



HANDBOOK ON INDUSTRIAL PROPERTY INFORMATION AND DOCUMENTATION

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STANDARD ST.34

RECOMMENDATION CONCERNING THE RECORDING OF APPLICATION NUMBERS IN ELECTRONIC FORM FOR THE EXCHANGE OF BIBLIOGRAPHIC DATA

*Revision adopted by the PCIP/ Executive Coordination Committee
at its twentieth session on May 30, 1997*

INTRODUCTION

1. The aim of this Recommendation is to facilitate the exchange of bibliographic data, particularly those which are used as priority application numbers for patents, among industrial property offices, organizations and other institutions.
2. This Recommendation contains provisions on how to record numbers of applications for patents, industrial designs and other industrial property rights which can give rise to citing priorities for patents on an electronic data carrier, such as CD-ROM or magnetic tape. It defines the format of application numbers on exchange media, in which format the complete information, i.e., the two-letter code according to WIPO Standard ST.3, the one-letter code which identifies the type of industrial property right (or the kind-of-application code) and the application number, is presented in one single fixed-length string.
3. For the exchange of bibliographic data (including bibliographic data other than application numbers), abstracts, full texts and facsimile information of patent documents, or of mixed mode patent documents, references are made to WIPO Standards ST.30, ST.32, ST.33 and ST.35. It should be noted that Standards ST.30 and ST.32, in particular, also provide for the exchange of application and priority numbers, however, in a format which differs from Standard ST.34 in that the basic components of the application and/or priority numbers (see paragraph 6, below) are not recorded within a single fixed-length field, but are split up and recorded under different bibliographic tags.
4. As regards the recording formats for the different numbering systems, it should be noted that this Recommendation is applicable to all types of application numbering systems regardless of whether they are based on WIPO Standard ST.13 or on other systems.

DEFINITIONS

5. For the purposes of this Recommendation:
 - (a) the term "patents" includes such industrial property rights as patents for inventions, design patents and utility models. For the purposes of this Recommendation United States Statutory Invention Registrations are also regarded as patents;
 - (b) the term "industrial designs" includes two-dimensional and three-dimensional features of shape and surface of objects, and thus covers both concepts of "designs" and "models" where a distinction is made between the former and the latter. The term "industrial designs" does not include design patents.

REFERENCES

6. References to the following Standards are of relevance to this Recommendation:

WIPO Standard ST.3	Recommended Standard on Two-Letter Codes for the Representation of States, Other Entities and Intergovernmental Organizations;
WIPO Standard ST.13	Recommendation for the Numbering of Applications for Patents, SPCs, Industrial Designs and Layout-Designs of Integrated Circuits.



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RECOMMENDATION FOR THE RECORDING OF APPLICATION NUMBERS

7. It is recommended that the format for the recording of application numbers consist of a 15-position field. The recording format should be comprised of three data elements, i.e., the two-letter code according to WIPO Standard ST.3, the one-letter code which identifies the type of industrial property right (or the kind-of-application code) and the application number the format of which consists of up to 11 alphanumeric characters.

Examples: •EPA•••782000001
•IBW••••9400426

8. With regard to positions 1 to 4, the following arrangement should be used:

Position 1:	Blank,
Positions 2 and 3:	Country code according to WIPO Standard ST.3, which identifies the office or organization with which the application has been filed,
Position 4:	Letter code, which identifies the type of industrial property right (or the kind-of-application code in the case of PCT applications): Letter A for applications for patents, Letter U for utility model applications, Letter W for international applications under the PCT, Letter S for applications for design patents, Letter F for industrial design applications, Letter Q for industrial model applications having a numbering series different from the series for industrial design applications.

(It should be noted that the letters used in this Recommendation, except W, are identical to those provided for in WIPO Standard ST.13; however, the letters A, F, S, U and W do not have the same meaning or significance as the same letters in WIPO Standard ST.16 "Recommended Standard Code for the Identification of Different Kinds of Patent Documents.")

9. Application numbers, including the ones having year indicators, are to be right-adjusted in positions 5 to 15; letters preceding the numerical part of the application "number" are to be left-adjusted in positions 5 to 15. Positions between the last letter and the first digit should be filled with zeros.

10. Left zeros, unless they are a meaningful part of the application number, are preferably to be omitted and the positions left blank.

11. The following are not to be recorded in positions 5 to 15:

- (a) Letters and numbers relating, for example, to the examination division or classification of a document and not essential for defining the application number;
- (b) Letters and numbering indicating the type of industrial property right, for example, patent or utility model;
- (c) Dots, dashes, slashes and spaces between the numerical and the year positions of an application number.

12. Examples of types of application numbers and their Recommended Recording Formats are given in the Appendix to this Recommendation. It should be noted that, for historical reasons, some of the Recommended Recording Formats do not follow the rules set out in paragraphs 7 to 11, above.

FURTHER OBSERVATIONS

13. It is desirable that this Recommendation be implemented by industrial property offices at the latest as of January 1, 2000. An earlier date of implementation can be agreed upon between exchange partners of industrial property information.

[Appendix follows]



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APPENDIX

TYPES OF APPLICATION NUMBERS AND RECOMMENDED RECORDING FORMATS¹

(Comprehensive surveys of application numbers are given in the Appendix to WIPO Standard ST.10/C and in Part 7.5 of the WIPO *Handbook on Industrial Property Information and Documentation*)

Recommended Recording Format²

Type 1

AR, BE, BG, BR (old style, before 1972), CA, CO, CU (old style), ES (old style, before 1986), IL, LU, MD (utility models), MN, MX (old style), NL (old style, before 1.1.1964 and new style, from 1995), NZ, PH, PT, RO (old style), RU (old style, before 1992), US

Reference is a number with up to eight digits.

Examples:

Brazil:	PI 059408	•BRA•••••059408
Canada:	2103828	•CAA•••••2103828
Netherlands:	90123	•NLA•••••90123
Netherlands:	1000001	•NLA•••••1000001
Russian Federation:	5053078	•RUA•••••5053078
United States of America:	08001234	•USA•••••08001234

The first two digits of the US application number represent the series code, which is needed to uniquely identify a US patent application. In the example, the series code 08 has been assigned by the USPTO to the six-digit application number 001234.

Type 2

FR (old style, before 1.1.1969)

(a)	PV 12345 PV 12345 – PARIS 12345	•FRA•••••12345
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“PV” (Procès-verbal) and “PARIS” are not recorded.

(b)	Application in a department other than Paris: PV 345 – Isère PV 345 – 38	•FRA38000000345
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The code number of the prefecture should be recorded in positions 5 and 6 and the number extended to 9 positions by adding left zeros.

¹ The Recommended Recording Formats associated with each industrial property office are only an indication of how the application numbers of that office should be presented in agreement with this Recommendation. The office itself may not currently follow this Recommendation.

² In these examples a dot indicates a blank recording position.



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Recommended Recording Format²

Type 3

DE (old style, before 1.10.1968)

H 342 VIIb/81c
H 123
SCH 12345
SCH 123456

•DEAH00000000342
•DEAH00000000123
•DEASC000012345
•DEASC000123456

The number (up to 6 digits) is preceded by a single letter or ST or SCH (first letter(s) of applicant's name). In the case of SCH, the letter H is omitted. The Roman number and lower case letter (the examination division) and, following the slash, the Arabic number and lower case letter (the classification) are omitted.

Type 4

DE (old style, between Oct. 1968 and the end of 1994)

P 28 01 355.6-31

•DEA••••2801355

Letter P (indicating the document type) preceding the number and the check digits after the full stop (an error control number and the examination division) are omitted. The first two digits indicate the year of filing which is the Gregorian year less 50.

G 68 00 002.2

•DEU••••6800002

Letter G (indicating the document type) preceding the number and references after the full stop (an error control number) are omitted.

Type 5

AM, BR (new style, after 1.1.1975), DE (new style), DK (utility models), EE, ES (new style, from 1986), FI (new style, after 1.1.1975), FR (new style, after 1.1.1969), GB (new style, after 1.6.1978), GR, HU (new style, started in 1992), IE (new style, after 1.1.1992), KZ, MX (new style), NL (old style, between January 1964 and April 1995), NO (new style, after 1.1.1974), RU (new style, from 1992), SE (new style, after 1.1.1973), SI, TT (new style, from 1996), UA

(a) Application numbers are given by yearly series. The two digits indicative of the year are in a leading position in a whole integral number.

Examples:

Denmark: 9500242
Finland: 780001
France: 76 36537
Netherlands: 7313675
Norway: 740017
Sweden: 0000001
United Kingdom: 7912345

•DKU••••9500242
•FIA•••••780001
•FRA••••7636537
•NLA••••7313675
•NOA••••740017
•SEA••••0000001
•GBA••••7912345

² In these examples a dot indicates a blank recording position.

³ In the period from June 1, 1978 to December 31, 1978, numbers of both old and new style may have been allotted.



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Recommended Recording Format²

- (b) Brazil: PI 8300014-3
MU 6300058-2

•BRA••••8300014
•BRU••••6300058

Letters MU and PI (indicating the document type) preceding the number and the error control digit after the hyphen are omitted. The first two digits of the utility model numbers (e.g., 63) indicate the year of filing which is the Gregorian year less 20. In the example given, the utility model identified by the application number "MU 6300058" was filed on January 19, 1983.

- (c) Germany: 195 00 002.1
295 00 001.5

•DEA•••19500002
•DEU•••29500001

The numeral in the first position indicates the type of industrial property right. Numerals in the second and third positions indicate the year of filing of the application. The numeral after the full stop (an error control digit) is omitted. For details regarding the numerals used to code the industrial property right, please refer to the Appendix to WIPO Standard ST.10/C, Table I.

- (d) Hungary: P 9300684
U 9300266

•HUA••••9300684
•HUU••••9300266

Estonia: U 94 00001

•EEU••••9400001

Armenia: 96005 U

•AMU•••••96005

Letters P and U indicating the type of industrial property right and preceding or following the number are omitted.

- (e) Kazakhstan: 951117.1
95025.2

•KZA•••••951117
•KZU•••••95025

The first two digits designate the year of filing of the application. The digit after the full stop which is a control digit to indicate the type of industrial property right is omitted (1 = patent for invention, 2 = utility model).

- (f) Russian Federation: 95103445

•RUA•••95103445

The first two digits indicate the year of filing of the application. The third digit denotes the type of industrial property right (1 to 4 = patent for invention and utility model, 5 to 6 = industrial design).

Type 6

European Patent Office (EP)

78200001.2

•EPA•••78200001

Application numbers are given by yearly series. The two digits indicative of the year are in a leading position in a whole integral number. The third character or the third and fourth characters can be used for coded information concerning the filing of the application, e.g., the place of filing. Several blocks of ascending numbers forming a series are created annually. The check digit after the full stop is omitted.

² In these examples a dot indicates a blank recording position.



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Recommended Recording Format²

Type 7

Patent Cooperation Treaty (PCT)

PCT/RU93/01000
PCT/GB78/00123
PCT/IB94/00426

•RUW••••93Ø1ØØØ
•GBW••••78ØØ123
•IBW••••94ØØ426

Application numbers are given by yearly series. They consist of the letters PCT, a slash, the two-letter code indicating the receiving Office, a two-digit indication of the year of filing of the application, a slash and a five-digit number allotted in sequential order. In recording the PCT application numbers, the letter "W" should be used in position 4. The two-letter code indicating the receiving Office should be used in positions 2 and 3. Where the International Bureau of WIPO acts as a receiving Office, the two-letter code "IB" should be used in positions 2 and 3.⁴

Type 8

AT, AU, BG, BR (old style, used between 1972 and 1975), CH, CU, DK, EG, FI (old style before 1.1.1975), GB (old style), HU (old style, between 1980 and 1991), IE (old style, used until the end of 1991), IN, IT (old style, before 1.1.1991), LT (new style), MD, MK, NO (old style, before 1.1.1974), PK, RO (new style, after 21.1.1992), SE (old style, before 1.1.1973), SK, TT (old style, before 1996), VE, YU, ZA, ZM, ZW

Application numbers are given by yearly series or continuous series spread over several years in which the characters indicative of the year are in a leading or trailing position separated from the number by a dash or a slash. If this is not the case, it is important to take over the year indication from the date reference.

Examples:

- (a) 2507-64
2507/64
2507/1964
2507 1/7/1964
164 of 1971

•XXA•••••25Ø764

•XXA•••••16471

(i) For AT, one or two digits (indicating the examination division) and letter codes (e.g., "A" characterizing a patent application, "GM" a utility model application) may precede the number. They are not significant for the purposes of this Standard and, therefore, are not to be recorded.

(ii) For BG, SK and YU, the number may be preceded by one or more letters which are not significant and should be omitted.

² In these examples a dot indicates a blank recording position.

⁴ As stated in footnote 2 of WIPO Standard ST.13, the year designation in a PCT application number might be changed to a four-digit indication in the future.



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Recommended Recording Format²

(b)	Lithuania:	95-014	•LTA•••••95014
	Republic of Moldova:	94-0287	•MDA•••••940287
	Romania:	92-0884	•ROA•••••920884
	South Africa:	61/2044	•ZAA•••••612044
		2044.3.11.1961	

The year indication should immediately precede the number.

Type 9

JP (old style)

Reference might be without year indication or the year might be the Emperor's reign or the Gregorian year.

Examples:

P18185	3.12.1962	
P37-18185	3.12.62	•JPA••••1818562
P18185/1962		
P18185/62		
U46-89012	2.8.1971	•JPU••••8901271

The letters P and U preceding the numbers in the left-hand column, above, were used to represent the Japanese characters denoting a patent application and a utility model application, respectively.

Recording is as for Type 8(a).

JP (new style, since 1989)

(a)	特願平	5-30175	•JPA••••5030175
	or 5/30175		
	or 5-30175		

The first two Japanese characters **特願** (Tokugan) mean a patent application. The character **平** (Hei) is the abbreviation of

平成 (Heisei) which is the current Emperor's era that started in 1989. One digit following three Japanese characters shows a year of the current era. In this example, 5 corresponds to 1993 according to the Gregorian calendar.

(b)	実願平	5-83351	•JPU••••5083351
	or 5/83351U		
	or 5-83351U		

The first two Japanese characters **実願** (Jitsugan) mean a utility model application.

² In these examples a dot indicates a blank recording position.



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Recommended Recording Format²

- (c) 意願平 8-000001
or 8/000001
or 8-000001

•JPF•••800000001

The first two Japanese characters 意願 (Igan) mean an application for an industrial design.

- (d) The separation sign (slash or hyphen) given in the Japanese application number (new style) should be recorded as a zero.

Type 10

- (a) HU (old style, before 1.1.1980)

SCHE-435

•HUASCHE0000435

The number is preceded by two to four letters which have to be recorded.

- (b) RU (old style, before 1990)

890966/28-13

•RUA••••890966

Slash and references following the number (examination division and a processing number) are not recorded.

- (c) DE (documents published in the former German Democratic Republic)

P 1234
WP 1234
WP 39c/1234

•DDA•••••1234

AP 84c/137355
WP 35b/147203

•DDA•••••137355
•DDA•••••147203

The number is sometimes preceded by a classification indication, which is not recorded. Letters P, AP or WP preceding the number indicate the kind of document and are not recorded.

- (d) PL

P 214461
W 36746

•PLA•••••214461
•PLU•••••36746

Letters P or W preceding the number are omitted.

- (e) MC

880
880.66.553

•MCA•••••880

Sometimes references are a three-part number. Only the first part refers to the application. The second number group is the year of grant, and the third group the patent number.

² In these examples a dot indicates a blank recording position.



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Recommended Recording Format²

Type 11

Numbering format recommended by WIPO Standard ST.13

a 2000 1234567
a 2001 54321

•CCA2ØØØ1234567
•CCA••2ØØ154321

Patent applications filed in the year 2000 with serial number 1234567 or filed in the year 2001 with serial number 54321, respectively.

Type 12

IT (new style, after 1.1.1991)

MI91A000231
MI94U000225

•ITAMIØØØØ23191
•ITUMIØØØØ22594

The numbering system implemented in Italy in January 1991 for applications for industrial property rights does not correspond exactly to any of the Types 1 to 11 described above. The numbers have the following format:

XXYYZ999999 (*Example*: MI91A000231),

whereby

- “XX” is a (two-letter) code for the Provincial Office for Industry, Commerce and Handicrafts (Ufficio Provinciale Industria, Commercio e Artigianato—UPICA) where the respective application was filed (e.g., MI stands for Milan);
- “YY” are the last two digits of the year of filing of the application according to the Gregorian calendar;
- “Z” is a one-letter code characterizing the kind of industrial property right concerned in the application (A – patent for invention, U – utility model, O – ornamental model or multiple filing);
- “999999” is the current annual number allotted to the application. Each UPICA every year has its own numbering series for each of the various kinds of applications received, starting with number “000001.”

[End of Appendix and of Standard]

² In these examples a dot indicates a blank recording position.