

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

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

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

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

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

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

**PREFERRED**

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

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

**OTHER ALTERNATIVES**

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

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

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

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

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

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

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

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

1. To add a line item in the Contents for the Sequence Listing part of the description,
  - a. Click “Biology”
  - b. Check the box indicating “The description contains a sequence listing.”

**PCT-F0-101 Electronic Request - SLtxtEFS**

File Edit View Tools Help

Request States Names Priority Biology Declarations Contents Fees Payment Annotate

filing not possible  
filing possible  
ready for filing

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

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

Open

**Nucleotide and/or amino acid sequence listing**

☒ The description contains a sequence listing

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

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

**2. To enter data into the Contents,**

a. Click “Contents”

b. Double click on “Sequence listing part of description”

The screenshot shows the 'PCT-RD-101 Electronic Request - SLtxtEFS' window. The sidebar on the left contains a list of tabs: Request, States, Names, Priority, Biology, Declarations, Contents, Fees, Payment, Annotate, and a status section with icons for 'filing not possible', 'filing possible', and 'ready for filing'. The 'Contents' tab is selected. The main area displays a table with the following data:

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

Below the table, there is a 'Calculate' button and a 'total: [ ] pages' label. At the bottom, there are two tabs: 'International Application' and 'Accompanying Items'. The 'International Application' tab is active, showing 'In total: [ 2 ] documents [ 0 ] files'. The 'Accompanying Items' tab is also visible.

Items under this tab form part of the IA

Items under this tab are not part of the IA

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

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

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

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

The screenshot shows the 'Content Details' window. The left sidebar contains the following items: Request (including declaration sheets), Description (excluding sequence listing part), Claims, Abstract, Drawings, Sequence listing part of description (selected), fee calculation sheet, PCT-EASY physical medium, and sequence listing submitted for international search only. The main area is divided into two sections: 'Paper document' and 'Electronic file'. Under 'Paper document', there are two radio buttons: 'is not enclosed' and 'is enclosed'. Under 'Electronic file', there are three radio buttons: 'is submitted in ST25/text format' (selected), 'will be filed separately in ST.25/text format on physical data carrier(s) on the same day', and 'is submitted in pdf format'. Below the 'Electronic file' section, there are input fields for 'type of carrier', 'number', and 'pages'. The 'OK' and 'Cancel' buttons are at the bottom right.

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

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

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

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

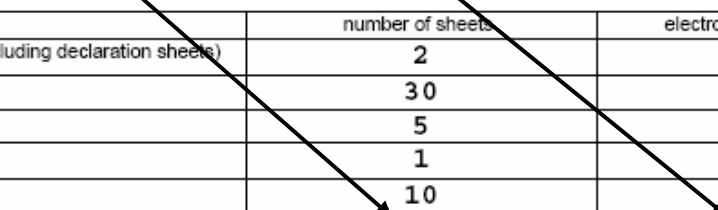
The screenshot shows the 'PCT-R0-01 Electronic Request - SLbtEFS' window. The 'Accompanying Items' tab is selected. The table below shows the items being filed:

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

At the bottom, the status bar indicates: In total: 7 documents, 1 files.

**S1. EFS-Web with Annex C/ST.25 text format SL *only* (SL <100 MB)****S1.B. Completed Box IX of the Request (PCT-SAFE) (July 2009)**

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



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

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

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

### **July 1, 2009 Fees**

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

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

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

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

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

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

1. To add a line item in the Contents for the Sequence Listing part of the description,
  - a. Click “Biology”
  - b. Check the box indicating “The description contains a sequence listing.”

The screenshot shows the 'PCT-RO-101 Electronic Request - SLtxtEFS' window. On the left is a vertical menu with icons and labels: Request (green question mark), States (green circle), Names (red circle), Priority (green question mark), Biology (green circle), Declarations (green circle), Contents (red circle with X), Fees (yellow circle), Payment (yellow circle), Annotate (red circle), filing not possible (red circle with X), filing possible (yellow circle with exclamation mark), and ready for filing (green circle with question mark). The 'Biology' tab is selected. The main area is titled 'Indications Relating to Deposited Microorganism or Other Biological Material' and contains a table with columns: No., Depository Institution, Date of Deposit, Accession No., and Val. Below the table is a blue bar with a '+' icon and the text 'Open to add new item'. Below this is a large text area. At the bottom of the text area, the text 'Nucleotide and/or amino acid sequence listing' is followed by a checked checkbox and the text 'The description contains a sequence listing'. An 'Open' button is located to the right of the text area.

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

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

Open



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

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

#### 2. To enter data into the Contents,

a. Click “Contents”

b. Double click on “Sequence listing part of description”

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

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

Calculate total: [ ] pages

International Application Accompanying Items

In total: 2 documents 0 files

Items under this  
tab form part of  
the IA

Items under this  
tab are not part  
of the IA

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

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

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

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

Content Details

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

Paper document

☐ is not enclosed  
☒ is enclosed

Electronic file

☐ is submitted in ST25 text format  
☐ will be filed separately in ST.25 text format on physical data carrier(s) on the same day  
☒ is submitted in pdf format

type of carrier  number

Type and number of carriers on which the sequence listing part is contained

with 250 pages

OK Cancel

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

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

4. In the “Accompanying Items” tab,

Double click on “sequence listing submitted for international search”

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

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

Open

International Application    **Accompanying Items**

In total: 3 documents 0 files

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

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

5. In the “Content Details” for “Sequence listing submitted for international search”
  - a. Click “submitted for the purposes of international search only (and not as part of the international application)”
  - b. Select “other” in the pull-down menu for “type of carrier”  
(itemizes the accompanying Annex C/ST.25 text file that is uploaded via EFS-Web)
  - c. Enter “1” for “number”

Content Details

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

Electronic file

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

type of carrier: <other>  
number: 1

OK Cancel

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

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

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

PCT-RO-101 Electronic Request - SLpdfEFS

File Edit View Tools Help

Type of filing: ☒ PCT-EASY ☐ fully electronic  
☒ EFS-Web ☐ Single specification file

statement as to identity of copy/copies with the sequence listing part of the desc... Add

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

Open

International Application Accompanying Items

In total: 7 documents 1 files

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

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

7. In the “Accompanying Items” tab,

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

The screenshot shows the 'PCT-RO-101 Electronic Request - SLpdfEFS' window. The 'Accompanying Items' tab is active. The table below is the data shown in the interface:

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

At the bottom, the status bar indicates: In total: 7 documents 1 files.

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

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

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

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

The screenshot shows the 'Content Details' window. The left pane lists the following items: Request (including declaration sheets), Description (excluding sequence listing part), Claims, Abstract, Drawings, Sequence listing part of description, fee calculation sheet, PCT-EASY physical medium, sequence listing submitted for international search only, and statement as to identity of copy/copies with the seque... (which is highlighted). The right pane shows two sections: 'Paper document' and 'Electronic file'. Under 'Paper document', there are two radio buttons: 'is not enclosed' (unselected) and 'is enclosed' (selected). Under 'Electronic file', there are two radio buttons: 'is not enclosed' (selected) and 'is enclosed' (unselected). An arrow points from the text 'Click "Paper document is enclosed"' to the 'is enclosed' radio button under 'Paper document'. The bottom of the window has 'OK' and 'Cancel' buttons.

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

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

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

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

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



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

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

#### July 1, 2009 Fees

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

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

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

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

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

1. To add a line item in the Contents for the Sequence Listing part of the description,
  - a. Click “Biology”
  - b. Check the box indicating “The description contains a sequence listing.”

**PCT-RO-101 Electronic Request - SLtxtEFS**

File Edit View Tools Help

Indications Relating to Deposited Microorganism or Other Biological Material

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

Open

**Nucleotide and/or amino acid sequence listing**

☒ The description contains a sequence listing

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

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

2. To enter data into the Contents,

a. Click “Contents”

b. Double click on “Sequence listing part of description”

PCT-RD-101 Electronic Request - SLpaper

File Edit View Tools Help

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

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

Open

Calculate total: pages

International Application Accompanying Items

In total: 2 documents 0 files

Items under this  
tab form part of  
the IA

Items under this  
tab are not part  
of the IA

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

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

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

a. Click “Paper document is enclosed”

b. Enter the number of pages

The screenshot shows the 'Content Details' window with the following elements:

- Left Sidebar:** A list of content types including 'Request (including declaration sheets)', 'Description (excluding sequence listing part)', 'Claims', 'Abstract', 'Drawings', 'Sequence listing part of description' (highlighted), 'fee calculation sheet', 'PCT-EASY physical medium', and 'sequence listing submitted for international search only'.
- Main Area:**
  - Paper document:** Two radio buttons are present: 'is not enclosed' (unselected) and 'is enclosed' (selected). To the right of the 'is enclosed' button is a text field containing '250' followed by the word 'pages'. An arrow from step 'b' points to this text field.
  - Electronic file:** Two radio buttons are present: 'is not enclosed' (selected) and 'is enclosed' (unselected).
- Bottom:** 'OK' and 'Cancel' buttons.

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

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

4. In the “Accompanying Items” tab,

Double click on “sequence listing submitted for international search”

The screenshot shows the 'PCT-R0-101 Electronic Request - SLpaper' window. The 'Accompanying Items' tab is selected, displaying a table with the following data:

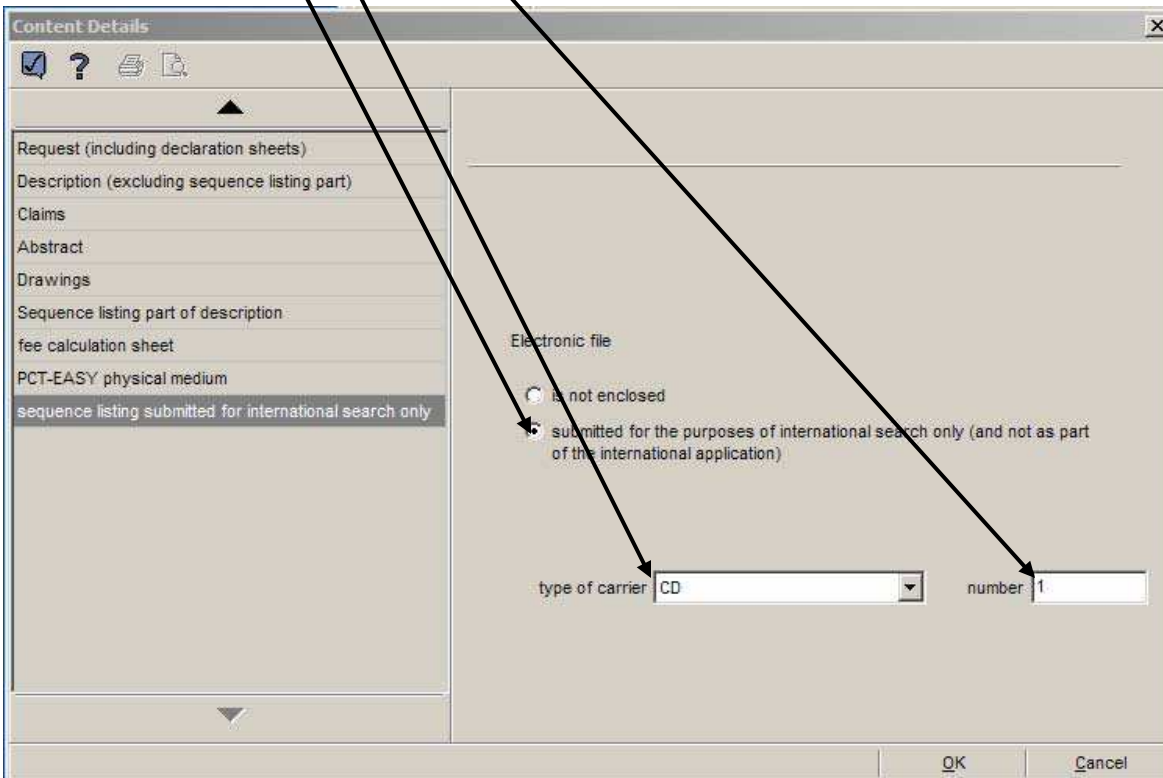
Document	Details	Pages	Electronic File	Val.
fee calculation sheet				✓
PCT-EASY physical medium			<input checked="" type="checkbox"/>	✓
sequence listing submitted for international search				●

The 'sequence listing submitted for international search' row is highlighted in blue, and a mouse cursor is hovering over it. The sidebar on the left contains various tabs, and the bottom status bar indicates 'In total: 6 documents 0 files'.

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

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

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



The screenshot shows the 'Content Details' window with a sidebar on the left containing a list of document types. The 'sequence listing submitted for international search only' option is selected. The main area displays the 'Electronic file' section with two radio buttons. The second radio button, labeled 'submitted for the purposes of international search only (and not as part of the international application)', is selected. Below this, there are two input fields: 'type of carrier' with a dropdown menu showing 'CD', and 'number' with a text box containing '1'. Arrows from the instructions point to these specific elements.

Field	Value
Electronic file	<input checked="" type="radio"/> submitted for the purposes of international search only (and not as part of the international application)
type of carrier	CD
number	1

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

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

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

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

Document	Details	Pages	Electronic File	Val.
fee calculation sheet				✓
PCT-EASY physical medium			✓	✓
sequence listing submitted for international...		1 CD		✓

The 'sequence listing submitted for international...' row is highlighted in blue. At the bottom of the window, the status bar indicates 'In total: 6 documents 1 files'.

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

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

7. In the “Accompanying Items” tab,

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

The screenshot shows the 'PCT-R0-101 Electronic Request - SLpaper' window. The 'Accompanying Items' tab is selected. The table below lists the accompanying items:

Document	Details	Pages	Electronic File	Val.
fee calculation sheet				✓
PCT-EASY physical medium			✓	✓
sequence listing submitted for internation...		1 CD		✓
statement as to identity of copy/copies ...				●

The status bar at the bottom indicates: In total: 6 documents 1 files.

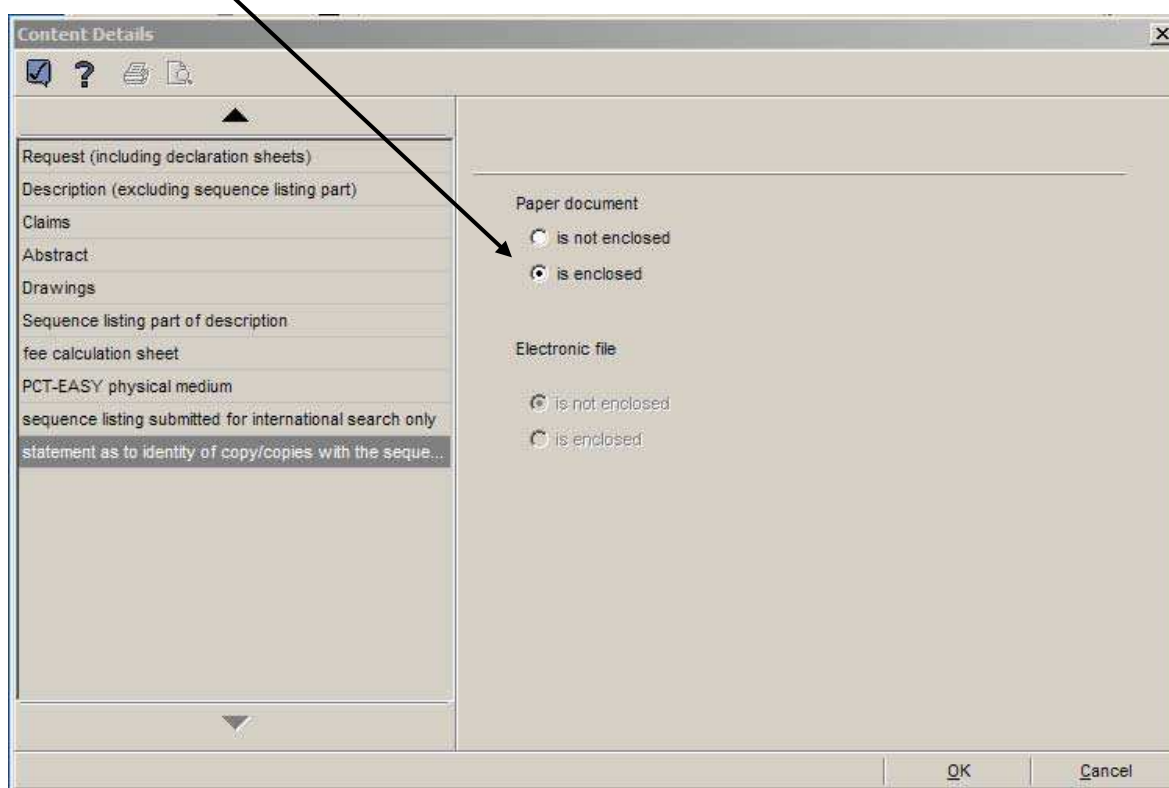


### S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

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

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

Click “Paper document is enclosed”



The screenshot shows a window titled "Content Details" with a list of items on the left and a form on the right. The list includes: Request (including declaration sheets), Description (excluding sequence listing part), Claims, Abstract, Drawings, Sequence listing part of description, fee calculation sheet, PCT-EASY physical medium, sequence listing submitted for international search only, and statement as to identity of copy/copies with the seque... (which is selected). The form on the right has two sections: "Paper document" and "Electronic file". Under "Paper document", there are two radio buttons: "is not enclosed" and "is enclosed". An arrow points from the text "Click 'Paper document is enclosed'" to the "is enclosed" radio button. Under "Electronic file", there are also two radio buttons: "is not enclosed" and "is enclosed". The "OK" and "Cancel" buttons are at the bottom right.

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

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

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

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

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

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

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

#### July 1, 2009 Fees

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

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

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

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

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

1. To add a line item in the Contents for the Sequence Listing part of the description,
  - a. Click “Biology”
  - b. Check the box indicating “The description contains a sequence listing.”

**PCT-RO-101 Electronic Request - SLtxtEFS**

File Edit View Tools Help

Request States Names Priority **Biology** Declarations Contents Fees Payment Annotate

filing not possible  
filing possible  
ready for filing

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

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

Open

**Nucleotide and/or amino acid sequence listing**

☒ The description contains a sequence listing.

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

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

2. To enter data into the Contents,

Click “Contents”

Double click on “Sequence listing part of description”

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

Calculate      total: [ ] pages

International Application      Accompanying Items

In total: [ 2 ] documents [ 0 ] files

Items under this  
tab form part of  
the IA

Items under this  
tab are not part  
of the IA

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

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

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

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

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

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

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

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

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

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

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

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

The screenshot shows the 'PCT-RO-101 Electronic Request - SLbtEFS' window. The 'Accompanying Items' tab is active, displaying a table of items. The table has the following data:

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

At the bottom of the window, the 'International Application' tab is selected, showing a summary: 'In total: 7 documents 1 files'.

**S4. EFS-Web - Annex C/ST.25 text format SL *only* on CD (SL >100 MB)****S4.B. Completed Box IX of the Request (PCT-SAFE) (July 2009)**

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

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



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

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

#### July 1, 2009 Fees

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

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

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

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