

# European Patent Register Resource Book

User guide

(Deutsche Übersetzung folgt)

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# **Concept Topics**

A concept topic provides background information about the overall goal of the application and provides technical and legal information. Concepts cover all kinds of knowledge beyond the scope of instructions for using the application.

Concept topics are especially important for users who are new to patent research in general. The topic title should clearly reflect that this information is not necessary for experienced users, so these can skip the concepts and concentrate on tasks and references.

### The European Patent Register

The European Patent Register is the place where the European Patent Office stores all the publicly accessible information about European patents, patent applications and European patents with unitary effect, aka. Unitary Patents in the various stages of the grant and post-grant procedure. You can access all this data in the Register on the Internet at any time.

You can view the procedural data for all European, Euro-PCT, PCT applications and European patents with unitary effect as soon as they are published. The Register allows you to find all the publicly accessible documents from the files maintained by the European Patent Office on these patent applications – including oppositions, patent attorney/EPO correspondence and more.

The Register provides for public file inspection and allows you to access the data in Espacenet. You can also follow the links to the patent registers of many of the member states of the European Patent Organisation to see the status of granted European patents after they have entered the national phase in the Federated Register service.

The European Patent Register is a publicly available service and free of charge. You can also inspect paper copies of the files upon request. However, this will take at least four weeks and you will have to pay an administrative fee.

### **Benefits of the European Patent Register**

If you want quick and easy access to complete and comprehensive information from and about European and Unitary Patents, the European Patent Register is for you.

The information in the European Patent Register is not only relevant for patent attorneys, inventors and applicants. Business analysts, researchers and competitive analysis experts will also benefit from the wealth of information in the Register.

You can use the European Patent Register for the following purposes:

- You can find out what procedural stage a European patent application is currently in.
- You can follow the procedural progress of national patent applications (PCTs)
  where the EPO has been designated as receiving Office (PCTRO), International
  Searching Authority (PCTISA), Supplementary International Searching Authority
  (SISA) and International Preliminary Examining Authority (IPEA) (PCT2).
- You can find out if a European patent has been granted or if the application is still pending.
- You can follow European patents in the national phase (post-grant) in the Federated Register service
- You can check and follow the status of a European patents with unitary effect (Unitary Patent).
- You can check the legal status of the European patents in the validated designated states.
- You can check whether any notices of opposition have been filed against a European patent.
- You can view the communications between the European Patent Office and the patent applicants or their representatives.
- You can download any document from the European Patent Register and save it to view later.

### **Patents and inventions**

A patent is a legal title which protects a technical invention for a limited period. It gives the owner the right to prevent others from exploiting the invention in the countries for which it has been granted. All patents are published, so everyone can benefit from the information they contain.

Patent applicants must disclose in detail how their invention functions. There are not many types of literature that describe technologies as precisely as patent documents do.

An invention can, for example, be a product, a process or an apparatus. To be patentable, it must be new, industrially applicable and involve an inventive step.

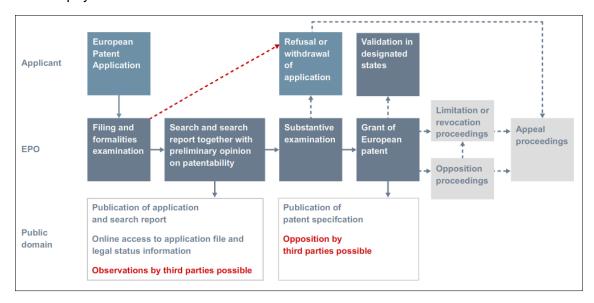
### The European patent grant procedure

European patent applications can be filed with the European Patent Office in any language. The official languages of the EPO are English, French and German. If an application is submitted in another language, a translation into one of the EPO's official languages must be submitted within two months.

In the first stage of the European patent grant procedure the application is formally examined to make sure the formal and content related requirements are met, so that a filing date can be awarded.

The main stages in the life of a patent are:

- filing of the application
- formalities examination
- search
- substantive examination
- grant or refusal
- (possible) opposition by third parties, limitation or revocation
- expiry



Overview of the life of a European patent application

### Filing and formalities examination

The examination on filing and as to formal requirements includes the format and content of the application, the drawings and the abstract and the inventor's name. It also includes checking that the required translations have been filed and the fees paid.

### Search and search report

A patent examiner then carries out a search for similar inventions to the one claimed by the applicant. The report on this search cites all of the documents available to the Office which could be important for assessing the novelty and inventive activity of the invention.

### Publication of the application and the search report

The search report is published as soon as possible, but not sooner than eighteen months after the filing date. The application is published after 18 months or, if priority is claimed, after the priority date, unless of course it is withdrawn before then. Ideally the search report and the application are published at the same time.

The applicant then has six months from the publication of the search report to decide whether he wants to continue the process and file a request for substantive examination, and to pay the examination and designation fees and any possible extension fees.

From the publication date onwards, European patent applications confer provisional protection for the invention in the states designated in the application.

#### Substantive examination

Once a request for substantive examination is filed, the EPO checks whether the application and the invention meet the requirements of the European Patent Convention, and whether a patent can be granted.

#### **Grant of European patent**

If a patent can be granted, then a decision to this effect will be issued. The applicant is invited to submit the translation of the claims into the other two official EPO languages and to pay the grant and publication fees.

#### **European Patent with unitary effect (Unitary Patent)**

At the request of the proprietor, a granted European patent can be attributed with unitary effect. If all conditions are met a European patent with unitary effect is registered by the EPO. Unitary patent protection provides uniform protection to equal effect in all the participating Member states.

### Publication of the patent specification

Once the translation of the claims has been submitted and the grant and publication fees paid, the patent specification is published (B1 publication) and notification of the grant is published in the European Patent Bulletin. The decision to grant the patent is effective as of the date indicated in the legal status in the Register.

Normally, a patent is published twice:

1. firstly as an application about 18 months after the first (priority) filing

### 2. secondly as a granted patent

Additional publications may be necessary, for example if the search report is not ready when the application is published, or if corrections or amendments to the original publications are made.

### Validation in designated contracting states

The granted European patent, also known as the European patent specification, divides into a "bundle" of individual national patents, each of which must be validated within a specified time frame in the designated contracting state concerned. In other words, it enters into the national phase.

Typically, and depending on the language of the EPO procedure and in the respective contracting state, translations of part or the entire patent document will have to be submitted.

### **Opposition proceedings**

Up to nine months after the patent is granted, third parties can file a notice of opposition against it. The EPO's opposition division examines the notice of opposition. There are different possible outcomes for an opposition procedure: the patent is maintained in its current form, the patent is amended leading to re-publication, the patent is revoked, or the opposition is rejected.

### Limitation or revocation proceedings

At any time after the patent is granted, patent proprietors can apply for the limitation or revocation of their own patent, thereby opening limitation or revocation proceedings.

A decision regarding limitation or revocation becomes effective on the day on which it is announced in the European Patent Bulletin. This causes the patent to be limited or revoked ab initio in all the contracting states.

#### Renewal

For the patent to remain in force, proprietors must pay regular national renewal fees.

### **Expiry**

The maximum duration of a patent is 20 years from the date of first filing.

### Patent documents

Patent documents are documents published by patent offices that contain information about inventions for which a patent application has been filed or granted, or for which a utility model has been registered.

Each year, more than a million patent documents, based on approximately half as many inventions, are published worldwide. Only a small number of inventions are described in sources other than patent documents. This makes the information in these documents invaluable for an understanding of the status of both technology and innovation processes.

Patent documents mainly consist of patent applications and granted patents, along with the search reports, amendments to these documents, and translations. The type of publication is indicated by a code affixed to the document number.

Patent documents consist of:

- a first page comprising basic information such as the title of the invention and the name of the inventor
- a detailed description of the invention indicating how it is constructed, how it is used and what benefits it brings compared with what already exists
- claims containing a clear and concise definition of what the patent legally protects
- drawings

### The application for a European patent

The European Patent Office processes applications in accordance with the European Patent Convention (EPC) and the Patent Cooperation Treaty (PCT).

European patent applications contain

- · a request for grant
- a description of the invention
- · one or more claims
- drawings (where necessary)
- an abstract

Although European patent applications may be filed with the EPO in any language, the official languages are English, French and German. If an application is filed in a non-official language, a translation must be submitted within two months.

The formal examination on filing of the application determines whether a filing date can be accorded. For this, the following information has to be provided:

- an indication that a European patent is sought
- information identifying the applicant or allowing the applicant to be contacted
- a description of the invention, or
- a reference to a previously filed application

A filing date can only be accorded if all these requirements are met.

## The contents of a patent application file

Every time a patent application is filed with the European Patent Office, a file is created for this application. The European Patent Register provides access to all of the legal and procedural data in these files online as soon as they are published. The documents contained in the public part of a file are also referred to as the "file wrapper".

The size of a file depends on how long it has been in existence and what changes it has undergone in that time.

Patent application files in the European Patent Register contain all the information relevant to a specific patent application, in particular:

Bibliographical data

- title of the invention
- application number

- publication number
- name of the applicant, inventor and representative
- priority numbers and priority date
- legal status
- event history (list of changes and the procedural steps undergone by the application)

### Public patent documents

- · patent applications
- priority documents
- · granted patents
- translations
- search reports
- cited literature

### Communication about a patent application

- correspondence between the EPO and the applicant/proprietor/representative
- decisions to grant or revoke a patent
- decisions to opt-out from the exclusive competence of the Unitary Patent Court
- appeals
- notices of opposition

# Searchable data in a patent application

The following bibliographic and procedural data can be searched in the European Patent Register.

### **Application number**

The application number is the number assigned to a patent application when it is filed. European application numbers start with the two-letter code  $\boldsymbol{EP}$  and international (PCT) applications start with  $\boldsymbol{WO}$ .

### **Publication number**

The publication number is the number assigned to a patent application on publication. European publication numbers start with the two-letter code  $\boldsymbol{EP}$  and international (PCT) publications start with  $\boldsymbol{WO}$ .

### **Priority number**

The priority number is the number of the application in respect of which priority is claimed, i.e. it is the same as the application number of the claimed priority document. The pattern of the priority number conforms to that of the application numbers in the country where the original application was filed, e.g. European priority numbers start with *EP*.

### Filing date (date of filing)

The date of filing accorded to applications filed in person at the EPO is the date on which they are handed in or posted in one of the EPO's automated mailboxes.

The date of filing accorded to applications sent by post or to those filed electronically or by fax is the date on which the application documents are received at the EPO, provided the documents comply with the requirements of Article 80 and Rule 40 EPC.

According to the EPC, applications must include an indication that a European patent is sought, information identifying the applicant and a description or a reference to a previously filed application.

#### **Publication date**

The publication date is the date on which a patent application is first published. It is the date on which the document is made available to the public, thereby making it part of the state of the art.

European patent applications are generally published 18 months after the date of filing or earliest priority date. Prior to publication the application is kept confidential by the patent office.

New EP applications are published once a week (usually on Wednesday, at 14.00 hrs CET).

#### **Priority date**

A priority date is the date of first filing of an earlier application for which priority is claimed in accordance with Article 87 EPC.

A priority is the right to file subsequent applications for the same invention at other offices. It is valid for a period of 12 months from the date of first filing of a patent application.

### Date of grant

The grant date is the date when the patent office issues a patent to the applicant. On average it takes five years for a patent to be granted at the EPO.

### Date of request for unitary effect

This is the date on which the proprietor files a request to obtain a European patent with unitary effect (Unitary Patent). The request must be filed not later than one month after the date of publication of the mention of the grant in the European Patent Bulletin.

### Date of registration for unitary effect

This is the date on which unitary effect is registered by the EPO in the Register for unitary patent protection. The unitary effect takes effect on the date of the publication of the grant of the European patent in the European Patent Bulletin.

### Applicant(s)/Proprietor(s)

An applicant is a person or organisation (e.g. company, university) who/which has filed a patent application. A proprietor is the owner of a European patent with unitary effect. There may be more than one applicant/proprietor per application. If an applicant is a natural person, he or she may also be the inventor.

### Inventor(s)

An inventor is a person designated as the inventor in the patent application. There may be more than one inventor. An inventor can also be the applicant. An inventor is always a natural person.

### Representative(s)

A representative is a person or an association (i.e. an organisation) who acts on the behalf of the applicant in proceedings before the EPO. Representation is required for applicants who do not have their residence or principal place of business in one of the EPC contracting states.

Representation before the EPO may be undertaken by professional representatives who are on the EPO's list of professional representatives, or by legal practitioners entitled to act before the EPO. If the applicant is an organisation, the representative may also be an employee acting pursuant to Art. 133(3) EPC.

You can search the database of professional representatives online via the EPO website.

http://www.epo.org/applying/online-services/representatives.html

#### Opponent(s)

An opponent is a person or an organisation who/which files a notice of opposition to a patent with the EPO. The time limit for filing an opposition is nine months after publication of the mention of grant of a European patent. Anyone can file a notice of opposition, except the patent proprietor, who is not allowed to oppose his own patent.

### **International Patent Classification (IPC)**

Every patent document is given one or more classification symbols by the examiner indicating its allocation to a specific area of technology. The European Patent Office has adopted the International Patent Classification (IPC) system which is used by all patent offices worldwide. An IPC symbol is made up of a specific pattern of letters and digits standing for the sections, classes, subclasses, groups and subgroups.

### Title (keywords)

The title of the invention is a short text describing the contents of the patent application. The applicant provides the title in the official EPO languages English, French and German or at least in one of these languages.

### Appeal case number

The appeal case number is the number assigned to a patent application when it enters the appeal procedure. An appeal case number is made up of a capital letter for the type of decision, then a four-digit sequential number, followed by another two digits representing the year.

### The International Patent Classification (IPC) system

Patent classification is a system of sorting inventions and their documents into technical fields covering all areas of technology.

Every patent document, regardless of whether it is an application or a granted patent, is given a classification symbol by the examiner indicating its allocation to a specific area of technology.

### Benefits of patent classification

Patent classification systems make it easier to file and retrieve patent documents.

When performing searches, patent examiners, inventors and companies need to obtain results that are as accurate as possible. State-of-the-art searches would be virtually impossible without classification, because searching with keywords can often produce inaccurate and incomplete results due to the language in which patent documents are written and the terms used.

### The IPC system

Patent documents are classified according to different classification systems depending on the patent granting authority concerned. The most important classification system is the *International Patent Classification (IPC)*.

Introduced in 1968, the IPC is used by all patent offices worldwide, some of which also use a national classification system. The IPC has a hierarchical structure and is subdivided into sections, classes, subclasses, groups and subgroups. One of the most precise classification systems available, the IPC currently divides technology into around 70,000 sub-areas.

#### Areas of technology

In the IPC, the technology is divided into eight main sections:

- A Human Necessities
- B Performing Operations; Transporting
- C Chemistry; Metallurgy
- D Textiles; Paper
- E Fixed Constructions
- F Mechanical Engineering; Lighting; Heating; Weapons; Blasting Engines or Pumps
- G Physics
- H Electricity

### **IPC** divisions

The IPC has a systematic and hierarchical structure. Classification becomes more detailed with every further (sub)division, as you can see in this example:

Level	Symbol	Description
Section	A	Human necessities
Class	A21	Baking; edible doughs
Subclass	A21C	Machines or equipment for processing doughs
Group	A21C1	Mixing or kneading machine for the preparation of dough
Subgroup	A21C1/06	With horizontally-mounted mixing or kneading tools

Visit the WIPO website to find more information about the IPC: <u>International Patent Classification (IPC) (wipo.int)</u>

Browse and search the IPC online: <a href="IPC Publication">IPC Publication</a> (wipo.int)

### Non-patent literature

In addition to patent literature, the EPO's search documentation includes any other printed or non-printed material that may be technically relevant for the patent grant procedure. This documentation is called non-patent literature.

Non-patent literature can be an important source of information on the state of the art. It primarily consists of articles from scientific magazines, conference reports, books, internet pages, etc. The latest developments emerging from scientific publications and conferences are usually found in these sources first. This is especially true for research results from universities or scientists, who often tend to publish their results in scientific publications or within the context of conferences and do not necessarily protect their inventions with patents.

### Patent families

Patents are industrial property rights that provide protection in a certain country or countries. Inventions are frequently the subject of patent applications in several different national or regional patent offices or with the World Intellectual Property Organization (WIPO).

### Family members and priorities

Where there are several applications or publications for an individual invention (in other countries) claiming the same priority or priorities, we talk about a "patent family". All of these "family members" have priority numbers with associated priority dates in common, in other words, they are related to one another by one or more priority applications.

### Applications filed in other countries or languages

Patent applications are often filed in more than one country. You can find out if further applications have been filed in other countries by viewing the patent family of the relevant patent application.

This will tell you the countries in which patent applications were filed and published, which in turn will enable you to monitor the international market in your line of business, keep an eye on the worldwide situation and be aware of innovations and changes.

Patent families can also help to find another language version of a patent document.

#### Patent families in the European Patent Register

There are various definitions of what constitutes a patent family. However, the differences only become obvious when the structure of a patent application is complex.

Complex structures occur when patent applications are filed in several different countries. In applications of this kind, various earlier applications are often cited as priorities. Moreover, different claims may be accepted or rejected by the various patent offices during the granting process. This then results in patents with different scopes of protection.

In the European Patent Register a patent family is defined as comprising all the documents sharing – directly or indirectly (e.g. via a third document) – at least one priority. This includes all the patent documents resulting from a patent application submitted to a patent office as a first filing and from the same patent application filed within the priority year with a patent office in any other country.

### Patent families in Espacenet

In Espacenet, this broad definition of a patent family would be called an INPADOC family. At the same time, a patent family defined as comprising all documents having exactly the same priority or combination of priorities is called a "simple family".

Equivalents are members of a (simple) patent family, which means that they have exactly the same priorities.

In Espacenet, on the other hand, a patent family is defined as comprising all the documents having exactly the same priority or combination of priorities (simple family). However, deeper analysis of certain patent documents might lead to specific priorities being declared "non-active". In other words, these specific priorities are ignored in the building of simple families.

### The appeal procedure

An appeal is a process by which a party challenges a decision taken by the European Patent Office, such as a decision to refuse a patent application. Decisions on appeals are taken by the EPO's independent boards of appeal. Parties may also challenge a decision to grant a patent by filing an opposition.

The boards of appeal are responsible for examining appeals against decisions taken by the Office. Integrated into the organisational structure of the Office yet independent from it in their decisions, they are bound only by the European Patent Convention. There are currently 27 technical boards of appeal, plus the Legal Board of Appeal, the Enlarged Board of Appeal and the Disciplinary Board of Appeal.

Read more about the work of the boards of appeal at <a href="http://www.epo.org/about-us/boards-of-appeal.html">http://www.epo.org/about-us/boards-of-appeal.html</a>

### Appeal cases in the European Patent Register

An appeal can be lodged against any decision taken by the EPO, during any phase of the procedure. Most of the appeal cases to be found in the European Patent Register are appeals following opposition or appeals following examination.

Recently published appeal decisions can be viewed at <a href="http://www.epo.org/law-practice/case-law-appeals/recent.html">http://www.epo.org/law-practice/case-law-appeals/recent.html</a>.

The decision database of the EPO boards of appeals is accessible at <a href="http://www.epo.org/law-practice/case-law-appeals/advanced-search.html">http://www.epo.org/law-practice/case-law-appeals/advanced-search.html</a>.

### **Decision types**

- G Enlarged Board of Appeal
- T Technical board of appeal
- J Legal Board of Appeal
- W PCT protest cases
- R Petitions for review under Art. 112a
- D Disciplinary Board of Appeal

### The INPADOC database

The EPO's INPADOC database is a collection of bibliographical data from patent documents, i.e. patent applications and granted patents, and the legal status of these documents. The INPADOC database may also include some procedural information and statements of payments of renewal fees.

Like many other databases, the European Patent Register has to rely on the correctness of the data supplied by third parties – in this case the co-operating patent offices – and on the extent to which that data is up to date. In particular, delays in the delivery of bibliographic or legal status data can vary significantly depending on the country concerned and the time period covered.

To be absolutely sure about the actual status of a patent, we recommend that you contact the relevant patent office or authority direct.

### The Federated Register

The Federated Register provides the latest data on the legal status of a European patent document in the national phase. This is especially interesting for professionals, such as patent attorneys, IP consultants or industry representatives.

National patent offices of the EPC member states must have a web service set up to send data to the Federated Register section of the European Patent Register. Note that a national office may have an online patent register, but this does not necessarily mean that it can respond to European Patent Register search queries.

Once the Federated Register is enabled for a granted patent, you can get a clear overview of the national registers of all the designated contracting states, and, where applicable, extension and validation states. For each state offering the Federated Register service you can view:

- · the status of the patent document
- the number under which it is published
- the proprietor
- whether or not a patent is currently in force
- when renewal fees were last paid
- when the national register was last updated

### Espacenet: access to patent documents worldwide

The European Patent Register service provides direct links to Espacenet to view the original documents of a patent application. In Espacenet you can access and download PDF versions of original documents which are not available in the Register.

Espacenet contains over 100 million patent documents from all over the world. The overwhelming majority of these documents deal with patent applications rather than granted patents. Available in most European languages, Espacenet makes it easy for users with little or no experience in patent searching to get an overview of the state of the art, to follow new developments or to find out who invented what.

### The Register Alert service

The Register Alert service (formerly known as WebRegMT) allows you to monitor changes to selected patent applications in the European Patent Register. Signing up for the service is free of charge and only requires a valid email address.

With Register Alert you can keep an eye on patent applications that may be of interest to you. You can save up to 1,000 files to your list of monitored applications – your own files as well as other people's patent applications.

You can also configure Register Alert to send email notifications to the email address that you used for enrolment plus up to four other email addresses. Notifications are automatically sent every time one of your monitored applications undergoes a change during the grant procedure, provided that this change triggers a Register event.

Go to the Register Events page to see a list of all events generating an email notification.

https://register.epo.org/allEvents

### **Events in the European Patent Register**

An event is a procedural action taken by any party to the proceedings and making changes to a patent application.

### **Register events**

A Register event is a procedural action taken by a party to the proceedings and involving a coding (addition, deletion, change of data) that triggers an entry in the European Patent Register. This entry adds a **Most recent event** in the respective **EP** or **UP About this file** view and also in the **EP** or **UP Event history**. For the purposes of monitoring procedural actions to applications, such events generate an e-mail notification to Register Alert users.

Certain procedural actions do not trigger an event. These include changes in the file status and certain actions in the appeal procedure.

Event history is merely the date on which it was entered in the Register or the Unitary Patent Register and therefore cannot be taken as the date of legal effect or, for communications, the date of despatch. For the latter date, we recommend that you instead refer to the related document available in the EP and UP All documents panel views and to the information in the EP and UP About this file panel views. However, a document may not be made available in either of the All documents views until a few days after the event is entered in the Register.

For the above reason, the Register implemented a "waiting pot" to put certain specific events on hold until they are published with legal effect in the European Patent Bulletin or the related document is made available via the Register. You can identify these events by their waiting pot attribute in the XML files Main events (XML) and All events (XML): if waiting-pot = "true", this means that the event will only appear in the Register once it has taken legal effect or the document has also been made available there.

Go to the Register Events page to see a list of all events generating an email notification.

https://register.epo.org/allEvents

#### Visibility of events in the European Patent Register

The Register gives information about PCT applications approximately four to five weeks after their publication by the World Intellectual Property Organization (WIPO).

Until PCT files enter the regional phase in the European Patent Office, 31 months after the priority date, the Register displays their bibliographic data as *published by WIPO*.

The Register provides up-to-date information about the file's entry into the regional phase before the EPO. When the 31-month deadline is reached, the Register indicates

whether the applicant has performed any of the steps necessary for entering the regional phase, such as paying the fees or filing the translation.

If the file does not enter the regional phase (because the applicant does not pay the fees in time or file the translation), the PCT application is deemed to be withdrawn, and some administrative work has to be done (approximately 33 months after the priority date).

### **Outgoing communications**

Register Alert notifications are triggered once the events are coded by the EPO, and the documents the communications refer to are visible

- on the same day, e.g. ADWI letters (application deemed withdrawn)
- on the day of despatch
- for F2006A (decision to grant a European patent pursuant to Article 97(2) EPC): on the day it is transmitted to the EPO post room

### Incoming communications

Register Alert notifications are triggered once the communications are coded by the EPO. This explains why a document in *All documents* might have a date that precedes the date of the Register Alert notification.

# **Task Topics**

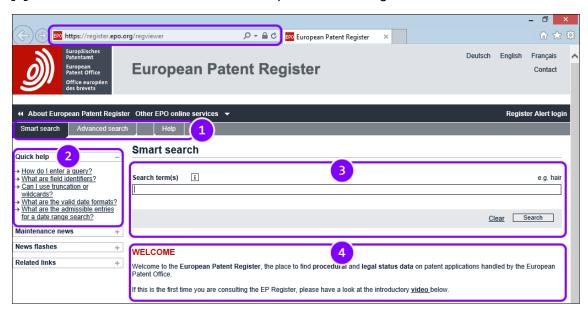
### **Accessing the European Patent Register**

The European Patent Register home page is at <a href="https://register.epo.org">https://register.epo.org</a>. Using the Register is free of charge. Logging in with username and password or by connecting with a smart card is not required.

- → Go to <a href="https://register.epo.org">https://register.epo.org</a>
  - ✓ Smart search view opens on the secure Register server.

The European Patent Register homepage is divided into four areas:

- [1] Main navigation
- [2] Quick help
- [3] Search area
- [4] General information about the European Patent Register



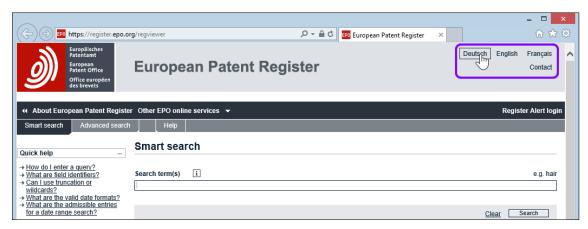
The home page of the European Patent Register displays the Smart search view.

The **https** in the Internet address and the padlock icon in your browser's address bar both indicate that you are surfing in a secure environment.

### Setting the language for the European Patent Register

The user interface of the European Patent Register is available in three languages: English, French and German.

→ To change the user interface language, click your preferred language in the top right corner of the Register screen.



Changing the language for the European Patent Register user interface

### Browser options and language

By default, most browsers are configured to select the language of a website automatically if the website provides multiple language versions. For example, if your browser software is in German, then the Register website will be displayed in German.

If you change the language of the Register user interface, your selection is stored in a browser cookie. Next time you open your browser and go to the Register, the website will open in the same language that you used in your previous session.

- → If your language setting is not maintained, check the privacy settings in your browser: your browser most probably does not accept cookies.
- → Set you browser's cookie options to accept cookies from the website register.epo.org.

#### Recommended browsers and software

We recommend that you use the following browsers and operating systems in the Register and its services. You may still be able to use the European Patent Register in older or alternative browsers, but we advise you to upgrade your browser regularly to ensure that the Register continues to function properly

Browser	Version number
Edge	100+

Firefox	78+
Chrome	100+

We also recommend that you use Adobe Acrobat Reader Version 9 or newer versions, as well as the operating system Windows 10.

# **Getting Help**

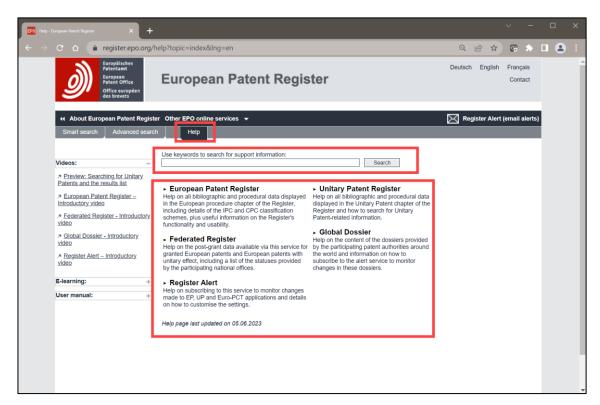
Online assistance is available right in the European Patent Register user interface at any time.

You may also download the complete user guide from the EPO website at <a href="https://www.epo.org/searching/free/register.html">www.epo.org/searching/free/register.html</a>

### Online help

The online help provides an overview of all help topics, a search function and offers independent learning from video tutorials to learning assistants and comprehensive documentation.

- → Click *Help* in the main navigation.
  - ✓ The Help view is displayed.
- → Select one of the five help glossaries European Patent Register, Register Alert, Federated Register, Global Dossier or Unitary Patent Register to reveal the list of help items.
- → Select a help item from the list.

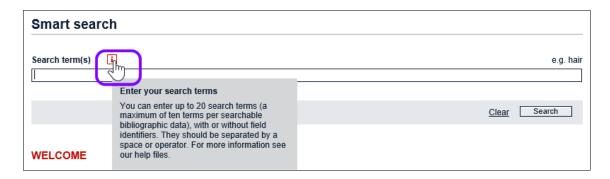


The Help pane view in the European Patent Register showing the five glossaries and further support material.

#### Search field information icons

All search fields and some bibliographic fields provide extra information about what to enter or how to read this data.

→ To see the field information, hover your mouse cursor over the i-symbol next to the field name.



Search field information icon for the Smart search field.

### **Tooltips**

Tooltips are displayed when you hover over the toolbar buttons with your mouse . They provide a short explanation of their function.

→ To see the tooltip, hover your mouse cursor over the button.



Tooltips for toolbar buttons.

#### Online tutorial

With the European Patent Register Assistant e-learning tool, you can learn how to use the Register and Register Alert. A collection of interactive learning modules allows you to select the topics you are interested in and to test your knowledge.

https://e-courses.epo.org/wbts/europeanpatentregisterassistant/index.html

The Adobe Flash browser add-on is required to access the e-learning tool.

### **Introductory videos**

The introductory videos provide a brief overview of the Register and its incorporated features.

# Choosing the appropriate search function

The European Patent Register offers two different search functions: **Smart search** and **Advanced search**. **Smart search** is the default option when you go to the Register home page.

[1] **Smart search** allows you to enter a single search term or a combination of search terms, including names, dates and classification symbols. You can also search patent documents by application number, publication number or priority number.

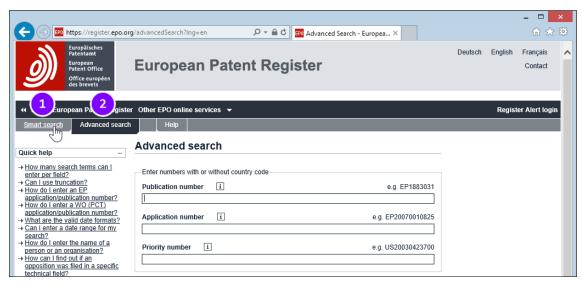
**Example:** You want to find patent applications for coffee machines filed by Jura.

[2] With *Advanced search*, you can quickly access an individual file by entering a specific publication or application number or you can assemble a complex search query by combining the different search criteria. For each search criterion you can enter multiple search terms.

**Example A:** You want to view the file with the publication number EP1833031.

**Example B:** You want to find patent applications filed in the year of 2011 where the applicant is Siemens and an opposition was filed by General Electric.

→ Select your preferred search function by clicking the relevant tab in the main navigation.



Switching from Advanced search to Smart search

The following table compares the two search functions. Note that the total maximum number of search terms is identical, but the default operators which are used by the different search functions apply a different logical structure to the query.

Query rules	Smart search	Advanced search	
Search term entry	Total maximum: 20 search terms Maximum per search criterion (e.g. applicant): 10 search terms	Total maximum: 20 search terms Maximum per field (e.g. application number): 10 search terms	
Default operator	AND for all search terms in the field	OR within:  - application number  - publication number  - date of filing  - date of publication  - priority number  - priority date  - grant date  AND within:  - title  - applicant  - inventor  - representative  - opponent  - IPC  - appeal case number  AND for combining the fields	

## **Searching with Smart search**

**Smart search** is the default setting when you go to the European Patent Register home page. The **Smart search** view provides one large field for your query. You can enter your query with or without field identifiers.

A *field identifier* is an abbreviation for the bibliographic field to which the search for a specific term will be limited.

If you do not enter field identifiers, the search engine analyses the terms in your entry, applies the default field identifier and searches in the matching bibliographical fields of the European Patent Register.

Input example	Search term type	Default field	Bibliographical
		identifier	field(s) searched

engine diesel display	Text (word starting with a lowercase letter)	txt	Title Applicant Inventor
Siemens Jura Miller Catherine	Name (word starting with a capital letter followed by only lowercase letters)	nm	Applicant Inventor Representative Opponent
ep ep1000000 1000000 nl19981010536 WO2014NL50211	Number (letters + digits)	num	Publication number Application number Priority number
A63B49/02 b03	IPC symbol (letters + digits + slash)	ic	International classification (IPC)
2005 2005-05 25.05.2005	Date (digits + separator characters)	pd	Publication date

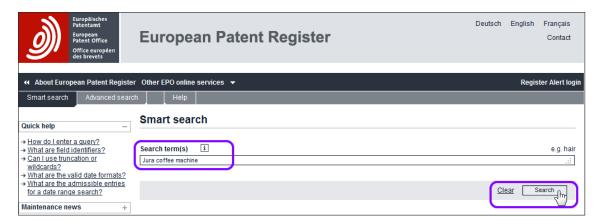
Application numbers entered in Smart search <u>without</u> a field identifier (ap=) or the country code **EP** may be interpreted by the search engine as a date, e.g. 18750305 = 1875-03-05.

## Starting a search with keywords

→ Enter your query into the **Search term(s)** field.

You can enter one or more search terms. The search terms are not case-sensitive with one exception: if you want to search for a name, then enter the name with an initial capital, e.g. *Jura coffee machine*.

- → To delete the search terms from the field, click *Clear*.
- → To run the query, click **Search** or hit the **Enter (Return)** key.

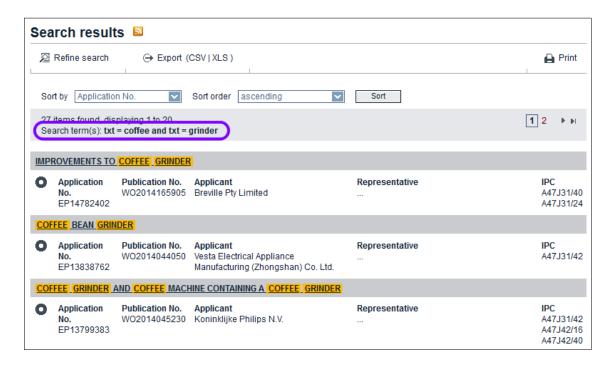


Search term with multiple keywords entered.

## Understanding default field identifiers in Smart search

If you do not enter operators or field identifiers into the smart search field, the search engine analyses the search terms and interprets which search criteria each word is.

→ To see the search query used by the search engine, check the Search term(s): above the search results list.



Search query interpretation with field identifiers and default operator

### Rules for default field identifiers

- If no search operator is entered, search terms are connected by the AND operator.
  - → Enter coffee grinder.
  - → Enter coffee AND grinder.
    - $\checkmark$  Resulting search term(s) in both cases: txt = coffee and txt = grinder
- 2. Words starting with a capital letter followed by lowercase letters are interpreted as names or part of an address.
  - → Enter Reader.
    - ✓ Resulting search term(s): nm = Reader
- 3. Words starting with lowercase letters are interpreted as keywords in the title or as part of a name or address.
  - → Enter reader.
    - ✓ Resulting search term(s): txt = reader
- 4. Numbers in a date format are interpreted as publication date.
  - $\rightarrow$  Enter 03/2014.
    - ✓ Resulting search term(s):  $pd = o_3/2014$
  - → Enter *05.03.2014*.
    - ✓ Resulting search term(s):  $pd = o_5.o_3.2o_{14}$
- 5. 7-digit numbers preceded by the two letters *ep* are interpreted as European publication numbers.
  - $\rightarrow$  Enter *ep1000000*.
    - ✓ Resulting search term(s): num = ep1000000
- 6. Two letters followed by a specific number of digits are interpreted as publication number, application number or priority number.
  - → Enter WO2011156929.
    - ✓ Resulting search term(s): *num* = *WO2011156929*
  - → Enter CH20130035313.
    - ✓ Resulting search term(s): num = CH20130035313
- 7. Terms starting with a character followed by digits and characters conforming to the IPC symbol pattern are interpreted as IPC classification symbols.
  - $\rightarrow$  Enter **bo2 bo3**.
    - ✓ Resulting search term(s): ic = bo2 and ic = bo3

- $\rightarrow$  Enter **ho5g1**.
  - ✓ Resulting search term(s):  $ic = ho_5g_1$

### Combining multiple search criteria

You can search more effectively with smart search if you enter several search terms at once. The search terms will be connected by the default operator *AND*.

Moreover, if you limit yourself to the default field identifiers, your query string can be both short and effective:

- → Enter air conditioner LG Electronics 2010 F24F1.
  - ✓ The search returns applications from LG Electronics with the words air conditioner in the title, which were published in 2010 and to which the IPC symbol F24F1 has been assigned.

If you do not want to have your search terms connected with **AND**, you must enter **OR** and use appropriate parentheses:

- → Enter air conditioner LG Electronics 2010 (F24F11 OR F25B13).
  - ✓ The search returns applications from LG Electronics with the words air conditioner in the title, which were published in 2010 and to which the IPC symbol F24F11 and/or F25B13 has been assigned.

.....

## Using field identifiers in Smart search

Smart search reveals its full power when you combine search terms with field identifiers. Field identifiers enable you to phrase your query more precisely by assigning the search terms to specific bibliographic fields.

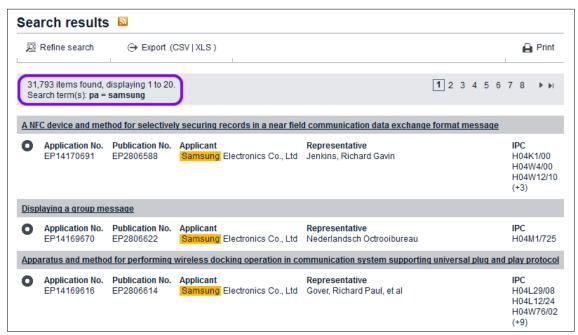
A field identifier is an abbreviation for the bibliographic field to which the search for a specific term will be limited.

For a list of all field identifiers with examples, see Reference Topics.

## Single field identifier

→ Connect the field identifier to the search term by an equal sign (=).

You can enter the = with or without additional blanks, e.g. pa=Samsung is equivalent to pa=Samsung. You may find, however, that the structure of your query is clearer if the field identifiers are directly connected to the relevant search terms without any blanks.



Search results for applicant Samsung

## Multiple field identifiers

You can use one or more field identifiers in your search query. The more identifiers and search terms you use, the more precise your search results will be.

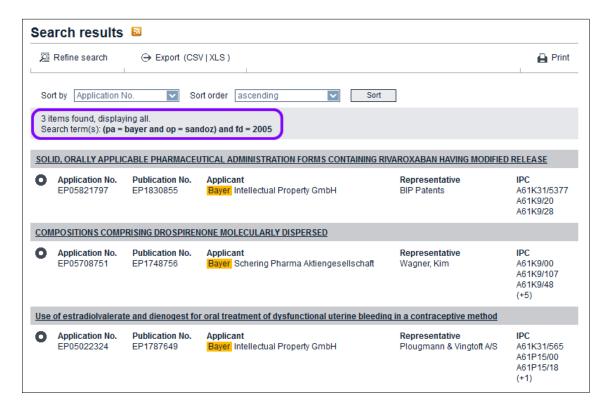
→ Enter *pa=bayer* to find applications filed by Bayer.

Search terms are not case-sensitive if used together with field identifiers, i.e. names can be entered in lowercase.

→ Enter pa=bayer op=sandoz to find applications by Bayer where a notice of opposition was filed by Sandoz.

The default operator is **AND**, i.e. matches will include both terms in the indicated fields.

→ Enter *pa=bayer op=sandoz fd=2005* to find applications by Bayer filed in the year of 2005 where a notice of opposition was filed by Sandoz.



Search results for applications by Bayer filed in 2005 and opposed by Sandoz

### Word sequence connected to a field identifier

If your search term consists of more than one word in a specific order, the words must be enclosed in double quotation marks. Otherwise, the search engine uses the default search criterion for the search terms which are not directly connected to a field identifier.

- → Enter ti="diesel engine".
  - ✓ Applications with the word sequence diesel engine in the title are found.
- → Enter ti=diesel engine.

Resulting search term(s):  $ti = diesel \ and \ txt = engine$ .

✓ Applications with the word *diesel* in the title and the word *engine* anywhere in the title, in names or addresses are found.

#### Full word field identifier

The abbreviations are easy to memorize once you get familiarized with their use. However, if you happen to forget a field identifier, you can try the full word alternatively.

- → Enter applicant=siemens.
  - ✓ This returns the same results as  $p\alpha$ =siemens.
- **→** Enter *filing-date=10.10.2005*.
  - ✓ This returns the same results as fd=10.10.2005.

## Searching with Advanced search

**Advanced search** allows you to find patent applications using more than one search criterion, for example:

- Applications from a specific applicant in a particular year
- Applications from a particular applicant with specific keywords in the title
- Applications from a particular applicant that were opposed by a specific opponent
- Applications by a specific inventor that fall under a specific classification symbol

The **Advanced search** screen provides 16 separate search fields for the different search criteria. These fields are grouped by the type of criterion:

- Numbers
  - Publication number
  - Application number
  - Priority number
- Dates
  - Filing date
  - Publication date
  - Priority date
  - Date of grant
  - Unitary effect request date
  - Unitary effect registration date
- Names (persons or organisations)
  - Applicant(s)/Proprietor(s)
  - Inventor(s)
  - Representative
  - Opponent
- Classification
  - International Patent Classification (IPC)

- Keywords
  - Keyword(s) in title
- Appeal number
  - Appeal Case number

When you enter multiple search terms, the default operators are applied according to the following rules:

- Numbers and dates use **OR** within the same field.
- Names, classifications, keywords (titles) and appeal case numbers use AND within the same field.
- Combining the fields always uses AND.

## Running a search with combined search criteria

→ Enter the search terms into the appropriate fields using the appropriate operators.

**Example:** You want to find patent applications published in the year of 2011 or 2012 where the applicant is Siemens and an opposition was filed by Vestas or Enercon.

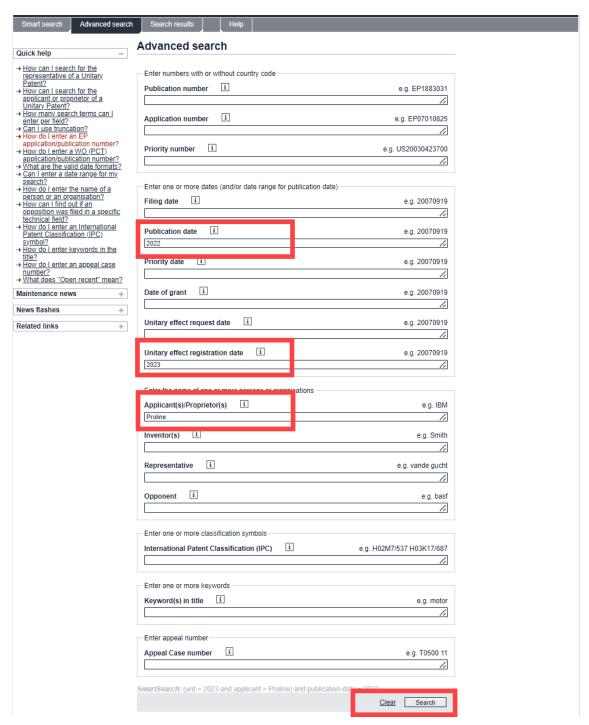
→ In the **Publication date** field, enter **2011 2012**.

No operator is required because *OR* is the default operator for search terms in date fields.

- → In the *Applicant(s)* field, enter *Siemens*.
- → In the **Opponent** field, enter **Vestas OR Enercon**.

The *OR* operator is required because otherwise the search engine would use *AND* as the default operator for name fields.

- → To delete all the search terms from all the fields, click *Clear*.
- → To run the query, click **Search** or hit the **Enter (Return)** key.



Entering search terms in the Advanced search screen.

## **Entering search terms**

When you enter a search query in **Smart search** or **Advanced search**, use the following rules for the spelling of search terms:

### **Upper and lower case**

- Search terms are not case-sensitive if entered in combination with a field identifier in Smart search (e.g. pa = siemens) or if entered in the search fields dedicated to names in Advanced search (e.g. Applicant(s)).
- If entered without a field identifier in *Smart search*, terms that should be treated
  as names must be written with a leading capital letter. Only the first letter must be
  in uppercase, regardless of the official spelling of a name (e.g. *Jura* is
  equivalent to *JURA*).

### Language and word formation

- → To find language variations in the application title, enter your search terms in English, German and French, e.g.:
  - → In Smart search, enter *ti=keyboard OR ti=clavier OR ti=tastatur*.
  - → In Advanced search, enter keyboard OR clavier OR tastatur into the keyword(s) in title field.

Since patent application titles are not always translated into all three official EPO languages, English search terms will work best in most cases.

- → Consider different translations and grammatical forms of a term if you do not find what you expect.
- → If documents are published in languages that use non-Latin alphabets (e.g. Cyrillic, Greek or Japanese), names are not searchable.

### **Complex search terms**

- → Use spaces or commas to separate multiple terms, e.g. *diesel engine* or *diesel,engine*.
- → Use double quotation marks (") to enclose multiple terms if the precise word order is to be respected, e.g.:
  - → In Smart search, enter ti = "laser scanning microscope".
  - → In Advanced search, enter "laser scanning microscope" into the keyword(s) in title field.
- → Make sure that you do not exclude results that may be relevant. For example, a search for "interactive toy" will exclude applications with the title "interactive talking toy".

#### Number of search terms

- A maximum of ten terms per searchable bibliographic data (e.g. publication number) are allowed.
- 20 terms in total are allowed.

If the number of terms that you enter exceeds these limits, the *Invalid query* screen will display an error message to that effect.

### Umlauts, diacritical characters and ligatures

- German umlauts (\(\vec{a}, \vec{o}, \vec{u}\)) can be entered but they are ignored. The search retrieves both \(\vec{Backer}\) and \(\vec{B\vec{a}cker}\) if you enter \(\vec{B\vec{a}cker}\).
  - → If you are not sure which spelling is used in the files, search for Bäcker, Backer and Baecker.
- German terms with the character  $\beta$  do not retrieve any results.
  - $\rightarrow$  Use ss instead of  $\beta$ .
- Diacritical characters, i.e. characters with accents, tildes or cedillas (é, è, ê, ñ, ç and the like) can be entered but they are ignored. The search retrieves both Lefevre and Lefèvre if you enter Lefèvre.
  - → If you are not sure which spelling is used in the files, search for Lefevre and Lefèvre.
- Terms with ligatures ( $\alpha$ ,  $\alpha$  and the like) do not retrieve any results.
  - → Use the two characters instead of the ligature character, e.g. enter oeuf if you want to find œuf.

## **Special characters**

- Special characters like hyphens (-), apostrophes (-), forward slashes (/) or ampersands (&) in a name do not retrieve any results.
  - → Omit special characters in search terms, e.g. enter
    - TMobile instead of T-Mobile
    - Oréal instead of L'Oréal
    - Procter Gamble instead of Procter & Gamble.
- The special characters question mark (?), asterisk (\*) and hash (#) are not allowed because these characters are reserved as wildcards for the truncation search.

If you enter **?**, \* or # within a word, the *Invalid query* screen will display an error message to that effect.

### Searching with names

Patent applications can be filed under both the name of a person (i.e. a natural person) and that of an organisation (i.e. a legal entity).

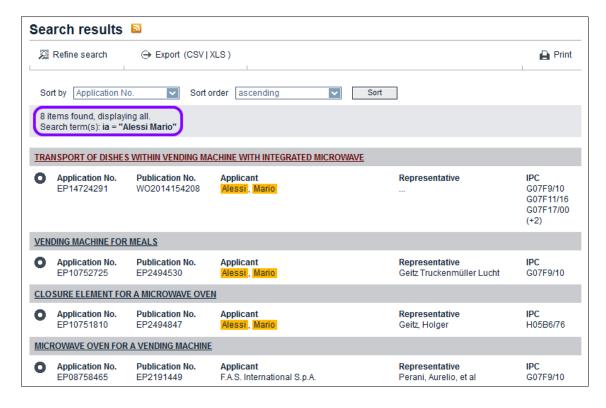
When searching with names, select the search function which suits your purpose best:

- If you do not know whether the person or organisation you are looking for is an applicant or inventor, use the **Smart search** function.
- If you know the role of the person or organisation to be queried, use the
   Advanced search function and enter the name in the corresponding field.
- Names are not case-sensitive when entered in one of the name fields in **Advanced search** or when entered together with the appropriate field identifier in **Smart search**.

## **Entering names of persons**

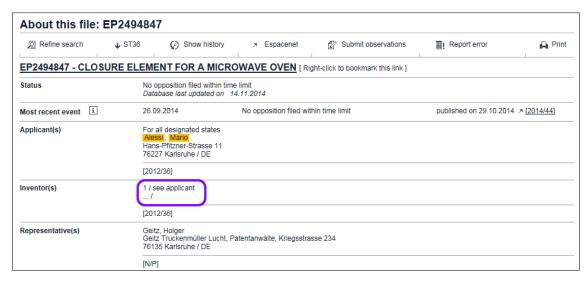
In the European Patent Register, names of persons are stored in the order *last name*, *first name*, *middle name* and separated by commas. In international applications, last names are usually written in uppercase letters.

- → In **Smart search**, enter the last name followed by the first name in quotation marks, e.g. **ia**="**Alessi Mario**".
  - $\checkmark$  The ia field identifier searches in both the applicant and the inventor criterion.
- → If you do not see the queried name in the search results, open the file to see whether the name is indicated as an inventor.



The search term is found in applicant's and inventor's names.

Where 1 / see applicant is displayed in the **About this file** views, the applicant and the inventor is one and the same person.



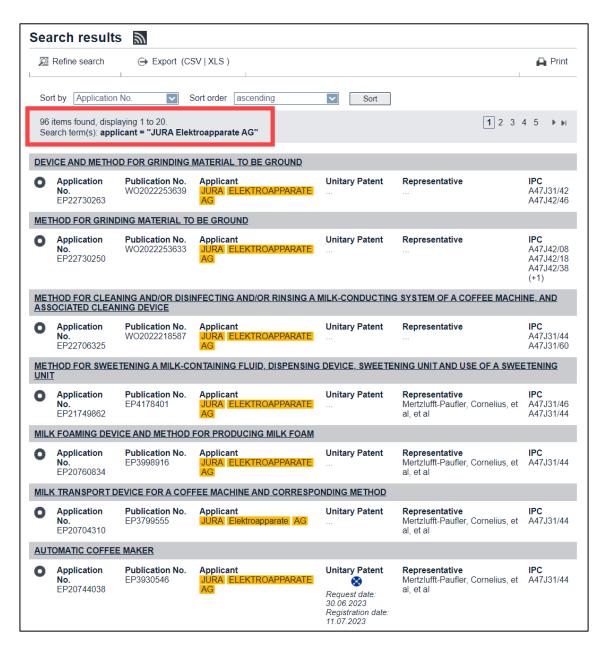
Applicant is also inventor.

## **Entering names of organisations**

The official names of organisations usually consist of multiple words. In the European Patent Register, names of organisations are stored exactly in the same wording and word order as provided in the application.

→ In *Advanced search*, enter the organisation's name in quotation marks, e.g. enter "*JURA Elektroapparate AG*" in the *Applicant(s)/Proprietor(s)* field.

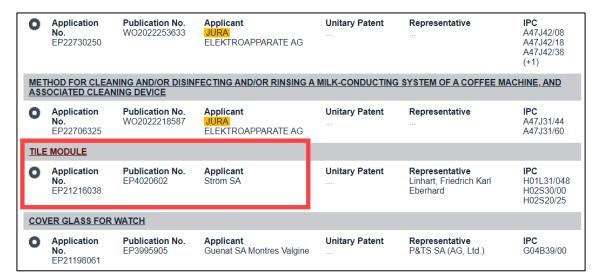
All the words making up the official name must be entered in the correct word order.



Search results for an organisation's name in the applicant(s)/proprietor(s) field.

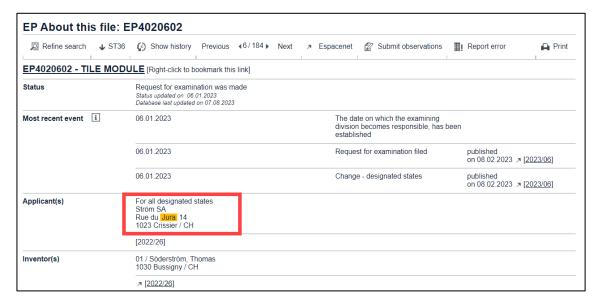
You can use operators and truncation if you do not know the precise name. However, if you enter only part of the name, the search will return a significantly higher number of results with a high proportion of irrelevant results.

- → Enter *Jura* in the Applicant(s)/Proprietor(s) field.
  - ✓ The search engine finds the name anywhere in the records of applicants, inventors, representatives or opponents, including their addresses, e.g. street names or building names



The search term does not appear in the applicant's name.

- → Open a file to see where your search term has been located.
- → If you still do not see the search term, switch to the **Show history** view.



The search term is found in the applicant's address.

## Searching with names in Smart search

Using field identifiers is strongly recommended when searching for names. When entered together with the appropriate field identifier, names are not case-sensitive.

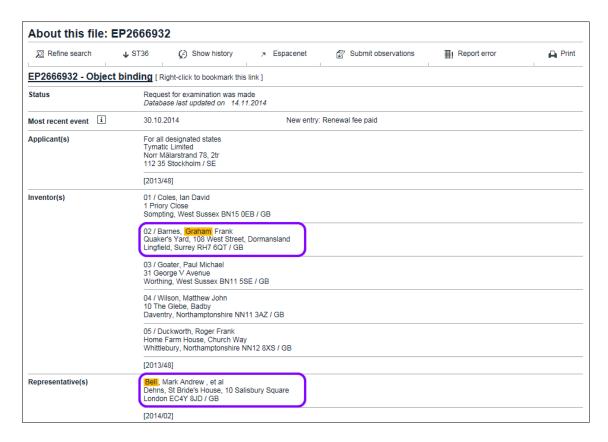
The following example demonstrates the effects of using field identifiers, word order, capitalisation and quotation marks.

**Example:** You want to find applications with the inventor **Graham Bell**.

→ Enter *Graham Bell*, or *Bell Graham*, with both words capitalised.

The resulting search query is  $nm = Graham \ and \ nm = Bell$ , which is equivalent to  $nm = Bell \ and \ nm = Graham$ .

✓ The search retrieves a variety of results where *Graham* and/or *Bell* are found in addresses, inventor names or representative names.



The search terms are found in different names

→ Enter *bell graham*, with both words in lowercase.

The resulting search query is  $txt = bell \ and \ txt = graham$ .

✓ The search retrieves a number of results where bell and/or graham are
found in applicants or in inventors, but not in representatives or opponents.



The search terms are found in inventors' and applicants' names.

→ Enter "Graham Bell", with both words capitalised and enclosed in quotation marks.

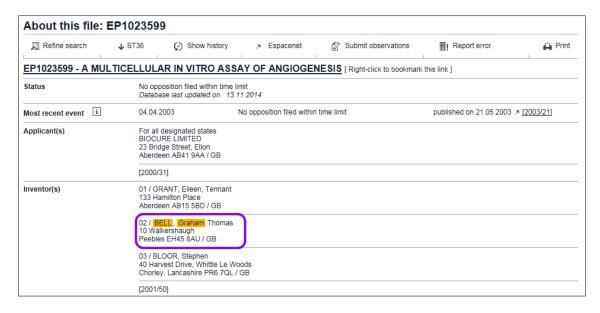
The resulting search query is *txt* = "*Graham Bell*".

✓ The search retrieves a number of results where the term *Graham Bell* is found in addresses of applicants and inventors, but not in the inventors' names.



The search terms are found in inventors' and applicants' addresses.

- → Enter in="Graham Bell".
  - ✓ The search does not retrieve any result at all.
- → Enter in="Bell Graham" or in="bell graham".
  - ✓ The search retrieves a number of results with different inventors named Bell,
    Graham.



The precise search terms are found in the inventors' names

### Searching for notices of opposition

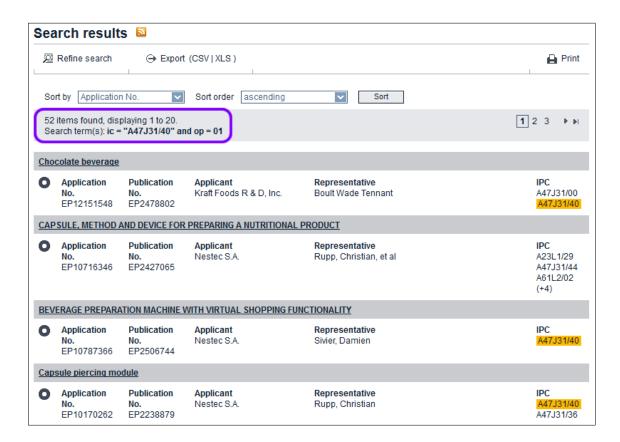
Finding patent applications that have been opposed by others may be particularly interesting if you or your customers have filed applications in a similar technical field or if you want to monitor your competitors' applications.

### Searching without an opponent's name

You can conduct a general search for oppositions filed in a specific technical field or by a specific applicant by using the code *o1* for the opponent. This is useful if you do not know the opponent's name or if the name is not relevant in your search context.

**Example:** You want to find oppositions filed against patents for coffee machines supplied with capsules. One possible IPC symbol is A47J31/40.

- → In Advanced search, enter o1 into the Opponent(s) field and enter A47J31/40 into the International Patent Classification (IPC) field.
- $\rightarrow$  In Smart search, enter  $A47J31/40 \ op=01$ .



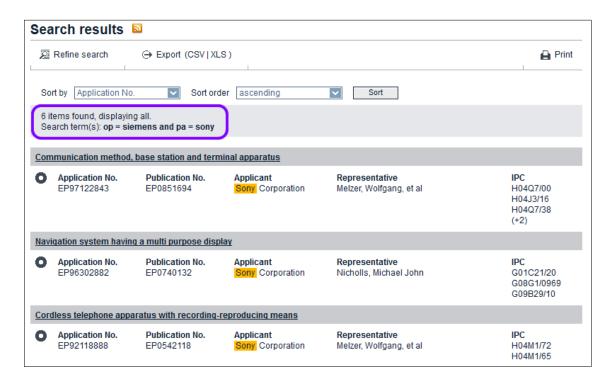
Search results for combination of IPC symbol and unknown opponent

## Searching with a specific opponent

You can search for applications filed by a specific organisation which were opposed by a specific opponent.

**Example:** You want to find patent applications by Sony which were opposed by Siemens.

- → In Advanced search, enter Sony into the Applicant(s) field and enter Siemens into the Opponent(s) field.
- $\rightarrow$  In Smart search, enter  $p\alpha$ =sony op=siemens.



Search results for combination of opponent and applicant

## Searching with dates

By adding a date criterion to your query you can limit your search to a date or date range, for example when searching for applications in a specific technical field. Using a date as the only search criterion will return a large number of rather unspecific results.

When searching with dates, note the differences between the two search functions:

- In Smart search, dates can be entered with or without the field identifiers pd (publication date), fd (filing date), prd (priority date) grd (date of grant), ufd (unitary effect request date) or urd (unitary effect registration date). If no field identifier is used, the search engine interprets any search term which is entered in date format to be the publication date.
- The Advanced search screen provides one designated entry field for each of the four date criteria.
- If you do not know the exact date when searching with the publication date or the date of grant, it is recommended to enter a month rather than the day. If you enter a date which is not the precise day of the publication or the grant, then your search will return zero results.

## Entering one or multiple dates

Depending on your intention, you can enter a date as year, month or day in one of the admissible formats. The date formats follow the usual notation of dates in English, French and German and are easy to memorise.

**Example A:** You want to know how many applications have been published in the months of January and February 2013.

→ In Smart search, enter 201301 OR 201302.

The operator *OR* is required, because otherwise the default operator *AND* would be applied which would return zero results.

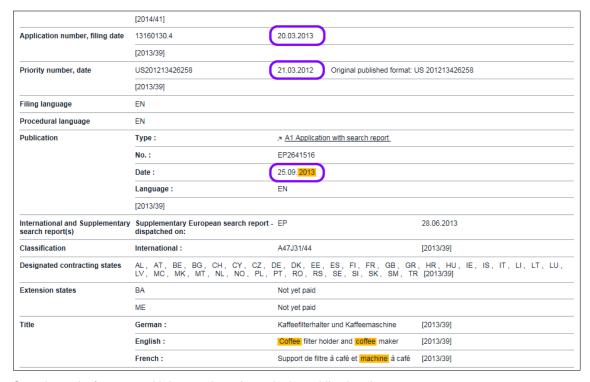
→ In Advanced search, enter 201301 201302 into the Publication date field.

No operator is required, because the default operator in date fields is OR.

**Example B:** You want to find all applications for coffee machines published in the year of 2013.

- → In Smart search, enter coffee machine 2013.
- → In Advanced search, enter coffee machine into the Keyword(s) in title field and 2013 into the Publication date field.

The dates are displayed in the **UP About this file** screen.



Search results for query with keywords and year in the publication date.

## **Entering date ranges**

Date ranges can only be searched for the publication date in **Advanced search** and **Smart search**.

There are a number of alternative entry methods for date ranges. However, the easiest way is to enter the start date (day, month or year), followed by a colon and the end date.

**Example:** You want to find all applications filed by Apple published in between 1 January 2012 and 15 March 2012.

- → In Smart search, enter Apple 20120101:20120315.
- → In Advanced search, enter Apple into the Applicant(s) field and 20120101:20120315 into the Publication date field.

## Searching with numbers

If you know the application number, the publication number or the priority number of a patent application, it is very easy to retrieve this file from the European Patent Register.

- In Smart search, enter the appropriate field identifier ap (application number),
   pn (publication number) or pr (priority number) together with your search term.
   If you do not use a field identifier, the search engine will look in all three number fields, applying the default field identifier num.
- The *Advanced search* screen provides three individual fields: publication number, application number and priority number.

## **EP** application number

EP application numbers are made up of the *EP* country code (two letters), the year of filing (two digits) and a serial number (six digits).

Example: EP09759043

The letters EP can be omitted. Entering the field identifier ap in  $Smart\ search$  is optional.

Example: 09759043, ap=09759043

Sometimes check digits are added to application numbers. Check digits, have no relevance for patent data and can be omitted.

Example: instead of EP09759043.4, you can enter EP09759043 or 09759043

In international publications you will encounter EP application numbers with seven digits following the four digits for the year. If the original number consists of less than

seven digits, zeros are added after the year to fill up. These "leading zeros" can be omitted.

Example: instead of EP2009o759043, you can enter EP2009759043

Application numbers entered in Smart search without a field identifier (ap=) or the country code **EP** may be interpreted by the search engine as a date, e.g. 18750305 = 1875-03-05.

## WO (PCT) application number

PCT application numbers are made up of the two letters **WO** followed by the year of filing (four digits), the country code of the country where the application was filed (two letters) and a serial number (five digits), adding up to a fixed length of 13 characters.

Example: W02006EP12345

The application numbers of PCT documents are not always in a standard format. If you want to use a PCT application number for your search, you must transform it into the standard format. Extra leading zeros must be removed, otherwise the search will retrieve zero results.

Example: For PCT/IB2008/**o**12345 enter W02008IB12345

Example: For PCT/US/1998**o**04141 enter W01998US04141

In **Smart search**, you must add the field identifier ap to the WO application number.

Example: ap=W02007IB51010

#### **EP** publication number

EP publication numbers are made up of the *EP* country code and a serial number (seven digits). The letters *EP* can be omitted. Entering the field identifier *pn* in *Smart search* is optional.

Example: EP1023455, 1023455, pn=EP1023455, pn=1023455

### WO (PCT) publication number

There are three different PCT publication number formats, depending on the year of publication.

- 1. WOyynnnnn (from 1978 until 30 June 2002)
- 2. WOyynnnnn (1 July 2002 to 31 December 2003)
- 3. **WOYYYYnnnnnn** (single format, since 1 January 2004)

As of now, PCT publication numbers are made up of the WO country code (two letters), the year (four digits) and a serial number (six digits). This "single format" applies to all PCT publications.

Example: W02014178204

If you want to use the single format for a publication number issued earlier, add the first two digits to the year and a leading zero to the serial number.

Example: Instead of W09935053, you can enter W01999035053

In **Smart search**, the field identifier **pn** is not required.

## **Priority number**

Priority numbers are made up of the country code (two letters), the year of filing (four digits) and a serial number (variable, up to seven digits).

Examples: NL19981010536, GB20070006120

You can find all the documents that contain a particular country code in their priority number by entering merely that country code as a search term.

Example: GB

In **Smart search**, add the field identifier **pr** to the number.

Example: pr=GB

## Searching with classification symbols

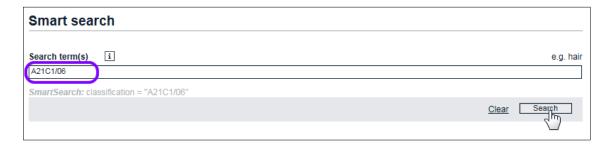
You can search with classification symbols in **Smart search** and **Advanced search**.

- → Enter classification symbols conforming to the pattern of the classification levels:
  - → class, e.g. A21
  - → subclass, e.g. *A21C*
  - $\rightarrow$  group (main group), e.g. A21C1
  - $\rightarrow$  subgroup, e.g. A21C1/06

The subgroup level is a full classification symbol.

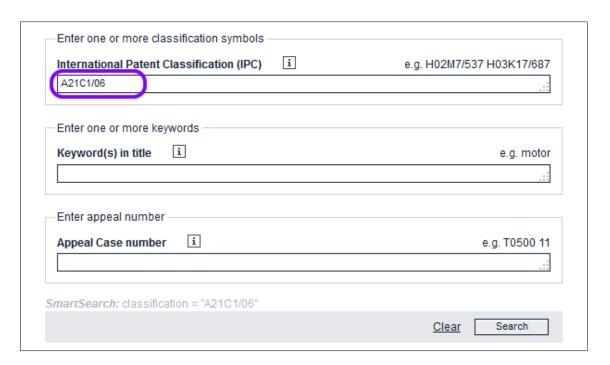
→ In **Smart search**, you can enter an IPC symbol with or without field identifier.

If you do not enter a field identifier and your search term conforms to the IPC pattern, the search engine will automatically recognise your search term as a classification symbol.



Entering classification symbol in Smart search

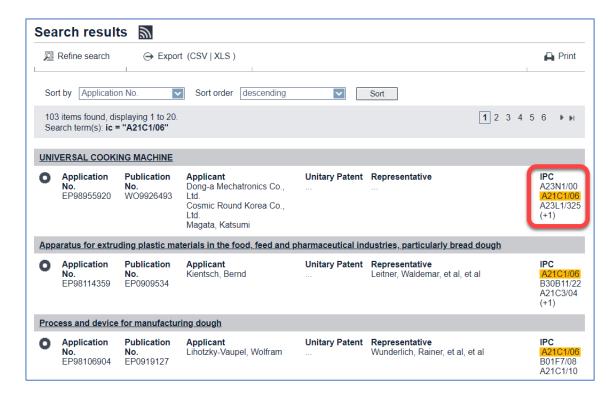
→ In Advanced search, use the International Patent Classification (IPC) field.



Entering classification symbol in the IPC field in Advanced search

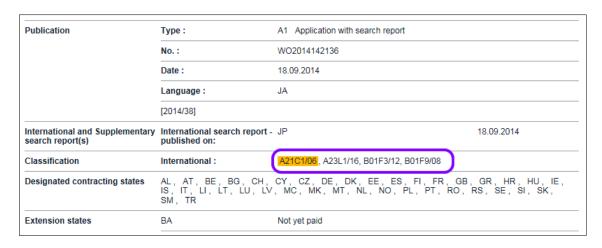
The result list displays the search term highlighted in yellow.

Note that most files have more than one classification symbol. If there are more than three symbols, this is indicated with a number in brackets, e.g. (+1).



Classification symbols highlighted in the search results.

→ Open the file to see all classification entries in the *EP About this file* screen.



All classifications in the EP About this file screen.

#### **General rules**

- The classification symbols are not case-sensitive. You can enter *a21c1* or *A21C1* or any other combination of uppercase and lowercase letters.
- The default operator is AND, both in Smart search and in Advanced search.

You do not need to use wildcards for classification symbols at class level (B65), subclass level (B65D) or main group level (B65D81), as the data is already auto-truncated.

## Truncating search terms with wildcards

You can use wildcards to truncate search terms in **Smart search** and **Advanced search**.

The available wildcard symbols are:

- \* String of characters of any length
- ? 0 (zero) or 1 character
- # Exactly 1 character

If your search should also include the plural form of a word, different endings or alternative spellings, use the appropriate wildcard.

## **Examples**

- → Enter screw\* to find any word beginning with screw, e.g. screws, screwdriver, screwing, screwer, etc.
- → Enter *screw?* to find the words *screw* or *screws*.
- → Enter *Ann*# to find the names *Anne* or *Anna*.

#### **Rules and limitations**

- Wildcards are always added at the end of a word or part of a word, e.g. color?
   will search for color or colors.
- Wildcards cannot be followed by an alphanumeric character (inner truncation),
   e.g. colo?r cannot be used to search for color or colour.
- There must be at least 2 alphanumeric characters preceding a ? or # symbol,
   e.g. co?, pa#
- If 2 alphanumeric characters precede a ? or # symbol, then a maximum of 3 truncation symbols is allowed.
- If 3 or more alphanumeric characters precede a ? or # symbol, then a maximum of 7 truncation symbols is allowed.
- There must be at least 3 alphanumeric characters preceding a \* symbol.
- Only one \* symbol can be used per search term.
- Using the \* symbol can significantly increase the search time.

- You do not need to use wildcards for classification symbols at class level (B65), subclass level (B65D) or main group level (B65D81), as the data is already auto-truncated. Auto-truncation does not provide results at subgroup level with one digit, e.g. B65D81/3. For classifications entered at subgroup level with two digits, e.g. B65D81/32, auto-truncation is not activated, instead the Register searches for a direct result (hit) only. You can still search for classifications with one digit at subgroup level by using the field identifier ic with an asterisk \*, e.g. H03K17/2\*. Truncation with the wildcard ? in combination with the field identifier ic is also allowed at any level, e.g. H03K17?, H03K17/2?, H03K17/68?.
- Wildcards cannot be used in dates.
- Application numbers cannot be truncated.
- In Smart search, wildcards in publication numbers or priority numbers must be used in combination with the appropriate field identifier, e.g. pn=wo2oo6\* or pr=wo2oo6\*.

If you enter  $wo2006^*$  alone, then the search engine interprets this term as text and not as a number, i.e. it will search for  $txt=wo2006^*$  and this will most probably not return any results.

If you do not use wildcards properly in your search terms, you will see the *Invalid query* screen with an error message to that effect.

## Using Boolean operators

When searching with **Smart search** or **Advanced search** you can enter the Boolean operators **AND**, **OR** and **NOT** into the search fields.

Entering an operator is necessary if you want to apply a specific operator instead of the default operator in the relevant field, e.g. if you want to use *OR* instead of *AND* in *Smart search* or in one of the name fields in *Advanced search*.

Boolean operators are not case-sensitive, therefore *and*, *AND* or *And* are equivalent.

### Narrowing down the search with AND

**AND** is the default operator. A search with more than one search term will therefore retrieve patent applications that include all the search terms entered.

**Example:** You want to find applications related to video cameras that were filed by Sony and that were published in the year of 2010.

 $\rightarrow$  In Smart search, enter pa=sony ti="video camera" pd=2010.

This query is equivalent to  $pa=sony\ AND\ ti="video\ camera"\ AND\ pd=2010$ .

Not only the operator *AND*, but also the quotation marks and the field identifiers could be omitted. However, note that this short version is not exactly the same. In this example, *Sony video camera 2010* would retrieve the same results as the full query.

→ In Advanced search, enter sony into the Applicant(s)/Proprietor(s) field, "video camera" into the Keyword(s) in title field and 2010 into the Publication date field.

You do not need to use operators.

### Extending the search with OR

By entering the *OR* operator you will retrieve patent applications that include at least one of the terms in your query.

**Example:** You want to find applications filed by Jura Elektroapparate or De Longhi Appliances.

- → In Smart search, enter pa="Jura Elektroapparate" OR pd="De Longhi Appliances".
- → In Advanced search, enter "Jura Elektroapparate" OR "De Longhi Appliances" into the Applicant(s) field.

## Restricting the search with NOT

The *NOT* operator allows you to exclude unwanted search terms from your query. Patent applications that include one search term but not the other will be found.

**Example:** You want to find applications related to printers except inkjet printers.

- → In Smart search, enter ti=printer NOT ti=inkjet.
- → In Advanced search, enter printer NOT inkjet into the Keyword(s) in title field.
- Be careful with the *NOT* operator when searching with keywords without field identifiers in Smart search. *NOT* could exclude relevant documents where the excluded search term happens to be present anywhere, e.g. in the title or in an address.

## Using comparison operators

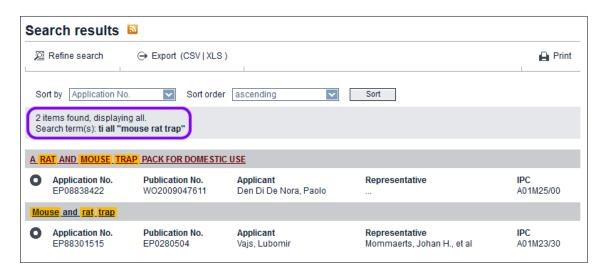
**Smart search** allows the use of comparison operators to shorten the search query. Instead of combining several search terms with Boolean operators, you can use one comparison operator and specify the search terms for your query enclosed in quotation marks. The field identifier is required only once, which makes the query easier to type.

#### all

- → Use *all* if you want to include all words in your search, but you do not know the exact order of the words in the title.
- → Enter ti all "mouse rat trap".

This is equivalent to ti=mouse ti=rat ti=trap (connected by AND as the default operator).

✓ The search retrieves applications which have all three words in the title.



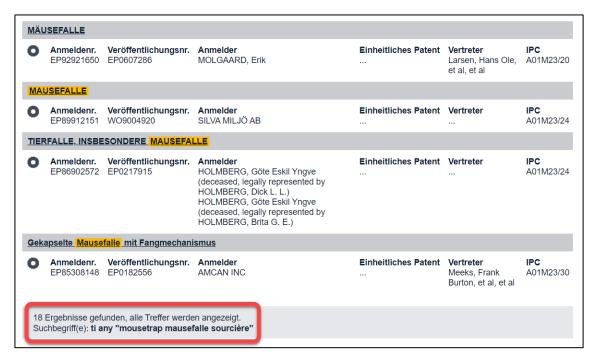
Search results for smart search with all

### any

- → Use *any* if you want to find any of the words, for example when looking for synonyms or other translations in English, French or German.
- → Enter ti any "mousetrap mausefalle souricière".

This is equivalent to ti=mousetrap OR ti=mausefalle OR ti=souricière.

- ✓ The search retrieves applications which have at least one of the three words in the title.
- → To see the result translated into another language, switch the GUI language.
  - ✓ The titles are displayed in the selected language, provided that the text has been translated.



Search results in smart search with any, language switched to German.

## **Using proximity operators**

Proximity operators allow searching for combination of words that appear in a specific order or distance to each other. You can use proximity operators in **Smart search** and in **Advanced search** (names, keywords in title).

## prox/distance<

With the proximity operator **prox/distance**< you can specify the maximum number of words separating two search terms. The two terms can appear in any order.

- → Enter battery prox/distance<3 charge.
  - ✓ The search engine retrieves all patent applications where there are no more
    than three words between the words battery and charge in the title.

### prox/ordered

With the proximity operator **prox/ordered** you can specify the order in which two search terms follow each other.

- → Enter General prox/ordered Electric.
  - ✓ The search engine retrieves patent applications with the words General
    Electric, but not Electric General, in their name.

### Combining proximity operators with wildcards

You can combine truncated terms with proximity operators.

- → Enter elect\* prox/ordered layer.
  - ✓ The search engine retrieves documents that include, for example, the search terms electronic layer or electromagnetic layer.
- The relation symbols > (greater than), <= (less than or equal to) and >= (greater than or equal to) are currently not supported in combination with the proximity operators. Only < (smaller than) can be applied.

# **Building nested queries**

In **Smart search** and **Advanced search** you can enter multiple search terms into the search fields. If your search terms should not be connected by the default operator **AND** one after the other, you need to build nested queries.

Nesting means that one combination of search terms and operator should take precedence over other combinations or terms in the same search query. Like in mathematics, you must use parentheses to specify the order in which the search terms and operators should be interpreted.

The following examples refer to entering a search query into the **Keyword(s)** in title field in **Advanced search**.

## **Expression in parentheses**

The search engine processes the information within parentheses first, and then processes the information outside parentheses next.

→ Enter (mouse OR rat) AND trap to retrieve applications containing the word mouse or the word rat together with the word trap.

#### **Nested parentheses**

The search engine processes the innermost parenthetical expression first, then the next, and so on, until the entire query has been interpreted.

- → Enter ((mouse OR rat) AND trap) OR mousetrap to find applications
  - → either containing the word mouse or the word rat together with the word trap
  - $\rightarrow$  or containing the word *mousetrap*.

The innermost expression can be positioned anywhere within the search query, i.e.

### ((mouse OR rat) AND trap) OR mousetrap

is equivalent to

mousetrap OR (trap AND (mouse OR rat))

or

(trap AND ((mouse OR rat)) OR mousetrap.

## Left has precedence over right

If you do not use parentheses in your search query, then the search engine processes the search terms and operators one by one, reading from left to right.

- → Enter mouse OR rat AND trap OR mousetrap.
  - ✓ The search engine complements the parentheses and the resulting search query is  $((ti = mouse\ OR\ ti = rat)\ AND\ ti = trap)\ OR\ ti = mousetrap$ .
- → Enter mousetrap OR trap AND mouse OR rat.
  - ✓ Now, the query becomes ((ti = mousetrap OR ti = trap) AND ti = mouse) OR ti = rat.

This retrieves completely different results than *mousetrap OR (trap AND (mouse OR rat))* with the appropriate parentheses.

## **Building complex queries**

When building a complex query with different search criteria, both **Advanced search** and **Smart search** provide distinctive qualities. It depends on your search purpose which method retrieves the best results.

- In Advanced search, you can use operators in a specific search field to
  override the default operator for that field. However, the different criteria (i.e. the
  search terms from the different fields) are always combined with AND.
- **Smart search** allows to use any operator including **AND** to connect the different search criteria in any combination that you wish.
- **Advanced search** only requires parentheses within a search field if operators are used for a nested query.
- In **Smart search**, great care is required to place parentheses, operators and quotation marks correctly.

**Example A**: You want to find all applications submitted by Siemens Aktiengesellschaft and published between January 2010 and May 2010 with a priority application in the United States of America.

 $\rightarrow$  In Smart search, enter  $p\alpha$ ="Siemens Aktiengesellschaft" 201001:201005 op=01.

Operators and parentheses are not necessary.

→ In Advanced search, enter "Siemens Aktiengesellschaft" into the Applicant(s) field, 201001:201005 into the Publication date field and US into the Priority number field.

Operators and parentheses are not necessary.

**Example B:** You want to find all applications submitted by Siemens Aktiengesellschaft or Siemens Medical that have been published in 2010 or 2011 with a priority application in the United States of America or in Canada.

→ In Smart search, enter (pa = "Siemens Aktiengesellschaft" OR pa="Siemens Medical") AND (pd=2010 OR pd=2011) AND (pr=US OR pr=CA).

Both operators and parentheses are necessary.

→ In Advanced search, enter "Siemens Aktiengesellschaft" OR "Siemens Medical" into the Applicant(s) field, 2010 2011 into the Publication date field and US CA into the Priority number field.

The *OR* operator is necessary to override *AND* as the default operator in the *Applicant(s)/Proprietor(s)* field. An operator is not necessary in the *Publication number* and in the *Priority number* field, because here *OR* is applied as the default operator. Parentheses are not necessary.

# Viewing the search results

Generally speaking, there are three possible outcomes for your search:

- 1. Precisely one result.
- 2. No results at all.
- 3. More than one result.

### Precisely one result

This usually happens if you enter a specific number, e.g. if you use the application number or publication number of a particular patent document.

In this case, the corresponding application will automatically open in the *EP About this file* view, displaying all the bibliographical, legal status and procedural data.

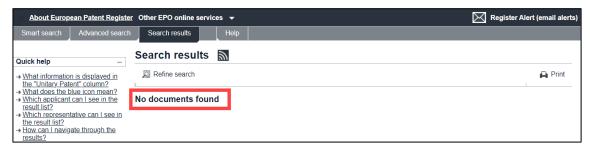


The matching application file is displayed after searching for a specific publication number.

#### No results at all

This will happen if you use search terms that do not appear in any document at all or if the file is not yet published.

In this case, the **Search results** view will display the text **No documents found**.



The search did not yield any result.

If your query caused an error, for example if the format of the application number was wrong, the error message in the *Invalid query* page will tell you why the search has failed.



The search query caused an error because the application number was not entered correctly.

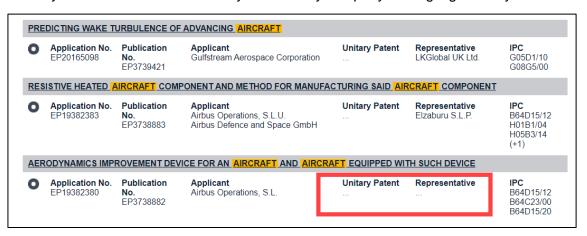
### More than one result

You will most probably get more than one result if, for example, you search for documents filed under a particular classification symbol or during a specific period of time.

In this case, your search will produce a results list containing the following columns:

- 1. Monitored application (see Register Alert)
- 2. Application No.
- 3. Publication No.
- 4. Applicant
- 5. Unitary Patent
- Representative
- 7. IPC

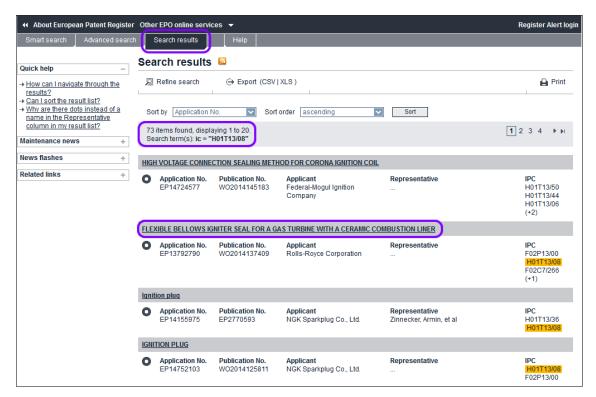
The keywords or search terms that you used in your query are highlighted in yellow.



If the *Unitary Patent* column is empty, no request has (yet) been filed for a European patent with unitary effect connected with this application. The request can only be made after the mention of grant of the European patent. Therefore this information can appear at a later stage in the procedure, when a request for unitary effect is received by the EPO.

If the Representative column is empty, there is no European representative connected to this file. It could be that the data is not yet published, or, that the applicant is represented by an authorised employee – which is quite common for larger companies. You can find more information on the representative in the communication which is available in the *EP All documents* view.

→ To open one of the files from the list, click the underlined title.



The search results page displays a list of applications matching the query.

Your search results are always displayed under the **Search results** tab, no matter whether you enter your search query in **Smart search** or **Advanced search**.

### Finding hidden keywords

Your search will also include results relating to the history of a file. That means you may get results where, for example, the patent applicant or the title has changed and no longer includes your search terms.

→ If you cannot find a search term in the file, try to check the former data with the **Show history** function.

## Multiple applicants, representatives and/or classification symbols

The result list shows up to three applicants, representatives and/or classification symbols for each application. If there are more than three entries in the file, the additional number of entries is indicated in brackets, e.g. (+2).

→ Click on the title link to open the application to see all applicants, representatives and/or classification symbols.



Result indicates that applications have more than three applicants or IPC symbols.

# Modifying the search

You can modify your query if the search does not return the results you were expecting, or, if there are too many results or no results at all.

- → To narrow the search, add more search criteria, e.g. limit the search to a specific period of time by entering a publication date.
- → To broaden the search, change the search criteria, e.g. by adding more keywords connected with the *OR* operator.
- → To exclude unwanted results, use the **NOT** operator or enter different search criteria.

There are different options to continue with your previous queries or to start a new query from scratch.

#### Refine search

Use this option if you want to modify the query that you entered in the previous step.

→ Click the **Refine search** button in the toolbar.

The **Refine search** button is available in all panel views..

✓ This will return you to the previous search panel view.



Refine search button in the toolbar of the Search results view.



Refine search button in the toolbar of the EP About this file view.

# Open recent

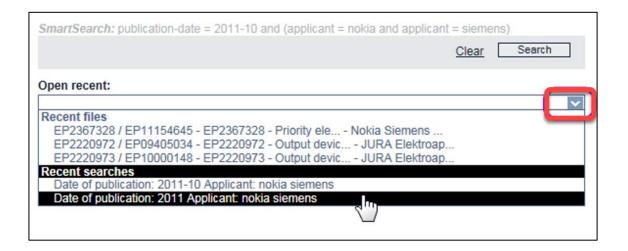
Use this option if you want to return to one of the searches that you have previously conducted in *Advanced search*.

Technically, this is possible because the previous queries are saved to a list which is kept in your browser's memory. Once you close the browser, however, the temporary data will be deleted.

The *Open recent* list is displayed at the bottom of the search screen.

- → Click into the *Open recent* field to open the drop-down list.

  The previous queries are grouped into recent searches and recent files.
- → Select the search or the file you are interested in.



Selecting an entry from the recent searches and recent files in the Open recent list

# → Click Open.

✓ The selected search results or the selected file will be displayed.



Opening the selected recent search

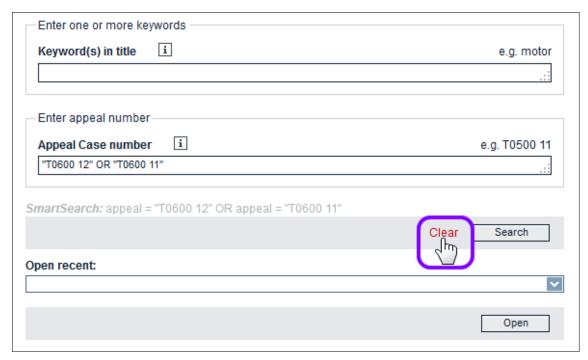
### Clear search

Use this option if you want to start a new search from scratch.

Especially when using **Advanced search**, you can easily overlook an entry in one of the fields and you might wonder why your search does not return any results. It is therefore a good idea to clear all search fields in one go before entering new search terms.

- → Click the *Clear* link, which is located left of the *Search* button at the bottom of the search view.
  - ✓ This deletes all search terms in the current search view.

The search terms in the other search view (e.g., **Smart search**) are kept until you clear them or close the browser window.



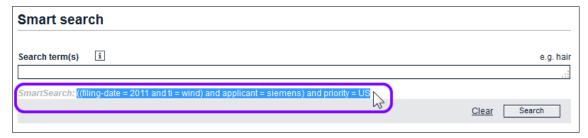
Clearing the search fields

# Using a query for Smart search

When building nested queries with a set of different search terms, only **Smart search** allows you to enter Boolean operators and parentheses deliberately as you need them for a specific expression. If you cannot create the query you want in **Advanced search** because the fields are limited to their default operators, then you can copy the basic query structure and continue to work with it in **Smart search**.

The most recent query is always displayed at the bottom of the searchview and at the top and bottom of the results list. All search terms are already connected with the correct field identifiers, operators and parentheses.

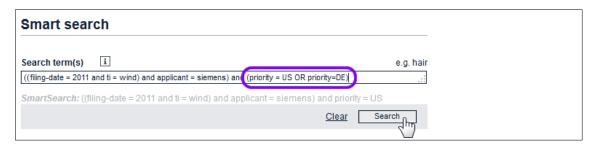
- → Go to Smart search.
- → Select the text above the grey box and press CTRL+C to copy it.



Selecting the most recent search query for Smart search

→ Click into the search field and press CTRL+V to paste the text.

- → Modify the query as appropriate.
- → Click Search.



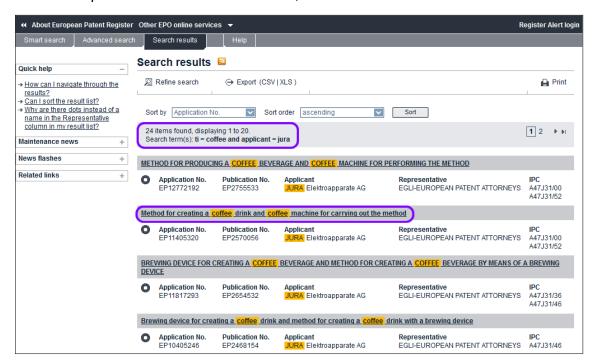
Modifying the query in Smart search

# **Browsing the results list**

The results list shows 20 results per page. The total number of results displayed is limited to a maximum of 100,000 files, even if more files from the Register would meet the search criteria.

The number of results found in your most recent search is displayed in the grey boxes above and below the results list.

→ To open one of the files from the list, click the underlined title.



Search results with highlighted keywords

# Paging the results list

You can browse through the result pages using the pagination bar at the right side of the grey boxes above and below the results list.

The page number of the current page is displayed with a rectangular frame.

- → To display the next or previous 20 results, click on the right or left arrow.
- → To display a specific page, click on the page number.
- → To go to the last or first page, click on the skip forward or skip backward icon.



Paging through the search results list

### Sorting the results list

You can sort the results list by application number, publication number, applicant, representative or IPC symbol in ascending or descending order. The default is sorting by application number in ascending order.

- → Change the sort key by selecting an option from the **Sort by** list.
- → If appropriate, change the sort order from ascending to descending or vice versa.
- → Click Sort.
  - ✓ The list will be re-sorted.



Changing the sort key

## Saving the results list

You can export or print your results list or you can subscribe to an RSS feed if you want to review your search results at a later time.

Exporting or printing will only work for the page you are currently viewing, i.e. a maximum of 20 results at a time can be exported or printed.

→ To export or print the next 20 results, go to the next page.

# **Exporting the results list to CSV or XLS**

The export function allows you to save the current result list to a CSV file (default) or to an XLS file. CSV (character separated values) files are text-only data and can be used for further processing, while the XLS format is best opened and edited in Microsoft Excel.

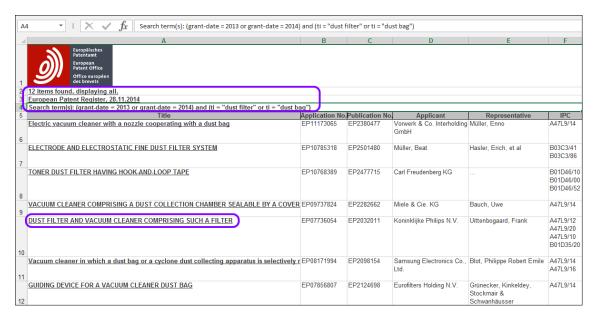
The following columns are exported:

- Title
- Application No.
- Publication No.
- Applicant
- Unitary Patent
- Representative
- IPC
- → To export the list in CSV format, click on *Export* or on the *CSV* link in the toolbar.
- → To export the list in XLS format, click on the **XLS** link in the toolbar.
- → Choose where to save the file.
- → Enter a distinctive file name by changing the default name (result.csv or result.xls).

This is how the exported list looks like when opened in MS Excel.

Below the EPO logo you will find the export date and the search terms used for your query. The underlined data are active hyperlinks to the Register, allowing you to reopen your query or to open a specific application.

- → Click the underlined search term text to open the query in your browser.
- → Click the title of a file to open it online in the Register.



Active hyperlinks in the exported XLS file

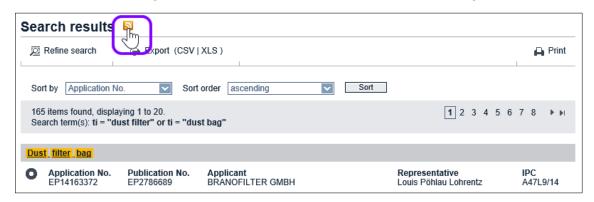
# Printing the results list

- → Click the **Print** icon in the toolbar or press CTRL+P.
  - ✓ The current Search results page is printed to your default printer.

# Subscribing to RSS feed

An option to follow up your search results is to subscribe to an RSS feed. Microsoft Internet Explorer, for example, has a built-in RSS reader to manage your feeds. If new applications matching your search query are published in the European Patent Register, you will see them in your RSS feed.

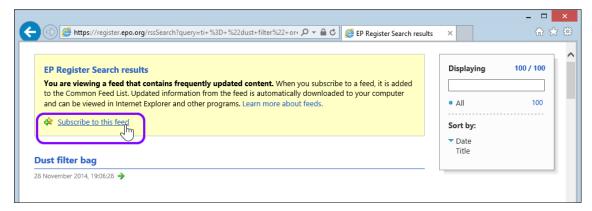
→ Click the orange **RSS** icon next to the **Search results** heading.



RSS icon in the search results

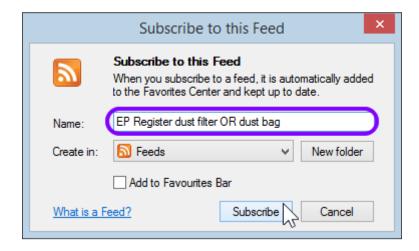
✓ The first 100 entries are displayed as an RSS page.

→ Click **Subscribe to this feed** in the yellow box on top of the list.



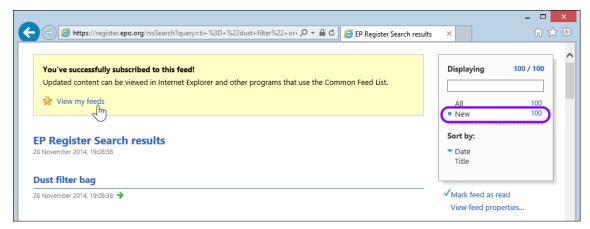
Viewing the search results as an RSS feed

- → Enter a name for your feed and click **Subscribe**.
  - ✓ The RSS feed is saved to your feed list.



Subscribing to new RSS feed

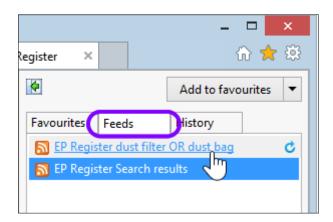
The Register allows to save the first 100 entries of a search results page to a new RSS feed. New entries will be added to the beginning of the feed. The corresponding number of entries at the end of the feed will be deleted if the maximum number of 100 is exceeded. In Microsoft Internet Explorer, however, the maximum number of entries in an RSS feed is 2,500.



New RSS feed with 100 new entries

→ To view your feeds later, click the *Favourites* icon in the toolbar and select the *Feeds* tab.

If there are new files matching the search query, their number will be displayed as **New**.



Viewing the RSS feeds in Internet Explorer

# Finding search results in hidden data

If the search engine returns a number of results, but you cannot see your search terms in the files, you can most probably discover the data in the file history. A patent may have been sold to another company, for example, and as a consequence, the name of the patent proprietor in the European Patent Register has changed.

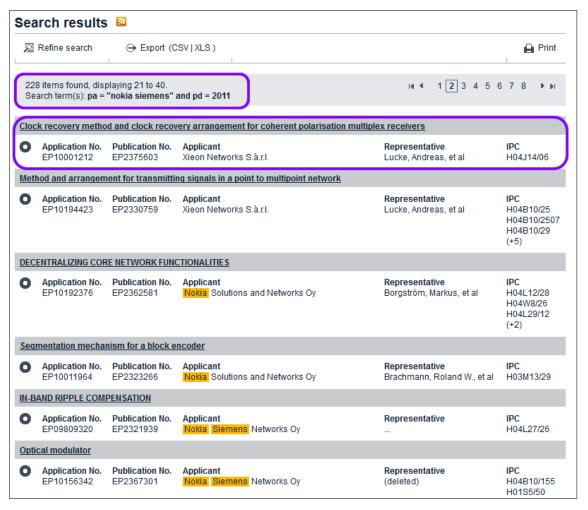
**Example:** You are looking for applications by Nokia Siemens Networks published in the year of 2011.

→ In Smart search, enter *pa="nokia siemens" 2011*.

✓ A number of search results do not display the keywords in the applicant's
name

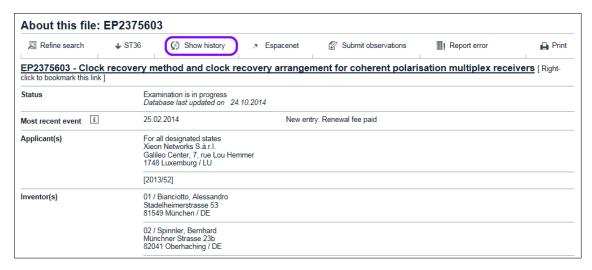
In this example, it looks as if the applicant changed the company name, but also as if the applicant changed to be a different company altogether.

→ To open the relevant file, click its title in the search results table.



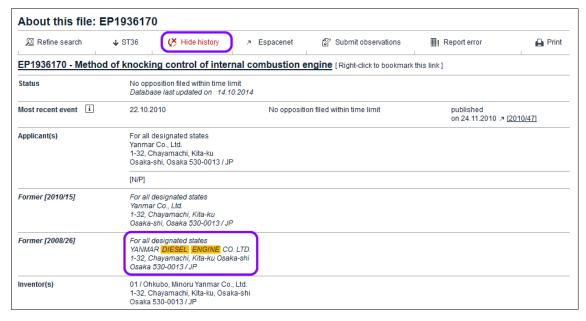
The queried name is not visible in the search results

- ✓ The search term you entered is not visible in the applicant's data in the file.
- → To view data for former names of the applicant(s), click **Show history**.



Viewing applicant data in the file

- ✓ The former names and/or addresses are displayed in italics.
- ✓ Your keywords are highlighted in yellow.
- → To hide the data again, click *Hide history*.



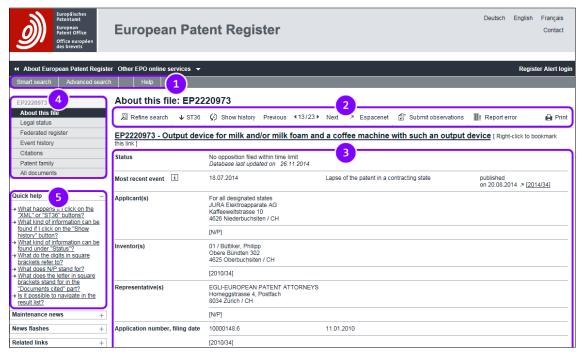
Former applicant data is displayed in the file history

# Viewing applications

When you open a patent application you are interested in, you will see that the user interface consists of five areas:

- [1] Main navigation
- [2] Toolbar

- [3] Content area
- [4] Navigation bar
- [5] Quick help



Overview of a patent application in the About this file screen

# Navigating through the file

You can use the *navigation bar* [4] to access further information about the patent application you are viewing, e.g. to inspect the original documents. The navigation bar has two chapters: the *European procedure* chapter with panel views prefixed *EP* and the *Unitary Patent* chapter with panel views prefixed *UP*.

- → Click an item in the navigation bar to see more details on the corresponding page.
- The Unitary Patent chapter is displayed by default for granted European patents where unitary effect has not been requested within the one-month time limit after the publication of the granted European patent in the European Patent Bulletin. This chapter remains visible until after this one-month period plus the two-month time limit for a request of reestablishment of rights. Thereafter, if a unitary effect has not been requested, the chapter will disappear from navigation panel.

## The European procedure chapter and panel views

**EP About this file** Shows the most important bibliographic data of a particular

patent application, legal and procedural information, the

current status and the history of the file.

**EP Legal status** Shows the most important legal events in the European

patent grant procedure and in the Euro-PCT procedure, plus any information available to the EPO on the fate of the European patent once it becomes the responsibility of the designated states following grant (INPADOC data). Also contains links to the national patent registers of EPO

member states.

**EP Federated register** Is enabled for granted patents only and shows post-grant

legal status information on EP patents, provided by the patent registers of the participating national patent offices.

**EP Event history** Contains a chronologically ordered list of all changes that

triggered a Register event undergone by the application.

**EP Citations** Displays a list of documents found during the patentability

search for the European patent application, documents cited during examination, documents that have been cited by the applicant and documents that were found to be relevant during the opposition procedure. Non-patent

literature can also be found here.

**EP Patent family** Displays a list of documents from around the world that are

linked to the European patent application by a common

priority number.

**EP All documents** Gives access to all documents in the public part of a file

(also known as online file inspection or "file wrapper"). Published files can be viewed, downloaded and saved for

later study.

# The Unitary Patent chapter and panel views

**UP About this file** Shows the most important bibliographic data of a European

patent with unitary effect, legal and procedural information,

the current status and the history of the file.

**UP Event history** Displays only events related to the unitary patent protection

procedure. Contains a chronologically ordered list of all changes that triggered a UP Register event undergone by

the patent.

#### **UP All documents**

Gives access to all documents in the public part of a file (also known as online file inspection or "file wrapper"). Published files can be viewed, downloaded and saved for later study.

# Rules of display of the UP chapter and related panel views

 Rules to display the "UP Register" chapter in the European Patent Register via the left-hand side content navigation on the date of start of the UPP system:



EP granted patents





## Using toolbar functions

The *toolbar* [2] provides some extra functions to work with the currently opened application. Depending on the page you are viewing, there are different functions.



Toolbar in the EP All documents view

Refine search Go back to the search screen

ST36 Download the application data as an XML file in WIPO

ST36 format

**Show history** Display previously published data, e.g. former

representatives

(only in **About this file** page if changes occurred to bibliographic data published in the EP Bulletin during the

application's lifetime)

**Previous** Go to the previous application in the result list

**Next** Go to the next application in the result list

**Espacenet** Open the application in Espacenet

**Submit observations** Open the online form to submit your Third-party

observations for pending applications

**Add** Save the application to Monitored applications

(only visible when logged in to Register Alert)

**Report error** Open the general EPO contact form

(pre-filled with core data)

**Print** Print the current page

**Selected documents** Download a PDF file combining all the selected documents

(only in **All documents** page)

**Zip Archive** Download a ZIP file containing all documents from the

current file wrapper

(only in **All documents** page)

## Symbols in the content area

Dates or information in square brackets refer to the relevant publication:

[2010/33] Published in the European Patent Bulletin, year/week

**[N/P]** Not published

[X] [A] Document categories for cited documents

#### Links from the content area

Links to other publications are underlined and marked with a little arrow symbol.

→ Click the link to open the relevant document or panel views.

European Patent Bulletin

European Patent Bulletin

European publication server



Available in both the European Patent Register and Espacenet (divisional applications and their parent applications)

Espacenet, with document category

Espacenet, patent publication

# Unitary Patent symbol, links and marker



The blue icon indicates a European patent with unitary effect (Unitary Patent) has been requested. Click the symbol in the Search results and EP About this file views to open the details in the UP About this file view.



C<sub>0</sub>

EP C0 indicates a European patent with unitary effect in the Federated register section for Unitary Patents. EP is hyperlinked to the details in the UP About this file view.

C0 is the marker for European patents with unitary effect. It is displayed in the header of all UP panel views.

### **EP About this file**

The first page of each patent file contains an overview of the important bibliographic, legal and procedural information relating to the application. The *EP About this file* view serves as a starting point to open other related documents, to download application data or to start a communication with the EPO regarding this application.

### **Data categories**

In the *EP About this file* view, you will find the following information (where available):

Data area	Contents
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Data area	Contents	
Status	Here you can see the status of the patent application at a glance.  The italicised text in the second line tells you when the file was last updated in the EPO database.	
Most recent event	Latest changes to the bibliographic, legal status and procedural data of this particular application in the European Patent Register.  Note: The <i>Most recent event</i> date reflects only the date on which the action was processed by the EPO's system, so it may differ from the effective legal/filing date of the event concerned. Refer to the information under <i>Legal status</i> or <i>All documents</i> for the effective date.	
Applicant(s)	Applicant(s) names and addresses	
Inventor(s)	Inventor(s) names and addresses When 1 / see applicant is displayed here, the applicant and inventor is one and the same person.	
Representative(s)	Representative(s) names and addresses	
Application number, filing date	EP application number and date WO publication number	
Priority number, date	Priority number(s) and date(s) WO/EP publication number	
Filing language	Two-letter code: EN, DE or FR	
Procedural language	Two-letter code: EN, DE or FR	
Publication	For each publication: Type (A1, A2, B1, etc.) No. (EP/WO publication number) Date Language	
International and Supplementary search report(s)	Type of report and dispatch date	
Classification	Classification system, classification symbols Note: The European Patent Register uses the IPC system.	
Designated contracting states	Series of two-letter country codes	

Data area	Contents	
Extension states	For each extension state: Two-letter country code Indication if extension fee has been paid	
Title	Application title in German, English and French	
Entry into regional phase (PCT applications only)	List of events related to the entry into the European phase, including fees paid	
Examination procedure	List of events related to the examination  Note: The first date under examination procedure is the date of despatch of the communication, the receipt of a filed document or the effective date of a payment.	
Divisional application(s)	EP application number, link to European Patent Register and Espacenet Note: In the case of non-unity, a divisional application may be filed on the basis of any pending earlier European patent application.	
Parent application(s)	EP application number, link to European Patent Register and Espacenet Note: All previous applications are referred to as "parent applications", regardless of their "generation". If more than one parent application is listed here, the more recent is the parent and the older one the grandparent.	
Request for further processing for:	List of events preceding the "The application is deemed to be withdrawn" event, upon which the applicant requested further processing	
Opposition(s)	Chronologically listed: Date and status of opposition Names of opponent(s) and representative(s)	
Appeal	List of appeal-related events, appeal case number Note: Information about appeals can appear in different locations, depending on the file history.	
Fees paid	Date of fee payment, fee description Renewal fees Penalty fees	
Lapses during opposition	For each EPC contracting state: Two-letter country code, lapse date	

Data area	Contents	
Documents cited	Grouped by: Search Examination by applicant	
Opt-out from the exclusive competence of the Unified Patent Court	The link See the Register of the Unified Patent Court (UPC) for opt-out data in this section leads to events related to the opt-out procedure in the Registry of the UPC. Note: This section is displayed for EP and Euro-PCT applications, even if there has been no opt-out. For WO (PCT) applications designating the EPO and without a EP publication number, the opt-out section is not displayed.	
Cited in	Grouped by: International search Opposition Appeal Limitation Revocation by applicant	

# **Examples for status information:**

- International publication has been made
- Application published
- Request for examination made
- Examination in progress
- Application withdrawn
- Application deemed to be withdrawn
- Application refused
- Grant intended
- Patent granted
- No opposition filed within time limit
- · Opposition rejected
- Opposition procedure closed
- Patent maintained as amended
- Patent revoked

#### Most recent event

The first date on the left is the day on which the data was added or changed in the European Patent Register as a result of an action taken by the formalities examiner. The second date on the right refers to the publication of the relevant document in the European Patent Bulletin.

For some events, e.g. the grant of a patent, the publication date in the European Patent Bulletin is also the effective date.



Example of granted patent.

Not all most recent events are published in the European Patent Bulletin.



# Bookmarking the file

→ To create a bookmark or add the page to your browser's favourites, right-click the underlined title.



Bookmarking the About this file page

- → In Microsoft Internet Explorer, select *Add to favourites*.
- → In Mozilla Firefox, select **Bookmark This Link**.

- ✓ The Add a favourite (Internet Explorer) or New Bookmark (Firefox) window opens.
- → Select a folder to store the favourite or bookmark if you wish.
- → Click *Add* (Internet Explorer) or *Save* (Firefox).

Once saved, you can locate files with the publication number and title in your favourites or bookmarks.

## Downloading XML data in WIPO/ST36 standard

If you want to process data from a patent file, e.g. save it to your own database, the European Patent Register allows you to download the available bibliographic data as an XML file compliant to the WIPO standard ST.36 ("Processing of patent information using XML").

- → To download the XML file, click the *ST36* button in the toolbar.

  You will always receive the same XML file for an application, no matter in which page (e.g. *About this file* or *Citations*) you click the *ST36* button.
- → In the download dialogue, select to open or to save the file.
  - ✓ If you select *Open*, the XML file is displayed in the default programme for XML files, usually Notepad.
  - ✓ If you select Save, the XML file is named by the application number and saved to your default download folder.

The XML file contains all the data on publications, persons and organisations, legal status, procedural steps, events, patent family, cited documents and citations.

```
'?><register-document xmlns="http://www.epo.org/register" date-produced="20141211" dtd-version="1.0" lang="en
                    produced-by="RO" status="PATENT_GRANTED">
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                                 <document-id lang="en">
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    8
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  10
                            publication-reference>
  11
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  19
                            <publication-reference change-gazette-num="2014/10">
  27
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                                   <doc-number>
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170
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218
                             <invention-title change-gazette-num="2011/03" lang="en">Dust collecting attachment for power tool</invention-title>
                             <term-of-grant change-gazette-num="2015/02">
```

Example of application data in ST36 format, viewed in Altova XML Spy

For more information on the ST.36 standard, go to the WIPO website at http://www.wipo.int/standards/en/xml material/st36/

### **Submitting third-party observations**

For applications that are still under examination everybody can submit any observation regarding the patentability of this application

→ To open a new third-party observation form online, click on **Submit** observations in the toolbar.

The third-party observations form opens in a new browser window (or tab). The form is made up of five steps:

- 1. Personal details (you can select to fill up the form anonymously)
- 2. Facts & evidence (you can upload documents supporting your evidence)
- 3. Novelty
- 4. Inventive step
- 5. Others (e.g. clarity)

For more information, go to the EPO website at **Searching for patents > Free online services > Third-party observations**.

http://www.epo.org/searching/free/observations.html

### Reporting errors to the European Patent Office

If you discover that data in an application is not correct, you can send a message to the EPO's customer support.

→ To contact the EPO in this matter, click *Report error* in the toolbar.

The online contact form opens in a new browser window (or tab). The topic, subject and application number are already entered into the appropriate fields for your convenience.

# **EP Legal status**

The *Legal status* view provides a list that contains the most important legally relevant results for the European procedure. Where available, it also contains information on the further progress of the granted European patent once it has passed over to the jurisdiction of the designated states. These procedural steps are normally published in the patent gazette of the patent-granting country or organisation concerned.

## **Data categories**

In the *EP Legal status* view, you will find the following information (where available):

Data area	Contents	
Designated contracting states	For each state: Two-letter country code Lapse date Link to national patent register	
Examination procedure	Last event in the examination procedure For the previous examination events, go to the <b>About this file</b> page	
Entry into the regional phase (PCT applications only)	List of events related to the entry into the European phase	
Fees paid	List of fees paid, each with date and description	
European patent granted	Date of grant	

Appeal	List of events related to the appeal case     following opposition     following examination	
Opposition procedure	Last event in the opposition period	
INPADOC data	Information on events during the lifetime of an European patent application generated during both the EPO patent grant procedure and the post-grant phase	

The EPO does not accept any responsibility for the accuracy of legal status data relating to the post-grant phase, including but not limited to their completeness and fitness for specific purposes, nor can it guarantee that such data are up to date.

### **Designated contracting states**

The country codes shown under **Designated contracting states** stand for those states designated in the application.

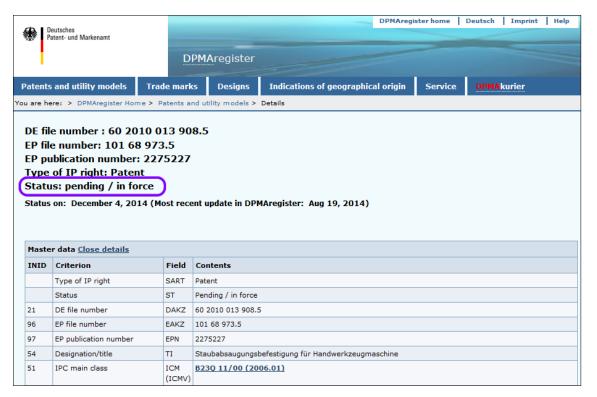
In addition to the country code, there is also a note as to when protection lapsed during the opposition phase or thereafter. Lapses that occur in the national phase of the patent are not always listed, so if no date is cited, then it is possible that the patent is still in force. To check this, you should contact the national patent office of the contracting state concerned.

→ To access the respective national patent register, click the link that is indicated by the little arrow next to the country code.



Links to national patent registers in designated contracting states

On the national patent register page, you can find national legal information regarding the patent application.



### Example for a patent in force



Example for a patent lapsed

# **EP Federated Register**

The **Federated Register** view displays official bibliographic and legal status data relating to European patent documents in the national post-grant phase as made available to the EPO by the national offices of the designated states, extension states and validation states participating in this service at the time the application is granted. Where available, deep links allow you to access the relevant national registers direct from the country codes. Where there is unitary patent protection, the upper section of this view provides an overview of the legal status of a European patent with unitary effect.

### The Unitary Patent (EP C0) section

When unitary patent protection is requested, you can find the legal status data in this section. The Participating member states at the date of registration of unitary effect are listed here, consequently these countries will not be displayed in the below common view for national phase patents.

The following details can be provided:

- **EP C0** (EP country code + Unitary Patent marker)
- · Status EP C0
- · Member states covered by unitary patent protection
- Proprietor(s)
- · Invalidation date
- · Renewal fees last paid
- Record last updated

#### Status EP C0

The same legal status is displayed in the **Status** section of the **UP About this file** view.

# Member states covered by unitary patent protection

Displays a list of country codes of member states only covered by unitary patent protection at the date of registration.

#### **Proprietor**

Displays the name of the proprietor (person or company). If there are more than three proprietors, up to three are displayed and each is numbered.

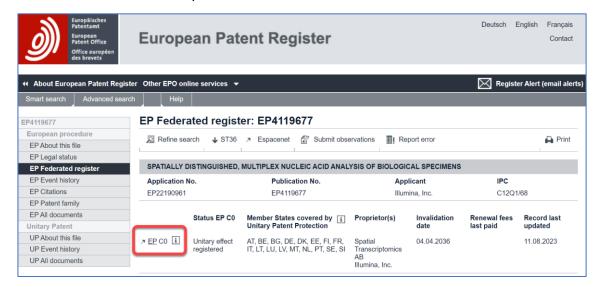
#### Invalidation date

The date of decision on invalidation can be for any of the following reasons:

- EP revocation (decided by the EPO or UPC)
- UP revocation (decided by the EPO or UPC)
- UP lapse due to non-payment of renewal fee or additional fee (Rules 14(2) and 10(4) Rules relating to Unitary Patent Protection)
- · UP lapse due to expiration of the EP patent
- Expiry date

To access all procedural and legal details of the European patent with unitary effect, go to the **UP About this file** view.

→ Click on EP C0 to open the details in the UP About this file view



EP C0 hyperlink leading to UP About this file

If there is no request for unitary effect, this section is not displayed.

### The national phase (post-grant) common view

Information on the content provided by each national patent office currently integrated into the Federated Register service is available from the relevant national website. You can find the most recent list of countries with links to their national patent office's website on the EPO website at

http://www.epo.org/searching-for-patents/legal/register/documentation/federated-register.html

## Designated contracting states data

Only designated contracting states providing the Federated Register service are listed in the table overview that contains the following bibliographic and legal status data for European patents in the national phase (post-grant) phase:

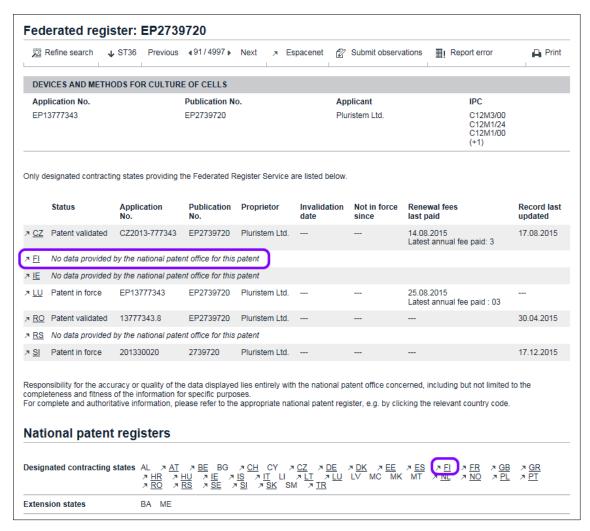
- Country code where available, with direct hyperlink to the relevant national patent register
- Status
- Application No.
- Publication No.
- Proprietor
- Invalidation date
- Not in force since date
- Renewal fees last paid
- Record last updated date on which the record in the European Patent Register was last updated or, if this date is not available, the date on which the national register was last updated

Please note that the responsibility for the accuracy or quality of the data displayed is entirely with the respective national patent office, including but not limited to the completeness and fitness of the information for specific purposes.

For complete and authoritative information, please refer to the respective national patent register, e.g. by clicking the relevant country code.

Where the text *No data provided by the national patent office for this patent office* is displayed, this national patent office has not yet set up a web service to connect to the European Patent Register.

→ Click on the country code to view the data in the relevant national patent register, either in the table or in the **Designated contracting states** section under **National patent registers**.



Data provided by the patent offices from designated contracting states offering the Federated Register Service

#### **National patent registers**

This part of the Federated Register lists ALL designated contracting states, extension states and validation states, irrespective of whether or not they provide the service.

The states are grouped according to their designation agreement with the EPO:

- *→ Designated contracting states.*
- → Extension states (if designated)
- → Validation states (if designated)

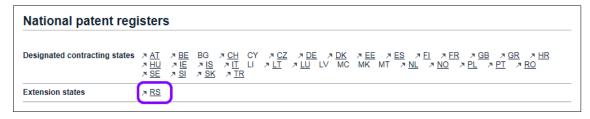
Most of the countries listed offer deep links to their national patent register. However, if a country does not use deep links, you can find contact details for the national patent offices of member states and other states on the EPO website:

www.epo.org/service-support/useful-links.html

#### Extension and validation states data

The extension states and validation states are only linked to the relevant national register if the extension fees or validation fees have been paid.

- → Click on the country code to view the relevant national register.
- → To check payments, go to the **EP About this file** page and see under **Extension states**.



The link to the national patent register is enabled if extension fees have been paid

#### Invalidation date

The *invalidation date* reflects the date when the decision on the invalidation was taken.

Based on the data provided by a national register, the *invalidation date* displayed can be one of the following dates:

- patent withdrawn
- patent revoked
- patent lapsed
- patent expired

The date shown in the Federated Register is the most recent date provided by the national office concerned.

A PCT application is deemed to be withdrawn about 35 months after the filing date of the earliest priority. At this stage, the information will be displayed in the European Patent Register.

# Not in force since date

The **not** in **force** since date is the date on which the rights conferred by the patent are no longer considered to be in force in the country concerned.

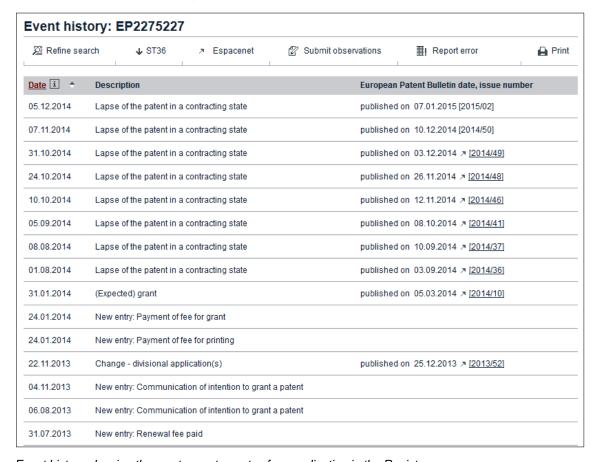
The **not** in **force** since date may or may not be the same as the **invalidation** date, depending on the case in question and the national patent granting procedure concerned. The **not** in **force** since date could also be retroactive to the **invalidation** date.

# **EP Event history**

The **EP Event history** page displays all the changes undergone by a patent application. The content area shows a chronological list of all changes to the bibliographical, legal status and procedural data of this European patent application.

The **Date** column shows the day on which data was added or changed in the Register. These legal events/entries could be e.g. the date of receipt of the application at the EPO, the addition of a European representative, the amendment of the title in another language, or the payment of certain fees.

The date on the right is the date of publication of the relevant document in the *European Patent Bulletin*. The issue of the European Patent Bulletin in which the information was published is indicated in square brackets. In many cases the publication date in the European Patent Bulletin is also the effective date.



Event history showing the most recent events of an application in the Register

The event date reflects only the date on which the action was processed by the EPO's system, so it may differ from the effective legal/filing date of the event concerned. Refer to the information in the *Legal status* or *All documents* page for the effective date.

.....

# Changing the sort order

The event history table can be sorted by date in descending (default) or ascending order.

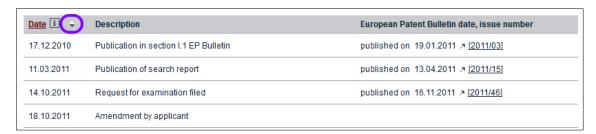
→ To reverse the sort order, click *Date* or the double-arrow in the column header.



Event history sorted in descending order

✓ The table is sorted in ascending order.

The reverse sort order is also indicated by the little double-arrow in the column header.



Event history sorted in ascending order

# **EP Citations**

The *EP Citations* view displays a list of documents found during the patentability search for the European patent application, cited during examination, cited by the applicant or cited during the opposition procedure.

The citations are grouped by origin:

- Search
- International search
- Examination
- By applicant
- Opposition

Within these groups, the citations are additionally grouped by *Patent literature* and *Non-patent literature*.

If no documents have been cited in connection with a patent application, the *Citations* item in the navigation bar is inactive.

The *Citations* page displays the following information for each document (where available):

Data	Contents	Additional data if cited in Search
Туре	Patent literature, Non- patent literature	
Publication No.	Number with link to Espacenet	Document category code
Publication information	Author(s), bibliography	Document category code, title
DOI	n.a.	Link to dx.doi.org, referring to the online publication (where available)

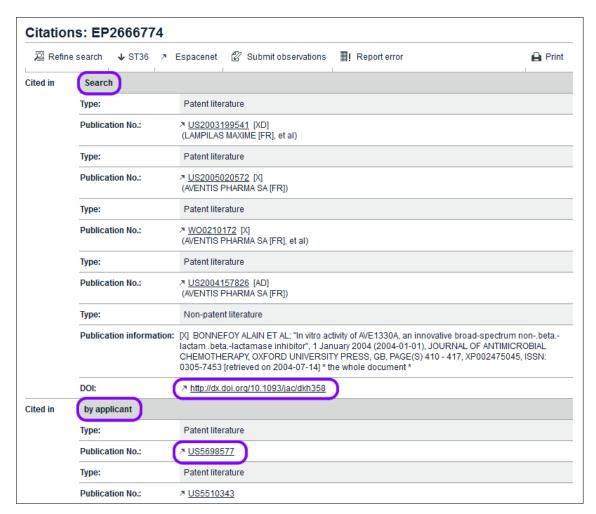
# **Document categories**

Documents found during the search and cited in the search report are categorised according to their relevance in respect of the invention claimed. These categories are indicated by the capital letters in square brackets. Citations from other sources do not have this categorisation.

## Viewing cited literature

All cited documents available in the European Patent Office databases are displayed, regardless of their country of origin. Non-patent literature (NPL) may be referenced, however, most scientific online publications are only accessible for registered users and paying subscribers.

- → To view the original document in Espacenet or as an online publication, click the relevant link.
  - ✓ The publication opens in a new browser window (or tab).



Examples for documents cited during search and by applicant

## **EP Patent family**

The *EP Patent family* view displays the complete patent family of the currently viewed application. A patent family is a group of patents that are related to each other by way of the priority or priorities of a particular patent document.

In the **Patent family** page, the related documents are grouped by type and labelled with the letter codes M, E, D and P.

## M = patent family member

This document is related to the one you are currently viewing by way of at least one priority – directly or via another document.

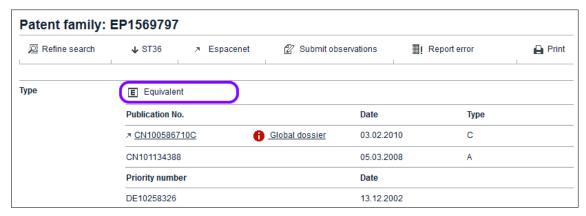


Example for a patent family member

# E = equivalent

Equivalents or equivalent applications are members of a patent family that have the same priority. They are often referred to as corresponding documents.

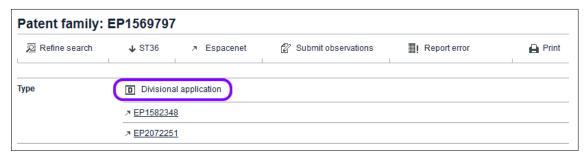
This document has exactly the same priorities as the one you are currently viewing.



Example for a patent equivalent in the patent family

#### D = divisional

The divisional application has been divided out of the one that you are currently looking at.



Example for a divisional application in the patent family, viewed from the earlier application

## P = earlier application (parent application)

The parent application is referenced if you are viewing the divisional application and can see the original application as a patent family member. In the case of non-unity, a divisional application may be filed on the basis of any pending earlier European patent application.



Example for an earlier application in the patent family, viewed from the divisional application

#### **Document kind codes**

The *Type* column displays the document kind code which provides a clear identification of the type of publication. The kind codes consist of a capital letter and, most often, a number. Kind codes that begin with an A usually refer to patent applications, those with a B to granted patents, U to utility models and T to the publication of a translation.

The most frequent kind codes are:

- A1 Application published with search report
- A2 Application published without search report
- A3 Separate search report published later
- B1 Patent specification published after grant

## Viewing related patent documents in Espacenet

More information on patent family members can be found in Espacenet, especially if the relevant documents have been published in national patent registers and not in the European Patent Register.

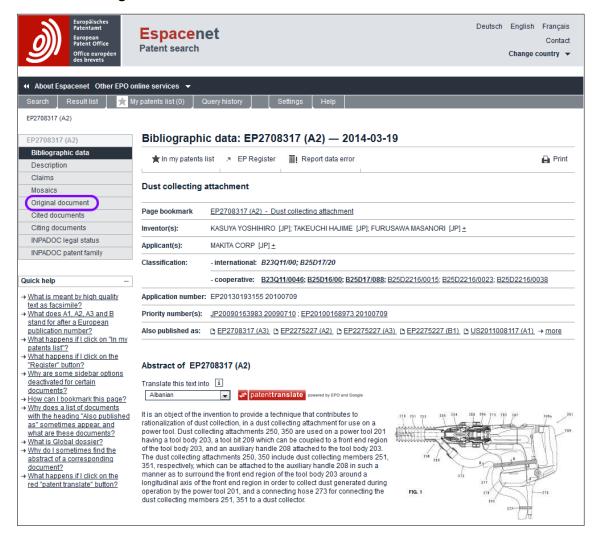
→ Click the underlined link to view the related patent in Espacenet.



Link to a patent family member in Espacenet

- ✓ The relevant document opens in Espacenet in a new browser window (or tab).
- → To browse through the document, use the *Navigation bar* which is similar to that in the Register.

If the original file was published in the European Patent Register, you can view it under *Original document*.



Viewing a related document in Espacenet

## Monitoring the file wrappers of patent family members

You can keep track of changes to a dossier's contents or the file wrappers of patent family members listed in *EP Patent family* view by creating an email alert or subscribing to an RSS feed.

#### **Email alert**

→ Click the email icon in the header in *EP Patent family* view and enter your email address in the pop-up window that appears.

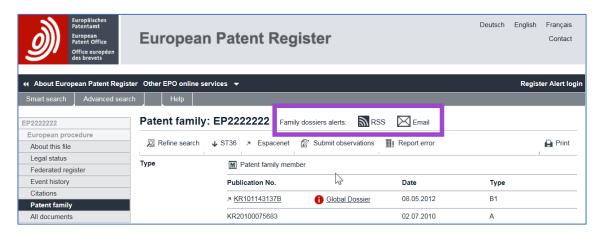
Confirm your subscription by clicking the link indicated in the notification email. Now when a change occurs in the dossier selected, you will receive an email alert. Further details on the email alert service can be found in the chapter **Email alert**.

#### **RSS** feed

To subscribe to an RSS feed and keep track of changes to a dossier

→ click the RSS feed icon and follow the instructions relevant to the browser you are using.

Further instructions and details about RSS feeds are available in the chapter **RSS** feed.



RSS and email icons in the header in EP Patent family view

The RSS and email alert services are available as long as they are supported by the corresponding country. If there are no documents that can be monitored, the RSS and email icons do not appear in the header.

#### **Opening Global Dossier**

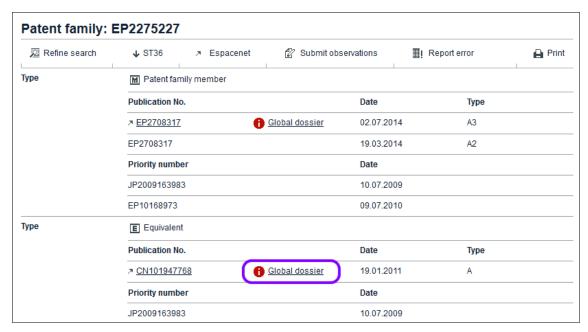
Global Dossier gives you access to the "file inspection" or "file wrapper" content published by the IP5 offices, as well as the Australien Patent Office (IP Australia), Canadian Patent Office (CIPO), Israel Patent Office (ILPO) and WIPO (PCT applications). The IP5 offices are the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the State Intellectual Property Office of the People's Republic of China (SIPO), and the United States Patent and Trademark Office (USPTO).

The family members published by one of the above mentioned offices are marked with a red i-icon and the *Global Dossier* link.

→ Click the *Global Dossier* link related to the patent family member you are interested in.

You can tell by the country code (AU, CA, IL, WO, EP, JP, KR, CN or US) in the publication number that this is a patent application published by one of the IP5 offices.

If you click the *Global Dossier* link for a patent with an *EP* publication number, this will open the file wrapper in the Register by switching to the *EP AII* documents view.



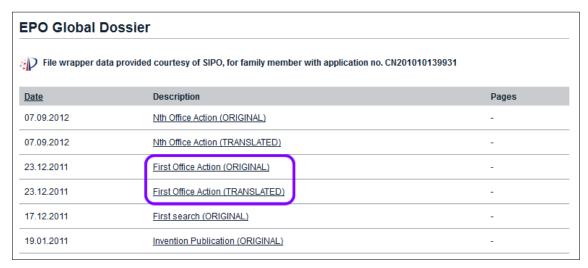
Link to a patent equivalent in Global Dossier

✓ The EPO Global Dossier opens in a new browser window (or tab).

The partner office and family member's application number appear at the top.

The documents list contains three columns with data about the individual documents in the dossier: date, description, and number of pages (if available).

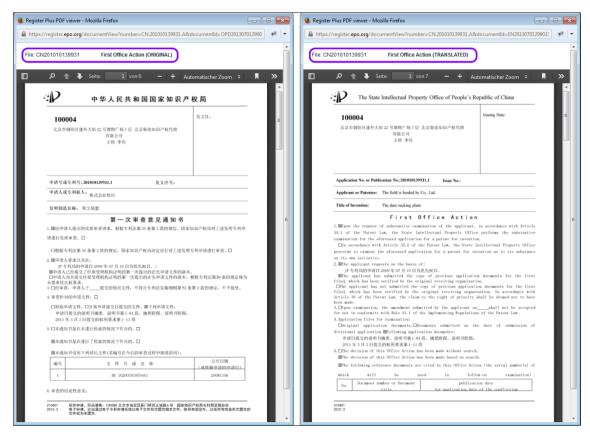
- → To display the original document in the original language, click on a description marked *(ORIGINAL)*.
- → To display the (machine-)translation into English, click on a description marked (TRANSLATED).



Documents in the SIPO file wrapper in Global Dossier

✓ The document opens in the PDF viewer.

You can have both the (ORIGINAL) and (TRANSLATED) windows open simultaneously.



Viewing the original document in Chinese and the translation in English

#### **EP All documents**

The *All documents* page displays a chronological list of all public documents in the file, including correspondence between the EPO and the applicant or patent attorney.

- Publicly available outgoing communications are available in the European Patent Register on the day after the date of despatch. The date in the documents list is the date when the communication was created by the EPO.
- Publicly available incoming communications are available once the filed document has been coded by the EPO. The date displayed in the documents list is the date of receipt by the EPO.

## **Printing the documents list**

→ To print the document list, click the **Print** icon in the **All documents** page toolbar.

## Changing the sort order

The documents table can be sorted by date in descending (default) or ascending order.

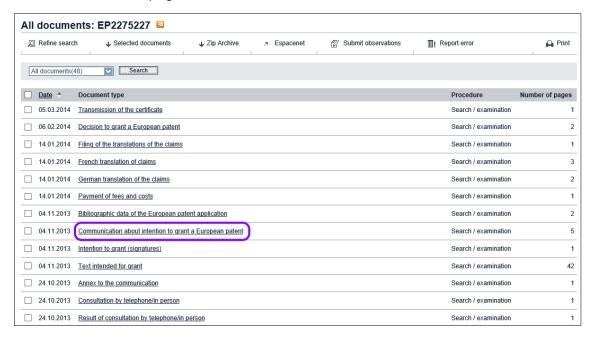
→ To reverse the sort order, click **Date** or the little double-arrow in the column header.



Document list sorted by date in ascending order

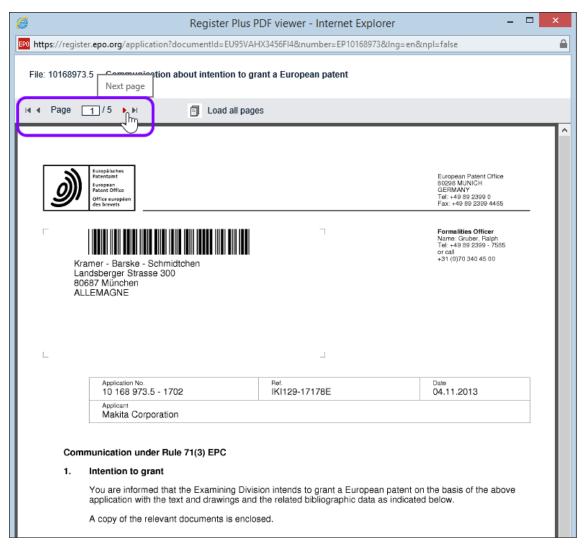
## Viewing documents

→ To open an individual document in PDF format, click on its title in the EP AII documents page.



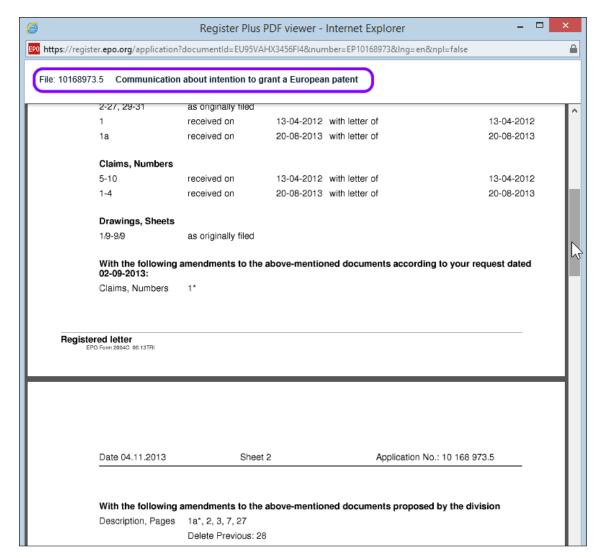
List of documents in the All documents page

- ✓ The PDF viewer opens in a new browser window (or tab) and displays the first page of the selected document.
- ✓ Each document will open in a separate browser window (or tab), so that you can view multiple documents at the same time.
- → To browse through the document page by page, use the extra pagination bar.



Document with pagination bar in the PDF viewer

- → To view all the pages, click on *Load all pages* in the pagination bar.
  - ✓ The pagination bar will be hidden and you can use the scrollbar to move within the document.



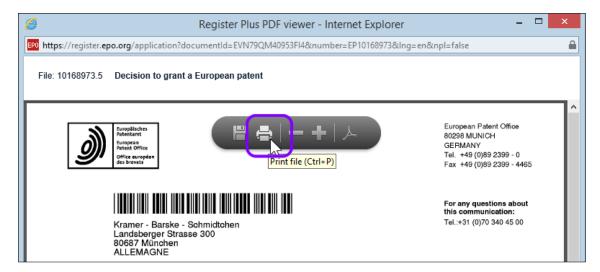
Scrolling through a document after all pages have been loaded

→ To change the document magnification, use the zoom functions in the PDF viewer.

## **Printing documents**

- → To print the document or an individual page, open it in from the **EP AII** documents view.
- → Click the **Print** icon in the PDF viewer's toolbar.

The PDF toolbar is generated by the Adobe Reader browser plug-in and may look different in your preferred browser.



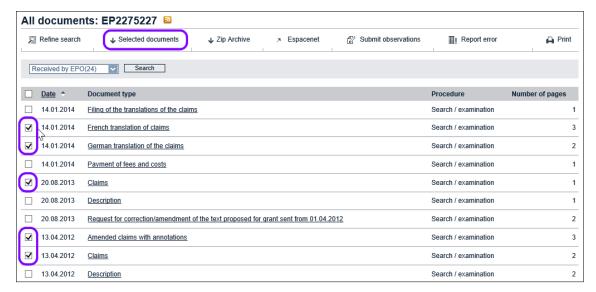
Print icon in PDF viewer of Microsoft Internet Explorer



Print icon in PDF viewer of Mozilla Firefox

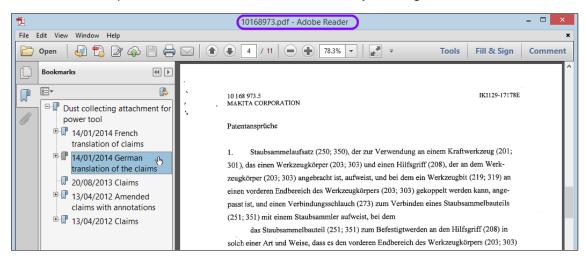
# **Downloading documents**

- → To download one or more documents, tick the relevant check boxes in the *EP All documents* view.
  - → To select all check boxes, tick the check box in the table header.
  - → To clear all check boxes, clear the check box in the table header.
- → Click **Selected documents** in the toolbar.



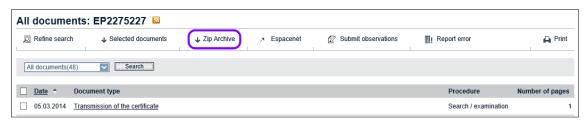
Documents selected for download

- ✓ The selected documents will be packaged in a single PDF file named by the application number.
- → Go to a specific document within the PDF file by clicking the relevant bookmark.



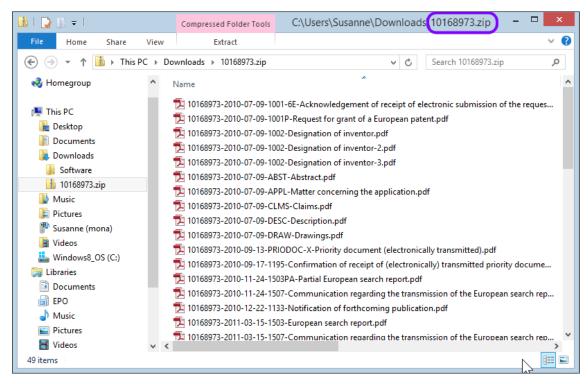
Downloaded PDF file with bookmarks

→ To download all the documents, click **Zip Archive** in the **EP All documents** view toolbar.



Downloading all documents as ZIP archive

✓ The downloaded ZIP archive contains all the PDF files. Each PDF file is named by application number, date, EPO document code and document type.



PDF files in the downloaded ZIP archive

#### Filtering the documents list

The number of documents in a patent application file may often rise to 200 and above, especially if the patent has undergone the opposition and appeal procedure. You can filter the list to view only those documents you are interested in.

The document filter below the toolbar offers the following options (where applicable):

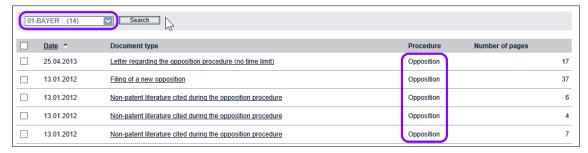
- All documents
- Search / examination
- Received by EPO
- Sent by EPO
- Biological material
- Internal
- Opposition
- Appeal
- Limitation
- PCT Chapter II procedure

→ From the drop-down list, select the option you are interested in, e.g. documents related to a specific opponent.



Filtering options for the documents list

- → Click Search.
  - ✓ The list is filtered to the selected document type.



Documents list filtered to a specific opponent

# Availability of electronic documents

If the application has been published only recently, it may be that no documents have been published yet. You can add the file to your monitored applications to be notified of future events in the European Patent Register.

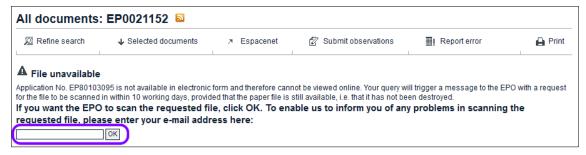


No documents have been published for this application

Some files are not available electronically and therefore cannot be viewed online.

→ To request the EPO to scan a specific paper file, click **OK**.

Provided the document is available, the EPO will scan it within 10 working days.



No documents are available for this application

In the case of some older applications, there is no electronic file available and the paper file has been destroyed. There are no documents left to view.



The file has been destroyed, however, the application can still be viewed in the Register.

## Keeping track of dossier changes in EP All documents

You can keep track of changes to file wrappers in *All documents* by creating an email alert or subscribing to an RSS feed.

#### Email alert

→ Click the email alert in the header in *EP All documents* view and enter your email address in the pop-up window that appears.

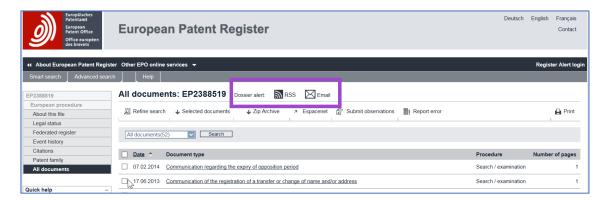
Confirm your subscription by clicking the link indicated in the notification email. Now when a change occurs in the dossier selected, you will receive an email alert. Further details on the email alert service can be found in the chapter **Email alert**.

#### **RSS** feed

To subscribe to an RSS feed and keep track of changes to a dossier

→ click the RSS feed icon and follow the instructions relevant to the browser you are using.

Further instructions and details about RSS feeds are available in the chapter **RSS** feed.



RSS and email icon in the header of the EP All documents view

The RSS and email alert services are available as long as they are supported by the corresponding country. If there are no documents that can be monitored, the RSS and email icons do not appear in the header.

#### **UP About this file**

The first page of each patent file contains an overview of the important bibliographic, legal and procedural information relating to a European patent with unitary effect (Unitary Patent). The blue icon and C0 marker in the header help to identify that you are in the view for unitary patent protection details.

#### **Data categories**

In the *UP About this file* view, you will find the following information (where available):

Data area	Contents
Status	Status only of unitary patent protection. The italicised text "Database last updated" is the same information as in EP About this file.
Most recent event	Shows latest changes to the bibliographic, legal status and procedural data of the European patent with unitary effect only.  The <i>Most recent event</i> date reflects the date on which the action was processed by the EPO, so it may differ from the effective legal/filing date. Inspect the information in the <i>UP AII documents</i> view for the legal effective date.
Proprietor(s)	Name and address of the owner of a European patent with unitary effect.

Data area	Contents
Inventor(s)	Inventor(s) names and addresses. (Same information as in EP About this file).  When 1 / see applicant is displayed here, the applicant and inventor is one and the same person.
Representative(s)	Proprietor's representative(s) names and addresses
Application number, filing date	EP application number and date or WO publication number. (Same information as in EP About this file).
Priority number, date	Priority number(s) and date(s) WO/EP publication number
Filing language	Two-letter code: EN, DE or FR
Procedural language	Two-letter code: EN, DE or FR
(Principal) place of business on the date of filing	Link to the information in EPO Form 1001 or PCT Form RO/101
Unitary Patent Protection	Date + legal event information
Participating member states at the date of registration	Date of registration + list of participating members states
Publication	B-Publications only
Renewal fees last paid	Date + year of renewal fee. Penalty fees also displayed, if applicable
Renewal fees not paid – Unitary patent protection lapsed	Dispatch date of communication
Lapse of unitary effect	Lapse date + Kind of lapse + EPB issue number (link)
Request for re- establishment of rights	Date + outcome definition
Interruption/resumption of Unitary patent protection	Date+ Reason of interruption/resumption
Licences of rights	Date of filing a statement concerning licences of right/Date of withdrawal of a statement concerning licences of right
Licence(s)	Displays licence identification, the countries in which the licence is valid, details of the licencee, legal effect date and a link from the European Patent Bulletin date and issue number

Data area	Contents
Legal means of execution and/or other rights	Displays serial number of legal means, legal effective date, designated contracting states and EP Bulletin issue number link
Public notifications	Reason of public notification, indication of addressee, e.g. representative, applicant, date of EP Bulletin (same as despatch date) and link to details via the EP Bulletin issue number

# **Examples for status information:**

- Patent revoked
- Patent revoked by proprietor
- The patent has been limited
- Request for unitary effect withdrawn
- Request for unitary effect rejected
- · Request for unitary effect filed
- Unitary effect lapsed
- Request for re-establishement of rights
- Unitary effect registered
- Remember the Most recent event is the date on which the data was processed and not necessarily the same as the date of legal effect. Refer to the relevant information in **UP All documents**.

## **UP Event history**

This panel view displays only those events related to European patents with unitary effect. Navigation and use of the functions in this view are the same as in EP Event history, please refer to this chapter for details.

#### **UP All documents**

This panel view displays only documents related to European patents with unitary effect. Navigation and use of the functions in this view are the same as in EP All documents, please refer to this chapter for details.

## **Register Alert**

## Signing up for Register Alert

With Register Alert you can monitor up to 1,000 patent applications in a secure environment which is accessible for users with a user name and password. It monitors changes to published EP and Euro-PCT applications and European patents with unitary effect.

There are two starting points to enrol for a new user account with user name and password:

- In the Register Alert page in the EPO website at http://www.epo.org/searching/free/register/register-alert.html
- 2. In the *Log in to Register Alert* page which is accessible from the European Patent Register website at <a href="https://register.epo.org/login">https://register.epo.org/login</a>
- → Click the *Enrol for a username and password* link.

The enrolment process takes four steps.

The first page provides a link to the **Specific terms and conditions** page for the EPO Online services.

→ To confirm that you agree with these terms and conditions, click *Accept*.

Step 2 on the next page provides the registration form.

- → Select a title.
- → Enter your first name and last name.

1 to 60 characters are allowed.

- → Enter the company name.
  - 1 to 128 characters are allowed.
- → Enter a valid email address.
- → Enter a user name.

The length of the user name must be between 5 and 60 characters.

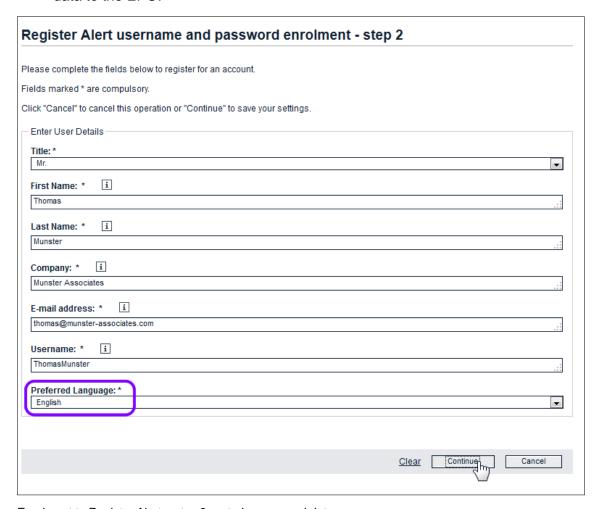
User names can contain lowercase letters a-z, uppercase letters A-z, numbers o-g, hyphens, underscores and full stops (dots). Spaces, diacritics and other special characters are not allowed.

→ Select your *Preferred Language*.

Register Alert will use this language to send Register event notifications to your email address. The preferred language cannot be changed later, so mind to choose your favoured language in this step.

→ Click Continue.

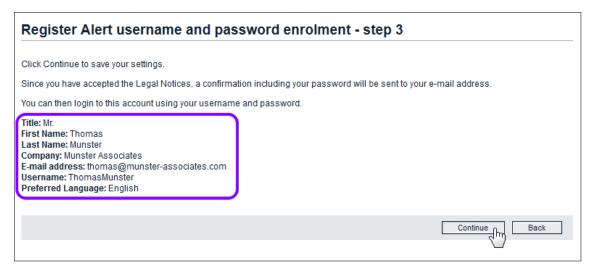
At this point, you can click *Cancel* to terminate the process without sending any data to the EPO.



Enrolment to Register Alert – step 2: entering personal data

Step 3 on the next page displays the data that you entered.

→ Check your data and click **Continue** if everything is correct.



Enrolment to Register Alert - step 3: verifying your data

A confirmation with your password will be sent to your email address. Provided that you entered your email correctly, you will receive the confirmation within a couple of minutes during normal business hours.

Step 4 on the last page provides information where to find your new password and what to do if you do not receive the confirmation.

- → Click Finish.
  - ✓ The Log in to Register Alert page is displayed.
- → Check your inbox for an email from <a href="RegisterAlertautomatedMail@epo.org">RegisterAlertautomatedMail@epo.org</a> with the subject <a href="Register Alert service">Register Alert service</a> <a href="registration">registration</a> notification.

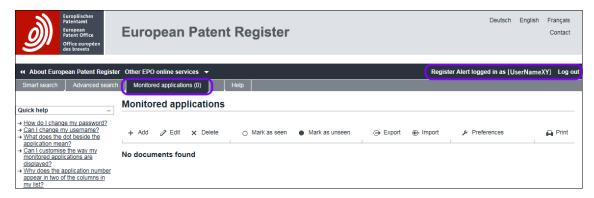
If you cannot find the email, you should also check your junk mail folder or spam filter.

→ Enter your user name and the password which was sent to you in the confirmation email.

The password is case-sensitive but the user name can be entered in lowercase as well as in uppercase letters.

- → Click Register Alert login.
  - ✓ You have successfully enrolled for the Register Alert service.

The *Monitored applications* tab is now visible in the main navigation. However, there are no documents in your monitored applications list yet.



Logged in to Register Alert after completing the enrolment process

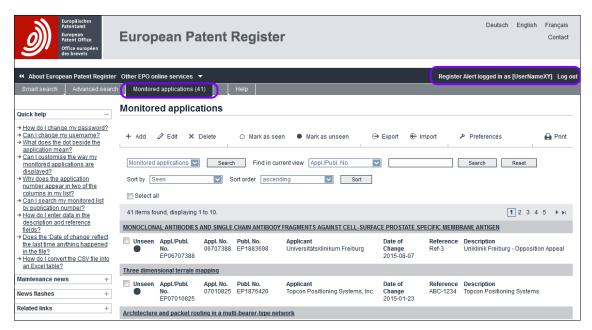
## **Accessing Register Alert**

You can access Register Alert both from the EPO website and from the European Patent Register homepage.

- In the EPO website, go to the Register Alert page at http://www.epo.org/searching/free/register/register-alert.html
- → Click the *Username and password login* button, below the headline *Direct access*.
- 2. In the European Patent Register website, the login button is located in the right corner of the dark blue bar above the main navigation.
- → Click Register Alert login.
  - ✓ The Log in to Register Alert page is displayed.
- → Enter your user name and password.
  - → If you are accessing Register Alert for the first time after having enrolled to the service, use the password which was sent to you in the confirmation email.

The password is case-sensitive but the user name can be entered in lowercase as well as in uppercase letters.

- → Click Register Alert login.
  - ✓ The Smart search page is displayed.
- → Click *Monitored applications* in the main navigation.



Viewing the Monitored applications list after login to Register Alert

#### Logging out

You should always log out from Register Alert when you have finished your work. Like in other online applications, simply closing the browser window is not recommended.

→ Click *Log out* in the right corner of the dark blue bar above the main navigation.

By logging off, you prevent anyone else from accessing your Register Alert account and finding out which applications you are monitoring.

For security reasons, you are automatically logged out after 30 minutes of idle time.

## **Editing user details**

When you are logged in to Register Alert, your user name is indicated in square brackets in the dark blue bar above the main navigation. You can edit your personal details here, for example you can change your email address or set a new password.

→ To edit your user data, click **Register Alert logged in as [UserNameXY]**.



User details can be modified when logged in to Register Alert

The *Edit user details* page is displayed.

The user name and the preferred language cannot be modified.

- → Modify your data as required.
- → To create a new password, enter it identically in both the **New password** and the **Confirm new password** field.
- → To save your changes, click **Submit**.



Editable and non-editable user details

#### Deleting a user account

You cannot delete your user account yourself.

→ Contact EPO customer support if you want to have your user name and all connected data deleted.

#### Merging user accounts

User accounts cannot be merged. However, you can export your list of monitored applications from one account and import it into another. This way, you can consolidate all applications you are interested in into one single list.

If you do not want to receive email notifications any longer for an account which you are not using, you can either deactivate Register Alert email notifications or delete all applications from your monitored list.

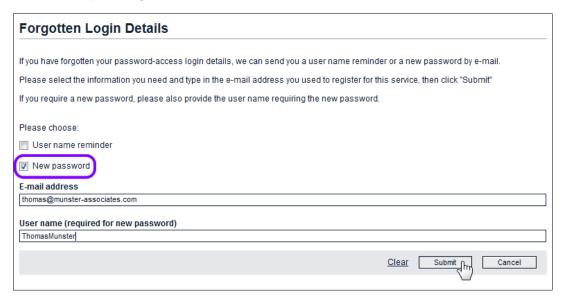
## Requesting new password

If you forgot your password and/or your user name, you can request a new password and/or a user name reminder from the Register Alert system. The new password and the reminder will be sent to the email address that you entered for enrolment.

- → In the Log in to Register Alert page, click the Forgotten login details? link.
  - ✓ The Forgotten Details page is displayed.
- → If you forgot your password, tick the check box *New password*, enter both your email address and your user name, and then click *Submit*.

The user name is required because an email address may be used for more than one Register Alert user account.

- ✓ You will receive an email from <a href="RegisterAlertautomatedMail@epo.org">Register Alert service password notification</a>.
- → If you forgot your user name, tick the check box *User name reminder*, enter your email address and click *Submit*.
  - ✓ You will receive an email from <a href="RegisterAlertautomatedMail@epo.org">RegisterAlert service username reminder</a>.



Requesting a new password for Register Alert

- → If you need both the user name and a new password, select the user name reminder first. Then, after you received the user name reminder, go back to the *Forgotten Login Details* page and select the *New password* check box.
- → After you received your new password, log in with your user name and password.
- → Change your password.

# **Monitoring applications in Register Alert**

When you are logged in to Register Alert, the **Monitored applications** tab becomes visible in the main navigation. The figure in brackets indicates the number of applications that are currently in your list.

You can monitor up to 5 000 files per account. To monitor more than 5 000 files, simply create a new account. You can set up numerous accounts with the same email address.

The list of monitored applications is made up of seven columns, the first of which contains a check box to select each application individually.

The table columns contain the following data:

# Seen / Unseen

Register Alert automatically marks changes that have occurred since your last log-in. Applications that have changed are marked as *unseen* with a filled black circle, whereas applications without changes are marked as *seen* with a blank circle.

# Appl./Publ. No.

Application / publication number

- If you add the application by its application number or if you start
  monitoring the file from the search results list, this field contains
  the application number as provided by the Register, i.e. with EP.
- If you add the application by its publication number, this field contains the publication number as you entered it, i.e. with or without *EP* and with *WO*.

## Appl. No.

Application number as provided by the Register without the letters **EP** 

The application number is the unique ID for a file both in the European Patent Register and in Register Alert, therefore duplicate entries are not possible.

Publ. No.

Publication number

**Applicant** 

Name of the applicant(s)

Date of

Date of the most recent Register event

Change

Reference

Optional personal reference, up to 25 characters

Description

Optional personal description, up to 100 characters

#### **Toolbar functions**

The toolbar provides some extra functions to work with the monitored applications list.



Toolbar in the Monitored applications page

**Add** Add an application to the list

**Edit** Edit your reference and description for the selected application(s)

**Delete** Delete the selected application(s) from the list

Mark as seen Mark the selected application(s) as seen

Mark as unseen Mark the selected application(s) as unseen

**Export** Export the complete list as a CSV file

Import a CSV file to add monitored applications to the list

**Preferences** Edit the settings for Register Alert

**Print** Print the currently viewed page

#### Browsing the monitored applications list

You can browse through the monitored applications pages using the pagination bar at the right side of the grey boxes above and below the list.

The page number of the current page is displayed with a rectangular frame.

- → To display the next or previous 10 results, click on the right or left arrow.
- → To display a specific page, click on the page number.
- → To go to the last or first page, click on the skip forward or skip backward icon.

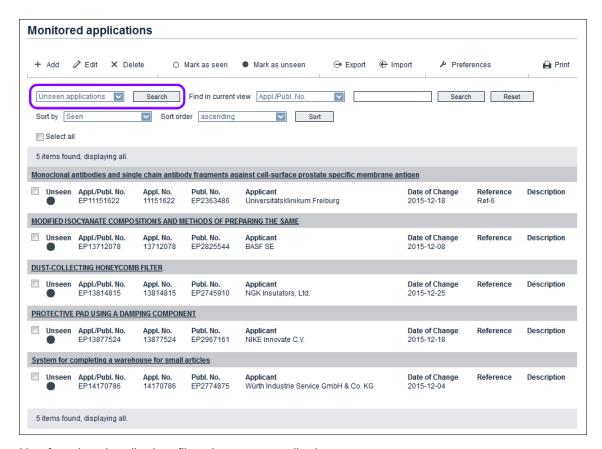


Paging through the monitored applications list

## Filtering the monitored applications list

The list can be filtered to show only the unseen applications. This way, you can immediately see whether a change has occurred to one of your monitored files.

- → From the drop-down list on the top left-hand side, select *Unseen applications*.
- → Click Search.
  - ✓ The list is reduced to the applications marked as unseen.



List of monitored applications filtered to unseen applications

The filter selection is maintained until you log out from Register Alert.

## Viewing changes in a monitored application

→ To open one of the files from the monitored list, click the underlined title.



Monitored applications list with seen and unseen changes

✓ The Most recent event section in the EP About this file page displays
the event to which the date of change in the list relates.

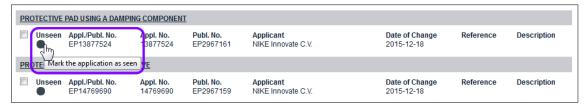


Date of change in the Most recent event section

## Marking applications as seen / unseen

Applications that have undergone changes since your last login to Register Alert are automatically marked as **unseen** with a filled black circle. You can change this application status to **seen** after you viewed the relevant file.

- → To change the status of an individual application from *unseen* to *seen*, click the black circle to the left.
  - ✓ The status is changed and the circle changes to white.



Marking an application as seen

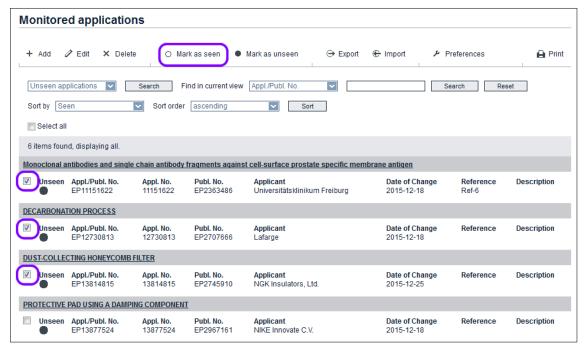
Vice versa, you can mark any application as **unseen** if you want to have a closer look at it at a later time.

- → To change the status of an individual application from **seen** to **unseen**, click the white circle to the left.
  - ✓ The status is changed and the circle changes to black.



Marking an application as unseen

- → To change the status of multiple applications, tick the check box to the left of each item.
- → Click *Mark as seen* or *Mark as unseen* as appropriate.
  - ✓ The status of the selected applications is changed.

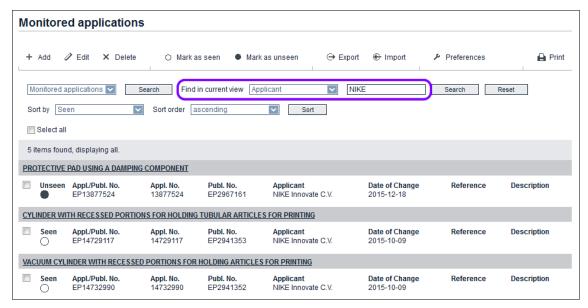


Changing the status of selected applications from unseen to seen

## Searching the monitored applications list

You can search your list for a specific application or publication number, applicant, date of change, reference or description.

- → From the drop-down list, select the criterion you are interested in.
- → Enter the search term.
- → Click Search.



Searching all applications with a specific applicant

- → To delete the search term and to return to the default view, click **Reset**.
- The search selection is maintained until you click **Reset** or when you log out from Register Alert.

## Sorting the monitored applications list

You can sort the list by any of the columns in ascending or descending order. The default is sorting by *Appl./Publ. No.* in ascending order.

- → Change the sort key by selecting an option from the **Sort by** list.
- → If appropriate, change the sort order from ascending to descending or vice versa.
- → Click Sort.
  - ✓ The list will be re-sorted.



Changing the sort order for the list of monitored applications

The sort order is reset to default once you leave the **Monitored applications** page.

# Adding applications to the monitored list

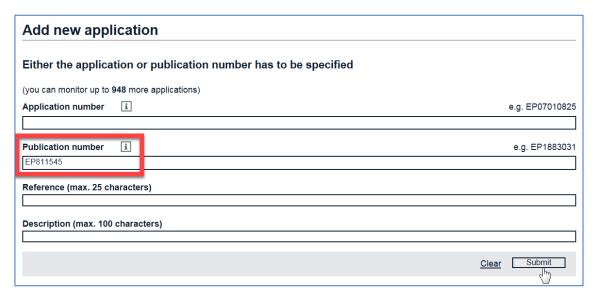
When you are logged in to Register Alert, there are three methods how you can start monitoring applications.

- 1. Adding an application in the *Monitored applications* page
- 2. Adding applications from the Search results page
- 3. Adding an application from the About this file page

#### Adding an application in the Monitored applications page

If you want to add a file while viewing the *Monitored applications* page, you need to know either its application number or publication number.

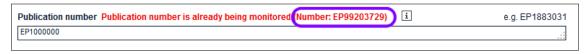
- → Click the *Add* button in the toolbar.
  - ✓ The Add new application page is displayed.
- → Enter either the application number or the publication number.
  - → Enter an application number as 8-digit number without a country code.
  - → Enter a publication number with a country code, e.g. EP811545 or WO9912805. The same formats as for searching the Register are allowed.
- → Optionally, enter your personal reference and a description.
- → Click Submit.



Entering publication number to add application to the monitored list

✓ If adding the application was successful, you are returned to the *Monitored* applications page.

✓ If the application could not be added, e.g. if you entered the publication number of an application that was already on your monitored list, you will see an error message including the application number affected.



Error message when trying to add an application to the monitored list

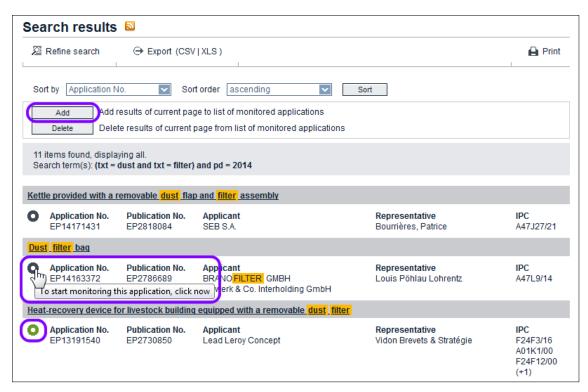
Monitored applications are indexed by their application number. This is why each application can be added to the list only once – regardless whether you enter the EP publication number, the WO publication number or the EP application number.

# Adding applications from the Search results page

In the **Search results** page, you can add applications individually or add all results shown in the current page.

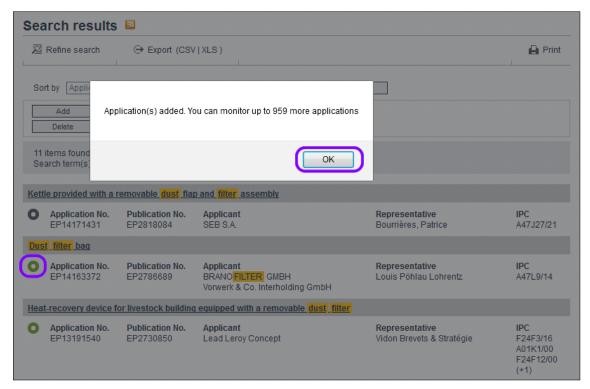
To the left of each application, there is a doughnut symbol which is normally black. Monitored applications are marked with a green doughnut symbol.

- → To add an individual item to the list of monitored applications, click the black doughnut symbol.
- → To add all applications shown in the current page, click the *Add* button above the result list.



Adding items from the search results to the list of monitored applications

- ✓ The selected application(s) is (are) added to your list and the relevant doughnut symbol(s) change(s) to green.
- → To close the popup message, click **OK**.

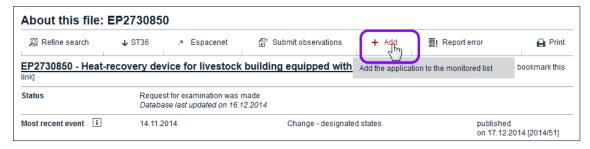


Monitored applications are marked with a green doughnut symbol

## Adding an application from the EP About this file page

In the *EP About this file* page, the toolbar provides a special button for the monitoring of this application.

→ To add the file to your list of monitored applications, click *Add*.



Adding a file to the list of monitored applications

✓ The application is added to your list and the button changes to Delete.



The file is added to the list of monitored applications

## Deleting applications from the monitored list

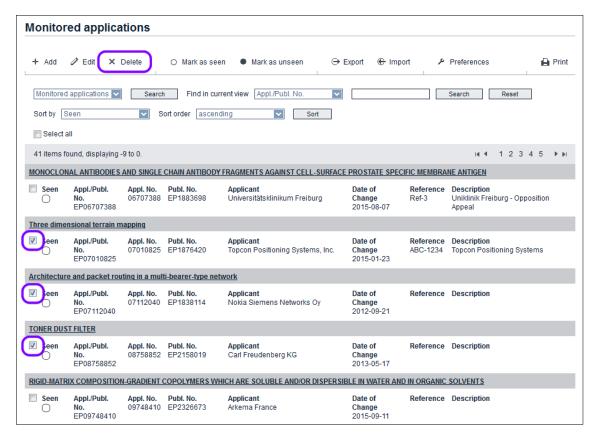
When you are logged in to Register Alert, there are three methods how you can stop monitoring applications.

- 1. Deleting applications in the *Monitored applications* page
- 2. Deleting applications when in the Search results page
- 3. Deleting an application when in the About this file page

## **Deleting applications in the Monitored applications page**

You can delete one or multiple applications from your monitored list.

- → To select the application to be deleted, tick the check box at the left.
  - → To select all applications on the current page, tick the Select all check box above the list header.
- → Click the **Delete** button in the toolbar.
  - ✓ The applications are removed from your monitored list.

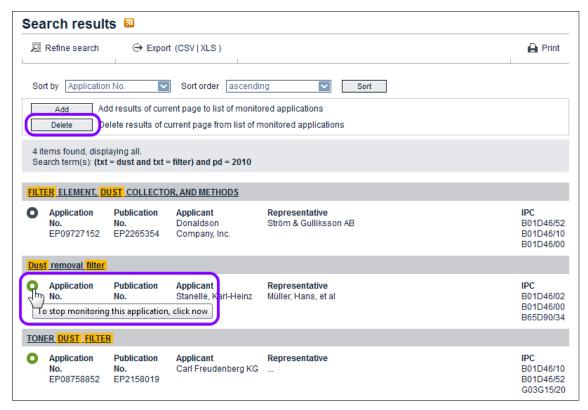


Deleting selected applications from the monitored list

## Deleting applications when in the Search results page

In the **Search results** page, monitored applications are marked with a green doughnut symbol.

- → To remove an individual item from the list of monitored applications, click the green doughnut symbol.
- → To remove all applications shown in the current page, click the **Delete** button above the result list.
  - ✓ The selected application(s) is (are) removed from your list and the relevant doughnut symbol(s) change(s) to black.



Removing an application from the monitored list when in the Search results page

## Deleting an application when in the EP/UPbout this file view

In the *EP/UP About this file* page, the toolbar provides a special button to manage the monitoring of this application.

- → To remove the file from your list of monitored applications, click **Delete**.
  - ✓ The application is removed from your list and the button changes to Add.

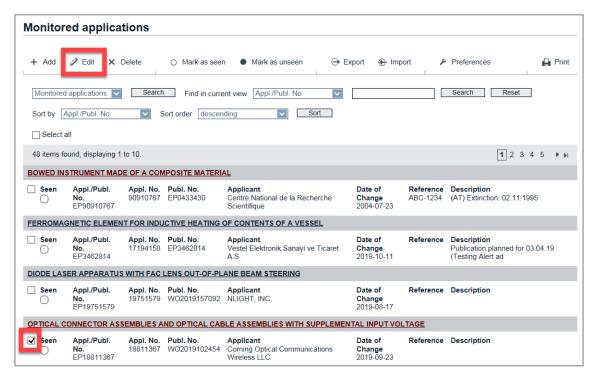


Removing an application from the monitored list when in the About this file page

## Editing the application reference

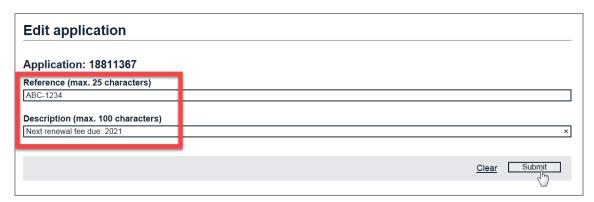
You can enter your personal text into the reference field and the description field either when adding a new application to the monitored list or at any time later.

- → To edit an application in the monitored list, tick the check box to the left of the item.
- → Click the *Edit* button in the toolbar.



Selecting and editing an application from the monitored list

- ✓ The Edit application page is displayed.
- → Enter your text into the *Reference* field (max. 25 characters).
- → Enter your text into the **Description** field (max. 100 characters).
- → To delete the text from all the fields, click *Clear*.
- → To save your changes, click **Submit**.



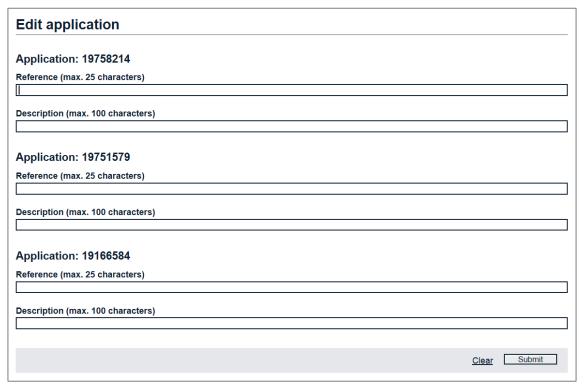
Example of text entered in the personal reference and description fields

✓ The new reference and description are displayed in the monitored list.



Reference and description field updated and displayed in the list of monitored applications

- → To edit multiple applications in one step, tick the check boxes for the items to be changed and then click *Edit*.
  - ✓ The Edit application page displays the entry fields for the selected applications one below the other.



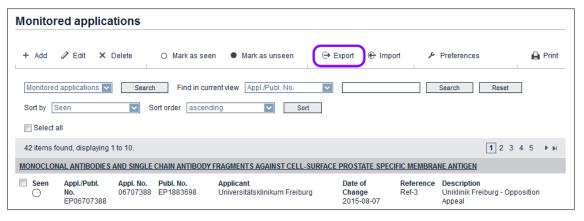
Editing multiple applications

Do not use commas, semicolons, quotation marks or slashes and avoid using diacritical characters in the reference and description fields. Special characters can create problems when you use external software to open or import a CSV file which you exported from your monitored list.

## **Exporting the monitored applications list**

Register Alert allows you to export the list of monitored files into a file which you can save as a data back-up on your computer. You can also import this file into another Register Alert user account, or you can edit and process the file for further data analysis.

- → When logged in to Register Alert, go to the *Monitored applications* page.
- → To export the complete monitored list, click the *Export* button in the toolbar.



Exporting the list of monitored applications

- ✓ Register Alert produces a CSV file that will download as a compressed ZIP archive.
- → At the browser download prompt, choose to open or to save the ZIP file.



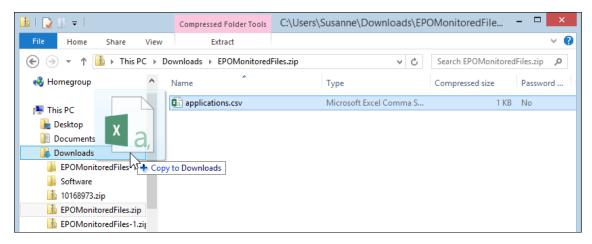
Download prompt in Internet Explorer

→ To inspect the downloaded ZIP file, click *Open folder*.



Options after download has completed

- ✓ The EPOMonitoredFiled.zip file contains the applications.csv file.
- → To copy the CSV file to another location, drag it from the ZIP folder and drop it to the destination folder.
- → To extract the ZIP file and its contents into a separate sub-folder, click *Extract* under the *Compressed Folder Tools* tab and then select *Extract all*.



Copying CSV file from downloaded ZIP archive

## The applications.csv file contains the following fields:

number the data in the *Appl./Publ. No.* column, i.e. the number that you entered when adding the application. The value can be the publication number or the application number, including the two-letter country code.

**appnumber** the application number as the unique ID provided by the Register,

without the letters **EP** 

**pubnumber** the publication number that you entered when adding the application,

without the two-letter country code

reference the personal reference

description the personal description, phrases with blank spaces are enclosed in

quotation marks

**true** = seen, false = unseen

The *applicant* field is not included in the exported CSV file.

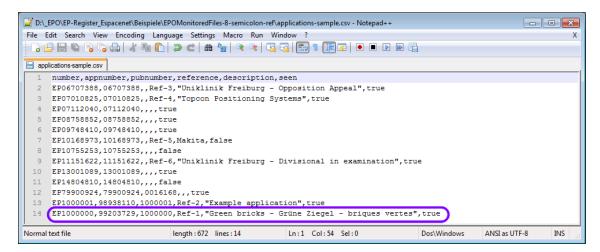
## Opening the exported file as text-only

→ To view the CSV file as text-only, open it in any text editor like Notepad, UltraEdit or Notepad++.

The first line in the CSV file is the data header containing the field names. In this example, the delimiters are commas.

Each subsequent line contains the data of one monitored application, delimited by commas. If there are two consecutive commas, this means that the corresponding field in the monitored applications list was empty.

Special characters and diacritics are displayed correctly, as most text editors automatically identify the CSV file as UTF-8 encoded data.



CSV file opened in Notepad++

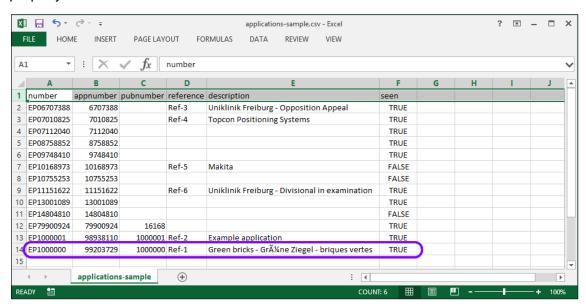
## Opening the exported file in Microsoft Excel

If MS Excel is installed on your computer, a CSV file will automatically open in MS Excel when you double-click it.

The first line in the Excel spreadsheet contains the field names.

The **seen** column contains **TRUE** or **FALSE** if you are using an English version of MS Excel. This words will be translated into the localised language, e.g. if your version of MS Excel is German you will read **WAHR** and **FALSCH** instead.

Note that the diacritical characters in the last row of this sample file are not displayed properly.



CSV file opened in Microsoft Excel

### Saving the CSV file to an MS Excel document

The CSV format does not allow a number of functions that are useful when working with MS Excel. You can save a copy of the exported CSV file in XLSX format.

- → Open the CSV file in MS Excel.
- → To save the CSV file in XLSX format for further editing, click the *File* tab.
- → Click **Save as** and select the folder where the file should be saved.
- → Edit the file name as required.
- → Change the Save as type from CSV (Comma delimited) (\*.csv) to Excel Workbook (\*.xlsx) and click Save.
  - ✓ The new file opens in MS Excel where you can continue to work with it.

### Setting the appropriate delimiter for CSV files

The default list delimiter that is applied by Microsoft Excel when opening a CSV file depends on the language of your computer's operating system.

- English systems use the comma: a CSV file with comma delimiters will open properly as an Excel spreadsheet.
- German and French systems use the semicolon: a CSV file with semicolon delimiters will open properly as an Excel spreadsheet.

If you are working with a German or French operating system, it is therefore recommended to change the export settings in Register Alert, so that the semicolon is the default delimiter. However, your installation of MS Office or your operating system could also be configured in a different way, so just try which delimiter works properly.

#### Importing CSV data into the monitored applications list

Register Alert allows you to import a list of applications that you created yourself or that was exported from Register Alert previously. The list can be imported as a text file in CSV format.

CSV files can be created in Microsoft Excel or another spreadsheet calculation software as well as in a text editor like Notepad, UltraEdit or Notepad++.

- → When logged in to Register Alert, go to the *Monitored applications* page.
- → To import a list in CSV data format, click the *Import* button in the toolbar.



Importing CSV data to the monitored applications

- → In the next page, click the **Browse** button under **File path**.
- → Navigate to the CSV file, select it and click *Open* to upload it.
- → Click *Import*.



Import file selected

✓ The file is processed and the *Import status* page is displayed.



Import of CSV file completed successfully.

If the import failed, an error message to the effect is displayed.

#### Import status

#### Import of CSV file completed, with errors

File name: sample-import.csv

These 3 problems were encountered during import:

13175200: Application 13175200 is already being monitored 13001569: Application 13001569 is already being monitored 12822484: Application 12822484 is already being monitored

0 items imported successfully

3 items processed in total

Error message after import

→ To view the imported applications, go back to the *Monitored applications* page.

## **Creating CSV files for import**

The CSV import file must contain exactly six fields (columns) in the following order:

**number** the field must exist in the file, but is left empty

**appnumber** the application number. Use the same formats that are accepted when

using the Add button to add individual files (e.g. 99100026 with 8

digits).

pubnumber the publication number. Use the same formats that are accepted when

using the **Add** button to add individual files (e.g. EP811545,

EP1023455, WO9912805, WO02051231).

**reference** a user-provided reference, up to 15 characters

description a user-provided description, up to 50 characters

seen If you want the file to appear as seen, specify *true*. Otherwise, the

import applies false as the default value and the item will appear as

unseen.

- The maximum file size is 100 KB.
- As a minimum, either the **appnumber** or the **pubnumber** field must be supplied. The other fields are optional.
- The value in **appnumber** or **pubnumber** must be a valid number, i.e. a number existing in the Register, otherwise it will not be imported.
- Using the appnumber rather than the pubnumber is recommended, because Register Alert indexes the applications by appnumber. Importing a file with

**appnumber** values will therefore be much faster, because resolving the **pubnumber** values is relatively time-consuming.

## Editing CSV files in a text editor

If you create or edit a CSV file with a text editor, consider the following additional rules:

- Use the same delimiter which is set for *Import and Export* in the Register Alert Preferences, i.e. either comma or semicolon.
- All lines must contain the six fields in the precise order number, appnumber, pubnumber, reference, description, seen.
- The first line can provide the field names as a header, however, it will not be imported.
- If fields are empty, they must nevertheless be represented by two consecutive delimiters.
- If text strings in the reference or description field consist of several words with blank spaces, the field contents must be enclosed in quotation marks.
- If your text contains diacritical characters, set the encoding of the file to UTF-8.

The following example shows CSV data with three records. Note that the **number** and **pubnumber** fields are empty in all the rows.

```
,EP13175200,,ref1,"This is a sample description",true
,EP13001569,,ref2,description-text,
,EP12822484,,ref3,,false
```

This is how the imported applications appear in the monitored list.



Imported applications in the monitored list

## **Setting Register Alert Preferences**

In Register Alert, you can modify the default table layout of your list of monitored applications and customise which email notifications you want to receive as well as how the information should be presented.

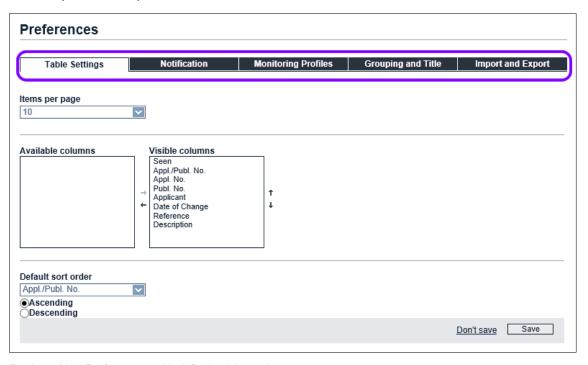
- → When logged in to Register Alert, go to the *Monitored applications* page.
- → To change your settings, click the *Preferences* button in the toolbar.



Setting Preferences for Register Alert

There are five tabs for your personalised settings:

- 1. Table Settings
- 2. Notification
- 3. Monitoring Profiles
- 4. Grouping and Title
- 5. Import and Export



Register Alert Preferences with default table settings

## **Table settings**

By default, the monitored list is sorted by the *Appl./Publ. No.* column in ascending order, i.e. the lower numbers appear at the top of the file list.

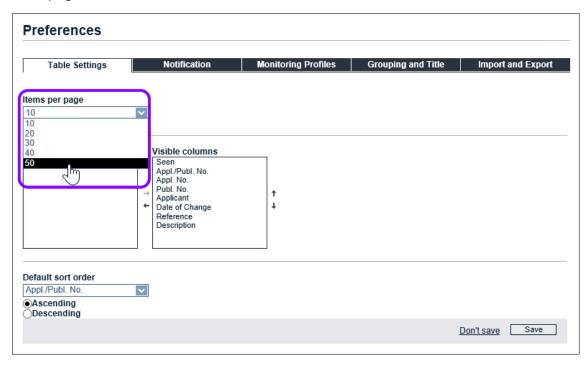
You can customise the table in the **Monitored applications** page and save the following settings as your personal preferences:

- items per page
- visible columns
- order of visible columns
- default sort order

## Setting number of items per page

→ Select the number of items per page from the drop-down list.

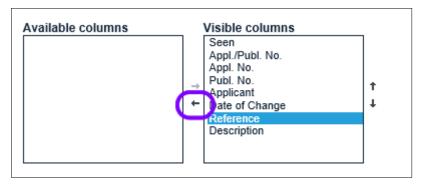
The available options are 10, 20, 30, 40 or 50 applications to be displayed on a page.



Setting the number of applications to be displayed on a page

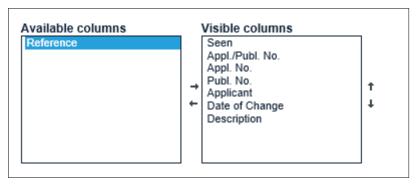
## Removing columns from table

- → In the *Visible columns* box, select the column to be hidden.
- → Click the little black arrow pointing to the left.



Removing selected column from the table

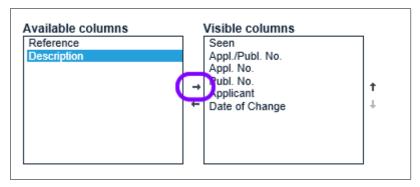
✓ The column is removed from the Visible columns box and appears in the
Available columns box.



Column removed from the visible columns

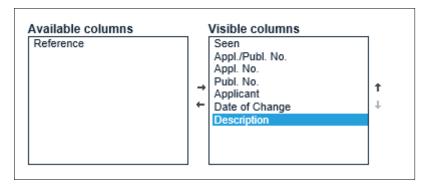
## Adding columns to table

- → In the *Available columns* box, select the column to be displayed.
- → Click the little black arrow pointing to the right.



Adding a column to the monitored list

✓ The column is removed from the Available columns box and appears in the Visible columns box.



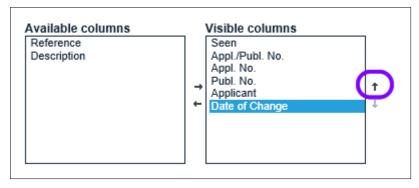
Column added to the visible columns

## Changing horizontal order of columns

- → In the *Visible columns* box, select the column to be rearranged.
- → To move the column up, click the little black arrow pointing upwards.

  In the monitored list, this column will be moved to the left.
- → To move the column down, click the little black arrow pointing downwards.

  In the monitored list, this column will be moved to the right.



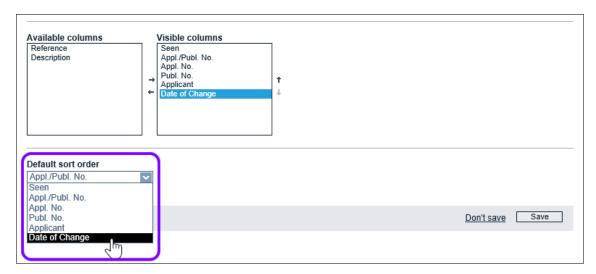
Changing order of columns in the monitored list

#### Selecting the default sort order

- → From the drop-down list, select the column to be used as sort key.

  Only the visible columns are available as sort criteria.
- → Select the sort order you wish to use: ascending (A-Z or 0-9) or descending (Z-A or 9-0).

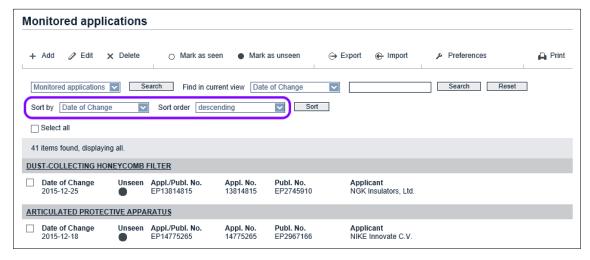
You can always override these settings individually by sorting the list manually when viewing the *Monitored applications* page.



Selecting the default sort order column

## Applying the settings

- → To apply the new settings, click **Save**.
- → If you decide not to save your changes, click **Don't Save**.
  - ✓ The Preferences view closes and you are returned to the list of monitored applications which is now displayed in your new default settings.



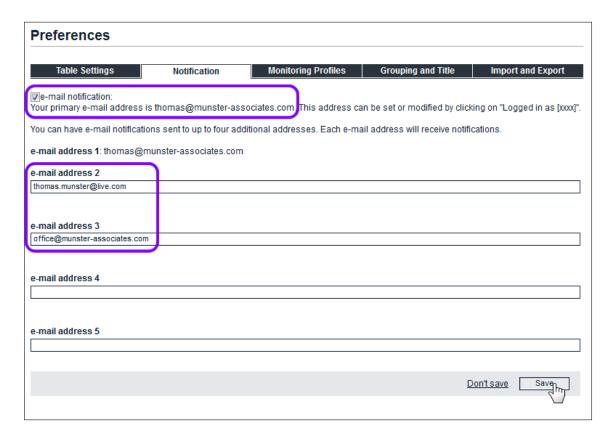
Viewing the list of monitored applications in the new settings

#### **Notification**

Register Alert allows you to specify up to five email addresses to which notifications will be sent.

The first address is the email address assigned to your Register Alert account.

- → To receive the same notifications as **e-mail address 1** under the additional email addresses, enter the relevant addresses into the fields **e-mail address 2** to **e-mail address 5**.
- → Click Save.



Entering additional email addresses for Register Alert notifications

#### Receiving emails from Register Alert

Next time an event occurs to one of your monitored applications, you will receive an email from <a href="mailto:RegisterAlertautomatedMail@epo.org">RegisterAlertautomatedMail@epo.org</a> to each of the specified addresses.

Emails sent via Register Alert are not encrypted.

If you do not receive any email notifications, you should check whether

- you have ticked the check box e-mail notification
- your selected profile monitors the event(s) you are expecting
- your personal spam filter is blocking emails sent by RegisterAlertautomatedMail@epo.org
- a Register event has actually occurred



## European Patent Register - Monitored Applications

Account name: ThomasMunster

Dear subscriber

This message is to inform you that a change has occurred in respect of one or more items on the list of applications monitored by Thomas Munster To see the latest Online European Patent Register data for the application(s) concerned, simply click on the relevant Appl./Publ. No.

#### MODIFIED ISOCYANATE COMPOSITIONS AND METHODS OF PREPARING THE SAME

Appl./Publ. No.	Appl. No.	Reference	Date of change	Event
EP13712078	13712078		2014-12-19	Publication in section I.1 EP Bulletin
EP13712078	13712078		2014-12-19	Request for examination filed

(The order in which events occurring on the same date are listed has no significance.)

This e-mail alert is subject to the EPO Online Services legal notices.

Please note that e-mails have no legal validity in proceedings under either the EPC or PCT. Read more under <a href="https://www.epo.org/service-support/contact-us/disclaimer">www.epo.org/service-support/contact-us/disclaimer</a>

Please do not reply to this automatically generated e-mail. Visit <a href="www.epo.org/contact">www.epo.org/contact</a> for ways to contact us if you have any questions on this or any other subject.

European Patent Office

www.epo.org

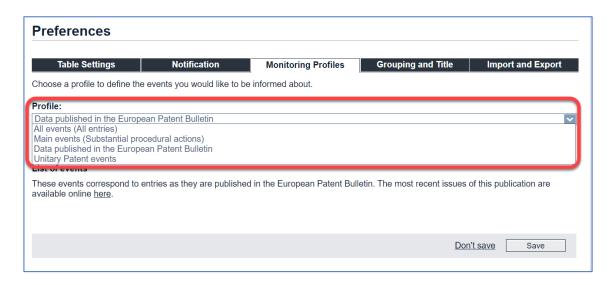
Example of a Register Alert notification email

## **Monitoring Profiles**

If you are not interested to receive notifications for all Register events, you can choose the events you want to be informed about.

- → From the drop-down menu, select which events should trigger an email alert.
  - → All entries (default)
    - ✓ You will receive an email notification each time there is a change to any of your monitored files.
  - → Substantial procedural actions
    - ✓ This option allows you to select only specific events.
  - → Data published in the European Patent Bulletin
    - ✓ You are only notified when an event is published in the European Patent Bulletin.
  - → Unitary Patent events

- ✓ You will only be notified when events related to European patents with unitary effect occur.
- → Click Save.



Selecting the monitoring profile for Register Alert notifications

#### Selecting categories of substantial procedural actions

Generally speaking, the events covered by this monitoring profile are those which have a legal effect on the status of a file.

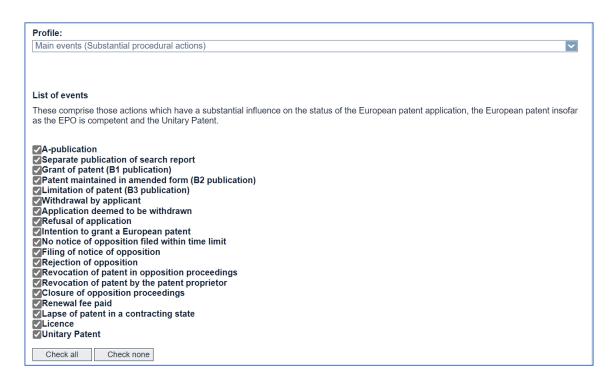
The exceptions to this are:

- the Intention to grant communication, which is advance information intended to give interested parties time to prepare an opposition
- the events relating to search report publication, which are also informational in nature

If you select the option **Substantial procedural actions**, a list of events is displayed.

→ Select the actions you want to be informed about.

You must tick at least one of the check boxes in order to receive notifications.



Event categories under substantial procedural actions

## Viewing Register events in detail

- → To learn more about Register events, click the link **events** in the **Monitoring Profiles** page.
- → To access the list of all events directly, go to the **Register Events** page at <a href="https://register.epo.org/allEvents">https://register.epo.org/allEvents</a>.

The Register Events page provides two tabs for event lists.

• *Main Events* (= Substantial procedural actions)

This list shows the substantial procedural actions that trigger European Patent Register and Unitary Patent events. To receive email notifications for these events, select **All entries** under **Preferences** in your Register Alert account. Click the **Main events (XML)** and **All events (XML)** links at the top of the page to download the EP and UP events in XML format.

• All Events (= All entries)

This list shows all events (including "main events") made public in the European Patent Register and the Unitary Patent Register.

#### **Downloading the Register events list**

→ To download a Register events list in XML format, click on the *Main events* (XML) or All events (XML) link at the top of the page.

✓ The XML file contains the event names in English, German and French as well
as the event codes.

## **Grouping and Title**

Register Alert sends an email with Register information each time changes occur to your monitored applications. By default, all notifications are contained in one email which may become quite long, depending on the number of applications that you are monitoring.

You can specify how the notifications should be grouped and what the subject line should contain.

- → Select the grouping you require.
  - → Group all notifications into one e-mail (default).

Choose this option if you want to receive all your notifications together in one email.

→ Group notifications for the same application into one e-mail.

Choose this option if you want to receive separate emails for individual applications.



Default settings for grouping and title of email notifications

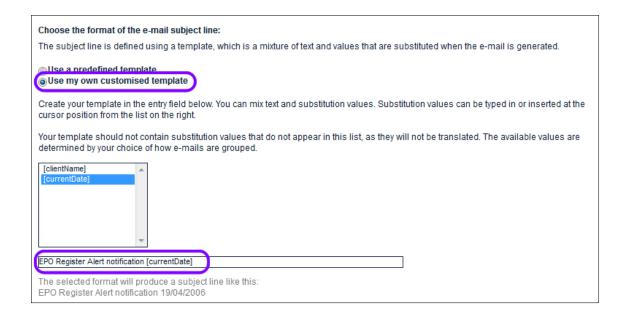
## Customising the email subject line

The default subject line in Register Alert notification emails reads **Register Alert notification of changed applications**. You can customise the subject line to improve sorting and filtering in your email inbox.

- → To change the subject line, select the option *Use my own customised template*.
  - ✓ This opens a box from which you can select substitution values.
- → Click one of the substitution values to copy it into the field for the subject line.
- → Enter your own text as required.

The grey text below the field displays an example how your subject line will look like.

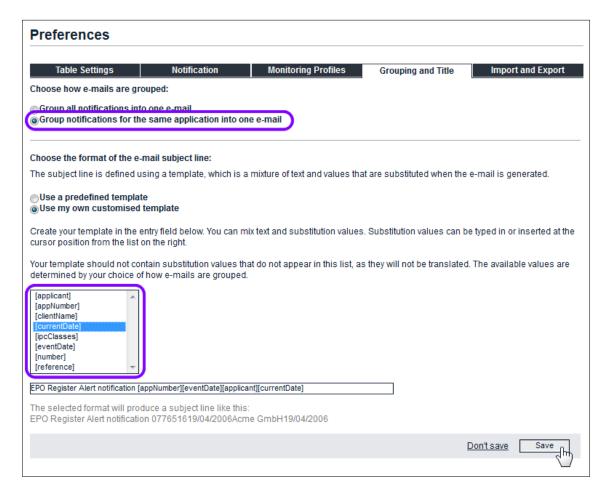
→ Click Save.



Creating a customised subject line for email notifications

The list of available substitution values depend on the selected grouping option.

If you select *group notifications for the same application into one e-mail*, there will be more substitution values which are referring to the individual application.

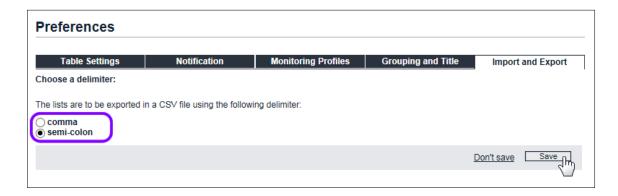


Substitution values for subject line when notifications are grouped by application

## **Import and Export**

Register Alert can import and export CSV files that are using either commas or semicolons as delimiters. The default setting is comma. You can change this default in the *Import and Export* tab in *Preferences*.

- → To change the default delimiter to semicolon, select the option **semicolon**.
- → Click Save.



Changing the delimiter for import and export of CSV files

You can change these settings as required at any time, depending on the type of file you want to import or export.

### **Email alert**

The email alert function is a European Patent Register service that allows you to monitor activity relating to patent application files (or "file wrappers").

The service is available in the *Global Dossier*, *EP All documents* and *EP Patent family* views.

To subscribe

→ click the email icon in the header of the page you are viewing.

In the **Subscribe to email alerts** window that appears

→ enter your email address and select *OK*.



Pop-up window for entering the email address

You will then receive an email asking you to confirm your subscription

→ click the link indicated in the notification email.

Now when a change occurs in the dossier selected, you will retrieve an email alert.

#### To unsubscribe

→ click the link *Unsubscribe to this automatically generated e-mail* in the email notification.

Pointing to the email icon with the mouse opens a tooltip containing details of its function.

The email alert service is available as long as it is supported by the corresponding country or countries. If there are no documents that can be monitored, the email icon does not appear in the header.

## Monitoring files wrappers in EP All documents and Global Dosser view

In the *EP All documents* and *Global Dossier* views you can use the service to trigger an email notification each time changes occur in an individual file.

#### Go to **EP All documents** or **Global Dossier** view

→ click the email icon in the header.



Email icon and tooltip in EP Patent family view

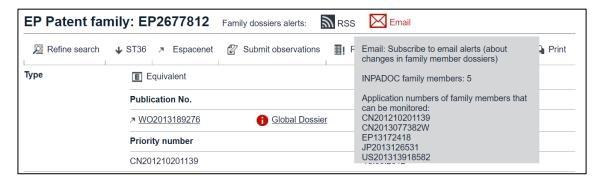


Email icon and tooltip in Global Dossier view

## Monitoring file wrappers in EP Patent family view

In *EP Patent family* view, you can keep track of changes to the dossiers of the patent family members that are listed and that support the email alert service.

Pointing to the email icon in *EP Patent family* view opens a tooltip containing details of the alert function as well as a list of the family members that can be monitored if you subscribe to email alerts.



Tooltip when pointing to the email icon in EP Patent family view

**Note**: In *EP Patent family* view, it is not the changes to the list of family members that is monitored but activities in the file wrapper of the patent family members listed that support the service.

#### **RSS** feed

RSS feeds regularly check activities within a URL that you have subscribed to in your internet browser.

Once you have subscribed to an RSS feed, any download, update or change within the URL will trigger an alert.

In the European Patent Register you can use RSS feeds to monitor activities in the following views:

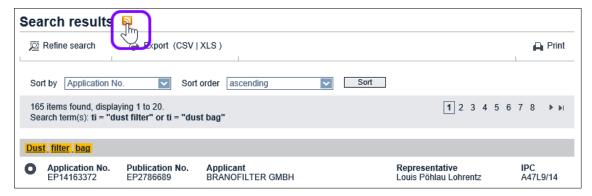
- Search results
- EP Patent family (for EP and CN dossiers only)
- EP All documents
- UP All documents
- Global Dossier (for EP and SIPO file inspection only)
- Maintenance news
- Newsflashes

To use the RSS feed in the Register click the familiar RSS feed icon that is generally positioned at the top of the page or section you are viewing. Your browser then easily guides you through the necessary steps to subscribe to the feed.

Microsoft Internet Explorer, for example, has a built-in RSS reader to manage your feeds.

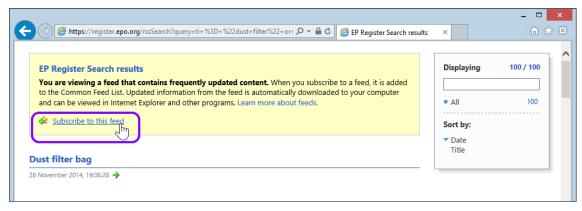
The following images shows how to subscribe to an RSS feed for search results; the principle is the same for all areas of the Register that offer the RSS feed option:

Click the orange **RSS** icon next to the **Search results** heading.



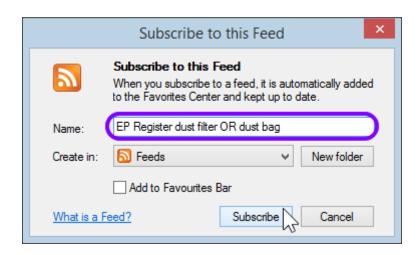
RSS icon in the search results

- ✓ The first 100 entries are displayed as an RSS page.
- → Click **Subscribe to this feed** in the yellow box on top of the list.



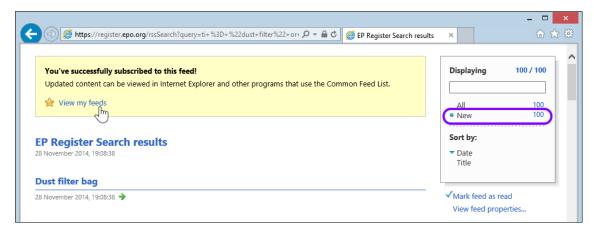
Viewing the search results as an RSS feed

- → Enter a name for your feed and click **Subscribe**.
  - ✓ The RSS feed is saved to your feed list.



Subscribing to new RSS feed

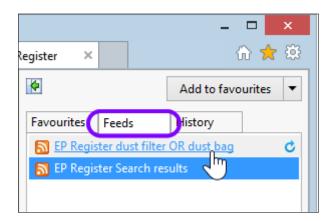
The Register allows you to save the first 100 entries of a search results page to a new RSS feed. New entries will be added to the beginning of the feed. The corresponding number of entries at the end of the feed will be deleted if the maximum number of 100 is exceeded. In Microsoft Internet Explorer, however, the maximum number of entries in an RSS feed is 2,500.



New RSS feed with 100 new entries

→ To view your feeds later, click the *Favourites* icon in the toolbar and select the *Feeds* tab.

If there are new files matching the search query, their number will be displayed as **New**.



Viewing the RSS feeds in Internet Explorer

# Reference Topics

A reference topic lists functional information such as facts, options, variables and keys. The reference topic can also provide definition lists and examples. The title of the reference topic should be short and precise.

The GUI description can be considered as a special reference topic which is also function-oriented. A GUI description explains what the user can see on the screen, what can be done in the application or which information can be found. These topics should be consistently named corresponding to the GUI elements in order to find information quickly.

## Field identifiers in Smart search

Search terms are not case-sensitive if entered in combination with a field identifier. You can use both the short field identifier (2-3 characters) and the long field identifier listed in the table.

short	long	Search criterion	Example
in	inventor	inventor	in=smith
ра	applicant	EP applicant; EP/UP proprietor	pa=siemens
re	representative	EP/UP representative	re=vossius
ор	opponent	opponent	op=basf
ti	title	title	ti="mouse trap"
ар	application	EP/WO application number	ap=99203729 ap=ep99203729 ap=wo1998us04141
pn	publication	EP/WO publication number	pn=1000000 pn=ep1000000 pn=wo2014146025
pr	priority	priority number	pr=ep20050104792
fd	filing-date	filing date	fd=20010526
pd	publication- date	publication date	pd=200201
prd	priority-date	priority date	prd=19780707
grd	grant-date	date of grant	grd=201010
ic	classification international classification		ic=a63b49/08 ic=b65
apl	appeal	appeal case number	apl=T0500 apl="T0500 11"

ia		inventor applicant	ia="smith, john"
nm		inventor, EP applicant, opponent, EP/UP representative, EP/UP proprietor	nm=sony
txt		title, inventor, opponent, EP applicant, EP/UP representative, EP/UP proprietor	txt=microscope
num EP/WO application number EP/WO publication number priority number		EP/WO publication number	num=1000000 num=ep1000000 num=wo2007117737
ufd	Unitary effect request date		ufd=2023
urd	Unitary effect registration date		urd=2023

## **Operators**

Logical operators can be used in **Smart search** and **Advanced search**. The following table lists some examples. If the example does not indicate a field identifier, the operator works both in **Smart search** (together with an appropriate field identifier) and in **Advanced search**.

Туре	Operator	Example	Applicable in
Boolean	AND OR NOT	Siemens AND Nokia Siemens OR Nokia Siemens NOT Nokia	Advanced search (names, keywords) Smart search
Proximity	prox/distance prox/unit	coffee prox/distance<2 grinder coffee prox/unit=sentence grinder	Advanced search (names, keywords) Smart search
Comparison	= (equal to) all any	pa = siemens ti all "mouse trap rat" (equivalent to ti=mouse ti=trap ti=rat) ti any "mousetrap mausefalle souricière" (equivalent to ti=mousetrap or ti=mausefalle or ti=souricière)	Smart search

Range	within	pd within "2005 2006"	Smart search
(Publication	>= (greater than	pd >= 2005	
date only!)	or equal to)	pd <= 2005	
	<= (less than or		
	equal to)		

## **Date formats**

The following date formats can be applied for the filing date, publication date, priority date and date of grant.

Date field	Format	Example
Publication date Filing date Priority date Date of grant Unitary effect request date Unitary effect registration date	уууу	2013
Publication date Filing date Priority date Date of grant Unitary effect request date Unitary effect registration date	yyyymm yyyy-mm mm/yyyy mm.yyyy	201309 2013-09 09/2013 09.2013
Publication date Filing date Priority date Date of grant Unitary effect request date Unitary effect registration date	yyyymmdd yyyy-mm-dd dd/mm/yyyy dd.mm.yyyy	20130904 2013-09-04 04/09/2013 04.09.2013

## Date ranges for the publication date

There are alternative entry methods returning the same results. Date ranges can only be used for the publication date.

The emphasised examples in the table, i.e. those without field identifiers, work both in **Advanced search** and in **Smart search**.

Examples	Search results
2005:2007 pd=2005,2007 pd="2005 2007" pd="2005,2007" pd="2005, 2007" pd="2005:2007" pd within 2005,2007 pd within "2005, 2007" pd within "2005,2007" pd within "2005,2007" pd within "2005,2007"	Applications published in the years of 2005, 2006 and 2007
200501:200701 2005-01:2007-01 01.2005:01.2007 pd="200501:200701" pd="2005-01:2007-01" pd="01.2005:01.2007" pd="01/2005:01/2007"	Applications published from 1. January 2005 onwards up to 31. January 2007  Applications published later than January 2005
pd >2005-01 pd >01.2005 pd >01/2005	Applications published later than carriagly 2000
20120101:20120315 01.01.2012:15.03.2012 pd within 20120101,20120315 pd within 2012-01-01,2012-03-15 pd within 01.01.2012,15.03.2012 pd within 01/01/2012,15/03/2012 pd >=20120101 AND pd <=20120315 pd >=2012-01-01 AND pd <=2012-03-15 pd >=01.01.2012 AND pd <=15.03.2012 pd >=01/01/2012 AND pd <=15/03/2012	Applications published from 1. January 2012 onwards up to 15. March 2012

# **Number formats**

The following table lists the applicable number formats for publication numbers, application numbers, priority numbers and appeal case number.

Number type	Format	Example	Remark
EP publication number	EPnnnnnn nnnnnn	EP1000000 0001000	Leading zeros are added automatically if less than seven digits are entered, e.g. <i>EP1000</i> will return <i>EP0001000</i> .  If <i>EP</i> is omitted, the full number must be entered
PCT publication number	WOyynnnnn WOyyynnnnnn	WO0133678 WO03060809 WO2014146025	From 1978 until 30 June 2002 1 July 2002 to 31 December 2003 Single format, used since 1 January 2004
EP application number	EPyynnnnnnnnnnnnnnnnnnnnnnnnnnnnnnnnnnn	EP14405005 14405005 14405005.1 EP20140405005	EP can be omitted The full stop and check digit can be omitted The first zero after the year (5 <sup>th</sup> digit) can be omitted
PCT application number	WOyyyyCCnnnnn	WO1998US04141	
Priority number	CCyyyyynnnnnnn	US20030423700	Original published formats like CCyynnnnnn have been converted
Appeal case number	Annnn Annnn nn	T0500 T0500 14	Long format with space before the last two digits representing the year

## **IPC** symbols

A full classification symbol defines an IPC subgroup and is made up of alphabetic and numeric characters in a specific pattern.

	A63B49/02				
A	63	В	49	/02	
Section	Class	Subclass	Main group	Subgroup	
1 letter	2 digits	1 letter	1-3 digits	slash + (1-3 digits)	

## **Placeholders**

Placeholders are used for examples and formatting patterns for data entry.

Symbol	Replacement for	Type, usage	Example
уууу	Year, long	Date Publication number Application number Priority number	2013
уу	Year, short	Publication number Application number	01
mm	Month	Date	09
dd	Day	Date	04
CC	Country code	Application number Priority number	NL
n nnnnn	Digit	Publication number Application number Priority number	8 12345
А	Capital letter	Appeal case number	T0500

## Wildcards

Wildcards are used in **Smart search** and **Advanced search** to truncate search terms. A wildcard symbol replaces other characters in a word.

Symbol Replacement for Example Result
---------------------------------------

*	String of characters of any length	caps* equivalent to: caps plus 0 to n chars	caps, capsule, capsules, capsular, capsulated, capsulation, capsaicin, etc.
?	0 (zero) or 1 character	ca?? equivalent to: ca plus 0 to 2 chars  caps????? equivalent to: ca plus 0 to 5 chars	cap, car, can, cat, call, card, case, caps, cars, cans, cats, etc. caps, capsule, capsules, capstones, capsids, capsulated, etc.
#	Exactly 1 character	ca## equivalent to: ca plus 2 chars  caps#### equivalent to: caps plus 5 chars	cast, card, case, call, care, cash, cask, caps, etc. capsulated, capsinoid, capstones, capsaicin, capsomers, etc.

## Kind codes

The standard for document kind codes is set by the World Intellectual Property Organization (WIPO).

The following list explains European and PCT international patent document kind codes. Patent documents are classified into three main categories.

## **EP-A documents**

European patent applications, published 18 months after filing with the EPO or 18 months after the priority date

- A1 European patent application published with European search report
- A2 European patent application published without European search report (search report not available at publication date)
- A3 Separate publication of European search report
- A4 Supplementary search report
- A8 Corrected title page of A document (i.e. A1 or A2 document)
- A9 Complete reprint of A document (i.e. A1, A2 or A3 document)

#### **EP-B** documents

European patent specifications

- B1 European patent specification (granted patent)
- B2 New European patent specification (amended specification after opposition procedure)
- B3 European patent specification (after limitation procedure)
- B8 Corrected title page of B document (i.e. B1 or B2 document)
- B9 Complete reprint of B document (i.e. B1 or B2 document)

#### **WO-A documents**

- A1 International application published with international search report
- A2 International application published without international search report or (from 1 January 2009 onwards) international application published with declaration under Article 17(2)(a)
- A3 Later publication of international search report with revised front page
- A4 Later publication of amended claims and/or statement (Art.19) (from 1 January 2009 onwards)

The granting authorities are responsible for deciding which code and, in particular, which number a document carries. More details can be found on the WIPO website.

WIPO Standard ST.16: Recommended Standard Code for the Identification of Different Kinds of Patent Documents

http://www.wipo.int/export/sites/www/standards/en/pdf/03-16-01.pdf

## **Document category codes**

The following list explains the categories for cited documents used in the Register.

- X particularly relevant if taken alone
- Y particularly relevant if combined with another document of the same category
- A document defining the state of the art and not prejudicing novelty or inventive step
- O non-written disclosure
- P intermediate document
- T theory or principle underlying the invention

- E earlier patent application, but published after the filing date of the application searched (potentially conflicting patent document)
- D document cited in the application
- L document cited for other reasons
- & member of the same patent family, corresponding document

# Patent family codes

The following symbols are used in the *Patent family* page.

The United Image classed (in Old Study, The Till this time! It has not set to the property of the think of the part for life patients to the second the prefixed time.	Patent family	This document is related to the one you are currently viewing
	member	by way of at least one priority – directly or via another
		document.
The thinked maps: proved by the provided that the man these hours are determed, the system for determed, the system to the content the polythogotime.	Equivalent	This document has exactly the same priorities as the one you
	application	are currently viewing.
The linked image assess to be displayed. The 15th displayed, The 15th displayed, or factors, rawly, separate, or factors, rawly, dark facility parish to far second displayed, and the second displayed as the second displayed as the second displayed as the second displayed displayed as the second displayed	Earlier	This is the case if you are viewing the divisional application
	application	and can see the original application as a patent family
	(parent)	member.
The brand maps cared be displayed. The file that start base mount, swamed, or determi, levely, that the base has been priced to such facilities.	Divisional	The application has been divided out of the one that you are
	application	currently looking at.

# **EPC** contracting states

The most recent list of member states of the European Patent Organisation can be found on the EPO website at *Home > About us > European Patent*Organisation > Member states.

http://www.epo.org/about-us/organisation/member-states.html

### **Country codes**

The country codes (CC) used in the European Patent Register are made up of two letters indicating the country or organisation where the patent application was filed or granted (e.g. FR for France).

### **EPO** specific country codes

- AP African Regional Industrial Property Organization
- EA Eurasian Patent Organisation
- EP European Patent Office

OA African Intellectual Property Organization

WO World Intellectual Property Organisation (WIPO)

# International country codes

All other codes conform to the international two-letter country codes as published by the ISO in the ISO 3166 standard.

http://www.iso.org/iso/country\_codes.htm

You can access the list via the Online Browsing Platform at

https://www.iso.org/obp/ui/#search/code/

### **INPADOC** data

For each event in the national patent grant procedure, the INPADOC database provides a date and a description plus information specific to the event. Event codes and descriptions vary from one national patent office to the other.

The following table lists data items in the INPADOC section of the *Legal status* page and provides some examples.

Data	Contents
Event date	Date on which the entry was published
Event description	Description of the entry, e.g. DESIGNATED CONTRACTING STATES, REFERENCE TO A NATIONAL CODE
Event code	Specific national event code, e.g. REG DE R079 60245524 DE
Code Expl.	Explanation from national patent office, e.g. AMENDMENT OF IPC MAIN CLASS
Owner name	Name of patent proprietor changed, e.g. in the event of transfer of rights
Representatives Name	Name of representative changed, e.g. new national representative has been appointed
Ref Country Code	Two-letter code of the contracting state affected by the entry
Kind Code of Ref Document	Document kind code, e.g. A1, B2
IPC Classification	Classification code of national patent office, e.g. H02J 3/18 20060101AFI20130312BHEP

Free Format Text	Explanation from the local patent office, e.g. PREVIOUS MAIN CLASS: H02J0003160000
Designated State(s)	Two-letter country codes of all designated states
Countries concerned	Two-letter country codes of all extension states
Effective DATE	Date as of which the change in legal status actually took effect
Payment DATE	Date of fee payment
Year of Payment	Year for which the fees have been paid

# **Register events**

The complete list of procedural actions triggering a Register event can be found at <a href="https://register.epo.org/allEvents">https://register.epo.org/allEvents</a>

The event list is separated into a *main events* and an *all events* list.

#### **All Events**

The all events list applies when you select **All entries** under **Preferences** in your Register Alert account.

The all events list contains more than 400 entries and is sorted alphabetically.

#### **Main Events**

The main events list applies when you select **Substantial procedural actions** as your monitoring profile in Register Alert Preferences.

Group 1	A-publication
0009012	Publication in section I.1 EP Bulletin
0009199EPPU	Change or deletion - publication of A document
Group 2	Separate publication of search report
0008199SEPU	Change - publication of search report
0009013	Publication of search report
0009015	Publication of international search report
0009016	Supplementary search report
0009199SEPU	Change or deletion - publication of search report
Group 3	Grant of patent (B1 publication)
0009210	(Expected) grant
0009299EPPU	Change or deletion - publication of B1 document
Group 4	Patent maintained in amended form (B2 publication)
0009272	Patent maintained (B2 publication)
0009299PMAP	Change - publication of B2 document
0009399EPPU	Change or deletion - publication of B2 document
Group 5	Limitation of patent (B3 publication)
0009410	(Expected) limited patent specification

0009499EPPU	Change or deletion - publication of limited patent specification
Group 6	Withdrawal by applicant
0008199WDRA	Change - withdrawal
0009182	Withdrawal of application
0009199WDRA	Change - withdrawal
0009299WDRA	Change - withdrawal
Group 7	Application deemed to be withdrawn
0008199ADWI	Change or deletion - application deemed withdrawn
0009121	Application deemed to be withdrawn
0009183	Application deemed to be withdrawn
0009199ADWI	Change or deletion - application deemed withdrawn
0009299ADWI	Change or deletion - application deemed withdrawn
Group 8	Refusal of application
0008199REFU	Change - refusal
0009181	Refusal of application
0009199REFU	Change - refusal
0009299REFU	Change - refusal
Group 9	Intention to grant a European patent
EPIDOSNIGR1	New entry: Communication of intention to grant a patent
EPIDOSCIGR1	Change: Communication of intention to grant a patent
EPIDOSDIGR1	Deletion: Communication of intention to grant a patent
Group 10	No notice of opposition filed within time limit
0009261	No opposition filed within time limit
0009299DELT	Change - no opposition filed
Group 11	Filing of notice of opposition
0008299OPPO	Change - opposition filed
0009260	Opposition filed
0009264	Opposition withdrawn
0009274	Opposition deemed not to have been filed
0009299OPPB	Opposition deemed not to have been filed
0009299OPPO	Change - opposition data/opponent's data or that of the opponent's representative
Group 12	Rejection of opposition
0009273	Opposition rejected
0009299REJO	Change - rejection of opposition
0009275	Opposition inadmissible
0009299OPPA	Opposition inadmissible
Group 13	Revocation of patent in opposition proceedings
0009271	Revocation of patent
0009299REVO	Change - revocation of patent
Group 14	Revocation of patent by the patent proprietor
0009220	Patent revoked on request of proprietor
Group 15	Closure of opposition proceedings
0009276	Opposition procedure terminated - date of legal effect published
0009299OPPC	Change - opposition procedure terminated
Group 16	Renewal fee paid
EPIDOSNRFE2	New entry: Renewal fee paid
EPIDOSCRFE2	Change: Renewal fee paid
EPIDOSDRFE2	Deletion: Renewal fee paid
Group 17	Lapse of patent in a contracting state
0009250	Lapse of the patent in a contracting state
0009299LAPS	Change - lapse in a contracting state

Group 18	Licence
0008199LREG	Change - licence
0009199LREG	Change - licence
0009341	Licence
Group 19	Unitary Patent
0009799REVO	Change or deletion – revocation of patent
0009718REVO21	
0009799REVO21	
0009702UREQ10	Request for unitary effect withdrawn
0009799UREQ10	Change of deletion – Date of withdrawal of request for unitary effect
0009701UREQ02	Decision on the request for unitary effect
0009799UREQ02	Change or deletion - Date of decision on the request for unitary effect
0009700UREQ01	Filing of request for unitary effect
0009799UREQ01	Change: Filing of request for unitary effect
0009705LAPS22	Unitary Patent lapsed
0009799LAPS22	Change: Unitary Patent lapse date
0009706REES22	Request for re-establishment of rights filed
0009799REES22	Change or deletion: Date of request for re-establishment of rights
0009704UDLA02	Renewal fees not paid: Unitary Patent Protection lapsed
0009799UDLA02	Change: Renewal fees not paid: Unitary Patent Protection lapsed
0009799UREG01	Change or deletion – Date of registration of Unitary Patent Protection

# **Federated Register statuses**

The status of a patent in the various member states can be found in the **Federated Register** panel, in the **Status** column of the table overview. For Unitary Patent statuses, refer to chapter Data categories in UP About this file.

The information shown in this column is based on the content as provided by the national patent offices (NPOs) participating in the Federated Register service:

www.epo.org/searching-for-patents/legal/register/documentation/federated-register.html

Patent status	<u>Description</u>
Formalities in progress	The procedure is still ongoing because the required formalities have not yet been completed.
Request for validation received	Validation of the EP patent has been requested at the relevant NPO.
Patent limited	The claims of the granted European patent have been amended and the patent has been limited.

Patent lapsed - still in grace period	The patent has lapsed but could still be reinstated as the grace period for late payment has not yet expired.
Patent maintained in amended form	The granted European patent that was originally refused during the opposition phase has now been granted following amendment, e.g. revised claims.
Patent revoked	The European patent was revoked during the opposition procedure.  For a revoked patent, the following date fields (one or both) may be populated:     Invalidation date: date on which the decision to
	revoke the patent was taken.  Not in force since: date as of which the rights conferred by the patent are no longer in force. It can be retroactive in some cases and earlier than the invalidation date.  Note: If a patent has been revoked, it is considered not valid ab initio, meaning that it was never in force.
Patent revoked by applicant	The European patent has been revoked by the applicant.  For a patent revoked by the applicant, the following date fields (one or both) may be populated:   Invalidation date: date on which the decision to revoke the patent was taken.  Not in force since: date as of which the rights conferred by the patent are no longer in force. It can be retroactive in some cases and earlier than the invalidation date.  Note: If a patent has been revoked, it is considered not valid ab initio, meaning it was never in force.
Patent lapsed	The patent has lapsed because the annual renewal fees have not been paid.
Patent expired	The patent has expired because the protection period came to an end (20th year).  For an expired patent, the following date fields (one or both)

# may be populated: Invalidation date: expiry date Not in force since: expiry date Patent surrendered This status is relevant for any stage during the opposition period. For a surrendered patent, the following date fields (one or both) may be populated: o **Invalidation date:** date on which the decision to surrender the patent was taken. Not in force since: date as of which the rights conferred by the patent are no longer in force. It can be retroactive in some cases and earlier than the invalidation date. Request for EP A request for validation of the EP patent has not been submitted but could still be filed as the time limit has not validation pending expired. Patent validated The granted European patent has been validated by the NPO. However, the status could still change to "Patent not in force" later. **Note**: A valid patent may be mapped to "Patent validated" and/or "Patent in force". The difference between the two statuses lies in the granularity of the information that the NPO wishes to provide, i.e.: o **Patent validated** indicates the patent has been validated but may no longer be in force. Patent in force is relevant to patents that have been validated in a specific country and remain valid there. Patent not validated A country was listed as a designated contracting/extension/validation state but due to one or more incomplete formalities, e.g. failure to provide translations in time, the European patent is not considered valid there. **Note 1**: A patent that has not been validated may be mapped to "Patent not validated" or "Patent not in force". Patent not validated should be used if the patent was never validated in a particular designated

state.

 Patent not in force indicates that the patent was indeed validated in a specific country but that at some point during its lifetime it ceased to be in force there.

**Note 2**: The data displayed in the Federated Register depends on how the NPO's patent register processes the data when it has not been validated in that country, i.e.:

- The record for non-validated patents in the NPO register displays the status "Patent not validated" and the corresponding deep-linking feature points to a record in the NPO register that indicates that the patent has not been validated in that country.
- The NPO register does not provide a record for non-validated patents and the FRS table displays the message "No data provided by the national patent office for this patent". The corresponding deep-linking feature points to an empty record in the NPO register.

#### Patent in force

A patent was validated and is still valid.

**Note**: A valid patent may be mapped to both "Patent validated" and "Patent in force". The difference between the two statuses lies in the granularity of the information provided by the NPO, i.e.:

- Patent validated indicates that the patent has been validated by a specific NPO but may later cease to be in force.
- Patent in force has a wider coverage and refers to the status of the patent that has been validated in a specific country and remains valid there.

### Patent not in force

The patent was validated in a country but at some point ceased to be in force. There may be various reasons for this, e.g. results of an opposition procedure, expiry.

**Note**: "Patent not in force" status can be used to map any of the following events: patent revoked, patent revoked by applicant, patent lapsed, patent expired, patent surrendered.

### Appeal filed

Decisions to refuse a patent are appealed through the boards of appeal in one of the following procedures before the EPO: grant, opposition, limitation and revocation.

Nullity requested	A request for nullity due to lack of novelty, inventive step, etc. may be requested for a patent after grant or during the opposition phase.
Unknown	This status may be used if the current status of the patent is not known.
	<b>Note</b> : The status is generic, so it should be used only for cases where no other status is available.

# Field help

#### Publication number

Number assigned to a patent application on publication.

EP publication numbers are made up of the two-letter *EP* country code and a seven-digit serial number, e.g. *EP1883031*.

PCT publication numbers using the single format *WOyyyynnnnnn* are made up of the two-letter *WO* country code, the four-digit year and a six-digit serial number, e.g. *WO2014146025*.

#### Application number

Number assigned to a patent application when it is filed.

EP application numbers are made up of the two-letter *EP* country code and an eight-digit serial number. e.g. *EP10755253*.

PCT application numbers consist of the country code *WO* followed by the four-digit year of filing, the two-letter country code of the country where the application was filed and a five-digit serial number adding up to a fixed length of 13 characters, e.g. *WO1998US04141*.

#### Filing date

Date on which the application documents are received at the EPO.

The filing date can be entered as day, month or year in different formats (yyyymmdd, yyyy-mm-dd, dd/mm/yyyy or dd.mm.yyyy). e.g. **20070919**.

# Date of grant

Date on which the patent application was granted.

The date of grant can be entered as day, month or year in different formats (yyyymmdd, yyyy-mm-dd, dd/mm/yyyy or dd.mm.yyyy). e.g. **20070919**.

#### Enter your search terms

Up to 20 search terms in total and a maximum of ten terms per searchable bibliographic data can be entered.

Search terms can be entered with or without field identifiers and should be separated by a space or operator.

# Priority number

Number of the application in respect of which priority is claimed, i.e. the application number of the claimed priority document.

The priority number is made up of a two-letter country code, the four-digit year of filing and a serial number (variable, max. seven digits), e.g. **JP20090163983**.

#### **Publication date**

Date on which the patent application was first published.

The publication date can be entered as day, month or year in different formats (yyyymmdd, yyyy-mm-dd, dd/mm/yyyy or dd.mm.yyyy). e.g. **20070919**.

### Priority date

Date of filing of an earlier application for which priority is claimed (in accordance with Article 87 EPC).

The priority date can be entered as day, month or year in different formats (yyyymmdd, yyyy-mm-dd, dd/mm/yyyy or dd.mm.yyyy). e.g. **20070919**.

# Unitary effect request date

Date of filing of a request for unitary effect.

The unitary effect request date can be entered as day, month or year in different formats (yyyymmdd, yyyy-mm-dd, dd/mm/yyyy or dd.mm.yyyy). e.g. **20230713**.

### Unitary effect registration date

Date of registration of unitary effect.

The unitary effect registration date can be entered as day, month or year in different formats (yyyymmdd, yyyy-mm-dd, dd/mm/yyyy or dd.mm.yyyy). e.g. **20230713**.

# **Applicant**

Person or organisation who/which has filed a patent application.

For applicants who are persons, enter the last name followed by the first name.

The applicant may also be the inventor. There may be more than one applicant per application.

# **Proprietor**

Person or organisation that is the owner of a European patent with unitary effect.

For proprietors who are persons, enter the last name followed by the first name.

#### Inventor

Person named in a patent application as the inventor.

Enter the last name followed by the first name.

The inventor can be the same person as the applicant. There may be more than one inventor.

# Representative

Person or organisation who/which acts on the behalf of the applicant in proceedings before the EPO.

For representatives who are persons, enter the last name followed by the first name.

There may be more than one representative per application.

# Opponent

Person or organisation who/which files a notice of opposition to the patent with the EPO.

Anyone except for the proprietor may file a notice of opposition to a European patent up to nine months after publication of the grant.

For opponents who are persons, enter the last name followed by the first name.

There may be more than one opponent per application.

### International Patent Classification (IPC)

IPC symbols are entered using the classification pattern, e.g. A63B49/02

A 63 B 49 /02 consists of

Section: 1 letter

Class: 2 digits

Subclass: 1 letter

Main group: 1-3 digits

Subgroup: forward slash + 1-3 digits

There may be more than one classification symbol per application.

# Keyword(s) in title

Short and concise text describing the contents of the application.

The title will be displayed in the language of the interface you are currently using.

Within the title field, you can search in English, French or German for anything between one and ten words.

### Appeal Case number

Number assigned to a patent application when it enters the appeal procedure.

The appeal case number is made up of a letter for the type of decision, a four-digit sequential number and two digits for the year, e.g. **To500 13**.

### **Tooltips**

# Most recent event

The date of the **Most recent event** indicated here reflects the date on which the action was processed by the EPO's system, so it may differ from the effective legal/filing date of the event concerned.

For the effective date, refer to the information under *EP/UP Legal* status or *EP/UP All documents*.

### **INPADOC** data

Information on events during the lifetime of an EP patent application generated during both the EPO patent grant procedure, the unitary patent protection procedure and the post-grant phase.

#### Date

The date of the event indicated here reflects the date on which the action was processed by the EPO's system, so it may differ from the effective legal/filing date of the event concerned.

# Lapses during opposition

Date of lapse of the European patent in a contracting state during the opposition period, and, where appropriate, pending a final decision on opposition (Rule 143.1(p) EPC).

# Parent application(s)

If the parent application is itself a divisional application, this section also includes the earlier application(s) in a direct line.