

ST.27 - ANNEX VI

GUIDANCE DOCUMENT

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at its seventh session on July 5, 2019*

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INTRODUCTION

1. WIPO Standard ST.27 is aimed to provide a standardized model which describes national, regional or international legal status events of a patent or supplementary protection certificate (SPC) in a global manner that is understandable to a user who lacks an in-depth understanding of the specific laws and/or prosecution practices of the prosecuting intellectual property office (IPO). The events of Standard ST.27 consist of Categories, Key events and Detailed events.
2. It is recommended that IPOs map their national/regional events to the events defined in Standard ST.27, so that a user can understand the legal status of an application or IP right without in-depth knowledge of the specific national or regional prosecution practices. IPOs should attempt to map their national/regional event to a Detailed event(s) and/or a Key event(s). If it is not possible for an IPO to map their national/regional event to either a Key event or a Detailed event, the IPO should map it to a Category.
3. The IPO should map their national or regional events to the standardized events and/or categories on the basis of their titles and descriptions, the examples provided in this Standard, the Overall Patent/SPC Prosecution Model, and the scenarios included in this Guidance Document. The list of events provided in the descriptions of the categories and key events are examples only and do not limit the scope of the category or key event.
4. This Guidance Document is intended to help IPOs on how to map their national/regional events to the Key events, Detailed events, and Categories defined in Standard ST.27. It provides examples of possible event histories that can be used to describe a particular scenario. The Guidance Document includes event histories for actual patents or SPCs as well as for theoretical situations, which can be specific to an IPO or unspecific, in which case no national/regional events or dates will be included.

STRUCTURE OF EXAMPLES

5. This Guidance Document provides examples according to the 21 Categories defined in Standard ST.27 on the basis of the practices reported by IPOs. Each example under the Categories is composed of the title of the example, the scenario, the ST.3 two-letter code of the IPO event history being described, the IPO's name, basic information, illustration of the events in the Overall Patent/SPC Prosecution Model, national event history, Key event history, Detailed event history, Category history and Mapping summary.
6. It should be noted that the examples are for event histories that describe various real and theoretical situations that may occur during the prosecution of an IP right. The situations, for which the event histories are provided may be generic and not specific to the national/regional practices of any individual IPO or they may be specific to the practices of a few individual IPOs or a single IPO.
7. The event history provided for a scenario is an example only and does not represent the only possible event history that may describe that scenario. The event history used to describe a scenario may vary based on national and regional practices; however, the example event history provides one possible set of events that can be used to describe the scenario.
8. The event history provided for each example may be partial event history only and may not necessarily include all events that could have occurred. The event history focuses on the events most important to the scenario described and are listed in chronological order. Note that while the event history is listed in chronological order in the Guidance Document for ease of understanding, the Standard requires legal status information to be exchanged with event histories in reverse chronological order. Status event codes are presented alongside the event history.
9. The examples in this document are based on the data that IPOs provided. When no date information was provided for an event, a theoretical date is used for guidance in this document.

EXAMPLES

Category A: Application filing

Example 1: PCT application enters national phase and is then divided

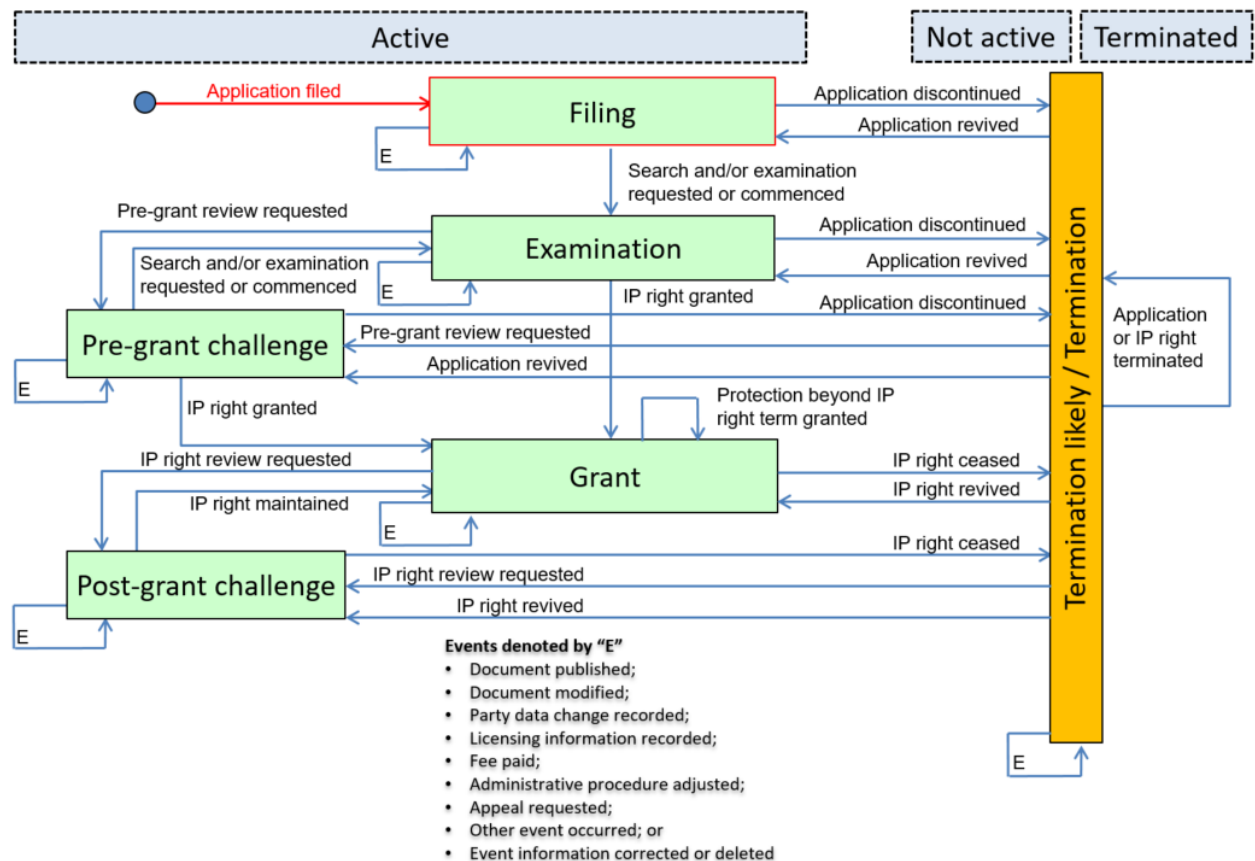
Scenario: A PCT application was filed and then entered into the national phase. The applicant then made a request to divide the national application. The request was accepted by the IPO.

CA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2008-04-02: X000¹: International filing into Interap system
- 2009-01-02: X000: PCT national entry applications
- 2009-08-20: X000: Divisional request filed
- 2009-12-23: X000: Divisional request granted

Key Event History:

- 2008-04-02: A10: Application filed
- 2009-01-02: A10: Application filed
- 2009-08-20: A10: Application filed

Detailed Event History:

- 2008-04-02: A13: PCT application filed
- 2009-01-02: A15: PCT application entered into the national or regional phase
- 2009-08-20: A16: Divisional, continuation or continuation in part application filed
- 2009-12-23: A18: Application divided or continuation or continuation in part accepted

Category History:

- 2008-04-02: A: Application filed
- 2009-01-02: A: Application filed
- 2009-08-20: A: Application filed
- 2009-12-23: A: Application filed

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2008-04-02	X000	International filing into Interap system	A	A10	A13	A-0-1-A10-A13-X000	
2009-01-02	X000	PCT national entry applications	A	A10	A15	A-1-1-A10-A15-X000	
2009-08-20	X000	Divisional request filed	A	A10	A16	A-1-1-A10-A16-X000	
2009-12-23	X000	Divisional request granted	A	-	A18	A-1-1-A00-A18-X000	

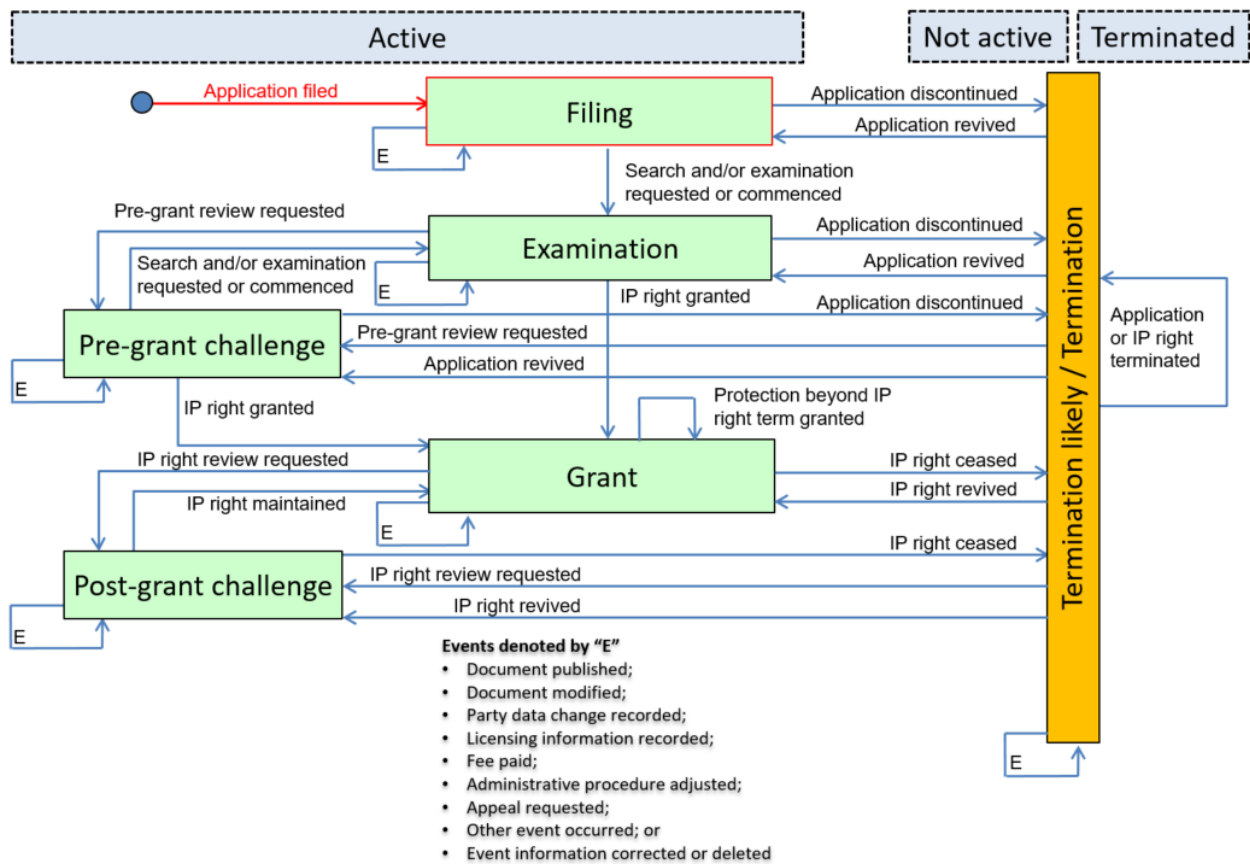
¹ According to WIPO Standard ST.27, the code "X000" is given to the national events to which the IPO has not assigned any national or regional event code.

JP Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2006-02-03: X000: PCT application filed
- 2006-07-15: X000: PCT application entered into the national phase
- 2006-11-29: X000: Divisional application filed
- 2007-01-29: X000: Application divided

Key Event History:

- 2006-02-03: A10: Application filed
- 2006-07-15: A10: Application filed
- 2006-11-29: A10: Application filed

Detailed Event History:

- 2006-02-03: A13: PCT application filed
- 2006-07-15: A15: PCT application entered into the national or regional phase
- 2006-11-29: A16: Divisional, continuation or continuation in part application filed
- 2007-01-29: A18: Application divided or continuation or continuation in part accepted

Category History:

- 2006-02-03: A: Application filed
- 2006-07-15: A: Application filed
- 2006-11-29: A: Application filed
- 2007-01-29: A: Application filed

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2006-02-03	X000	PCT application filed	A	A10	A13	A-0-1-A10-A13-X000	
2006-07-15	X000	PCT application entered into the national phase	A	A10	A15	A-1-1-A10-A15-X000	
2006-11-29	X000	Divisional application filed	A	A10	A16	A-1-1-A10-A16-X000	
2007-01-29	X000	Application divided	A	-	A18	A-1-1-A00-A18-X000	

Category B: Application discontinuation

Example 1: Application discontinued after substantive examination

Scenario: Examination was requested at the point of filing. The application was rejected after substantial examination and the application was discontinued.

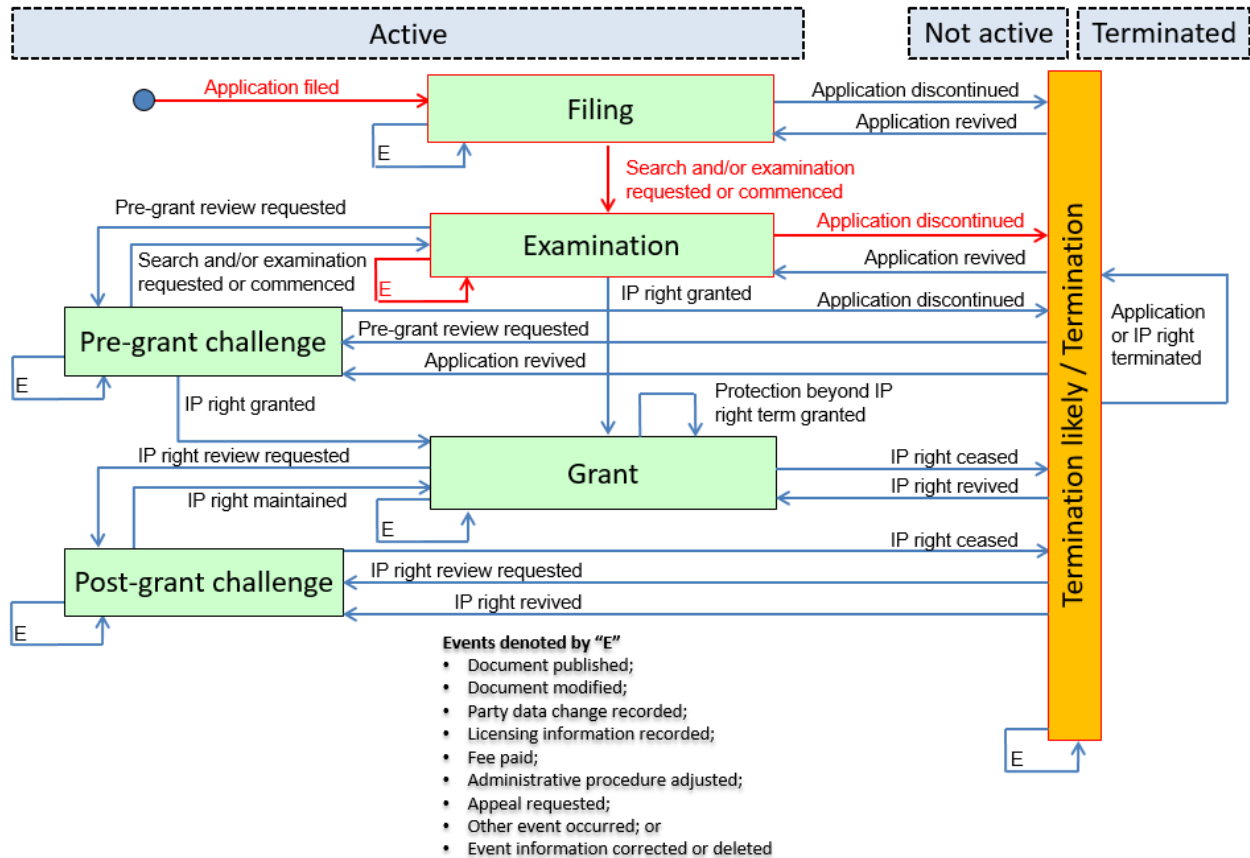
DE Example

Basic Information:

- File Creation date: 2017-07-14
- Application number: 10 2012 001 472.4
- Type of IP right: National patent

Link to national Patent register: <https://register.dpma.de/DPMAregister/pat/register?AKZ=1020152029573>

Overall Patent/SPC Prosecution Model:



National Event History:

- 2015-02-18: R000: The application is under preliminary examination
- 2015-02-18: R012: Request for examination effectively filed
- 2015-02-18: R004: Pre-registration procedure has been concluded
- 2015-07-28: R015: Official communication on examination
- 2015-11-25: R016: Reply to official communication
- 2016-01-07: R200: Publication of application (Offenlegungsschrift)
- 2016-01-07: R230: Request for early publication of application (Offenlegung)
- 2016-01-12: R002: Decision to reject in examination/protection certificate/registration procedure
- 2016-02-16: R003: Decision to reject has become final

Key Event History:

- 2015-02-18: A10: Application filed
- 2015-02-18: D10: Search and/or examination requested or commenced
- 2016-01-07: Q10: Document published
- 2016-02-06: B10: Application discontinued

Detailed Event History:

- 2015-02-18: D11: Substantive examination requested
- 2015-07-28: D15: Examination report completed
- 2016-01-07: Q12: Application published
- 2016-02-16: B15: Application refused following examination

Category History:

- 2015-02-18: A: Application filing
- 2015-02-18: D: Search and examination
- 2015-03-27: A: Application filing
- 2015-07-28: D: Search and examination
- 2015-11-25: P: Document modification
- 2016-01-07: Q: Document publication
- 2016-01-07: Q: Document publication
- 2016-01-12: B: Application discontinuation
- 2016-02-16: B: Application discontinuation

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2015-02-18	R000	The application is under preliminary examination	A	A10	-	A-1-2-A10-A00-R000	
2015-02-18	R012	Request for examination effectively filed	D	D10	D11	A-2-2-D10-D11-R012	
2015-03-27	R004	Pre-registration procedure has been concluded	A	-	-	A-0-0-A00-A00-R004	
2015-07-28	R015	Official communication on examination	D	-	D15	A-2-2-D00-D15-R015	"Issue" is limited to communication between the IPO and the applicant/owner as opposed to the public.
2015-11-25	R016	Reply to official communication	P	-	-	A-2-2-P00-	

						P00- R016	
2016-01-07	R200	Publication of application (Offenlegungsschrift)	Q	Q10	Q12	A-2-2- Q10- Q12- R200	
2016-01-07	R230	Request for early publication of application (Offenlegung)	Q	-	-	A-2-2- Q00- Q00- R230	
2016-01-12	R002	Decision to reject in examination/protection certificate/registration procedure	B	-	-	A-2-2- B00- B00- R002	
2016-02-16	R003	Decision to reject has become final	B	B10	B15	N-2-6- B10- B15- R003	

Category C: Application revival

Example 1: Application revived after lapse

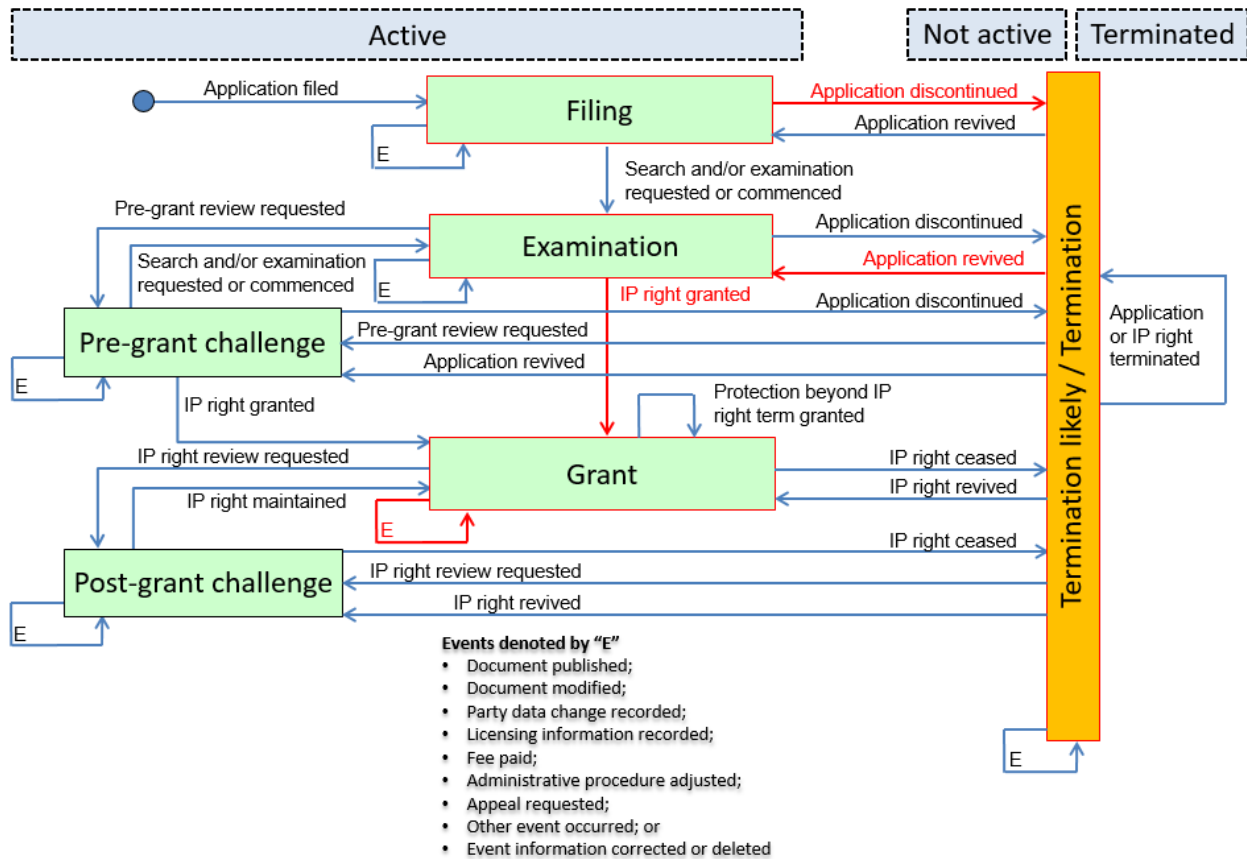
Scenario: An application is withdrawn. The lapsed application is then revived. Following a formality examination, the IP right is granted and the IP right document is published.

EA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 1998-03-24: FA9A: Withdrawal of a Eurasian application
- 1998-06-13: NF9A: Restoration of lapsed application to a Eurasian patent application
- 1999-01-14: FG4A: Eurasian patent for invention (B1 publication)

Key Event History:

- 1998-03-24: B10: Application discontinued
- 1998-06-13: C10: Application revived
- 1999-01-14: F10: IP right granted
- 1999-01-14: Q10: Document published

Detailed Event History:

- 1998-06-13: C13: Application revived following an application revival request
- 1999-01-14: F12: IP right granted following formality examination
- 1999-01-14: Q13: IP right document published

Category History:

- 1998-03-24: B: Application discontinuation
- 1998-06-13: C: Application revival
- 1999-01-14: F: IP right grant
- 1999-01-14: Q: Document publication

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
1998-03-24	FA9A	Withdrawal of a Eurasian application	B	B10	-	N-1-6-B10-B00-FA9A	
1998-06-13	NF9A	Restoration of lapsed application to a Eurasian patent application	C	C10	C13	A-6-2-C10-C13-NF9A	
1999-01-14	FG4A	Eurasian patent for invention (B1 publication)	F	F10	F12	A-2-4-F10-F12-FG4A	
1999-01-14	FG4A	Eurasian patent for invention (B1 publication)	Q	Q10	Q13	A-4-4-Q10-Q13-FG4A	The regional event, FG4A simultaneously maps to two key/detailed events.

Category D: Search and examination

Example 1: Fast track examination requested and granted

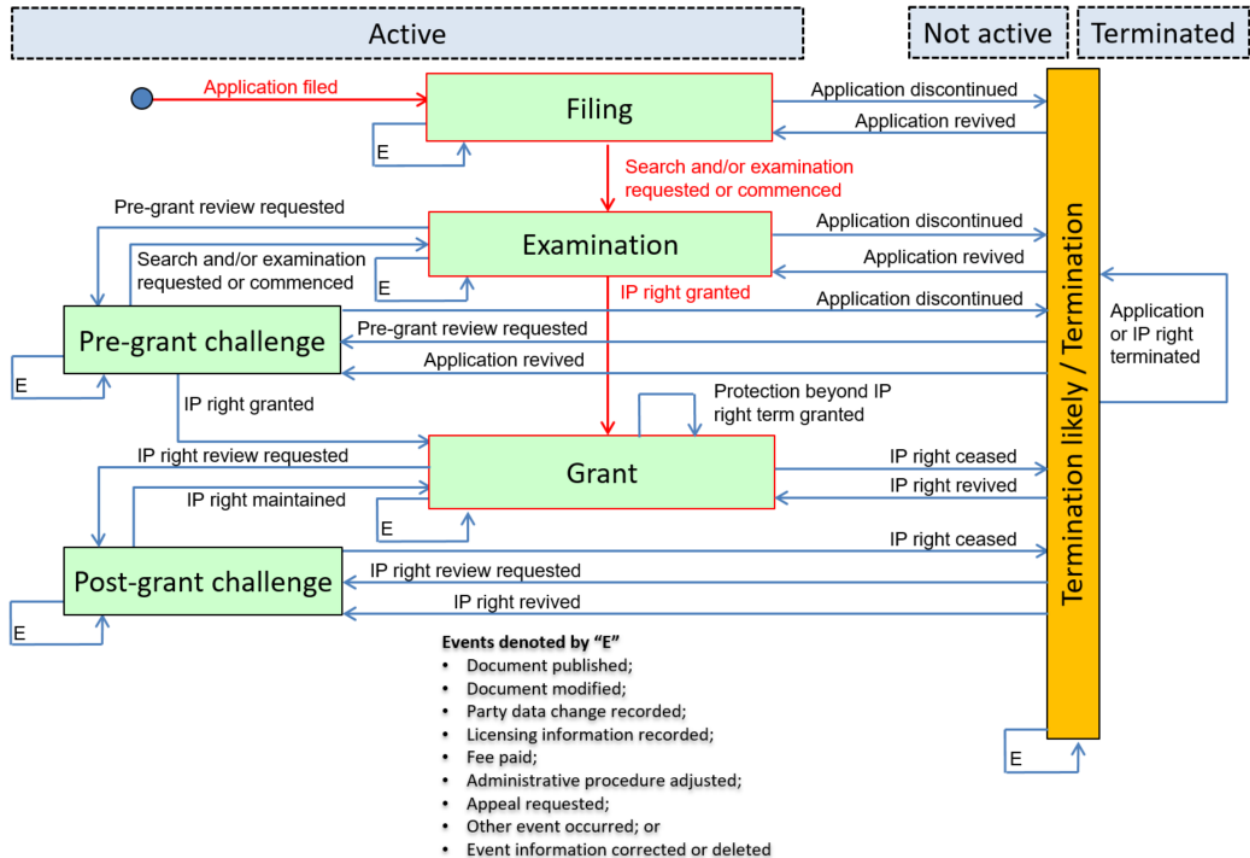
Scenario: An application for a national patent was filed. The applicant requested an accelerated examination which was granted. The IP right was granted after a substantive examination.

US Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2011-02-27: APC Application Filing Date: Filing Date- Date Application Filed
- 2011-03-29: DOCK: Application docketed to an examiner for examination
- 2011-06-20: 289: All petitions and requests to make special are entered; Track 1 and Rocket Docket requests entered
- 2011-12-03: 289: All petitions and requests to make special are entered; Track 1 and Rocket Docket requests granted
- 2012-02-05: Patent Issue Date: Patent Issue Date

Key Event History:

- 2011-02-27: A10: Application filed
- 2011-03-29: D10: Search and/or examination requested or commenced
- 2011-06-20: D10: Search and/or examination requested or commenced
- 2012-02-05: F10: IP right granted

Detailed Event History:

- 2011-06-20: D16: Fast track examination requested
- 2011-12-03: D17: Fast track examination accepted

Category History:

- 2011-02-27: A: Application filed
- 2011-03-29: D: Search and examination
- 2011-06-20: D: Search and examination
- 2011-12-03: D: Search and examination
- 2012-02-05: F: IP right grant

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2011-02-27	APC	Filing Date- Date Application Filed	A	A10	-	A-0-1-A10-A00- APC Application Filing Date	Application Filing Date
2011-03-29	DOCK	Application docketed to an examiner for examination	D	D10	-	A-1-2-D10-D00-DOCK	
2011-06-20	289	All petitions and requests to make special are entered; Track 1 and Rocket Docket requests entered	D	D10	D16	A-2-2-D10-D16-289	
2011-12-03	289	All petitions and requests to make special are entered; Track 1 and Rocket Docket requests granted	D	-	D17	A-2-2-D00-D17-289	
2012-02-05	Patent Issue Date	Patent Issue Date	F	F10	-	A-2-4-F10-F00- Patent Issue Date	

Category E: Pre-grant review requested

Example 1: Pre-grant review and granted in part

Scenario: Immediately with filing, the examination was requested and the patent was intended to be granted. After publication of the patent an opposition was filed and the patent was maintained in amended form. The patent is still in force.

Remark: This scenario describes a sequence of events with a patent scope adjustment before granting. It is a basic scenario, which should happen at least several times a year in each IP office. The pre-grant review might be an opposition or any other proceedings used to adjust the scope of a patent before grant.

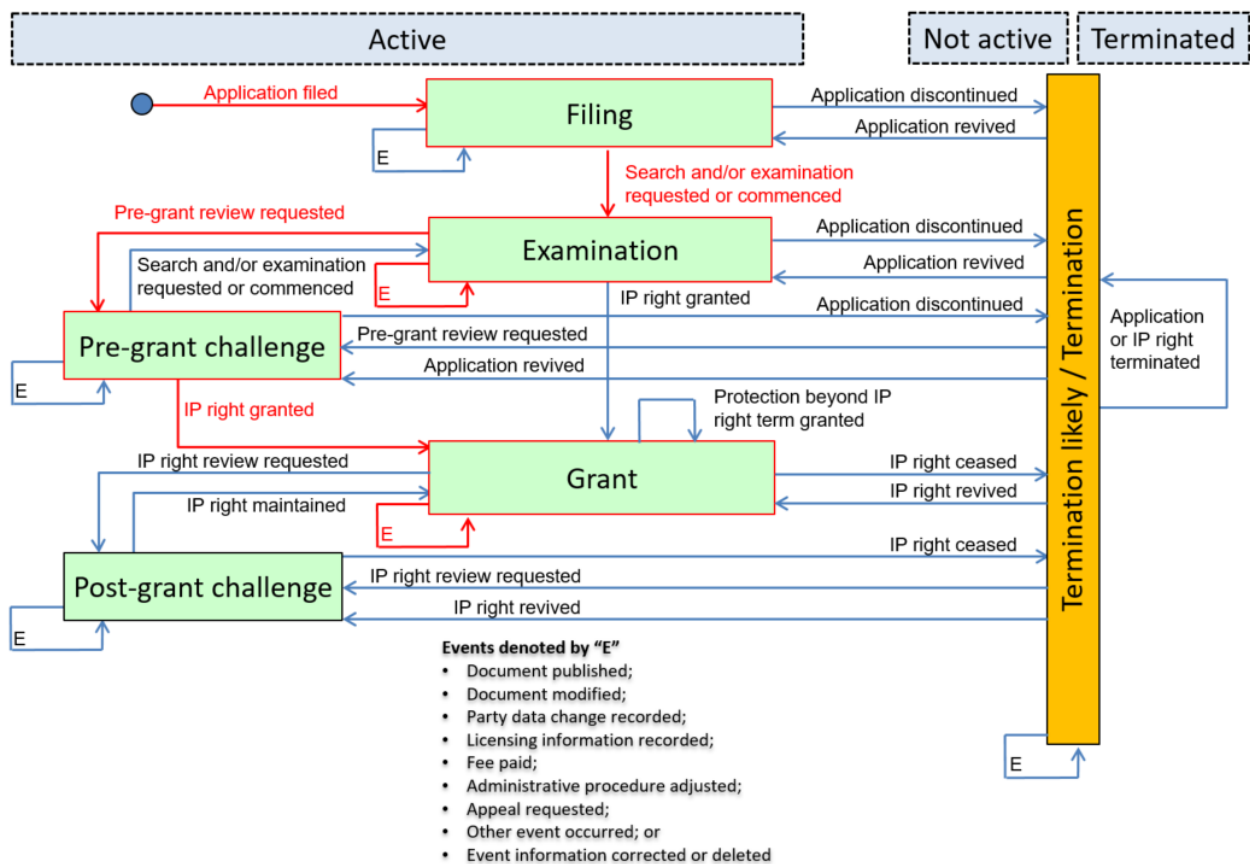
DE Example

Basic Information:

- File Creation date: 2017-07-14
- Application number: 10 2011 051 254.3
- Type of IP right: National patent

Link to national Patent register: <https://register.dpma.de/DPMAregister/pat/register?AKZ=1020110512543>

Overall Patent/SPC Prosecution Model:



National Event History:

- 2011-06-22: R000: The application is under preliminary examination
- 2011-06-22: R012: Request for examination effectively filed
- 2011-08-03: R004: Pre-registration procedure has been concluded
- 2012-02-24: R015: Official communication on examination
- 2012-06-21: R016: Reply to official communication
- 2012-10-10: R018: Decision to grant patent by Examining Section/Patent Division
- 2012-12-27: R200: Publication of application (Offenlegungsschrift)
- 2013-02-21: R110: Patent specification
- 2013-05-16: R026: Opposition to patent filed

- 2016-03-25: R032: Patent maintained with limitations by decision of Patent Division
- 2016-03-25: R034: Decision to maintain patent with limitations by Patent Division / Federal Patent Court has become final
- 2016-06-16: R206: Amended patent specification

Key Event History:

- 2011-06-22: A10: Application filed
- 2011-06-22: D10: Search and/or examination requested or commenced
- 2012-12-27: Q10: Document published
- 2013-05-16: E10: Pre-grant review requested
- 2016-03-25: F10: IP right granted
- 2016-06-16: P10: Document modified

Detailed Event History:

- 2011-06-22: D11: Substantive examination requested
- 2012-02-24: D15: Examination report completed
- 2012-10-10: D22: Grant of IP right intended
- 2012-12-27: Q12: Application published
- 2013-02-21: Q13: IP right document published
- 2013-05-16: E11: Pre-grant opposition filed
- 2016-03-25: F14: IP right granted in amended form following pre-grant review
- 2016-06-16: P16: IP right document amended

Category History:

- 2011-06-22: A: Application filing
- 2011-06-22: D: Search and examination
- 2011-08-03: A: Application filing
- 2012-02-24: D: Search and examination
- 2012-06-21: P: Document modification
- 2012-10-10: D: Search and examination
- 2012-12-27: Q: Document publication
- 2013-02-21: W: Other
- 2013-05-16: E: Pre-grant review request
- 2016-03-25: E: Pre-grant review request
- 2016-03-25: F: IP right grant
- 2016-06-16: P: Document modification

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status event code	Remark
2011-06-22	R000	The application is under preliminary examination	A	A10	-	A-1-2-A10-A00-R000	
2011-06-22	R012	Request for examination effectively filed	D	D10	D11	A-2-2-D10-D11-R012	
2011-08-03	R004	Pre-registration procedure has been concluded	A	-	-	A-0-0-A00-A00-R004	
2012-02-04	R015	Official communication on examination	D	-	D15	A-2-2-D00-D15-R015	"Issue" is limited to communication between the IPO and the applicant/owner as opposed to the public.
2012-06-21	R016	Reply to official communication	P			A-2-2-P00-P00-R016	
2012-10-10	R018	Decision to grant patent by Examining Section/Patent Division	D	-	D22	A-2-2-D00-D22-R018	
2012-12-27	R200	Publication of application (Offenlegungsschrift)	Q	Q10	Q12	A-2-2-Q10-Q12-R200	
2013-02-21	R110	Patent specification	W	-	-	A-2-2-W00-W00-R110	
2013-05-16	R026	Opposition to patent filed	E	E10	E11	A-2-3-E10-E11-R026	
2016-03-25	R032	Patent maintained with limitations by decision of Patent Division	E	-	-	A-3-3-E00-E00-R032	
2016-03-25	R034	Decision to maintain patent with limitations by Patent Division / Federal Patent Court has become final	F	F10	F14	A-3-4-F10-F14-R034	

2016-06-16	R206	Amended patent specification	P	P10	P16	A-4-4-P10-P16-R206	
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Category F: IP right grant

Example 1: IP right granted for utility model

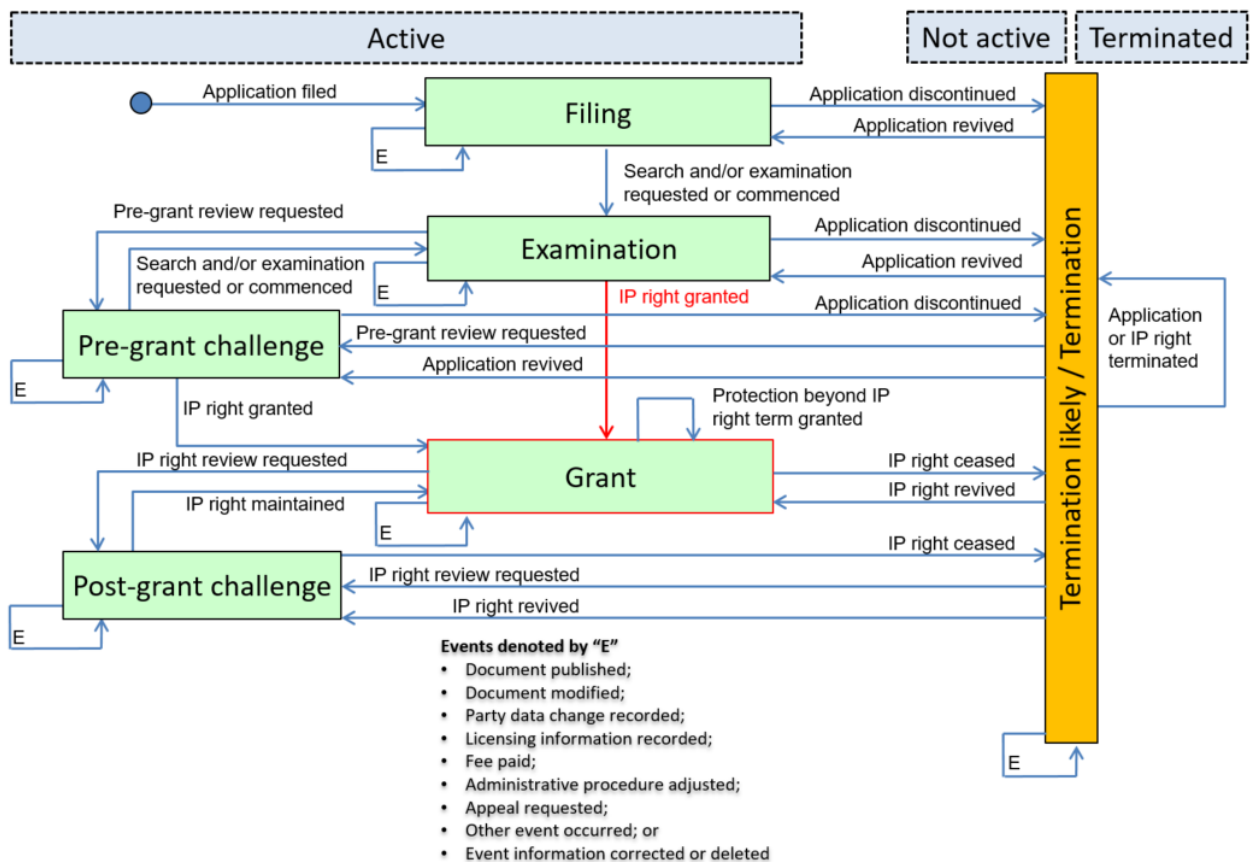
Scenario: An IP right is granted for a utility model.

UA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Utility model

Overall Patent/SPC Prosecution Model:



National Event History:

- 2014-06-23: X000: Grant of a patent for a utility model

Key Event History:

- 2014-06-23: F10: IP right granted

Detailed Event History:

- 2014-06-23: F12: IP right granted following formality examination

Category History:

- 2014-06-23: F: IP right grant

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2014-06-23	X000	Grant of a patent for a utility model	F	F10	F12	A-0-4-F10-F12-X000	UA does not report events before the grant of an IP right.

Category G: Protection beyond IP right term

Example 1: Patent Term Adjustment granted after grant of patent

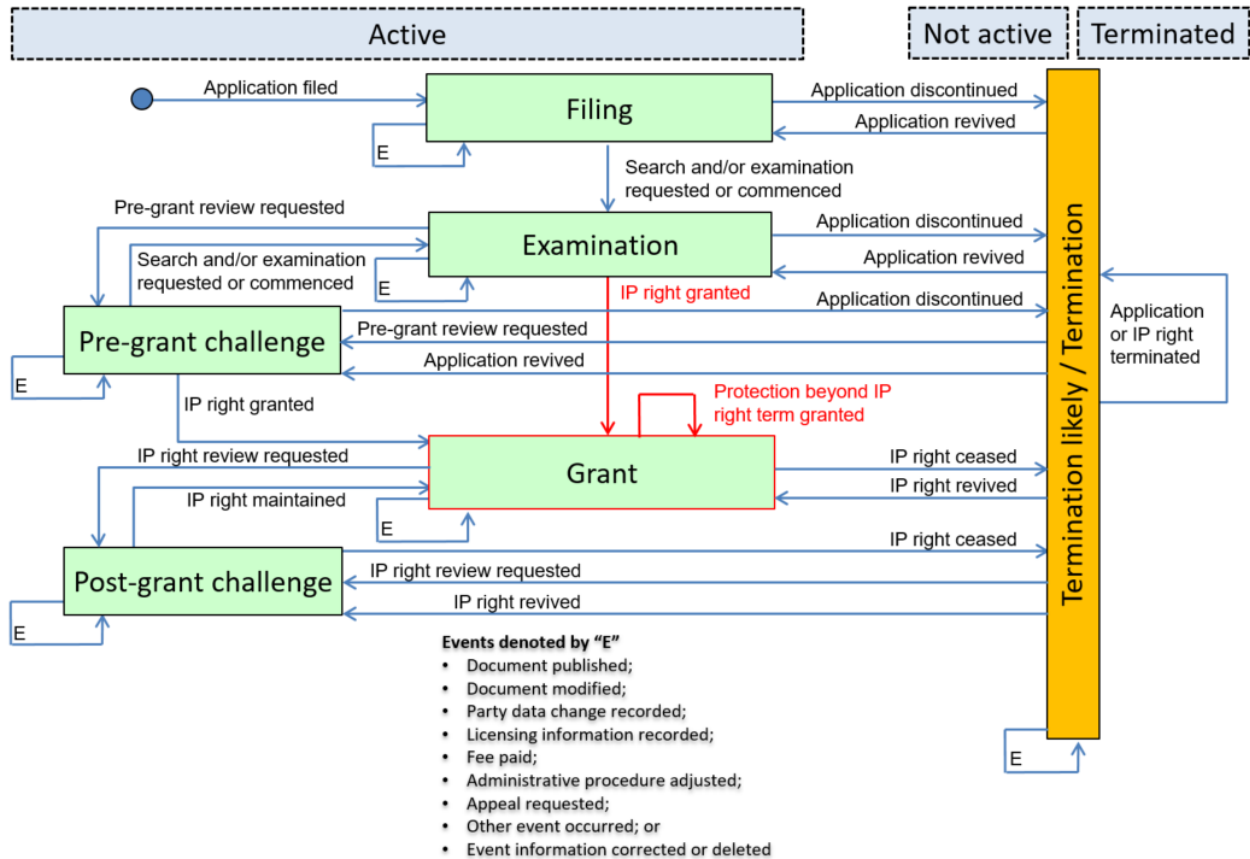
Scenario: Due to a delay in the prosecution of the patent application caused by the IPO an adjustment to the patent term is granted to extend the patent term beyond the initial 20 years. The adjustment is granted after the patent was granted.

US Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2016-04-28: Patent Issue Date: Patent Issue Date
- 2016-08-21: Petition 551 filed: Patent Term Adjustment petition entered
- 2017-01-14: Petition 551 granted: Patent Term Adjustment petition granted

Key Event History:

- 2016-04-28: F10: IP right granted
- 2017-01-14: G10: Protection beyond IP right term granted

Detailed Event History:

- 2016-08-21: G15: PTA requested
- 2017-01-14: G17: PTA granted

Category History:

- 2016-04-28: F: IP right grant
- 2016-08-21: G: Protection beyond IP right term
- 2017-01-14: G: Protection beyond IP right term

Mapping Summary:

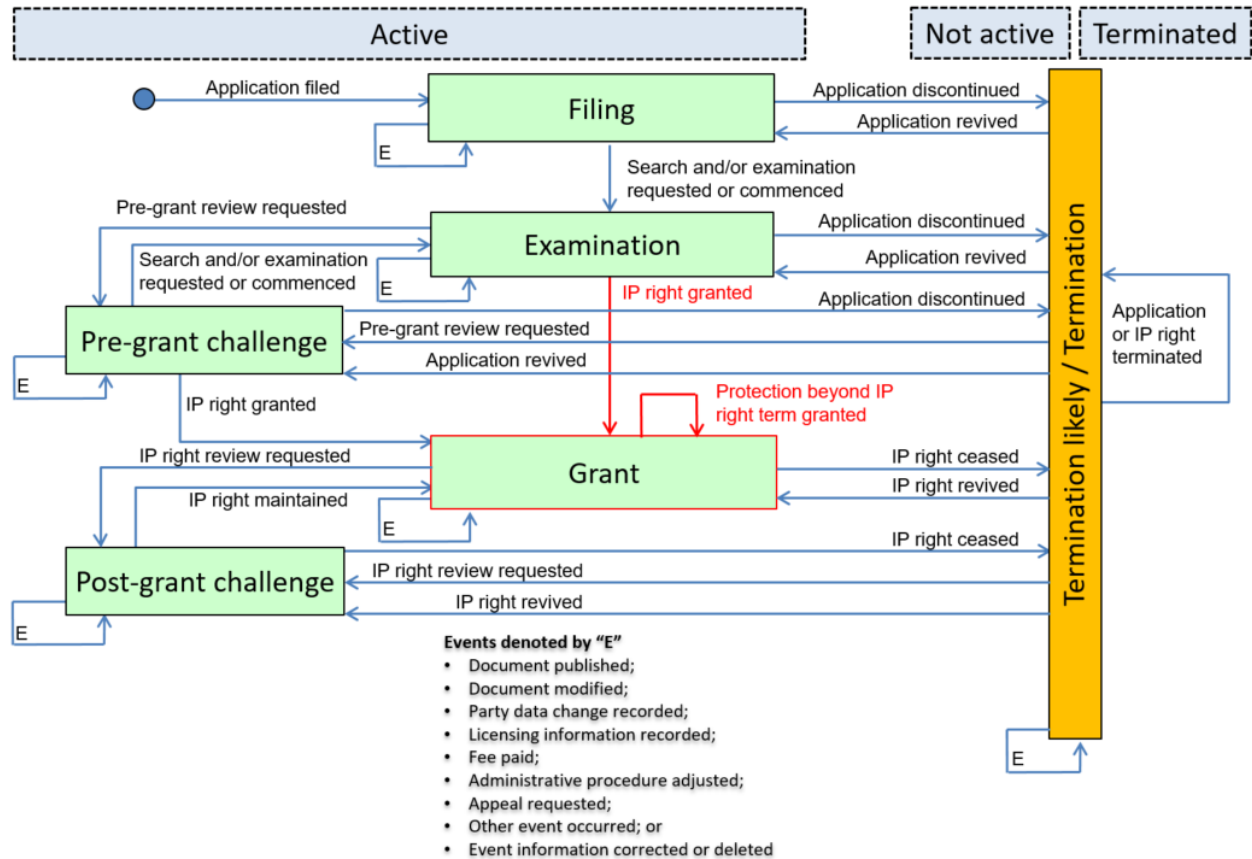
Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2016-04-28	Patent Issue Date	Patent Issue Date	F	F10	-	A-0-4-F10-F00-Patent Issue Date	
2016-08-21	Petition 551 filed	Patent Term Adjustment petition entered	G	-	G15	A-4-4-G00-G15-Petition 551 filed	
2017-01-14	Petition 551 granted	Patent Term Adjustment petition granted	G	G10	G17	A-4-4-G10-G17-Petition 551 granted	

KR Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2009-10-16: PR0702: Registration of Establishment of National Patent
- 2010-02-25: PA0102: Application to Register Extension of Term of Patent Right Following Delayed Registration
- 2010-04-15: PE0703: Decision to Register Extension of Term of Patent Right Following Delayed Registration
- 2010-04-30: PR1102: Extension of Term of Patent Right Following Delayed Registration

Key Event History:

- 2009-10-16: F10: IP right granted
- 2010-04-30: G10: Protection beyond IP right term granted

Detailed Event History:

- 2010-02-25: G15: PTA requested
- 2010-04-30: G17: PTA granted

Category History:

- 2009-10-16: F: IP right grant
- 2010-02-25: G: Protection beyond IP right term
- 2010-04-15: G: Protection beyond IP right term
- 2010-04-30: G: Protection beyond IP right term

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2009-10-16	PR0702	Registration of Establishment of National Patent	F	F10	-	A-0-4-F10-F00- PR0702	
2010-02-25	PA0102	Application to Register Extension of Term of Patent Right Following Delayed Registration	G	-	G15	A-4-4-G00-G15-PA0102	
2010-04-15	PE0703	Decision to Register Extension of Term of Patent Right Following Delayed Registration	G	-	-	A-4-4-G00-G15-PE0703	
2010-04-30	PR1102	Extension of Term of Patent Right Following Delayed Registration	G	G10	G17	A-4-4-G10-G17-PR1102	

Example 2: Extension of Supplementary Protection Certificate granted

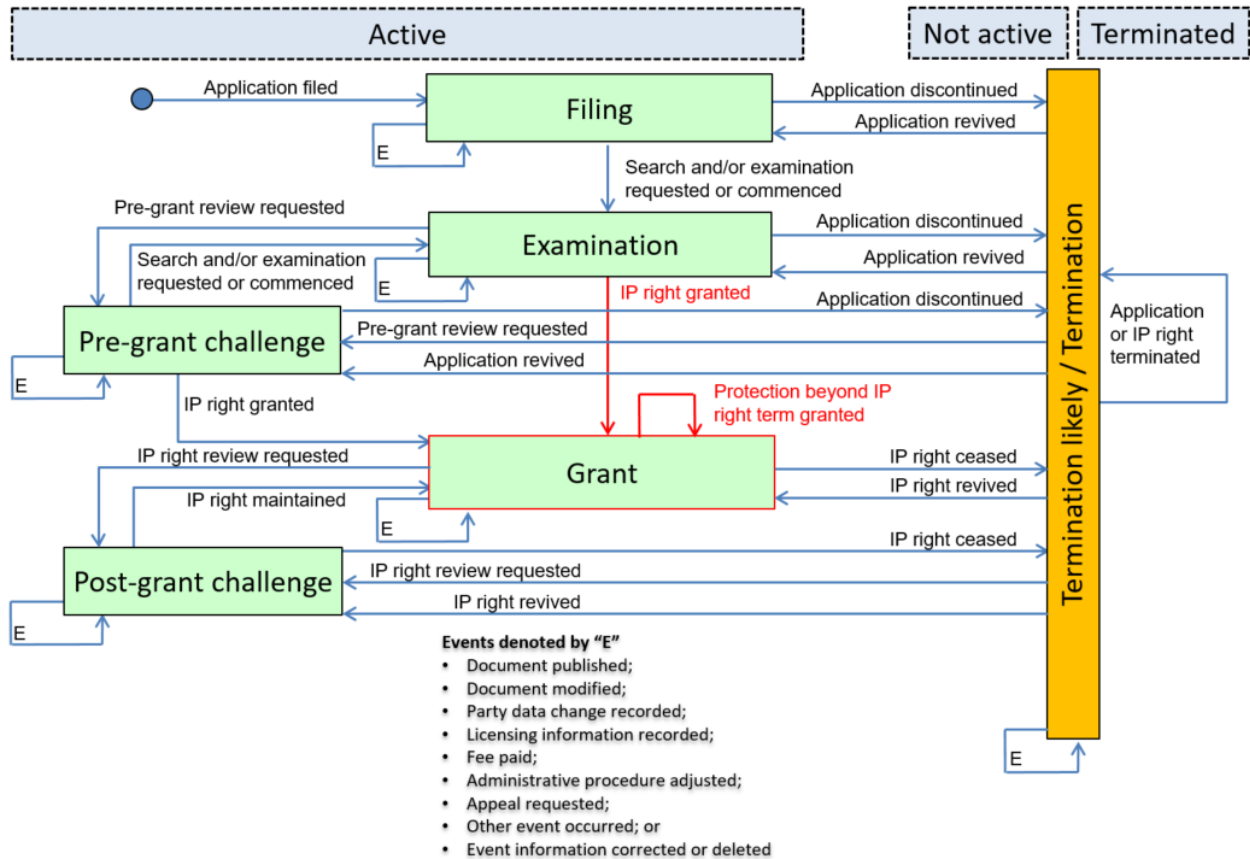
Scenario: An extension of a Supplementary Protection Certificate was granted.

GB Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Supplementary Protection Certificate

Overall Patent/SPC Prosecution Model:



National Event History:

- 2007-06-23: X000: Application SPC/GB###/### for a Supplementary Protection Certificate in respect of “...” was granted on ###/###/##### with a maximum expiry date of ###/###/#####
- 2015-07-28: X000: Application SPC/GB###/### for a (Paediatric) Extension of a supplementary protection certificate in respect of “...” was filed on ###/###/##### (+ variations)
- 2016-01-02: X000: Application SPC/GB###/### for a Paediatric Extension of a Supplementary Protection Certificate in respect of “...” was granted on ###/###/##### with a maximum period expiring on ###/###/#####

Key Event History:

- 2007-06-23: F10: IP right granted
- 2016-01-02: G10: Protection beyond IP right term granted

Detailed Event History:

- 2007-06-23: F12: IP right granted following formality examination
- 2015-07-28: G11: Extension of SPC term requested
- 2016-01-02: G13: Extension of SPC term granted

Category History:

- 2007-06-23: F: IP right grant
- 2015-07-28: G: Protection beyond IP right term
- 2016-01-02: G: Protection beyond IP right term

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2007-06-23	X000	Application SPC/GB###/### for a Supplementary Protection Certificate in respect of “...” was granted on ###/###/#### with a maximum expiry date of ###/###/####	F	F10	F12	A-0-4-F10-F12- X000	
2015-07-28	X000	Application SPC/GB###/### for a (Paediatric) Extension of a supplementary protection certificate in respect of “...” was filed on ###/###/#### (+ variations)	G	-	G11	A-4-4-G00-G11- X000	
2016-01-02	X000	Application SPC/GB###/### for a Paediatric Extension of a Supplementary Protection Certificate in respect of “...” was granted on ###/###/#### with a maximum period expiring on ###/###/####	G	G10	G13	A-4-4-G10-G13- X000	

Category H: IP Right Cessation

Example 1: Patent granted and surrendered

Scenario: Examination was requested at the point of filing. The application was published and after communication between applicant and IP office the patent was granted. Patent was surrendered after one or two years.

Remark: This scenario describes an ordinary sequence of events during the live cycle of a patent. It is a basic scenario, which should happen several times a year in each IP office.

DE Example

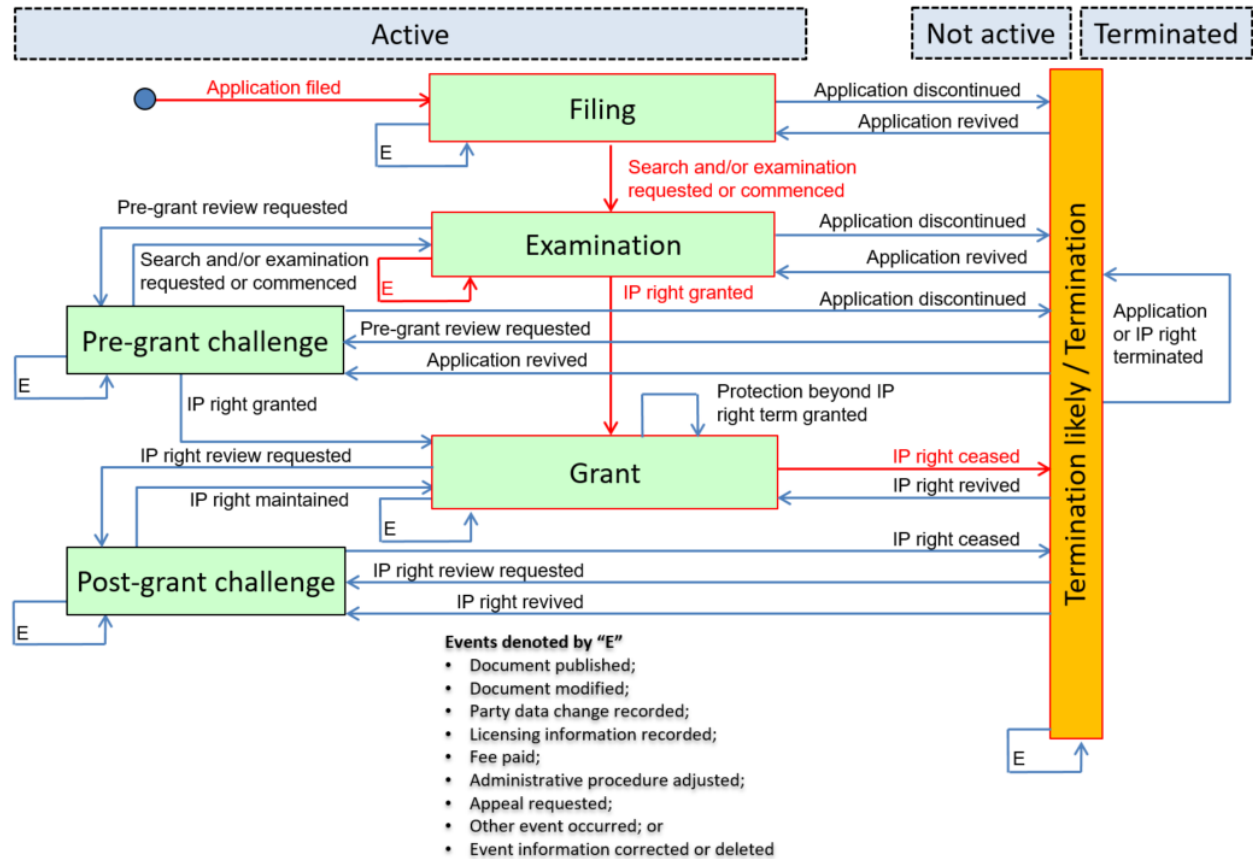
Basic Information:

- File Creation date: 2017-07-14
- Application number: 10 2012 001 472.4
- Type of IP right: National patent

Link to national Patent register:

<https://register.dpma.de/DPMAreger/pat/register?lang=en&AKZ=1020120014724&CURSOR=0>

Overall Patent/SPC Prosecution Model:



National Event History:

- 2012-01-26: R000: The application is under preliminary examination
- 2012-01-26: R012: Request for examination effectively filed
- 2012-02-06: R004: Pre-registration procedure has been concluded
- 2012-07-11: R015: Official communication on examination
- 2012-10-12: R016: Reply to official communication
- 2013-01-08: R200: Publication of application (Offenlegungsschrift)
- 2015-02-12: R015: Official communication on examination
- 2015-03-13: R016: Reply to official communication
- 2015-04-01: R018: Decision to grant patent by Examining Section/Patent Division
- 2015-07-16: R110: Patent specification
- 2016-04-19: R020: Grant of patent has become final
- 2017-03-11: R120: Application withdrawn/ IP right surrendered

Key Event History:

- 2012-01-26: A10: Application filed
- 2012-01-26: D10: Search and/or examination requested or commenced
- 2013-08-01: Q10: Document published
- 2016-04-19: F10: IP right granted
- 2017-03-11: H10: IP right ceased

Detailed Event History:

- 2012-01-26: D11: Substantive examination requested
- 2012-07-11: D15: Examination report completed
- 2013.08.01: Q12: Application published
- 2015-02-12: D15: Examination report completed
- 2015-04-01: D22: Grant of IP right intended
- 2017-03-11: H15: IP right surrendered

Category History:

- 2011-01-26: A: Application filing
- 2012-01-26: D: Search and examination
- 2012-02-06: A: Application filing
- 2012-07-11: D: Search and examination
- 2012-10-12: P: Document modification
- 2013-08-01: Q: Document publication
- 2015-02-12: D: Search and examination
- 2015-03-13: P: Document modification
- 2015-04-01: D: Search and examination
- 2015-07-16: W: Other
- 2016-04-19: F: IP right grant
- 2017-03-11: H: IP right cessation

Mapping Summary:

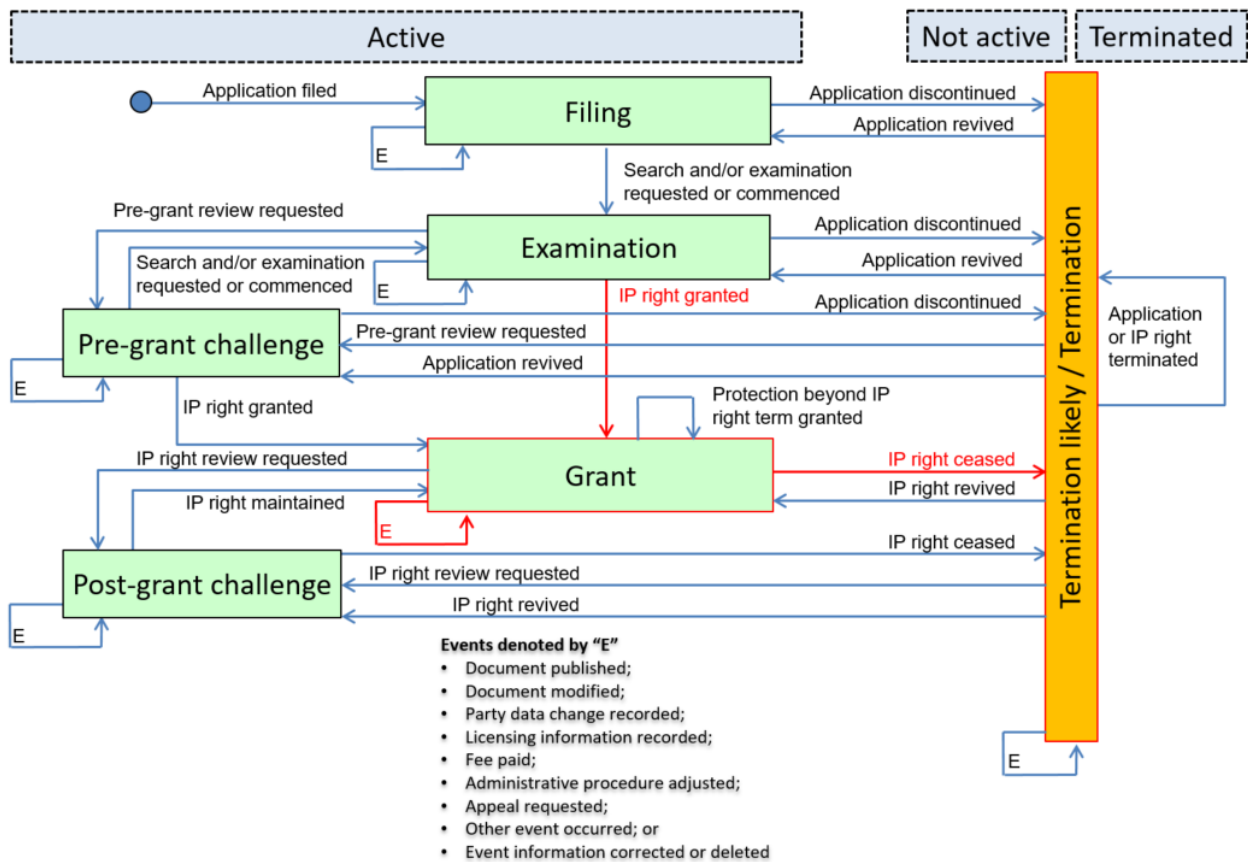
Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2012-01-26	R000	The application is under preliminary examination	A	A10	-	A-1-2-A10-A00-R000	
2012-01-26	R012	Request for examination effectively filed	D	D10	D11	A-2-2-D10-D11-R012	
2012-02-06	R004	Pre-registration procedure has been concluded	A	-	-	A-0-0-A00-A00-R004	
2012-07-11	R015	Official communication on examination	D	-	D15	A-2-2-D00-D15-R015	"Issue" is limited to communication between the IPO and the applicant/owner as opposed to the public.
2012-10-12	R016	Reply to official communication	P	-	-	A-2-2-P00-P00-R016	
2013-08-01	R200	Publication of application (Offenlegungsschrift)	Q	Q10	Q12	A-2-2-Q10-Q12-R200	
2015-02-12	R015	Official communication on examination	D	-	D15	A-2-2-D00-D15-R015	"Issue" is limited to communication between the IPO and the applicant/owner as opposed to the public.
2015-03-13	R016	Reply to official communication	P	-	-	A-2-2-P00-P00-R016	
2015-04-01	R018	Decision to grant patent by Examining Section/Patent Division	D	-	D22	A-2-2-D00-D22-R018	
2015-07-16	R110	Patent specification	W	-	-	A-2-2-W00-W00-R110	
2016-04-19	R020	Grant of patent has become final	F	F10	-	A-2-4-F10-F00-R020	
2017-03-11	R120	Application withdrawn/ IP right surrendered	H	H10	H15	A-4-6-H10-H15-R120	

EA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2007-02-03: FG4A: Eurasian patent for invention (B1 publication)
- 2007-02-03: FG4A: Eurasian patent for invention (B1 publication)
- 2013-09-11: MA4A: Revocation of a Eurasian patent at the proprietor's request filed with EAPO

Key Event History:

- 2007-02-03: F10: IP right granted
- 2007-02-03: Q10: Document published
- 2013-09-11: H10: IP right ceased

Detailed Event History:

- 2007-02-03: F12: IP right granted following formality examination
- 2007-02-03: Q13: IP right document published
- 2013-09-11: H15: IP right surrendered

Category History:

- 2007-02-03: F: IP right grant
- 2007-02-03: Q: Document publication
- 2013-09-11: H: IP right cessation

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2007-02-03	FG4A	Eurasian patent for invention (B1 publication)	F	F10	F12	A-2-4-F10-F12-FG4A	The regional event, FG4A simultaneously maps to two key/detailed events.
2007-02-03	FG4A	Eurasian patent for invention (B1 publication)	Q	Q10	Q13	A-4-4-Q10-Q13-NG4A	
2013-09-11	MA4A	Revocation of a Eurasian patent at the proprietor's request filed with EAPO	H	H10	H15	N-4-6-H10-H15-MA4A	

Category K: IP right revival

Example 1: Lapsed patent is revived

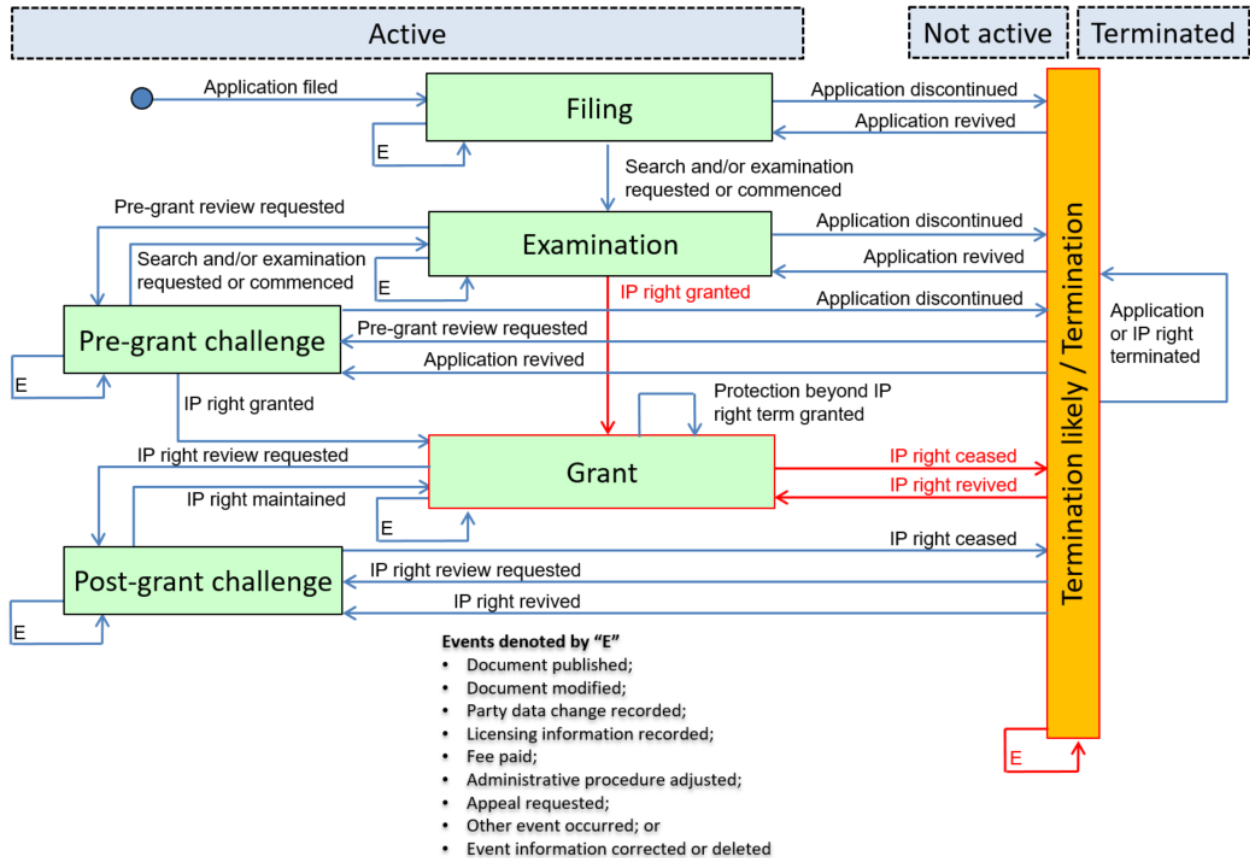
Scenario: A patent lapses due to non-payment of maintenance fees. The patent owner pays the maintenance fee and requests the revival of the lapsed patent. The IPO revives the patent.

CA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2010-01-18: X000: Grant
- 2011-07-18: X000: Lapsed date/log, Appl maint dead - fee not paid
- 2011-07-18: X000: Lapsed (not dead)
- 2011-08-02: X000: Maintenance fees
- 2011-08-02: X000: Request for reversal of lapsed
- 2011-08-14: X000: Lapsed Reversal

Key Event History:

- 2010-01-18: F10: IP right granted
- 2011-07-18: H10: IP right ceased
- 2011-08-02: U10: Fee paid
- 2011-08-14: K10: IP right revived

Detailed Event History:

- 2010-01-18: F11: IP right granted following substantive examination
- 2011-07-18: U13: Renewal or maintenance fee not paid
- 2011-07-18: H13: IP right lapsed
- 2011-08-02: U11: Renewal or maintenance fee paid
- 2011-08-02: K11: IP right revival requested
- 2011-08-14: K13: IP right revived in full

Category History:

- 2010-01-18: F: IP right grant
- 2011-07-18: U: Payment
- 2011-07-18: H: IP right cessation
- 2011-08-02: U: Payment
- 2011-08-02: K: IP right revival
- 2011-08-14: K: IP right revival

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2010-01-18	X000	Grant	F	F10	F11	A-0-4-F10-F11- X000	
2011-07-18	X000	Lapsed date/log, Appl maint dead - fee not paid	U	-	U13	A-4-4-U00-U13- X000	
2011-07-18	X000	Lapsed (not dead)	H	H10	H13	N-4-6-H10-H13- X000	
2011-08-02	X000	Maintenance fees	U	U10	U11	N-6-6-U10-U11- X000	
2011-08-02	X000	Request for reversal of lapsed	K	-	K11	N-6-6-K00-K11- X000	
2011-08-14	X000	Lapsed Reversal	K	K10	K13	A-6-4-K10-K13- X000	

Category L: IP right review requested

Example 1: IP right review and patent revoked

Scenario: One month after filing of a patent, the examination was requested. The patent was granted without any objection. 4 years after the grant of the patent has become final, an IP right review was requested by a third party. The case was discussed at the associated authority and it was decided to revoke the patent completely.

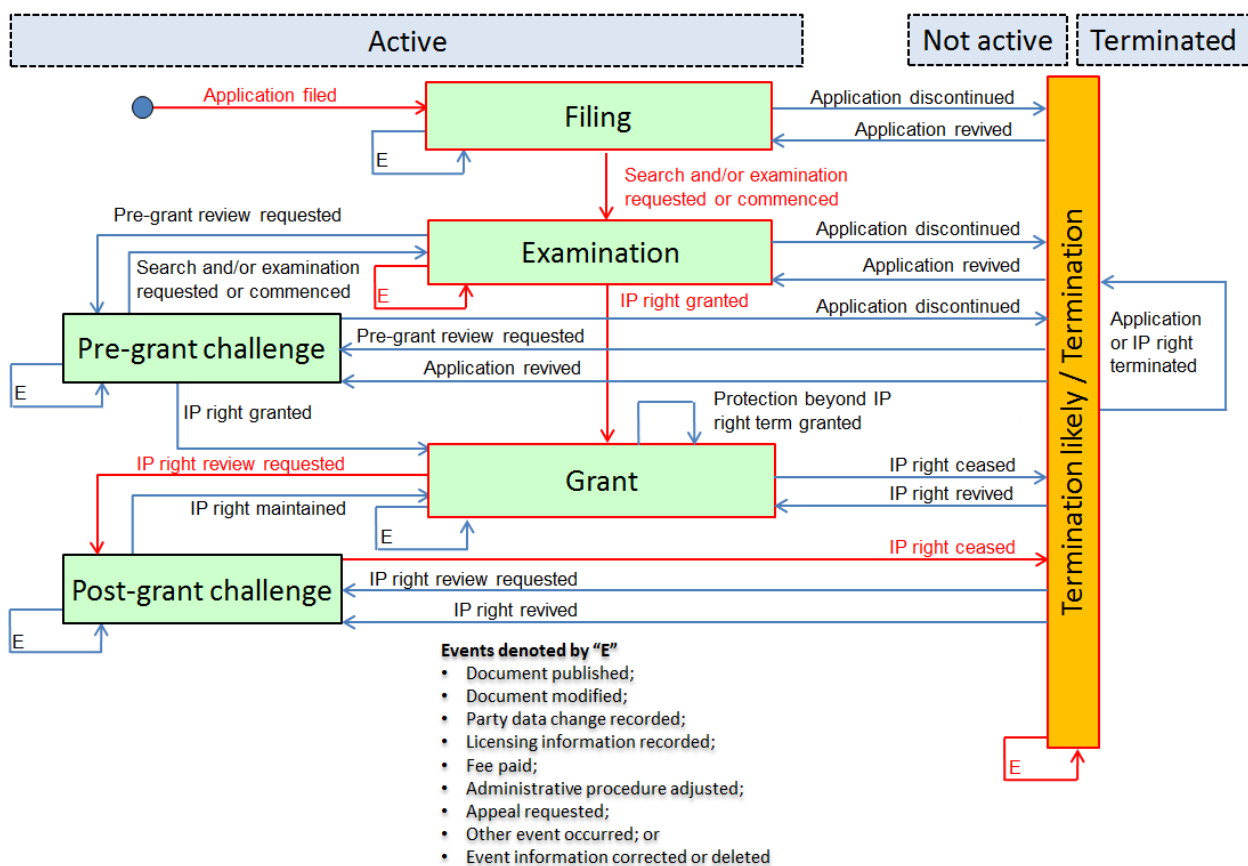
DE Example

Basic Information:

- File Creation date: 2017-07-14
- Application number: 10 2005 011 790.2
- Type of IP right: National patent

Link to national Patent register: <https://register.dpma.de/DPMAregister/pat/register?AKZ=1020050117902>

Overall Patent/SPC Prosecution Model:



National Event History:

- 2005-03-11: R000: The application is under preliminary examination
- 2005-04-08: R012: Request for examination effectively filed
- 2005-05-12: R004: Pre-registration procedure has been concluded
- 2005-10-17: R079: Change of IPC main class
- 2006-03-20: R015: Official communication on examination
- 2006-07-26: R018: Decision to grant patent by Examining Section/Patent Division
- 2006-11-23: R110: Patent specification
- 2007-02-23: R020: Grant of patent has become final

- 2011-07-19: R039: Action brought for declaration of nullity
- 2011-07-19: R008: Case file pending with Federal Patent Court
- 2015-08-11: R042: Final declaration of nullity of patent in full
- 2015-12-24: R078: Other <with further information such as lien, etc>

Key Event History:

- 2005-03-11: A10: Application filed
- 2005-04-08: D10: Search and/or examination requested or commenced
- 2005-10-17: P10: Document modified
- 2007-02-23: F10: IP right granted
- 2011-07-19: L10: IP right review requested
- 2015-08-11: H10: IP right ceased
- 2015-12-24: W10: Other event occurred

Detailed Event History:

- 2005-04-08: D11: Substantive examination requested
- 2005-10-17: P22: Classification modified
- 2006-03-20: D15: Examination report completed
- 2006—7-26: D22: Grant of IP right intended
- 2011-07-19: L15: Invalidation requested
- 2015-08-11: H12: IP right ceased following an IP right review

Category History:

- 2005-03-11: A: Application filing
- 2005-04-08: D: Search and examination
- 2005-05-12: A: Application filing
- 2005-10-17: P: Document modification
- 2006-03-20: D: Search and examination
- 2006-07-26: D: Search and examination
- 2006-11-23: W: Other
- 2007-02-23: F: IP right grant
- 2011-07-19: L: IP right review requested
- 2011-07-19: V: Other
- 2015-08-11: H: IP right cessation
- 2015-12-24: W: Other

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2005-03-11	R000	The application is under preliminary examination	A	A10	-	A-1-2-A10-A00-R000	
2005-04-08	R012	Request for examination effectively filed	D	D10	D11	A-2-2-D10-D11-R012	
2005-05-12	R004	Pre-registration procedure has been concluded	A	-	-	A-0-0-A00-A00-R004	
2005-10-17	R079	Change of IPC main class	P	P10	P22	A-2-2-P10-P22-R079	
2006-03-20	R015	Official communication on examination	D	-	D15	A-2-2-D00-D15-R015	"Issue" is limited to communication between the IPO and the applicant/owner as opposed to the public.
2006-07-26	R018	Decision to grant patent by Examining Section/Patent Division	D	-	D22	A-2-2-D00-D22-R018	
2006-11-23	R110	Patent specification	W	-	-	A-2-2-W00-W00-R110	
2007-02-23	R020	Grant of patent has become final	F	F10	-	A-2-4-F10-F00-R020	
2011-07-19	R039	Action brought for declaration of nullity	L	L10	L15	A-4-5-L10-L15-R039	
2011-07-19	R008	Case file pending with Federal Patent Court	V	-	-	A-5-5-V00-V00-R008	
2015-08-11	R042	Final declaration of nullity of patent in full	H	H10	H12	A-5-6-H10-H12-R042	

2015-12-24	R078	Other <with further information such as lien, etc>	W	W10	-	A-0-0-W10-W00-R078	
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Category M: IP right maintenance

Example 1: IP right maintained following administrative decision resulting in partial revocation

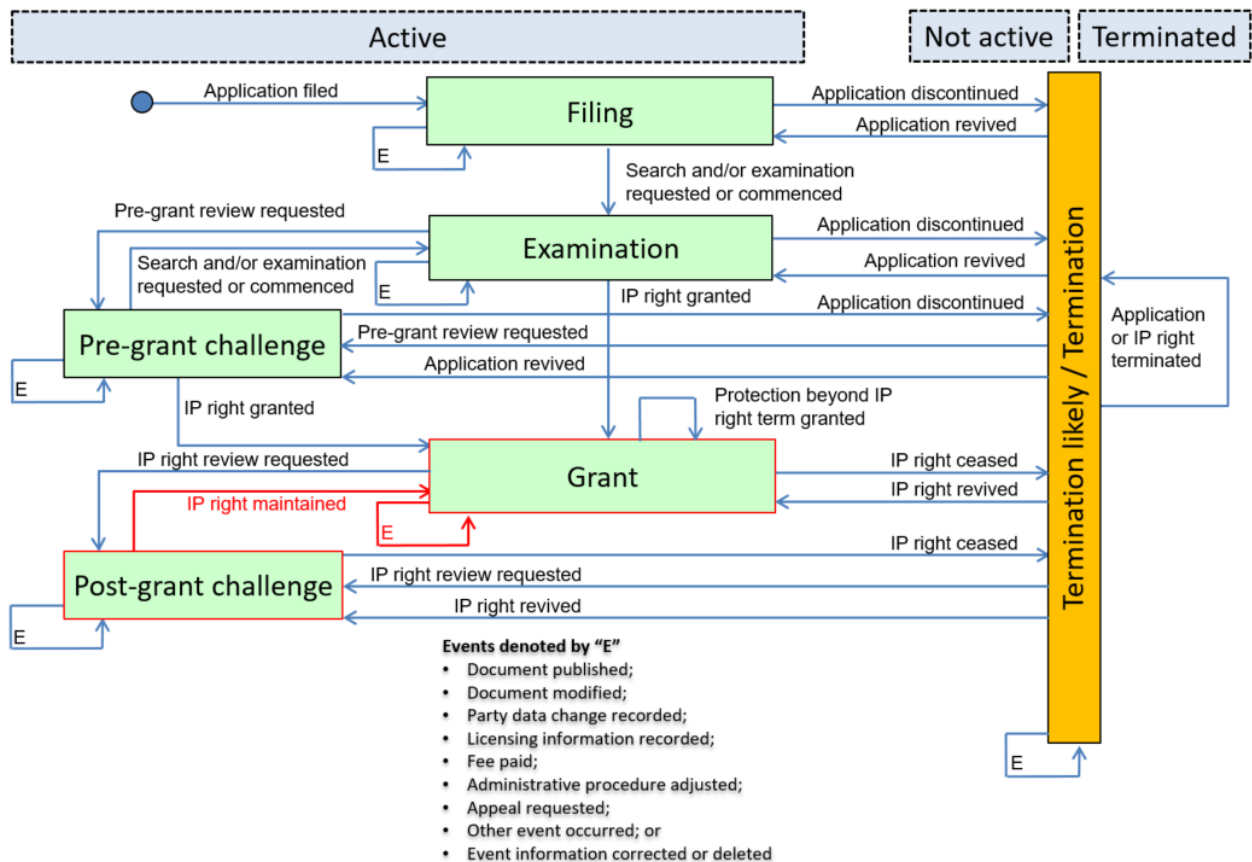
Scenario: Following the grant of an IP right, a third party requested an IP right review. Following the IP right review, the IP right was maintained in part and the amended IP document was published.

EA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2009-10-11: LC4A: Eurasian patent for invention for which administrative decision of partial revocation was made (+ B2 publication)

Key Event History:

- 2009-10-11: M10: IP right maintained
- 2009-10-11: Q10: Document published

Detailed Event History:

- 2009-10-11: M12: IP right maintained in amended form following an IP right review or an appeal
- 2009-10-11: Q17: Amended document published

Category History:

- 2009-10-11: M: IP right maintenance
- 2009-10-11: Q: Document publication

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2009-10-11	LC4A:	Eurasian patent for invention for which administrative decision of partial revocation was made (+ B2 publication)	M	M10	M12	A-5-4-M10-M12-LC4A	Regional event, LC4A, simultaneously maps to two key/detailed events.
2009-10-11	LC4A:	Eurasian patent for invention for which administrative decision of partial revocation was made (+ B2 publication)	Q	Q10	Q17	A-4-4-Q10-Q17-LC4A	Q17: Amended document published is more appropriate than Q13: IP right document published, because the focus of regional event LC4A to document publication, is the amendment of a published document.

Remark: The administrative procedure, LC4A, affects all EAPO member states.

Category N: Termination

Example 1: Lapsed patent is terminated with no possibility of revival

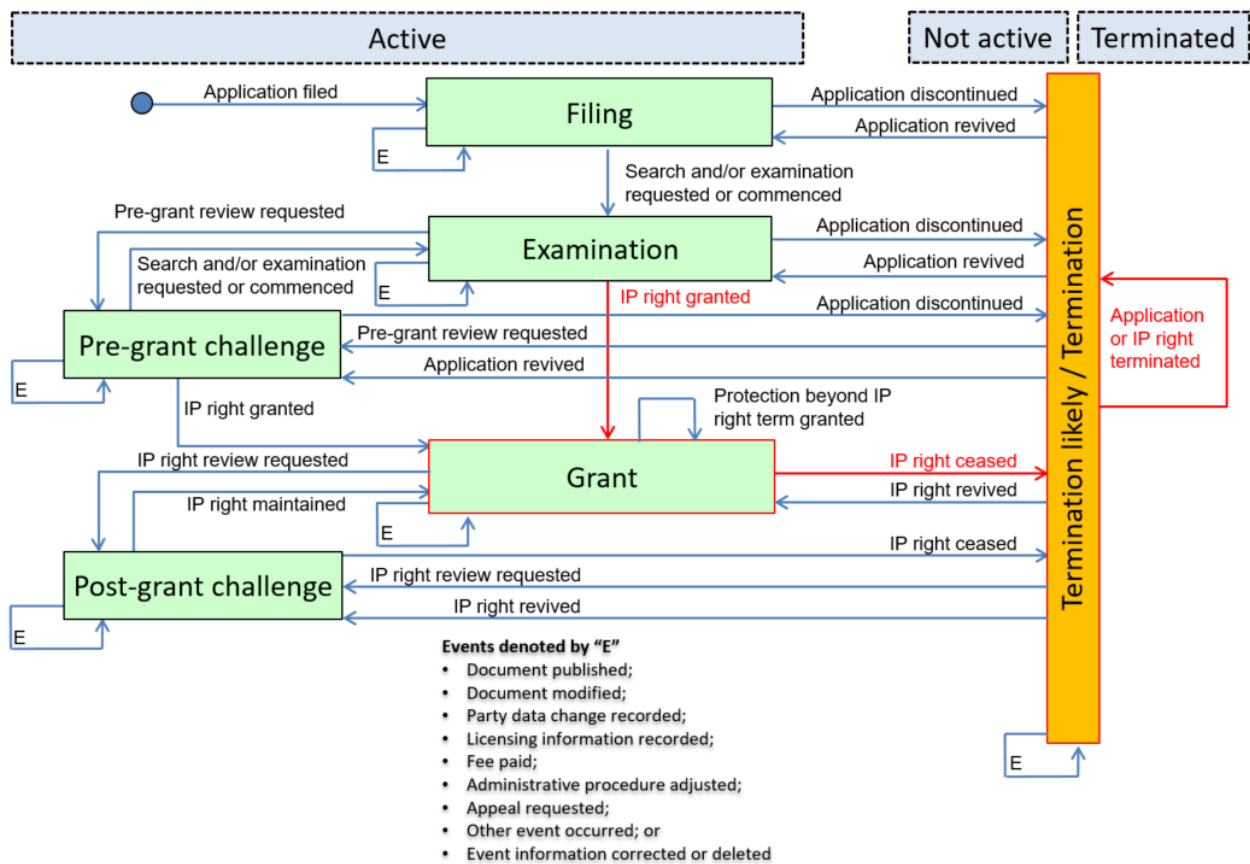
Scenario: A patent lapses due to non-payment of maintenance fees. The patent owner does not pay the maintenance fee or request revival in the allowable grace period. The IPO terminates the IP right with no possibility of revival.

CA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2002-04-11: X000: Grant
- 2010-04-11: X000: Lapsed date/log, Appl maint dead - fee not paid
- 2010-10-11: X000: Lapsed (not dead)
- 2011-04-11: X000: Lapsed, and expired

Key Event History:

- 2002-04-11: F10: IP right granted
- 2010-10-11: H10: IP right ceased
- 2011-04-11: N10: Application or IP right terminated

Detailed Event History:

- 2002-04-11: F11: IP right granted following substantive examination
- 2010-04-11: U13: Renewal or maintenance fee not paid
- 2010-10-11: H13: IP right lapsed
- 2011-04-11: N12: IP right terminated

Category History:

- 2002-04-11: F: IP right grant
- 2010-04-11: U: Payment
- 2010-10-11: H: IP right cessation
- 2011-04-11: N: Termination

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2002-04-11	X000	Grant	F	F10	F11	A-0-4-F10-F11- X000	
2010-04-11	X000	Lapsed date/log, Appl maint dead - fee not paid	U	-	U13	A-4-4-U00-U13- X000	
2010-10-11	X000	Lapsed (not dead)	H	H10	H13	N-4-6-H10-H13- X000	The IP right can still be revived if the missed maintenance fee is paid and the reinstatement is requested by the patent owner.
2011-04-11	X000	Lapsed, and expired	N	N10	N12	T-6-6-N10-N12-X000	

Category P: Document modification

Example 1: Errors in application are corrected and re-published

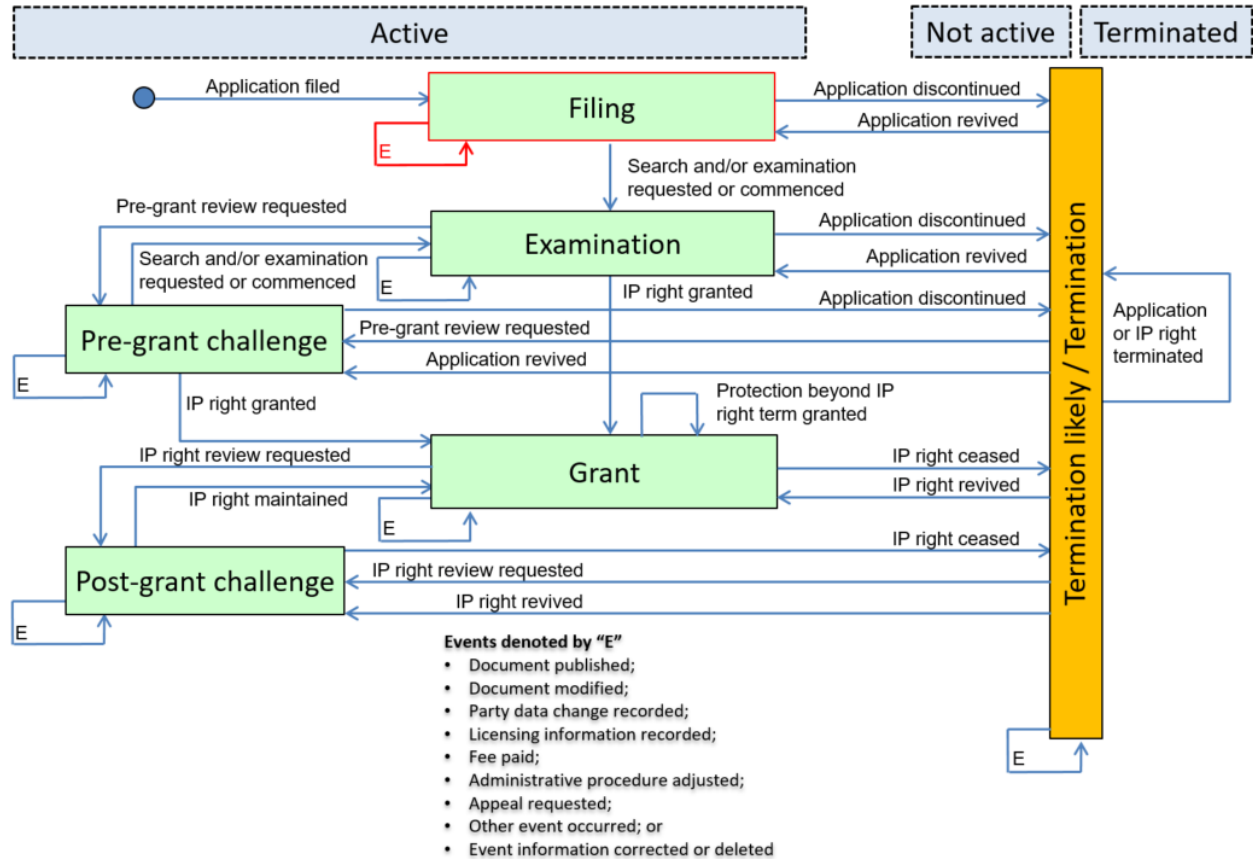
Scenario: Errors made by an IPO during the publication of the application are corrected and the application is re-published.

EA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2015-05-06: HH9A: Reprint of the description of invention in a Eurasian patent application (list of corrections applied, A9 publication)
- 2015-05-06: HH9A: Reprint of the description of invention in a Eurasian patent application (list of corrections applied, A9 publication)

Key Event History:

- 2015-05-06: P10: Document modified
- 2015-05-06: Q10: Document published

Detailed Event History:

- 2015-05-06: P21: Errors in published documents corrected
- 2015-05-06: Q17: Modified document published

Category History:

- 2015-05-06: P: Document modification
- 2015-05-06: Q: Document publication

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2015-05-06	HH9A	Reprint of the description of invention in a Eurasian patent application (list of corrections applied, A9 publication)	P	P10	P21	A-1-1-P10-P21-HH9A	This event covers both document modification (errors and correction) and republication; therefore it simultaneously maps to two key/detailed events. It includes correction of both applicants' errors and errors introduced by the EAPO at the publication stage.
2015-05-06	HH9A	Reprint of the description of invention in a Eurasian patent application (list of corrections applied, A9 publication)	Q	Q10	Q17	A-1-1-Q10-Q17-HH9A	

Category Q: Document publication

Example 1: Amended application published

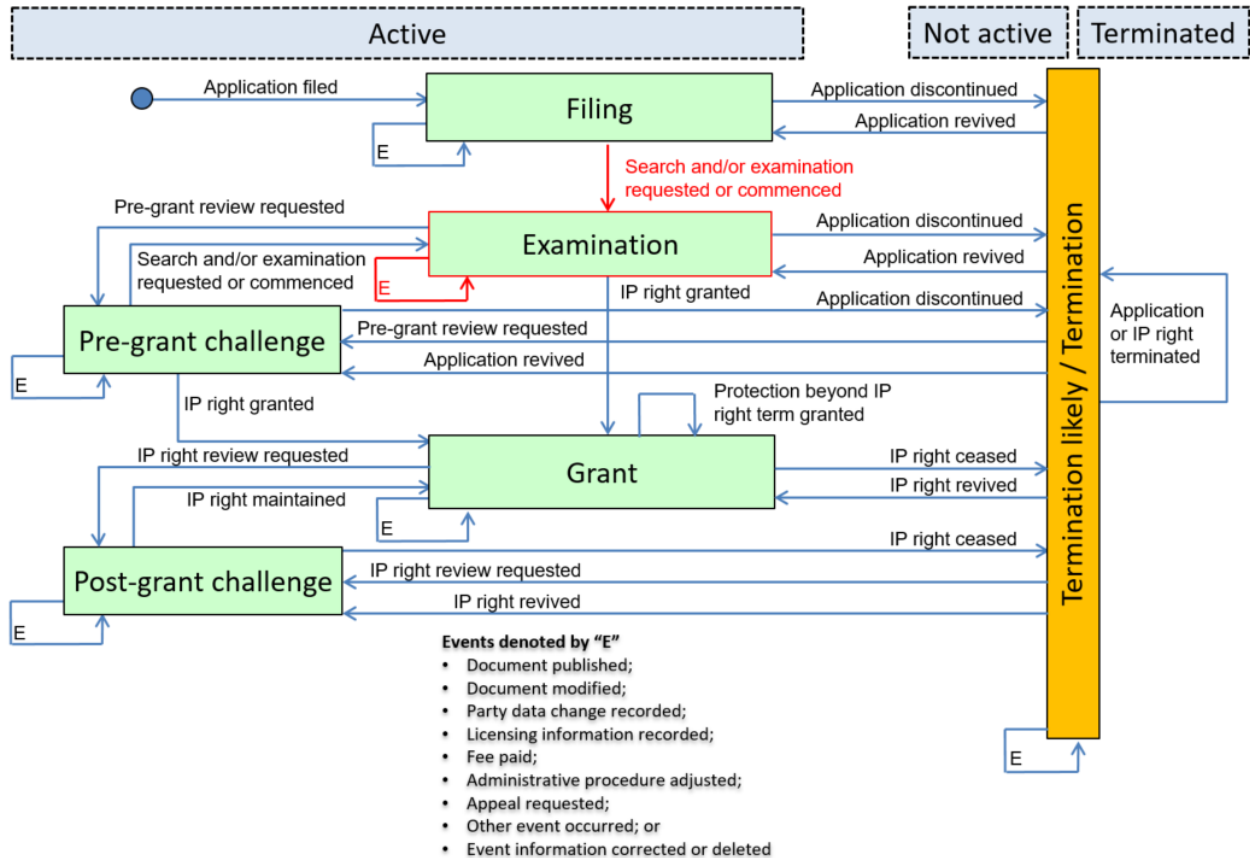
Scenario: Subsequent to the issuance of the first examination report the application is republished with corrections.

EP Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent application

Overall Patent/SPC Prosecution Model:



National Event History:

- 2009-10-14: 17P: Request for examination filed
- 2010-03-18: 17Q: First examination report
- 2010-07-15: K1C3: Correction of patent application (complete reprint) published

Key Event History:

- 2009-10-14: D10: Search and/or examination requested or commenced
- 2010-07-15: Q10: Document published

Detailed Event History:

- 2009-10-14: D11: Substantive examination requested
- 2010-03-18: D15: Examination report completed
- 2010-07-15: Q17: Modified document published

Category History:

- 2009-10-14: D: Search and examination
- 2010-03-18: D: Search and examination
- 2010-07-15: Q: Document publication

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2009-10-14	17P	Request for examination filed	D	D10	D11	A-0-2-D10-D11-17P	
2010-03-18	17Q	First examination report	D	-	D15	A-2-2-D00-D15-17Q	"Issue" is limited to communication between the IPO and the applicant/owner as opposed to the public.
2010-07-15	K1C3	Correction of patent application (complete reprint) published	Q	Q10	Q17	A-1-1-Q10-F11-K1C3	Regional event, K1C3 corresponds to the republication of a modified document, but does not cover the actual modification and is therefore only mapped to category Q.

Example 2: Application laid open for public inspection

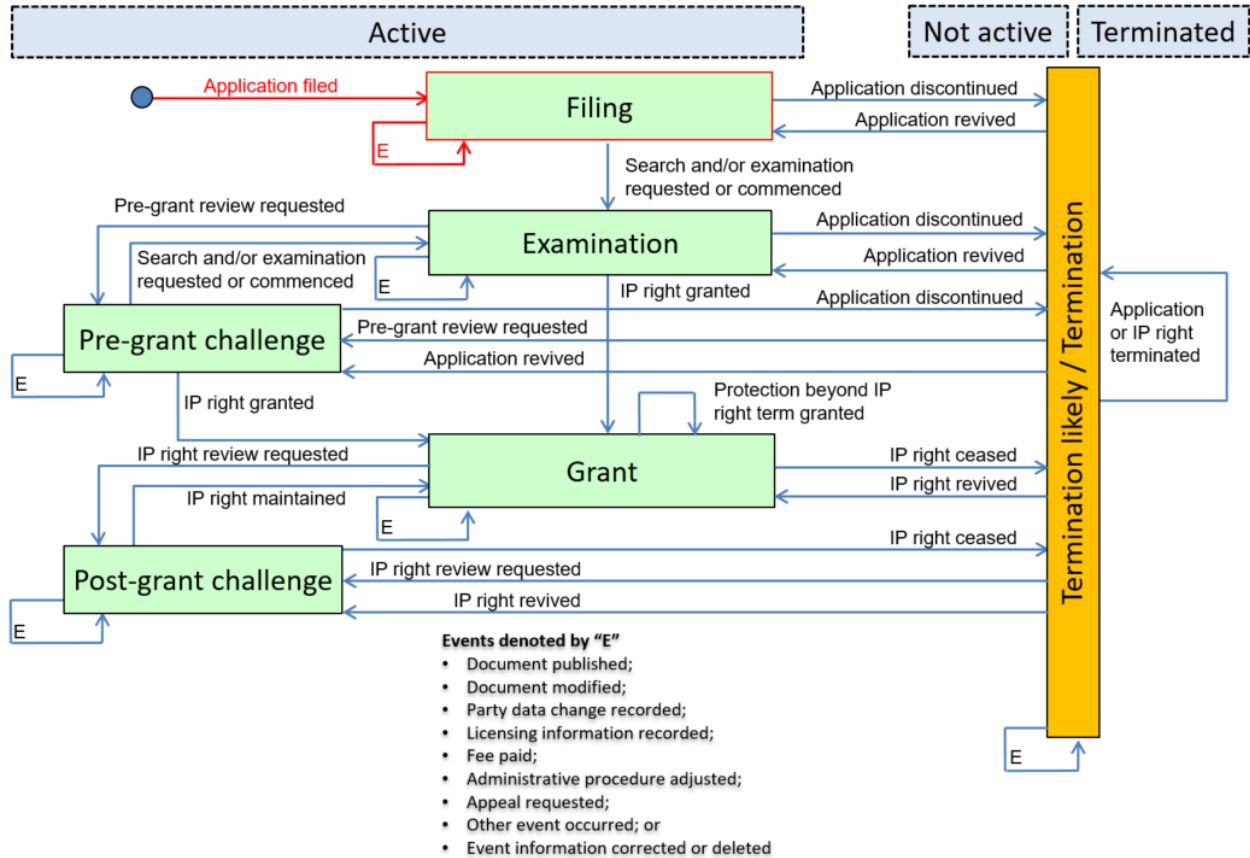
Scenario: An application was laid open for public inspection after the expiration of an eighteen-month confidentiality period starting on the filing date.

CA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2007-04-03: X000: International filing into Interap system
- 2007-08-11: X000: PCT national entry applications
- 2007-09-23: X000: Open to Public Inspection (OPI)

Key Event History:

- 2007-04-03: A10: Application filed
- 2007-08-11: A10: Application filed
- 2007-09-23: Q10: Document published

Detailed Event History:

- 2007-04-03: A13: PCT application filed
- 2007-08-11: A15: PCT application entered into the national or regional phase
- 2007-09-23: Q12: Application published

Category History:

- 2007-04-03: A: Application filed
- 2007-08-11: A: Application filed
- 2007-09-23: Q: Document publication

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2007-04-03	X000	International filing into Interap system	A	A10	A13	A-0-1-A10-A13-X000	
2007-08-11	X000	PCT national entry applications	A	A10	A15	A-1-1-A10-A15-X000	
2007-09-23	X000	Open to Public Inspection (OPI)	Q	Q10	Q12	A-1-1-Q10-Q12-X000	Laying open an application is a form of publication as it is made available to the public. The action of laying open the application itself does not trigger a pre-grant review and should therefore be mapped to category Q and not category E.

Category R: Party data change

Example 1: Ownership of a granted patent is transferred

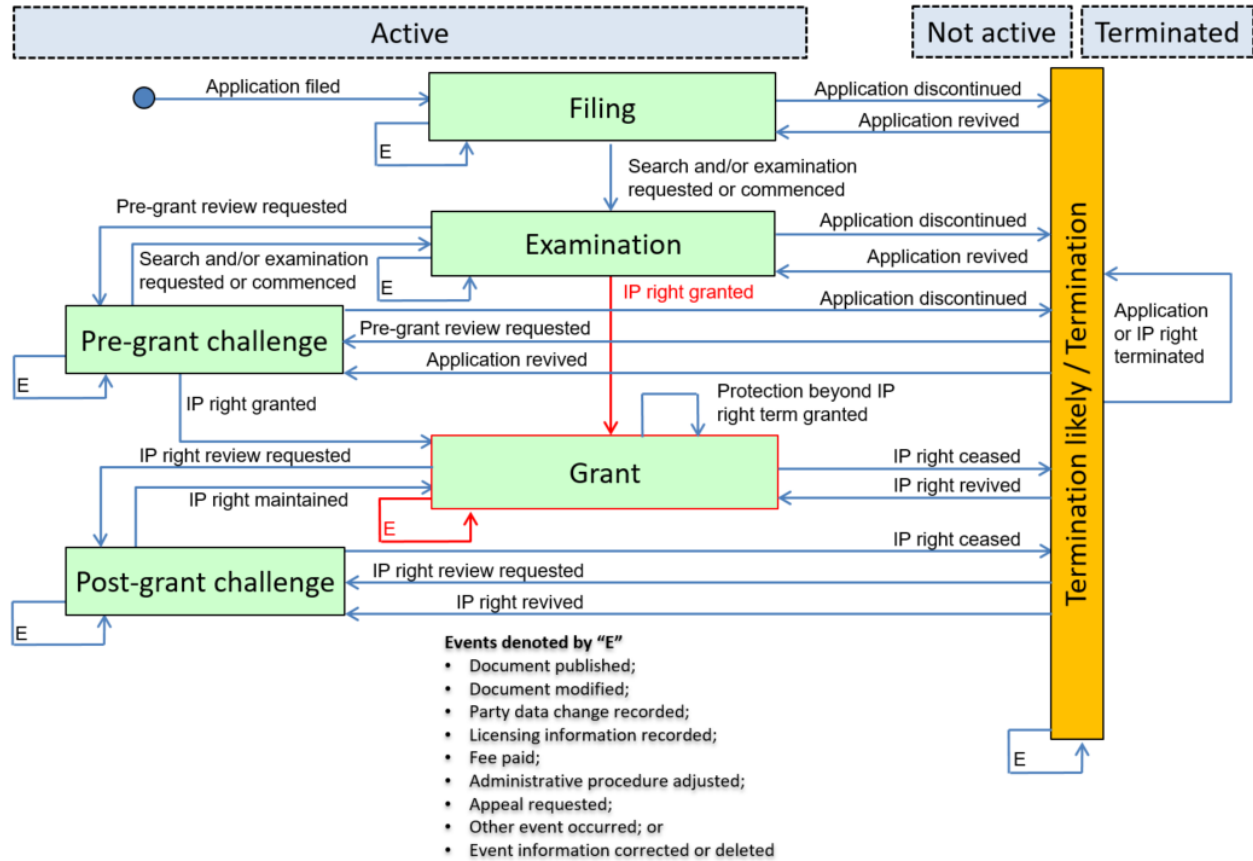
Scenario: The owner of a granted patent assigns complete ownership of the IP right to another party.

CA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2016-05-12: X000: Grant
- 2018-02-04: X000: Assignment

Key Event History:

- 2016-05-12: F10: IP right granted
- 2018-02-04: R10: Party data change recorded

Detailed Event History:

- 2016-05-12: F11: IP right granted following substantive examination
- 2018-02-04: R14: Transfer of ownership recorded

Category History:

- 2016-05-12: F: IP right grant
- 2018-02-04: R: Party data change

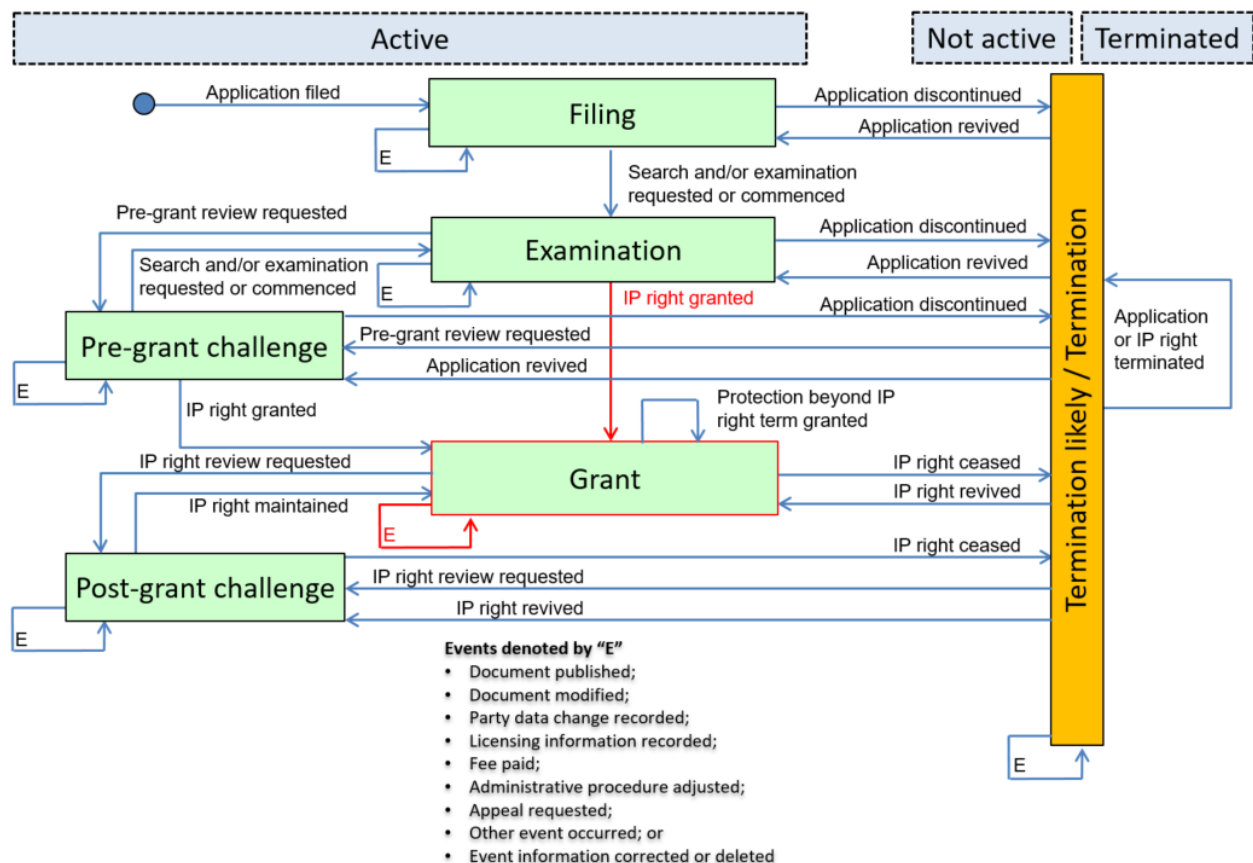
Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2016-05-12	X000	Grant	F	F10	F11	A-0-4-F10-F11-X000	
2018-02-04	X000	Assignment	R	R10	R14	A-4-4-R10-R14-X000	

US Example Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2008-09-14: Patent Issue Date: Patent Issue Date
- 2012-05-30: Pre Exam: Ownership change

Key Event History:

- 2008-09-14: F10: IP right granted
- 2012-05-30: R10: Party data change recorded

Detailed Event History:

- 2012-05-30: R12: Change to the name of applicant or owner or transfer of ownership recorded

Category History:

- 2008-09-14: F: IP right grant
- 2012-05-30: R: Party data change

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2008-09-14	Patent Issue Date	Patent Issue Date	F	F10	-	A-0-4-F10-F00-Patent Issue Date	
2012-05-30	Pre Exam	Ownership change	R	R10	R12	A-4-4-R10-R12-Pre Exam	The US cannot distinguish between a change in owners due to an assignment/transfer of ownership versus a change in the name of owners, therefore this national event is mapped to R12.

Category S: Licensing information

Example 1: The owner of a granted patent licenses it to another party, license amended, and then subsequently cancelled.

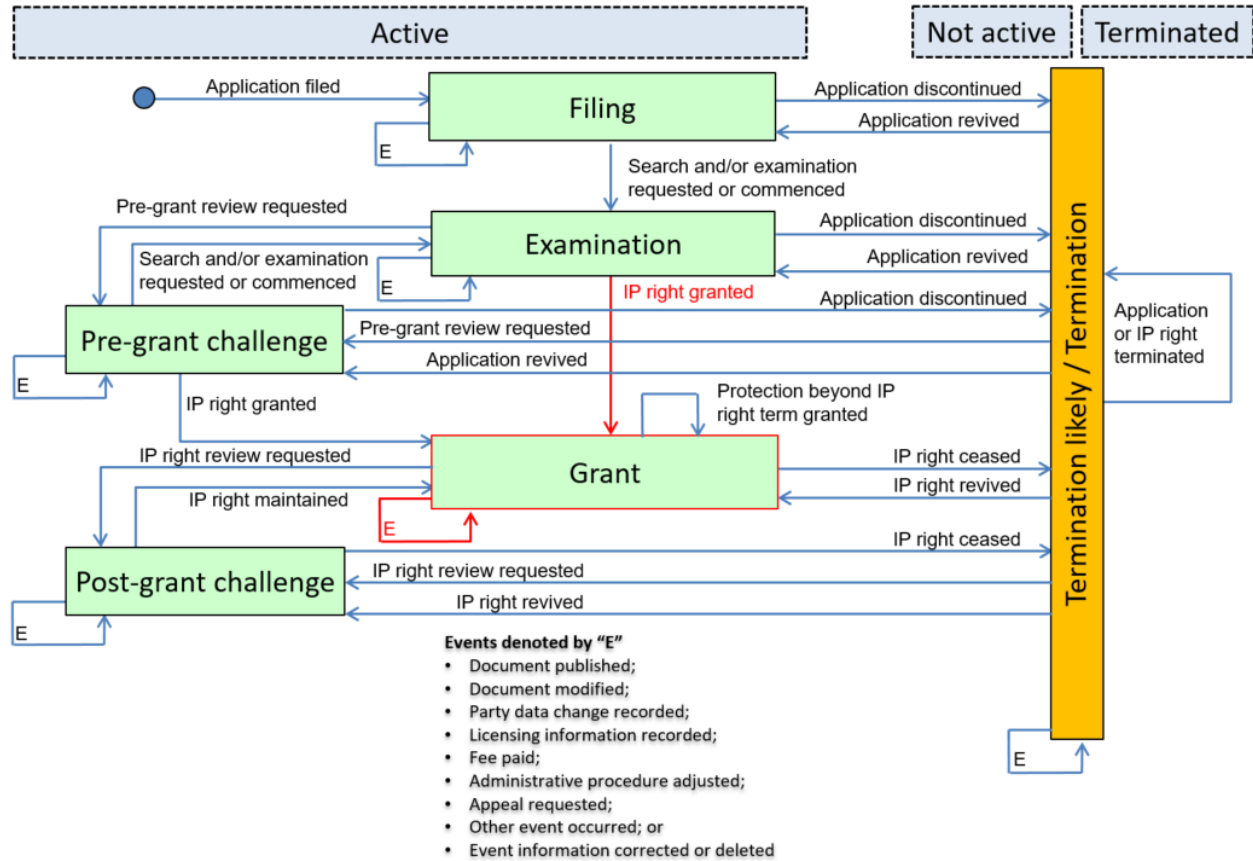
Scenario: The owner of a granted patent licenses use of the IP right to another party. The terms of the license are amended and then subsequently the license is cancelled on agreement of the parties.

CA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 1999-05-19: X000: Grant
- 2001-08-28: X000: License agreement recorded
- 2005-08-23: X000: License agreement termination

Key Event History:

- 1999-05-19: F10: IP right granted
- 2001-08-28: S10: Licensing information recorded
- 2005-08-23: S10: Licensing information recorded

Detailed Event History:

- 1999-05-19: F11: IP right granted following substantive examination
- 2001-08-28: S11: Voluntary license recorded
- 2005-08-23: S13: Recordation of voluntary license cancelled

Category History:

- 1999-05-19: F: IP right grant
- 2001-08-28: S: Licensing and related matters
- 2005-08-23: S: Licensing and related matters

Mapping Summary:

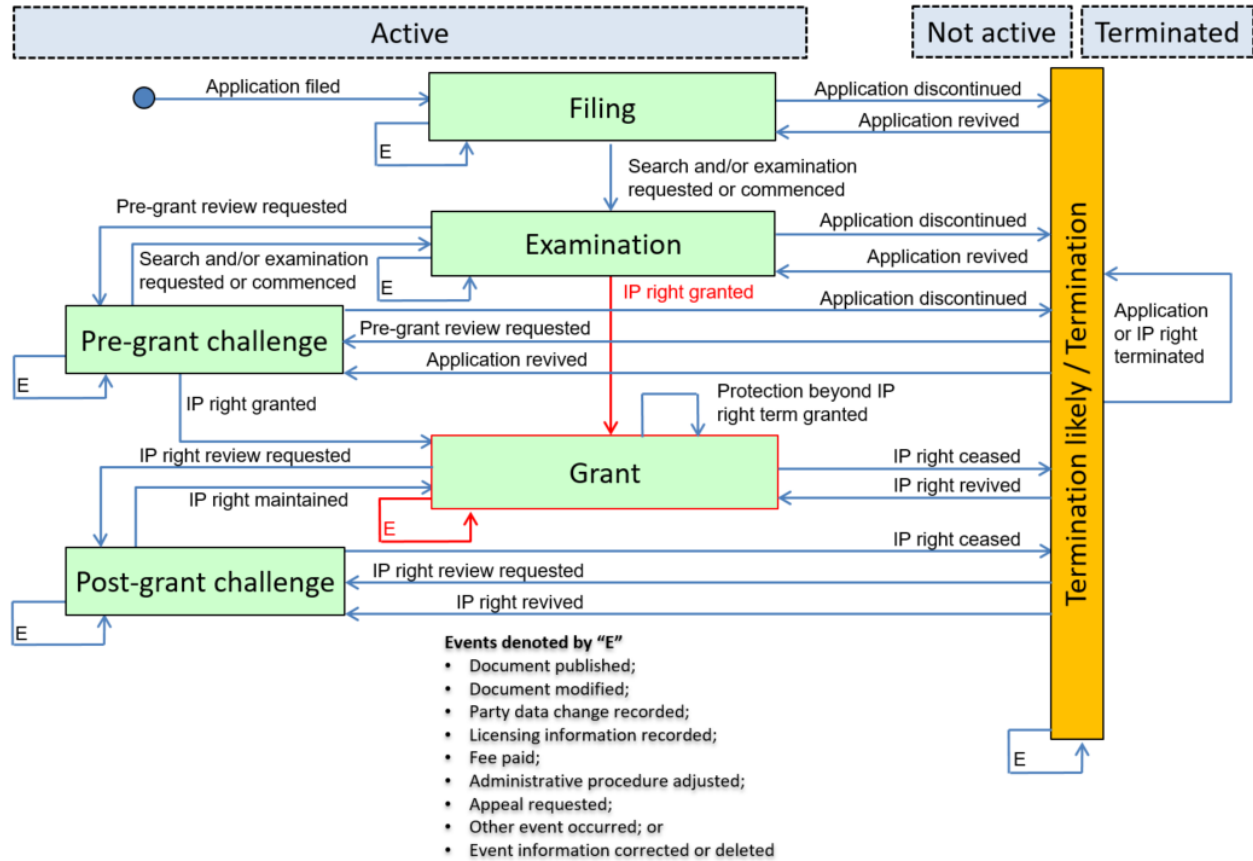
Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
1999-05-19	X000	Grant	F	F10	F11	A-0-4-F10-F11-X000	
2001-08-28	X000	License agreement recorded	S	S10	R11	A-4-4-S10-S11-X000	CA does not have a national event corresponding to the amendment of a license agreement
2005-08-23	X000	License agreement termination	S	S10	S13	A-4-4-S10-S13-X000	

CN Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- GR01: The grant of patent right
- EE01: Taking effect of the recordation of contract for exploitation of patent
- EM01: Change of the recordation of contract for exploitation of patent
- EC01: Cancellation of the recordation of contract for exploitation of patent

Key Event History:

- F10: IP right granted
- S10: Licensing information recorded
- S10: Licensing information recorded
- S10: Licensing information recorded

Detailed Event History:

- F11: IP right granted following substantive examination
- S11: Voluntary license recorded
- S12: Recordation of voluntary license amended
- S13: Recordation of voluntary license cancelled

Category History:

- F: IP right grant
- S: Licensing and related matters
- S: Licensing and related matters
- S: Licensing and related matters

Mapping Summary:

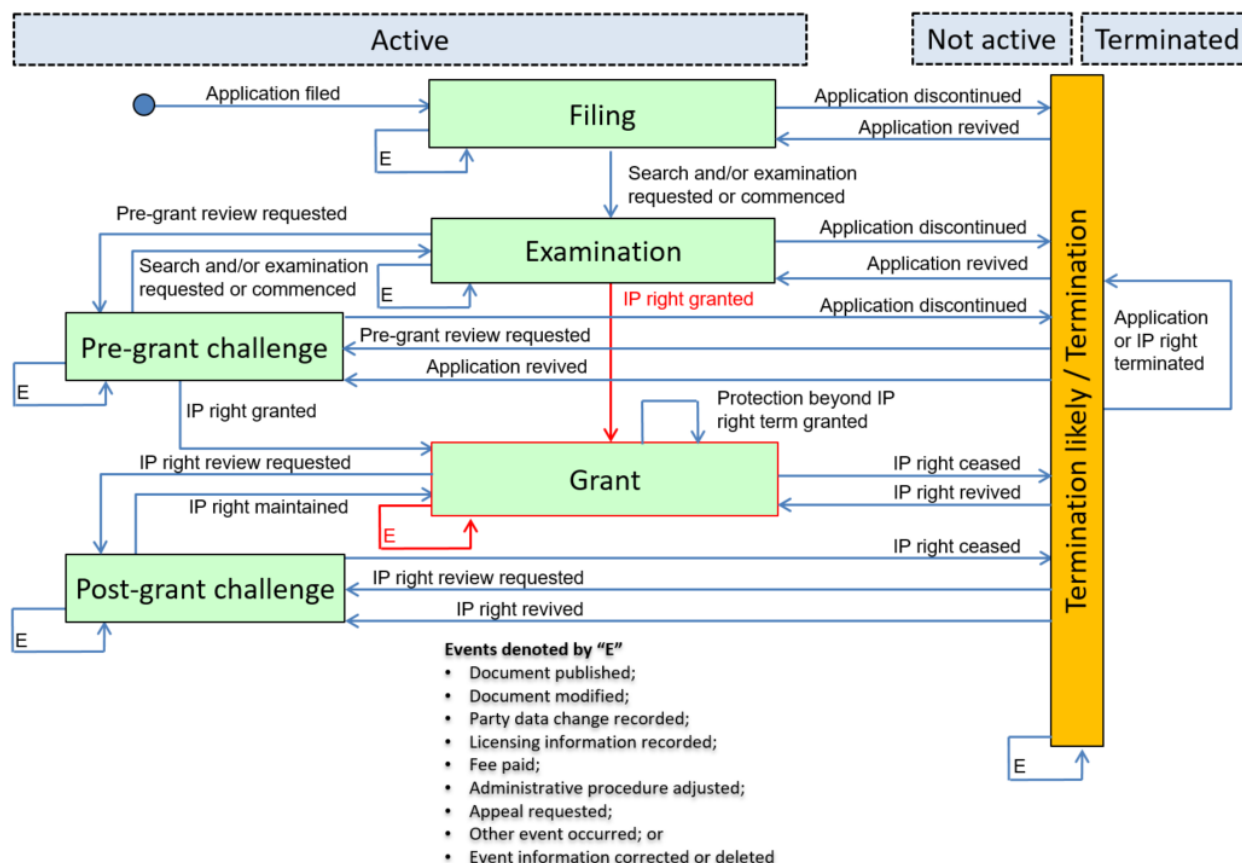
Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
N/A	X000	The grant of patent right	F	F10	F11	A-0-4-F10-F11-GR01	
N/A	X000	Taking effect of the recordation of contract for exploitation of patent	S	S10	S11	A-4-4-S10-S11-EE01	
N/A	X000	Change of the recordation of contract for exploitation of patent	S	S10	S12	A-4-4-S10-S12-EM01	
N/A	X000	Cancellation of the recordation of contract for exploitation of patent	S	S10	S13	A-4-4-S10-S13-EC01	

UA Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2007-11-07: X000: Grant of a patent for an invention
- 2009-10-21: X000: Grant of a license to use
- 2013-04-06: X000: Amendments to the recorded information on the grant of a license to use
- 2015-08-11: X000: Early termination of a license agreement by mutual consent of the parties

Key Event History:

- 2007-11-07: F10: IP right granted
- 2009-10-21: S10: Licensing information recorded
- 2013-04-06: S10: Licensing information recorded
- 2015-08-11: S10: Licensing information recorded

Detailed Event History:

- 2007-11-07: F11: IP right granted following substantive examination
- 2009-10-21: S11: Voluntary license recorded
- 2013-04-06: S12: Recordation of voluntary license amended
- 2015-08-11: S13: Recordation of voluntary license cancelled

Category History:

- 2007-11-07: F: IP right grant
- 2009-10-21: S: Licensing and related matters
- 2013-04-06: S: Licensing and related matters
- 2015-08-11: S: Licensing and related matters

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2007-11-07	X000	Grant of a patent for an invention	F	F10	F11	A-0-4-F10-F11-X000	
2009-10-21	X000	Grant of a license to use	S	S10	S11	A-4-4-S10-S11-X000	
2013-04-06	X000	Amendments to the recorded information on the grant of a license to use	S	S10	S12	A-4-4-S10-S12-X000	
2015-08-11	X000	Early termination of a license agreement by mutual consent of the parties	S	S10	S13	A-4-4-S10-S13-X000	

Category T: Administrative procedure adjustment

Example 1: Prosecution of application interrupted and resumed

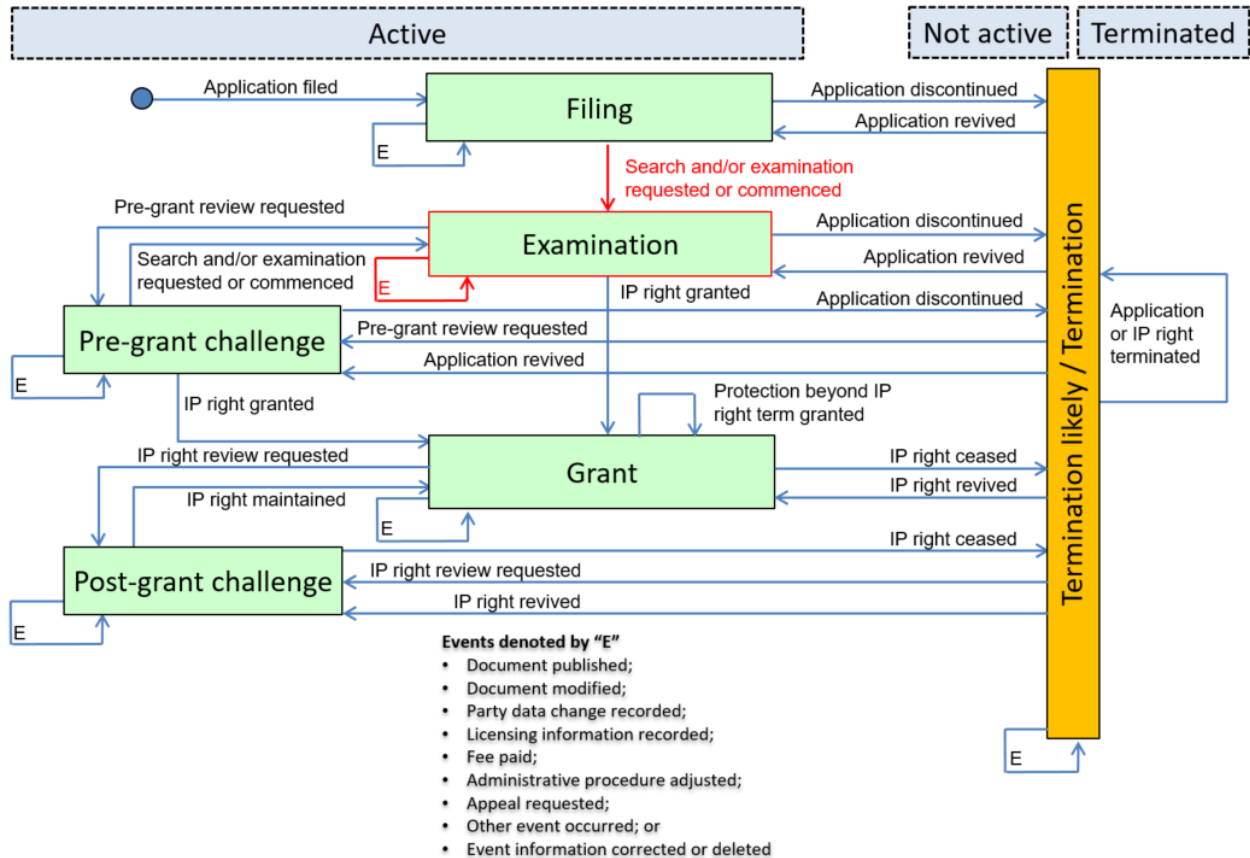
Scenario: During the prosecution of the application of a regional patent, the applicant company enters into receivership and the prosecution is interrupted. Once the receivership ends, the prosecution of the application resumes.

EP Patent Office

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent application

Overall Patent/SPC Prosecution Model:



National Event History:

- 2006-05-12: 17P: Request for examination filed
- 2007-01-03: 19U: Interruption of proceedings before grant
- 2007-06-28: 19W: Resumption of proceedings before grant (after interruption of proceedings)

Key Event History:

- 2006-05-12: D10: Search and/or examination requested or commenced
- 2007-01-03: T10: Administrative procedure adjusted
- 2007-06-28: T10: Administrative procedure adjusted

Detailed Event History:

- 2006-05-12: D11: Substantive examination requested
- 2007-01-03: T15: Administrative procedure interrupted
- 2007-06-28: T16: Administrative procedure resumed

Category History:

- 2006-05-12: D: Search and examination
- 2007-01-03: T: Administrative procedure adjustment
- 2007-06-28: T: Administrative procedure adjustment

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2006-05-12	17P	Request for examination filed	D	D10	D11	A-0-2-D10-D11-17P	
2007-01-03	19U	Interruption of proceedings before grant	T	T10	T15	A-2-2-T10-T15-19U	
2007-06-28	19W	Resumption of proceedings before grant (after interruption of proceedings)	T	T10	T16	A-2-2-T10-T16-19W	

Category U: Payment

Example 1: Registration and renewal fee paid

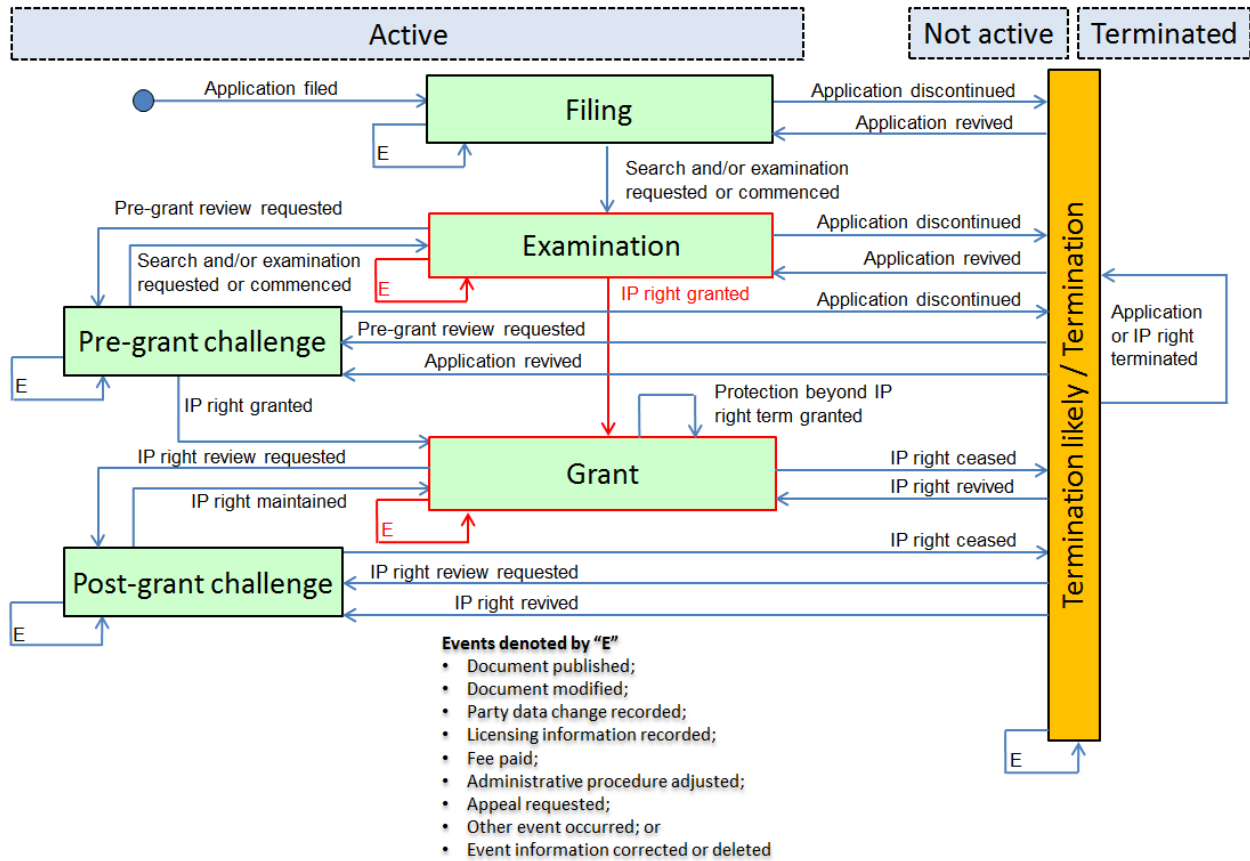
Scenario: The applicant paid the necessary fee to have the patent granted. On the first anniversary of the grant of the patent the applicant paid the annual fee to maintain the patent.

KR Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



National Event History:

- 2012-12-14: PR1002: Payment of Registration Fee
- 2012-12-14: PR0702: Registration of Establishment of National Patent
- 2013-12-14: PR1001: Payment of Annual Fee

Key Event History:

- 2012-12-14: U10: Fee paid
- 2012-12-14: F10: IP right granted
- 2013-12-14: U10: Fee paid

Detailed Event History:

- 2013-12-14: U11: Renewal or maintenance fee paid

Category History:

- 2012-12-14: U: Payment
- 2012-12-14: F: IP right grant
- 2013-12-14: U: Payment

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2012-12-14	PR1002	Payment of Registration Fee	U	U10	-	A-2-2-U10-U00-PR1002	
2012-12-14	PR0702	Registration of Establishment of National Patent	F	F10	-	A-2-4-F10-F00-PR0702	
2013-12-14	PR1001	Payment of Annual Fee	U	U10	U11	A-4-4-U10-U00-PR1001	

Category V: Appeal

Example 1: Appeal regarding request to change inventors

Scenario: Following the grant of an IP right, a third party requested the IPO to make a change to the inventors listed on the IP right document. The IPO agreed to the request and changed the inventors listed on the IP right document. The IP right owner appealed the decision of the IPO to change the inventors listed on the IP right document and the appeal was unsuccessful.

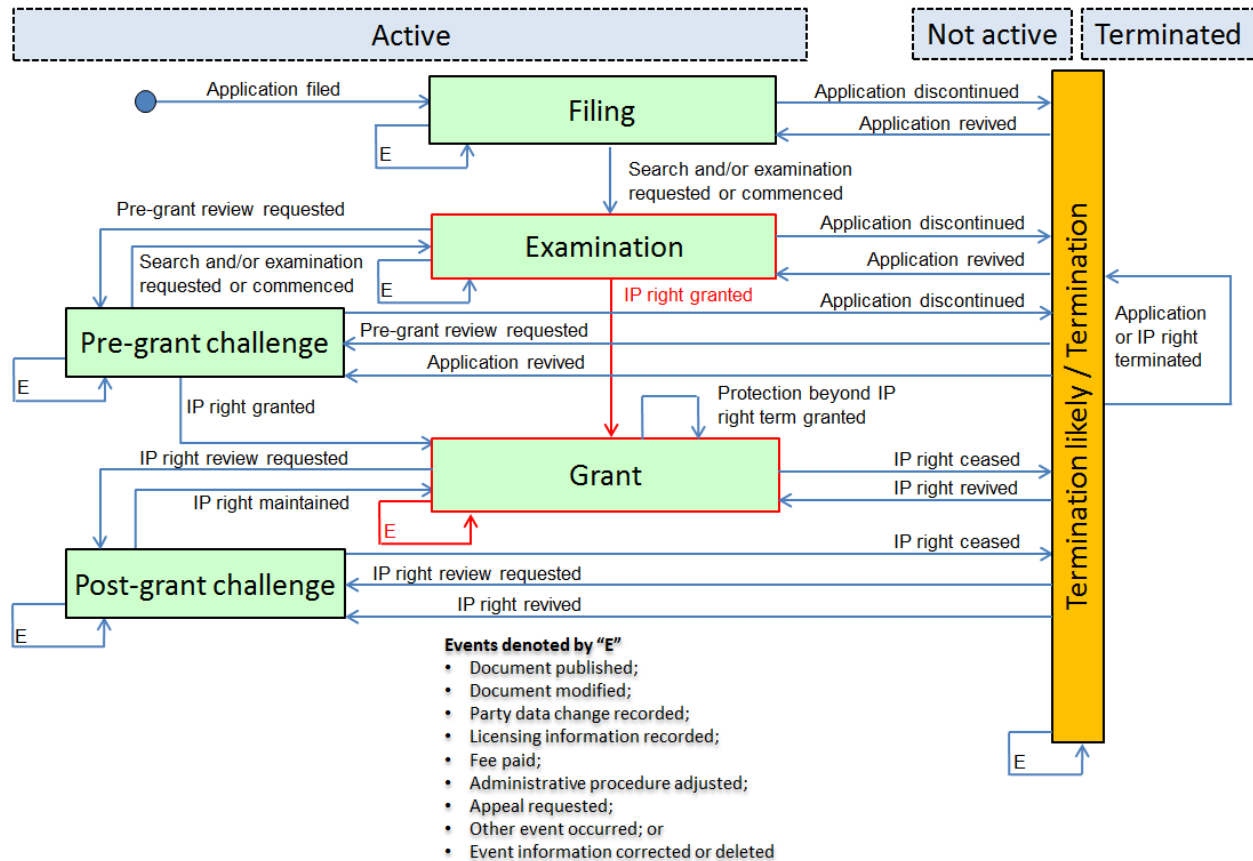
Remark: The IPO cannot distinguish between an appeal made to an administrative body or a court.

IPO Example

Basic Information:

- File Creation date:
- Application number:
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



Key Event History:

- 2010-05-17: F10: IP right granted
- 2012-12-22: R10: Party data change recorded
- 2013-04-11: V10: Appeal requested

Detailed Event History:

- 2012-08-09: R15: Change to inventor requested
- 2012-12-22: R16: Change to inventor recorded
- 2014-01-10: V13: Appeal inadmissible, rejected or withdrawn

Category History:

- 2010-05-17: F: IP right grant
- 2012-08-09: R: Party data change
- 2012-12-22: R: Party data change
- 2013-04-11: V: Appeal
- 2014-01-10: V: Appeal

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2010-05-17	X000	N/A	F	F10	-	A-2-4-F10-F00-X000	
2012-08-09	X000	N/A	R	-	R15	A-4-4-R00-R15-X000	
2012-12-22	X000	N/A	R	R10	R16	A-4-4-R10-R16-X000	
2013-04-11	X000	N/A	V	V10	-	A-4-4-V10-V00-X000	The IPO cannot distinguish between an appeal made to an administrative body or a court.
2014-01-10	X000	N/A	V	-	V13	A-4-4-V00-V13-X000	

Example 2: Appeal regarding unpaid fee

Scenario: Following the grant of an IP right, the IPO recorded that the IP right owner failed to pay a maintenance fee and consequently the IP right lapsed. The IP right owner appealed the IPO's decision that the patent lapsed due to non-payment of a maintenance fee. The appeal board/court substituted its own decision after finding that the maintenance fee was actually paid and consequently revives the IP right.

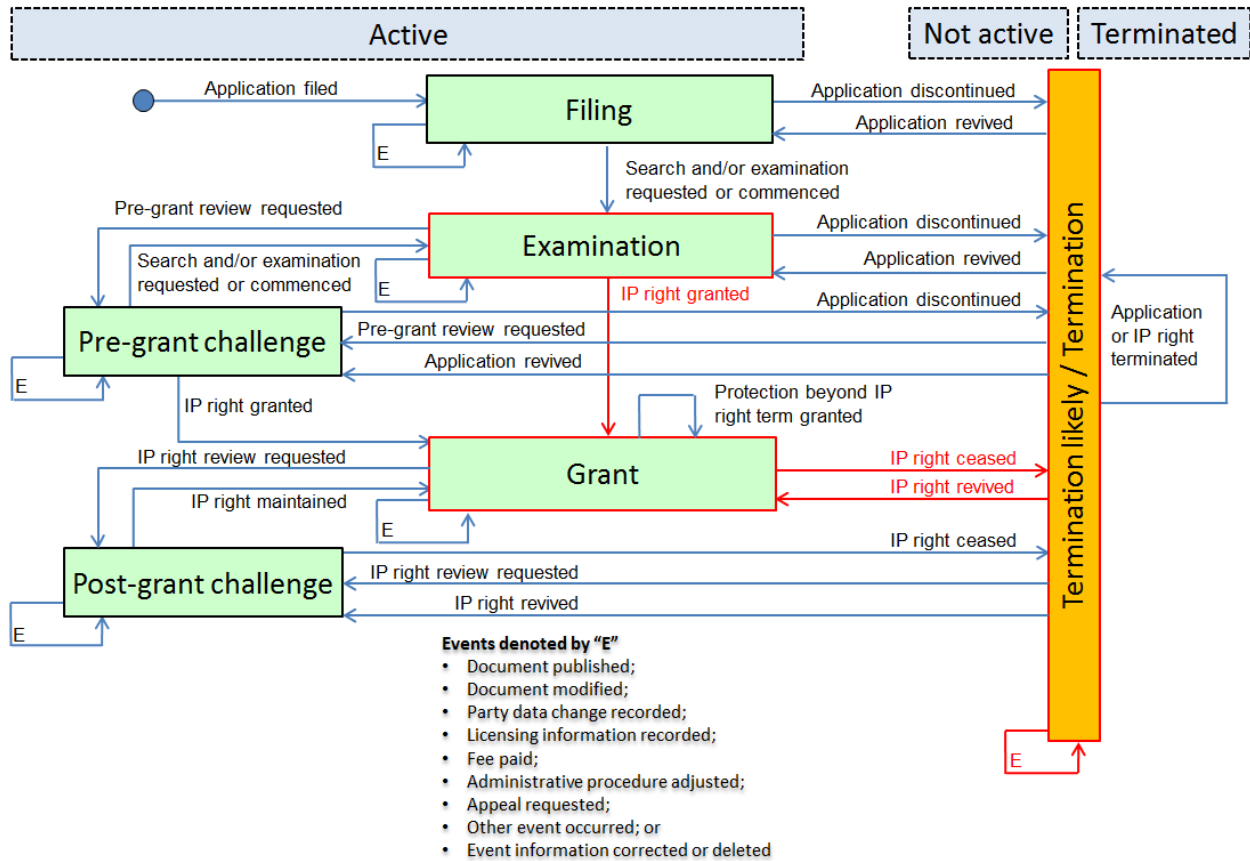
Remark: The IPO cannot distinguish between an appeal made to an administrative body or a court.

IPO Example

Basic Information:

- File Creation date:
- Application number:
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



Key Event History:

- 2007-11-14: F10: IP right granted
- 2009-05-14: H10: IP right ceased
- 2009-08-23: V10: Appeal requested
- 2009-12-13: U10: Fee paid
- 2009-12-13: K10: IP right revived

Detailed Event History:

- 2008-11-14: U13: Renewal or maintenance fee not paid
- 2009-05-14: H13: IP right lapsed
- 2009-12-13: V15: Decision substituted
- 2009-12-13: U11: Renewal or maintenance fee paid
- 2009-12-13: K13: IP right revived in full

Category History:

- 2007-11-14: F: IP right grant
- 2008-11-14: U: Payment
- 2009-05-14: H: IP right cessation
- 2009-08-23: V: Appeal
- 2009-12-13: V: Appeal
- 2009-12-13: U: Payment
- 2009-12-13: K: IP right revival

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2007-11-14	X000	N/A	F	F10	-	A-2-4-F10-F00-X000	
2008-11-14	X000	N/A	U	-	U13	A-4-4-U00-U13-X000	
2009-05-14	X000	N/A	H	H10	H13	N-4-6-H10-H13-X000	
2009-08-23	X000	N/A	V	V10	-	N-6-6-V10-V00-X000	The IPO cannot distinguish between an appeal made to an administrative body or a court.
2009-12-13	X000	N/A	V	-	V15	N-0-0-V00-V15-X000	
2009-12-13	X000	N/A	U	U10	U11	N-0-0-U10-U11-X000	The effective date for the payment of the maintenance fee would be retroactive in this example.
2009-12-13	X000	N/A	K	K10	K13	A-0-4-K10-K13-X000	

Example 3: Appeal regarding pre-grant opposition

Scenario: Following an unsuccessful pre-grant opposition an IP right was granted in full. The third party that filed the opposition appeals the decision of the IPO to grant the IP right in full. The appeal board/court remanded the decision back to the IPO for reconsideration. The IPO reviewed the opposition and changed their decision and granted the IP right in amended form.

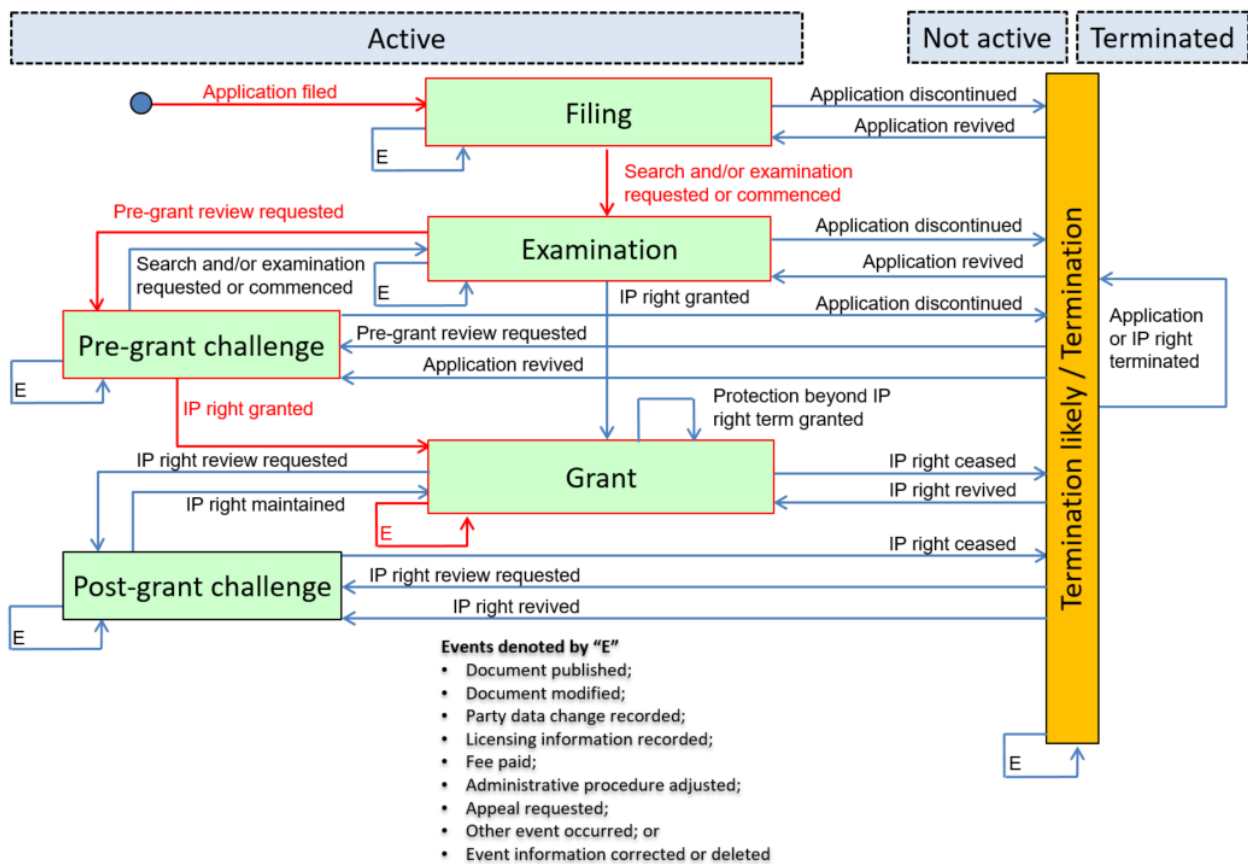
Remark: The IPO cannot distinguish between an appeal made to an administrative body or a court.

IPO Example

Basic Information:

- File Creation date:
- Application number:
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



Key Event History:

- 2005-03-12: A10: Application filed
- 2005-06-01: D10: Search and/or examination requested or commenced
- 2005-09-12: E10: Pre-grant review requested
- 2006-07-13: F10: IP right granted
- 2006-11-21: V10: Appeal requested
- 2007-05-18: F10: IP right granted

Detailed Event History:

- 2005-06-01: D11: Substantive examination requested
- 2005-09-12: E11: Pre-grant opposition filed
- 2006-07-13: F13: IP right granted in full following pre-grant review
- 2007-02-11: V14: Decision remanded
- 2007-05-18: F14: IP right granted in full following pre-grant review

Category History:

- 2005-03-12: A: Application filing
- 2005-06-01: D: Search and examination
- 2005-09-12: E: Pre-grant review request
- 2006-07-13: F: IP right grant
- 2006-11-21: V: Appeal
- 2007-02-11: V: Appeal
- 2007-05-18: F: IP right grant

Mapping Summary:

Event Date	Nat ode	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2005-03-12	X000	N/A	A	A10	-	A-0-1-A10-A00-X000	
2005-06-01	X000	N/A	D	D10	D11	A-1-2-D10-D11-X000	
2005-09-12	X000	N/A	E	E10	E11	A-2-3-E10-E11-X000	
2006-07-13	X000	N/A	F	F10	F13	A-3-4-F10-F13-X000	
2006-11-21	X000	N/A	V	V10	-	A-4-4-V10-V00-X000	The IPO cannot distinguish between an appeal made to an administrative body or a court.
2007-02-11	X000	N/A	V	-	V14	A-0-0-V00-V14-X000	
2007-05-18	X000	N/A	F	F10	F14	A-0-4-F10-F14-X000	

Example 4: Appeal regarding intention to reject application

Scenario: Following a substantive examination, the IPO intended to reject the application. The applicant amended the application and requested a re-examination. The IPO still intended to reject application. The applicant appealed the IPO's second decision to intend to reject the application. The appeal was unsuccessful and the application was discontinued.

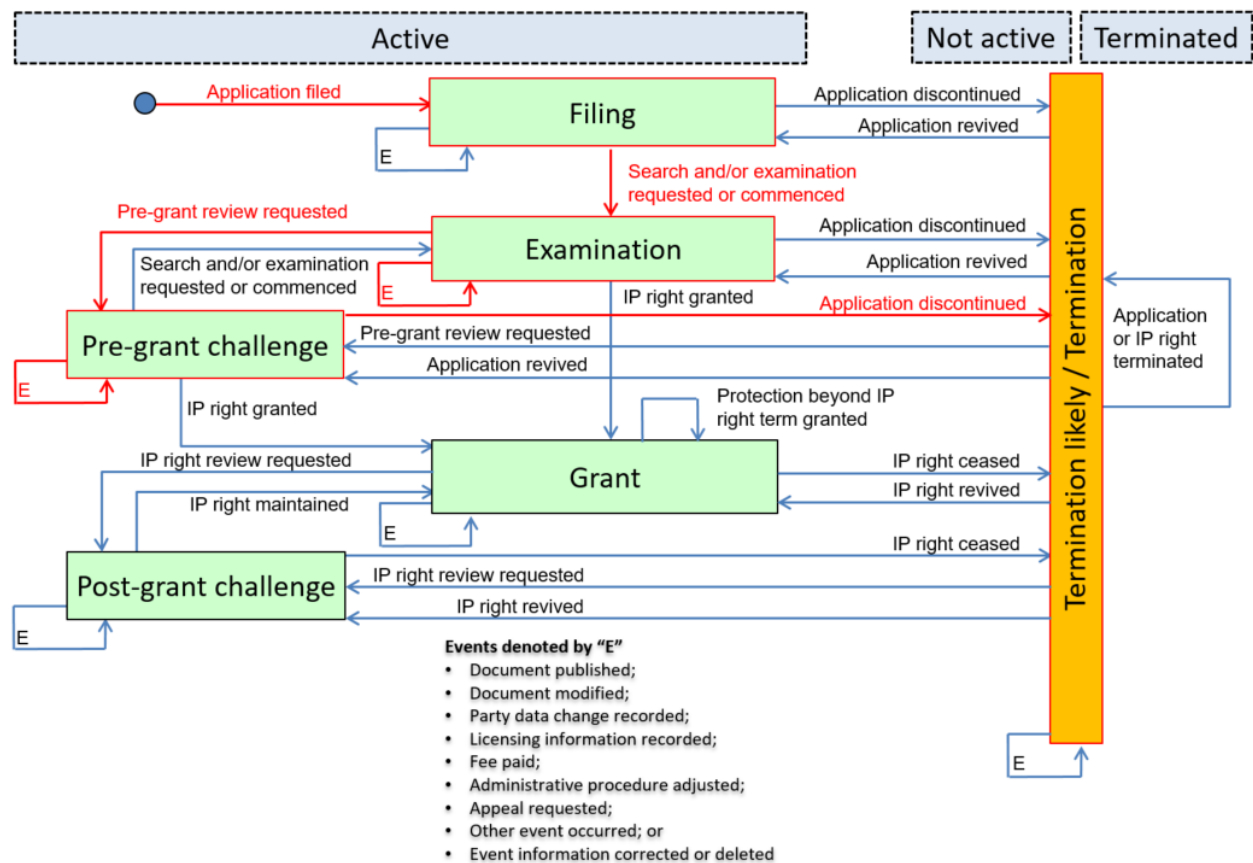
Remark: The IPO cannot distinguish between an appeal made to an administrative body or a court.

IPO Example

Basic Information:

- File Creation date:
- Application number:
- Type of IP right: National patent

Overall Patent/SPC Prosecution Model:



Key Event History:

- 2002-03-19: A10: Application filed
- 2002-05-29: D10: Search and/or examination requested or commenced
- 2002-12-11: P10: Document modified
- 2002-12-11: E10: Pre-grant review requested
- 2003-06-11: V10: Appeal requested
- 2003-08-14: B10: Application discontinued

Detailed Event History:

- 2002-05-29: D11: Substantive examination requested
- 2002-09-21: D21: Rejection of application intended
- 2002-12-11: P13: Application amended
- 2002-12-11: E12: Pre-grant re-examination requested
- 2003-03-19: D21: Rejection of application intended
- 2003-08-14: V13: Appeal inadmissible, rejected or withdrawn
- 2003-08-14: B15: Application refused following examination

Category History:

- 2002-03-19: A: Application filing
- 2002-05-29: D: Search and examination
- 2002-09-21: D: Search and examination
- 2002-12-11: P: Document modification
- 2002-12-11: E: Pre-grant review request
- 2003-03-19: D: Search and examination
- 2003-06-11: V: Appeal
- 2003-08-14: V: Appeal
- 2003-08-14: B: Application discontinuation

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2002-03-19	X000	N/A	A	A10	-	A-0-1-A10-A00-X000	
2002-05-29	X000	N/A	D	D10	D11	A-1-2-D10-D11-X000	
2002-09-21	X000	N/A	D	-	D21	A-2-2-D00-D21-X000	
2002-12-11	X000	N/A	P	P10	P13	A-2-2-P10-P13-X000	
2002-12-11	X000	N/A	E	E10	E12	A-2-3-E10-E12-X000	
2003-03-19	X000	N/A	D	-	D21	A-3-3-D00-D21-X000	
2003-06-11	X000	N/A	V	V10	-	A-0-0-V10-V00-X000	The IPO cannot distinguish between an appeal made to an administrative body or a court.
2003-08-14	X000	N/A	V	-	V13	A-0-0-V00-V13-X000	
2003-08-14	X000	N/A	B	B10	B15	N-0-6-B10-B00-X000	

Category W: Other

Example 1: Patent application validated in third-party country

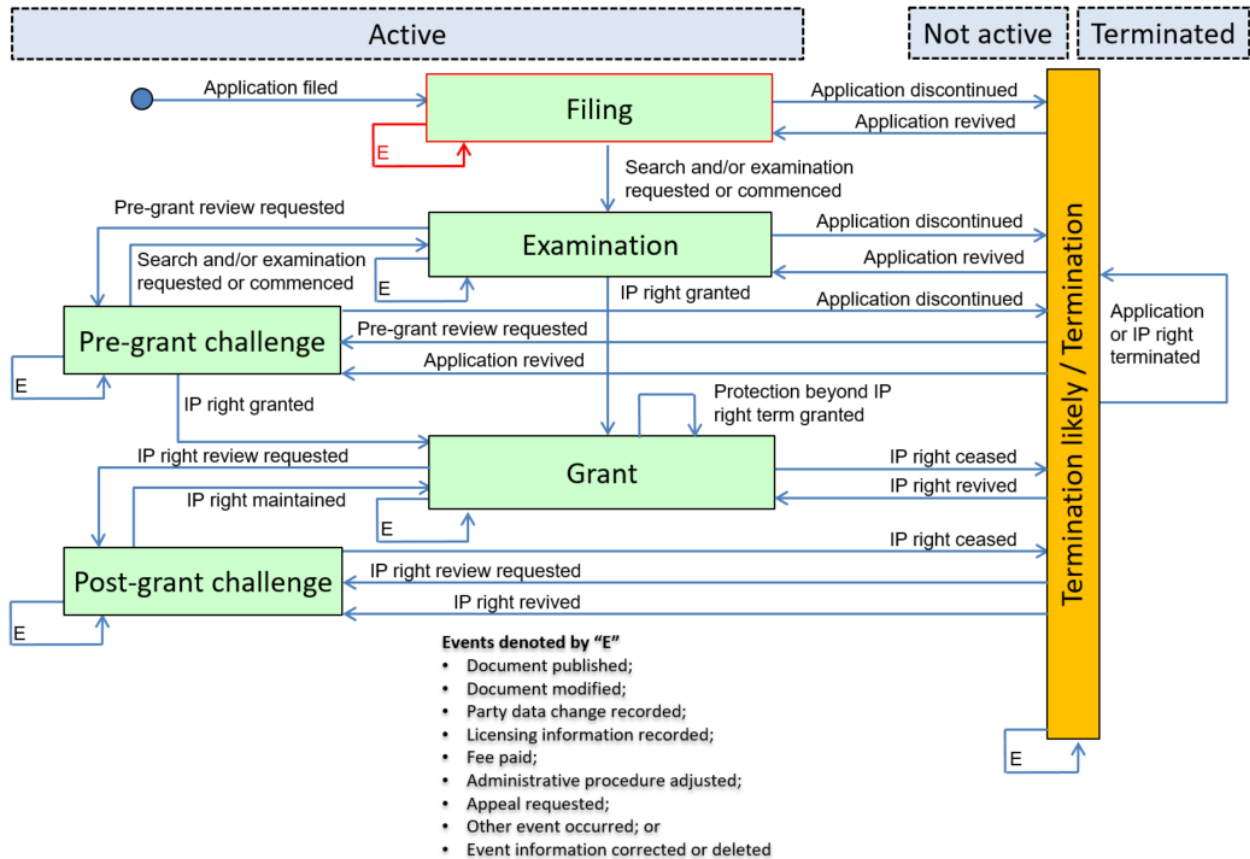
Scenario: A European patent application is validated in a third-party country (e.g., Morocco).

EP Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent application

Overall Patent/SPC Prosecution Model:



National Event History:

- 2012-11-16: AV: Request for validation of the European patent in

Key Event History:

- 2012-11-16: W10: Other event occurred

Detailed Event History:

- N/A

Category History:

- 2012-11-16: W: Other

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2012-11-16	AV	Request for validation of the European patent in	W	W10	-	A-0-1-W10-W00-AV	The European Patent Office does not have a regional event corresponding to the filing of a regional application. However, a European patent application is automatically deemed to be a request to validate the effects of the application to all states with which there is a validation agreement in force on the date on which the application is filed. This regional event does not correspond to any other category.

Category Y: Correction and deletion of event information

Example 1: Incorrectly recorded resumption of proceedings is corrected

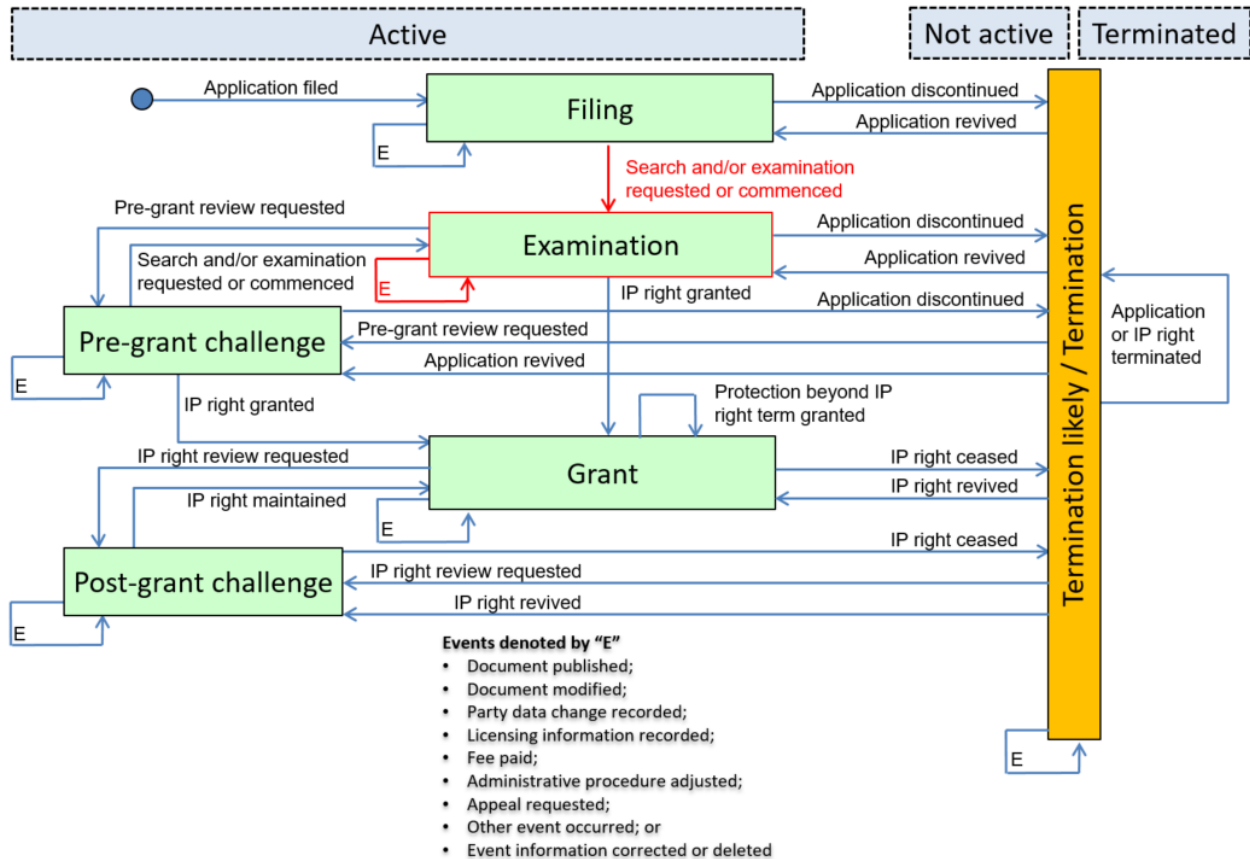
Scenario: During the prosecution of the application of a regional patent, the applicant company enters into receivership and the prosecution is interrupted. The IPO is incorrectly notified that the receivership ended; the prosecution of the application resumes and the error is then corrected.

EP Example

Basic Information:

- File Creation date: N/A
- Application number: N/A
- Type of IP right: Regional patent application

Overall Patent/SPC Prosecution Model:



National Event History:

- 2013-11-27: 17P: Request for examination filed
- 2014-02-19: 19U: Interruption of proceedings before grant
- 2014-07-21: 19W: Resumption of proceedings before grant (after interruption of proceedings)
- 2014-08-11: D19F: Previously announced "resumption after interruption of proceedings" was erroneous

Key Event History:

- 2013-11-27: D10: Search and/or examination requested or commenced
- 2014-02-19: T10: Administrative procedure adjusted
- 2014-07-21: T10: Administrative procedure adjusted
- 2014-08-11: Y10: Event information corrected or deleted

Detailed Event History:

- 2013-11-27: D11: Substantive examination requested
- 2014-02-19: T15: Administrative procedure interrupted
- 2014-07-21: T16: Administrative procedure resumed

Category History:

- 2013-11-27: D: Search and examination
- 2014-02-19: T: Administrative procedure adjustment
- 2014-07-21: T: Administrative procedure adjustment
- 2014-08-11: Y: Correction and deletion of event information

Mapping Summary:

Event Date	Nat. Code	National Text	Cat.	Key.	Det.	Status Event Code	Remark
2013-11-27	17P	Request for examination filed	D	D10	D11	A-0-2-D10-D11-17P	
2014-02-19	19U	Interruption of proceedings before grant	T	T10	T15	A-2-2-T10-T15-19U	
2014-07-21	19W	Resumption of proceedings before grant (after interruption of proceedings)	T	T10	T16	A-2-2-T10-T16-19W	
2014-08-11	D19F	Previously announced "resumption after interruption of proceedings" was erroneous	Y	Y10	-	A-2-2-Y10-Y00-D19F	The effective date of this event would be retroactive.

[End of Annex VI and of Standard]