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

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

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

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

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

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

PREFERRED

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

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

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

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

OTHER ALTERNATIVES

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

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

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

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

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

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

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

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

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

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

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

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

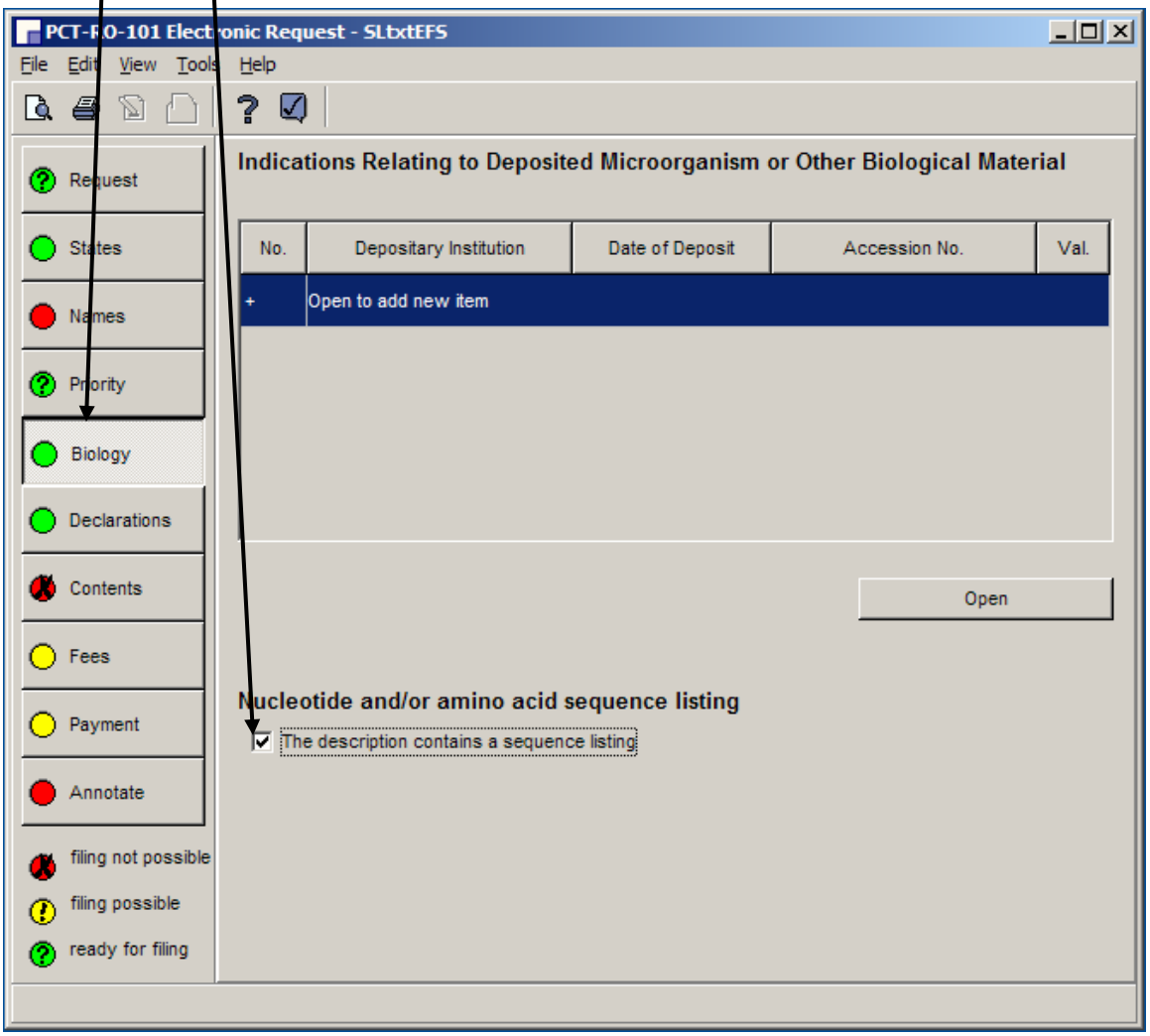
S1. EFS-Web with Annex C/ST.25 text format SL *only* (SL <100 MB)

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

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

a. Click “Biology”

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



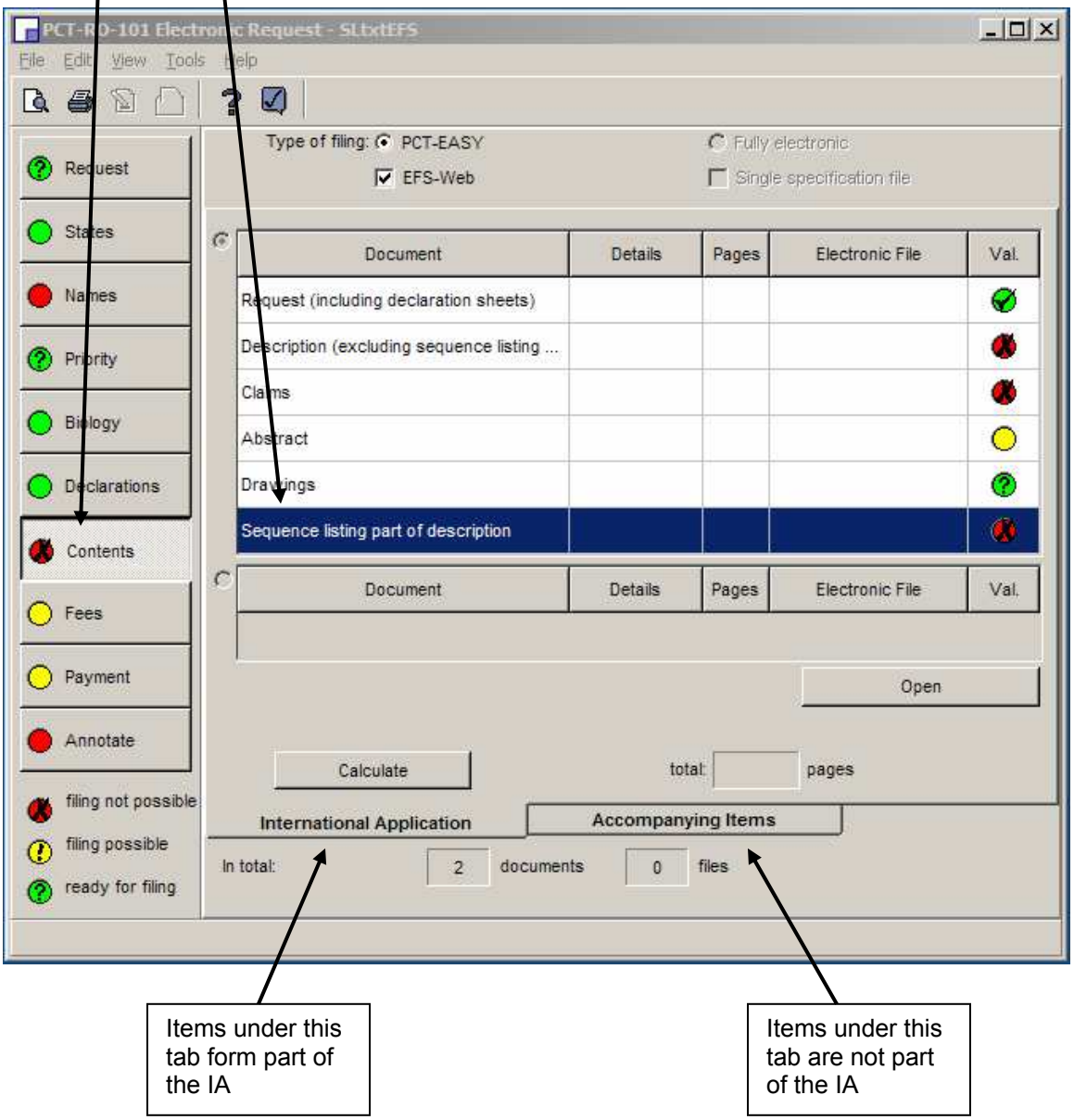
S1. EFS-Web with Annex C/ST.25 text format SL *only* (SL <100 MB)

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

2. To enter data into the Contents,

a. Click “Contents”

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



Items under this tab form part of the IA

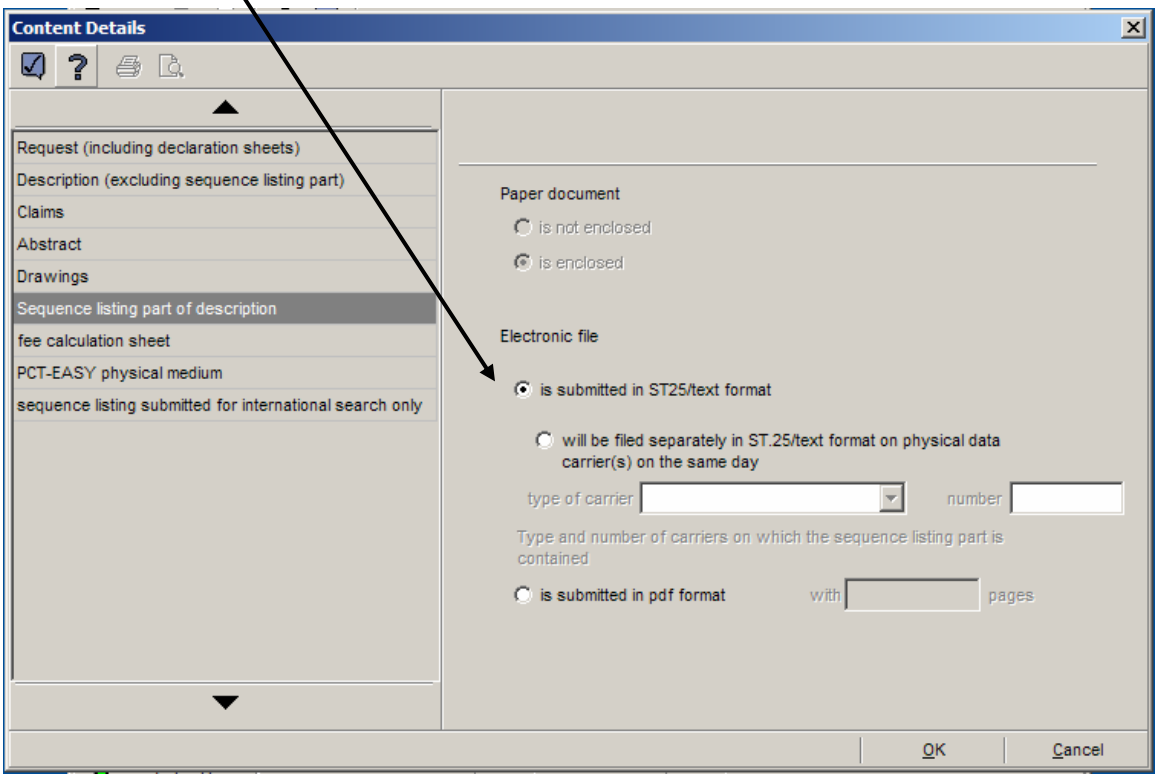
Items under this tab are not part of the IA

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"

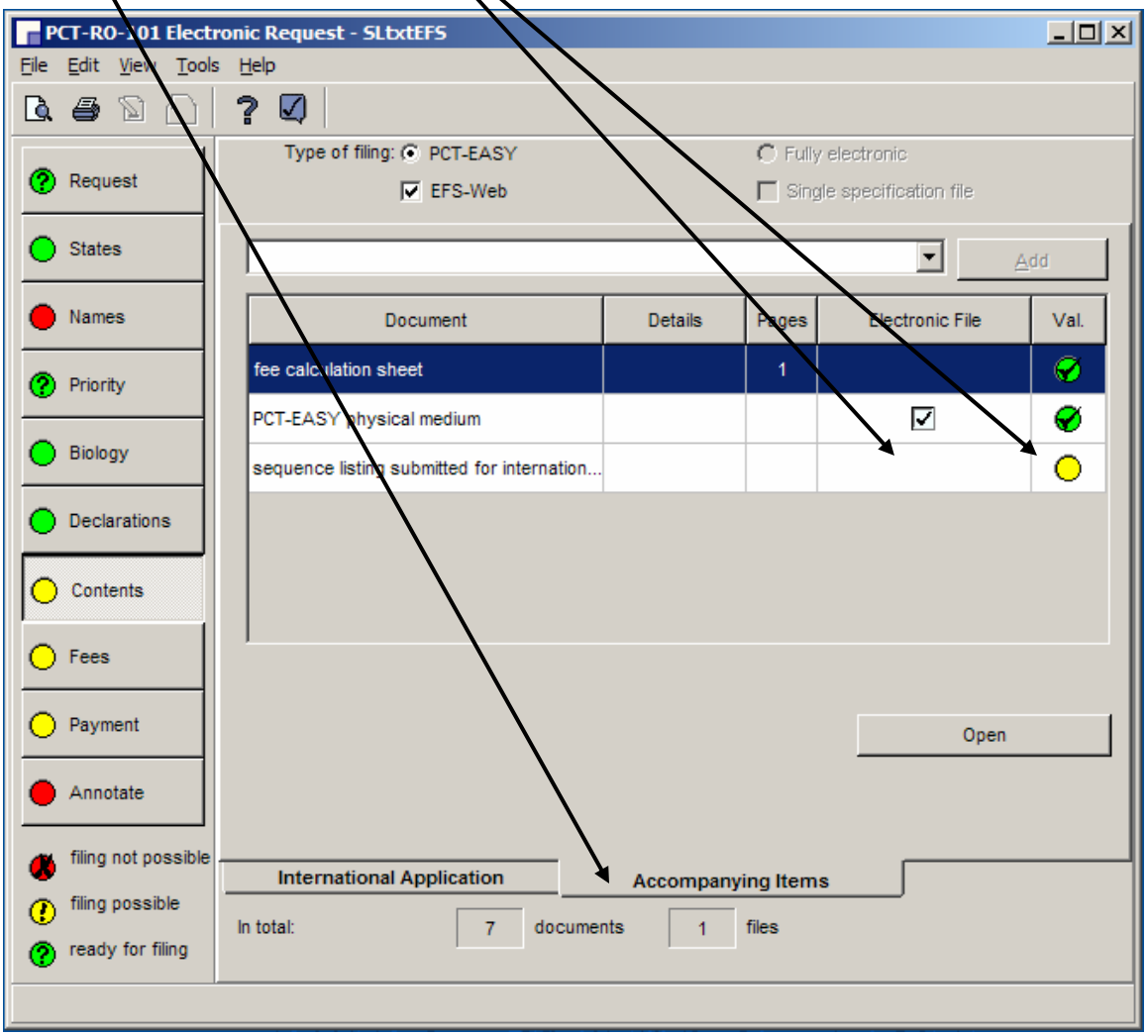


S1. EFS-Web with Annex C/ST.25 text format SL *only* (SL <100 MB)

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.)



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.

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	-	✓
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**	Fig. No. 1	
IX-21	**Language of filing of the international application**	English	

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

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

July 1, 2009 Fees

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

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

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

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

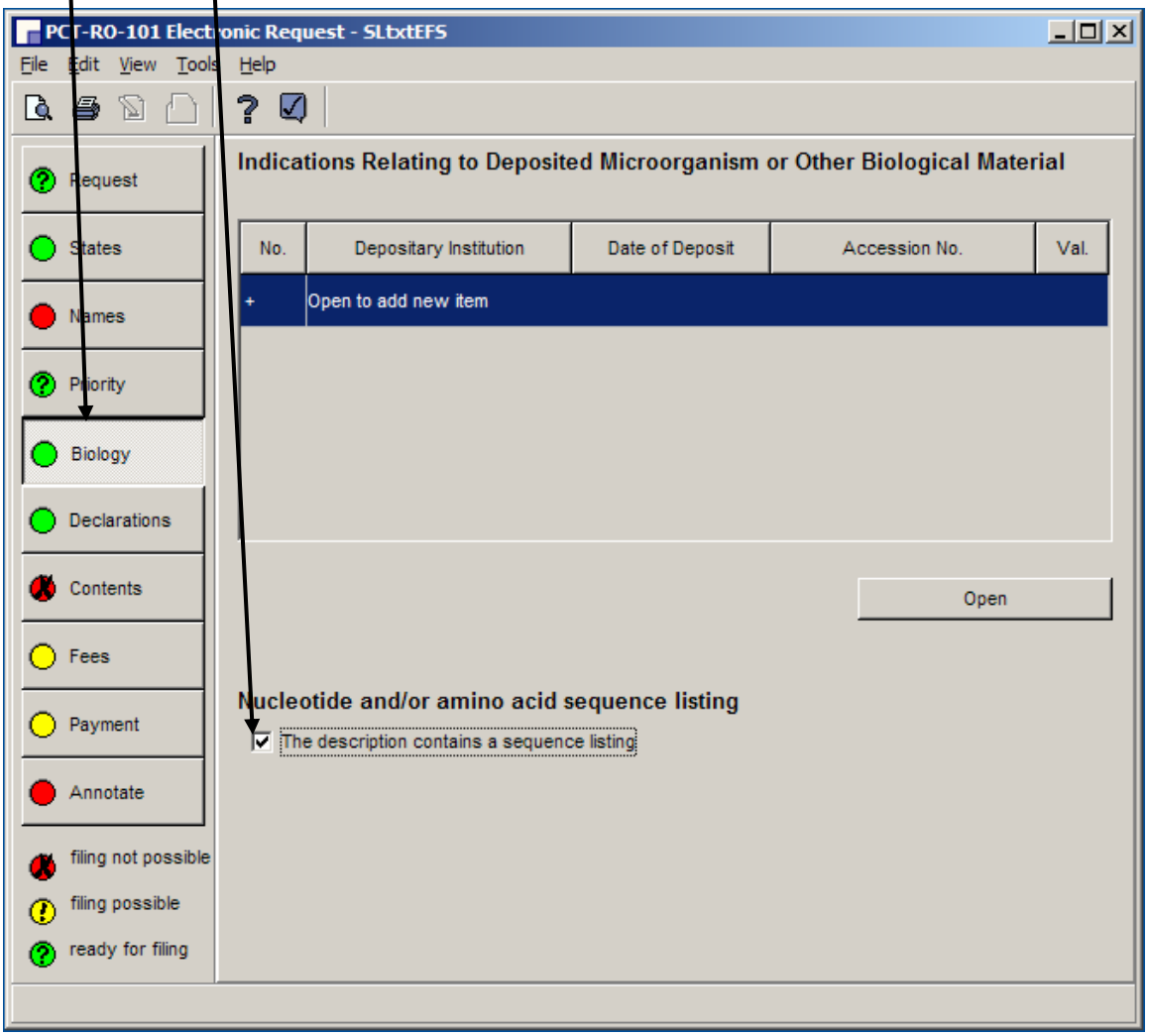
S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

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.”



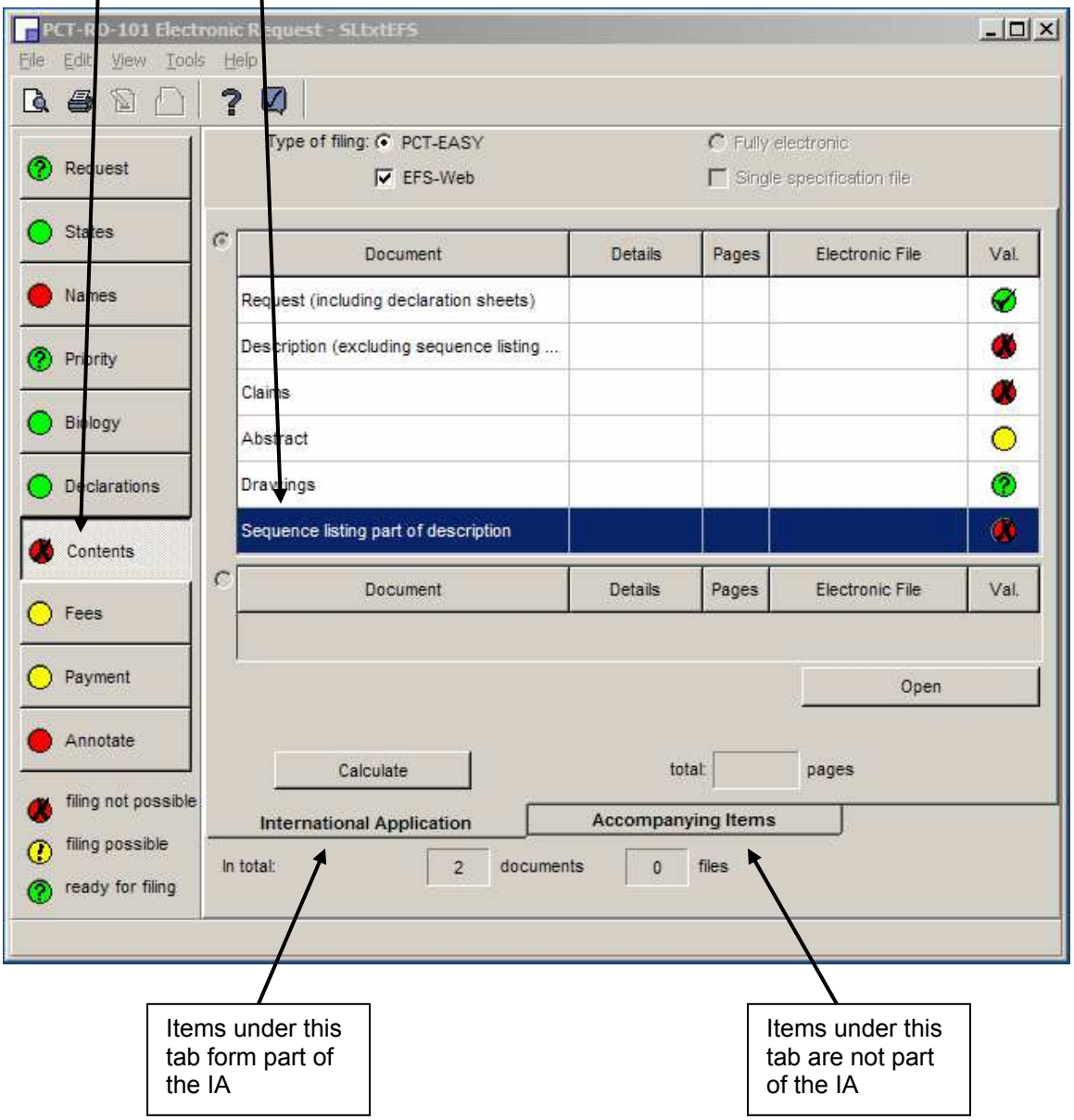
S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

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”



Items under this tab form part of the IA

Items under this tab are not part of the IA

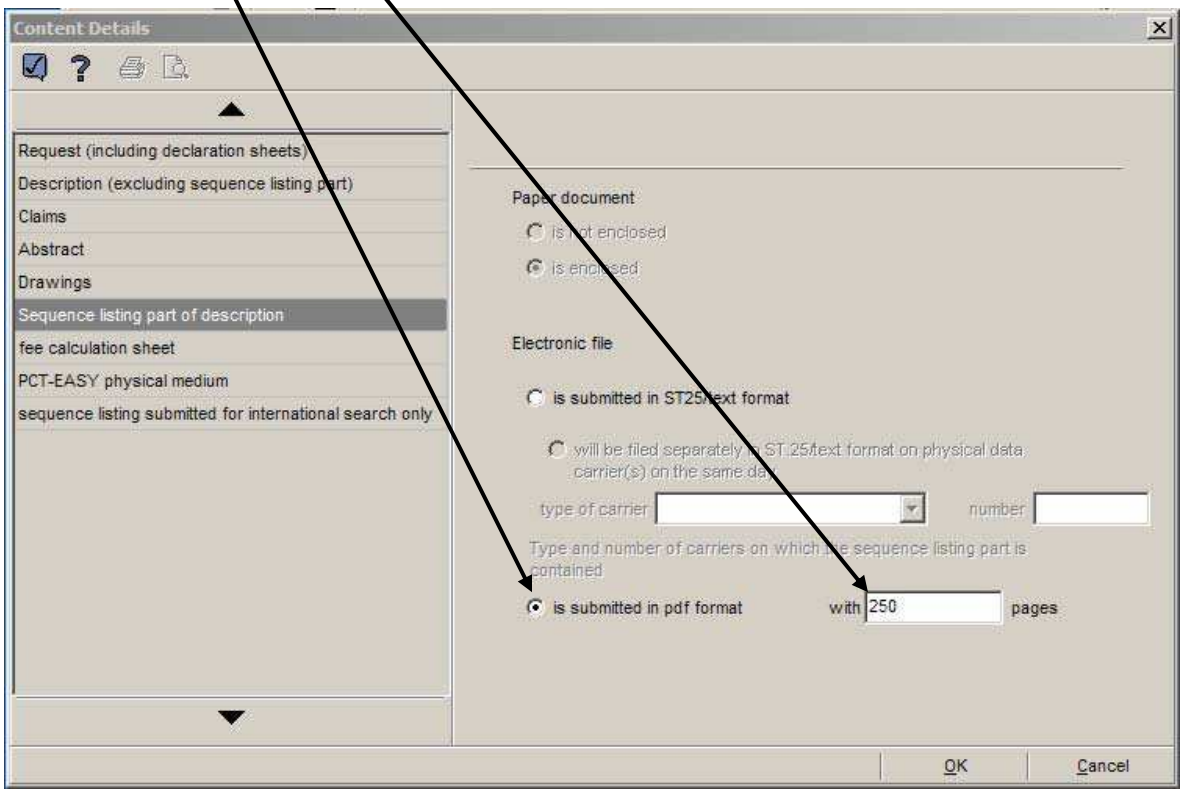
S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

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

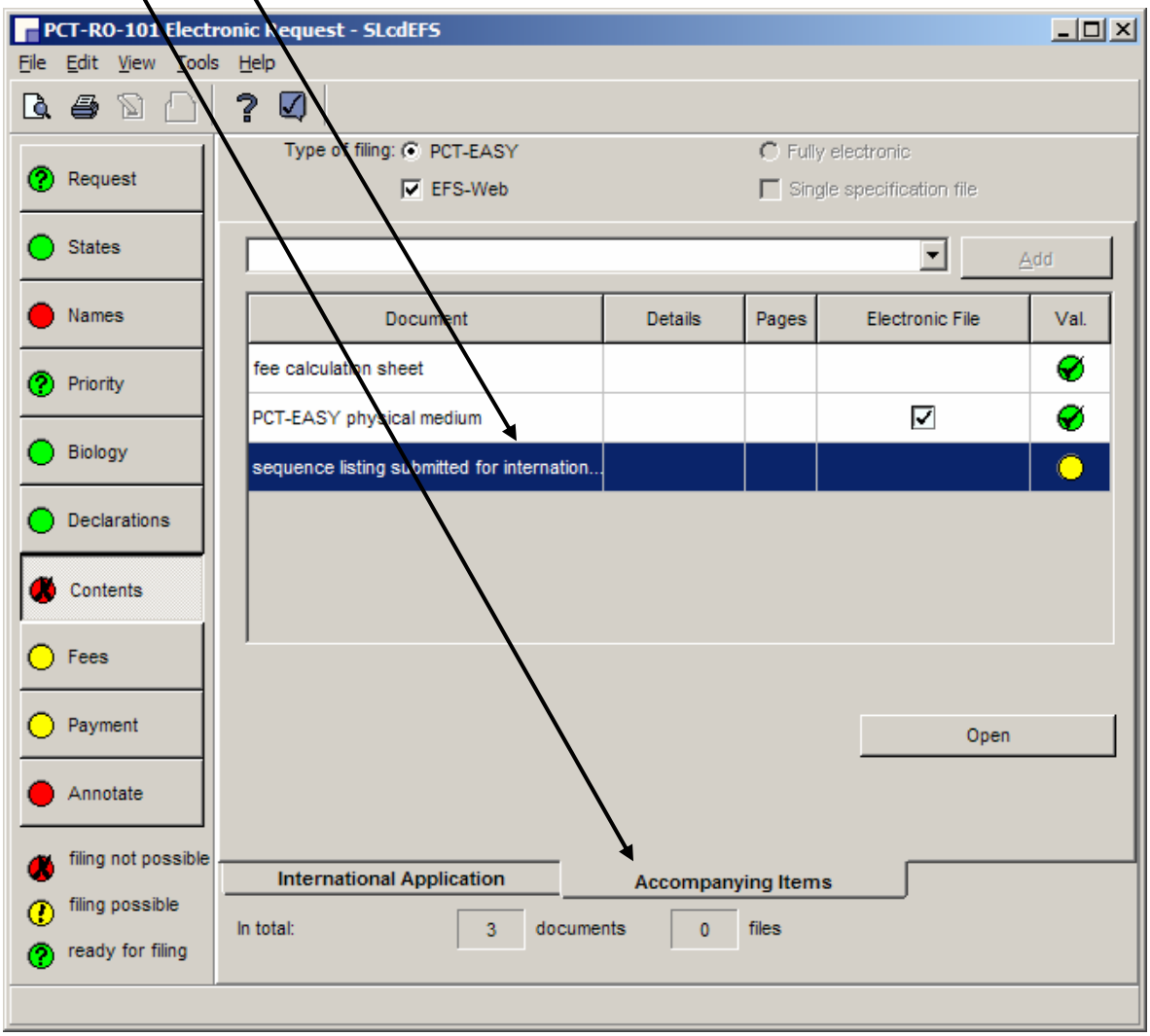


S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

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

4. In the “Accompanying Items” tab,

Double click on “sequence listing submitted for international search”



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

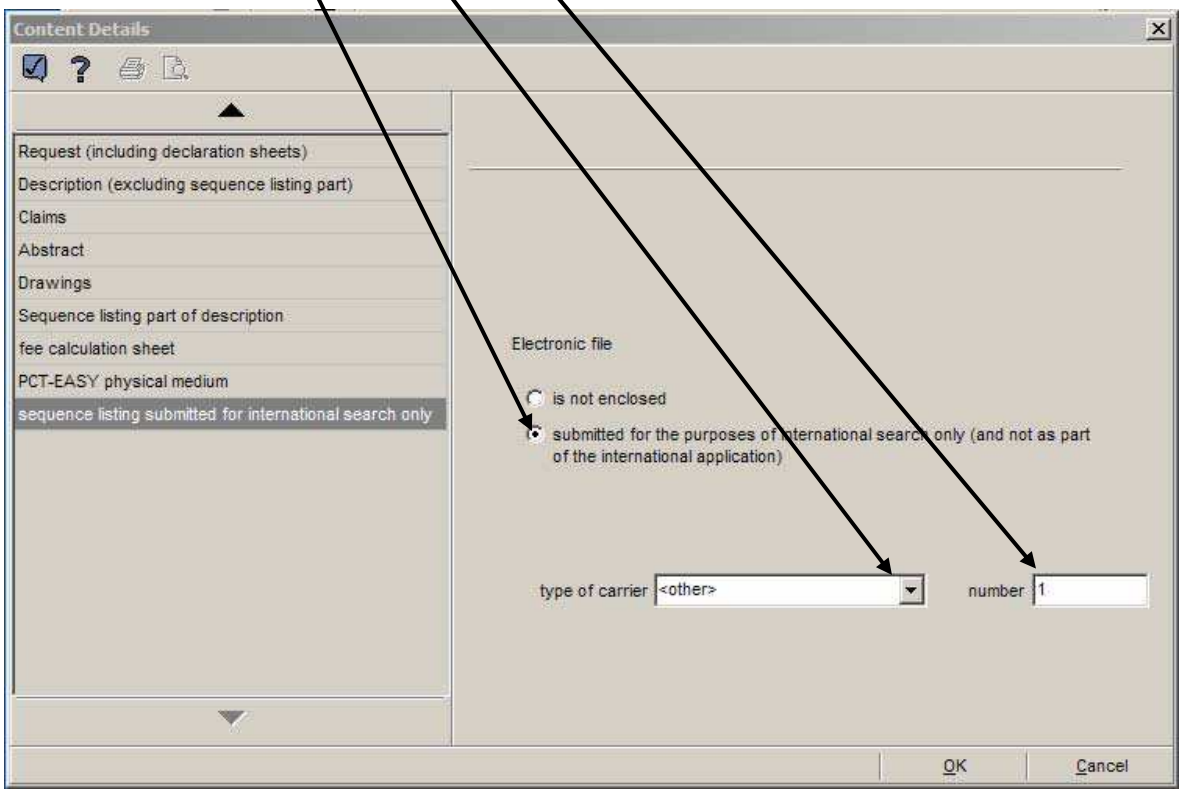
S2.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

5. In the "Content Details" for "Sequence listing submitted for international search"

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

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

c. Enter "1" for "number"



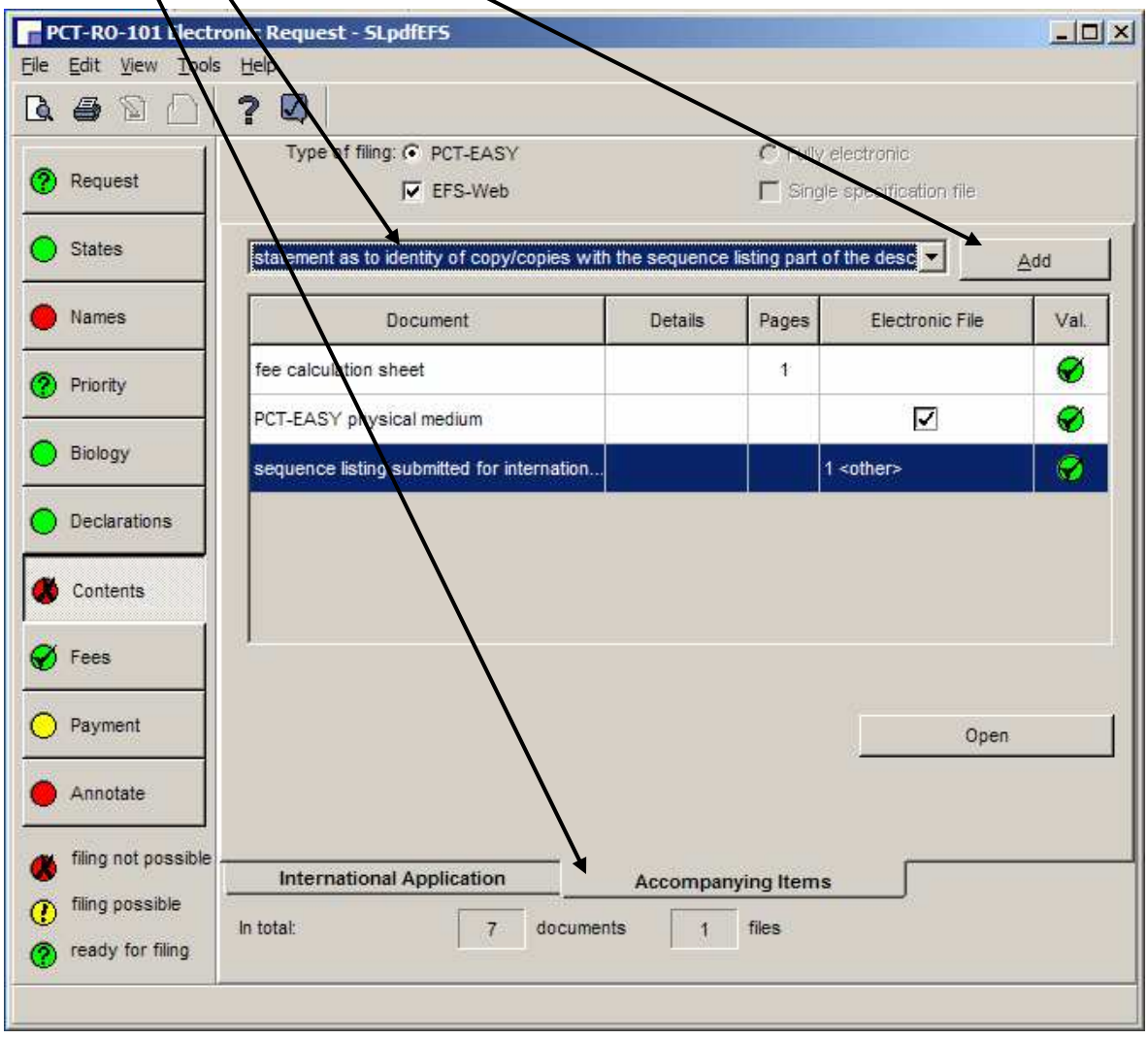
S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

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"

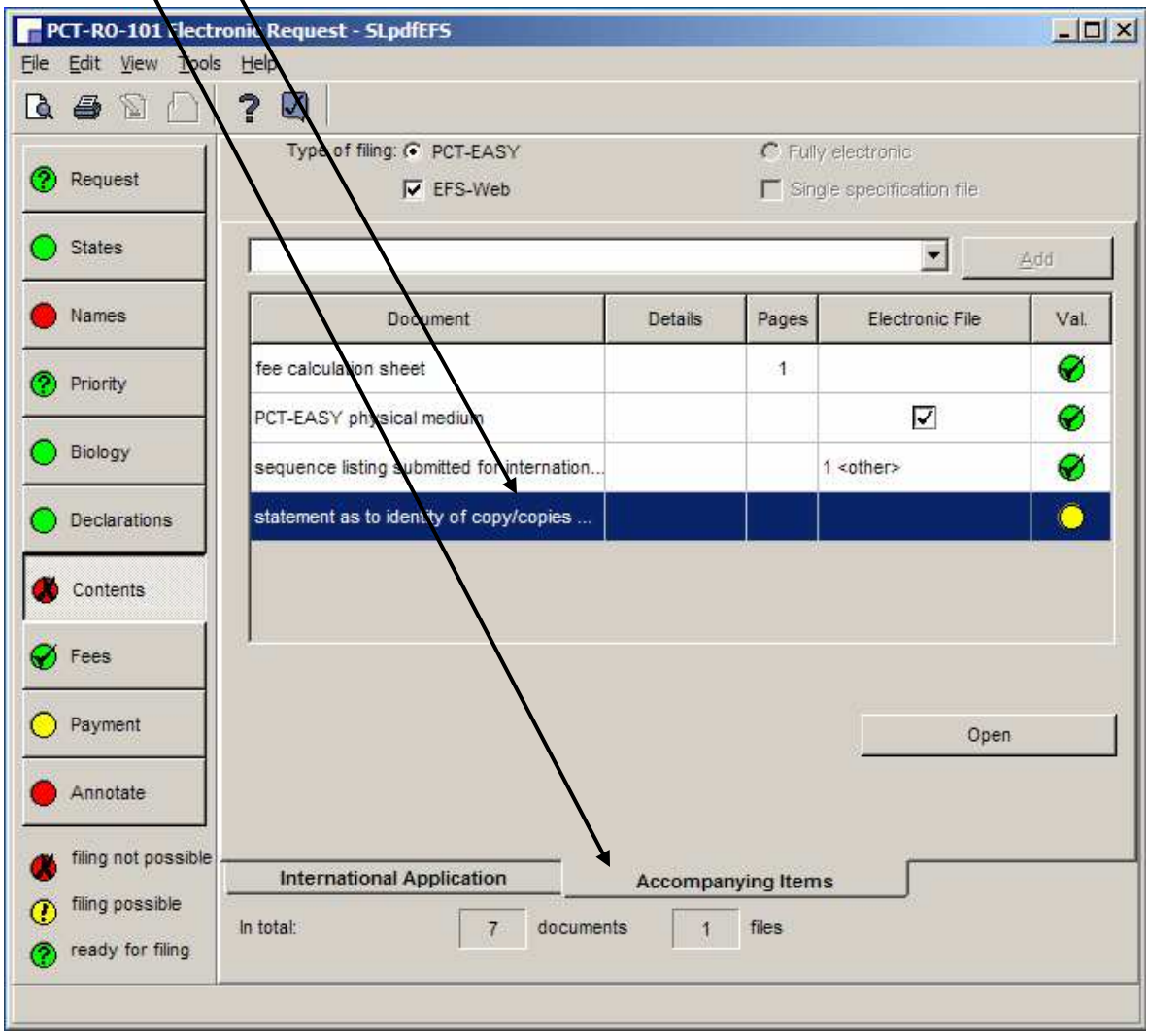


S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

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…”

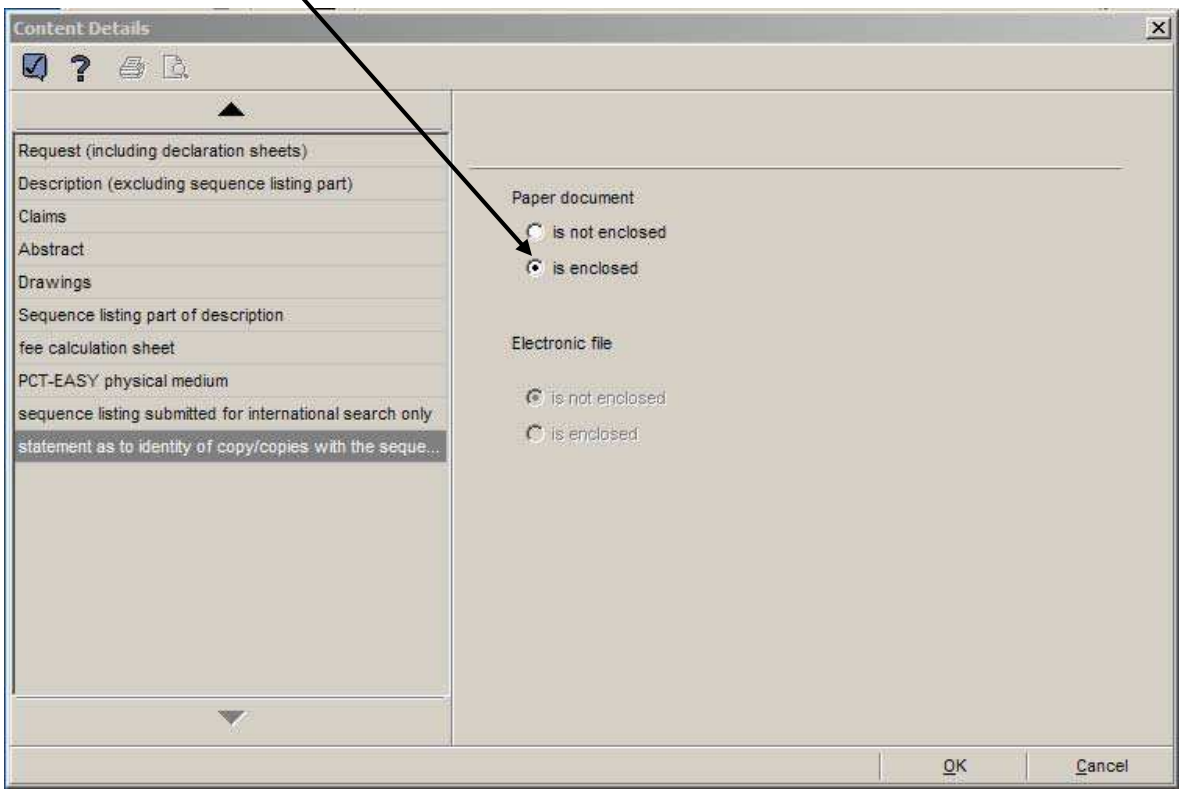


S2. EFS-Web - PDF SL + Annex C/ST.25 text format SL for search (SL <100 MB)

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)



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	
	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 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	

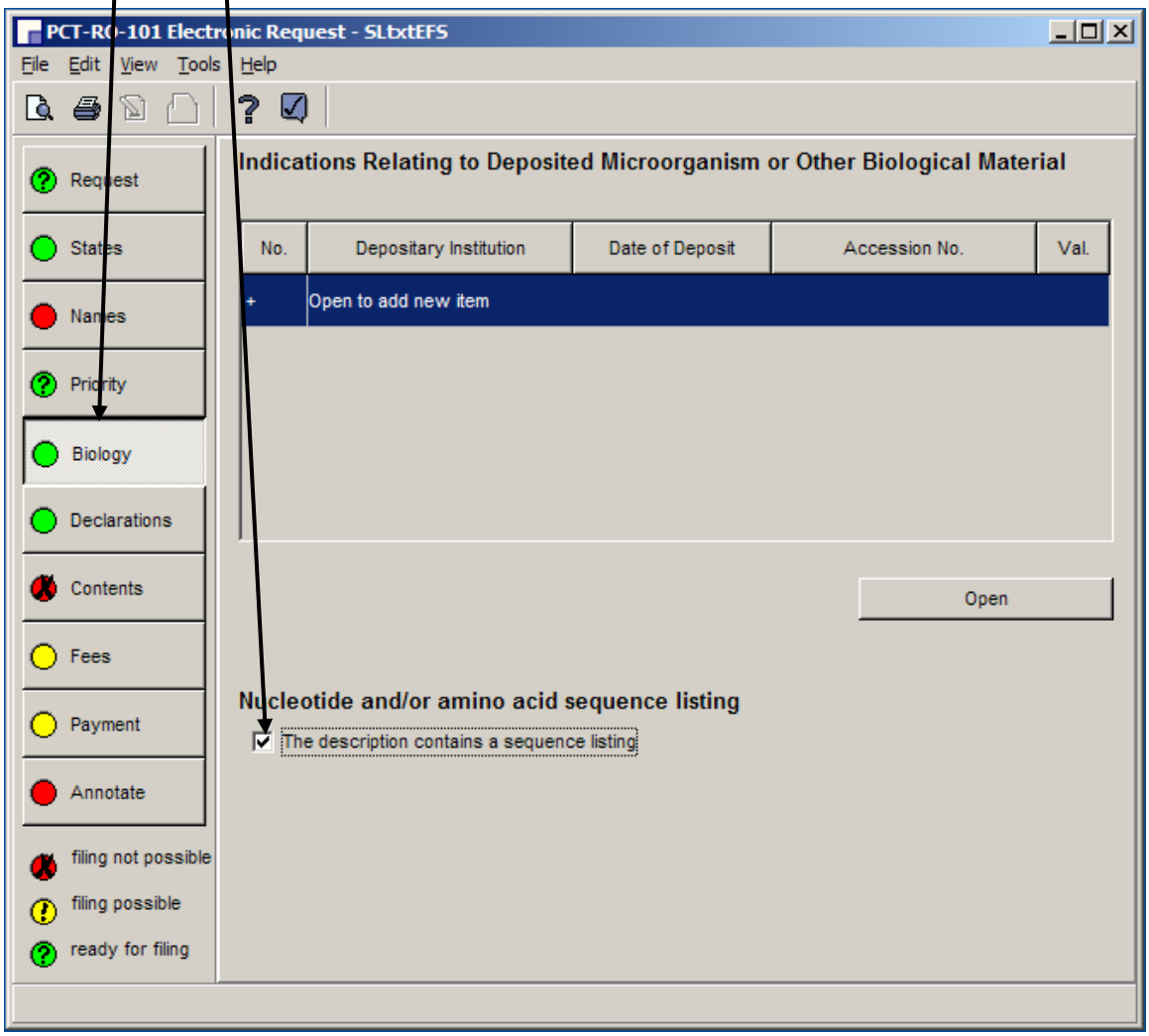
S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

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.”



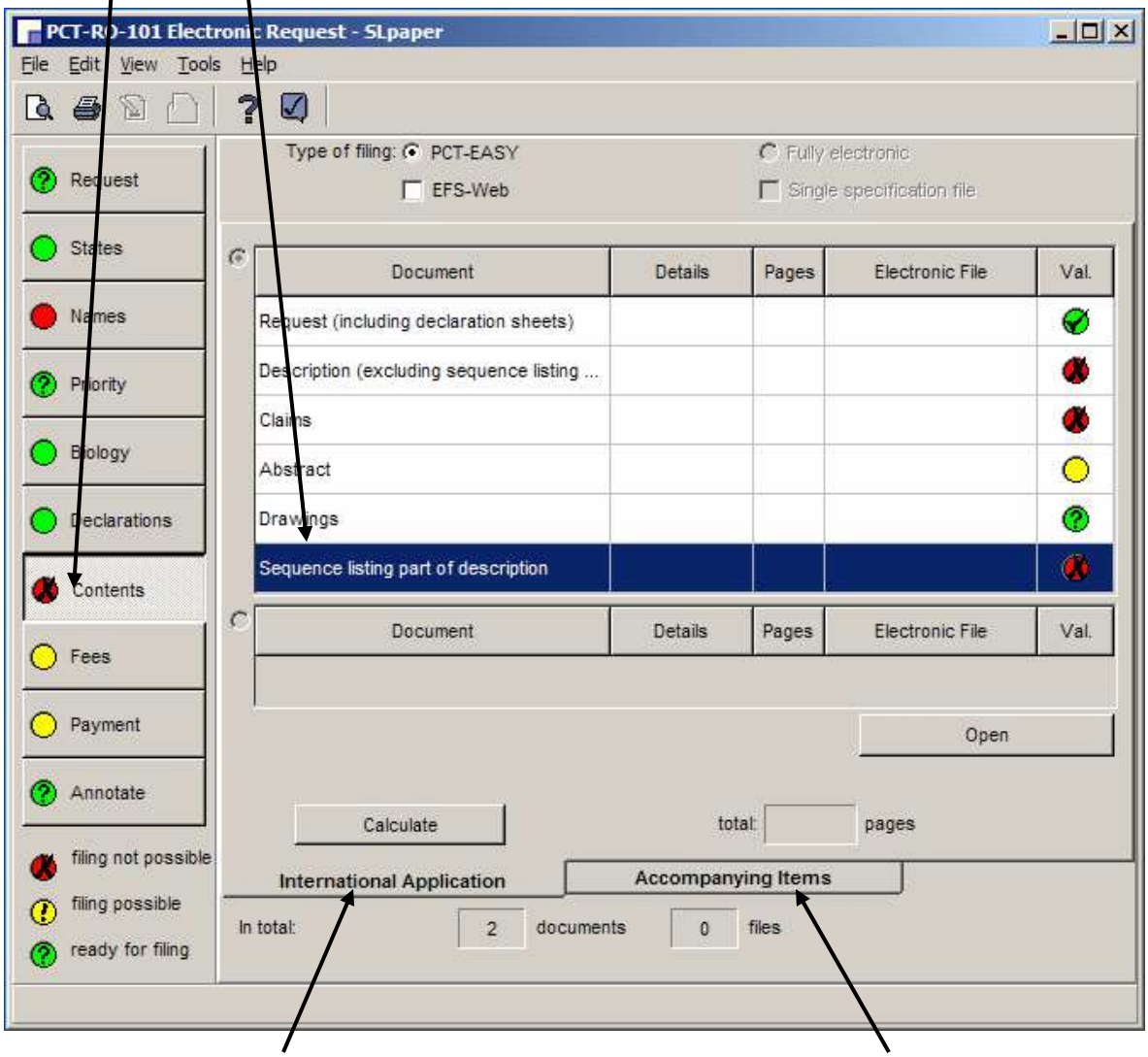
S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

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

2. To enter data into the Contents,

a. Click “Contents”

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



Items under this tab form part of the IA

Items under this tab are not part of the IA

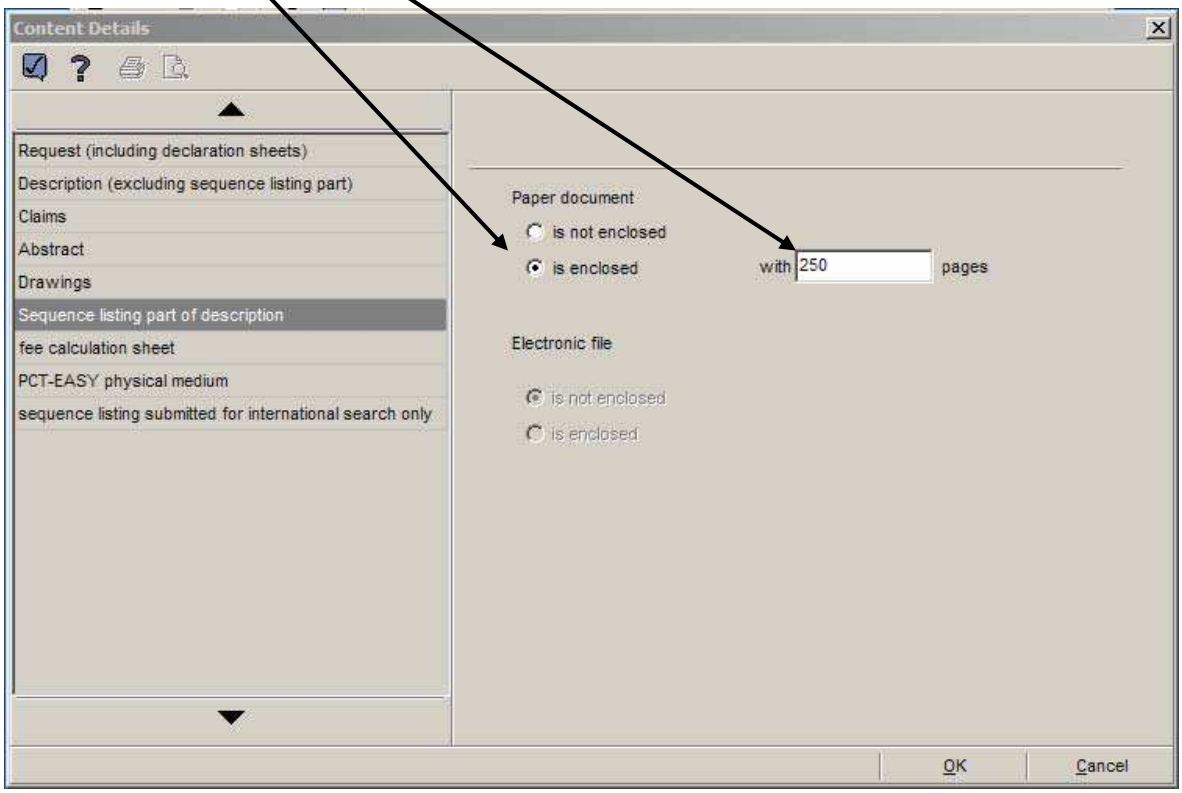
S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

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

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

a. Click “Paper document is enclosed”

b. Enter the number of pages

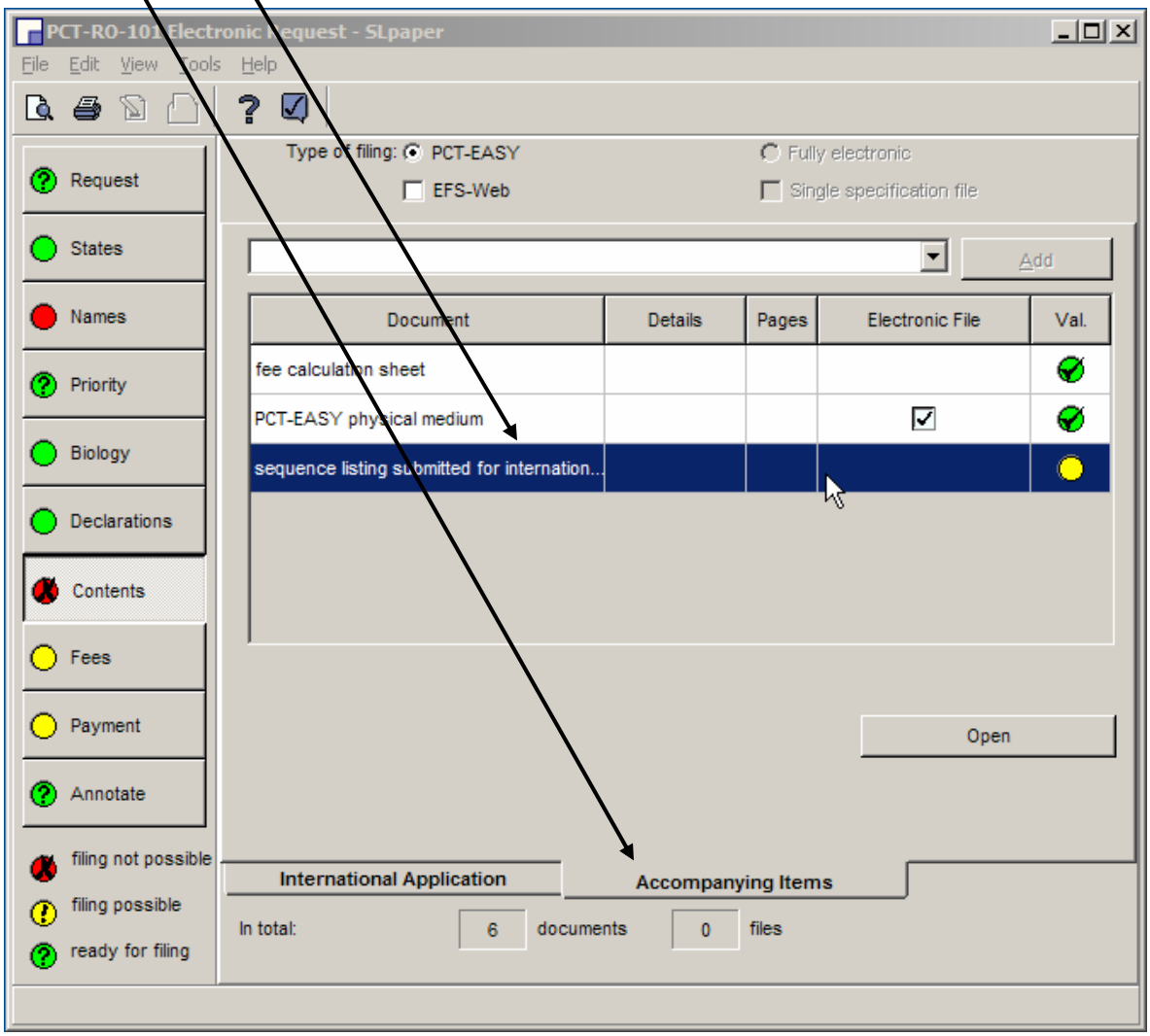


S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

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

4. In the “Accompanying Items” tab,

Double click on “sequence listing submitted for international search”



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

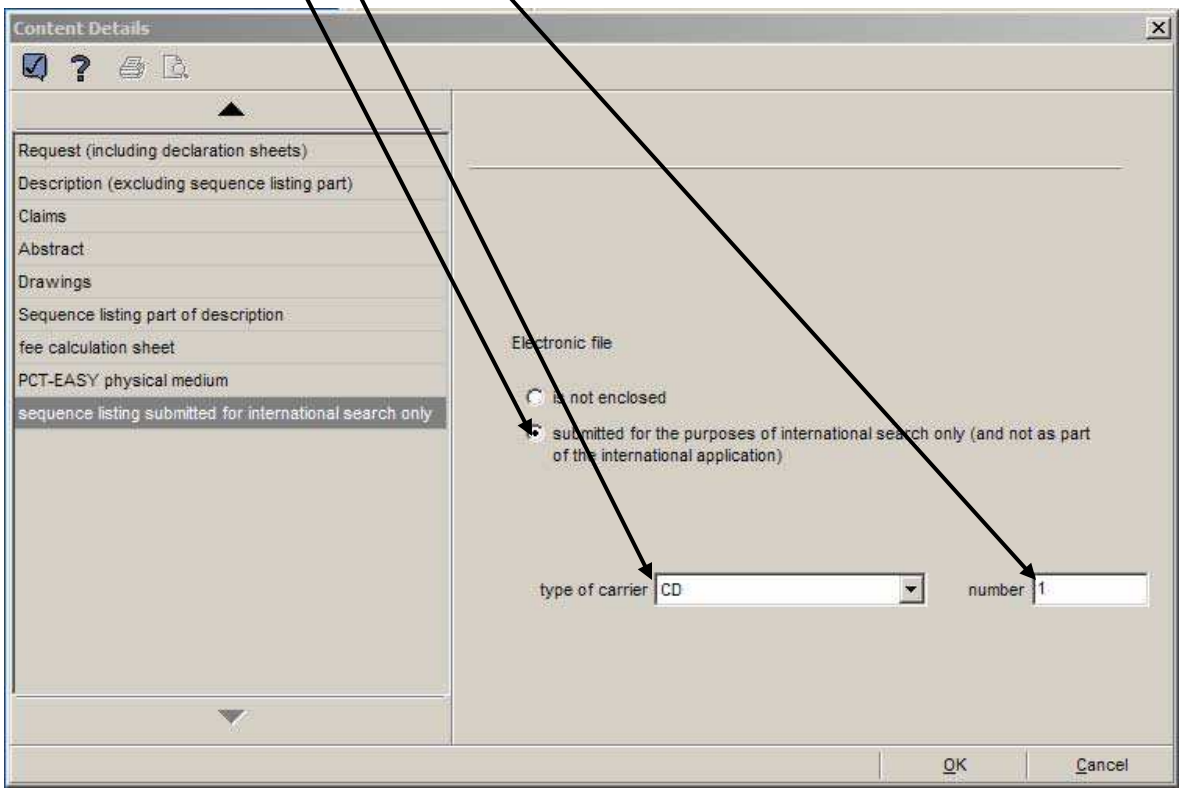
S3.A. PCT-SAFE screen shots for filling in Box No. IX for Sequence Listings

5. In the "Content Details" for "Sequence listing submitted for international search"

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

b. Select "CD" in the pull-down menu for "type of carrier"

c. Enter the number of CDs
(Only one copy is needed and the CD(s) should be clearly labeled in accordance with Annex F, Appendix IV, 2(f))



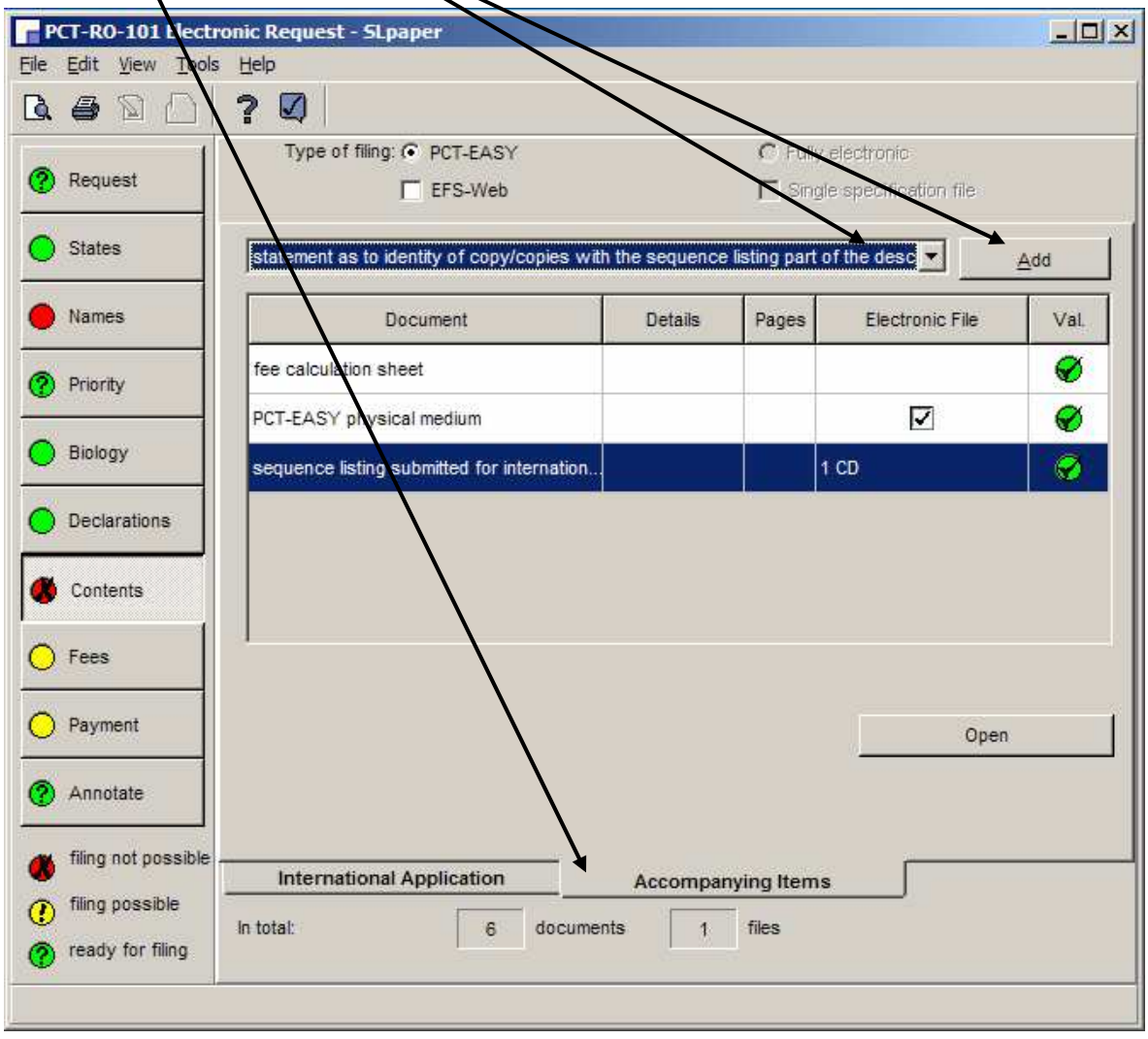
S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

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”

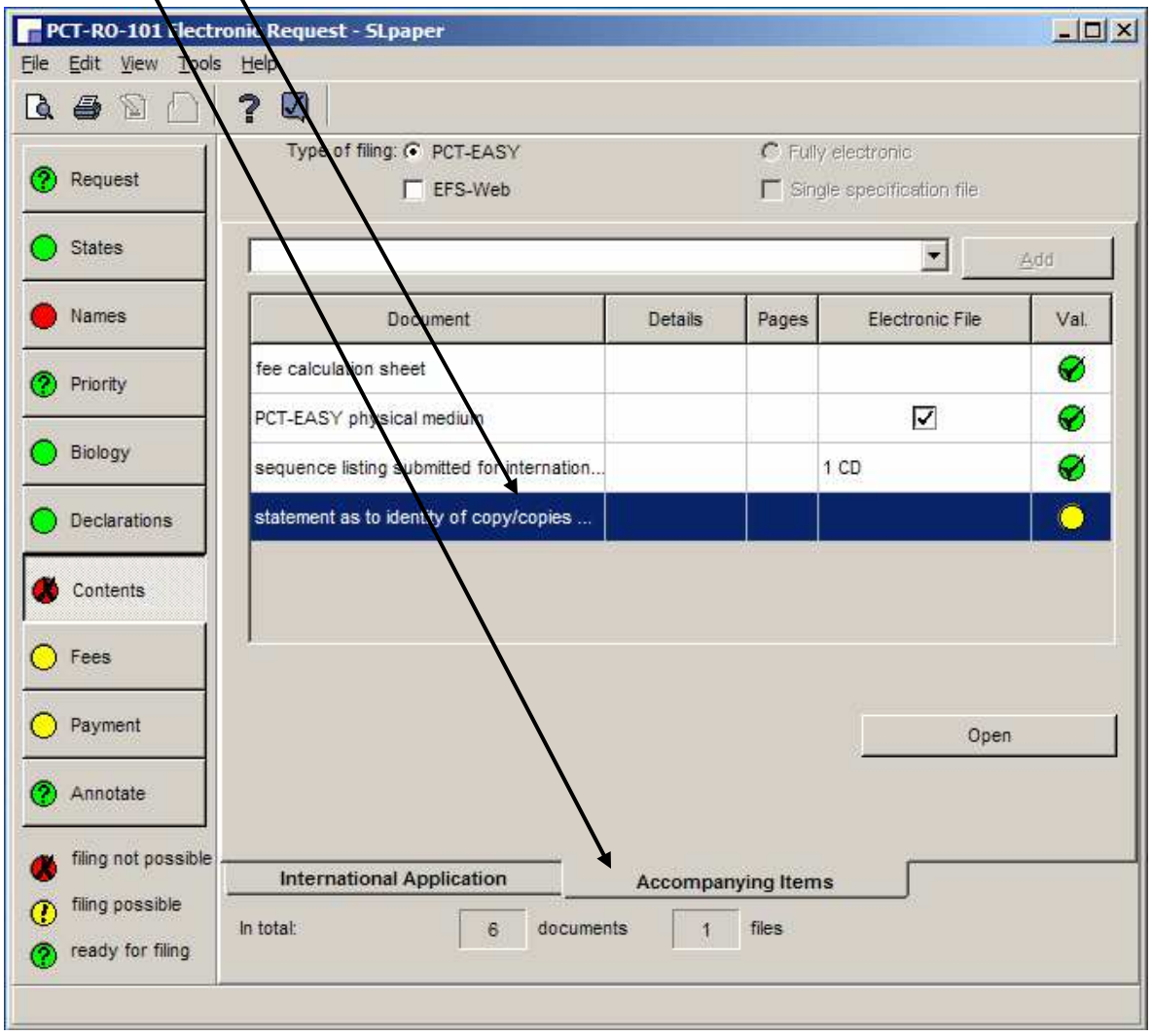
b. Click “Add”



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

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

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

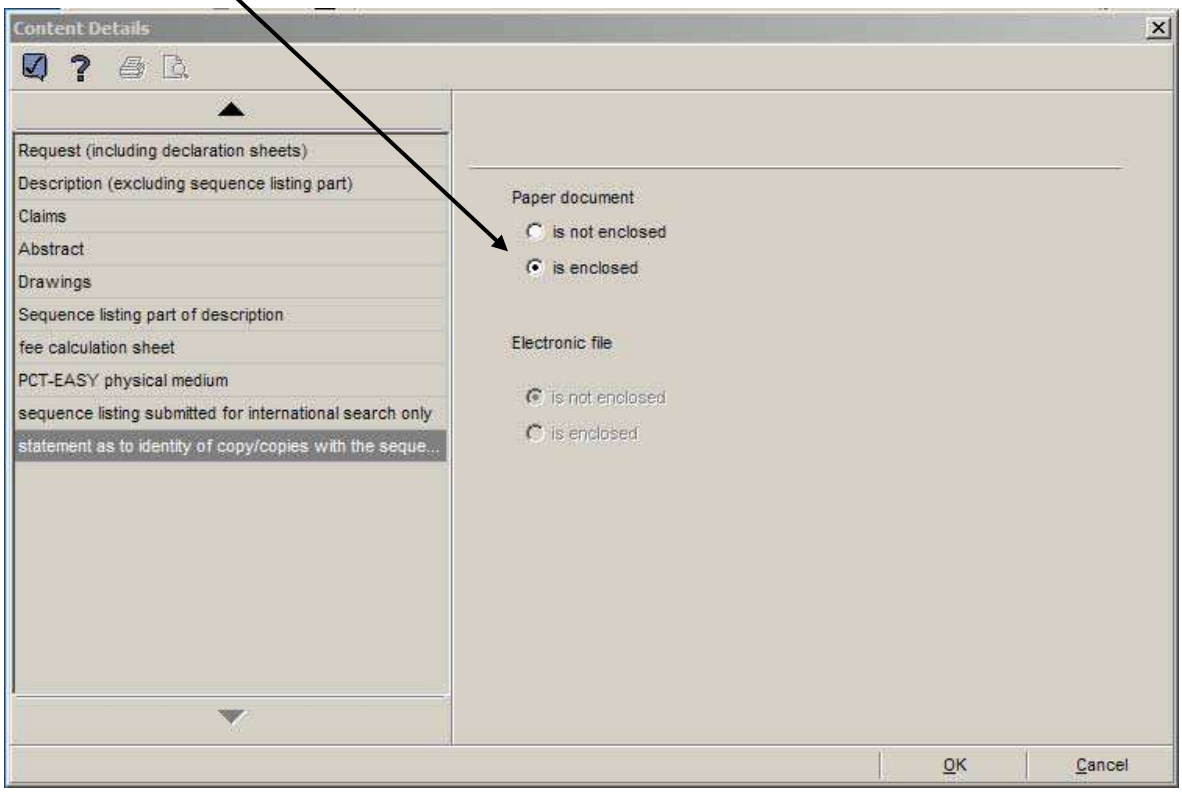


S3. PAPER SL + Annex C/ST.25 text format SL for search on CD

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

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

Click “Paper document is enclosed”



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

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

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

IX	Check list	number of sheets	electronic file(s) attached
IX-1	Request (including declaration sheets)	4	✓
IX-2	Description (excluding sequence listing part)	30	-
IX-3	Claims	5	-
IX-4	Abstract	1	✓
IX-5	Drawings	0	-
IX-7a	Sub-total number of sheets	40	
IX-6	Sequence listing part of the description	250	✓
IX-7	TOTAL	290	
	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 Number of requests for restoration of priority rights	RP	0		
	Total amount of fees for restoration of priority rights				
12-19	TOTAL FEES PAYABLE (T+S+I+P+RP)		➪	6795	

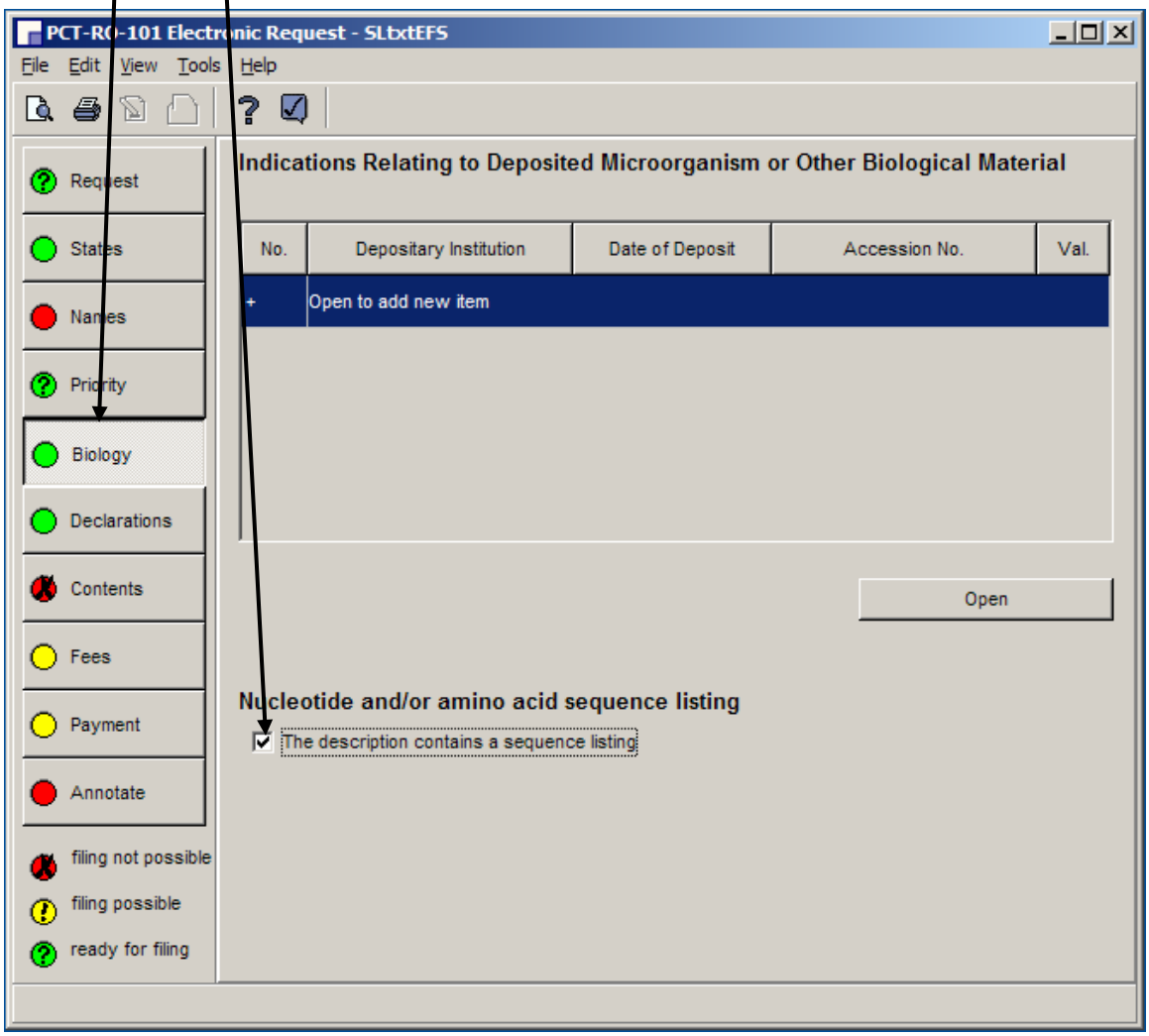
S4. EFS-Web - Annex C/ST.25 text format SL *only* on CD (SL >100 MB)

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

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

a. Click “Biology”

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



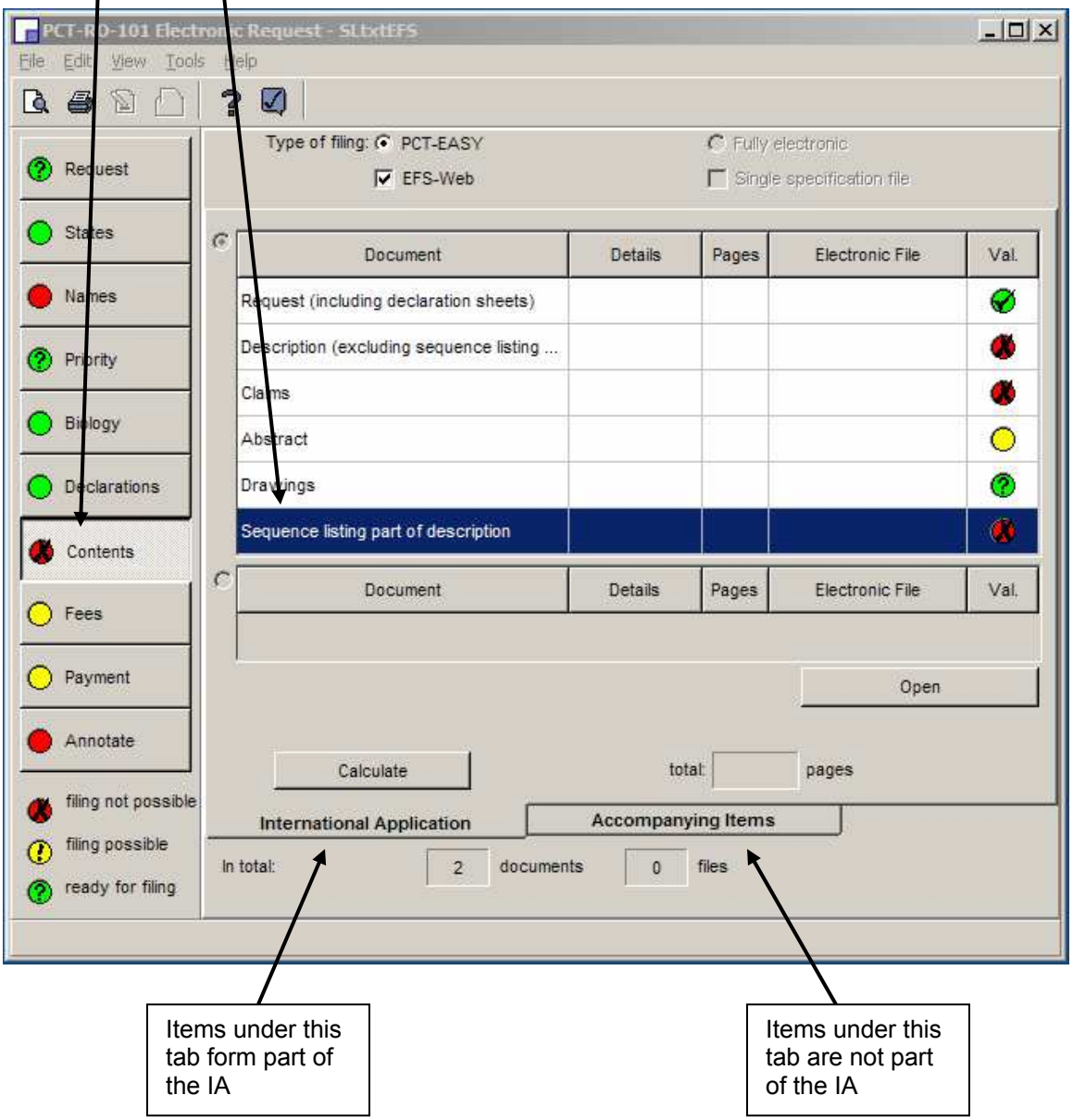
S4. EFS-Web - Annex C/ST.25 text format SL *only* on CD (SL >100 MB)

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

2. To enter data into the Contents,

Click “Contents”

Double click on “Sequence listing part of description”



Items under this tab form part of the IA

Items under this tab are not part of the IA

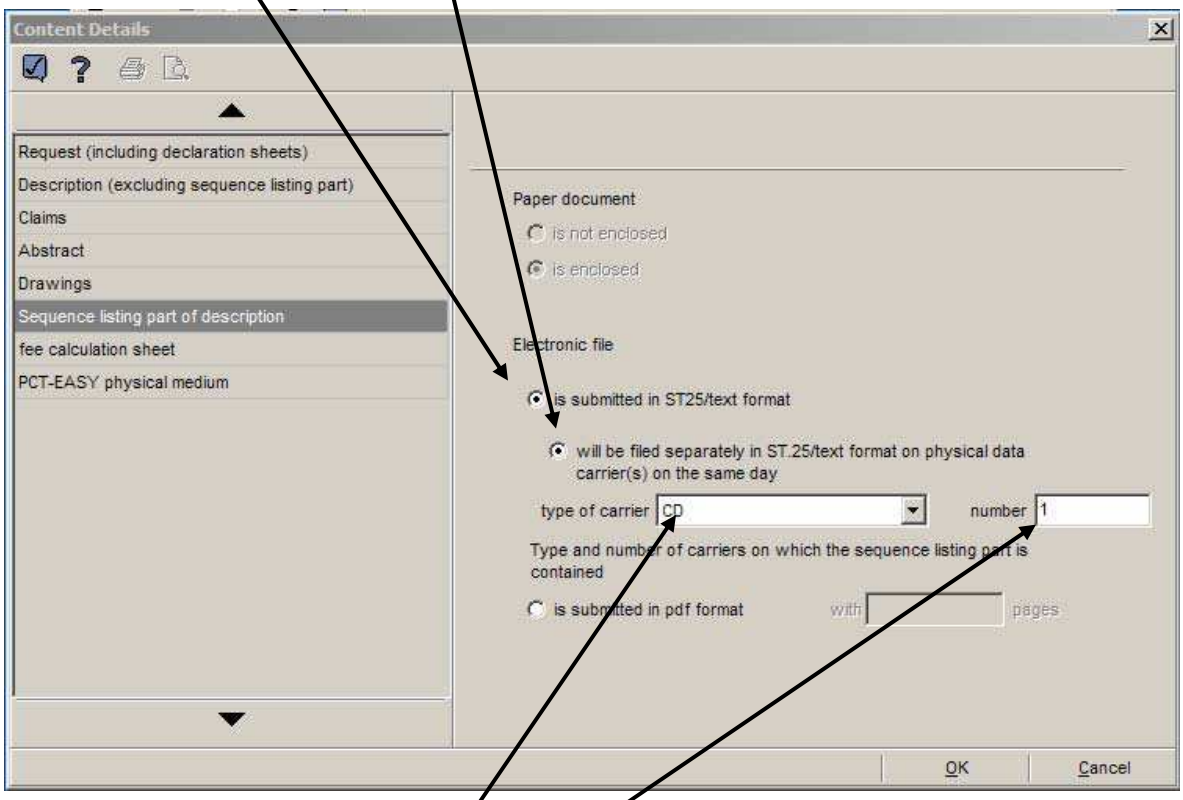
S4. EFS-Web - Annex C/ST.25 text format SL *only* on CD (SL >100 MB)

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"[1] from the pull-down menu for "type of carrier"

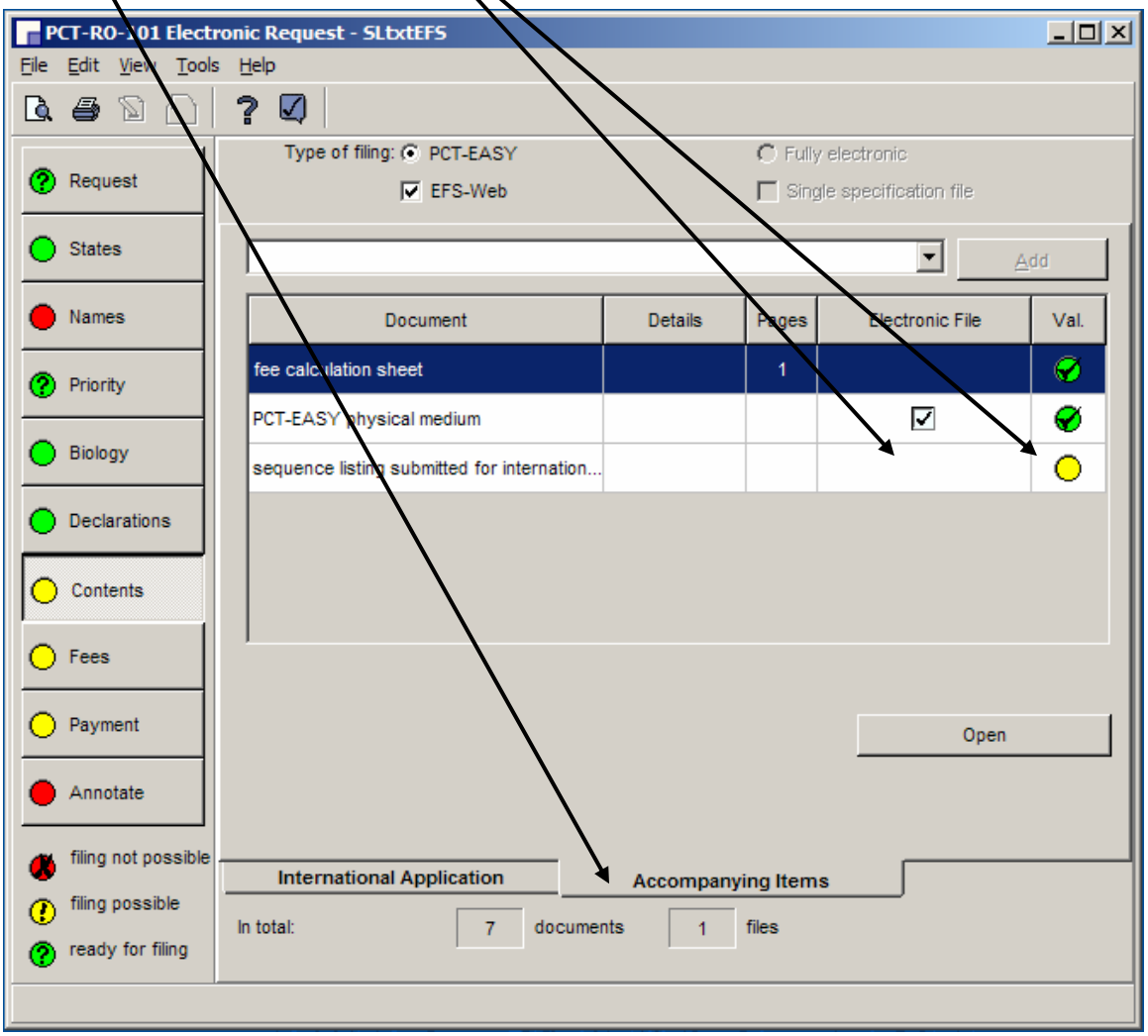
[1] The CD(s) and an accompanying letter should clearly indicate that the CD(s) contain(s) a sequence listing forming part of the international application in Annex C/ST.25 text format, labeled in accordance with Annex F, Appendix IV, 2(f).

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.)



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 Number of requests for restoration of priority rights	RP	0		
	Total amount of fees for restoration of priority rights				
12-19	TOTAL FEES PAYABLE (T+S+I+P+RP)			3560	