    <date>20130127</date>
    <dtext>Payment details may be changed at a later date.</dtext>
  </ep-notes-to-EPO>
  <ep-notes-to-EPO page="Annotate" id="note2">
    <author>Luigi Manzoni</author>
    <subject>Representation</subject>
    <date>20141027</date>
    <dtext>There will be a new representative for Mr. Manzoni starting Jan 1 2015, who will
take over all applications of Salvatore Manzoni and TechInvent S.A. The details and the
authorisation will be filed subsequently.</dtext>
  </ep-notes-to-EPO>
</office-specific-data>
<parties>
...
</parties>
</ep-boa-request>

```

9 Form UP7000 – Request for unitary effect

Form UP 7000 is used for filing a **request for unitary effect of a European patent**, including the statement concerning licences of right in respect of a European patent with unitary effect, the translation of the European patent and details on fee payment.

9.1 Structure of XML files for UP7000

The following two XML files are required for an UP7000 application to be imported:

File name	DTD	Description
package-data.xml	package-data.dtd	References attached documents, except those already referenced in application-body.xml file.
up-request.xml	up-request-v1-2.dtd	Application data as entered in Form UP7000, references other attached documents.

9.1.1 References from XML files to other files

All PDF files and other attachments must be referenced by the **package-data.xml** file, or by one of the XML files that are referenced in the **package-data.xml** file, i.e., the **up-request.xml** file.

package-data.xml file

The **package-data.xml** file references the file names for attached documents in multiple **<other-doc>** elements using the **file** and **file-type** attributes. The document code to be received by the EPO server is contained in the **<document-name>** element. In addition, the **up-request.xml** file is referenced in the **<application-request>** element and the **application-body.xml** file in the **<application-body-doc>** element.

```

1  | <?xml version="1.0" encoding="UTF-8"?>
2  | <!DOCTYPE package-data SYSTEM "package-data.dtd">
3  | <package-data lang="en" dtd-version="1.0" produced-by="applicant">
4  |   <transmittal-info> (1)
5  |     <new-application> (2)
6  |       <to>
7  |         <country>EP</country> (3)
8  |       </to>
9  |     </new-application>
10 |   </transmittal-info>
11 |   <signatories> (4)
12 |     <signatory>
13 |       <name/>
14 |       <electronic-signature date="">
15 |         <basic-signature>
16 |           <text-string/>
17 |         </basic-signature>
18 |       </electronic-signature>
19 |     </signatory>
20 |   </signatories>
21 |   <application-request file="up-request.xml"/> (5)
22 |   <other-documents> (6)
23 |     <other-doc file="upf7000.pdf" file-type="pdf"> (7)
24 |       <document-name>7000</document-name> (8)
25 |       <dtext/>
26 |     </other-doc>
27 |     <other-doc file="up-request.xml" file-type="xml">
28 |       <document-name>REQXML</document-name>
29 |       <dtext/>
30 |     </other-doc>
31 |     <other-doc file="FREP.PDF" file-type="pdf">
32 |       <document-name>FREP</document-name>
33 |       <dtext></dtext> (9)
34 |     </other-doc>
35 |   </other-documents>
36 | </package-data>

```

Figure 435: XML elements in package-data.xml file

Element list:

- (1) Filing language
- (2) Type of application
- (3) Filing office
- (4) Signatories (no signatures attached for import)
- (5) Reference to up-request.xml
- (6) Other document - EPO file name
- (7) File type of other document
- (8) Document code of other document

In this example, four individual files are attached for each section, but there could also be combined files containing more than one section of the technical documents - see the examples in [EP1001 – Documents](#).

up-request.xml

The *up-request.xml* file indicates the document code in the **doc-type** attribute of the **<up-electronic-files>** element and the file name in the **<epo-file-name>** element. In addition, the original file name as given by the user is contained in the **<applicant-file-name>** element. See the following sections for details and examples.

- (1) Document code for any technical document
- (2) Original file name
- (3) EPO file name of first attached document (containing the description, in this case)

```

35 <up-electronic-files doc-type="7000">
36   <applicant-file-name/>
37   <up-file-name>UPf7000.pdf</up-file-name>
38 </up-electronic-files>
39 <up-electronic-files doc-type="FREP"> 1
40   <applicant-file-name>UP7000.PDF</applicant-file-name> 2
41   <up-file-name>FREP.PDF</up-file-name> 3
42 </up-electronic-files>

```

Figure 436: XML elements for electronic files in up-request.xml file

9.1.2 Basic structure of up-request.xml

The *up-request.xml* file contains the application data in Form UP7000. Its root element is **<up-request>**, which contains the following attributes:

XML Attribute	Attribute Description	Example/fixed value
ro	Code for the filing office .	Fixed value: "EP".
produced-by	Indicates role of party generating the submission (e.g., applicant).	Fixed value: "applicant"
dtd-version	Version of DTD used.	Fixed value: "1.2"
lang	Procedural language for the request, indicated by its 2-letter language code (en, fr, de).	E.g.: "en"
date-produced	Date/time of package generation in "YYYYMMDD hh:mm:ss" format.	E.g.: "20240122 11:19:17"

The table below lists the top-level XML elements under **<up-request>** and their key attributes:

XML Element	Description and attributes
<publication-reference> <application-reference>	Basic application/patent information for the UP7000 submission, including the corresponding EP application no. and publication no.

	See UP7000 - General Information - About the application/patent for details.
<code><grant-date></code>	Date of mention of the grant of the indicated European patent, in YYYYmmDD format. If not applicable/provided, this element should be empty.
<code><translations></code>	Information regarding the attached translations and their related costs to be compensated (if applicable). See UP7000 - General Information - Translation costs for details.
<code><file-reference-id></code>	Internal ID name for the UP7000 submission, as it will appear on the OLF2.0 GUI for edition/review. Can be any name chosen by the user with the following limitations: <ul style="list-style-type: none"> ▪ Up to 25 characters long. ▪ No blank spaces. E.g.: <code><file-reference-id>My_7000_request</file-reference-id></code>
<code><patent-granted-with-same-claims-set-rule-5-2-upr/></code>	If present, this empty element indicated that the European patent in question has been granted with the same set of claims in respect of all the participating Member States (Rule 5(2) UPR).
<code><request-petition></code>	Descriptive name of the request corresponding to the form. For UP7000, this will be a fixed string as follows: <code><request-petition>Request for unitary effect</request-petition></code>
<code><parties></code>	List of parties involved in the application (proprietors, representatives...). This element has no text value nor attributes, and instead contains a set of children elements. Please see UP7000 – Parties for details and example cases.
<code><check-list></code>	Contains a list of children nodes corresponding to the type of document (request, other...). E.g.: <code><cl-other-document></code> Each of the aforementioned child elements indicates numeric values related to each of the documents referred to in the submission, such as the total count of pages on it, no. of the first and last pages, etc. Note that this section should always contain, at least, a single empty child element <code><cl-request/></code> E.g.: <pre><check-list> <cl-request/> <cl-other-document>Other document</cl-other-document> </check-list></pre> Please see UP7000 - Documents for more details and example cases.
<code><office-specific-data></code>	UP7000 request data specific to the filing office (declarations, fees...).

	<p>Attributes:</p> <ul style="list-style-type: none"> ▪ office: Filing office to which the specific data in the element applies. <u>For UP7000 filed to EPO, this should have a fixed value of “EP”.</u> ▪ lang: Procedural language, same as in element <code><up-request></code>. E.g.: “en” <p>This element will contain the applicable declarations, information about the attached documents, the information regarding fees, and (optionally) any enclosed annotations to EPO. Please see the following subchapters for details and example cases:</p> <ul style="list-style-type: none"> • UP7000 - Documents • UP7000 - Fees • UP7000 - Annotations <p>Note that <u>this element must always contain an <code><up-declarations></code> child element, which can be empty</u> (i.e., no declarations are being made).</p>
--	---

Below is an example showing the general structure in *up-request.xml* and the top-level elements listed in the previous table:

```
<?xml version="1.1" encoding="UTF-8"?>
<!DOCTYPE up-request
  SYSTEM "up-request-v1-2.dtd">
<up-request ro="EP"
  produced-by="applicant"
  dtd-version="1.2"
  lang="en"
  date-produced="20240122 11:19:17">
  <publication-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP_____</doc-number>
      <kind>publication</kind>
      <date/>
    </document-id>
  </publication-reference>
  <application-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP20202020.2</doc-number>
      <kind>application</kind>
      <date/>
    </document-id>
  </application-reference>
  <grant-date/>
  <translations>
    <procedural-language>en</procedural-language>
    <language-of-translation>pt</language-of-translation>
    <compensation requested="false"/>
  </translations>
  <file-reference-id>7000 Form Test</file-reference-id>
  <patent-granted-with-same-claims-set-rule-5-2-upr/>
  <request-petition>Request for unitary effect</request-petition>
  <parties>
    ...
  </parties>
</up-request>
```

```

</parties>
<check-list>
  <cl-request/>
</check-list>
<office-specific-data office="EP" lang="en">
  <up-declarations/>
  ...
</office-specific-data>
</up-request>

```

The details for the child elements of **<up-request>**, their relevant attributes and how they are mapped to the different form fields and tabs (e.g., the list of involved parties and their contact information in the **<parties>** element, filled out via the **Parties** tab in the UP7000 form) will be described in subsequent section in this form's chapter.

9.2 Document codes and file types for UP7000

For the successful import of XML data into OLF2.0, the values for the **<document-name>** element, the **doc-type** attribute and the **file** attribute must follow the standard values for the **document code** as listed in the table below. Without the correct document code, the receiving server at the EPO cannot accept files.

Document code	EPO file name *)	Description
Request		
ADDRESSXML	address-matching.xml	Package
BIODEPXML		Biology
PACKDATAXML	package-data.xml	Package
REXML	xmit-receipt.xml	Receipt in XML format
UP-REQUESTXML	up-request.xml	UP7000 form in XML format

Documents concerning rights and representation		
UREES	UREES-1.pdf	Request for re-establishment of rights
UREESGR	UREESGR-1.pdf	Grounds for re-establishment of rights
FREP	FREP-1.pdf	Document concerning representation
1003	1003-1.pdf	Authorisation of representative

1004	1004-1.pdf	General authorisation
Additional documents		
UTRAN	UTRAN.pdf	Translation of the European patent
INCANNEX-UPP	INCANNEX-UPP-1.pdf	Other document
Documents generated by OLF2.0 (not to be imported)		
7000	up7000.pdf	Application in PDF format

*) If there is more than one file of this type of document, the character 1 in the file names must be replaced by 2, 3 etc.

9.3 UP7000 – General information

Form UP7000 starts with the **General information** tab where basic data for the application is entered, including information about:

- About the application/patent
- Translation costs
- Place of business on the date of filing of the European patent application

The structure of the data corresponding to each of the above sub-panels in the tab will be covered in detail in the subsequent chapters below.

9.3.1 About the application/patent

The data concerning the **references to the European application/patent** is structured in the following top-level elements under **<up-request>** in *up-request.xml* as follows:

- The referred patent and application's information is imported from the contents of XML elements **<publication-reference>** and **<application-reference>** (respectively). Each of these sections consists of a single **<document-id>** XML element containing a single attribute lang indicating the application's procedural language with a 2-letter code (i.e., "en", "de", "fr") and the following set of sub-elements:
 - **<country>**: Country/region code of the application/patent. For UP7000 filings, this should always be "EP".
 - **<doc-number>**: ID number of the referred EP patent/application.
 - **<kind>**: value must be **publication** for element **<publication-reference>** and **application** for **<application-reference>**.
 - **<date>**: Date of mention of the grant (if provided). If present, its value should be the same for both **<publication-reference>** and **<application-reference>**, as well as match the date provided in element **<grant-date>** (see below).

Example:

```

<publication-reference>
  <document-id lang="en">
    <country>EP</country>
    <doc-number>EP3812340</doc-number>
    <kind>publication</kind>
    <date>20231101</date>
  </document-id>
</publication-reference>
<application-reference>
  <document-id lang="en">
    <country>EP</country>
    <doc-number>EP16155428.2</doc-number>
    <kind>application</kind>
    <date>20231101</date>
  </document-id>
</application-reference>

```

```

</document-id>
</application-reference>

```

- If a date of mention of grant is provided (optional), a **<grant-date>** element should be present indicating said date in YYYYmmDD format. The value must match that of the <date> property in the <publication-reference> and <application-reference> sections. E.g.:

```

...
<application-reference>
  <document-id lang="en">
    <country>EP</country>
    <doc-number>EP16155428.2</doc-number>
    <kind>application</kind>
    <date>20231101</date>
  </document-id>
</application-reference>
<grant-date>20231101</grant-date>

```

- If the European patent in question has been granted with the same set of claims in respect of all the participating Member States (*Rule 5(2) UPR*), an empty element **<patent-granted-with-same-claims-set-rule-5-2-upr/>** should also be present under **<up-request>** following the ones described above.

The snippet below corresponds to an example UP7000 submission showing all the XML elements described above:

```

<up-request ro="EP"
  produced-by="applicant"
  dtd-version="1.2"
  lang="en"
  date-produced="20240122 11:19:17">
  <publication-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP3812340</doc-number>
      <kind>publication</kind>
      <date/>
    </document-id>
  </publication-reference>
  <application-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP20202020.2</doc-number>
      <kind>application</kind>
      <date/>
    </document-id>
  </application-reference>
  <grant-date>20231101</grant-date>
  <translations>
    ... (*)
  </translations>
  <file-reference-id>7000_Form_Test</file-reference-id>
  <patent-granted-with-same-claims-set-rule-5-2-upr/>
  <request-petition>Request for unitary effect</request-petition>
  ...

```

(*) The structure of the **<translations>** element will be described separately in the next sub-chapter.

9.3.2 Translation costs

Information regarding the costs of translations (if attached to the submission) is imported from XML element `<translations>`, which must be present under root element `<up-request>` in `up-request.xml` following the elements described in [About the application/patent](#).

The `<translations>` element must contain the following child elements:

XML Element	Description and sub-elements
<code><procedural-language></code>	<p>Indicates the language of the proceedings with a 2-letter country code (en/fr/de). This should match the value of the lang attribute in <code><up-request></code>. If no translation is attached, this element can be empty.</p> <p>Note that this information is provided in tab Documents in the OLF2.0 GUI. Please refer to UP7000 - Documents for more details.</p>
<code><language-of-translation></code>	<p>Indicates the language of the attached translation document with a 2-letter country code (en/fr/de). If no translation is attached, this element can be empty.</p> <p>Note that this information is provided in tab Documents in the OLF2.0 GUI. Please refer to UP7000 - Documents for more details.</p>
<code><compensation></code>	<p>Provides the data corresponding to the costs of the submitted translation.</p> <p>Attributes:</p> <ul style="list-style-type: none"> ▪ requested: if <code>"true"</code>, it indicates that compensation for translation costs is being requested (<i>Rule 9 UPR</i>). Otherwise, this should be <code>"false"</code>. ▪ compensation-payment-method: if <code>requested="true"</code>, this attribute must be present and have the fixed value <code>"deposit-account"</code>. <p>Please see UP7000 - Fees / Payment details for more details regarding payment data.</p> <p>Below is an example of element <code><translations></code> corresponding to an UP7000 submission where compensation for translation costs is not requested:</p> <pre><translations> <procedural-language>en</procedural-language> <language-of-translation/> <compensation requested="false"/> </translations></pre>

The example below illustrates the structure of the `<translations>` element in an UP7000 submission where a translation of the European patent to *Portuguese* (pt) is attached and a request for compensation of the translation costs is made.

```
...
</application-reference>
```

```

<grant-date>20231101</grant-date>
<translations>
  <procedural-language>en</procedural-language>
  <language-of-translation>pt</language-of-translation>
  <compensation requested="true" compensation-payment-method="deposit-account"/>
</translations>
<file-reference-id>7000 Form Test</file-reference-id>
...

```

9.3.2 Place of business at filing

Form UP7000 allows the filing party to, optionally, indicate a place of business of the applicant(s) on the date of filing of the European patent application (*Article 7(1)(b) Regulation (EU) No 1257/2012, Rule 16(1)(w) UPR*). This can be useful in cases where the initial applicant's name and/or address is different from that of the actual patent proprietor.

When choosing to provide information regarding a specified place of business, XML element **<place-of-business>** must be present under the **<parties>** top element along with other named parties in the submission (please see [UP7000 - Parties](#) for details). Element **<place-of-business>** should contain a single attribute **sequence** with a fixed value of **"1"**, and a single child element **<addressbook>** with the structure shown in the example below (elements highlighted in **yellow** correspond to mandatory fields that must be present and have a valid value):

```

<parties>
  <proprietors>
    ...
  </proprietors>
  <place-of-business sequence="1">
    <addressbook lang="en">
      <name>Catherine Dubois</name>
      <department>IP</department>
      <address>
        <pobox/>
        <street>Postbus 24 / Gent Centrum</street>
        <city>Belgrad</city>
        <state/>
        <postcode/>
        <country>BE</country>
      </address>
    </addressbook>
  </place-of-business>
  <agents>
    ...
  </agents>
</parties>

```

(*) The format of the address in the **<street>** field is: Address line 1 / Address line 2.

An alternate example is provided below:

XML up-request.xml place of business at filing data

```

28 <parties>
29   <place-of-business sequence="1"> 1
30     <addressbook lang="">
31       <name>Manzoni, Salvatore </name> 2
32       <department></department> 3
33       <address>
34         <pobox></pobox> 6
35         <street>Via al Ticino 100</street> 5
36         <city>Bellinzona</city> 8
37         <state></state>
38         <postcode>6500</postcode> 7
39         <country>IT</country> 4
40       </address>
41     </addressbook>
42   </place-of-business>

```

Figure 441: Application XML: Place of business at filing data

Element list

- (1) Place of business on the date of filing
- (2) Name of applicant
- (3) Department
- (4) Country
- (5) Address
- (6) P.O. Box
- (7) Postal code
- (8) City

9.4 UP7000 - Parties

The **Parties** tab of Form UP7000 accommodates all data for names, persons and addresses relating to the submission. This information is imported from the **<parties>** element in the *up-request.xml* file.

The **<parties>** element may contain up to one of each of the following child elements:

- **<proprietors>**, which may contain one or more **<proprietor>** elements, each one referring to a **proprietor**.
- **<place-of-business>**, which (if present) indicates the **place of business of the proprietor at the time of filing**. This was previously described in section [UP7000 – General information / Place of business at filing](#) in this guide.
- **<agents>**, which may contain one or more **<agent>** elements, each one referring to a **representative**.



If an address for correspondence has been entered for the first-named proprietor, no representative can be added, and vice versa.

The required attributes and child elements for each individual **<proprietor>** and **<agent>** element are mostly specific to the type of party, and will be described separately in detail in subsequent chapters.

9.4.1 Proprietors

The table below lists the required attributes for each individual **<proprietor>** entry appearing under **<proprietors>**:

XML Attribute	Attribute Description	Example/fixed value
sequence	Order no. of the proprietor in the list of named proprietors. Always required.	E.g.: "1" (*)
prop-type	Indicates the specific type of applicant/proprietor party the element refers to.	Fixed value: "proprietor"

(*) Note that, even if a submission is to be imported with no proprietors listed under the **Parties** section (i.e., as a draft to be filled out later), the **<proprietors>** section must still be present and contain an empty **<proprietor>** entry with a **sequence** no. **"0"**, as the example snippet below:

```

<proprietors>
  <proprietor sequence="0" app-type="proprietor">
    <addressbook lang="en">
      <name name-type="legal"/>
      <address>
        <postcode/>
        <country/>
      </address>
    </addressbook>
    <nationality>
      <country/>
    </nationality>
    <residence>
      <country/>
    </residence>
  </proprietor>
</proprietors>

```

Each **<proprietor>** element should contain the following child XML elements:

- A single **<addressbook>** sub-element with the **name and address details**. This element should **always be present** (required).
- If a specific country of **nationality** is to be specified, a **<nationality>** sub-element should also be present. This will contain a single **<country>** child element with the 2-letter country code (e.g.: "IT" for Italy).
- Similarly, if a specific country of **residence** is to be specified, a **<residence>** sub-element should also be present, with the same internal structure as the above.

The example below shows the basic structure for the **<parties>** section in a request that only includes a single proprietor specifying *Italy* (IT) as both their nationality and residence country:

```

<parties>
  <proprietors>
    <proprietor sequence="1"
      prop-type="proprietor">
      <addressbook lang="en">
        ...
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
    </ep-applicant>
  </proprietors>
</parties>

```

The **<addressbook>** element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: `<addressbook lang="en">`

The structure of the **<addressbook>** element is specific to the type of party involved (applicant/representative/inventor) and its sub-type (e.g., legal or natural person, for applicants):

Party element	Sub-type(s)	XML Elements in <addressbook>
<proprietor>	Proprietor, legal person	<pre> <name name-type="legal"> <address> <address-2> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
	Proprietor, natural person	<pre> <last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>

Below is an example showing the general structure of a **<parties>** element in *up-request.xml* containing a single **<proprietor>** entry corresponding to a proprietor (natural person), with the top-level elements and attributes listed in the previous tables:

```

<parties>
  <proprietors>
    <proprietor sequence="1"
      app-type="proprietor">
      <addressbook lang="en">
        <last-name>Manzoni</last-name>
        <first-name>Salvatore</first-name>
        <orgname>Borghese S.A.</orgname>
        <department>Invenzioni</department>
        <address>
          <pobox/>
          <street>Via Roma 8 / Piazza del Duomo</street>
          <city>Milano</city>
          <state/>
          <postcode>20100</postcode>
          <country>IT</country>
        </address>
        <phone>+39 2 5056 10</phone>
        <email>manzoni@borghese.it</email>
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
    </proprietor>
  </proprietors>
</parties>

```

9.4.2 Representatives

The table below lists the required attributes for each individual **<agent>** entry appearing under **<agents>**:

XML Attribute	Attribute Description	Example/fixed value
sequence	Order no. of the representative in the list of representatives. Always required.	E.g.: "1"
same-address	Indicates, when naming multiple representatives, if a given representative in the list shares the same address as the first one (i.e., with sequence="1"). Always required.	"true" or "false"
rep-type	Always required. Indicates sub-type of representative as follows: <ul style="list-style-type: none"> ▪ "common-representative": association. ▪ "agent": individual. ▪ "attorney": legal practitioner. 	E.g.: "common-representative"
up-association-number	If rep-type="common-representative" (association), this attribute is required and must provide its registration no.	E.g.: "125"
authorisation	Required if representative chooses to file a general authorisation, and the value indicates its type as follows: <ul style="list-style-type: none"> ▪ "attached": individual authorisation is attached. 	E.g.: "attached"

	<ul style="list-style-type: none"> ▪ “registered”: general authorisation has been registered under number in attribute <code>general_authorisation_number</code> (see below). ▪ “referenced”: a specific authorisation has been previously filed at a given date, indicated in attribute <code>specific-authorisation-date</code> (see below). 	
<code>general-authorisation-number</code>	If <code>authorisation=“registered”</code> , this attribute is required and must provide the no. under the authorisation is registered.	E.g.: “102356”
<code>specific-authorisation-date</code>	If <code>authorisation=“referenced”</code> , this attribute is required and must provide the date of the referenced authorisation (in YYYYmmDD format).	E.g.: “20240301”

Each `<agent>` element should contain:

- A single `<addressbook>` sub-element with the **name and address details**. This element should **always be present** (required).

The example below shows the basic structure for the `<parties>` section in a request that only includes a single representative:

```

<parties>
  <agents>
    <agent sequence="1"
          same-address="false"
          rep-type="agent">
      <addressbook lang="en">
        ...
      </addressbook>
    </agent>
  </agents>
</parties>

```

The `<addressbook>` element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: `<addressbook lang="en">`

The structure of the `<addressbook>` element is specific to the type of party involved (applicant/representative/inventor) and its sub-type (e.g., legal or natural person, for applicants):

Party element	Sub-type(s)	XML Elements in <code><addressbook></code>
<code><agent></code>	Professional representative, association	<code><last-name></code> (*) <code><department></code> <code><registered-number></code> <code><address></code> <code><pobox></code> <code><street></code> <code><city></code> <code><state></code> <code><postcode></code>

		<country> </address> <phone> <email>
	Professional representative, individual Legal practitioner	<last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email>



(*) For representatives of sub-type *association* (i.e., with attribute **rep-type="common-representative"**), the value of the **<last-name>** element corresponds to the **Organisation name** of the association acting as representative.

Below is an example showing the general structure of a **<parties>** element in *up-request.xml* containing a single **<agent>** entry for a representative of type association with a general authorisation referred by no.:

```

<parties>
  <agents>
    <agent sequence="1"
      rep-type="common-representative"
      same-address="false"
      up-association-number="12345"
      authorisation="referenced"
      general-authorisation-number="888">
      <addressbook lang="en">
        <last-name>IP Partners</last-name>
        <first-name/>
        <orgname>European Patents</orgname>
        <registered-number>12345</registered-number>
        <address>
          <pobox>5088</pobox>
          <street>Cambridge Science Park / 100 Red Lion Square</street>
          <city>Cambridge</city>
          <state>Cambridgeshire</state>
          <postcode>CB2 1AB</postcode>
          <country>GB</country>
        </address>
        <phone>+44 1223 3516-0</phone>
        <email>office@ip-partners.co.uk</email>
      </addressbook>
    </agent>
  </agents>
</parties>

```

9.5 UP7000 - Documents

The **Documents** tab in Form UP7000 allows for attaching documents containing translations, authorisations, requests, legal remedies and other documents.

- Documents containing translations can be attached in the **Translation of the European patent** sub-tab.
- All other documents can be attached in the **Other documents** sub-tab:
 - Authorisation of representative*
 - Document concerning representation*
 - General authorisation*
 - Grounds for re-establishment of rights*
 - Other document*
 - Request for re-establishment of rights*

Each attached file appears as a child element both in the **<check-list>** and the **<office-specific-data>** elements in **up-request.xml**. There are specifically named elements for each document type. The list of standard document names required by the EPO can be found in chapter **Document codes and file types for UP7000**.

For each document attached with the submission, a **<up-electronic-files>** element inside section **<office-specific-data>** must be present in **up-request.xml**. An **<up-electronic-files>** element must always contain the following attribute:

- **doc-type**: standard EPO code identifying the document type. Please see section **Document codes and file types for UP7000** for a full reference list.

The table below list the child elements in each **<up-electronic-files>** entry:

XML Element	Description, attributes and sub-elements
<applicant-file-name>	Name of the file as originally uploaded by the user during the submission in OLF2.0. E.g.: <applicant-file-name>translation_french.pdf</applicant -file-name> Note that, for the EP7000 request document itself (doc-type="7000") <u>this element should always be empty.</u>
<up-file-name>	Standard EPO file name corresponding to the type of provided document (please see section Document codes and file types for UP7000 for a full list). E.g.: <up-file-name>UTRAN.pdf</epo-file-name>

Section **<check-list>** in *up-request.xml* must contain a child node for each document filed in the submission. The table below lists the possible child elements in that can figure in the **<check-list>** section depending on the provided documents and their expected contents:

XML Element	Document type	Value and/or Attributes
<code><cl-request></code>	UP7000 request.	This element should always be empty .
<code><cl-other-document></code>	Any other filed document.	No attributes . Value should be the full name of the provided document. E.g.: <i>“Translation of the patent”</i>

Additionally, and when attaching a **Translation of the patent** to the UP7000 request (doc. code **UTRAN**), the language of the supplied translation must also be specified in the **<language-of-translation>** sub-element inside XML element **<translations>** in *up-request.xml* with its corresponding 2-letter country code, as shown in the example snippet below:

```

...
</application-reference>
<grant-date>20231101</grant-date>
<translations>
  <procedural-language>en</procedural-language>
  <language-of-translation>pt</language-of-translation>
  <compensation requested="true" compensation-payment-method="deposit-account"/>
</translations>
<file-reference-id>7000 Form Test</file-reference-id>
...

```

9.5.1 Example: Translation and other documents attached

Below is a snippet showing the basic structure of the **<up-electronic-files>** elements and sub-elements inside **<check-list>** in *up-request.xml* corresponding to a UP7000 request where two documents are being filed: an authorisation of representative and a translation of the European patent. The translation language is *Portuguese* (pt) and a request for compensation of the translation costs is made.

```

<up-request ro="EP"
  produced-by="applicant"
  dtd-version="1.2"
  lang="en"
  date-produced="20240122 11:19:17">
  <publication-reference>
  ...
  </publication-reference>
  <application-reference>
  ...
  </application-reference>
  ...
  </application-reference>
  <grant-date>20231101</grant-date>
  <translations>
    <procedural-language>en</procedural-language>
    <language-of-translation>pt</language-of-translation>

```

```

    <compensation requested="true" compensation-payment-method="deposit-account"/>
  </translations>
  <file-reference-id>7000_Form_Test</file-reference-id>
  <patent-granted-with-same-claims-set-rule-5-2-upr/>
  <request-petition>Request for unitary effect</request-petition>
  <parties>
    ...
  </parties>
  <check-list>
    <cl-request/>
    <cl-other-document>Authorisation of representative</cl-other-document>
    <cl-other-document>Translation of the patent</cl-other-document>
  </check-list>
  <office-specific-data office="EP" lang="en">
    <ep-declarations/>
    <ep-electronic-files doc-type="7000">
      <applicant-file-name/>
      <epo-file-name>up7000.pdf</epo-file-name>
    </ep-electronic-files>
    <up-electronic-files doc-type="1003">
      <applicant-file-name>Authorisation Kilburn.pdf</applicant-file-name>
      <epo-file-name>1003-1.pdf</epo-file-name>
    </ep-electronic-files>
    <ep-electronic-files doc-type="FREP">
      <applicant-file-name>Representation for Nano Enterprise.pdf</applicant-file-name>
      <epo-file-name>FREP-1.pdf</epo-file-name>
    </ep-electronic-files>
    <up-financial-data curr="EUR">
      ...
    </up-financial-data>
  </office-specific-data>
</up-request>


```

9.6 UP7000 - Fees

The XML data structure of fee payment details data for the UP7000 form in *up-request.xml* is similar to the previously described forms, with the exception of the container XML element, which is **<up-financial-data>** for UP7000, instead of **<ep-financial-data>**.

9.6.1 Payment details and refund instructions

Information regarding the payment details is imported from the **<mode-of-payment>** XML element under **<up-financial-data>** in *up-request.xml*.

 Please note that, if the user chooses to arrange the fee payment separately and therefore not to specify a fee payment method in the submission (i.e., the equivalent of leaving field "Payment method" in the GUI set to 'Not specified'), then element **<mode-of-payment>** should not be present under **<up-financial-data>** in *up-request.xml*.

This element must contain the following attributes:

- **accno**: when using **mode-type** "auto" or "deposit" (see below), this must be set to the number of EPO deposit account to be used. E.g.: "28123456"

- **mode-type**: selected mode of payment. Can be one of the following values depending on the chosen option:
 - **“auto”**: Automatic debit order.
 - **“deposit”**: Debit from deposit account.
 - **“bank”**: Bank transfer.
 - **“ccard”**: Credit card.
- **currency**: currency for fee payment. This is always **“EUR”** by default.
- **deferred-execution-date**: when requesting a deferred date of payment execution, this attribute must be present and have said date in yyyyMMdd format as value. This attribute can either be set to an empty value or be omitted if the import file should not specify a deferred execution date.



In addition to the applicable attributes described above, the element should also contain the full name of the **account/card holder** to be used for payment as its value.

When choosing to provide instructions regarding reimbursements (if applicable) to be made to a deposit account with the EPO, this information should be present in the `<reimbursement>` XML element under `<up-financial-data>` in *up-request.xml*. This element must contain:

- A single **accno** attribute specifying the no. of the EPO deposit account where reimbursements should be made.
- The name of the account holder, as the internal value of the XML element.

Below is a snippet showing the basic structure of both elements `<mode-of-payment>` and `<reimbursement>`:

```

...
</up-electronic-files>
<up-financial-data curr="EUR">
  <mode-of-payment currency="EUR"
    accno="28555555"
    deferred-execution-date="20231130"
    mode-type="deposit">Account holder</mode-of-payment>
  <reimbursement accno="28123456">Account holder</reimbursement>
  <fees date="20231114">
...

```

9.6.2 Fee selection

Information regarding the UP7000 selected fees is imported from the `<standard-fee>` XML element under `<fees>` in *up-request.xml*. Each `<fee>` element must contain the following attributes:

- **index**: index no. of the corresponding applicable fee, as it appears on the **Fees** tab in OLF2.0. Note that any zeroes on the left should not be included. E.g.: **“713”**.
- **topay**: *yes/no* value indicating if the corresponding fee is intended to be paid (**“yes”**) or not (**“no”**).

i The only fee applicable when filing an UP7000 request with the EPO (i.e., fee **713**, “Fee for re-establishment of right”) is always payable (i.e., its attribute **topay** can be freely set to “**yes**” if selected for payment without any previous requirements, or to “**no**” otherwise).

Each **<fee>** element must contain the following XML child elements:

XML Element	Description, attributes and sub-elements
<type-of-fee>	Indicates the type of fee. This should always have the value “ standard ”. E.g.: <code><type-of-fee>standard</type-of-fee></code>
<fee-factor>	Indicates the factor (from 0 to 1, corresponding to a 0-100% percentage) in which the fee will be paid, according to the specified quantity and applicable reduction factor. <u>For fee 713 in UP7000, this value will always be 1.</u> This element contains a single attribute user-input with a fixed value of “ 1 ”. E.g.: <code><fee-factor user-input="1">1</fee-factor></code> If the parent’s topay attribute is set to “ no ”, this element should not have a value (just the user-input attribute set to “ 1 ”). E.g.: <code><fee-schedule user-input="1"/></code>
<fee-schedule>	Indicates the amount to pay for the total quantity of the specified fee, after applying reductions. <u>For fee 713 in UP7000, its value should be the same as <fee-sub-amount></u> (since the quantity will always be 1). E.g.: <code><fee-schedule>720.00</fee-schedule></code> If the parent’s topay attribute is set to “ no ”, this element should be empty. E.g.: <code><fee-schedule/></code>
<fee-sub-amount>	Indicates the base amount for the fee according to the current fee schedule (i.e., not taking reductions into account). <u>For fee 713 in UP7000, and if the fee is selected for payment (topay="yes"), its value should match the one in <fee-schedule>.</u> E.g.: <code><fee-sub-amount>720.00</fee-sub-amount></code>
<fee-reduction-factor>	Indicates the reduction factor (from 0 to 1, corresponding to a 0-100% percentage) for the fee. <u>For fee 713 in UP7000, this is not applicable and the element should be left empty (for a default value of 0).</u>

i The **<fee-schedule>** element is used for the (calculated) fee amount and the **<fee-sub-amount>** element contains the fee schedule (for one single fee).

In the case of fee 713, **<fee-factor>** and **user-input** are always set to **1** (which means the quantity is **1**) and **<fee-reduction-factor>** is either left empty or set to **-1** or **0** (which means not applicable).

Additionally, and after the end of section **<standard-fee>** with the structure described above, an XML element **<fee-total-amount>** must also appear under **<fees>**, indicating the total amount to be paid for all the selected fees. For UP7000, this value should match that of the sub-amount for the single fee 713 entry.

The example below corresponds to standard fee 713 selected for payment, with “*Debit from deposit account*” selected as mode of payment and providing **refund instructions**:

XML up-request.xml

```

<up-financial-data curr="EUR">
  <mode-of-payment currency="EUR" accno="28123456" deferred-execution-date="20220620"
  8 mode-type="deposit">IP Department</mode-of-payment>
  <reimbursement accno="28456123">IP Department</reimbursement> 9
  <fees date="20220401"> 7
    <standard-fee>
      1 <fee index="713" topay="yes">
        <type-of-fee>standard</type-of-fee>
        4 <fee-factor user-input="1">1</fee-factor>
        <fee-schedule>685</fee-schedule> 5
        2 <fee-sub-amount>685</fee-sub-amount>
        <fee-reduction-factor>0</fee-reduction-factor> 3
      </fee>
    </standard-fee>
    6 <fee-total-amount>685</fee-total-amount>
  </fees>
</up-financial-data>

```


Figure 455: Fee Payment XML: data for fees selected by proprietor

Element list

- (1) Fee 713 selected
- (2) Fee amount to be paid = fee schedule * fee factor
- (3) Fee reduction factor = 0, i.e. not set
- (4) Fee factor = quantity (i.e., as indicated in GUI)
- (5) Fee schedule for fee 713
- (6) Total amount of fees to pay
- (7) Date of fee schedule validity
- (8) Method of payment (deposit)
- (9) Reimbursement instructions

9.7 UP7000 - Annotations

At the end of the **<office-specific-data>** section (right after closure of the **<ep-financial-data>** section corresponding to fee payment details), one or more **<up-notes-to-EPO>** elements can be included, each one containing **Annotations** to send additional information to the EPO. The number of annotations is unlimited.

 If no annotations are to be included in the submission (as they are entirely optional), no **<up-notes-to-EPO>** elements should be present in the *up-request.xml* file.

The root element for each annotation (**<up-notes-to-EPO>**) must contain the following attributes:

- **page**: fixed string value **"Annotate"**.
- **id**: a **"note#"** string where **#** is a number representing the order of creation of the current note (i.e.: **note1** for the firstly note created, then **note2**, **note3** and so on).

E.g.: `<up-notes-to-EPO page="Annotate" id="note1">`

The table below lists the child XML elements that must appear under each **<up-notes-to-EPO>** entry:

XML Element	Description and attributes
<code><author></code>	Full name (first + last name) of the user authoring the annotation.
<code><subject></code>	Subject of the annotation.
<code><date></code>	Date in which the annotation was created, in yyyyMMdd format. Note that this value is not shown in the request PDF for UP7000.
<code><dtext></code>	Text contents of the annotation.

The example below shows how a single annotation is stored:

XML up-request.xml

```

53  1 <up-notes-to-EPO page="Annotate" id="note1">
54    <author>Berger, Marc</author> 2
55    3 <subject>Representation</subject>
56    <date>20220621</date> 4
57    5 <dtext>Sophie Bresson, my successor at Associ&#233;s Lef&#234;vre, is
      going to take over her duties starting August 4 2010. Separate
      communication will be made to the EPO concerning this matter.</dtext>
58  </up-notes-to-EPO>

```

Figure 457: Annotations XML: note to EPO

Element list

- (1) Note number 1
- (2) Author
- (3) Subject
- (4) Date (does not show in PDF)
- (5) Text

10 Form UP(7038) – Subsequently filed documents for Request for unitary effect

Form UP 7038 may be used submit a subsequent action (i.e., attach additional documents, pay fees or add annotations) for a request for Unitary effect that was previously filed for a patent granted and published by EPO.

10.1 Structure of XML files for UP(7038)

The following two XML files are required for an UP(7038) application to be imported:

File name	DTD	Description
package-data.xml	package-data.dtd	References attached documents, except those already referenced in application-body.xml file.
up-sfd-request.xml	upsfd-request-v1-2.dtd	Application data as entered in Form UP(7038), references other attached documents.

10.1.1 References from XML files to other files

All PDF files and other attachments must be referenced by the **package-data.xml** file, or by one of the XML files that are referenced in the **package-data.xml** file, i.e., the **up-sfd-request.xml** file.

package-data.xml file

The **package-data.xml** file references the file names for attached documents in multiple **<other-doc>** elements using the **file** and **file-type** attributes. The document code to be received by the EPO server is contained in the **<document-name>** element. In addition, the **up-sfd-request.xml** file is referenced in the **<application-request>** element and the **application-body.xml** file in the **<application-body-doc>** element.

Element list:

- (1) Filing language
- (2) Type of application
- (3) Filing office
- (4) Signatories (no signatures attached for import)
- (5) Reference to up-sfd-request.xml
- (6) Other document - EPO file name
- (7) File type of other document
- (8) Document code of other document

```

1  <?xml version="1.0" encoding="UTF-8"?>
2  <!DOCTYPE package-data SYSTEM "package-data.dtd">
3  <package-data lang="en" dtd-version="1.0" produced-by="applicant">
4    <transmittal-info> 1
5    <new-application> 2
6      <to>
7        <country>EP</country> 3
8      </to>
9    </new-application>
10 </transmittal-info>
11 <signatories> 4
12 <signatory>
13 <name/>
14 <electronic-signature date="">
15 <basic-signature>
16 <text-string/>
17 </basic-signature>
18 </electronic-signature>
19 </signatory>
20 </signatories>
21 <application-request file="up-sfd-request.xml"/> 5
22 <other-documents> 6
23 <other-doc file="upf7038.pdf" file-type="pdf"> 7
24 <document-name>7038</document-name> 8
25 <dtext/>
26 </other-doc>
27 <other-doc file="up-sfd-request.xml" file-type="xml">
28 <document-name>REQXML</document-name>
29 <dtext/>
30 </other-doc>
31 <other-doc file="1003-1.pdf" file-type="pdf">
32 <document-name>1003</document-name>
33 <dtext></dtext> 9
34 </other-doc>
35 </other-documents>
36 </package-data>

```

Figure 459: XML elements in package-data.xml file

In this example, four individual files are attached for each section, but there could also be combined files containing more than one section of the technical documents - see the examples in **EP1001 Documents** (p. 66).

up-sfd-request.xml

The *up-sfd-request.xml* file indicates the document code in the **doc-type** attribute of the **<up-electronic-files>** element and the file name in the **<epo-file-name>** element. In addition, the original file name as given by the user is contained in the **<applicant-file-name>** element. See the following sections for details and examples.

- (1) Document code for any technical document
- (2) Original file name
- (3) EPO file name of first attached document (containing the description, in this case)

```

29 <up-electronic-files doc-type="7038">
30   <applicant-file-name/>
31   <up-file-name>UPF7038.PDF</up-file-name>
32 </up-electronic-files>
33 <up-electronic-files doc-type="1003"> 1
34   <applicant-file-name>authorisation.pdf</applicant-file-name> 2
35   <up-file-name>1003-1.pdf</up-file-name> 3
36 </up-electronic-files>

```

Figure 460: XML elements for electronic files in *up-sfd-request.xml* file

10.1.2 Basic structure of *up-sfd-request.xml*

The *up-sfd-request.xml* file contains the application data in Form UP(7038). Its root element is **<upsfd-request>**, which contains the following attributes:

XML Attribute	Attribute Description	Example/fixed value
ro	Code for the filing office .	Fixed value: "EP" .
produced-by	Indicates role of party generating the submission (e.g., applicant).	Fixed value: "applicant"
dtd-version	Version of DTD used.	Fixed value: "1.1"
lang	Procedural language for the request, indicated by its 2-letter language code (en, fr, de).	E.g.: "en"
date-produced	Date/time of package generation in "YYYYMMDD hh:mm:ss" format.	E.g.: "20240122 11:19:17"

The table below lists the top-level XML elements under **<upsfd-request>** and their key attributes:

XML Element	Description and attributes
<publication-reference> <application-reference>	Basic application/patent information for the UP7038 submission, including the corresponding EP application no. and publication no. See UP(7038) – General information for details.
<file-reference-id>	Internal ID name for the UP7038 submission, as it will appear on the OLF2.0 GUI for edition/review. Can be any name chosen by the user with the following limitations: <ul style="list-style-type: none"> Up to 25 characters long. No blank spaces. E.g.: <file-reference-id>My_7038_request</file-reference-id>
<parties>	List of parties involved in the application (proprietors, representatives...).

	<p>This element has no text value nor attributes, and instead contains a set of children elements.</p> <p>Please see UP(7038) - Parties for details and example cases.</p>
<p><code><check-list></code></p>	<p>Contains a list of children nodes corresponding to the type of document (request, other...). E.g.: <code><cl-other-document></code></p> <p>Each of the aforementioned child elements indicates numeric values related to each of the documents referred to in the submission, such as the total count of pages on it, no. of the first and last pages, etc.</p> <p>Note that this section should always contain, at least, a single empty child element <code><cl-request/></code></p> <p>E.g.:</p> <pre><check-list> <cl-request/> <cl-other-document>Other document</cl-other-document> </check-list></pre> <p>Please see <code><up-declarations/></code> for more details and example cases.</p>
<p><code><office-specific-data></code></p>	<p>UP7038 request data specific to the filing office (declarations, fees...).</p> <p>Attributes:</p> <ul style="list-style-type: none"> ▪ office: Filing office to which the specific data in the element applies. <u>For UP7038 filed to EPO, this should have a fixed value of “EP”.</u> ▪ lang: Procedural language, same as in element <code><up-request></code>. E.g.: “en” <p>This element will contain the applicable declarations, information about the attached documents, the information regarding fees, and (optionally) any enclosed annotations to EPO. Please see the following subchapters for details and example cases:</p> <ul style="list-style-type: none"> • UP(7038) - Documents • UP(7038) - Fees • UP(7038) - Annotations <p>Note that <u>this element must always contain an <code><up-declarations></code> child element, which can be empty</u> (i.e., no declarations are being made).</p>

Below is an example showing the general structure in *up-sfd-request.xml* and the top-level elements listed in the previous table:

```
<?xml version="1.1" encoding="UTF-8"?>
<!DOCTYPE upsfd-request
  SYSTEM "upsfd-request-v1-2.dtd">
<upsfd-request ro="EP"
  produced-by="applicant"
  dtd-version="1.1"
  lang="en">
```



```

        date-produced="20240122 11:19:17">
    <publication-reference>
      <document-id lang="en">
        <country>EP</country>
        <doc-number>EP3812340</doc-number>
        <kind>publication</kind>
        <date/>
      </document-id>
    </publication-reference>
    <application-reference>
      <document-id lang="en">
        <country>EP</country>
        <doc-number>EP20202020.2</doc-number>
        <kind>application</kind>
        <date/>
      </document-id>
    </application-reference>
    <file-reference-id>7038_Form_Test</file-reference-id>
    <parties>
      ...
    </parties>
    <check-list>
      <cl-request/>
    </check-list>
    <office-specific-data office="EP" lang="en">
      <up-declarations/>
      ...
    </office-specific-data>
  </upsfd-request>

```

The details for the child elements of **<upsfd-request>**, their relevant attributes and how they are mapped to the different form fields and tabs (e.g., the list of involved parties and their contact information in the **<parties>** element, filled out via the **Parties** tab in the UP7038 form) will be described in subsequent section in this form’s chapter.

10.2 Document codes and file types for UP(7038)

For the successful import of XML data into OLF2.0, the values for the **<document-name>** element, the **doc-type** attribute and the **file** attribute must follow the standard values for the **document code** as listed in the table below. Without the correct document code, the receiving server at the EPO cannot accept files.

There are some restrictions as to combining document types and fee payments in one application. Please create separate import packages for each of the following submissions:

- Public documents and fees related to public documents
- Non-public documents and fees related to non-public documents; see [UP\(7038\) - Fees](#)

Document code	EPO file name *)	Description
Request		
ADDRESSXML	address-matching.xml	Package

BIODEPXML		Biology
PACKDATAXML	package-data.xml	Package
REXML	xmit-receipt.xml	Receipt in XML format
UPSFD-REQUESTXML	up-sfd-request.xml	UP7038 form in XML format

Documents concerning rights and representation		
1003	1003-1.pdf	Authorisation of representative
FREP	FREP-1.pdf	Document concerning representation
LICE	LICE-1.pdf	Document relating to a licence
DOCREM	DOCREM-1.pdf	Document related to a right in rem
COMP-EVID	COMP-EVID-1.pdf	Evidence of being entity entitled to compensation of translation costs
INCANNEX-TOR	INCANNEX-TOR-1.pdf	Evidence of transfer of rights
1004	1004-1.pdf	General authorisation
UREQ	UREQ-1.pdf	General enquiry
UREESGR	UREESGR-1.pdf	Grounds for re-establishment of rights
UPPLETT-R142	UPPLETT-R142-1.pdf	Interruption of proceedings
UMEDA	UMEDA-1.pdf	Medical certificate
UDOC-NP	UDOC-NP-1.pdf	Non-public document
PROPL-RRT	PROPL-RRT-1.pdf	Notification of termination of representative's authorisation

INCANNEX-UPP	INCANNEX-UPP-1.pdf	Other document
INCANNEX-COT	INCANNEX-COT-1.pdf	Certificate with respect to translation
PROPL-RFC	PROPL-RFC-1.pdf	Other submission from proprietor
PROPL-RCP	PROPL-RCP-1.pdf	Reply to "Indication of deficiencies in a request for entry of a change in personal particulars and invitation to correct them"
PROPL-R22	PROPL-R22-1.pdf	Reply to "Indication of deficiencies in a request for registration of a transfer of rights and invitation to correct such deficiencies"
PROPL-RFD	PROPL-RFD-1.pdf	Notification of termination of representative's authorisation
PROPL-RRP	PROPL-RRP-1.pdf	Reply to invitation to give notice of appointment of a professional representative
PROPL-RRT	PROPL-RRT-1.pdf	Evidence in support of request for decision
UFORREPLY	UFORREPLY-1.pdf	Correction of errors in a request for unitary effect (Rule 20(2)(h) UPR)
UPPLETT-IREJ	UPPLETT-IREJ-1.pdf	Reply to "Intended rejection by the Unitary Patent Protection Division"
UPPLETT-R10	UPPLETT-R10-1.pdf	Reply to "Invitation to remedy deficiencies in a request for compensation for translation costs"
UPPLETT-R7	UPPLETT-R7-1.pdf	Reply to "Invitation to remedy deficiencies in a request for unitary effect (Rule 7(3) UPR)"
UPPLETT-R12	UPPLETT-R12-1.pdf	Reply to "Invitation to remedy deficiencies in a statement/withdrawal of a statement concerning licences of right"
PROPL-RRP	PROPL-RRP-1.pdf	Reply to invitation to give notice of appointment of a professional representative
UPPLETT	UPPLETT-1.pdf	Reply to other communication from the Unitary Patent Protection Division
UNIP-DECA	UNIP-DECA-1.pdf	Request for automatic debiting

REQREM	REQREM-1.pdf	Request for cancellation of registration of a licence
DOCREGEM	DOCREGEM-1.pdf	Request for cancellation of registration of a right in rem
CDPROP-CHOA	CDPROP-CHOA-1.pdf	Request for change of address
CDPROP-CHON	CDPROP-CHON-1.pdf	Request for change of name
CDPROP-CHOR	CDPROP-CHOR-1.pdf	Request for change of proprietor's representative
URDEC	URDEC-1.pdf	Request for decision
UREES	UREES-1.pdf	Request for re-establishment of rights
ULREG	ULREG-1.pdf	Request for registration of a licence
REGREM	REGREM-1.pdf	Request for registration of a right in rem
ULMEX	ULMEX-1.pdf	Request for registration or for cancellation of registration of a legal means of execution
CDPROP-TOR	CDPROP-TOR-1.pdf	Request for transfer of rights
ILICE	ILICE-1.pdf	Statement concerning licences of right
UTRAN	UTRAN-1.pdf	Translation of the patent
WLICE	WLICE-1.pdf	Withdrawal of a statement concerning licences of right
UWDRA	UWDRA-1.pdf	Withdrawal of request for unitary effect
Documents generated by OLF2.0 (not to be imported)		
7038	up7038.pdf	Application in PDF format

*) If there is more than one file of this type of document, the character 1 in the file names must be replaced by 2, 3 etc.

10.3 UP(7038) – General information

Form UP(7038) starts with the **General information** tab where basic data for the application is entered.

The data concerning the **references to the European application/patent** is imported from the contents of XML elements `<publication-reference>` and `<application-reference>` (respectively). Each of these sections consists of a single `<document-id>` XML element containing a single attribute lang indicating the application's procedural language with a 2-letter code (i.e., "en", "de", "fr") and the following set of sub-elements:

- `<country>`: Country/region code of the application/patent. For UP7000 filings, this should always be "EP".
- `<doc-number>`: ID number of the referred EP patent/application.
- `<kind>`: value must be **publication** for element `<publication-reference>` and **application** for `<application-reference>`.
- `<date>`: Date of mention of the grant. This element is not used in UP7038 and can be missing or left empty.

Additionally, a `<file-reference-id>` element should be present following the aforementioned XML sections providing the user's file reference for the submission. E.g.:

```
<file-reference-id>7038_Example</file-reference-id>
```

The snippet below corresponds to an example UP7038 submission showing all the XML elements described above:


```
<upsfd-request ro="EP"
  produced-by="applicant"
  dtd-version="1.1"
  lang="en"
  date-produced="20240122 11:19:17">
  <publication-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP3812340</doc-number>
      <kind>publication</kind>
      <date/>
    </document-id>
  </publication-reference>
  <application-reference>
    <document-id lang="en">
      <country>EP</country>
      <doc-number>EP16155428.2</doc-number>
      <kind>application</kind>
      <date/>
    </document-id>
  </application-reference>
  <file-reference-id>7038-Form-Test</file-reference-id>
  ...
```

10.4 UP(7038) - Parties

The **Parties** tab of Form UP7038 accommodates all data for names, persons and addresses relating to the submission. This information is imported from the `<parties>` element in the `up-sfd-request.xml` file, which follows the same general XML structure as the `up-request.xml` file for UP7000.

The `<parties>` element may contain one of the following child elements, depending on the role of the filing party:

- `<proprietors>`, which may contain a single `<proprietor>` element referring to a **proprietor**.
- `<agents>`, which may contain a single `<agent>` element referring to a **representative**.

 In form UP7038, either **one** applicant or **one** representative can be added at the same time. Inventors or an address for correspondence cannot be added.

The required attributes and child elements for each individual `<proprietor>` and `<agent>` element are mostly specific to the type of party, and will be described separately in detail in subsequent chapters.

10.4.1 Proprietors

The table below lists the required attributes for the single `<proprietor>` entry appearing under `<proprietors>`:

XML Attribute	Attribute Description	Example/fixed value
<code>sequence</code>	Order no. of the proprietor in the list of named proprietors. Always required.	Fixed value: "1" (*) (Only 1 proprietor can be named)
<code>prop-type</code>	Indicates the specific type of applicant/proprietor party the element refers to. Always required.	Fixed value: "proprietor"

(*) Note that, even if a submission is to be imported with no proprietors listed under the **Parties** section (i.e., as a draft to be filled out later), the `<proprietors>` section must still be present and contain an empty `<proprietor>` entry with a **sequence** no. **"0"**, as the example snippet below:

```
<proprietors>
  <proprietor sequence="0" app-type="proprietor">
    <addressbook lang="en">
      <name name-type="legal"/>
      <address>
        <postcode/>
        <country/>
      </address>
    </addressbook>
  </proprietor>
</proprietors>
```

```

        </address>
    </addressbook>
    <nationality>
        <country/>
    </nationality>
    <residence>
        <country/>
    </residence>
</proprietor>
</proprietors>
    
```

Each **<proprietor>** element should contain the following child XML elements:

- A single **<addressbook>** sub-element with the **name and address details**. This element should **always be present** (required).
- If a specific country of **nationality** is to be specified, a **<nationality>** sub-element should also be present. This will contain a single **<country>** child element with the 2-letter country code (e.g.: "IT" for Italy).
- Similarly, if a specific country of **residence** is to be specified, a **<residence>** sub-element should also be present, with the same internal structure as the above.

The example below shows the basic structure for the **<parties>** section in a request that only includes a single proprietor specifying *Italy* (IT) as both their nationality and residence country:

```

<parties>
  <proprietors>
    <proprietor sequence="1"
      prop-type="proprietor">
      <addressbook lang="en">
        ...
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
    </ep-applicant>
  </proprietors>
</parties>
    
```

The **<addressbook>** element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: **<addressbook lang="en">**

The structure of the **<addressbook>** element is specific to the type of party involved (applicant/representative/inventor) and its sub-type (e.g., legal or natural person, for applicants):

Party element	Sub-type(s)	XML Elements in <addressbook>
<proprietor>	Proprietor, legal person	<pre> <name name-type="legal"> <address> <address-2> <pobox> </pre>

		<pre> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>
	Proprietor, natural person	<pre> <last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email> </pre>

Below is an example showing the general structure of a **<parties>** element in *up-sfd-request.xml* containing a single **<proprietor>** entry corresponding to a proprietor (natural person), with the top-level elements and attributes listed in the previous tables:

```

<parties>
  <proprietors>
    <proprietor sequence="1"
      app-type="proprietor">
      <addressbook lang="en">
        <last-name>Manzoni</last-name>
        <first-name>Salvatore</first-name>
        <orgname>Borghese S.A.</orgname>
        <department>Invenzioni</department>
        <address>
          <pobox/>
          <street>Via Roma 8 / Piazza del Duomo</street>
          <city>Milano</city>
          <state/>
          <postcode>20100</postcode>
          <country>IT</country>
        </address>
        <phone>+39 2 5056 10</phone>
        <email>manzoni@borghese.it</email>
      </addressbook>
      <nationality>
        <country>IT</country>
      </nationality>
      <residence>
        <country>IT</country>
      </residence>
    </proprietor>
  </proprietors>
</parties>

```

10.4.2 Representatives

The table below lists the required attributes for each individual **<agent>** entry appearing under **<agents>**:

XML Attribute	Attribute Description	Example/fixed value
sequence	Order no. of the representative in the list of representatives. Always required.	E.g.: "1"
rep-type	Always required. Indicates sub-type of representative as follows: <ul style="list-style-type: none"> ▪ "common-representative": association. ▪ "agent": individual. ▪ "attorney": legal practitioner. 	E.g.: "common-representative"
up-association-number	If rep-type="common-representative" (association), this attribute is required and must provide its registration no.	E.g.: "125"

Each <agent> element should contain:

- A single <addressbook> sub-element with the **name and address details**. This element should **always be present** (required).

The example below shows the basic structure for the <parties> section in a request that only includes a single representative specifying the named of their represented applicant:

```

<parties>
  <agents>
    <agent sequence="1"
           rep-type="agent">
      <addressbook lang="en">
        ...
      </addressbook>
    </agent>
  </agents>
</parties>
    
```

The <addressbook> element with the name and address detail for each party will have the following single attribute:

- **lang**: 2-letter language code. This must match the procedural language for the attached/referred application. E.g.: <addressbook lang="en">

The structure of the <addressbook> element is specific to the type of party involved (applicant/representative/inventor) and its sub-type (e.g., legal or natural person, for applicants):

Party element	Sub-type(s)	XML Elements in <addressbook>
<agent>	Professional representative, association	<last-name> (*) <department> <registered-number> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email>

	Professional representative, individual Legal practitioner	<last-name> <first-name> <orgname> <department> <address> <pobox> <street> <city> <state> <postcode> <country> </address> <phone> <email>
--	--	--



(*) For representatives of sub-type *association* (i.e., with attribute `rep-type="common-representative"`), the value of the `<last-name>` element corresponds to the **Organisation name** of the association acting as representative.

Below is an example showing the general structure of a `<parties>` element in *up-sfd-request.xml* containing a single `<agent>` entry for a representative of type association:


```

<parties>
  <agents>
    <agent sequence="1"
      rep-type="common-representative"
      up-association-number="12345">
      <addressbook lang="en">
        <last-name>IP Partners</last-name>
        <first-name/>
        <orgname>European Patents</orgname>
        <registered-number>12345</registered-number>
        <address>
          <pobox>5088</pobox>
          <street>Cambridge Science Park / 100 Red Lion Square</street>
          <city>Cambridge</city>
          <state>Cambridgeshire</state>
          <postcode>CB2 1AB</postcode>
          <country>GB</country>
        </address>
        <phone>+44 1223 3516-0</phone>
        <email>office@ip-partners.co.uk</email>
      </addressbook>
    </agent>
  </agents>
</parties>

```

10.5 UP(7038) - Documents

The **Documents** tab in Form UP(7038) allows for attaching documents containing translations, authorisations, requests, legal remedies and other documents. See the complete list in chapter [Document codes and file types for UP\(7038\)](#). In general, only PDF documents are allowed.

 Please note that certain documents must not be attached at the same time (i.e., public and non-public documents) as they are mutually exclusive. Please use separate forms for public and non-public submissions to the EPO.

Each attached file appears as a child element both in the `<check-list>` and the `<office-specific-data>` elements in *up-sfd-request.xml*. There are specifically named elements for each document type. The list of standard document names required by the EPO can be found in chapter [Document codes and file types for UP\(7038\)](#).

For each document attached with the submission, a `<up-electronic-files>` element inside section `<office-specific-data>` must be present in *up-sfd-request.xml*. An `<up-electronic-files>` element must always contain the following attribute:

- **doc-type**: standard EPO code identifying the document type. Please see section [Document codes and file types for UP\(7038\)](#) for a full reference list.

The table below list the child elements in each `<up-electronic-files>` entry:

XML Element	Description, attributes and sub-elements
<code><applicant-file-name></code>	Name of the file as originally uploaded by the user during the submission in OLF2.0. E.g.: <code><applicant-file-name>translation_french.pdf</applicant -file-name></code> Note that, for the EP7038 request document itself (doc-type="7038") <u>this element should always be empty.</u>
<code><up-file-name></code>	Standard EPO file name corresponding to the type of provided document (please see section Document codes and file types for UP(7038) for a full list). E.g.: <code><up-file-name>UTRAN-1.pdf</epo-file-name></code>

Section `<check-list>` in *up-sfd-request.xml* must contain a child node for each document filed in the submission. The table below list the possible child elements in that can figure in the `<check-list>` section depending on the provided documents and their expected contents:

XML Element	Document type	Value and/or Attributes
<code><cl-request></code>	UP7038 request.	This element should always be empty .
<code><cl-other-document></code>	Any other filed document.	No attributes . Value should be the full name of the provided document. E.g.: <i>"Translation of the patent"</i>

Please see the examples provided in the sub-chapters below for further details.

10.5.1 Public Documents

XML up-sfd-request.xml

```

46 | <check-list>
47 |   <cl-request/>
48 |   (1) <cl-other-document>Translation of the patent</cl-other-document>
49 |   <cl-other-document>General authorisation</cl-other-document> (3)
50 |   (5) <cl-other-document>Other document</cl-other-document>
51 | </check-list>
52 | <office-specific-data office="EP" lang="en">
53 |   <up-declarations/>
54 |   <up-electronic-files doc-type="7038">
55 |     <applicant-file-name/>
56 |     <up-file-name>UP7038.PDF</up-file-name>
57 |   </up-electronic-files>
58 |   <up-electronic-files doc-type="UTRAN">
59 |     <applicant-file-name>traduccion_italiano.pdf</applicant-file-name>
60 |     (2) <up-file-name>UTRAN-1.pdf</up-file-name>
61 |   </up-electronic-files> (8)
62 |   <up-electronic-files doc-type="1004">
63 |     <applicant-file-name>General_authorisation.pdf</applicant-file-name> (7)
64 |     (4) <up-file-name>1004-1.pdf</up-file-name>
65 |   </up-electronic-files>
66 |   <up-electronic-files doc-type="INCANNEX-UPP">
67 |     <applicant-file-name>Other_details.pdf</applicant-file-name>
68 |     (6) <up-file-name>INCANNEX-UPP-1.pdf</up-file-name>
69 |   </up-electronic-files>

```

Figure 465: Documents XML: example with non-public documents attached

Element list

- (1) Translation of the patent
- (2) EPO file name for translation document
- (3) General authorisation document
- (4) EPO file name for general authorisation document
- (5) Other (public) document
- (6) EPO file name for other (public) document file
- (7) Original file name of general authorisation document file
- (8) Document type (i.e. 1004 for *General Authorisation*)

10.5.2 Non-public Documents

XML up-sfd-request.xml

```

47 <check-list>
48 <cl-request/>
49 (1) <cl-other-document>Medical certificate</cl-other-document>
50 <cl-other-document>Non-public document</cl-other-document> (3)
51 </check-list>
52 <office-specific-data office="EP" lang="en">
53 <up-declarations/>
54 <up-electronic-files doc-type="7038">
55 <applicant-file-name/>
56 <up-file-name>UP7038.PDF</up-file-name>
57 </up-electronic-files>
58 <up-electronic-files doc-type="UMEDA">
59 <applicant-file-name>medical_cert.pdf</applicant-file-name>
60 (2) <up-file-name>UMEDA-1.pdf</up-file-name> (6)
61 </up-electronic-files>
62 <up-electronic-files doc-type="UDOC-NP">
63 <applicant-file-name>Other_details.pdf</applicant-file-name> (5)
64 (4) <up-file-name>UDOC-NP-1.pdf</up-file-name>
65 </up-electronic-files>

```


Figure 468: Documents XML: example with non-public documents attached

Element list

- (1) Medical certificate
- (2) EPO file name for medical certificate document
- (3) Non-public document (generic)
- (4) EPO file name for (generic) non-public document
- (5) Original file name of non-public document file
- (6) Document type (i.e. UDOC-NP for *Non-public document*)

10.6 UP(7038) - Fees

Fees are not automatically selected in the **Fees** tab of form UP(7038). OLF2.0 users need to manually check the specific fees that they want to pay. The reduction and the fee amount can be modified in the GUI. For the data in the XML file, however, this is not significant, because the **<fee-sub-amount>**, **<fee-factor>** and **<fee-schedule>** elements just have to be filled using the appropriate values.

 The **<fee-schedule>** element is used for the (calculated) fee amount and the **<fee-sub-amount>** element contains the fee schedule (for one single fee).

Filing non-public documents and paying fees

When attaching non-public documents to your application, only the following fees can be selected:

- 026 – Extracts from the European Patent Register
- 027 – Inspection of the files
- 029 – Certified copy of application; priority document

For all other fees, a separate submission is required.

The XML data structure of fee payment details data for the UP(7038) form in *up-sfd-request.xml* is similar to the previously described forms, using XML element **<up-financial-data>** as a container instead of **<ep-financial-data>**.

10.6.1 Payment details and refund instructions

Information regarding the payment details is imported from the **<mode-of-payment>** XML element under **<up-financial-data>** in *up-sfd-request.xml*. This element must contain the following attributes:

- **accno**: when using **mode-type** “**auto**” or “**deposit**” (see below), this must be set to the number of EPO deposit account to be used. E.g.: “**28123456**”
- **mode-type**: selected mode of payment. Can be one of the following values depending on the chosen option:
 - “**auto**”: Automatic debit order.
 - “**deposit**”: Debit from deposit account.
 - “**bank**”: Bank transfer.
 - “**ccard**”: Credit card.
- **currency**: currency for fee payment. This is always “**EUR**” by default.
- **deferred-execution-date**: when requesting a deferred date of payment execution, this attribute must be present and have said date in yyyyMMdd format as value. This attribute can either be set to an empty value or be omitted if the import file should not specify a deferred execution date.



In addition to the applicable attributes described above, the element should also contain the full name of the **account/card holder** to be used for payment as its value.

When choosing to provide instructions regarding reimbursements (if applicable) to be made to a deposit account with the EPO, this information should be present in the **<reimbursement>** XML element under **<up-financial-data>** in *up-sfd-request.xml*. This element must contain:

- A single **accno** attribute specifying the no. of the EPO deposit account where reimbursements should be made.
- The name of the account holder, as the internal value of the XML element.

Additionally, and if a **15% reduction in renewal fees** for statement concerning licences of right (*Rule 12 UPR, Article 3 RFeesUPP*) is to be applied, an empty XML element **<fee-reduction-licences-of-rights-15/>** must also be present under **<up-financial-data>** to indicate this.

Below is a snippet showing the basic structure of both elements **<mode-of-payment>** and **<reimbursement>**, including the described 15% reduction in renewal fees:

```

...
</up-electronic-files>
<up-financial-data curr="EUR">
  <mode-of-payment currency="EUR"
    accno="28555555"
    deferred-execution-date="20231130"
    mode-type="deposit">Account holder</mode-of-payment>
  <reimbursement accno="28123456">Account holder</reimbursement>
  <fees date="20231114">
    ...
  </fees>
  <fee-reduction-licences-of-rights-15/>
</up-financial-data>
...

```

10.6.2 Fee selection

Information regarding the UP7038 selected fees is imported from the **<standard-fee>** XML element under **<fees>** in *up-sfd-request.xml*. Each **<fee>** element must contain the following attributes:

- **index**: index no. of the corresponding applicable fee, as it appears on the **Fees** tab in OLF2.0. Note that any zeroes on the left should not be included. E.g.: **"713"** for fee 713, **"22"**, for fee 022...
- **topay**: *yes/no* value indicating if the corresponding fee is intended to be paid ("**yes**") or not ("**no**").

Each **<fee>** element must contain the following XML child elements:

XML Element	Description, attributes and sub-elements
<type-of-fee>	Indicates the type of fee. This should always have the value " standard ". E.g.: <type-of-fee>standard</type-of-fee>
<fee-factor>	Indicates the factor (from 0 to 1, corresponding to a 0-100% percentage) in which the fee will be paid, according to the specified quantity and applicable reduction factor. I.e., this value should be equal to: <div style="border: 1px dashed black; padding: 5px; margin: 10px 0;"> quantity (i.e., number of fees as indicated in GUI) * <fee-reduction-factor> (from 0 to 1) </div> E.g., for a quantity of 2 and a reduction of 30% (0.3), this value should be 1.4 . If the fee is not selected for payment (topay="no"), this element can be empty. Note that, when using element <fee-reduction-amount> to apply a fixed reduction (when applicable according to the guidelines), this value should be a negative amount instead of a 0-1 factor. E.g., for a reduction of 100%:

	<pre><fee-factor>-1460</fee-factor> <fee-sub-amount>1460.00</fee-sub-amount> <fee-reduction-amount>1460</fee-reduction-amount></pre>
<fee-schedule>	<p>Indicates the amount to pay for the total quantity of the specified fee, after applying reductions. I.e., this value should be equal to:</p> <p>$\text{<fee-sub-amount> * quantity (i.e., number of fees as indicated in GUI) * <fee-reduction-factor>}$ (from 0 to 1)</p> <p>E.g.: 94.50</p>
<fee-sub-amount>	<p>Indicates the base amount for the fee according to the current fee schedule (i.e., not taking reductions into account). E.g.: 135.00</p> <p>If the fee is not selected for payment (topay="no"), this element can be empty.</p>
<fee-reduction-factor>	<p>Indicates the reduction factor (from 0 to 1, corresponding to a 0-100% percentage) for the fee, when applicable. E.g.: 0.30</p> <p>This element can be left empty if the fee is not selected for payment (topay="no") or for a default value of 0.</p>



The **<fee-schedule>** element is used for the (calculated) fee amount and the **<fee-sub-amount>** element contains the fee schedule (for one single fee).

Use the **<fee-reduction-factor>** element to indicate a fee reduction on a fixed or percentage basis. The default value is **0**.

Use the **<fee-reduction-amount>** element to indicate a fee reduction on an amount basis.

Additionally, and after the end of section **<standard-fee>** with the structure described above, an XML element **<fee-total-amount>** must also appear under **<fees>**, indicating the total amount to be paid for all the selected fees.

An example is provided below with some of the available applicable fee options selected, *"Debit from deposit account"* selected as mode of payment and providing **refund instructions**:

XML up-sfd-request.xml


```

70 <up-financial-data curr="EUR" fee-amounts-unlocked-by-user="no">
71   <mode-of-payment currency="EUR" accno="28123456" deferred-execution-date="20220627"
72     mode-type="deposit">IP Department</mode-of-payment>
73   <reimbursement accno="28456123 ">IP Department</reimbursement>
74   <fees date="20220401">17
75     <standard-fee>
76       <fee index="22" topay="no">
77         <type-of-fee>standard</type-of-fee>
78         <fee-factor user-input="0">0</fee-factor>
79         <fee-schedule>0</fee-schedule>
80         <fee-sub-amount>110</fee-sub-amount>
81         <fee-reduction-factor>0</fee-reduction-factor>
82       </fee>
83     1 <fee index="23" topay="yes">
84       <type-of-fee>standard</type-of-fee>
85       4 <fee-factor user-input="1">1</fee-factor>
86       <fee-schedule>110</fee-schedule> 5
87       2 <fee-sub-amount>110</fee-sub-amount>
88       <fee-reduction-factor>0</fee-reduction-factor> 3
89     </fee>
90     6 <fee index="29" topay="yes">
91       <type-of-fee>standard</type-of-fee>
92       9 <fee-factor user-input="1">1</fee-factor>
93       <fee-schedule>110</fee-schedule> 10
94       7 <fee-sub-amount>110</fee-sub-amount>
95       <fee-reduction-factor>0</fee-reduction-factor> 8
96     </fee>
97     <fee index="30" topay="no">
98       <type-of-fee>standard</type-of-fee>
99       <fee-factor user-input="0">0</fee-factor>
100      <fee-schedule>0</fee-schedule>
101      <fee-sub-amount>110</fee-sub-amount>
102      <fee-reduction-factor>0</fee-reduction-factor>
103    </fee>
104
105    11 <fee index="732" topay="yes">
106      <type-of-fee>standard</type-of-fee>
107      14 <fee-factor user-input="1">0.85</fee-factor>
108      <fee-schedule>29.75</fee-schedule> 15
109      12 <fee-sub-amount>35</fee-sub-amount>
110      <fee-reduction-factor>0.15</fee-reduction-factor> 13
111    </fee>
112
378   </standard-fee>
379   16 <fee-total-amount>249.75</fee-total-amount>
380   </fees>
381   <fee-reduction-licences-of-rights-15/> 18
382 </up-financial-data>

```

Figure 471: Fee Payment XML: data for fees selected

Element list

- (1) Fee 023 selected
- (2) Fee schedule for fee 023
- (3) Fee reduction factor for fee 023 = 0, i.e. not applicable
- (4) Fee factor for fee 023 = quantity (i.e., as indicated in GUI)
- (5) Fee amount to be paid for fee 023 = fee schedule * fee factor
- (6) Fee 029 selected
- (7) Fee schedule for fee 029
- (8) Fee reduction factor for fee 029 = 0, i.e. not applicable
- (9) Fee factor for fee 029 = quantity (i.e., as indicated in GUI)
- (10) Fee amount to be paid for fee 029 = fee schedule * fee factor
- (11) Fee 732 selected
- (12) Fee schedule for fee 732

- (13) Fee reduction factor for fee 732 = 0,15 (15%)
- (14) Fee factor for fee 732 = quantity (i.e., as indicated in GUI) - reduction factor = 0,85
- (15) Fee amount to be paid for fee 732 = fee schedule * fee factor
- (16) Total amount of fees to pay
- (17) Date of fee schedule validity
- (18) Reduction licences of right (15%)

10.7 UP(7038) - Annotations

Representation of data in the **Annotations** tab in UP(7038) in the XML files is done exactly in the same way as in UP7000 forms. At the end of the **<office-specific-data>** section (right after closure of the **<ep-financial-data>** section corresponding to fee payment details), one or more **<up-notes-to-EPO>** elements can be included, each one containing **Annotations** to send additional information to the EPO. The number of annotations is unlimited.



If no annotations are to be included in the submission (as they are entirely optional), no **<up-notes-to-EPO>** elements should be present in the *up-sfd-request.xml* file.

The root element for each annotation (**<up-notes-to-EPO>**) must contain the following attributes:

- **page**: fixed string value **"Annotate"**.
- **id**: a **"note#"** string where **#** is a number representing the order of creation of the current note (i.e.: **note1** for the firstly note created, then **note2**, **note3** and so on).

E.g.: **<up-notes-to-EPO page="Annotate" id="note1">**

The table below lists the child XML elements that must appear under each **<up-notes-to-EPO>** entry:

XML Element	Description and attributes
<author>	Full name (first + last name) of the user authoring the annotation.
<subject>	Subject of the annotation.
<date>	Date in which the annotation was created, in yyyyMMdd format. Note that this value is not shown in the request PDF for UP7038.
<dtext>	Text contents of the annotation.

The example below shows how a single annotation is stored:

XML up-sfd-request.xml

```
53 1 <up-notes-to-EPO page="Annotate" id="note1">  
54   <author>Berger, Marc</author> 2  
55 3 <subject>Representation</subject>  
56   <date>20220621</date> 4  
57 5 <dtext>Sophie Bresson, my successor at Associ&#233;s Lef&#234;vre, is  
   going to take over her duties starting August 4 2010. Separate  
   communication will be made to the EPO concerning this matter.</dtext>  
58 </up-notes-to-EPO>
```

Figure 457: Annotations XML: note to EPO

Element list


- (1) Note number 1
- (2) Author
- (3) Subject
- (4) Date (does not show in PDF)
- (5) Text

11 Annex


11.1 Structure of signatures in package-data.xml

As previously explained, the submission import functionality in the Online Filing 2.0 GUI will automatically put any imported form package into **Draft status** (to be digitally signed at a later stage), even if the provided package is already signed and contains signature data.

However, it is possible to import packages containing signature information directly into **Signed** (ready to send) status when using OLF2.0's [B2B Import API](#). For this reason, the present annex has been included with the intention to provide a reference on how to correctly structure the XML information for signatures so that signed packages can be imported as such via the aforementioned API.

 Please note that the structure described in this section is the same and applicable to all supported forms in OLF2.0 (EP1001, EP1200...).

Information regarding signatures is imported from the `<signatories>` XML element in the *package-data.xml* file in the signed submission package. This element may contain one or more `<signatory>` entries (one per signing party).

 Each signatory must correspond to a party already named in the submission, in the `<parties>` section in the appropriate application's main XML data file (e.g., *ep-request.xml* for EP1001).

The contents and structure of each `<signatory>` child element under `<signatories>` should be as follows:

- **If the signatory is a natural person**, the following set of fields may be present indicating their personal data:

<code><signatory></code> Child Element	Description / attributes
<code><last-name></code>	Signatory's last name.
<code><first-name></code>	Signatory's first name.
<code><role></code>	<p>Acting role of the person as signatory in the submission. This must correspond to the type of party as named in the submission in the <code><parties></code> element in the main XML application data file, and <u>must be one of the following values</u>:</p> <ul style="list-style-type: none"> ▪ applicants ▪ representatives ▪ interveners ▪ opponents ▪ proprietors

	<ul style="list-style-type: none"> ▪ thirdParties
--	--



Note that the following other fields may be present along the ones shown above when exporting signed submissions: `<suffix>`, `<iid>`, `<orgname>`, `<department>`, `<synonym>`, `<registered-number>`. However, these values are not used nor shown in the generated PDF application, thus can be left empty or omitted.

- **If the signatory is a legal person**, a single `<name>` child element must appear with an attribute **name-type** with value **"legal"**. This element should contain both the organisation/association's name, followed by a colon ":" separator and the name of the specific person signing the submission. E.g.:

```
<name name-type="legal">Organisation : Person signing</name>
```

- An `<electronic-signature>` element must follow the signatory's personal data. This element must contain:
 - Attributes **date** and **place-signed**, indicating the date (in YYYYmmDD format) and place of signing, respectively.
 - Child element `<basic-signature>`, which will specify the type of signature as indicated below depending on the chosen signature type option:

- **Text string signature**: indicated by a `<text-string>` sub-element containing a text string delimited by characters **"/"**. E.g.:

```
<electronic-signature date="20231116" place-signed="London, UK">
  <basic-signature>
    <text-string>Signature/</text-string>
  </basic-signature>
</electronic-signature>
```

- **Facsimile signature**: indicated by an empty `<fax-image>` sub-element with a **file** attribute stating the name of a provided image file containing the signature. E.g.:

```
<electronic-signature date="20231115" place-signed="London, UK">
  <basic-signature>
    <fax-image file="signature.tif"/>
  </basic-signature>
</electronic-signature>
```



When choosing to provide a **facsimile** signature, the image file referred to by `<fax-image>` needs to be included in the ZIP file containing the submission to be imported.

- Lastly, a `<signatory-capacity>` element should appear indicating the capacity in which the indicated party is signing the submission. This value will be a string composed by the signing's party role exactly as it appears in the **Parties** tab of the form (e.g., *"Representative"*), followed

by a semi-colon and the **function of the person signing** (which can be any free text entered by the user). E.g.:

```
<signatory-capacity>Representative ; Manager</signatory-capacity>
```



It is possible to include multiple **<signatory>** entries referencing the same party, e.g., having two people with different functions signing for the same representative association.

Below is an example showing the contents of a **package-data.xml** file corresponding to a signed **EP1001** submission which includes two signatories: a natural person (acting as applicant) providing a basic text signature, and a legal person (acting as representative) providing a facsimile signature:

```
<?xml version="1.0" encoding="UTF-8"?>
<!DOCTYPE package-data
  SYSTEM "package-data.dtd">
<package-data dtd-version="1.0" lang="en" produced-by="applicant">
  <transmittal-info>
    <new-application>
      <to>
        <country>EP</country>
      </to>
    </new-application>
  </transmittal-info>
  <signatories>
    <signatory>
      <last-name>Manzoni</last-name>
      <first-name>Salvatore</first-name>
      <role>applicants</role>
      <electronic-signature date="20231116" place-signed="Milan - Italy">
        <basic-signature>
          <text-string>/SalvatoreManzoni/</text-string>
        </basic-signature>
      </electronic-signature>
      <signatory-capacity>Applicant ; Inventor</signatory-capacity>
    </signatory>
    <signatory>
      <name name-type="legal">IP Partners : John Smith</name>
      <electronic-signature date="20231116" place-signed="UK - London">
        <basic-signature>
          <fax-image file="signature.tif"/>
        </basic-signature>
      </electronic-signature>
      <signatory-capacity>Representative ; Manager</signatory-capacity>
    </signatory>
  </signatories>
  <application-request file="ep-request.xml"/>
  <application-body-doc file="application-body.xml"/>
  <other-documents>
    <other-doc file="ep-request.pdf" file-type="pdf">
      <document-name>1001P </document-name>
      <dtext/>
    </other-doc>
    <other-doc file="ep-request.xml" file-type="xml">
      <document-name>REQXML</document-name>
      <dtext/>
    </other-doc>
  </other-documents>
</package-data>
```

```

<other-doc file="application-body.xml" file-type="xml">
  <document-name>APPBODYXML</document-name>
  <dtext/>
</other-doc>
<other-doc file="SPECEPO-1.pdf" file-type="pdf">
  <document-name>SPECEPO</document-name>
  <dtext/>
</other-doc>
</other-documents>
</package-data>

```

11.2 Abbreviations

EPO = European Patent Office

DPMA = *Deutsches Patent- und Markenamt* (German Trade Mark and Patent Office)

GUI = Graphical User Interface

BO = Business Object

FOP = Formatting Objects Processor

PMS = Patent Management System

OLF = Electronic Online Filing

11.3 International standards for PCT

XML data and structures in OLF2.0 follow the standards set by the *Patent Cooperation Treaty (PCT)* as of July 1, 2010.

PCT standards, rules and regulations are published by the *World Intellectual Property Organization (WIPO)*.

The following sections of the *WIPO website* (<http://www.wipo.int>) may be of interest to developers looking for more information on PCT standards and rules for XML documents:

- [PCT Resources](http://www.wipo.int/pct/en/) (<http://www.wipo.int/pct/en/>)
- [PCT Treaty, Regulations and Administrative Instructions](http://www.wipo.int/pct/en/texts/) (<http://www.wipo.int/pct/en/texts/>) (including the Annex F)
- [Electronic Filing \(PCT-SAFE\)](http://www.wipo.int/pct-safe/en/) (<http://www.wipo.int/pct-safe/en/>)
- [List of WIPO Standards, Recommendations and Guidelines](http://www.wipo.int/standards/en/part_03_standards.html) (http://www.wipo.int/standards/en/part_03_standards.html), Part 3 of the WIPO Handbook on Industrial Property Information and Documentation
- [XML Library](http://www.wipo.int/pct-safe/en/resources/index.html) (<http://www.wipo.int/pct-safe/en/resources/index.html>) (including DTDs)

11.4 Annex F rules for documents and files

The European Patent Office can only accept electronic documents which are compliant with **Annex F - Standard for the filing and processing in electronic form of international applications**.

A full version of Annex F in English can be found on the WIPO website under <http://www.wipo.int/pct/en/texts/> and is available for download in PDF format (http://www.wipo.int/pct/en/texts/pdf/ai_anf.pdf).

Rules for Annex F-compliant PDF files

The PDF file format is suitable for all documents containing text or images. For example, you can store additional descriptions and notes relating to your application in PDF format or scan original documents not available in electronic form and convert them into PDF files. See section 3.1.2 of Annex F for full details.

- PDF files must be compatible with Adobe PDF version 1.4 or higher.
- PDF files must not be encrypted.
- PDF files must not contain any embedded OLE objects.
- The text in PDF files must not be compressed.
- With the exception of the 11 standard Windows fonts, any fonts used in the PDF file must be embedded.

Rules for Annex F-compliant images

See section 3.1.3 of Annex F for the full details.

- **TIFF** (file type *.tif*)
 - Only black and white images are allowed
 - When saving an image as TIFF the following settings should be selected: TIFF V6.0 with Group 4 compression, single strip, Intel encoded (i.e. for IBM PC format, NOT Macintosh).
 - Image resolution must be 300 or 400 dpi.
 - The recommended maximum page size is 255 mm x 170 mm.
- **JPEG** (file type *.jpg*)
 - Image resolution must be 300 or 400 dpi.
 - The recommended maximum page size is 255 mm x 170 mm.

11.5 Document naming conventions

The file naming convention established by the PCT lists several rules for the naming of documents, referenced files and other files. See **section 4.3 of Annex F** for the full details.

The basic rules are:

- Only the following characters may be used for file names:
 - ABCDEFGHIJKLMNOPQRSTUVWXYZ
 - abcdefghijklmnopqrstuvwxyz

- 0123456789
- File names are case-sensitive.
- The separator must be a period (.), followed by the file type.
- Accepted file name extensions are: txt, xml, tif, jpg, pdf, app, zip (use lower-case characters).
- File names must not exceed 128 positions altogether. The tables and examples in Annex F demonstrate how to assemble the different elements of the file names. These elements are separated by dashes (-).
- The different document and package types for initial ePCT filing must follow the codes in Table 6.



Please note that other receiving Offices may issue their own file naming rules.

11.6 XML element list

All XML elements for EP1001, EP1200, EP1038, EP2300, UP7000 and UP(7038) are listed in the element table below. Refer to the respective DTD file to see the structural rules for the elements. The attributes for each procedure are listed in the [XML attribute lists](#) section of the Annex.

1001 = ep-request.xml / ep-request-v1-16.dtd
1200 = ep-euro-pct.xml / ep-euro-pct-v1-17.dtd
1038 = ep-sfd-request.xml / ep-sfd-request-v1-8.dtd
2300 = ep-opposition-data.xml / ep-xmit-opposition-data-v1.5.dtd
3002 = ep-boa-request.xml / ep-boa-request-v1-0.dtd
7000 = up-request.xml / up-request-v1-2.dtd
7038 = up-sfd-request.xml / upsfd-request-v1-2.dtd

An **x** in one of the columns indicates that this element is part of the XML structure for one of the XML files used in the specific procedure.

Element	1001	1200	1038	2300	3002	7000	7038
absno				x	x		
accepted				x	x		
addcopies	x	x	x	x	x	x	x
additional-fee	x	x	x	x	x	x	x
address	x	x	x	x	x	x	x

address-1	x	x	x	x	x	x	x
address-2	x	x	x	x	x	x	x
address-3	x	x	x	x	x	x	x
addressbook	x	x	x	x	x	x	x
address-floor	x	x	x	x	x	x	x
agent			x			x	x
agents	x	x	x			x	x
altitle				x	x		
any-other-state	x	x	x				
applicant	x	x	x	x			
applicant-file-name	x	x	x	x	x	x	x
applicant-IB-recorded		x					
applicants	x	x	x	x	x		

Element	1001	1200	1038	2300	3002	7000	7038
application-reference	x			x	x	x	x
article				x	x		
article-num				x	x		
artid				x	x		
assignee				x	x		
assignees				x	x		
atl				x	x		
author	x	x	x	x	x	x	x
avail				x	x		

b	x	x	x	x	x	x	x
basic-signature	x	x	x	x	x	x	x
bio-accno	x	x		x	x		
bio-authorization	x	x					
bio-deposit				x	x		
bio-other-depositant	x	x					
bio-receipt	x	x					
bio-restriction-to-expert	x	x					
bio-waiver	x	x					
book				x	x		
bookno				x	x		
book-title				x	x		
br			x	x	x	x	x
building	x	x	x	x	x	x	x
category				x	x	x	x
chapter				x	x		
check-list	x	x	x		x	x	x
chem				x	x		
chemistry				x	x		
cheque-info	x	x	x			x	x
city	x	x	x	x	x	x	x
cl-abstract	x	x	x				
claim-num				x			
class				x	x		

cl-biological-material	x	x	x				
cl-claims	x	x	x				

Element	1001	1200	1038	2300	3002	7000	7038
cl-copy-general-power-of-attorney	x	x	x				
cl-description	x	x	x				
cl-drawings	x	x	x				
cl-fee-calculation	x	x	x				
cl-general-power-of-attorney	x	x	x				
click-wrap	x	x	x	x	x		
cl-lack-of-signature	x	x	x				
cl-other-document	x	x	x		x	x	x
cl-priority-document	x	x	x				
cl-request	x	x	x		x	x	x
cl-separate-power-of-attorney	x	x	x				
cl-sequence-listing	x	x	x				
cl-translation-of-application	x	x	x				
colf				x	x		
coll				x	x		
column				x	x		
compensation						x	
confdate				x	x		
conference				x	x		
confno				x	x		

confplace				x	x		
confsponsor				x	x		
conftitle				x	x		

Element	1001	1200	1038	2300	3002	7000	7038
correspondence-address	x	x	x	x	x	x	x
country	x	x	x	x	x	x	x
county	x	x	x	x	x	x	x
cpyrt				x	x		
crossref				x	x		
customer-number	x	x	x	x	x	x	x
date	x	x	x	x	x	x	x
datecit				x	x		
date-search-completed	x						
dd				x	x		
deceased-inventor	x	x	x	x	x		
declaration1	x	x	x				
declaration2	x	x	x				
declaration3	x	x	x				
declaration4	x	x	x				
declaration5	x	x	x				
declaration-application-contains-sequence-listing		x					
declaration-complete-translation-of-priority	x						
declaration-intention-to-file-claims-later	x						

declaration-no-intention-to-file-further-priority	x						
declaration-of-entity-or-natural-person	x	x	x				
declaration-of-micro-entity	x	x	x				
declarations	x	x	x				
declaration-translation-filed-later	x						
department	x	x	x	x	x	x	x
depository	x	x		x	x		
descrip				x	x		
designated-states	x	x	x	x	x		
designated-states-as-inventor	x	x	x	x	x		
designation-of-states	x	x	x				
designation-pct	x	x	x				
dl				x	x		
doc-number	x	x	x	x	x	x	x
doc-page	x	x	x	x	x	x	x

Element	1001	1200	1038	2300	3002	7000	7038
document-id	x	x	x	x	x	x	x
doi				x	x		
dt				x	x		
dtext	x	x	x	x	x	x	x
ead	x	x	x	x	x	x	x
earlier-search	x						
earlier-searches	x						

earlier-search-request	x	x	x				
edate				x	x		
edition				x	x		
electronic-signature	x	x	x	x	x	x	x
email	x	x	x	x	x	x	x
enhanced-signature	x	x	x	x	x	x	x
enquiry_regarding_expected_issue_of_search_report			x				
entire-patent				x			
ep-agent	x	x	x	x	x		
ep-agents				x	x		
ep-art61-appl	x						
ep-authorisation-number				x	x		
ep-authorisations				x	x		
ep-biological-material	x	x					
ep-biological-material-reference	x	x					
ep-bio-references-lines	x	x					
ep-bio-references-page	x	x					
ep-boa-request					x		
ep-declaration-and-request-on-sequence-listing-of-earlier-application	x						
ep-declarations	x	x	x				
ep-designated-states	x	x					
ep-divisional-appl	x						
ep-divisional-generation	x						

ep-earliest-doc	x						
ep-electronic-files	x	x	x	x	x		
ep-euro-pct		x					
ep-external-party-participant				x			
ep-external-party-participants				x			
ep-fax	x						
ep-file-name			x				

Element	1001	1200	1038	2300	3002	7000	7038
ep-financial-data	x	x	x	x	x		
ep-first-communication	x						
ep-first-communication-raising-lack-of-unity	x						
ep-inventor	x	x					
ep-language-of-filing	x	x					
ep-no-communication	x						
ep-notes-to-EPO	x	x	x	x	x		
ep-office-specific-data	x	x					
epo-file-name	x	x		x	x		
ep-opposition-evidence				x			
ep-opposition-evidence-title				x			
ep-opposition-external-party				x			
ep-opposition-notice				x			
ep-opposition-proprietor				x			
ep-opposition-submission				x			

ep-parties				x			
ep-previously-filed-application	x						
ep-priority-claim	x	x					
ep-request	x						
ep-request-for-exam-art94	x	x	x				
ep-submission-request				x	x		
ep-submission-request-comment				x	x		
ep-submission-requests				x	x		
ep-xmit-opposition-data				x			
exclusion-from-designation	x	x	x				
extension-states	x	x					
fax-image	x	x	x	x	x	x	x
fee	x	x	x	x	x	x	x
fee-calc-info	x	x	x	x	x	x	x
fee-factor	x	x	x	x	x	x	x
fee-reduction-amount	x	x	x	x	x	x	x
fee-reduction-factor	x	x	x	x	x	x	x
fees	x	x	x	x	x	x	x
fee-schedule	x	x	x	x	x	x	x
fee-sub-amount	x	x	x	x	x	x	x

Element	1001	1200	1038	2300	3002	7000	7038
fee-total-amount	x	x	x	x	x	x	x
fig-number	x	x	x				

figref				x	x		
figure-to-publish	x	x	x				
file-reference-id	x	x	x	x	x	x	x
first-name	x	x	x	x	x	x	x
formula-text				x	x		
gazette-num				x	x		
gazette-reference				x	x		
grounds-for-opposition				x			
heading				x	x		
history				x	x		
hostno				x	x		
hosttitle				x	x		
i	x	x	x	x	x	x	x
iid	x	x	x	x	x	x	x
img				x	x		
imprint				x	x		
ino				x	x		
interpretation-oral-proceedings				x	x		
invention-title	x	x	x	x	x		
inventive-step-not-valid				x			
inventor			x	x	x		
inventors	x	x	x	x	x		
IPEA	x	x	x	x	x	x	x
IPER	x	x	x	x	x	x	x

isa	x	x	x				
isbn				x	x		
issn				x	x		
issue				x	x		
keyword				x	x		
kind	x	x	x	x	x	x	x
kind-of-protection	x	x	x				
language-for-examination							
language-of-filing			x			x	x
language-of-translation						x	
last-name	x	x	x	x	x	x	x

Element	1001	1200	1038	2300	3002	7000	7038
li				x	x		
line				x	x		
linef				x	x		
linel				x	x		
location				x	x		
mailcode	x	x	x	x	x	x	x
maths				x	x		
middle-name	x	x	x	x	x	x	x
mode-of-payment	x	x	x	x	x	x	x
name	x	x	x	x	x	x	x
national	x	x	x				

nationality	x	x	x	x	x	x	x
new-designation-country	x	x	x				
none				x	x		
notes				x	x		
not-valid-other-grounds				x			
novelty-not-valid				x			
nplcit				x	x		
o				x	x		
office-of-filing	x	x	x				
office-specific-data			x		x	x	x
ol				x	x		
online				x	x		
online-title				x	x		
opposition-clarity				x			
opposition-evidence-other-file				x			
opposition-expert-witness				x			
opposition-filed-against				x			
opposition-subject-matter				x			
opposition-subject-matter-extension				x			
orgname	x	x	x	x	x	x	x
othercit				x	x		
other-fee	x	x	x	x	x	x	x
p				x	x		

Element	1001	1200	1038	2300	3002	7000	7038
para				x	x		
paraf				x	x		
paral				x	x		
parent-doc	x						
parties	x	x	x		x	x	x
passage				x	x		
patcit				x	x		
patent-granted-with-same-claims-set-rule-5-2-upr						x	
phone	x	x	x	x	x	x	x
pkcs7	x	x	x	x	x	x	x
pobox	x	x	x	x	x	x	x
postcode	x	x	x	x	x	x	x
pp				x	x		
ppf				x	x		
ppl				x	x		
pre				x	x		
precautionary-designation-statement	x	x	x				
priority-claim			x				
priority-claims	x	x	x				
priority-doc-attached	x	x	x				
priority-doc-requested	x	x	x				
procedural-language						x	

proprietors						x	x
proprietor						x	x
protection-request	x	x	x				
pubdate				x	x		
pubid				x	x		
publication-reference				x	x	x	x
received				x	x		
refno				x	x		
ref-number	x	x	x				
region	x	x	x	x	x	x	x
regional	x	x	x				
registered-number	x	x	x	x	x	x	x
reimbursement	x	x	x	x	x	x	x
rel-claims				x	x		
rel-passage				x	x		

Element	1001	1200	1038	2300	3002	7000	7038
request_for_accelerated_search			x				
request_for_accelerated_examination			x				
request-petition	x	x	x			x	x
request-re-establishment	x						
residence	x	x	x	x	x	x	x
revised				x	x		
role	x	x	x	x	x	x	x

room	x	x	x	x	x	x	x
sdate				x	x		
search-authority	x	x	x				
search-region	x	x	x	x	x		
sequence-number	x	x	x				
serial				x	x		
series				x	x		
serpart				x	x		
sersect				x	x		
sertitle				x	x		
signatories	x	x	x	x	x	x	x
signatory	x	x	x	x	x	x	x
signatory-capacity	x	x	x	x	x	x	x
smallcaps	x	x	x	x	x	x	x
srchdate				x	x		
srchtearm				x	x		
sr-refund	x	x	x	x	x	x	x
standard-fee	x	x	x	x	x	x	x
state	x	x	x	x	x	x	x
street	x	x	x	x	x	x	x
sub	x	x	x	x	x	x	x
sub2				x	x		
subject	x	x	x	x	x	x	x
subname				x	x		

subtitle				x	x		
----------	--	--	--	---	---	--	--

Element	1001	1200	1038	2300	3002	7000	7038
sup	x	x	x	x	x	x	x
sup2				x	x		
synonym	x	x	x	x	x	x	x
table-external-doc				x	x		
tables <i>(see DTD for more child elements)</i>				x	x		
term				x	x		
text	x	x	x	x	x	x	x
text-string	x	x	x	x	x	x	x
time				x	x		
time-limit				x	x		
title				x	x		
total-time-limit				x			
translations						x	
translation-info		x					
tr-amended-claims		x					
tr-annexes		x					
tr-inter-appl		x					
tr-originally-filed		x					
tr-prio-appl		x					
type-of-fee	x	x	x	x	x	x	x
u	x	x	x	x	x	x	x

ul				x	x		
up-declarations						x	x
up-electronic-files						x	x
up-file-name						x	x
up-financial-data						x	x
up-notes-to-EPO						x	x
up-request						x	
upsfd-request							x
url	x	x	x	x	x	x	x
us-rights	x	x	x	x	x		
validation-states	x	x					
vid				x	x		
waiver-communication-and-processing-of-non-designated-states	x	x					
waiver-for-communication		x					
waiver-to-indicate-further-processing	x	x					
written_request_for_accelerated_processing_EP_application			x				

See the **ep-xmit-opposition-data-v1.5.dtd** for more child elements to the **maths** element.

11.7 XML attribute lists

11.7.1 Attributes in ep-request.xml file – EP1001

The list relates to ep-request-v1-16.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
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accno	CDATA #REQUIRED	mode-of-payment, reimbursement
alt	CDATA #IMPLIED	doc-page
app-type	(applicant applicant-inventor employee) #REQUIRED	applicant
appl-type	CDATA #IMPLIED	application-reference
bio-info	(1) #IMPLIED	ep-biological-material
certified-copy	(attached later available) #IMPLIED	ep-previously-filed-application
color	(color bw) #IMPLIED	doc-page
contains-sequence-listing	(yes no) #REQUIRED	ep-previously-filed-application
curr	CDATA #REQUIRED	ep-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
date-produced	CDATA #IMPLIED	ep-request
deceased	(yes no) #IMPLIED	ep-inventor
declaration-of-no-search	(yes no not-determined) #REQUIRED	earlier-search
deferred-execution-date	CDATA #IMPLIED	mode-of-payment
designation	(all all-except-us us-only as- indicated) #REQUIRED	applicant
designation	(all all-except-us us-only as- indicated) #IMPLIED	ep-inventor
dnum	CDATA #IMPLIED	ep-biological-material
doc-type	CDATA #REQUIRED	ep-electronic-files
dtd-version	CDATA #IMPLIED	ep-request
ep-association-number	CDATA #IMPLIED	ep-agent

ep-authorisation	(filed-not-yet-registered registered attached) #IMPLIED	ep-agent
ep-document-type	(patent provisional utility PCT) #REQUIRED	ep-previously-filed-application, ep-priority-claim
fee-amounts-unlocked-by-user	(yes no) #IMPLIED	ep-financial-data
fig-count	CDATA #IMPLIED	cl-drawings
file	CDATA #IMPLIED	ep-request, ep-office-specific-data

ATTRIBUTE	VALUES	Applicable to ELEMENTS
file	CDATA #REQUIRED	fax-image, doc-page
filing-date	CDATA #REQUIRED	ep-previously-filed-application
general_authorisation_number	CDATA #IMPLIED	ep-agent
generation	(1 2 3 4 5) #REQUIRED	ep-divisional-generation
he	NMTOKEN #REQUIRED	doc-page
id	ID #IMPLIED	invention-title, ep-biological-material, ep-notes-to-EPO, doc-page, earlier-search, application-reference
id	CDATA #IMPLIED	ep-office-specific-data
index	CDATA #REQUIRED	fee
inv-rights	(employee successor under-agreement) #IMPLIED	ep-inventor
inv-rights-date	CDATA #IMPLIED	ep-inventor
is-also-priority	(yes no) #REQUIRED	ep-previously-filed-application
kind	(national regional international) #REQUIRED	ep-priority-claim

lang	CDATA #REQUIRED	ep-request, invention-title, addressbook, document-id, ep-office-specific-data, ep-request-for-exam-art94
lang-code	CDATA #IMPLIED	ep-language-of-filing
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
name-type	(legal natural) #IMPLIED	name
num	CDATA #IMPLIED	ep-biological-material
number-of-claims	CDATA #IMPLIED	ep-previously-filed-application, cl-claims
number-claims-fee-calculatio n	CDATA #IMPLIED	cl-claims
office	CDATA #REQUIRED	ep-office-specific-data, earlier-search
office-dtd	CDATA #IMPLIED	ep-office-specific-data
orientation	(portrait landscape) "portrait"	doc-page
page	CDATA #REQUIRED	ep-notes-to-EPO
page-count	CDATA #IMPLIED	cl-request, cl-description, cl-claims, cl-abstract, cl-drawings, cl-sequence-listing, cl-other-document
place-signed	CDATA #IMPLIED	electronic-signature
ATTRIBUTE	VALUES	Applicable to ELEMENTS
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
ppl	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
produced-by	(applicant RO ISA IPEA IB DO EO) #REQUIRED	ep-request
quantity	CDATA #REQUIRED	cl-sequence-listing

renunciation	CDATA #IMPLIED	ep-inventor
replaces-claims	(yes no) #REQUIRED	ep-previously-filed-application
rep-type	(agent attorney common-representative) #REQUIRED	ep-agent
ro	CDATA #REQUIRED	ep-request
search-type	(international-type isr sivr national national-supplementary) #REQUIRED	earlier-search
sequence	CDATA #REQUIRED	applicant, ep-inventor, ep-agent, ep-priority-claim
status	CDATA #IMPLIED	ep-request, ep-office-specific-data
topay	(yes no) #REQUIRED	fee
total-page-count	CDATA #IMPLIED	check-list
translation	CDATA #IMPLIED	ep-priority-claim
type	(jpg pdf tif) #REQUIRED	doc-page
url	CDATA #IMPLIED	ep-biological-material
user-input	CDATA #IMPLIED	fee-factor, fee-reduction-factor, fee-reduction-amount
waiver	CDATA #IMPLIED	ep-inventor
waiver-communication-and-processing-of-non-designated-states	(yes no) #REQUIRED	ep-designated-states
wi	NMTOKEN #REQUIRED	doc-page
will-be-filed-later	(yes no) "no"	bio-receipt, bio-authorization

11.7.2 Attributes in ep-euro-pct.xml file – EP1200

The list relates to ep-euro-pct-v1-17.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
alt	CDATA #IMPLIED	doc-page
amendments-enclosed	(yes no) #REQUIRED	ep-euro-pct
app-type	(applicant applicant-inventor employee) #REQUIRED	applicant
application-pages	CDATA #IMPLIED	cl-description, cl-claims, cl-drawings
bio-info	(1) #IMPLIED	ep-biological-material
color	(color bw) #IMPLIED	doc-page
curr	CDATA #REQUIRED	ep-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
date-produced	CDATA #IMPLIED	ep-euro-pct
deferred-execution-date	CDATA #IMPLIED	mode-of-payment
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
designation	(all all-except-us us-only as-indicated) #IMPLIED	ep-inventor
dnum	CDATA #IMPLIED	ep-biological-material
doc-type	CDATA #REQUIRED	ep-electronic-files
dtd-version	CDATA #IMPLIED	ep-euro-pct
ep-association-number	CDATA #IMPLIED	ep-agent
ep-authorisation	(includes-ep-phase filed-not-yet-registered registered attached) #IMPLIED	ep-agent

fee-amounts-unlocked-by-user	(yes no) #IMPLIED	ep-financial-data
fig-count	CDATA #IMPLIED	cl-drawings
file	CDATA #IMPLIED	ep-euro-pct, ep-office-specific-data
file	CDATA #REQUIRED	fax-image, doc-page
furnishment-of-sequence-listing	(already attached) #REQUIRED	declaration-application-contains-sequence-listing
general_authorisation_number	CDATA #IMPLIED	ep-agent
he	NMTOKEN #REQUIRED	doc-page

ATTRIBUTE	VALUES	Applicable to ELEMENTS
id	ID #IMPLIED	ep-biological-material, ep-notes-to-EPO, doc-page
id	CDATA #IMPLIED	ep-office-specific-data
index	CDATA #REQUIRED	fee
ipea	(EP other) #REQUIRED	IPEA
iper-type	(rational detailed) #REQUIRED	IPER
kind	(national regional international) #REQUIRED	ep-priority-claim
lang	CDATA #REQUIRED	ep-euro-pct, addressbook, document-id, ep-office-specific-data, ep-request-for-exam-art94
lang-code	CDATA #IMPLIED	ep-language-of-filing
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
name-type	(legal natural) #IMPLIED	name
not-including-matter-beyond-original-application	(yes no) #IMPLIED	declaration-application-contains-sequence-listing

num	CDATA #IMPLIED	ep-biological-material
number-of-claims	CDATA #IMPLIED	cl-claims
number-claims-fee-calculation	CDATA #IMPLIED	cl-claims
office	CDATA #REQUIRED	ep-office-specific-data
office-dtd	CDATA #IMPLIED	ep-office-specific-data
orientation	(portrait landscape) "portrait"	doc-page
other-type	CDATA #IMPLIED	cl-other-document
page	CDATA #REQUIRED	ep-notes-to-EPO
page-count	CDATA #IMPLIED	cl-request, cl-description, cl-claims, cl-abstract, cl-drawings, cl-sequence-listing, cl-other-document
phase	international-application-as-filed translation-of-international-application amendments-after-international-srep translation-of-amendments-after-international-srep amendments-during-international-exam translation-of-amendments-during-international-exam entry-into-regional-phase	cl-claims

ATTRIBUTE	VALUES	Applicable to ELEMENTS
phase	international-application-as-filed translation-of-international-application amendments-during-international-exam translation-of-amendments-during-international-exam entry-into-regional-phase	cl-description
phase	international-application-as-filed translation-of-international-application amendments-during-international-exam translation-of-amendments-during-international-exam entry-into-regional-phase	cl-drawings
place-signed	CDATA #IMPLIED	electronic-signature

pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
ppl	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
produced-by	(applicant RO ISA IPEA IB DO EO) #REQUIRED	ep-euro-pct
quantity	CDATA #REQUIRED	cl-sequence-listing
region	(Other EP) "EP"	search-region
regional-phase-office	(designated elected) #REQUIRED	ep-euro-pct
renunciation	CDATA #IMPLIED	ep-inventor
rep-type	(agent attorney common-representative) #REQUIRED	ep-agent
replace-in-full	(yes no) #IMPLIED	cl-claims
ro	CDATA #REQUIRED	ep-euro-pct
sequence	CDATA #REQUIRED	applicant, ep-inventor, ep-agent, ep-priority-claim
sequence-listing-in-st25identical-to-pdf	(yes no) #IMPLIED	declaration-application-contains-sequence-listing
seq-type	(pdf tif jpg app txt xml zip) #IMPLIED	cl-sequence-listing
st25	(yes no) #IMPLIED	cl-sequence-listing
status	CDATA #IMPLIED	ep-euro-pct, ep-office-specific-data
topay	(yes no) #REQUIRED	fee
total-page-count	CDATA #IMPLIED	check-list
translation	CDATA #IMPLIED	ep-priority-claim
type	(jpg pdf tif) #REQUIRED	doc-page
url	CDATA #IMPLIED	ep-biological-material

ATTRIBUTE	VALUES	Applicable to ELEMENTS
user-input	CDATA #IMPLIED	fee-factor, fee-reduction-factor, fee-reduction-amount
waiver	CDATA #IMPLIED	ep-inventor
waiver-communication-and-processing-of-non-designated-states	(yes no) #REQUIRED	ep-designated-states
wi	NMTOKEN #REQUIRED	doc-page
will-be-filed-later	(yes no) "no"	bio-receipt, bio-authorization

11.7.3 Attributes in ep-sfd-request.xml file – EP1038

The list relates to ep-sfd-request-v2-6.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
alt	CDATA #IMPLIED	doc-page
app-type	(applicant applicant-inventor employee) #REQUIRED	applicant
color	(color bw) #IMPLIED	doc-page
curr	CDATA #REQUIRED	ep-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
deferred-execution-date	CDATA #IMPLIED	mode-of-payment
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
doc-type	CDATA #REQUIRED	ep-electronic-files
ep-association-number	CDATA #IMPLIED	agent
fee-amounts-unlocked-by-us er	(yes no) #IMPLIED	ep-financial-data
fig-count	CDATA #IMPLIED	cl-drawings
file	CDATA #REQUIRED	fax-image, doc-page
he	NMTOKEN #REQUIRED	doc-page
id	ID #IMPLIED	ep-notes-to-EPO, doc-page
index	CDATA #REQUIRED	fee
lang	CDATA #REQUIRED	addressbook, document-id
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
name-type	(legal natural) #IMPLIED	name

number-of-claims	CDATA #IMPLIED	cl-claims
orientation	(portrait landscape) "portrait"	doc-page
ATTRIBUTE	VALUES	Applicable to ELEMENTS
other-type	CDATA #IMPLIED	cl-other-document
page	CDATA #REQUIRED	ep-notes-to-EPO
page-count	CDATA #IMPLIED	cl-request, cl-description, cl-claims, cl-abstract, cl-drawings, cl-other-document
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
ppl	CDATA #IMPLIED	cl-description, cl-claims, cl-abstract, cl-drawings, doc-page
rep-type	(agent attorney common-representative) #REQUIRED	agent
sequence	CDATA #REQUIRED	applicant
topay	(yes no) #REQUIRED	fee
total-page-count	CDATA #IMPLIED	check-list
type	(jpg pdf tif) #REQUIRED	doc-page
user-input	CDATA #IMPLIED	fee-factor, fee-reduction-factor, fee-reduction-amount
wi	NMTOKEN #REQUIRED	doc-page

11.7.4 Attributes in ep-opposition-data.xml file – EP2300

The list relates to ep-xmit-opposition-data-v1.5.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
after-summons-to-op	(yes no) #IMPLIED	ep-opposition-submission
alt	CDATA #IMPLIED	doc-page, img
align	(left right center justify char) #IMPLIED	tgroup, colspec, entry
app-type	(applicant applicant-inventor) #REQUIRED	applicant
appeal-type	CDATA #IMPLIED	ep-xmit-opposition-data
appl-type	CDATA #IMPLIED	application-reference
auxiliary-request	(yes no) #IMPLIED	ep-submission-request
carriers	(internal-electronic external-electronic paper) #IMPLIED	table-external-doc
char	CDATA #IMPLIED	colspec, entry

ATTRIBUTE	VALUES	Applicable to ELEMENTS
charoff	NMTOKEN #IMPLIED	colspec, entry
chem-type	CDATA #IMPLIED	chem
class-type	CDATA #IMPLIED	class
colname	NMTOKEN #IMPLIED	colspec, entry
colnum	NMTOKEN #IMPLIED	colspec
color	(color bw) #IMPLIED	doc-page
cols	NMTOKEN #REQUIRED	tgroup
colsep	NMTOKEN #IMPLIED	table, tgroup, colspec, entry
colwidth	CDATA #IMPLIED	colspec
convention	CDATA #IMPLIED	not-valid-other-grounds
curr	CDATA #REQUIRED	ep-financial-data

currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
date-produced	CDATA #IMPLIED	ep-xmit-opposition-data
deferred-execution-date	CDATA #IMPLIED	mode-of-payment
designation	(all all-except-us us-only as-indicated) #REQUIRED	applicant
designation	(all all-except-us us-only as-indicated) #IMPLIED	inventor
division-reference	CDATA #IMPLIED	ep-opposition-evidence
dnum	CDATA #IMPLIED	bio-deposit, patcit
dnum-type	CDATA #IMPLIED	patcit
doc-type	CDATA #REQUIRED	ep-electronic-files
doc-version	CDATA #IMPLIED	ep-xmit-opposition-data
dtd-version	CDATA #IMPLIED	ep-xmit-opposition-data
ep-association-number	CDATA #IMPLIED	ep-agent
external-party-role	(opponent intervener third-party) #REQUIRED	ep-opposition-external-party
external-type	(math chemistry program-listing other) #IMPLIED	table-external-doc
file	CDATA #IMPLIED	patcit, nplcit
file	CDATA #REQUIRED	fax-image, doc-page, img, chem, table-external-doc
frame	(top bottom topbot all sides none) #IMPLIED	table
he	CDATA #REQUIRED	doc-page, img

ATTRIBUTE	VALUES	Applicable to ELEMENTS
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id	ID #IMPLIED	invention-title, ep-notes-to-EPO, doc-page, ep-xmit-opposition-data, ep-opposition-proprietary, ep-opposition-external-party, opposition-evidence-other-file, p, ul, ol, dt, dl, img, bio-deposit, addressbook, chemistry, chem, tables, patcit, nplcit, author, application-reference, publication-reference, pre, table-external-doc
idref	IDREFS #IMPLIED	figref
idref	IDREF #IMPLIED	crossref
img-content	(drawing photograph character dna undefined chem table math program-listing graph flowchart) "drawing"	img
img-format	(jpg tif st33 st35) #REQUIRED	img
index	CDATA #REQUIRED	fee
inline	(yes no) "no"	img
ipea	(EP other) "EP"	IPEA
iper-type	(rational detailed) #REQUIRED	IPER
kind	(heir heiress executor executrix estate legal-representative administrator administratrix legal-representatives heirs executors legal-heirs) #REQUIRED	us-rights
lang	CDATA #IMPLIED	document-id, invention-title, addressbook, nplcit, deceased-inventor, table-external-doc
lang	CDATA #REQUIRED	ep-xmit-opposition-data
lang-listening	NMTOKEN #REQUIRED	interpretation-oral-proceedings
lang-speaking	NMTOKEN #REQUIRED	interpretation-oral-proceedings

listing-type	(sequence program-listing other) #REQUIRED	pre
medium	CDATA #IMPLIED	nplcit
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
morerows	NMTOKEN #IMPLIED	entry
name-type	(legal natural) #IMPLIED	name
nameend	NMTOKEN #IMPLIED	entry
namest	NMTOKEN #IMPLIED	entry
npl-type	CDATA #IMPLIED	nplcit

ATTRIBUTE	VALUES	Applicable to ELEMENTS
num	CDATA #REQUIRED	p, bio-deposit, chemistry, tables
num	CDATA #IMPLIED	figref, patcit, nplcit
ocr	CDATA #IMPLIED	doc-page
orientation	(portrait landscape) "portrait"	img
ostyle	(single double dash dots leftarrow rightarrow leftrightarrow)	o
page	CDATA #REQUIRED	ep-notes-to-EPO
party-id	IDREF #IMPLIED	ep-opposition-notice, ep-opposition- submission, ep-opposition-evidence
party-reference		ep-opposition-evidence
pgwide	NMTOKEN #IMPLIED	table
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	doc-page
ppl	CDATA #IMPLIED	doc-page

region	(Other EP) "EP"	search-region
rep-address	(yes no) #IMPLIED	ep-agent
rep-type	(agent attorney common-representative) #REQUIRED	ep-agent
request-type	(oral-proceedings oral-proceedings-withdrawn opposition-withdrawn revocation acceleration-proceedings hearing-of-witness extension-time-limit interpretation-oral-proceedings other) #REQUIRED	ep-submission-request
rowsep	NMTOKEN #IMPLIED	table, tgroup, colspec, row, entry
sequence	CDATA #REQUIRED	ep-external-party-participant, applicant, inventor, deceased-inventor
status	CDATA #IMPLIED	table-external-doc
style	(single double dash dots) "single"	u
subname-type	(editor translator other-subname-type) "editor"	subname
time-units	(days months years weeks) #REQUIRED	time-limit, total-time-limit
to-be-summoned-via	(party agent) #IMPLIED	opposition-expert-witness
to-dead-inventor	CDATA #REQUIRED	us-rights
topay	(yes no) #REQUIRED	fee
ATTRIBUTE	VALUES	Applicable to ELEMENTS
type	(jpg pdf tif) #REQUIRED	doc-page
type	CDATA #IMPLIED	opposition-evidence-other-file
url	CDATA #IMPLIED	bio-deposit, nplcit
user-input	CDATA #IMPLIED	fee-reduction-factor, fee-reduction-amount
valign	(top middle bottom) #IMPLIED	thead, row, entry, tbody

wi	CDATA #REQUIRED	img
xml:space	(preserve default) #IMPLIED	pre

11.7.4 Attributes in ep-boa-request.xml file – EP(3200)

The list relates to ep-boa-request-v1-0.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
alt	CDATA #IMPLIED	doc-page, img, mglyph
align	(left right center justify char) #IMPLIED	tgroup, colspec, entry, mstyle, mtable
app-type	(applicant employee applicant-inventor proprietor opponent intervener third_party) #REQUIRED	ep-applicant
appeal-type	CDATA #IMPLIED	ep-boa-request
appl-type	CDATA #IMPLIED	application-reference
auxiliary-request	(yes no) #IMPLIED	ep-submission-request
carriers	(internal-electronic external-electronic paper) #IMPLIED	table-external-doc
char	CDATA #IMPLIED	colspec, entry

ATTRIBUTE	VALUES	Applicable to ELEMENTS
charoff	NMTOKEN #IMPLIED	colspec, entry
chem-type	CDATA #IMPLIED	chem
class-type	CDATA #IMPLIED	class
colname	NMTOKEN #IMPLIED	colspec, entry

colnum	NMTOKEN #IMPLIED	colspec
color	(color bw) #IMPLIED	doc-page, mi, mn, mo, mtext ,ms, mstyle
cols	NMTOKEN #REQUIRED	tgroup
colsep	NMTOKEN #IMPLIED	table, tgroup, colspec, entry
colwidth	CDATA #IMPLIED	colspec
curr	CDATA #REQUIRED	ep-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
date-produced	CDATA #IMPLIED	ep-boa-request
deferred-execution-date	CDATA #IMPLIED	mode-of-payment
designation	(all all-except-us us-only as-indicated) #REQUIRED	ep-applicant
designation	(all all-except-us us-only as-indicated) #IMPLIED	inventor
division-reference	CDATA #IMPLIED	ep-boa-evidence
dnum	CDATA #IMPLIED	bio-deposit, patcit
dnum-type	CDATA #IMPLIED	patcit
doc-type	CDATA #REQUIRED	ep-electronic-files
doc-version	CDATA #IMPLIED	ep-boa-request
dtd-version	CDATA #REQUIRED	ep-boa-request
ep-association-number	CDATA #IMPLIED	ep-agent
external-type	(math chemistry program-listing other) #IMPLIED	table-external-doc
file	CDATA #IMPLIED	patcit, nplcit
file	CDATA #REQUIRED	fax-image, doc-page, img, chem, table-external-doc

frame	(top bottom topbot all sides none) #IMPLIED	table
frame	(none solid dashed) #IMPLIED	mtable, mstyle
he	CDATA #REQUIRED	doc-page, img

ATTRIBUTE	VALUES	Applicable to ELEMENTS
id	ID #IMPLIED	ep-boa-request, boa-evidence-image-file, boa-evidence-letter-file, boa-evidence-other-file, ep-notes-to-EPO, doc-page, heading, p, ul, ol, dt, dl, img, bio-deposit, addressbook, chemistry, chem, tables, patcit, nplcit, author, refno, maths (*), application-reference, publication-reference, invention-title, gazette-reference, pre, table-external-doc
idref	IDREFS #IMPLIED	figref
idref	IDREF #REQUIRED	crossref
img-content	(drawing photograph character dna undefined chem table math program-listing graph flowchart) "drawing"	img
img-format	(jpg tif st33 st35) #REQUIRED	img
index	CDATA #REQUIRED	fee
index	CDAT #IMPLIED	mglyph
inline	(yes no) "no"	img
ipea	(EP other) "EP"	IPEA
iper-type	(rational detailed) #REQUIRED	IPER

kind	(heir heiress executor executrix estate legal-representative administrator administratrix legal-representatives heirs executors legal-heirs) #REQUIRED	us-rights
lang	CDATA #IMPLIED	document-id, addressbook, nplcit, deceased-inventor, invention-title, gazette-reference, table-external-doc
lang	CDATA #REQUIRED	ep-boa-request
lang-listening	NMTOKEN #REQUIRED	interpretation-oral-proceedings
lang-speaking	NMTOKEN #REQUIRED	interpretation-oral-proceedings
listing-type	(sequence program-listing other) #REQUIRED	pre
medium	CDATA #IMPLIED	nplcit
mode-type	(auto deposit bank ccard) #REQUIRED	mode-of-payment
morerows	NMTOKEN #IMPLIED	entry
name-type	(legal natural) #IMPLIED	name
nameend	NMTOKEN #IMPLIED	entry
namest	NMTOKEN #IMPLIED	entry
npl-type	CDATA #IMPLIED	nplcit

ATTRIBUTE	VALUES	Applicable to ELEMENTS
num	CDATA #REQUIRED	p, bio-deposit, chemistry, tables, maths
num	CDATA #IMPLIED	li, figref, patcit, nplcit
ocr	CDATA #IMPLIED	doc-page
orientation	(portrait landscape) "portrait"	doc-page, img
ostyle	(single double dash dots leftarrow rightarrow leftrightarrow) "single"	o

page	CDATA #REQUIRED	ep-notes-to-EPO
party-id	IDREF #IMPLIED	ep-boa-evidence
party-reference	CDATA #IMPLIED	ep-boa-evidence
pgwide	NMTOKEN #IMPLIED	table
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	doc-page
ppl	CDATA #IMPLIED	doc-page
region	(Other EP) "EP"	search-region
rep-address	(yes no) #IMPLIED	ep-agent
rep-type	(agent attorney common-representative employee) #REQUIRED	ep-agent
request-type	(oral-proceedings extension-time-limit interpretation-oral-proceedings hearing-of-witness further-declarations acceleration-proceedings other) #REQUIRED	ep-submission-request
rowsep	NMTOKEN #IMPLIED	table, tgroup, colspec, row, entry
sequence	CDATA #REQUIRED	ep-applicant, ep-agent, inventor
sequence	CDATA #IMPLIED	deceased-inventor
status	CDATA #IMPLIED	table-external-doc
style	(single double dash dots) "single"	u
style	CDATA #IMPLIED	(*)
subname-type	(editor translator other-subname-type) "editor"	subname
time-units	(days months years weeks) #REQUIRED	time-limit, total-time-limit

to-dead-inventor	CDATA #REQUIRED	us-rights
topay	(yes no) #REQUIRED	fee
ATTRIBUTE	VALUES	Applicable to ELEMENTS
type	(jpg pdf tif) #REQUIRED	doc-page
type	CDATA #IMPLIED	boa-evidence-image-file, boa-evidence-letter-file, boa-evidence-other-file, ci, csymbol, cn, declare, set, tendsto
url	CDATA #IMPLIED	bio-deposit, patcit, nplcit
user-input	CDATA #IMPLIED	fee-reduction-factor, fee-reduction-amount
valign	(top middle bottom) #IMPLIED	thead, row, entry, tbody
wi	CDATA #REQUIRED	img
xml:space	(preserve default) #IMPLIED	pre

(*) Attribute is applicable to several children of the <maths> element. Please see file **ep-boa-request-v1-0.dtd** for more details.

11.7.5 Attributes in up-request.xml file – UP7000

The list relates to up-request-v1-2.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
alt	CDATA #IMPLIED	doc-page

ATTRIBUTE	VALUES	Applicable to ELEMENTS
authorisation	CDATA #IMPLIED	agent
category	CDATA #IMPLIED	up-electronic-files
color	(color bw) #IMPLIED	doc-page

compensation-payment-method	CDATA #IMPLIED	compensation
curr	CDATA #REQUIRED	up-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
date-produced	CDATA #IMPLIED	up-request
deferred-execution-date	CDATA #IMPLIED	mode-of-payment
deposit-account-number	CDATA #IMPLIED	compensation
doc-type	CDATA #REQUIRED	up-electronic-files
dtd-version	CDATA #IMPLIED	up-request
fee-amounts-unlocked-by-user	(yes no) #IMPLIED	up-financial-data
fee-factor user-input	CDATA #IMPLIED	fee-factor
fee-reduction-amount user-input	CDATA #IMPLIED	fee-reduction-amount
file	CDATA #REQUIRED	up-request, fax-image, doc-page, office-specific-data
he	NMTOKEN #REQUIRED	doc-page
general-authorisation-number	CDATA #IMPLIED	agent
id	ID #IMPLIED	up-notes-to-EPO, doc-page, office-specific-data
index	CDATA #REQUIRED	fee
lang	CDATA #REQUIRED	addressbook, document-id, office-specific-data
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
name-type	(legal natural) #IMPLIED	name
office	CDATA #REQUIRED	office-specific-data
office-dtd	CDATA #REQUIRED	office-specific-data

page	CDATA #REQUIRED	up-notes-to-EPO
page-count	CDATA #IMPLIED	cl-request, cl-other-document
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	doc-page
ppl	CDATA #IMPLIED	doc-page
produced-by	(applicant RO ISA IPEA IB DO EO) #REQUIRED	up-request
prop-type	(employee proprietor) #REQUIRED	proprietor
prop-status	(small-or-medium-sized-enterprise natural-person non-profit-or-university-or-research-org) #IMPLIED	proprietor
up-association-number	CDATA #IMPLIED	agent
rep-type	(agent attorney common-representative) #REQUIRED	agent
requested	(true false) #IMPLIED	compensation
ro	CDATA #REQUIRED	up-request
same-address	CDATA #REQUIRED	agent
sequence	CDATA #REQUIRED	applicant, proprietor, place-of-business, agent

specific-authorisation-date	CDATA #IMPLIED	agent
status	CDATA #IMPLIED	up-request, office-specific-data
topay	(yes no) #REQUIRED	fee
type	(jpg pdf tif) #REQUIRED	doc-page
up-association-number	CDATA #IMPLIED	agent
user-input	CDATA #IMPLIED	fee-factor, fee-reduction-factor, fee-reduction-amount
wi	NMTOKEN #REQUIRED	doc-page

11.7.6 Attributes in up-sfd-request.xml file – UP(7038)

The list relates to upsfed-request-v1-2.dtd.

ATTRIBUTE	VALUES	Applicable to ELEMENTS
accno	CDATA #REQUIRED	mode-of-payment, reimbursement
alt	CDATA #IMPLIED	doc-page
authorisation	CDATA #IMPLIED	agent
category	CDATA #IMPLIED	up-electronic-files
color	(color bw) #IMPLIED	doc-page
curr	CDATA #REQUIRED	up-financial-data
currency	CDATA #IMPLIED	mode-of-payment
date	CDATA #REQUIRED	fees, electronic-signature
date-produced	CDATA #IMPLIED	upsfed-request
deferred-execution-date	CDATA #IMPLIED	mode-of-payment
deposit-account-number	CDATA #IMPLIED	compensation
doc-type	CDATA #REQUIRED	up-electronic-files

dtd-version	CDATA #IMPLIED	upsfd-request
fee-amounts-unlocked-by-user	(yes no) #IMPLIED	up-financial-data
fee-factor user-input	CDATA #IMPLIED	fee-factor
fee-reduction-amount user-input	CDATA #IMPLIED	fee-reduction-amount
file	CDATA #REQUIRED	upsfd-request, doc-page, office-specific-data
he	NMTOKEN #REQUIRED	doc-page
general-authorisation-number	CDATA #IMPLIED	agent
id	ID #IMPLIED	up-notes-to-EPO, doc-page, office-specific-data
index	CDATA #REQUIRED	fee
lang	CDATA #REQUIRED	addressbook, document-id, office-specific-data, upsfd-request
mode-type	(auto deposit bank) #REQUIRED	mode-of-payment
name-type	(legal natural) #IMPLIED	name
office	CDATA #REQUIRED	office-specific-data
office-dtd	CDATA #REQUIRED	office-specific-data
page	CDATA #REQUIRED	up-notes-to-EPO
page-count	CDATA #IMPLIED	cl-request, cl-other-document
place-signed	CDATA #IMPLIED	electronic-signature
pp	CDATA #IMPLIED	doc-page
ppf	CDATA #IMPLIED	doc-page
ppl	CDATA #IMPLIED	doc-page
produced-by	(applicant RO ISA IPEA IB DO EO) #REQUIRED	upsfd-request
prop-type	(employee proprietor) #REQUIRED	proprietor
prop-status	(small-or-medium-sized-enterprise natural-person non-profit-or-university-or-research-org) #IMPLIED	proprietor

up-association-number	CDATA #IMPLIED	agent
rep-type	(agent attorney common-representative) #REQUIRED	agent
ro	CDATA #REQUIRED	upsfd-request
sequence	CDATA #REQUIRED	proprietor, agent
status	CDATA #IMPLIED	upsfd-request, office-specific-data
topay	(yes no) #REQUIRED	fee
type	(jpg pdf tif) #REQUIRED	doc-page
up-association-number	CDATA #IMPLIED	agent
user-input	CDATA #IMPLIED	fee-factor, fee-reduction-factor, fee-reduction-amount
wi	NMTOKEN #REQUIRED	doc-page

11.8 Data length restrictions

The maximal data length for some text fields is limited. See all details for affected elements and attributes in the table below. An **x** in a column means that this element is applicable for the specific procedure.

ELEMENT	1001	1200	1038	2300	UP	Max. data length
addcopies	x	x	x	x		2
address	x	x	x	x	x	247
bio-accno	x	x		x		64
bio-other-deposant	x	x				249
city	x	x	x	x	x	64
department	x	x	x	x	x	63

doc-number	x	x	x	x	x	10-17 depending on parent element
email	x	x	x	x	x	64
fax	x	x	x	x	x	25
figure-to-publish	x	x	x			16
first-name	x	x	x	x	x	64
iid	x	x	x	x	x	16
invention-title	x			x		590
last-name	x	x	x	x	x	128
mode-of-payment	x	x	x	x	x	64
name	x	x	x	x	x	128
orgname	x	x	x	x	x	63
ELEMENT	1001	1200	1038	2300	UP	Max. data length
phone	x	x	x	x	x	25
postcode	x	x	x	x	x	15
reimbursement	x	x	x	x	x	64
sr-refund	x					12
suffix	x	x	x	x	x	64

ATTRIBUTE	VALUES	PROCEDURES	Max. data length
accno	CDATA #REQUIRED	1001, 1200, 7000	8
dnum	CDATA #IMPLIED	1001	64
general_authorisation_number	CDATA #IMPLIED	1200, 7000	6
number-of-claims	CDATA #IMPLIED	1001	4

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