

Filing a communication in the United States Receiving Office (RO/US) or the United States International Searching Authority (ISA/US) relating to a previously filed international application under the PCT

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The following documents are often used when responding to an invitation from the RO/US or ISA/US or for filing a communication in the RO/US or ISA/US:

Document descriptions labeled as “CHII” should only be used when corresponding with the USPTO in its capacity as International Preliminary Examining Authority (IPEA/US).

- Request for Recording of a Change under PCT Rule 92*bis*
- Miscellaneous incoming letter
- Request for Rectification - IA
- Priority claim addition or correction
- Substitute Sheets of the Request form
- Statement explaining lack of signature
- Substitute drawings
- Substitute Sheets of the international application (other than Request or drawings)
- Request to withdraw international application
- Request to withdraw as attorney - IA
- Request to withdraw designation (other than US designation) - IA
- Request to withdraw priority claim – IA
- Request to withdraw US designation
- Request status of international application
- Petition for review and processing by the PCT Legal Office
- Statement/documentation relating to authority to act on behalf of legal entity
- Response to invitation to pay additional search fees (Response to Form PCT/ISA/206)
- Abstract
- Transmittal Letter
- Fee Calculation Sheet
- Fee Payment – international application
- Sequence Listing
- Sequence Listing Cover Letter and/or Statement
- Power of Attorney
- PCT Easy Validation Log

EFS-Web Doc Code Category	EFS-Web Doc Code Description	Business Process	Form Type Number	Printable Image Sample Document
PCT-Change Request	Request for recording of a change/ PCT Rule 92bis	Under PCT Rule 92bis, the applicant may submit changes to the person, name, residence, nationality or address of the applicant, inventor or agent (attorney)		
PCT-General Transmittal OR PCT-Application Part	Misc. incoming letter from Applicant - IA	Miscellaneous incoming communication from the applicant concerning an international application.		
PCT-Change Request	Request for rectification - IA	Under PCT Rule 91, the applicant may request that obvious errors in the international application or other papers submitted by the applicant may be rectified.		
PCT-Change Request	Priority Claim Adjustment under PCT Rule 26bis	Under PCT Rule 26bis, the applicant may correct or add a priority claim		
PCT-Form OR PCT-Change Request	Substitute Sheets of Request (Form PCT/RO/101)	Under PCT Rule 26, the applicant may submit a new version of one or more pages of the bibliographic data form (PCT/RO/101)		
PCT-General Transmittal OR PCT-Application Part	Statement explaining lack of signature - IA	PCT Rule 4.15(b) provides that where an applicant refused to sign the request or could not be found or reached after diligent effort, the request need not be signed by that applicant if it is signed by at least one applicant and a statement is furnished explaining, to the satisfaction of the receiving Office, the lack of the signature concerned.		
PCT-Change Request	Substitute Drawings	Under PCT rule 26, the applicant may submit formalized drawings In order to correct PCT Rule 11 defects (e.g. correction of page numbering, line quality, margins, etc.)		

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PCT- Change Request	Substitute Sheets - IA	Under PCT Rule 26, the applicant may submit corrected versions of one or more pages of the initially filed description, claims, abstract or sequence listing in an international application in order to correct PCT Rule 11 defects (e.g. correction of margins, line spacing, page numbering, etc.)		
PCT- Change Request	Request to withdraw - IA	Under PCT Rule 90bis.1, the applicant may withdraw the international application at any time prior to the expiration of 30 months from the priority date.		
PCT- Change Request	Request to withdraw as attorney - IA	Under PCT Rule 90.6(d), an agent or common representative may renounce his appointment by a notification signed by him.		
PCT - Change Request	Request to withdraw designation - IA	Under PCT Rule 90bis.2, the applicant may withdraw the designation of any designated State at any time prior to the expiration of 30 months from the priority date.		
PCT - Change Request	Request to withdraw priority claim - IA	Under PCT Rule 90bis.3, the applicant may withdraw a priority claim made under Article 8(1) at any time prior to the expiration of 30 months from the priority date.		
PCT- Change Request OR PCT- General Transmittal	Request to withdraw US designation - IA	Under PCT Rule 90bis.2, the applicant may withdraw the designation of the United States at any time prior to the expiration of 30 months from the priority date.		
PCT- General Transmittal	Request for status of Application	This letter from the applicant is a simple request for the status of the application, such as the time until a first action can be expected		

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PCT-Application Part OR PCT-General Transmittal	Corp. Resolution/Auth . to Act on Behalf of Corp.	If the applicant in an international application is a legal entity such as a corporation, then a "resolution" signed by one or more corporate officers is needed in order to delegate authority to sign legal documents on behalf of the corporate entity to one or more people.		
PCT-General Transmittal	Response to form PCT/ISA/206 Unity of Invention	If the application contains claims to more than one invention, the applicant is invited to either limit the application to only one of the inventions or to pay additional search fees for one or more of the remaining inventions. If the invitation is made in writing (see P.206), the written response is titled under this doc code.		
PCT - Application Part	Abstract	A brief overview of the disclosure in the specification not exceeding 150 words in length.		ABST_sd
PCT-Application Part OR PCT - General Transmittal	PCT - Transmittal Letter	Upon filing any papers to the USPTO regarding the filing of a new application, applicant includes a transmittal letter indicating the contents of the submission, including any fees that may accompany the papers. This letter usually includes the Express Mail Certificate of Mailing. This transmittal letter corresponds to the transmittal letter in a PCT application.	PTO-1382	
PCT-Application Part OR PCT - General Transmittal	RO/101 Annex (fee calculation sheet)	New international applications are accompanied by a form authored by the applicant showing how much money is due and for which fees.	PCT/RO/101	
PCT - General Transmittal	Fee Payment - International Application	A payment of fees by the applicant either in response to an invitation therefore (RO/102, RO/133, IPEA/403 or IPEA/440) or, as sometimes happens, spontaneously.		

PCT - Petition	Petition for review by PCT legal office.	An incoming petition from applicant is sent to the official who has been delegated with the authority to decide the petition. Some petitions are delegated to the Patent Cooperation Treaty Legal Administrator to act on the decision or continue prosecution.		
Use this format ONLY for attaching a Sequence Listing as a .TXT file -				
PCT - Application Part	Sequence Listing (Text File)	Patent applications which contain disclosures of nucleotide and/or amino acid sequences must contain, as a separate part of the disclosure, a paper copy disclosing the nucleotide and/or amino acid sequences and associated information using the symbols and format established in current rules in biotechnology field		
Use this format ONLY if also attaching a Sequence Listing as a .PDF file -				
PCT - Application Part	Sequence Listing	Patent applications which contain disclosures of nucleotide and/or amino acid sequences must contain, as a separate part of the disclosure, a paper copy disclosing the nucleotide and/or amino acid sequences and associated information using the symbols and format established in current rules in biotechnology field		
PCT - General Transmittal	Seq Listing Cover Sheet/Stmt under PCT Rule 13ter	Where a sequence listing is provided in both computer readable and in paper form, the applicant supplies a statement verifying that the content of the two forms is the same		
PCT - Application Part OR PCT - Change Request	Power of Attorney	Applicant may file a change in Power of Attorney or an associate Power of Attorney at any time during prosecution of an application. The POA indicates representatives given permission to act on behalf of the inventor or assignee to prosecute an application.	PCT Rule 90.4 (Regular Power of Attorney) OR PCT Rule 90.5 (General Power of Attorney)	
PCT - Application Part OR PCT - General Transmittal	PCT EASY Validation Log	The authoring program devised by the International Bureau for preparing the request form (Form PCT/RO/101) automatically scans entered data for obvious errors and inconsistencies and generates this list of any problems detected.		

EFS-Web Doc Code Category	EFS-Web Doc Code Description	Business Process	Form Type Number	Printable Image Sample Document
PCT-Change Request PCT- Petition	Copy of earlier application for incorporation by reference	An applicant submits a previously filed application to which the international application claims priority. The earlier application contains the element or part which the international application includes by reference. See PCT Rule 20.6.		
PCT-Change Request PCT- Petition	Copy of translation of earlier applications for incorporation by reference	An applicant submits the translation of a previously filed application to which the international application claims priority. The translated application is in the language of the RO and contains the element or part which the international application includes by reference. See PCT Rule 20.6.		
PCT-Change Request PCT- Petition	Translation of priority document for incorporation by reference	An applicant submits a certified priority document to which the international application claims priority. The priority document contains the element or part which the international application includes by reference. See PCT Rule 20.6.		
PCT-Change Request PCT- Petition	Evidence for restore of priority claim	An applicant submits to the RO a request to restore Right of Priority for an international application. The request must be received by the RO within two months from the date of priority expiration. See PCT Rule 26bis.3		
PCT-Change Request PCT- Petition	Req for pub of late furnished p clm correction	An applicant misses the deadline to have an addition or correction made to a priority claim. The applicant then submits a request, within 30 months from the date of priority expiration, to have the IB publish information concerning the matter. See PCT Rule 26bis.2(e).		
PCT-Change Request PCT- Petition	Req for pub of info relating to p clm declared void	"An applicant requests IB to publish information concerning a priority claim declared void or a priority claim having a missing application number, an inconsistency with the priority document, or a filing date that is more than 12 months earlier than the international filing date, but not more than 14 months earlier than the international filing date. See PCT Rule 26bis.2(d)."		

PCT-Change Request PCT- Petition	Confirmation of Incorporation by Reference	An applicant submits a statement, to the RO, confirming that an element or part contained in a previously filed application is incorporated by reference in the international application. See PCT Rule 20.6.		
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