

COMPENDIUM II

COMPENDIUM  
OF  
COPYRIGHT OFFICE PRACTICES

Under the Copyright Law Which  
Became Fully Effective on  
January 1, 1978, Including  
Title 17 of the United States  
Code and Amendments Thereto

COPYRIGHT OFFICE  
THE LIBRARY OF CONGRESS  
WASHINGTON, D. C. 20559

1984



## P R E F A C E

This Compendium (designated as Compendium II) reflects Copyright Office practices under the copyright law which became fully effective on January 1, 1978, including Title 17 of the United States Code and amendments thereof.

An earlier Compendium (now called Compendium I) was issued a number of years ago to reflect Copyright Office practices under the Copyright Act of 1909, as amended. Compendium I applies to Copyright Office actions, in situations which it covers, where the provisions of the Copyright Act of 1909, as amended, are dispositive.

The Compendium is a manual intended primarily for the use of the staff of the Copyright Office as a general guide to its examining and related practices. It is not a book of rules that is meant to provide a ready-made answer to all questions that arise. Any new case presented to the Office may require special analysis.

The practices of the Copyright Office are subject to constant review and modification in the light of new experience and continuing reappraisal. Accordingly, additions, deletions, and other amendments will be made from time to time. The Copyright Office will provide an up-to-date copy of the Compendium for public inspection and copying. The Office will likewise maintain a separate record of all material withdrawn from the Compendium as superseded.

Section 201.1(b)(3) of the Copyright Office Regulations, Title 37 of the Code of Federal Regulations, which are authorized under section 702 of the current copyright law, provides for a compendium of Office practices.

Copies of Compendium II are available for purchase from the Superintendent of Documents, United States Government Printing Office, as a looseleaf publication; amendments and supplements will be published by the Superintendent of Documents in the form of additional or replacement pages as such changes are made.

Copies of the earlier Compendium (Compendium I) may be purchased from the National Technical Information Service, United States Department of Commerce.

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Chapter 100

BASIC POLICIES

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CHAPTER 100

BASIC POLICIES

- 101            Basic policies. Set forth below are the policies upon which the examining and related practices of the Copyright Office are based.
- 102            The constitutional provision. The Constitution of the United States provides, in Article 1, Section 8, that the "Congress shall have Power . . . To promote the Progress of Science and useful Arts, by securing for limited Times to Authors and Inventors the exclusive Right to their respective Writings and Discoveries."
- 103            The copyright law. The U.S. copyright law is based upon the above provision of the Constitution, especially as it relates to the "Writings" of "Authors." The current copyright law is the Copyright Act which became fully effective on January 1, 1978, including Title 17 of the United States Code, and amendments thereof. The previous law was the Copyright Act of 1909, as amended.
- 104            The Copyright Office. The copyright law provides that all administrative functions and duties which it imposes are, except as otherwise specified, the responsibility of the Register of Copyrights as director of the Copyright Office of the Library of Congress and that the Register, together with subordinate officers and employees of the Office, shall be appointed by the Librarian of Congress and shall act under the Librarian's general direction and supervision. See 17 U.S.C. 701(a). The Copyright Office is a department of the Library of Congress, and the Register of Copyrights is also Assistant Librarian of Congress for Copyright Services. In addition to its principal function, which is the performance of all duties relating to the registration of copyrights, the policies and practices of the Copyright Office are also designed to promote the overall objectives of the Library of Congress. See the Library of Congress Regulations, LCR 215.

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Statutory authority for examination. Section 410(a) of the current law specifies that when, "after examination, the Register determines that . . . the material deposited constitutes copyrightable subject matter and that the other legal and formal requirements . . . have been met, the Register shall register the claim and issue to the applicant a certificate of registration under the seal of the Copyright Office." Section 410(b) provides that in "any case in which the Register of Copyrights determines that . . . the material deposited does not constitute copyrightable subject matter or that the claim is invalid for any other reason, the Register shall refuse registration and shall notify the applicant in writing of the reasons for such refusal." Section 205(a) states that any "transfer of copyright ownership or other document pertaining to a copyright may be recorded in the Copyright Office." These provisions, together with other pertinent sections of the law, constitute the statutory basis for the examining and related practices of the Copyright Office.

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Copyright Office Regulations. The Register of Copyrights is authorized by section 702 of the copyright law to establish, subject to the approval of the Librarian of Congress, regulations not inconsistent with law for the administration of the functions and duties made the responsibility of of the Register. The Copyright Office Regulations, including those relating to examination, registration, and recordation, are embodied in Title 37 of the Code of Federal Regulations.

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The establishment, maintenance, and availability of a public record. The foregoing constitute the basis for the establishment and maintenance by the Copyright Office of a reliable and useful public record which includes all registrations of copyright claims and recordations of documents pertaining to copyrights. This record is made available to the public by the Copyright Office through (1) the issuance of certificates of copyright registration which attest that registration

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The establishment, maintenance, and availability of a public record. (cont'd)

has been made and which may constitute prima facie evidence of the validity of the copyright and of the facts stated in the certificate, (2) the publication of the Catalogs of Copyright Entries, which provide the basic facts of registration for all registered works, (3) the issuance of certificates certifying that transfers of copyright ownership or other documents pertaining to copyrights have been recorded, (4) the issuance of certified copies of applications, deposit copies, documents, and various other materials submitted to the Copyright Office in connection with registrations and recordations, (5) the maintenance in the Copyright Office of the Copyright Card Catalog, for public use in searching for completed registrations and recorded documents, and (6) the providing of a Copyright Office reference service to furnish, by means of written search reports, the facts of registration and recordation contained in the files of the Office. This system depends, for its reliability and usefulness, primarily upon the examination process.

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The examination process. The examination process, which is the principal means of creating and maintaining a reliable and useful public record, includes the examination of (1) the copies or phonorecords of works submitted for registration, (2) the application for registration, (3) all other material and correspondence submitted with the claim, and (4) copies of any Copyright Office correspondence relating to the registration of the claim.

108.01

Nature of examination. Examination is made to determine (1) whether or not the work for which registration is sought constitutes copyrightable subject matter and (2) whether or not the other legal and formal requirements have been met, including those set forth in the Copyright Office Regulations and in the Compendium of Copyright Office Practices.

- 108            The examination process.    (cont'd)
- 108.02        Scope of examination.    The Copyright Office registers claims to copyright whenever the requirements of the law appear to be met. It does not grant copyrights.
- 108.03        Comparison of works.    The Copyright Office does not generally make comparisons of copyright deposits to determine whether or not particular material has already been registered.
- 108.04        Extent of copyright claims.    In general the registration of a claim to copyright is considered to extend to all the component parts of the work which are the subject matter of copyright and in which the applicant has the right to claim on the basis of the particular application under consideration. Where part of the work was previously published or was covered by a previous registration, the copyright claim as reflected in the application should generally be limited to the new material covered by the claim being registered. Also, where a work contains material which is unpublished and unregistered, and where the claim does not extend to such material, the application should reflect this limitation in the scope of the registration. Moreover, the coverage of a registration cannot, subject to certain exceptions, extend beyond the material deposited to make that registration.
- 108.05        Factual determinations.    In connection with its examining and related activities, the Copyright Office does not ordinarily make findings of fact with respect to publication or any other thing done outside the Copyright Office.
- 108.05(a)     Requests for explanation.    The Copyright Office reserves the right to request, in appropriate cases, explanations of statements made by an applicant.



- 108                    The examination process. (cont'd)
- 108.05                Factual determinations. (cont'd)
- 108.05(b)            Administrative notice. The Copyright Office may take notice of matters of general knowledge. It may use such knowledge as the basis for questioning applications that appear to contain or be based upon inaccurate or erroneous information.
- 108.06                Adverse claims. The sequence of receipt in the Copyright Office of separate claims by two or more applicants plays no part in determining registrability. Where the Copyright Office is aware that two or more persons or organizations are adversely claiming copyright in, and are seeking separate registrations for, the same material, the Office may inform each applicant of the existence of the other claim(s) and inquire concerning the basis of each claim. All such claims will be registered if they are reasserted and if they are in order as confirmed by the response to the Copyright Office inquiry. The Copyright Office does not conduct "opposition" or "interference" proceedings such as those provided by the Federal trademark and patent laws.
- 108.07                The rule of doubt. The Copyright Office will register the claim even though there is a reasonable doubt about the ultimate action which might be taken under the same circumstances by an appropriate court with respect to whether (1) the material deposited for registration constitutes copyrightable subject matter or (2) the other legal and formal requirements of the statute have been met.
- 108.08                Cautionary or warning letters. When registration is made under the rule of doubt, the Copyright Office will ordinarily send a letter to the applicant cautioning that the claim may not be valid and stating the reason; and such letter may warn, where appropriate, that the

- 108            The examination process. (cont'd)
- 108.08            Cautionary or warning letters. (cont'd)
- problem may exist for future works and point out how it can be avoided. The Office may send the letter and withhold the application until specifically authorized by the applicant to make registration, or it may make registration before sending the letter.
- 108.09            Refusal to register. The Copyright Office will not register a claim where (1) the material deposited does not constitute copyrightable subject matter or (2) the claim is invalid for any other reason. See also section 108.07 above concerning the rule of doubt. The Office will notify the applicant in writing of the reasons for such refusal.
- 108.10            Obscene or pornographic works. The Copyright Office will not ordinarily attempt to examine a work to determine whether it contains material that might be considered obscene or pornographic.
- 108.11            Works containing classified information. When, in examining or processing materials received in the Copyright Office, it is noted that such material contains, or reasonably appears to contain, information classified by the U.S. Government for such reasons as national defense or national security, (1) the appropriate security official of the Library of Congress should be immediately notified through supervisory channels, (2) the material should be held or disposed of in accordance with instructions from that official, and (3) the examination or other processing of the material by the Copyright Office should be suspended until the matter is resolved.
- 109            Communications between the applicant and the Copyright Office. Communications between the Copyright Office and applicants may be by letter or other written means, by telephone, or by personal interview.

- 109            Communications between the applicant and the Copyright Office. (cont'd)
- 109.01        In general. As a general policy the Copyright Office may register claims without communicating with the applicant whenever possible. The Copyright Office will communicate with the applicant before registration only when the claim as a whole is not in substantial compliance with the practices of the Copyright Office as reflected in this Compendium.
- 109.02        Copyright Office communications. All Copyright Office communications should be clear in meaning, concise in statement, and polite in tone.
- 109.03        Opinions and advice. Copyright Office communications that result from the examination of claims should be limited to questions concerning registration and related matters. They should conform to the general policy of the Copyright Office by avoiding the expression of opinions or the offer of advice on such matters as the rights of persons in connection with contracts or alleged infringements. Also, there should be no offer or undertaking to resolve disputes concerning conflicting claims to copyright or similar matters. See section 108.06 above, concerning adverse claims.
- 109.04        One letter concerning more than one application. When more than one application is submitted to the Copyright Office by an applicant in one package, the Office will ordinarily attempt to deal in a single letter with all of those applications which require correspondence, rather than produce a separate letter for each one. Also, the Office may deal in one letter with materials received separately from a single applicant.
- 109.05        Communications from applicants. The Copyright Office will generally consider all statements and materials submitted by applicants. However, any abusive or scurrilous written materials

- 109            Communications between the applicant and the Copyright Office. (cont'd)
- 109.05            Communications from applicants. (cont'd)
- directed to the Office or any of its employees will be returned unanswered; see 37 C.F.R. 201.2(c)(4). Similarly, Copyright Office employees will terminate any conversation or interview, if an applicant makes abusive or scurrilous statements, or engages in threatening behavior.
- 109.06            Languages. The Copyright Office will ordinarily write to applicants only in the English language and will ordinarily conduct conversations and interviews with applicants only in English. As a general rule, the Office is willing to entertain applications and record documents that are in languages other than English, and to deal with correspondence from applicants which is in a language other than English. In special cases, however, the Office may require the submission of an English translation of statements on applications, documents, or correspondence before it takes action.
- 110            Applicants. The applicant for registration may be the author or other copyright claimant, or the owner of exclusive right(s) in the work. Moreover, a duly authorized agent may apply for registration on behalf of such author, claimant, or owner.
- 110.01            Minors. The author, claimant, or owner can be a minor, even though State law may regulate or control business dealings involving minors. The Copyright Office will generally accept an application submitted either by a minor or by the minor's parents or guardian, if it is otherwise in order.
- 110.02            Mental incompetents. The author, claimant, or owner can be a mentally incompetent person. If a committee or guardian has been appointed for a person adjudged to be incompetent, such committee or guardian should generally serve as agent of the applicant.

110            Applicants. (cont'd)

- 110.03            Prisoners. The author, claimant, or owner can be an inmate of a prison or other penal institution. The Copyright Office will generally accept an application submitted by such a person as applicant, if it is otherwise in order.
- 110.04            Paupers. There is no provision of law which requires or permits the waiver or reduction of the registration fee or any other registration requirement of the copyright law on the grounds that the applicant is a pauper or is otherwise impecunious.
- 110.05            Agents. Any duly authorized agent may act on behalf of the applicant. The Copyright Office will generally accept the statement of a person that he or she is acting as the agent of the author, claimant, or owner. However, the Office may, in special cases, request such agent to submit documentation showing that he or she is empowered to act for the author, claimant, or owner. Where such author, claimant, or owner is other than a natural person (for example, where a corporate entity is the claimant), the application must be submitted by a natural person acting as agent. The name of a corporate entity or other organization is not acceptable as the signature of the applicant or agent unless it is accompanied by the signature of a natural person authorized to sign on behalf of such entity or organization.
- 110.06            Attorneys. The Copyright Office does not require that the author, claimant, or owner be represented by an attorney, although the Office may suggest in special cases that the applicant consider seeking the advice of an attorney. No special qualifications or test is imposed on lawyers as a condition to dealing with the Copyright Office.

- 110            Applicants. (cont'd)
- 110.07            False representation. The copyright law provides that any person who knowingly makes a false representation of a material fact in an application for registration, or in any written statement filed in connection with an application, shall be guilty of a criminal offense and shall be fined not more than \$2,500. See 17 U.S.C. 506(e).
- 111            Territorial limitations. The U.S. copyright law has no extraterritorial effect in that generally its provisions with respect to infringement extend only to violations occurring in the United States. Since the practices of the Copyright Office spring solely from the U.S. law, ordinarily the Compendium of Copyright Office Practices deals only with U.S. copyright, unless it expressly states otherwise.
- 112            Recordations and Import Statements. The basic policies set forth above also apply, with some few alterations and exceptions, to the recordation of transfers of copyright ownership and other documents pertaining to copyrights, and to requests for the issuance of Import Statements. See Chapter 1200: MANUFACTURING PROVISIONS, and Chapter 1500: CORRECTIONS AND AMPLIFICATIONS OF COPYRIGHT OFFICE RECORDS; SUPPLEMENTARY REGISTRATIONS.

[END OF CHAPTER 100]

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Chapter 200

COPYRIGHTABLE MATTER - IN GENERAL

Outline of Topics

- 201            Copyrightable matter: in general.
- 202            Original works of authorship.
  - 202.01            Originality.
  - 202.02            Authorship.
- 203            Fixation.
- 204            Compilations and derivative works.
  - 204.01            Compilations defined.
  - 204.02            Derivative works defined.
  - 204.03            Standards for copyrightability of compilations and derivative works.
  - 204.04            Status of compilations and derivative works unlawfully employing preexisting copyrighted material.
  - 204.05            Musical arrangements made under the compulsory license for phonorecords.
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- 205            National origin.
- 206            Government works.
  - 206.01            Edicts of government.
  - 206.02            U.S. Government works.
  - 206.03            Copyrightable government works.





CHAPTER 200

COPYRIGHTABLE MATTER - IN GENERAL

- 201            Copyrightable matter: in general. The clause of the U.S. Constitution cited in section 102 of Chapter 100: BASIC POLICIES, as the basis for the copyright law empowers Congress to secure to authors the exclusive right in their writings. Based on this provision, the current copyright law, which took full effect on January 1, 1978, provides that copyright protection subsists in original works of authorship fixed in any tangible medium of expression now known or later developed, from which they can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device; and the law specifies that works of authorship include the following categories: (1) literary works; (2) musical works, including any accompanying words; (3) dramatic works, including any accompanying music; (4) pantomimes and choreographic works; (5) pictorial, graphic, and sculptural works; (6) motion pictures and other audiovisual works; and (7) sound recordings. See 17 U.S.C. 102(a).
- 202            Original works of authorship. In order for a work to be the subject matter of copyright under the current law, it must be an original work of authorship. Quality, aesthetic merit, ingenuity, and uniqueness are not considered in determining the copyrightability of a work.
- 202.01            Originality. A work must owe its origin to the author in order for it to be original in the copyright sense. The work must neither be one in the public domain nor be copied from any other work. The work need not be "novel," that is, new to the world; to be original it need only be new to the author, that is, not taken from any other source.
- 202.02            Authorship. In order to be an original work of "authorship," the work must contain at least a certain minimum amount of original creative expression.

- 202                    Original works of authorship. (cont'd)
- 202.02                Authorship. (cont'd)
- 202.02(a)            De minimis. Works that lack even a certain minimum amount of original authorship are not copyrightable. Such works are often described as "de minimis," in reference to the principle embodied in the Latin maxim "de minimis non curat lex."
- 202.02(b)            Human author. The term "authorship" implies that, for a work to be copyrightable, it must owe its origin to a human being. Materials produced solely by nature, by plants, or by animals are not copyrightable.
- 202.02(c)            Ideas. The copyright law specifies that copyright protection does not extend to any idea, procedure, process, system, method of operation, concept, principle, or discovery, regardless of the form in which it is described, explained, illustrated, or embodied in a work. See 17 U.S.C. 102(b).
- 202.02(d)            Facts and events. A fact or event, as distinguished from the manner in which it is described in a particular work, is not copyrightable.
- 202.02(e)            Computations and the like. To be an original work of authorship, the work must not be a mere computation based upon a concept or formula, or be the mere extrapolation or application of an idea or system, which would always produce substantially the same result whenever done correctly by anyone. For example, the computation of interest based upon a particular rate is not copyrightable, nor is the mere transposition of music from one key to another. In connection with transposition, see Chapter 400: COPYRIGHTABLE MATTER - WORKS OF THE PERFORMING ARTS AND SOUND RECORDINGS.

- 202            Original works of authorship. (cont'd)
- 202.02            Authorship. (cont'd)
- 202.02(f)            Useful articles. No copyright can subsist in a "useful article" as defined by the copyright law. However, elements incorporated or embodied in a useful article that can be identified separately from, and are capable of existing independently of, the useful article may be copyrightable. See Chapter 500: COPYRIGHTABLE MATTER - PICTORIAL, GRAPHIC, AND SCULPTURAL WORKS.
- 202.02(g)            Blank forms. Blank forms, such as time cards, graph paper, account books, bank checks, scorecards, address books, report forms, order forms, and the like, which are designed for recording information and do not in themselves convey information or contain other copyrightable matter are not copyrightable. See 37 C.F.R. 202.1(c).
- 202.02(h)            Information that is common property. Works consisting entirely of information that is common property containing no original authorship, such as, for example, standard calendars, height and weight charts, tape measures and rulers, schedules of sporting events, and lists or tables taken from public documents or other common sources are not copyrightable. See 37 C.F.R. 202.1(d).
- 202.02(i)            Words and short phrases. Words and short phrases such as names, titles, and slogans are not copyrightable. See 37 C.F.R. 202.01(a).
- 202.02(j)            Familiar symbols, typeface, and design of printed material. Familiar symbols or designs, and mere variations of typographic ornamentation, lettering, or coloring, are

- 202            Original works of authorship. (cont'd)
- 202.02            Authorship. (cont'd)
- 202.02(j)            Familiar symbols, typeface, and design of printed material. (cont'd)
- not copyrightable. See 37 C.F.R. 202.1(a). Typeface is not copyrightable, nor is the design, format, or layout of books and other printed material. See Chapter 300: COPYRIGHTABLE MATTER - NONDRAMATIC LITERARY WORKS.
- 202.02(k)            Listings. The mere listing of ingredients or contents is not copyrightable. See 37 C.F.R. 202.1(a).
- 202.02(l)            Characters. The copyright law does not provide for the copyright registration of characters as such. However, original works of authorship describing, depicting, or embodying a character are registrable if otherwise in order.
- 202.02(m)            Use of protected characters, names, and slogans. Occasionally, works incorporate names, titles, or slogans whose utilization is subject to restrictions by other laws. As these restrictions have nothing to do with copyright, the incorporation of these elements does not prevent registration. Where the Copyright Office is aware that a use of certain elements within a work may be in violation of existing law, it may inform the applicant of the possible restriction and direct the applicant to the agency involved. Some examples of restricted names and characters are: "Olympic," "Olympiad," (36 U.S.C. 380); "Woodsy Owl" (18 U.S.C. 711a); and "Smokey Bear" (18 U.S.C. 711).

202            Original works of authorship.    (cont'd)

202.03            Works in the public domain. Works in the public domain in the United States cannot be the subject of U.S. copyright protection. Since such works may be copied and used by anyone insofar as the U.S. copyright law is concerned, they may be freely combined with new matter or otherwise incorporated or embodied in compilations or in abridgments, adaptations, arrangements, dramatizations, translations, or other derivative forms. If the new matter contains sufficient original authorship to support a copyright, registration may be based on such new matter. However, in any such case, copyright extends only to the new material and does not imply any exclusive right in the public domain material. Works in the public domain include those whose once valid U.S. copyright has expired and works otherwise dedicated to the public either voluntarily or by operation of law. Also considered part of the public domain are edicts of government, which are uncopyrightable for reasons of public policy; see section 206.01 below. In addition, works of the U.S. Government, that is, works prepared by officers or employees of the U.S. Government as part of such persons' official duties are not copyrightable; see section 206.02 below.

203            Fixation. In order to be subject to copyright registration, a work must be fixed in a tangible medium of expression by or under the authority of the author. A work consisting of sounds, images, or both, that are being transmitted, is "fixed" if a fixation of the work is being made simultaneously with its transmission. See 17 U.S.C. 101 and 102. Special problems with respect to the fixation of sound recordings are treated in Chapter 400: COPYRIGHTABLE MATTER - WORKS OF THE PERFORMING ARTS AND SOUND RECORDINGS.

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Compilations and derivative works. The copyright law specifies that the subject matter of copyright includes compilations and derivative works but that copyright for a work employing preexisting material in which copyright subsists does not extend to any part of the work in which such material has been used unlawfully. See 17 U.S.C. 103(a). The law also specifies (1) that copyright in a compilation or derivative work extends only to the material contributed by the author of such work and does not imply any exclusive right in the preexisting material and (2) that the copyright in such work is independent of, and does not affect or enlarge the scope, duration, or subsistence of, any copyright in the preexisting material. See 17 U.S.C. 103(b).

204.01

Compilations defined. The copyright law defines a "compilation" as a work formed by the collection and assembling of preexisting materials or of data that are selected, coordinated, or arranged in such a way that the resulting work as a whole constitutes an original work of authorship. The law also states that the term "compilation" includes "collective works," which are works, such as a periodical issue, anthology, or encyclopedia, in which a number of contributions, constituting separate and independent works in themselves, are assembled into a collective whole. Hence, in effect, compilations are either (1) collective works, or (2) other compilations, the latter being works consisting of the collection and assembling of preexisting materials or data other than separate and independent works. See 17 U.S.C. 101.

204.02

Derivative works defined. The copyright law defines a "derivative work" as a work based upon one or more preexisting works, such as a translation, musical arrangement, dramatization, fictionalization, motion picture version, sound recording, art reproduction, abridgment, condensation, or other form in which a work may be recast, transformed, or adapted. The law also states that a work consisting of editorial

204                    Compilations and derivative works.    (cont'd)204.02                Derivative works defined.    (cont'd)

revisions, annotations, elaborations, or other modifications which, as a whole, represent an original work of authorship, is a derivative work. See 17 U.S.C. 101.

204.03                Standards for copyrightability of compilations and derivative works.    The standards for the copyrightability of compilations and derivative works include the following requirements: (1) they must be original works of authorship, and (2) they must comply with the other provisions of the law.204.04                Status of compilations and derivative works unlawfully employing preexisting copyrighted material.    Copyright protection for a work employing preexisting material in which copyright subsists does not extend to any part of the work in which such material has been used unlawfully. See 17 U.S.C. 103(a).

- This means that where a work is based on a preexisting work, without authorization of the copyright owner and unlawfully, the new material may be subject to copyright protection only to the extent that it can be separated from the preexisting work.
- Where the new matter (such as certain editorial revisions, translations, and musical arrangements) is inextricably integrated with the preexisting work, without authorization of the copyright owner, registration for the new matter cannot be made.
- However, where the new matter (such as new lyrics set to an existing melody) is capable of existing separately, registration may be possible, even though the use may be an infringement of the copyright in the pre-existing work.

- 204            Compilations and derivative works. (cont'd)
- 204.05            Musical arrangements made under the compulsory license for phonorecords. Where phonorecords of nondramatic musical works are made under the compulsory license provisions of 17 U.S.C. 115, a new arrangement of the musical work may be made without the consent of the copyright owner of the preexisting work. However, such arrangement is not subject to copyright protection as a derivative work without the express consent of the copyright owner of the preexisting work. See Chapter 400: COPYRIGHTABLE MATTER - WORKS OF THE PERFORMING ARTS AND SOUND RECORDINGS.
- 204.06            Ephemeral recordings. The copyright law provides that ephemeral recordings may lawfully be made of certain copyrighted works without the authority of the owners of copyright. However, transmission programs embodying such works are not subject to copyright protection as derivative works without the express consent of the owners of copyright in the preexisting works. See 17 U.S.C. 112.
- 205            National origin. The copyright law provides that all unpublished works otherwise subject to copyright protection are registrable without regard to the nationality or domicile of the author. However, the law provides that published works are subject to copyright protection and eligible for registration only under certain specified conditions relating to their national origin. See Chapter 1100: ELIGIBILITY.
- 206            Government works. Certain government works are subject to special rules.
- 206.01            Edicts of government. Edicts of government, such as judicial opinions, administrative rulings, legislative enactments, public ordinances, and similar official legal documents are not copyrightable for reasons of public policy. This applies to such works whether they are Federal, State, or local as well as to those of foreign governments.



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Government works.

- 206.02 U.S. Government works. The copyright law provides that works of the U.S. Government, defined in the law as works prepared by an officer or employee of the U.S. Government as part of that person's official duties, are not copyrightable. This provision applies to such works whether they are edicts of government or otherwise. However, the fact that a copyright may have been transferred to the U.S. Government is not determinative of its status. U.S.C. 101 and 105. Similarly, the fact that the work has been printed by the U.S. Government does not determine its copyright status.
- 206.02(a) Standard Reference Data Act. Under the Standard Reference Data Act, 15 U.S.C. 290e, the Secretary of Commerce may secure copyright on behalf of the United States as author or proprietor of any standard reference data that the Secretary prepares or makes available under the Act.
- 206.02(b) U.S. Postal Service. Works of the U.S. Postal Service, as now constituted, are not considered U.S. Government works.
- 206.02(c) District of Columbia. Works of the government of the District of Columbia, as now constituted, are not considered U.S. Government works.
- 206.02(d) Commonwealth of Puerto Rico. Works of the government of Puerto Rico are not considered to be U.S. Government works.
- 206.02(e) Territorial areas under the jurisdiction of the U.S. Government. Works of the governments of the "organized territories" under the jurisdiction of the U.S. Government are acceptable for registration under the rule

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206            Government works. (cont'd)206.02            U.S. Government works. (cont'd)206.02(e)            Territorial areas under the jurisdiction of  
the U.S. Government. (cont'd)

of doubt. Works of the governments of other territorial areas under the jurisdiction of the U.S. Government are considered to be U.S. Government works. See Chapter 1100: ELIGIBILITY.

206.03            Copyrightable government works. Works (other than edicts of government) prepared by officers or employees of any government (except the U.S. Government) including State, local, or foreign governments, are subject to registration if they are otherwise copyrightable. In addition, the copyright law specifies that works first published by the United Nations or any of its specialized agencies, or by the Organization of American States, are subject to copyright protection. See 17 U.S.C. 104(b)(3); see also Chapter 1100: ELIGIBILITY.

[END OF CHAPTER 200]

[1984]

Chapter 300

COPYRIGHTABLE MATTER:  
NONDRAMATIC LITERARY WORKS

Outline of Topics

- 301           Applicability of this chapter.
- 302           Definition: literary works.
- 303           Definition: nondramatic literary works.
- 304           Copyrightable literary expression.
- 305           Noncopyrightable material.
- 305.01       Names, titles, slogans, and other short  
                  phrases.
- 305.02       Ideas, methods, or systems.
- 305.03       Measuring and computing devices.
- 305.04       Works consisting entirely of information  
                  that is common property.
- 305.05       Blank forms.
- 305.06       Format or layout.
- 305.07       Book design.
- 305.08       Limits on copyrightability.
- 305.09       Use of protected characters, names, slogans,  
                  symbols, and seals.
- 306           Derivative works.
- 306.01       Extent of claim.
- 306.02       Types of nondramatic literary derivative  
                  works.
- 307           Compilations.
- 307.01       Registrability.
- 307.02       Telephone books, directories, price lists,  
                  and the like.
- 307.03       Coordination and arrangement.

- 308           Collective works.
- 308.01       In general.
- 308.02       Collective works made for hire.
- 308.03       Registration of collective works.
- 308.04       Periodicals other than daily newspapers.
- 308.05       Daily newspapers: various editions.
- 309           Certain periodicals not collective works.
- 310           Contributions to collective works.
- 310.01       All rights to an independent contribution  
                  owned by claimant of collective work.
- 311           Unit registration for contributions to periodicals.
- 312           Book jackets.
- [Number 313 is reserved].
- 314           Tests and answer material for tests.
- 315           Secure tests.
- 316           Copyright ownership as distinct from ownership of  
                  material object.
- 316.01       Letters and diaries.
- 317           Interviews.
- 318           Facts, historical data, and "news."
- 318.01       Research.
- 319           Author deceased before date of creation of work.

- 320            Machine-readable works.
- 320.01        Literary works embodied in machine-readable form.
- 321            Computer programs.
- 321.01        Source code.
- 321.02        Object code.
- 321.03        Relationship between source code and object code.
- 322            Copyrightable subject matter.
- 323            Derivative computer programs.
- 323.01        Registrability of a derivative computer program.
- 324            Deposit for registration: identifying material.
- 324.01        Title on identifying material.
- 324.02        Notice on identifying material.
- 324.03        Source code as best deposit.
- 324.04        Rule of doubt.
- 324.05        Special relief.
- 324.06        Specific deposit examples.
- 325            Completing the application form.
- 325.01        Asserting a claim in a derivative computer program.
- 325.02        Nature of authorship and extent of claim.
- 326            Glossary of terms.
- 327            Instructional booklets, flowcharts, and the like.
- 328            Automated data bases.



## Chapter 300

### COPYRIGHTABLE MATTER: NONDRAMATIC LITERARY WORKS

- 301 Applicability of this chapter. This chapter concerns itself solely with nondramatic literary works.
- 302 Definition: literary works. Literary works are defined as works, other than audiovisual works, expressed in words, numbers, or other verbal or numerical symbols or indicia, regardless of the nature of the material objects, such as books, periodicals, manuscripts, phonorecords, film, tapes, disks, or cards, in which they are embodied. 17 U.S.C. 101.
- 303 Definition: nondramatic literary works. A nondramatic literary work is one that explains, describes, or narrates a particular idea, theme, or subject; it does not usually employ dialog or action to represent or give directions for representing all or a substantial portion of a story as actually occurring.
- 304 Copyrightable literary expression. To be registrable, a nondramatic literary work must contain at least a certain minimum amount of literary expression owing its origin to the author. See Chapter 200: COPYRIGHTABLE MATTER - IN GENERAL.
- 305 Noncopyrightable material. The following are not copyrightable and therefore cannot serve as a basis for registration.
- 305.01 Names, titles, slogans, and other short phrases. Names, titles, slogans, and other short phrases or expressions are not copyrightable, even if such expressions are novel, distinctive, or lend themselves to a play on words. Similarly, a mere listing of ingredients or contents is not copyrightable. See 37 C.F.R. 202.1(a).

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Noncopyrightable material. (cont'd)

- 305.02 Ideas, methods, or systems. Ideas, methods, systems, or the like are not copyrightable, regardless of the form in which they may be described, explained, or embodied in a work. In no case does copyright protection for an original work of authorship extend to any idea, procedure, process, system, method of operation, concept, principle, or discovery, regardless of the form in which it is described, explained, illustrated, or embodied in such work. See 17 U.S.C. 102(b).
- 305.03 Measuring and computing devices. Devices and similar articles designed for computing and measuring are not copyrightable. Common examples of such devices are slide rules, wheel dials, and nomograms that contain insufficient original literary or pictorial expression.
- 305.04 Works consisting entirely of information that is common property. Examples of these kinds of works include standard calendars, height and weight charts, tape measures and rulers, schedules of sporting events, and lists or tables taken from public documents or other common sources. However, such a work may contain sufficient copyrightable material, such as instructional text, to warrant a registration, but such a registration would not extend protection to the uncopyrightable material. See 37 C.F.R. 202.1(d).
- 305.05 Blank forms. Blank forms, such as time cards, graph paper, account books, diaries, bank checks, scorecards, address books, report forms, order forms, and the like, which are designed for recording information, and do not in themselves convey information, are not copyrightable. See 37 C.F.R. 202.1(c). However, the Copyright



- 305            Noncopyrightable material. (cont'd)
- 305.05        Blank forms. (cont'd)
- Office will register a work containing a certain minimum amount of original, creative expression, regardless of whether the work contains uncopyrightable elements designed for simple recordation of information. Thus, textual works, such as contracts, insurance policies, and the like, and bank checks containing pictorial authorship, may be registrable if they contain a sufficient amount of original literary or artistic expression.
- 305.06        Format or layout. Copyright does not protect either the general format or layout, or the idea expressed by either of these.
- 305.07        Book design. Book designs may include choice of style and size of typeface, leading (space between lines of type), placement of folio (page numbers), arrangement of type on pages, and placement, spacing, and juxtaposition of text and illustrative matter -- in short, all the physical and visual attributes of a book. After having issued a notice of proposed rulemaking and having held a hearing, the Copyright Office decided not to change its long-standing practice of not registering claims to copyright in book design. The Office concluded that "the arrangement, spacing, or juxtaposition of text matter which is involved in book design falls within the realm of uncopyrightable ideas or concepts." See 46 Fed. Reg. 30651 (1981).
- 305.08        Limits on copyrightability. Certain categories of nondramatic literary works are not copyrightable, even though they may contain a substantial amount of textual material. They include the following:

- 305            Noncopyrightable material. (cont'd)
- 305.08            Limits on copyrightability. (cont'd)
- 305.08(a)            Works in the public domain. Works in the public domain in the United States cannot be the subject of U.S. copyright protection. See section 203 of Chapter 200: COPYRIGHTABLE MATTER - IN GENERAL.
- 305.08(b)            Nondramatic literary works unlawfully employing other works under copyright protection. Nondramatic literary works that unlawfully employ another work under copyright protection are not themselves subject to copyright protection if they are inseparably intertwined with the preexisting work. See 17 U.S.C. 103(a) and H.R. Rep. 94-1476, 94th Cong., 2d Sess. 57-8 (1976). For example, an unlawful English-language translation that cannot be separated from the original French-language version would not be registrable. However, the Copyright Office does not generally investigate the copyright status of preexisting material or whether it has been used lawfully. Where a work unlawfully employs preexisting copyrighted material that is separate from the new material, the new work is registrable.
- 305.08(c)            Works of the U.S. Government. Works of the U.S. Government are works prepared by an officer or employee of the U.S. Government as part of that person's official duties. Ordinarily, such works are in the public domain in the United States. See section 206 of Chapter 200: COPYRIGHTABLE MATTER -- IN GENERAL.

- 305                    Noncopyrightable material. (cont'd)
- 305.08                Limits on copyrightability. (cont'd)
- 305.08(c)            Works of the U.S. Government. (cont'd)
- 305.08(c)(1)        Standard Reference Data Act. An exception exists under the Standard Reference Data Act (15 U.S.C. 290e) for any standard reference data that the Secretary of Commerce prepares or makes available under the Act. Claims registered under this Act should be annotated to read as follows: "Claim registered under the Standard Reference Data Act, P.L. 90-396 (15 U.S.C. 290e)."
- 305.08(c)(2)        Transfer of copyright to the U.S. Government. The fact that copyright protection is not possible for works authored by officers or employees of the U.S. Government, except as stated in section 305.08(c) above, does not prevent the U.S. Government from receiving and holding copyrights transferred to it. See 17 U.S.C. 105.
- 305.08(d)           Edicts of government. Edicts of government, such as judicial opinions, administrative rulings, legislative enactments, public ordinances, and similar official legal documents, are not copyrightable for reasons of public policy. This applies to such works whether they are Federal, State, or local as well as to those of foreign governments.
- 305.09                Use of protected characters, names, slogans, symbols, and seals. Occasionally, works incorporate names, titles, slogans, symbols, or seals whose utilization is subject to restrictions by other laws. As these restrictions have nothing to do with copyright, the incorporation of these elements

305 Noncopyrightable material. (cont'd)305.09 Use of protected characters, names, slogans, symbols, and seals. (cont'd)

does not prevent registration. Where the Copyright Office is aware that a use of certain elements within a work may be in violation of existing law, it may inform the applicant of the possible restriction and direct the applicant to the agency involved. Some examples of restricted names and characters are "Olympic," "Olympiad" (36 U.S.C. 380); "Woodsy Owl" (18 U.S.C. 711a); and "Smokey Bear" (18 U.S.C. 711).

306 Derivative works. A derivative work is a work based upon one or more preexisting works, such as a translation, musical arrangement, dramatization, fictionalization, motion picture version, sound recording, art reproduction, abridgment, condensation, or any other form in which a work may be recast, transformed, or adapted. A work consisting of editorial revisions, annotations, elaborations, or other modifications which, as a whole, represent an original work of authorship, is a "derivative work." 17 U.S.C. 101.

306.01 Extent of claim. The copyright in a derivative work extends only to the material contributed by the author of such work, as distinguished from the preexisting material employed in the work, and does not imply any exclusive right in the preexisting material. The copyright in such work is independent of, and does not affect or enlarge the scope, duration, ownership, or subsistence of, any copyright protection in the preexisting material. 17 U.S.C. 103(b). Where a work contains a substantial amount of previously registered, published, or public domain material, the application should contain a statement of the preexisting material as well as the new copyrightable material.

- 306                    Derivative works.    (cont'd)
- 306.02                Types of nondramatic literary derivative works.    Examples of nondramatic literary derivative works are as follows:
- 306.02(a)            Translations.    A translation is a rendering of a work from one language to another, as, for example, a work translated from Russian into French, or from German into English. However, transliterations and similar processes by which letters or sounds from one alphabet are converted to another are not copyrightable since the conversion is merely a mechanical act. Thus, merely changing a work from the Cyrillic to the Roman alphabet would not be copyrightable.
- 306.02(b)            Fictionalizations.    A fictionalization is a treatment of a factual work in which the elements are recast, transformed, or adapted to produce a work of fiction. A work which is only loosely based on the ideas or facts found in an earlier work, is not considered to be a derivative work.
- 306.02(c)            Abridgments.    An abridgment is commonly defined as a shortened or condensed version retaining the general sense and unity of the original work. An abridgment of a nondramatic literary work may be registrable, but more selectivity is required than merely omitting a section from the beginning or end.
- 307                    Compilations.    A "compilation" is a work formed by the collection and assembling of preexisting materials or of data that are selected, coordinated, or arranged in such a way that the resulting work as a whole constitutes an original work of authorship. The term "compilation" includes collective works. 17 U.S.C. 101.

307

Compilations. (cont'd)

307.01

Registrability. A compilation is registrable if its selection, coordination, or arrangement as a whole constitutes an original work of authorship. The greater the amount of material from which to select, coordinate, or order, the more likely it is that the compilation will be registrable. Where the compilation lacks a certain minimum amount of original authorship, registration will be refused. Any compilation consisting of less than four selections is considered to lack the requisite original authorship. See also section 625 of Chapter 600: REGISTRATION PROCEDURES.

## Examples:

- (1) The selection and ordering of 20 of the best short stories of O. Henry would be registrable as a compilation.
- (2) Where all three of an author's plays were previously published and the present publication consists of all three plays, no registration based on compilation authorship is possible.

307.02

Telephone books, directories, price lists, and the like. Telephone books, directories, price lists, and the like may be registered if they contain sufficient authorship in the form of compilation or other copyrightable material.

307.03

Coordination and arrangement. Reference to "coordinated" or "arranged," as used in the definition of a "compilation" in 17 U.S.C. 101, does not refer to format, but to the original ordering or grouping of the items.

308

Collective works. A collective work is a work, such as a periodical issue, anthology, or encyclopedia, in which a number of contributions, constituting separate and independent works in themselves, are assembled into a collective whole. 17 U.S.C. 101.

308            Collective works. (cont'd)

308.01            In general. Generally, collective works incorporate two different types of material: first, the collective work as a whole, which includes the elements of compilation, revision, editing, and similar authorship that goes into putting the work into final form; and secondly, any individual, self-contained contributions.

308.02            Collective works made for hire. The collective work as a whole is often a work made for hire, and in such cases, the author is the employer or other person for whom the work was prepared. See 17 U.S.C. 201(b).

308.03            Registration of collective works. For a collective work, the application should generally contain the title of the collective work, and the volume, number, and issue date, if any, in the appropriate space on the application form.

308.04            Periodicals other than daily newspapers. The following practices govern the registrability of periodicals other than daily newspapers:

308.04(a)            Separate editions. Where an issue of a periodical is published in two or more separate editions containing different copyrightable matter, separate registrations may be made.

Examples:

- 1) English, Spanish, and French editions of a magazine.
- 2) Eastern, Midwestern, and West Coast editions of a weekly news magazine, in which some of the contents are changed to correspond with the regional interests of readers.

- 308            Collective works. (cont'd)
- 308.04            Periodicals other than daily newspapers.  
(cont'd)
- 308.04(b)            Difference in advertising matter. Where the only difference between the editions is in advertising matter, separate registrations will not be made unless the advertisements are asserted to belong to the copyright claimant for the periodical.
- 308.04(c)            Difference in uncopyrightable elements. Where the only difference between the editions is in uncopyrightable elements such as typography, size, coloring, paper stock, or the like, separate registrations will not be made.
- 308.05            Daily newspapers: various editions. A single registration may be made for the various editions of a daily newspaper or for a daily newspaper which contains different regional supplements. If the application for registration refers to the various editions or supplements, the deposit must include such editions or supplements.
- 309            Certain periodicals not collective works. Certain periodicals are not collective works since they consist entirely of a single contribution. The application should, in such event, assert a basis of claim in "text," if original, rather than "collective work."
- 310            Contributions to collective works. An individual contribution that was written independently and not as a "work made for hire" is considered a separately copyrightable work. See 17 U.S.C. 201(c). Where the owner of copyright in a collective work has not obtained ownership of all rights initially belonging to the author of a particular contribution, such person cannot be the "claimant" of copyright in that contribution. See 37 C.F.R. 202.3(a)(3). To register



310 Contributions to collective works. (cont'd)

such a contribution, a separate application must be submitted naming as claimant the author of the contribution, or the person or organization that has obtained ownership of all rights in the contribution that the author originally owned.

310.01 All rights to an independent contribution owned by claimant of collective work. Where the copyright claimant in a collective work is also the owner of all rights in a particular contribution, the author of that contribution may be included as an author in the appropriate space on the application form. If such an individual author is identified on the application, the transfer space should be completed showing how the claimant obtained all rights in the contribution. However, the Copyright Office does not require that all authors of contributions covered by the copyright claim be identified on the application.

311 Unit registration for contributions to periodicals. The practices concerning unit registration for contributions to periodicals will be dealt with in Chapter 1400: GROUP REGISTRATIONS.

312 Book jackets. Book jackets often contain several kinds of authorship such as text, illustrations, and photographs. A claim in a book jacket may be registered if it contains a sufficient amount of copyrightable authorship. Where the copyright claimant of the authorship in the book jacket is not the same as the claimant in the book, a separate registration must be made for the book jacket. Where the claim in a book jacket is based solely on "design," that is, the arrangement, spacing, and juxtaposition of uncopyrightable elements, registration will be refused. See section 305.07 above.

[Number 313 is reserved].

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314 Tests and answer material for tests. The Copyright Office will register claims to copyright in tests and machine scorable answer sheets provided the works contain a minimum level of original textual or compilation expression. The work may consist of a test, a test accompanied by an answer sheet, or merely an answer sheet. In a case where the work consists of an answer sheet lacking textual expression, registration can only be considered on the basis of substantial compilation authorship and the application should describe the extent of the claim as compilation. All such registrations are made under the rule of doubt. Answer sheets having insufficient elements on which to base a claim of compilation authorship are not registrable. This practice is in accord with the decision in Harcourt, Brace & World, Inc. v. Graphic Controls Corp., 329 F.Supp. 517, 38 C.O.Bull. 312 (S.D.N.Y. 1971).

315 Secure tests. Secure tests are nonmarketed tests administered under supervision at specified centers on specific dates, all copies of which are accounted for and either destroyed or returned to restricted locked storage following each administration. For these purposes a test is not marketed if copies are not sold but it is distributed and used in such a manner that ownership and control of copies remain with the test sponsor or publisher. This category encompasses tests used in conjunction with admissions to educational institutions, high school equivalency, placement in or credit for undergraduate and graduate course work, awarding of scholarships and professional certification. See 37 C.F.R. 202.20(b)(4). In the case of tests, and answer material for tests, published separately from other literary works, the deposit of one complete copy will suffice in lieu of two copies. In the case of any secure test, the Copyright Office will return the deposit to the applicant promptly after examination, provided that sufficient portions, description, or the like are retained so as to constitute a sufficient archival record of the deposit. See 37 C.F.R. 202.20(c) (2)(vi). For further information on deposit, see Chapter 800: DEPOSIT FOR REGISTRATION.

316            Copyright ownership as distinct from ownership of material object. Ownership of a copyright, or of any of the exclusive rights under a copyright, is distinct from ownership of any material object in which the work is embodied. Transfer of ownership of the material object does not of itself convey any rights in the copyrighted work, nor, in the absence of an agreement, does the transfer of ownership of a copyright convey property rights in any material object. See 17 U.S.C. 202.

316.01        Letters and diaries. In the case of letters, the author of the letter and not the recipient or possessor has the right to claim copyright. Similarly, the mere possession of a diary does not entitle the possessor to claim copyright, regardless of whether the material object was purchased or found. Letters and diaries are often published with additional new material such as a foreword or explanatory notes; registration may be made for this new material, provided that it represents at least a certain minimum amount of copyrightable authorship. However, applications for works consisting of letters or diaries should contain information regarding the author of these works only where the claimant named on the application is authorized to claim copyright in this material. Where the author of the letter or diary is named on the application and is not also the claimant, the application must state how the rights in the letter or diary were transferred to the claimant.

317            Interviews. A work consisting of an interview often contains copyrightable authorship by the person interviewed and the interviewer. Each has the right to claim copyright in his or her own expression in the absence of a valid agreement to the contrary. Where an application for such a work names only the interviewee or the interviewer as author and claimant, and where

317 Interviews. (cont'd)

the nature of authorship is described as "entire text," it is unclear whether the claim actually extends to the entire work, or only to the text by the interviewee or the interviewer. In any case where the extent of the claim is not clear, the Copyright Office must communicate with the applicant for clarification.

318 Facts, historical data, and "news." Works are often submitted for registration which contain "news" or other factual data, or which recount historical events. A distinction should be made between the original expression which the author uses and the noncopyrightable data, news, or facts which are set forth in the work. If it appears that the applicant is seeking to extend the claim to such uncopyrightable material, the Copyright Office will generally communicate with the applicant for clarification.

318.01 Research. The function or activity which constitutes "research" is not copyrightable. However, the expression embodied in the product or result of research may be copyrightable if it contains at least a certain minimum amount of original authorship.

319 Author deceased before date of creation of work. Where the application names as author an individual who was deceased on the date of creation of the work, and who is alleged to have dictated his or her writings "from the beyond," the Copyright Office will generally write to explain the requirements of the law regarding authorship and ownership. Ordinarily, works of this kind will contain additional material, such as an introduction, and registration may be made for this material, provided there is sufficient copyrightable authorship. Where the only author named was deceased on the date of creation and that person is named as claimant, the Office

319 Author deceased before date of creation of work.  
(cont'd)

will refuse to register the claim, since a deceased person cannot be a copyright claimant. Where the deceased person is named as the only author and another person or an organization is named as claimant, the Office will also refuse registration, since any "transfer" from the deceased author to the claimant could not fulfill the requirement of the copyright law that transfers of copyright ownership be in writing and signed by the transferor.

320 Machine-readable works. A machine-readable work is either an unpublished work which is fixed, or a published work which is published only in the form of machine-readable copies from which the work cannot ordinarily be perceived except with the aid of a machine or device. Works published in a form requiring the use of a machine or device for purposes of optical enlargement (such as film, filmstrips, slide films, and works published in any variety of microform), and works published in visually perceptible form but used in connection with optical scanning devices, are not within this category. Examples of nondramatic literary works which are machine-readable are computer programs and data bases. Such works may be embodied in the form of magnetic tapes or disks, computer chips, punched cards, or the like. See 37 C.F.R. 202.20(c)(2)(vii).

320.01 Literary works embodied in machine-readable form. Nondramatic literary works embodied in machine-readable form include computer programs and data bases, as well as other textual works, such as, instructional manuals, educational coursework, and the like.

321 Computer programs. A "computer program" is a set of statements or instructions to be used directly or indirectly in a computer in order to bring about a certain result. 17 U.S.C. 101.

321

Computer programs. (cont'd)

Because computer programs do not generally contain textual information, the claim to copyright in a computer program is generally made on the basis of authorship expressed in "numerical symbols or indicia" contained in the program. Computer programs are ordinarily considered "literary works" and can be considered for registration on Form TX.

## Examples:

- 1) A program that calculates the orbit of a rocket.
- 2) A program that computes wages and salaries for a payroll.
- 3) A self-teaching mathematics program for elementary students.

321.01

Source code. Source code is the computer program code as the programmer writes it, using a particular programming language, generally a program written in high-level language, such as, BASIC, COBOL, or FORTRAN. A program in source code must be changed into object code before the computer can execute it. This change is accomplished by a separate program within the computer called an assembler or a compiler to enable the program to be run on a particular brand and model computer (e.g., a compiler on a TRS-80 Model III would enable source code to be executed on that particular brand and model computer).

321.02

Object code. Object code is the representation of the program in machine language (e.g., binary coding using zeros and ones or hexadecimal coding using letters and numbers or octal coding using 0 to 7) which the computer executes.

- 321            Computer programs. (cont'd)
- 321.03            Relationship between source code and object code. The Copyright Office considers source code and object code as two representations of the same computer program. For registration purposes, the claim is in the computer program rather than in any particular representation of the program. Thus separate registrations are not appropriate for the source code and object code representations of the same computer program. However, where a work in source code is registered in unpublished form, and the published version of the same work is submitted for registration in object code form, registration will be made.
- 322            Copyrightable subject matter. To be registrable, a computer program must contain at least a certain minimum amount of original authorship in the form of statements or instructions.
- 323            Derivative computer programs. A derivative computer program is one that is based on or incorporates material from a previously published or registered or public domain program that has been revised, augmented, abridged, or otherwise modified so that the modifications, as a whole, represent an original work of authorship. See also section 306 above.
- 323.01            Registrability of a derivative computer program. Registration for a derivative computer program covers only the additions, changes, or other new material appearing in the program for the first time. Therefore, the new material itself must be original and represent copyrightable authorship. Where only a few minor revisions or additions have been made, or where those that were made are of a rote nature predetermined by the functional considerations of the hardware, registration for the new material is not possible.

323

Derivative computer programs. (cont'd)

323.01

Registrability of a derivative computer program. (cont'd)

## Examples:

- 1) A derivative program would be registrable where a substantial new program code has been added to a previously published program to enable it to accomplish additional functions.
- 2) A student-programmer translates a previously published program from COBOL to FORTRAN [both are source-code programming languages]. The resulting translation would represent a copyrightable derivative work.
- 3) A previously published program is adapted to run on a different model or brand of computer. The Office will question the nature and extent of the adaptation to determine registrability. If the changes were functionally predetermined, registration will be refused.
- 4) An applicant files two applications for the same program: one specifically for the source code and the other for the object code. Since the object code version does not contain copyrightable differences, there is no basis for a separate registration for the object code. The Office will communicate with the applicant suggesting a single registration for the computer program.

324

Deposit for registration: identifying material. Where a computer program is fixed or published only in the form of machine-readable copies, the deposit for registration purposes shall consist of one copy of identifying portions of the program, reproduced in a form visually perceptible without the aid of a machine or device, either on paper or in microform. For these purposes,



324

Deposit for registration: identifying material.  
(cont'd)

"identifying portions" shall mean either the first and last 25 pages or equivalent units of the program if reproduced on paper, or at least the first and last 25 pages or equivalent units of the program if reproduced in microform, together with the page or equivalent unit containing the copyright notice, if any. See 37 C.F.R. 202.20(c)(2)(vii). If the computer program is less than 50 pages in length, the entire program should be deposited. For registration of a derivative computer program, identifying portions of the new material should be included in the deposit.

NOTE: Works fixed or published in both machine-readable and visually-perceptible form are not considered machine-readable works for purposes of deposit for registration. The appropriate deposit requirements for the visually-perceptible form apply. See section 806.12 of Chapter 800: DEPOSIT FOR REGISTRATION.

- 324.01      Title on identifying material. The identifying material deposited should bear a title clearly identifying the work for which registration is sought. Where the title is given on the application but not on the identifying material (for a published or unpublished work), the Copyright Office will add the title to the identifying material if it is clear that the identifying material represents the work specified on the application.
- 324.02      Notice on identifying material. The identifying material should include the page or equivalent unit containing the copyright notice if copies of the computer program were published with notice. Where the copyright notice is encoded within the object

- 324            Deposit for registration: identifying material.  
                 (cont'd)
- 324.02            Notice on identifying material. (cont'd)
- code so that its presence and content are not readily discernible, the notice should be underlined or highlighted and its contents decoded.
- 324.03            Source code as best deposit. The Copyright Office considers the source code to be the best representation of the copyrightable authorship in a computer program. Thus the identifying material deposited for a computer program should be in source code.
- 324.04            Rule of doubt. Where the applicant is unable or unwilling to deposit identifying material in source code, depositing only object code instead, registration for the computer program will be made under the rule of doubt if the applicant confirms in writing that the work as deposited contains copyrightable material. See also section 108.07 of Chapter 100: BASIC POLICIES.
- NOTE: Because object code is basically unintelligible to copyright examiners, it is not possible to examine the deposit to determine the presence of copyrightable authorship. The doubt in this instance does not concern the copyrightability of computer programs in general.
- 324.05            Special relief. Special relief is a procedure which allows the Register of Copyrights to grant the requester the option of depositing less than or other than that which is required under the general deposit provisions. Special relief is an option available to computer program applicants when they are unable or unwilling to deposit the usual identifying material in source code format. See section 808 of Chapter 800: DEPOSIT FOR REGISTRATION; see also 37 C.F.R. 202.20(d).

324                    Deposit for registration: identifying material.  
(cont'd)

324.05                Special relief. (cont'd)

324.05(a)            Trade secrets and special relief. When a computer program contains trade secrets or other confidential material that the applicant is unwilling to disclose by depositing the first and last 25 pages in source code, the Copyright Office is willing to consider special relief requests enabling the applicant to deposit less than or other than the usual 50 pages of source code. Special relief requests for the following three deposit options are presently being granted upon receipt of the applicant's written request for special relief:

- 1) First and last 25 pages of source code with some portions blocked out, provided that the blocked-out portions are proportionately less than the material still remaining.
- 2) At least the first and last ten pages of source code alone (with no blocked-out portions).
- 3) First and last 25 pages of object code plus any ten or more consecutive pages of source code (with no blocked-out portions).

324.06                Specific deposit examples. The following examples concern various deposit situations.

- 1) Source code and object code with one application. Where the first and last 25 pages each of source code and object code (total of 100 pages) are deposited with one application on Form TX for a single computer program, the registration is made using the combined source code and object code identifying material.

324

Deposit for registration: identifying material.  
(cont'd)

324.06

Specific deposit examples. (cont'd)

- 2) Object code only. When the identifying material is deposited only in object code, the Copyright Office will correspond with the applicant requesting either the deposit of source code or, as a prerequisite to registration under the rule of doubt, the applicant's written confirmation that the computer program represented by the object code deposit contains copyrightable authorship.
- 3) Object code plus other clearly copyrightable material. If the deposit consists of identifying material in object code for a computer program plus other clearly copyrightable material (such as a user's manual) and the single claim is in the entire work, there is still doubt as to the presence of copyrightable authorship in the computer program even though the claim includes clearly copyrightable text in the manual. The Copyright Office will communicate with the applicant about the deposit of object code and request either the deposit of source code or, as a prerequisite to the computer program portion of the claim being registered under the rule of doubt, the applicant's written assurance that the computer program as deposited represents copyrightable authorship.
- 4) Incomplete deposit of identifying material. If the identifying material is less than 50 pages in length, the Copyright Office will consider that the deposit constitutes the entire program for which registration is sought. However, if there is information to the contrary (such as missing page numbers or obvious wide gaps in line numbers), the Office will inquire as to the completeness of the deposit.

324 Deposit for registration: identifying material.  
(cont'd)

324.06 Specific deposit examples. (cont'd)

- 5) Single application for computer program and manual published as a unit. When the deposit consists of one copy of identifying material plus one copy of the published manual, the Copyright Office will not require deposit of a second copy of the published manual.
- 6) Separate applications for computer program and manual published as a unit. If the deposit for these two claims consists of one copy of identifying material for the computer program and one copy of the published manual, the Copyright Office will request a second copy of the published manual.

325 Completing the application form. An application for registration of a computer program should be completed with regard to the copyrightable authorship in the computer program. For example, an application describing the authorship or extent of claim as "object code" will be questioned.

325.01 Asserting a claim in a derivative computer program. Ordinarily, the application for a derivative computer program should limit the claim to the copyrightable new material, excluding the preexisting material that was previously registered or published or that is in the public domain. To limit the claim appropriately in such cases, the "material added" statement on the application should be completed.

- 325            Completing the application form. (cont'd)
- 325.01        Asserting a claim in a derivative computer program. (cont'd)
- 325.01(a)     When a "material added" statement is not required. When the preexisting material has never been registered or published or when the amount of preexisting material is not substantial, the "material added" statement on the application need not be completed.
- Examples:
- 1) A computer program entitled "X-103 Program, Version 3" incorporating material from two earlier developmental versions that remained unregistered and unpublished would not be considered a derivative computer program for registration purposes. No "material added" statement would be required.
  - 2) The application for a derivative program containing a total of 5,000 lines of program text, 50 of which were published previously, would not be required to give a "material added" statement. However, if such a statement were given, the Office would not ask to have it deleted.
- 325.01(b)     When a "material added" statement is required. The Copyright Office will require a "material added" statement on an application for a derivative computer program only when the previously published or registered or public domain material contained in the new version of the program is substantial or, in relation to the work as a whole, represents a significant portion of the work.

325

Completing the application form. (cont'd)

325.02

Nature of authorship and extent of claim.

In an application for an entirely new computer program, the "nature of authorship" space is intended not only to describe the authorship but is also intended to delineate the extent of the claim. In an application for a derivative computer program, the "material added" statement generally delineates the extent of the claim. NOTE: For specific definitions of the terms listed below, see the Glossary of Terms in section 326 below. The following lists are illustrative and not exhaustive.

325.02(a)

Copyrightable elements. The following descriptions of authorship or of material added will ordinarily not be questioned:

- computer program
- entire computer code
- entire program
- entire program code
- entire text
- entire work
- module, new modules, revised modules
- program
- program instructions
- program listing
- program text, programming text
- revised program
- routine, new routines, revised routines
- software, computer software
- subroutine, new subroutines, revised subroutines
- text
- text of computer game
- text of . . . (except "text of object code" or "text of algorithm")
- text of program
- translation from (one programming language) to (another programming language)
- wrote program

- 325            Completing the application form. (cont'd)
- 325.02            Nature of authorship and extent of claim.  
(cont'd)
- 325.02(b)            Unclear elements. The following terms as commonly used with reference to computer software may or may not represent copyrightable authorship. Therefore, the Copyright Office will generally question an application describing the claim or the authorship in these terms:
- adaptation or translation (where program appears to have been adapted merely to run on different hardware)
  - compilation
  - debugging
  - enhancements
  - error corrections
  - features
  - patching
  - translation (listed alone)
- 325.02(c)            Noncopyrightable elements. Where the Copyright Office has determined that the claim is based only on the following, registration will be refused:
- algorithm (or text of algorithm)
  - analysis
  - cassette
  - chip
  - disk
  - encrypting
  - EPROM
  - firmware
  - formatting
  - functions
  - language (alone)
  - logic
  - mnemonics
  - printout
  - PROM
  - ROM
  - software methodology
  - system
  - system design(er)



Glossary of terms. The following is a list of terms commonly used with reference to computer programs.

- ALGORITHM -- A prescribed set of well defined rules or processes for the solution of a problem.
- ASSEMBLER -- A computer program that changes assembly language into the language that the computer operates on directly -- the "object code."
- ASSEMBLY LANGUAGE -- A language -- verbs, nouns, syntax, etc. -- used by programmers to write computer programs. It is relatively "low level" in that the programmer must keep many machine details in mind. The source language for an assembler.
- BASIC -- A rather simple programming language that is widely used with the new micro-computers.
- BUG -- A mistake or malfunction.
- CARTRIDGE -- A very ambiguous term meaning some form of removable magnetic data storage medium, used along with a fixed (non-removable) medium. It may use magnetic tape or magnetic disk as the medium.

Glossary of terms. (cont'd)

- CASSETTE -- A small, self-contained volume of magnetic tape used for data storage. Similar to a sound-recording cassette.
- CHIP -- In microcircuitry, a single device, either a transistor or a diode, that has been cut from a larger wafer of silicon.
- COBOL (Common Business Oriented Language) -- A high-level language developed in the early 1960's and used primarily for business applications.
- CODE -- Can be used as verb or noun. As a noun, it can apply to (1) the data, meaning the series of bits used to represent the characters, or (2) the programs, meaning the computer instructions as written in the programming language. As a verb, it means creating the coded data or programs.
- CODING -- The act of actually writing program statements.
- COMPILE -- To prepare a machine language program from a computer program written in another programming language by making use

Glossary of terms. (cont'd)

- COMPILE (cont'd) -- of the overall logic structure of the program, or generating more than one machine instruction for each symbolic statement, or both, as well as performing the function of an assembler.
- COMPILER -- A computer program that is used to change a high-level programming language into machine language. It is similar to an assembler.
- COMPUTER -- A data processor that can perform substantial computation, including numerous arithmetic or logic operations, without intervention by a human operator during the run.
- DEBUGGING -- The process of detecting and removing the errors in a computer program or a set of programs. Typically, errors are detected by trying to run a program with a series of transactions designed to test the main portions of the program, and observing the correctness of results.

Glossary of terms. (cont'd)

- DISK -- The popular form of bulk data storage with rapid access capabilities. Data is recorded in tracks on a magnetic medium on the disk surface. The two main forms are "floppy disks" and "hard disks."
- DUMP -- The term applied to the process of making a copy of some or all data stored in a storage device, usually for backup purposes.
- ENCRYPTION -- The process of systematically turning messages (information) into gibberish, as a security measure. The inverse process of decryption is needed for recovering the original messages.
- ENHANCEMENTS -- Changes or refinements made to an existing computer program.
- EPROM (Erasable Programmable Read-Only Memory) -- A type of computer memory device for storing data within a computer; can be erased and reprogrammed.
- FEATURES -- Particular capabilities or functions of a given computer program.

Glossary of terms. (cont'd)

- FIRMWARE -- This term is applied to computer programs that are stored in a type of memory (a ROM) that can in general only be read, not erased or changed easily. Firmware is used both for protection and for higher speed.
- FLOPPY DISK -- A thin plastic disk, usually 5-1/4 inches or 8 inches in diameter, enclosed in a square, protective envelope, with a magnetic surface for storing information; a diskette.
- FORTRAN -- The FORMula TRANslation programming language, originally developed in the late 1950's for engineering and scientific programming. It is still the most widely used language for these types of programs.
- HARDWARE -- The term applied to the computer equipment -- the processor unit, the storage devices, input devices, printers, etc. Hardware is differentiated from "software" and "firmware."
- INTERPRETER -- A computer program in the same general class as "assembler" and "compiler." All three

Glossary of terms. (cont'd)

INTERPRETER (cont'd)	-- translate or change a programmer's source code into the object code that the computer uses.
LANGUAGE	-- In the computer field, the term generally means a programming language used by a programmer for writing a computer program. This program usually must be translated or changed (assembled, compiled, interpreted) into object code before the computer can execute the program.
MACHINE LANGUAGE (MACHINE CODE OR OBJECT CODE)	-- The instructions the machine actually executes.
MNEMONIC CODE	-- Symbols used in programming to assist the human memory, e.g., an abbreviation such as "MPY" for "multiply."
MODULE	-- A series or group of related instructions within a computer program, analogous to a chapter of a book.
OBJECT CODE	-- This is the program in actual machine language which the computer executes. It has been changed from the programming language used by the programmer by means of an "assembler," "compiler," or "interpreter."

Glossary of terms. (cont'd)

- PATCH, PATCHING -- Segments of program code (individual statements or routines) added to the body of a completed computer program to enhance or amend the program.
- PRINTOUT -- A visually perceptible printed copy. Is used variously to mean a listing of the computer instructions that form a program or the product resulting from the operation of the computer program.
- PROM (Programmable Read-Only Memory) -- A programmable ROM.
- RAM (Random-Access Memory) -- Computer storage device in which words may be "written" (stored) or "read" (recovered) in any order at random. Conventional internal memory.
- ROM (Read-Only Memory) -- A computer device containing a program or data permanently stored when the unit was made. In theory, it can apply to either internal memory or large-volume, external data storage. Today, it is applied to the former. Programs stored in ROM cannot be changed easily and they

Glossary of terms. (cont'd)

- ROM (cont'd) -- execute faster; see also above entry under FIRMWARE.
- ROUTINE OR PROGRAMMED ROUTINE -- A series or group of instructions usually contained within a main program; analogous to a paragraph within a textual work.
- SOFTWARE -- A set of computer programs, procedures, and possibly associated documentation concerned with the operation of a data processing system, e.g., compilers, library routines, manuals, circuit diagrams. Contrasts with hardware.
- SOURCE CODE -- This is the computer program code as the programmer originally writes it, in the programming language being used. It must be changed into object code before the computer can execute it, unless the program was originally written in object code.
- SUBROUTINE -- A routine that can be part of another routine; analogous to a sentence within a paragraph of narrative text.
- TAPE, MAGNETIC -- Large volume data storage medium for computers.



- 327            Instructional booklets, flowcharts, and the like. Registration of claims to copyright may be made for instructional booklets, flowcharts, and other material related to the development or explanation of the computer program. Because the authorship in such material is generally visually perceptible rather than machine-readable, identifying materials may not be submitted in lieu of an actual copy or copies.
- 328            Automated data bases. An automated data base is a body of facts, data, or other information assembled into an organized format, suitable for use in a computer and comprising one or more files. Where all the data in an automated data base has been previously published or registered, or is in the public domain, the claim would be limited to the authorship involved in the compilation. Where the data is substantially or wholly new, the claim could include additional text, compilation and revised text, updates, or the like.

[END OF CHAPTER 300]

[1984]



Chapter 400

COPYRIGHTABLE MATTER:  
WORKS OF THE PERFORMING ARTS  
AND SOUND RECORDINGS

Outline of Topics

- 401        Musical works: in general.
- 402        Music defined.
- 403        Elements of music.
  - 403.01        Definitions.
- 404        Musical content.
  - 404.01        No numerical standard.
  - 404.02        Words and short phrases.
  - 404.03        Transposition.
  - 404.04        Works consisting entirely of information that  
                  is common property.
  - 404.05        "Melodiousness" and harmony.
- 405        Physical embodiment of musical works.
  - 405.01        Physical embodiment: copies.
  - 405.02        Physical embodiment: soundtracks.
  - 405.03        Physical embodiment: phonorecords.
- 406        Limitations on copyrightability.
  - 406.01        Copyright term expired.
  - 406.02        Certain musical arrangements.
  - 406.03        Chord charts.
  - 406.04        Musical works unlawfully employing other works  
                  under copyright protection.
- 407        Use of protected characters, names, and slogans.
- 408        Musical derivative works.
  - 408.01        Musical arrangements.
  - 408.02        Adaptation.
  - 408.03        Setting.

408            Musical derivative works. (cont'd)

- 408.04           Variations.
- 408.05           Editing.
- 408.06           Additional music.
- 408.07           Abridgment.
- 408.08           "As a Whole" criterion.

409            Compilations.

- 409.01           Collective works.
- 409.02           Method books.

[Numbers 410 through 416 are reserved.]

417            Words accompanying music.

418            Claim in literary content.

419            Literary content.

420            Nondramatic literary works prepared for performance.

- 420.01           Song lyrics.
- 420.02           Comedy sketches.
- 420.03           Embodiment of nondramatic literary works prepared  
for oral delivery.

[Numbers 421 through 429 are reserved.]

430            Dramatic works.

431            Dramatic works defined.

432            Characteristic features of dramatic works.

- 432.01           Plot.
- 432.02           Characters.
- 432.03           Dialog.
- 432.04           Directions for action.
- 432.05           Drama without words.

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- 433 Amount of dramatic content necessary.
- 434 Works not registrable as dramas.
- 435 Embodiment of dramatic works.
- 436 Dramatic derivative works.
- 437 Compilations.
- 438 Music accompanying dramas.
- 439 Components of dramatico-musical works.

[Numbers 440 through 449 are reserved.]

450 Choreographic works.

- 450.01 Definition.
- 450.02 Presentation before an audience.
- 450.03 Characteristics of choreographic works.
- 450.04 Abstract choreography.
- 450.05 Requirement for registration.
- 450.06 Choreographic content: social dance steps and simple routines.
- 450.07 Embodiment of choreography.
- 450.08 Derivative choreographic works.
- 450.09 Status of improvisation.

[Numbers 451 through 459 are reserved.]

460 Pantomimes.

- 460.01 Definition.

461 Pantomime content.

462 Distinction between pantomime and choreography.



- 485            Motion pictures: special problems.
- 485.01        Fixation as it relates to publication.  
    485.02        Works made for hire.
- 486            Deposit requirements for motion pictures.
- 486.01        Description required.  
    486.02        Unpublished motion pictures.  
    486.03        Published motion pictures.  
    486.04        Definition of "best edition."  
    486.05        Definition of "complete."  
    486.06        Motion Picture Agreement.  
    486.07        Motion Picture Agreement: Standard Modification.  
    486.08        Motion Picture Agreement: Supplemental Property  
                  Agreement
- 487            Separately registrable works of authorship fixed  
                  in film, videotape, or the like.
- [Numbers 488 and 489 are reserved.]
- 490            Sound recordings.
- 491            Sound recording distinct from underlying work.
- 492            Sound recording distinct from sounds accompanying  
                  audiovisual work.
- 492.01        Classification.  
    492.02        Extent of claim.
- 493            Forms of embodiment.
- 493.01        Statutory definition of phonorecords.  
    493.02        Types of phonorecords.  
    493.03        Distinction between phonorecords and sound  
                  recordings.  
    493.04        Distinction between phonorecords and copies.

- 494            Date of fixation as it affects eligibility.
- 494.01        Definition of fixation.  
    494.02        State protection for sound recordings  
                 fixed before February 15, 1972.
- 495            Copyrightable subject matter.
- 495.01        Types of copyrightable authorship.  
    495.02        Authorship on the part of the performer.  
    495.03        Authorship on the part of the producer.
- 496            Sound recordings as derivative works.
- 496.01        Derivative sound recordings.  
    496.02        Types of derivative sound recordings.  
    496.03        Registrability of derivative authorship.
- 497            Compilations.
- 497.01        Registrable compilations.  
    497.02        Non-registrable compilations.
- 498            Multimedia works.
- 498.01        Audiovisual multimedia works.  
    498.02        Nonaudiovisual multimedia works.
- [Numbers 498.03 through 498.99 are reserved.]
- 499            Glossary of terms.



## Chapter 400

### COPYRIGHTABLE MATTER: WORKS OF THE PERFORMING ARTS AND SOUND RECORDINGS

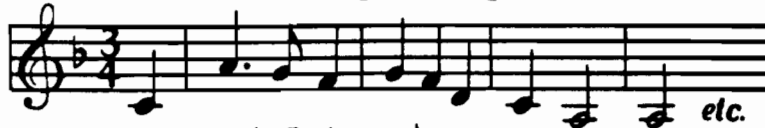
- 401 Musical works: in general. Musical works, including any accompanying words, are registrable without regard to aesthetic standards. The range of registrable works consists of music produced by traditional and electronic means, including works whose production involves the use of a computer. An electronic composition utilizing tones produced by synthesizer or altered by omitting characteristics of its timbre, such as omitting decay or attack, may be registered. A discussion of the elements of musical works, criteria for copyrightability, forms of embodiment, and derivative musical works follows.
- 402 Music defined. Music is a succession of pitches or rhythms, or both, usually in some definite pattern.
- 403 Elements of music. The elements of music are melody, rhythm, and harmony. They are defined below.
- 403.01 Definitions. Melody: a succession of single tones; rhythm: a grouping of pulses according to emphasis and length; harmony: the combination, simultaneously, or nearly so, of different pitches. These tones are spaced at certain prescribed distances from one another in related progressions. Although a musical work will be registered if any of these three elements can be considered to constitute a work of authorship, melody, the predominant element by which a work is perceived, usually determines whether a work is copyrightable. Even melody, however, may be too minimal for copyright protection, as it is in "Johnny One-Note," (excluding the "break"), while other elements, such as the rhythm and harmony in this composition, supply all or substantially all of the copyrightable content.

404 Musical content. The criteria for copyrightability of music are: 1) The work must contain at least a minimum amount of creative musical expression; 2) The work must not have been copied from another source. See Chapter 200: COPYRIGHTABLE MATTER - IN GENERAL.

404.01 No numerical standard. There is no predetermined number of notes or measures that will automatically qualify a work for copyright registration.

404.02 Words and short phrases. Words and short phrases, such as names, titles, and slogans, are not subject to copyright. 37 C.F.R. 202.1(a). Just as words and short phrases cannot be registered, phrases consisting of only a few musical notes, such as clock chimes, *i.e.*, "mi do re sol, sol re mi do" cannot be registered.

404.03 Transposition. Transposition is the act of transferring music from one key to another, note for note. Compare "My Bonnie" in F:



with "My Bonnie" in Bb:



Since the relationship of all the notes to one another remains the same, and all that is required is the mere act of measuring intervals, transposition is a mechanical act and, as such, is not subject to copyright protection. There is no creative musical expression in a transposition. This turn-about four-note pattern repeated at a certain melodic interval from the preceding statement is essentially a transposition, and therefore is not registrable.



404 Musical content. (cont'd)

- 404.04 Works consisting entirely of information that is common property. Works consisting entirely of information that is common property are not subject to copyright. 37 C.F.R. 202.01(d). Diatonic and chromatic scales, as such are considered works consisting entirely of information that is common property. Thus, works of this kind are excluded from copyright protection.



- 404.05 "Melodiousness" and harmony. "Melodiousness" and conventional (triadic) harmony are not criteria for registration. A musical composition based on a tone row, or a quarter-tone scale, for example, may be accepted for registration. Claims to copyright in composition with harmony based on intervals of seconds, fourths, or any other combination of tones may also be registered.
- 405 Physical embodiment of musical works. Music may be embodied in either copies or phonorecords. No basic registration is possible, however, without some kind of physical representation of the work -- a copy, or phonorecord, or, where applicable, identifying material. See Chapter 800: DEPOSIT FOR REGISTRATION.
- 405.01 Physical embodiment: copies. The term "copies" includes every kind of embodiment of the work acceptable for registration, except phonorecords and certain identifying material.
- 405.01(a) Copies required before 1978. Until 1978, a copy was the only form in which a musical work could be accepted for registration. Various kinds of copies, however, were acceptable.

405 Physical embodiment of musical works. (cont'd)405.01 Physical embodiment: copies. (cont'd)

405.01(b) Copies: musical notation. Standard musical notation, using the five-line, four-space staff is the form most frequently employed to embody musical works. Precision equal to that offered by conventional notation is not required, although the deposit should constitute as precise a representation of the work as possible. Any graphic representation of pitch, rhythm, or both, suffices as long as the notation is capable of being performed. Examples: graphically drawn hand signals, fret notation, staves with more or fewer lines than the conventional staff, and "new music," combining graphic art with music notation.

405.01(c) Copies: literary description. A copy may be in the form of textual instructions for performance, e.g., a description of notes and rhythms. However, in order to be registrable as a musical composition, such instructions must be specific enough for the work to be performed.

405.02 Physical embodiment: soundtracks. Where music is embodied in a motion picture soundtrack, the motion picture is the copy. Although the deposit ordinarily required would be the motion picture, an exception to the deposit requirements permits the deposit of identifying material instead of a copy. See Chapter 800: DEPOSIT FOR REGISTRATION.

NOTE: Music published in a soundtrack before 1978 can be registered apart from the motion picture as a whole, only if the motion picture bore a separate copyright notice for the music. Music published in a soundtrack after 1977 may be registered apart from the motion picture, without a notice of copyright on the motion picture in the name of the music claimant.

- 405            Physical embodiment of musical works. (cont'd)
- 405.03        Physical embodiment: phonorecords. On January 1, 1978, phonorecords, including tapes, disks, sound sheets, soundwheels, and piano rolls, became acceptable deposits for registering claims to copyright in music recorded on them. Moreover, music embodied only in phonorecords before 1978 is now acceptable for registration in that form. If such phonorecords were available for sale or public distribution on January 1, 1978, after having been sold or publicly distributed earlier, the musical work would be considered published and the date of such publication is January 1, 1978. See section 909, Chapter 900: PUBLICATION.
- 406            Limitations on copyrightability. By reason of certain limitations in the copyright law, some works are not registrable though they might otherwise appear to be the subject matter of copyright.
- 406.01        Copyright term expired. A work whose copyright term has expired is not subject to copyright protection. Once a work has entered the public domain, its term cannot be extended or the protection revived. See section 103, Transitional and Supplementary Provisions of the current Act.
- 406.02        Certain musical arrangements. Musical arrangements embodied in a phonorecord and made pursuant to a compulsory license to make and distribute phonorecords of non-dramatic music are not subject to copyright protection without the express consent of the copyright owner. See 17 U.S.C. 115(a) (2).
- 406.03        Chord charts. Chord charts ordinarily contain a significant number of public domain standard chords. To be registrable, works embodying chord charts must qualify as a compilation or as some other original work of authorship. See section 408.02 below.

406

Limitations on copyrightability. (cont'd)

406.04

Musical works unlawfully employing other works under copyright protection. Musical works that unlawfully employ another work under copyright protection are not themselves subject to copyright protection if they are inseparably intertwined with the preexisting work. See 17 U.S.C. 103(a) and H.R. Rep. No. 94-1476, 94th Cong., 2d Sess. 57-8 (1976). For example, an unlawful four-part reharmonization of "All The Things You Are" that cannot be separated from the previous melody and harmony would not be registrable. However, the Copyright Office does not generally investigate the copyright status of preexisting material or whether it has been used lawfully. Where a work unlawfully employs preexisting copyrighted material that is separable from the new material, the new work is registrable.

407

Use of protected characters, names, and slogans. Occasionally musical works incorporate names, titles, or slogans whose utilization is subject to restrictions under other Federal laws, but the incorporation of such items does not prevent copyright registration. Where the Copyright Office is aware that a use of certain elements within a work may be in violation of existing law, it may inform the applicant of the possible restriction and direct the applicant to the Government agency that deals with the item in question. Some examples of restricted names and characters are: "Olympic," "Olympiad," (36 U.S.C. 380); "Woodsy Owl" (18 U.S.C. 711a); and "Smokey Bear" (18 U.S.C. 711).

408

Musical derivative works. A derivative work is a work based upon one or more preexisting works, such as . . . musical arrangements. 17 U.S.C. 101. In the case of derivative works, only certain kinds of preexisting material need be excluded from the claim on an application for

Musical derivative works. (cont'd)

copyright registration, namely, that which constitutes a significant amount of previously registered published, or public domain material.

- 1) Where the work does not incorporate any preexisting copyrightable material, but is merely based on a preexisting idea, the work is considered a new work, and not a derivative work.

Example:

A song about crossing a river inspired by the painting, "Washington Crossing the Delaware."

- 2) Where the work incorporates only a negligible amount of previously registered, published, or public domain material, the work is considered a new work; thus, the claim to copyright need not exclude the preexisting material.

Example:

A musical work incorporating only the first three notes of "Also sprach Zarathustra," by Richard Strauss.

- 3) Where a work incorporates preexisting material that was theretofore unregistered and unpublished, the work is considered a new work, for purposes of most registrations.

Examples:

- a) An author writes song lyrics in 1978 and files them away in his home. In 1981, the author sets the lyrics to new music. Even though the lyrics were preexisting when the music was composed, the lyrics are not considered a preexisting work, for purposes of registration.

408

Musical derivative works. (cont'd)

## 3) (cont'd)

Examples: (cont'd)

- b) A composer receives authority to set to music unpublished song lyrics that have never been registered, but is not authorized to claim copyright in the lyrics. Since the lyrics have not been previously published or registered, they are not considered a preexisting work for purposes of registration, but they should nevertheless be excluded from the claim.

408.01

Musical arrangements. A musical arrangement is a work that results from the addition of new harmony to a preexisting work. The standard of originality for arrangements takes into consideration the fact that a melody carries with it a certain amount of implied harmony.

408.01(a)

Harmonic chord symbols. Chord symbols represent the presence of three or more specific notes. However, the individual notes in the chords are not specifically distributed as are chord members in a written-out harmony or in harmony recorded on a phonorecord. To reach the "minimal amount" requirements, harmonic chord symbols must go beyond standard chords in common sequences.

Example:

Chord symbols C (major), a (minor), d (minor), and G (major) are submitted with original words. The harmony is not registrable because this chord sequence is both too short and standard. The words, if substantial enough, may be registered.



408            Musical derivative works. (cont'd)408.01            Musical arrangements. (cont'd)

408.01(b)            Instrumentation. Music may also be arranged by distributing or redistributing harmonic elements among different instruments.

## Examples:

- 1) An orchestration of Debussy's "Reverie," a work originally composed for piano.
- 2) A marching band arrangement of Beethoven's String Quartet in G major, Opus 18, No. 2.

Transpositions are not copyrightable. See section 404.03 above. Therefore, the Copyright Office will not make multiple registrations for the same work in different keys.

## Example:

"Madame Evanti's Solfege Songs" is submitted in a different key each for High, Medium, and Low voice. The applicant may select the version to be registered, but only one registration may be made.

Moreover, the notation of a musical work necessary to enable transposing instruments to play in the same key is not copyrightable.

## Example:

The transposition of the standard four-part setting of the hymn "Abide With Me" for E-flat, A-flat, and B-flat saxophones and C clarinet, assigning a different part to each instrument, is not registrable.

408

Musical derivative works. (cont'd)

408.02

Adaptation. An adaptation results from reworking a preexisting melody, possibly including rhythmic variation as well. An example might be a jazz version of the "Battle Hymn of the Republic." This definition of adaptation is not as widely known as the definition of arrangement; thus, the Copyright Office will accept a claim on adaptation where the primary change is in the harmony. Where there is no registrable harmony, an application stating the claim as arrangement will not be accepted, but the Copyright Office will request that the basis of the claim be changed to adaptation, if appropriate.

408.03

Setting. A setting is a harmonization, or arrangement of a preexisting melody, or entirely new music set to preexisting words. Settings are similar to arrangements, except that they are more closely associated with preexisting words and chorale-type harmony.

408.04

Variations. Variations are adaptations and arrangements of one basic theme in various moods and styles. The basic theme is usually the preexisting work. Variations are treated as new works for purposes of registration, where the treatment results in substantial divergence from the preexisting material, or where the new material overwhelmingly predominates in comparison to the theme, such as where the theme or motive consists of only a few notes.

## Example:

Because of substantial divergence from the theme, utilization of the Paganini motive in this phrase of Rachmaninoff's "Rhapsody on a Theme of Paganini," Opus 43,



- 408            Musical derivative works. (cont'd)
- 408.04            Variations. (cont'd)
- Example: (cont'd)
- would not have prevented the Rachmaninoff work from being registered as a new work.
- 408.05            Editing. Music editing generally consists of markings for the performance of music, such as additional or altered fingering, accents, dynamics, and the like.
- 408.06            Additional music. Additions of music can be registered, such as the completion of an unfinished work or a reconstruction of missing music.
- 408.07            Abridgment. An abridgment of a musical work may be registrable provided that there is a substantial amount of selectivity, for example, more than merely omitting a section from the beginning or end.
- 408.08            "As a Whole" criterion. A derivative musical work may be registrable in the aggregate, even though the individual changes, examined separately, may not be.
- Example:
- A revision consisting of a change of fingering in two measures, added dynamics in four measures, and three measures of additional music could, in the aggregate, constitute a derivative musical work.
- 409            Compilations. A compilation is a work formed by the collection and assembling of preexisting materials or of data that are selected, coordinated, or arranged in such a way that the resulting work as a whole constitutes an original work of authorship. The term "compilation" includes collective works. 17 U.S.C. 101.

409            Compilations. (cont'd)

409.01            Collective works. A collective work is a work . . . in which a number of contributions, constituting separate and independent works in themselves, are assembled into a collective whole. 17 U.S.C. 101.

Example:

A folio of selected Rodgers and Hammerstein songs.

However, a work will be rejected for registration if the claim is on compilation, unless it appears that enough basic material has been compiled.

Example:

A compilation claim on Sides 1 and 2 of a 45-r.p.m. phonorecord containing a musical selection on each side will be refused. A claim in the music, however, will be accepted if the music appears to meet the standards of originality. See section 404 above.

409.02            Method books. Method books that contain only previously published material, such as public domain chords, scales, exercises, and other information that is common property, may be registered as compilations if the works contain at least a certain minimum amount of compilation authorship. In view of the limited protection available, the Copyright Office will not suggest a compilation claim on its own initiative unless the contribution is obviously substantial.

[Numbers 410 through 416 are reserved.]

[1984]

- 417 Words accompanying music. Words accompanying music are considered an integral part of the musical work. There is no specific manner in which words shall accompany music. The words may be narrated to background music, sung to music on a phonorecord, set above the notes to which they are to be sung on a notated copy, or may be written on a separate sheet with no instructions as to how they are to be performed. The Copyright Office will question whether words accompany music only where it appears improbable that the words and music are meant to be performed or otherwise used together.
- 418 Claim in literary content. The words must be sufficiently substantial in themselves to support a claim on words. If the words are insufficient, the Copyright Office will request that the claim on words be deleted from the application. The words may still be included as part of the deposit.
- 419 Literary content. In addition to ordinary words used in the conventional manner, nonsense syllables, nonsyntactical words, or coined words may be registered. The verbal expression, however, must have been originated by a human being and be of a sufficient amount.
- 420 Nondramatic literary works prepared for performance. Nondramatic literary works prepared for performance may be registered in Class PA. Nondramatic literary works not intended for performance should be registered in Class TX. See Chapter 300: COPYRIGHTABLE MATTER -- NONDRAMATIC LITERARY WORKS.
- 420.01 Song lyrics. Song lyrics, unaccompanied by music, may be registered in published or unpublished form in Class PA.
- 420.02 Comedy sketches. Jokes and other comedy routines may be registered if they contain at least a certain minimum amount of original expression in tangible form. Short quips and slang expressions consisting of no more than short phrases are not registrable.

- 420            Nondramatic literary works prepared for performance. (cont'd)
- 420.03        Embodiment of nondramatic literary works prepared for oral delivery. Nondramatic literary works intended for oral delivery may be embodied in copies or phonorecords. Human or mechanical agents, including computers, may be used to fix the words in tangible form.
- [Numbers 421 through 429 are reserved.]
- 430            Dramatic works. The term "dramatic works" includes plays prepared for stage presentation, as well as those prepared for cinema, radio, and television. Applications for registration of claims to copyright in dramatic works should be submitted on Form PA.
- 431            Dramatic works defined. A dramatic composition is one that portrays a story by means of dialog or acting and is intended to be performed. It gives directions for performance or actually represents all or a substantial portion of the action as actually occurring, rather than merely being narrated or described. Examples of narration or description alone might be: the Bible story of Shadrach, Meshach, and Abednego, or a narration of the "Three Little Pigs." If the narrator is to devise or improvise his or her own action, the dramatic content is not fixed and thus the work is not a drama.
- 432            Characteristic features of dramatic works. Some of the features which are characteristic of dramas are the following:
- 432.01        Plot. A drama contains a thread of consecutively related events, either as a theme or in segments. A story delivered by narration alone, however, should be registered as a nondramatic work.

- 432            Characteristic features of dramatic works.  
(cont'd)
- 432.02        Characters. A work may be considered a drama even though it contains only one character. The script of a soliloquy or monolog that tells a story may be registered as a drama, provided that it includes sufficiently explicit stage directions from which it can be performed.
- Example:
- A poem, such as "Invictus," with directions for acting out the story.
- 432.03        Dialog. Dialog alone will constitute a drama only if characters and a plot are inherent therein.
- 432.04        Directions for action. While directions for action by themselves do not constitute a drama, such instructions (or the actual representation of the action) are essential to drama.
- 432.05        Drama without words. A drama may be represented silently, provided there is visual dramatic action or pantomime, as for example, a new drama in the Noh style. However, a still tableau depicting a story incident does not meet this criterion.
- 433            Amount of dramatic content necessary. The work should have enough action to avoid the conclusion that the dramatic contribution is too minimal for copyright protection as a dramatic work. While a mere outline or narrative summary of the idea for a drama is not registrable as a dramatic work, every element of the drama need not be set out. A scenario may be registered as a dramatic work if it is adequate to serve as the basis for directing its action, even though the directions are brief and some details are

- 433      Amount of dramatic content necessary. (cont'd)  
left unspecified. Also, a recorded narration coupled with directions for the dramatic representation of some story incidents is registrable as a drama.
- Example:
- The script for a children's radio program narrating a visit to the zoo, containing detailed instructions to actors for characterizations of various animal antics.
- 434      Works not registrable as dramas. Simple directions for using scenery, stage settings, or ideas for sound effects do not in themselves constitute dramatic content. Where the version submitted is not an acting version, the work will not be registered as a drama. However, a work that does not meet the criteria for registration as a dramatic work may contain enough copyrightable content in another category to be registrable on some other basis.
- 435      Embodiment of dramatic works. A drama may be embodied in manuscript, typescript, or printed copy, on a video-recording, such as a video-cassette, or another form of copy, or in a phonorecord. The fixation of a drama may be made simultaneously with its transmission or live performance.
- 436      Dramatic derivative works. Copyrightable additions or other changes to dramatic works may be made in one or more of several categories. Where a drama is translated, the work remains dramatic in nature and can be described as such on the application. Since the copyrightable addition is not dramatic, the new claim is on translation and not on drama. Where a drama is made into a novel, the addition is not dramatic and thus neither is the new work. Where a novel is made into a drama, the copyrightable new material is dramatic. Where a preexisting drama has been



- 436            Dramatic derivative works. (cont'd)  
substantially revised or new dramatic material has been added, the result is a dramatic derivative work.
- 437            Compilations. A collection of dramas can be registered as a collective work. If the individual selections consist of dramatic works, the collection can be registered in Class PA, even though the dramas are not then under copyright protection.
- 438            Music accompanying dramas. To be a dramatico-musical composition, a sufficiently substantial part of the dramatic action or dialog should be combined with the music.
- Examples:
- Singspiel, musical comedy, operetta, and opera, including music drama.
- A group of songs with instructions for expressive delivery, however, is not a dramatico-musical work. Where music is to accompany a dramatic work, such music must be fixed in the deposit and must be copyrightable on its own to support a claim in music; it need not be interwoven with drama, however, as long as it is intended to form an integral part of the drama.
- 439            Components of dramatico-musical works. The music and book of a dramatico-musical work are registrable together as one unit, or they may be registered separately. Components that are not copyrightable cannot be registered separately.

[Numbers 440 through 449 are reserved.]

[1984]

- 450            Choreographic works. Under the current law, choreography is included as a specified category of works in which copyright subsists. See 17 U.S.C. 102(a)(4); see also section 460 below.
- 450.01        Definition. Choreography is the composition and arrangement of dance movements and patterns, and is usually intended to be accompanied by music. Dance is static and kinetic successions of bodily movement in certain rhythmic and spatial relationships. Choreographic works need not tell a story in order to be protected by copyright.
- 450.02        Presentation before an audience. Although some reference works define choreography as "dancing, especially for the stage," presentation before an audience is not required for registration as a choreographic work.
- 450.03        Characteristics of choreographic works. Most choreography includes the following general characteristics:
- 450.03(a)      Compositional arrangement. Choreography represents a related series of dance movements and patterns organized into a coherent whole. The movements must be more than mere exercises, such as "jumping jacks" or walking steps.
- 450.03(b)      Movement or execution. Choreography is primarily executed by the torso, limbs, or both, in rhythm.
- 450.03(c)      Capacity for performance. The specific movements of dancers are set out in a form from which the work can be performed. See section 450.06 below.
- 450.04        Abstract choreography. The Copyright Office will register claims to copyright in all choreographic works, including abstract choreographic works, that constitute original works of authorship fixed in tangible form.

450

Choreographic works. (cont'd)

- 450.05 Requirement for registration. To be registrable, the choreographic work must contain at least a certain minimal amount of copyrightable matter in the form of dance steps or other movements in a coherent compositional arrangement. It must also be capable of performance as submitted.
- 450.06 Choreographic content: social dance steps and simple routines. Social dance steps and simple routines are not copyrightable under the general standards of copyrightability. Thus, for example, the basic waltz step, the hustle step, and the second position of classical ballet are not copyrightable. However, this is not a restriction against the incorporation of social dance steps and simple routines, as such, in an otherwise registrable choreographic work. Social dance steps, folk dance steps, and individual ballet steps alike may be utilized as the choreographer's basic material in much the same way that words are the writer's basic material.
- 450.07 Embodiment of choreography. Broad outlines in which the movements of the dancers have not been set out with any certainty are not registrable as choreography. If the basic movements of the dancers have been fixed, however, registration will not be refused simply because there is room for improvisation, or because some improvisation is intended. See section 450.09 below.
- 450.07(a) Choreographic works embodied in motion-picture form. A choreographic work may be embodied in motion-picture form. If such a motion picture constitutes the deposit for registration, the registration extends only to what is disclosed therein.

- 450            Choreographic works. (cont'd)
- 450.07            Embodiment of choreography. (cont'd)
- 450.07(b)            Notation systems. Labanotation, Sutton Movement Shorthand, Benesch Choreology, and other systems of notation are appropriate forms of embodiment to represent the precise movements of the dancers. Such notation, however, is considered a system, and, therefore, is not registrable. See 17 U.S.C. 102(b).
- 450.07(c)            Textual description. Precise explanations in narrative form, whether in copies or phonorecords, are acceptable if the description is specific enough to indicate detailed movements of the dancers. Where the description is not sufficiently specific, it cannot be registered as a choreographic work, but may be registrable as a literary work.
- 450.07(d)            Combinations of various formats. A description might include a combination of forms of embodiment, for example, pictorial or graphic diagrams, or detailed verbal descriptions narrated to music on a phonorecord.
- 450.08            Derivative choreographic works. When substantial new choreographic material has been added to preexisting choreography, it may be registered as a new choreographic work.

Example:

An addition of a new section to Petipa's "Don Quixote."

When the only preexisting material is a few public domain steps, for example, a waltz, or ballet positions, the work is not considered derivative. See section 450.05 above.

- 450            Choreographic works. (cont'd)
- 450.08            Derivative choreographic works. (cont'd)
- 450.08(a)            Other derivative works based on choreography. Nonchoreographic additions may be made to a choreographic work, for example, where a nonchoreographic comedy routine is interspersed between choreographic scenes. In this case, the claim should be made on the new nonchoreographic material. As a practical matter, however, the added material may dictate changes in the choreography as well, especially when new music or new dramatic scenes are added.
- 450.09            Status of improvisation. Registration cannot be made for improvisation to be provided by the dancer unless such improvisation is fixed.

[Numbers 451 through 459 are reserved.]

- 460            Pantomimes. Pantomimes are distinct from choreographic works, and thus their registrability does not depend on choreographic criteria.
- 460.01            Definition. Pantomime is the art of imitating or acting out situations, characters, or some other events with gestures and body movement. Mime is included under this category. Pantomimes need not tell a story or be presented before an audience to be protected by copyright.
- 461            Pantomime content. To be registrable, pantomimes must include more than a few stock gestures. As there is no copyright protection for ideas in general, a style of movement imitating mechanical dolls, for example, would not be protectible. A significant amount of copyrightable matter in the form of specific gestures in

461 Pantomime content. (cont'd)

such style and embodied in some tangible form, however, may be registered. Tableaux employing less than a minimum amount of action are not registrable as pantomimes. See section 433 above.

462 Distinction between pantomime and choreography. In general, pantomime movement is more restricted than dance although, within its narrower scope, pantomime employs more gestures of the arms and facial expressions. Also, pantomime is usually more representational than choreography, in that it imitates or is a caricature of some event or situation. Pantomime movement is synchronized with music less often than is choreography. In fact, pantomimes are often performed without music, and any accompanying sound is dictated by the situation being portrayed. Most often, however, pantomimes are performed without sound or measured rhythm.

463 Embodiment of pantomimes. Unlike choreography, pantomimes are not usually fixed using a specific form of symbolic notation. Conceivably, however, the same systems could be used for notating pantomimes as for dance. To register a work as a pantomime, the movements must be described in sufficient detail to enable the work to be performed from such description, or an actual performance must be captured on some form of film or videotape. Subject to this requirement, any form of copy or a narrative description on a phonorecord will suffice.

[Numbers 464 through 469 are reserved.]

470 Audiovisual works. Audiovisual works are works that consist of a series of related images which are intrinsically intended to be shown by the use of machines or devices such as projectors, viewers, or electronic equipment, together with accompanying sounds, if any, regardless of the nature of the material objects, such as films or tapes, in which the works are embodied. 17 U.S.C. 101.

[1984]

- 471 A motion picture is a kind of audiovisual work. Motion pictures are audiovisual works consisting of a series of related images which, when shown in succession, impart an impression of motion, together with accompanying sounds, if any. 17 U.S.C. 101. For a separate discussion of motion pictures, see section 480 et seq. below. It is possible for the series of related images to be embodied in a medium that is traditionally used for motion pictures, for example, film or videotape, and not impart an impression of motion. In such cases, the work is audiovisual, but not a motion picture. A series of related photographs or drawings embodied in the film stock would not be considered a motion picture, unless, when shown, the images give an impression of motion. Such an impression of motion could be accomplished by incorporating certain cinematic techniques, such as panning in and out and dissolving.
- 472 Series of related images. It is the presence of the series of related images embodied in a filmstrip slides, or the like, which generally determines that a work is audiovisual even where this element does not predominate. For example, where a work consists of a series of related pictorial images, accompanied by a set of booklets containing nondramatic literary printed matter, the claim is usually appropriately registered in Class PA, even though the printed matter predominates.
- 473 Sounds accompanying an audiovisual work. When sounds are present, they do not need to be physically integrated with the series of related images to be considered "accompanying sounds," for example, a filmstrip with a separate audio cassette. By definition, there is a distinction between the "accompanying sounds" of an audiovisual work and the series of sounds in a "sound recording." While sound recordings are works that result from the fixation of a series of musical, spoken, or other sounds, such sounds do not include "sound accompanying a motion picture or other audiovisual work."

- 474            Forms of embodiment. The series of related images in an audiovisual work may be embodied in several different media, for example, a filmstrip, slides, or transparencies. Any accompanying sounds may be embodied in an audio cassette, reel-to-reel tape, or disk. They may also be physically integrated with the related images, for example, in a cartridge. For embodiments of audiovisual works which are motion pictures, see section 480.02 below.
- 475            Authorship in an audiovisual work. Audiovisual works embody several categories of authorship.
- 475.01        Visually perceptible authorship. Any kind of visually perceptible material such as photographs and artwork may be embodied in the related images of the audiovisual work.
- 475.02        Aurally perceptible authorship. If an aural element is present, it may embody several kinds of authorship such as dramatic or nondramatic literary material, or music which is recorded, as well as the "accompanying sounds."
- 476            Derivative audiovisual works. For registration purposes, a derivative audiovisual work is a work that incorporates previously published, registered, or public domain material. If an audiovisual work contains some photographs by Mathew Brady as well as some new photographs, the Form PA should be completed to show the extent of the claim. Or, if the text recorded in the aural element contains numerous Biblical quotations, the quotations should be excluded from the claim.
- 477            Multimedia works. A multimedia work is one which combines two or more kinds of authorship in two or more media, for example, a filmstrip and cassette, or a booklet and slides.



477            Multiple works. (cont'd)

- 477.01            Classification of multimedia works. The content of the multimedia work determines which class is appropriate for registration. For example, the presence of a series of related images makes the work audiovisual in nature, and registration is generally appropriate in Class PA. See section 490 et seq. for a discussion of multimedia works that do not include an audiovisual element.

[Numbers 478 and 479 are reserved.]

- 480            Motion pictures. Motion pictures are audiovisual works consisting of a series of related images which, when shown in succession, impart an impression of motion, together with accompanying sounds, if any. 17 U.S.C. 101.

- 480.01            Requirement of fixation. To be eligible for copyright protection, a motion picture must be fixed. See Chapter 200: COPYRIGHTABLE MATTER -- IN GENERAL. A telecast transmission of a live performance is not considered a "motion picture." However, a motion picture is created when an authorized fixation is made of a live performance or telecast.

- 480.02            Forms of embodiment. Motion picture authorship may be embodied in several different forms, including the following:

- 1) Film - a thin sheet or strip of flexible cellulose material coated with a photosensitive emulsion.
- 2) Videotape - a magnetic tape containing video signals or picture information recorded by a television camera system.
- 3) Videodisk - a magnetic alloy-plated aluminum disk on which picture information is recorded.

[1984]

480

Motion pictures. (cont'd)

480.02

Forms of embodiment. (cont'd)

- 4) Hologram - a special photographic film or plate which, when developed and illuminated from behind by a coherent light beam, produces an intangible three-dimensional image in space. No visual image appears on the film or plate whose function is to record photographically a light-wave interference pattern made by intersecting beams of coherent light.

480.03

Copyrightable subject matter. A motion picture may embody the contributions of many persons whose efforts are brought together to make a cinematographic work of authorship. Some examples of copyrightable elements might be camerawork, directing, editing, sound engineering, and other cinematographic contributions. By contrast, however, mere mechanical acts cannot serve as the basis for copyright registration; for example, a claim based on conversion from 35-mm film to one-half-inch videocassette is not subject to registration.

480.04

Motion pictures as derivative works and compilations. Generally, motion pictures by their nature are derivative works. For registration purposes, the motion picture is considered derivative only when it incorporates previously registered, published, or public domain material. In these cases, the application should identify such pre-existing material incorporated in the work and also include a "material added" statement. The following examples reflect how this should be stated in the appropriate space on the application form:

480 Motion pictures. (cont'd)480.04 Motion pictures as derivative works and compilations. (cont'd)

<u>Preexisting material</u>	<u>"Material added" statement</u>
1) Previously published film footage from a 1924 silent movie.	1) All other cinematographic material.
2) Novel: "The Ghost of Hawk Mountain."	2) Television dramatization.
3) Screenplay registered in 1960.	3) Cinematographic material.

Compilation authorship in a motion picture is generally combined with editing authorship. The following example reflects how this can be stated on an application for registration:

<u>Preexisting material</u>	<u>"Material Added" statement</u>
Assorted newsreel footage, still photographs, and radio commentaries from 1938 to 1940, drawn from various sources.	Compilations and editing of old materials, plus new script and narration, and some new cinematographic material.

[Numbers 481 through 484 are reserved.]

485 Motion pictures: special problems. Discussed below are special problems and policies that are peculiar to motion pictures.

485.01 Fixation as it relates to publication. The definition of "publication" includes the offering to distribute copies . . . to a group of persons for purposes of further distribution, public performance, or public

485

Motion pictures: special problems. (cont'd)

485.01

Fixation as it relates to publication.  
(cont'd)

display. 17 U.S.C. 101. This sentence is generally recognized as including motion picture distribution practices. Inherent within the definition as a whole is the presumption that copies are in existence and ready for distribution before a work can be published. Thus, offers in the form of advertising, and catalog or other distribution offers made before or during production of the motion picture, do not constitute publication. For a general discussion of fixation, see Chapter 100: BASIC POLICIES.

485.02

Works made for hire. A "work made for hire" is a work prepared by an employee within the scope of his or her employment; or . . . a work specially ordered or commissioned for use . . . as a part of a motion picture or other audiovisual work . . . if the parties expressly agree in a written instrument signed by them that the work shall be considered a work made for hire. 17 U.S.C. 101. Ordinarily, a motion picture embodies the contributions of a number of persons who are employees in a work made for hire, either by virtue of being employees working within the scope of their employment, or by special written agreement that their contribution shall be considered a work made for hire. In the case of a work made for hire, the employer, and not the individual employees who actually created the work, is considered the "author" for copyright purposes. For a general discussion of authorship, see Chapter 200: COPYRIGHTABLE MATTER -- IN GENERAL.

486            Deposit requirements for motion pictures. The deposit required to accompany an application for registration of copyright claims for published and unpublished motion pictures is discussed below. For a discussion of deposit requirements for motion pictures, see Chapter 800: DEPOSIT FOR REGISTRATION, sections 806.13 and 807.

486.01            Description required. In all cases, whether the motion picture is published or unpublished, the deposit must include a written description of the contents of the motion picture. This may be a shooting script or continuity, a pressbook, or a detailed synopsis. 37 C.F.R. 202.20(c)(2)(ii). The separate description should contain full, complete, and detailed information about the work, including the running time. When the Copyright Office is asked, it will encourage the deposit of a shooting script as the description. NOTE: This description does not in any way extend the registration coverage beyond the material fixed in the motion picture.

486.02            Unpublished motion pictures. The deposit required to accompany an application for registration of a copyright claim in an unpublished motion picture, in addition to the description, can be either of the following:

- 1) One complete copy of the motion picture containing all the visual and aural elements that the registration covers; or
- 2) Identifying material consisting of one of the following:
  - a) An audio cassette or other audio recording reproducing the entire soundtrack or other sound portion of the motion picture; or

486

Deposit requirements for motion pictures.  
(cont'd)

486.02

Unpublished motion pictures. (cont'd)

2) (cont'd)

- b) A set of prints consisting of one frame enlargement or similar visual reproduction from each ten-minute segment of the motion picture. Where the work is a videorecording, prints taken from the viewing monitor are the preferred form of deposit.

486.03

Published motion pictures. The deposit required to accompany an application for registration of a claim to copyright in a published motion picture, in addition to the written description, is one complete copy of the best edition.

486.04

Definition of "best edition." The "best edition" is that edition published in the United States at any time before the date of deposit that the Library of Congress determines to be most suitable for its purposes. 37 C.F.R. 202.20(b)(1) and 202.19(b)(1). The criteria, listed in descending order of preference, are:

- 1) Film rather than any other medium.
  - a) Preprint material, by special arrangement
  - b) Most widely distributed film gauge
  - c) 35 mm rather than 16 mm
  - d) 16 mm rather than 8 mm
  - e) Special formats (for example, 70 mm) only in exceptional cases
  - f) Open reel rather than cartridge or cassette

486

Deposit requirements for motion pictures.  
(cont'd)

486.04

Definition of "best edition." (cont'd)

2) Videotape rather than videodisk

- a) Most widely distributed tape gauge
- b) Two-inch tape
- c) One-inch tape
- d) Three-quarter-inch tape cassette
- e) One-half-inch tape cassette

See generally Appendix, 43 Fed. Reg. 763-771 (1978).

486.05

Definition of "complete." A copy of any published or unpublished motion picture is "complete" if the reproduction of all of the visual and aural elements comprising the copyrightable subject matter in the work is clean, undamaged, undeteriorated, and free of splices, and if the copy itself and its physical housing are free from any defects that would interfere with the performance of the work or that would cause mechanical, visual, or audible defects or distortions. 37 C.F.R. 202.20(b)(2)(vi).

486.06

Motion Picture Agreement. The Copyright Office Regulations permit copyright depositors of published motion pictures to enter into an agreement with the Library of Congress allowing for the return of deposit copies to such depositors under certain conditions. 37 C.F.R. 202.20(c)(2)(ii). The Motion Picture Agreement provides that after copyright registration has been completed, the deposit copy will be returned to the depositor (upon written request and at the depositor's expense) and is subject to recall for the collections of the Library of Congress within a period of two years. The depositor, in signing the Motion Picture

- 486            Deposit requirements for motion pictures.  
                 (cont'd)
- 486.06            Motion Picture Agreement.    (cont'd)
- Agreement, agrees to provide the Library of Congress with a copy of archival quality if and when such a copy is requested. See 43 Fed. Reg. 12,320-4 (1978) and Chapter 800: DEPOSIT FOR REGISTRATON.
- 486.07            Motion Picture Agreement: Standard Modification. Works initially published outside the United States, but later published in the United States prior to the date of deposit are governed by the basic Motion Picture Agreement. Works published only outside the United States may be made subject to the Motion Picture Agreement if the Standard Modification is executed by the depositor in addition to the basic Motion Picture Agreement. See Chapter 800: DEPOSIT FOR REGISTRATION.
- 486.08            Motion Picture Agreement: Supplemental Property Agreement. The purpose of the Supplemental Property Agreement is to allow the depositor to submit something other than the "best edition" for registration. See Chapter 800: DEPOSIT FOR REGISTRATION. By filing a Supplemental Property Agreement, the depositor agrees to submit a best-edition copy of archival quality, if the Library calls for a copy of the motion picture under the terms of the Motion Picture Agreement. See 43 Fed. Reg. 12,320-4 (1978).
- 487            Separately registrable works of authorship fixed in film, videotape, or the like. For a discussion of deposit requirements for separately registrable works of authorship fixed in film, videotape, or the like, see Chapter 800: DEPOSIT FOR REGISTRATION, section 806.13(b)(4).

[Numbers 488 and 489 are reserved.]

[1984]



- 490            Sound recordings. Sound recordings are works that result from the fixation of a series of musical, spoken, or other sounds, but not including the sounds accompanying a motion picture or other audiovisual work, regardless of the nature of the material objects, such as disks, tapes, or other phonorecords, in which they are embodied. 17 U.S.C. 101.
- 491            Sound recording distinct from underlying work. Copyright in a sound recording relates only to the particular series of sounds constituting the recording. It is not the same as, nor is it a substitute for, copyright in a musical, dramatic, or literary work, the performance of which is recorded.
- 492            Sound recording distinct from sounds accompanying audiovisual work. Sounds accompanying audiovisual works, whether physically integrated with the audiovisual work (such as a soundtrack on a motion picture) or fixed on a separate tape, disk, or other such object, are not sound recordings under the statute.
- 492.01        Classification. Where a sound recording claim is asserted in sounds accompanying an audiovisual work, and the complete audiovisual work is being registered, the Copyright Office will request a new application in the class appropriate to audiovisual works. See section 470 et seq. above.

Example:

A multimedia kit containing a filmstrip and an accompanying cassette tape is submitted in Class SR with a claim on "sounds, text, and photographic material." Since this is an audiovisual work, the sounds are not considered a "sound recording," and are not registrable as such. The claim to copyright should be registered in Class PA as an audiovisual work. See sections 470 and 477 above.

492            Sound recording distinct from sounds accompanying audiovisual work. (cont'd)

492.02            Extent of claim. Where a sound recording contains sounds previously published as part of a motion picture, the claim must be limited to the material not contained in the motion picture. See section 496.03 below.

Example:

Album jacket states "original soundtrack recording," and application asserts an unlimited claim in sounds. The Copyright Office will question whether the sounds are the same as those originally fixed in the motion picture, or whether they have been altered. If the sounds are unchanged, they are not considered a "sound recording," and the claim cannot be registered as a sound recording. (The sounds could be, and generally are, covered by the registration for the motion picture.) However, if the sounds are substantially altered from those in the motion picture, perhaps remixed from the original multi-track tapes, a claim in the sounds may be registered, but it must be limited to the new material, as for example, the remixing.

493            Forms of embodiment. Sound recordings are embodied in phonorecords.

493.01            Statutory definition of phonorecords.  
"Phonorecords are material objects in which sounds, other than those accompanying a motion picture or other audiovisual work, are fixed by any method now known or later developed, and from which the sounds can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device. The term "phonorecords" includes the material object in which the sounds are first fixed. 17 U.S.C. 101.

493

Forms of embodiment. (cont'd)

493.02            Types of phonorecords. Examples include the following:

- 1) Vinyl disks: common types are 45-r.p.m. and 33-r.p.m.
- 2) Audio tapes: open reels, cartridges, and cassettes.
- 3) Player piano rolls: perforated sheets on a roll.
- 4) Sound cards: cards with sound embodied in horizontal tape strip.
- 5) Sound sheets: paper backed with an oxide cover.
- 6) Perforated metal disks: such disks include sprocketed disks often used in music boxes.

493.03            Distinction between phonorecords and sound recordings. The term "phonorecord" refers only to the material object in which a work is embodied; the phonorecord itself is not a work of authorship. A "sound recording," on the other hand, is a work of authorship, regardless of the type of phonorecord in which it is embodied.

493.04            Distinction between phonorecords and copies. "Copies" are material objects, other than phonorecords, in which a work is fixed. See 17 U.S.C. 101. The term "copy" usually applies to a material object from which a work can be visually perceived (with or without the aid of a device or machine), but may also refer to a material object in which sounds accompanying a audiovisual work are fixed. The term "phonorecord" applies to a material object in which sounds are fixed, other than those sounds accompanying an audiovisual work.

494

Date of fixation as it affects eligibility. No sound recording fixed before February 15, 1972, is subject to Federal copyright protection. See 17 U.S.C. 301(c). Any sounds fixed before February 15, 1972, must be excluded from the claim. Where it appears that all or a substantial part of the sounds may have been fixed before February 15, 1972, the basis of the claim will be questioned.

494.01

Definition of fixation. A work is "fixed" in a tangible medium of expression when its embodiment in a copy or phonorecord, by or under the authority of the author, is sufficiently permanent or stable to permit it to be perceived, reproduced, or otherwise communicated for a period of more than transitory duration. 17 U.S.C. 101.

Examples:

- 1) Phonorecord jacket states: "Recorded live in 1970." The Copyright Office will question the date of fixation.
- 2) Phonorecords indicate that the work is a compilation of disk jockey radio shows of the 1940's with some new musical and narrative material. The Copyright Office will question the fixation date of the sounds from the disk jockey radio shows. If fixed before February 15, 1972, these sounds should be excluded from the claim.
- 3) Phonorecords state that the work consists of some of the last live performances of a musician who died before February 15, 1972. The Copyright Office will question the date of fixation. If all sounds were fixed before February 15, 1972, the only possible claim is in the compilation.

[1984]

- 494                    Date of fixation as it affects eligibility.  
(cont'd)
- 494.01                Definition of fixation. (cont'd)
- 4) The work recorded is an opera. Phonorecords state: "The famous radio broadcast of this opera on December 7, 1940, is made available for the first time." The Copyright Office will question the date of fixation. If the sounds in the radio broadcast were fixed at the time of original transmission, the sound recording is not registrable.
- 494.02                State protection for sound recordings fixed before February 15, 1972. With respect to sound recordings fixed before February 15, 1972, any rights or remedies under the common law or statutes of any State shall not be annulled or limited by the copyright law until February 15, 2047. 17 U.S.C. 301(c).
- 495                    Copyrightable subject matter. To be registrable, there must be an appreciable amount of original sound recording authorship. Registration as a sound recording is not authorized if original authorship is lacking, as for example, where there is no human authorship and the recording results from a purely mechanical process.
- 495.01                Types of copyrightable authorship. Sound recording authorship may be contributed by the performer or the record producer. Usually, authorship is contributed by both performer and producer. The Copyright Office will accept an application naming the performer or the producer or both as author(s) of the sound recording, provided it is clear that the author(s) named contributed copyrightable authorship.

- 495            Copyrightable subject matter. (cont'd)
- 495.02        Authorship on the part of the performer.  
Only a human performer can contribute performance authorship. Such performance will presumably result in a sound recording when the performance is fixed on a phonorecord.
- 495.02(a)     Musical sounds. Included are sounds produced by vocalists and instrumentalists.
- Examples:
- 1) A recording of a vocalist performing selected songs of a well-known contemporary composer.
- 2) A recording of a pianist performing a Beethoven sonata.
- 495.02(b)     Spoken sounds. Included are sounds spoken by an actor, orator, lecturer, or the like.
- Examples:
- 1) A recording of an actor portraying Hamlet.
- 2) A recording of a preacher delivering a sermon.
- 495.03        Authorship on the part of the producer. This type of authorship involves capturing and electronically processing the sounds, and compiling and editing them to make the final recording.
- 495.03(a)     Producer's contribution in the recording of musical or spoken sounds. Where there is sound recording authorship on the part of the performer, the producer may have also contributed copyrightable sound engineering authorship to the sound recording.

- 495            Copyrightable subject matter. (cont'd)
- 495.03        Authorship on the part of the producer.  
(cont'd)
- 495.03(b)     Producer's contribution in the recording  
of other sounds. In some cases, for  
example where sounds are produced by  
nature or non-human sources, the copy-  
rightability of the sound recording  
depends on the contribution of the  
record producer in selecting, recording,  
and mixing the sounds.
- Examples:
- 1) Recording of bird calls.
  - 2) Recording of sounds of racing cars.
- 496            Sound recordings as derivative works. A deri-  
vative work is one based upon one or more pre-  
existing works, such as a translation, musical  
arrangement, dramatization, fictionalization,  
motion picture version, sound recording, art  
reproduction, abridgment, condensation, or any  
other form in which a work may be recast, trans-  
formed, or adapted. A work consisting of edi-  
torial revisions, annotations, elaborations, or  
other modifications which, as a whole, represent  
an original work of authorship, is a derivative  
work. 17 U.S.C. 101. A sound recording usually  
embodies a pre-existing musical composition or  
literary work, and in that sense is usually a  
derivative work.
- 496.01        Derivative sound recordings. For registra-  
tion purposes, a derivative sound recording  
is one in which previously published or  
registered recorded sounds are rearranged,  
remixed, or otherwise altered in sequence  
or character. A sound recording consisting  
of an entirely new and independent fixation  
of original sounds is not a derivative sound  
recording for registration purposes. This

496            Sound recordings as derivative works.    (cont'd)496.01            Derivative sound recordings.    (cont'd)

distinction is important since it determines when a "material added" statement will be required on the application.

## Examples:

- 1) A sound recording of a Beethoven symphony may be considered a derivative work under the definition in the statute, in the sense that it embodies a preexisting musical composition. If it is an entirely new recording, however, the Copyright Office does not regard it as a derivative sound recording for registration purposes.
- 2) If a previously released recording of a Beethoven symphony was later remixed, the resulting sound recording would be a derivative sound recording.

496.01(a)            When a "material added" statement will not be required. On an application for registration, a statement of material added will not be required for a sound recording consisting of an entirely new fixation where the authorship statement refers only to the sound recording.

496.01(b)            When a "material added" statement will be required. On an application for registration, the Copyright Office will require a statement of material added for a sound recording containing previously published or registered sounds, or sounds fixed before February 15, 1972. The Copyright Office will also require a statement of material added if the authorship statement on the application refers to element(s) other than the sound recording (for example, the underlying work or artwork on the record jacket) which have been previously published or registered.



- 496                    Sound recordings as derivative works. (cont'd)
- 496.02                Types of derivative sound recordings. These include sound recordings with additional recorded material or preexisting sounds recast.
- 496.03                Registrability of derivative authorship. A new version is registrable only if it contains at least a certain minimum amount of recast sounds or new recorded material. Where only a few slight variations or minor additions of no substance have been made, registration is not possible. Also, where the changes are the result of mechanical rather than creative processes, registration will be refused.
- 496.03(a)             Additional recorded material. Where more than a certain minimum amount of new recorded material is added to previously released or registered sounds, the new version is registrable. The claim should be limited accordingly.
- 496.03(b)             Preexisting sounds recast. This includes recordings reissued with substantial editorial revisions or abridgments of the recorded material. NOTE: For specific definitions of terms listed below, see the Glossary of Terms in section 499 below.
- 496.03(b)(1)           Copyrightable elements. The following elements are acceptable as descriptions of material added:
- Remixed
  - Remixed for quad from original multi-track sound sources
  - Remixed for continuity and balance
  - Resequencing
  - Sweetening
  - New mix
  - Remixed for stereo

- 496            Sound recordings as derivative works. (cont'd)
- 496.03            Registrability of derivative authorship.  
(cont'd)
- 496.03(b)            Preexisting sounds recast. (cont'd)
- 496.03(b)(1)            Copyrightable elements. (cont'd)
- Remixed for monaural sound
  - Compilation (see also section 497 below).
- 496.03(b)(2)            Noncopyrightable elements. Claims based solely on the following elements will be refused:
- New master cut
  - Remastering
  - Enhanced stereo
  - Encoding a two-track master onto four channels
  - Reprocessing
  - Compatible stereo
  - Simulated stereo
  - Electronically rechanneling for stereo (or quad)
  - Electronically enhanced
  - Derived 4-channel
  - Declicking
  - Reissue
  - Dolbyized

NOTE: Any claim in a sound recording originally fixed before February 15, 1972, must be limited to whatever sound recording authorship may have been added on or after February 15, 1972. See section 494 above. Where the original fixation was in a monophonic recording, the possibility of adding copyrightable authorship by editing or mixing in the course of reprocessing is minimal or non-existent, so that the copyrightable

496                    Sound recordings as derivative works. (cont'd)

496.03                Registrability of derivative authorship.  
(cont'd)

496.03(b)            Preexisting sounds recast. (cont'd)

496.03(b)(2)        Noncopyrightable elements. (cont'd)

NOTE: (cont'd)

content of the original sounds and the new ones remains essentially unchanged. In such a case, the date the original recording was made is the date of fixation, and there is generally no new sound recording authorship (except compilation, where appropriate) on which to base a claim. Most recordings made before 1960 fall into this category.

496.03(b)(3)        Minimal contributions. The following elements may involve effort, but registration based on them alone will be refused. However, where they are included in addition to clearly copyrightable new material, the claim should be registered.

- Changing the treble (highs) and bass (lows)
- Equalization
- Reverberation
- Balancing

496.03(b)(4)        Elements whose registrability is subject to question. These include the following:

- 1) Editing. The Copyright Office will question "editing" when this is the only statement of new material. A claim based on "editing" should be defined in terms of specific sound engineering techniques employed.

496            Sound recordings as derivative works. (cont'd)

496.03            Registrability of derivative authorship.  
(cont'd)

496.03(b)            Preexisting sounds recast. (cont'd)

496.03(b)(4)            Elements whose registrability is  
subject to question. (cont'd)

2) Abridgment. Such a claim will not be questioned unless there is reason to doubt its substantiality.

3) Overdub. If there is newly recorded material added, the Copyright Office will register the claim; otherwise, an explanation of the nature and extent of the claim will be requested.

4) Re-engineering. The Copyright Office will request an explanation.

496.03(b)(5)            Ambiguous or unfamiliar terms. The Copyright Office will question ambiguous or unfamiliar terms.

497            Compilations. A compilation is a work formed by the collection and assembling of preexisting materials or of data that are selected, coordinated, or arranged in such a way that the resulting work as a whole constitutes an original work of authorship. 17 U.S.C. 101.

497.01            Registrable compilations. A collection of previously published or registered sound recordings, or of sound recordings fixed before February 15, 1972, in which the assembling, selection, or combination of works represents original authorship, constitutes a registrable compilation.

497

Compilations. (cont'd)

497.01

Registrable compilations. (cont'd)

## Examples:

- 1) "The Greatest Country & Western Recordings of 1975"
- 2) "The Greatest Recordings of the Nine Beethoven Symphonies" (a recording of the nine Beethoven symphonies, each performed by a different orchestra and conductor)

497.02

Non-registrable compilations. A mere republication together of several previously released or registered sound recordings, where no appreciable degree of original authorship was involved in putting the sound recordings together, does not constitute a registrable compilation.

## Examples:

- 1) Combination of three previously released recordings. The Copyright Office will refuse a claim in compilation, since the compilation of only three selections does not represent enough authorship to support such a claim.
- 2) A well-known conductor's recordings of the Nine Beethoven Symphonies with the same orchestra, where all nine symphonies have been previously released separately. The Copyright Office will refuse to register the claim in compilation. Merely grouping together a single conductor's recordings of the nine Beethoven symphonies with the same orchestra does not represent enough original authorship to support a claim.

498 Multimedia works. A multimedia work is one which, excluding the physical housing of its components, combines two or more kinds of authorship in two or more of the following media: phonorecords, copies from which the work may be visually perceived without the aid of a machine or device, and copies from which the work is intrinsically intended to be perceived with the aid of a machine or device.

498.01 Audiovisual multimedia works. These incorporate an audiovisual work; any accompanying sound element is not registrable as a sound recording. See sections 492 and 470 above.

498.02 Nonaudiovisual multimedia works. A non-audiovisual multimedia work generally incorporates a sound recording accompanied by material which can be perceived visually without the aid of a machine or device (for example, textual material in a booklet). The sound recording and any material published with it, such as underlying text, or accompanying text or illustrations, may be registered together in Class SR. For registrability of various elements, see sections appropriate to each such element.

[Numbers 498.03 through 498.99 are reserved.]

499 Glossary of terms. The following is a list of terms commonly used with reference to sound recordings.

BALANCE	--	relative level or volume, for example, between different or instruments, bass and treble, or different tracks or channels.
BALANCING	--	adjusting the relative levels of voices or instruments, bass and treble, or recorded tracks.

Glossary of terms. (cont'd)

- CARTRIDGE -- an enclosed package containing a continuous loop of magnetic tape and its winding apparatus, thus removing the need for handling the tape.
- CASSETTE -- a sealed package containing a length of magnetic tape and winding apparatus which can be loaded into a player without handling or threading the tape.
- CHANNEL -- a single recording path, for example, from microphone to speaker.
- DECLICKING -- in reprocessing sounds from an old 78-r.p.m. recording, the process of eliminating the noises or "clicks" produced by groove irregularities, by manually or electronically removing them from the tape made from the old recording.
- DECODING -- transforming information from a form suitable for transmission to a form suitable for use. Frequently used in reference to quadrasonic recordings, which require an electronic "decoder" for playback.
- DOLBYIZED -- refers to a recording processed through a particular noise reduction device (a "dolby"). The dolby achieves noise reduction by raising the volume of quiet passages while recording and lowering them to proper levels while playing back.

Glossary of terms. (cont'd)

- DUB -- to duplicate a sound recording by making an exact recording from that recording; or a duplication of a recording made by dubbing; to dub may also mean to add sounds to a recording or to combine two or more sources of sound (at least one of which is a recording) into one record.
- EDITING -- cutting and splicing tape to rearrange recorded material, thus changing content, form, or replacing undesirable material.
- ENCODING -- to convert (as a body of information) from one system of communication into another; especially to convert information into code; for example, reprocessing a stereo recording into a quadraphonic format which can be played on equipment with a quadraphonic decoder to produce a quadraphonic effect.
- EQUALIZATION -- the process of boosting treble during recording and boosting bass during playback, so as to compensate for losses in recording and reproduction, usually with the intent of achieving a result as close to the original performance as possible.
- LOOP -- a length of tape with its ends spliced together for continuous playback.



Glossary of terms. (cont'd)

- MASTER -- may refer to the original recording made directly from recording microphones, the final mixed-down tape from which other recordings are made, or the lacquer disk from which stampers are made for vinyl pressings.
- MIXING -- combining many separate tracks into fewer tracks, usually one, two, or four.
- MONOPHONIC -- recorded on a single channel or played back from a single sound source.
- MULTI-TRACK -- refers to a recorder which produces, or a recording which contains, more than two tracks or channels of recorded information, generally eight or more.
- OVERDUB -- mixing previously recorded material with new material.
- QUADRAPHONIC -- four-channel sound reproduction.
- REMASTERING -- cutting a new master from the original recording, usually without remixing.
- REMIXING -- mixing down from multiple tracks to one, two, or four tracks for the second or any subsequent time.
- REVERBERATION -- prolongation of sounds by repetition, resulting from sound reflections in a large hall or simulating such reflections.

Glossary of terms. (cont'd)

- STEREOPHONIC -- sound reproduction on two or more channels.
- COMPATIBLE STEREO -- refers to a recording which may be played on either stereophonic or monophonic equipment without loss of quality.
- ENHANCED STEREO -- refers to a stereo recording in which the stereo effect has been augmented by increasing or heightening the separation between channels.
- SIMULATED STEREO -- refers to a recording originally made monophonically, reprocessed so as to get a stereo effect.
- SWEETENING -- the addition of strings, brass, background vocals, etc. to a previously recorded tape.

[END OF CHAPTER 400]

Chapter 500

COPYRIGHTABLE MATTER:  
PICTORIAL, GRAPHIC, AND SCULPTURAL WORKS

Outline of Topics

- 501 Pictorial, graphic, and sculptural works: in general.
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- 502 Works of art.
- 503 Registration requirements for drawings, paintings, other pictorial works, and sculpture.
- 503.01 Style and artistic merit.
- 503.02 Copyrightable pictorial, graphic, and sculptural expression.
- 503.03 Works not capable of supporting a copyright claim.
- 504 Registration requirements for two-dimensional useful articles, three-dimensional works of artistic craftsmanship, and models.
- 504.01 Material not subject to registration.
- 504.02 Examples.
- 505 Registration requirements for the shapes of three-dimensional useful articles.
- 505.01 Definition of useful article.
- 505.02 Separability test.
- 505.03 Separability test: conceptual basis.
- 505.04 Separability test: physical basis.
- 505.05 Separability test: factors not relevant in determining registrability.
- 506 Prints.
- 506.01 Registration requirements.
- 506.02 Pictorial or graphic material.
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Chapter 500

COPYRIGHTABLE MATTER:  
PICTORIAL, GRAPHIC, AND  
SCULPTURAL WORKS

- 2 -

- 507            Reproductions of pictorial, graphic, or sculp-  
tural works.
- 507.01            Registration requirements.
  - 507.02            Derivative works.
  - 507.03            Reproductions not capable of supporting a  
                         registration.
- 508            Photographs, holograms, and individual slides.
- 508.01            Registration requirements.
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- 509            Maps.
- 509.01            Registration requirements.
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  - 509.03            Elements not capable of supporting a copyright.
- 510            Scientific works: architectural and technical  
drawings and models.
- 510.01            Registration requirements.
  - 510.02            Uncopyrightable works.
  - 510.03            Ideas, processes, or systems.
  - 510.04            Subjects depicted.

COPYRIGHTABLE MATTER:  
PICTORIAL, GRAPHIC, AND SCULPTURAL WORKS

- 501 Pictorial, graphic, and sculptural works: in general. The copyright law defines "pictorial, graphic, and sculptural works" as including two-dimensional and three-dimensional works of fine, graphic, and applied art, photographs, prints and art reproductions, maps, globes, charts, technical drawings, diagrams, and models. Such works shall include works of artistic craftsmanship insofar as their form but not their mechanical or utilitarian aspects are concerned; the design of a useful article, as defined in this section, shall be considered a pictorial, graphic, or sculptural work only if, and only to the extent that, such design incorporates pictorial, graphic, or sculptural features that can be identified separately from, and are capable of existing independently of, the utilitarian aspects of the article. See 17 U.S.C. 101.
- 501.01 Forms of embodiment. Registrable pictorial, graphic, or sculptural authorship may be embodied in a wide variety of forms. These include works of fine, graphic, and applied art; prints; photographs, holograms, and individual slides; art reproductions; maps, globes, and charts; architectural and technical drawings; diagrams, patterns, models, and the like; and advertisements. Motion pictures, film strips, slide presentations, and other audiovisual works are not "pictorial works" for the purpose of registration.
- 502 Works of art. These include works of the fine arts, such as paintings, other pictorial works, and sculpture, as well as works of artistic craftsmanship, such as jewelry, glassware, ceramic figurines, table service patterns, wall plaques, grave markers, toys, dolls, stuffed toy animals, models, and the separable artistic features of two-dimensional and three-dimensional useful articles.

503

Registration requirements for drawings, paintings, other pictorial works, and sculpture. Generally, in order to be entitled to registration, such works must contain original pictorial, graphic, or sculptural authorship. If the work consists entirely of uncopyrightable elements, registration is not authorized. On the other hand, the mere presence of uncopyrightable elements in a work will not prevent registration on the basis of features that are copyrightable under the statute. Thus a design, otherwise original, may be registrable even though it incorporates uncopyrightable standard forms, such as circles and squares.

503.01

Style and artistic merit. The registrability of a work of the traditional fine arts is not affected by the style of the work or the form utilized by the artist. Thus, the form of the work can be representational or abstract, naturalistic or stylized. Likewise, the registrability of a work does not depend upon artistic merit or aesthetic value. For example, a child's drawing may exhibit a very low level of artistic merit and yet be entitled to registration as a pictorial work.

503.02

Copyrightable pictorial, graphic, and sculptural expression. A claim to copyright in a work of the traditional fine arts will be registrable if the work contains at least a certain minimum amount of pictorial, graphic, or sculptural expression owing its origin to the author. If the expression is pictorial, the authorship could be expressed, for example, in the linear contours of a drawing, the assemblage of diverse fragments forming a collage, or the arrangement and juxtaposition of pieces of colored stone in a mosaic portrait. If the expression is sculptural, the authorship could, for example, be expressed by means of carving, cutting, molding, casting, shaping, or otherwise processing the material into a three-dimensional work of sculpture.

503

Registration requirements for drawings, paintings, other pictorial works, and sculpture.  
(cont'd)

503.02

Copyrightable pictorial, graphic, and sculptural expression. (cont'd)

503.02(a)

Minimal standards: pictorial or graphic material. A certain minimal amount of original creative authorship is essential for registration in Class VA or in any other class. Copyrightability depends upon the presence of creative expression in a work, and not upon aesthetic merit, commercial appeal, or symbolic value. Thus, registration cannot be based upon the simplicity of standard ornamentation such as chevron stripes, the attractiveness of a conventional fleur-de-lys design, or the religious significance of a plain, ordinary cross. Similarly, it is not possible to copyright common geometric figures or shapes such as the hexagon or the ellipse, a standard symbol such as an arrow or a five-pointed star. Likewise, mere coloration cannot support a copyright even though it may enhance the aesthetic appeal or commercial value of a work. For example, it is not possible to copyright a new version of a textile design merely because the colors of red and blue appearing in the design have been replaced by green and yellow, respectively. The same is true of a simple combination of a few standard symbols such as a circle, a star, and a triangle, with minor linear or spatial variations.

Examples:

- 1) An unpublished design for textile fabric is submitted for registration in Class VA. The design consists of a standard unembellished

503

Registration requirements for drawings, paintings, other pictorial works, and sculpture.  
(cont'd)

503.02

Copyrightable pictorial, graphic, and sculptural expression. (cont'd)

503.02(a)

Minimal standards: pictorial or graphic material. (cont'd)

Examples: (cont'd)

1) (cont'd)

character of Chinese calligraphy painted upon horizontally striated grass cloth. Practice: Registration is not authorized in this case. Like typography, calligraphy is not copyrightable as such, notwithstanding the effect achieved by calligraphic brush strokes across a striated surface.

2) An applicant for registration has developed a novelty item consisting of transparently clear plastic sheets bonded together around their periphery, and having a small amount of colored liquid petroleum in the air space between the laminated sheets. Any slight pressure upon the external surface results in the formation of undulating patterns and shapes, no two of which are ever identical. Practice: Since the specific outlines and contours of the patterns and shapes formed by the liquid petroleum do not owe their origin to a human agent, it is not possible to claim copyright in such patterns and shapes. The novelty of the idea embodied in the work and the effects achieved by the action of the petroleum under pressure likewise do not warrant registration.



- 503            Registration requirements for drawings, paintings, other pictorial works, and sculpture.  
(cont'd)
- 503.02            Copyrightable pictorial, graphic, and sculptural expression. (cont'd)
- 503.02(b)            Minimal standards: sculptural material.  
The requisite minimal amount of original sculptural authorship necessary for registration in Class VA does not depend upon the aesthetic merit, commercial appeal, or symbolic value of a work. Copyrightability is based upon the creative expression of the author, that is, the manner or way in which the material is formed or fashioned. Thus, registration cannot be based upon standard designs which lack originality, such as common architecture moldings, or the volute used to decorate the capitals of Ionic and Corinthian columns. Similarly, it is not possible to copyright common geometric figures or shapes in three-dimensional form, such as the cone, cube, or sphere. The mere fact that a work of sculpture embodies uncopyrightable elements, such as standard forms of ornamentation or embellishment, will not prevent registration. However, the creative expression capable of supporting copyright must consist of something more than the mere bringing together of two or three standard forms or shapes with minor linear or spatial variations. In no event can registration rest solely upon the fact that an idea, method of operation, plan, or system has been successfully communicated in three-dimensional form. In every case, it is the creative expression of the author which must be able to stand alone as an independent work apart from the general idea which informs it.

503

Registration requirements for drawings, paintings, other pictorial works, and sculpture.  
(cont'd)

503.02

Copyrightable pictorial, graphic, and sculptural expression. (cont'd)

503.02(b)

Minimal standards: sculptural material.  
(cont'd)

Examples:

- 1) Registration in Class VA is requested for a design or model of a table lamp. Cast in plaster of Paris, the design features the head of a horse mounted on an iron horseshoe with toe and heel calks which supports the entire fixture. Electrical wiring is concealed within the plaster casting. Practice: If the head of the horse is original, registration may be considered on that basis. However, the general idea of embellishing a lighting fixture with a work of art is not copyrightable. The same is true of the decorative idea of using a horseshoe as support for a lamp base, regardless of the pleasing effect thereby achieved.
- 2) A toy manufacturer conceives a novel idea for a toy consisting of multicolored geometrical spheres, cubes, and cylinders of varying sizes. All of these parts or pieces are magnetized, and will adhere to one another when placed in close proximity. Thus, it is possible to construct an indefinite variety of shapes and figures by means of the magnetized parts or pieces. The manufacturer desires to protect the three-dimensional aspects of the toy before publication occurs. He applies to the

- 503                    Registration requirements for drawings, paintings, other pictorial works, and sculpture.  
(cont'd)
- 503.02                Copyrightable pictorial, graphic, and sculptural expression. (cont'd)
- 503.02(b)            Minimal standards: sculptural material.  
(cont'd)

Examples: (cont'd)

2) (cont'd)

Copyright Office for registration of a design for an unpublished sculptural work of art. His application Form VA is accompanied by one complete set of magnetized spheres, cubes, and cylinders arranged in a plain box according to size and color. Practice: We will refuse a registration in Class VA based solely upon the unassembled toy, even though its component parts or pieces are potentially capable of being arranged in copyrightable shapes and forms. The general idea of the toy is uncopyrightable, regardless of its novelty or uniqueness.

3) A work described as a "mobile" consists of nine pieces of translucent colored glass each of which is suspended by wire from an overhead rack designed to rotate about a pivot in a horizontal plane. The suspension wires vary in length and no two pieces of glass share the same shape or outline. Registration is sought in Class VA on the basis of the overall effect produced by the play of light upon the suspended glass components of a work which the applicant describes as "three-dimensional." No copyrightable authorship is claimed in the design of the individual pieces

- 503            Registration requirements for drawings, paintings, other pictorial works, and sculpture.  
(cont'd)
- 503.02            Copyrightable pictorial, graphic, and sculptural expression. (cont'd)
- 503.02(b)            Minimal standards: sculptural material.  
(cont'd)
- Examples: (cont'd)
- 3) (cont'd)
- of glass. Practice: Registration based upon the cumulative effect produced by the component members of the mobile will be refused. If these members had contained copyrightable authorship, registration could have been considered on the basis of the two-dimensional design features displayed by the pieces of glass.
- 503.03            Works not capable of supporting a copyright claim. Claims to copyright in the following works cannot be registered in the Copyright Office:
- 503.03(a)            Works not originated by a human author. In order to be entitled to copyright registration, a work must be the product of human authorship. Works produced by mechanical processes or random selection without any contribution by a human author are not registrable. Thus, a linoleum floor covering featuring a multicolored pebble design which was produced by a mechanical process in unrepeatable, random patterns, is not registrable. Similarly, a work owing its form to the forces of nature and lacking human authorship is not registrable; thus, for example, a piece of driftwood even if polished and mounted is not registrable.

- 503            Registration requirements for drawings, paintings, other pictorial works, and sculpture.  
(cont'd)
- 503.03            Works not capable of supporting a copyright claim. (cont'd)
- 503.03(b)            Works containing insufficient expression.  
No registration is possible where the work consists solely of elements which are incapable of supporting a copyright claim. Uncopyrightable elements include common geometric figures or symbols, such as a hexagon, an arrow, or a five-pointed star, as pointed out in section 503.02(a) above.
- 503.03(c)            Ideas and concepts. Mere ideas and concepts cannot support a copyright claim. In order to be registrable, a work must contain original copyrightable expression. Thus, for example, neither the idea of folding a five-pointed star in a manner that enables it to stand upright, nor the star so folded is registrable.
- 504            Registration requirements for two-dimensional useful articles, three-dimensional works of artistic craftsmanship, and models. The registrability of two-dimensional useful articles is determined by the presence of at least a certain minimum amount of pictorial or graphic authorship. For three-dimensional works of artistic craftsmanship falling outside the definition of useful articles, such as jewelry, toys, and wall plaques, the authorship may be either sculptural or pictorial in nature, such as carving, cutting, molding, casting, shaping the work, arranging the elements into an original combination, or decorating the work with pictorial matter. Three-dimensional works of artistic craftsmanship are registrable either in assembled form, or in unassembled component pieces, as for example, an unassembled model airplane.

- 504 Registration requirements for two-dimensional useful articles, three-dimensional works of artistic craftsmanship, and models. (cont'd)
- 504.01 Material not subject to copyright. Standard elements, as such, are not registrable. Thus, registration cannot be made for glassware devoid of copyrightable ornamentation, or for fabric designs consisting only of polka dots. Moreover, the mechanical or utilitarian aspects of a three-dimensional work of applied art are not subject to copyright protection. Hence, the serrated edge of a knife could not be the basis of a copyright registration.
- 504.02 Examples. The following are examples of the principles governing the registrability of such works:
- 1) A textile design consisting of nothing more than polka dots is not registrable. However, a representational image produced by the use of dots is registrable.
  - 2) A jeweled pin consisting of three parallel rows of stones is not registrable, while a pin consisting of a sculpted bee is registrable.
  - 3) A copyright claim in an original stuffed toy lion is registrable, while a plain red cushion shaped as a five-pointed star is not.
- 505 Registration requirements for the shapes of three-dimensional useful articles. Under the definition of "pictorial, graphic, and sculptural works" in the copyright law, the "design of a useful article" is copyrightable only if, and only to the extent that, such design incorporates pictorial, graphic, or sculptural features that can be identified separately from, and are capable of existing independently of, the utilitarian aspects of the article. See 17 U.S.C. 101.

- 505            Registration requirements for the shapes of three-dimensional useful articles. (cont'd)
- 505.01        Definition of useful article. A "useful article" is an article having an intrinsic utilitarian function that is not merely to portray the appearance of the article or to convey information. An article that is normally a part of a useful article is considered a "useful article." 17 U.S.C. 101. Examples of useful articles include automobiles, boats, household appliances, furniture, work tools, garments, and the like.
- 505.02        Separability test. Registration of claims to copyright in three-dimensional useful articles can be considered only on the basis of separately identifiable pictorial, graphic, or sculptural features which are capable of independent existence apart from the shape of the useful article. Determination of separability may be made on either a conceptual or physical basis.
- 505.03        Separability test: conceptual basis. Conceptual separability means that the pictorial, graphic, or sculptural features, while physically inseparable by ordinary means from the utilitarian item, are nevertheless clearly recognizable as a pictorial, graphic, or sculptural work which can be visualized on paper, for example, or as free-standing sculpture, as another example, independent of the shape of the useful article, i.e., the artistic features can be imagined separately and independently from the useful article without destroying the basic shape of the useful article. The artistic features and the useful article could both exist side by side and be perceived as fully realized, separate works -- one an artistic work and the other a useful article. Thus, carving on the back of a chair, or pictorial matter engraved on a glass vase, could be considered for registration. The test of conceptual separability, however, is not met by merely

505

Registration requirements for the shapes of three-dimensional useful articles. (cont'd)

505.03

Separability test: conceptual basis.  
(cont'd)

analogizing the general shape of a useful article to works of modern sculpture, since the alleged "artistic features" and the useful article cannot be perceived as having separate, independent existences. The shape of the alleged "artistic features" and of the useful article are one and the same, or differ in minor ways; any differences are de minimis. The mere fact that certain features are nonfunctional or could have been designed differently is irrelevant under the statutory definition of pictorial, graphic, and sculptural works. Thus, the fact that a lighting fixture might resemble abstract sculpture would not transform the lighting fixture into a copyrightable work.

505.04

Separability test: physical basis. The physical separability test derives from the principle that a copyrightable work of sculpture which is later incorporated into a useful article retains its copyright protection. Examples of works meeting the physical separability test include a sculptured lamp base of a Balinese dancer, or a pencil sharpener shaped like an antique car. However, since the overall shape of a useful article is not copyrightable, the test of physical separability is not met by the mere fact that the housing of a useful article is detachable from the working parts of the article.

505.05

Separability test: factors not relevant in determining registrability. In applying the test of separability, the following are not relevant considerations: 1) the aesthetic value of the design, 2) the fact that the shape could be designed differently, or 3) the amount of work which went into the



- 505            Registration requirements for the shapes of three-dimensional useful articles. (cont'd)
- 505.05        Separability test: factors not relevant in determining registrability. (cont'd)
- making of the design. Thus, the mere fact that a famous designer produces a uniquely shaped food processor does not render the design of the food processor copyrightable.
- 506            Prints. "Prints" include a wide variety of pictorial prints and illustrations produced by means of lithography, photoengraving or other printing processes, including reproductions of representational and abstract designs and color reproductions of photographic prints. Examples of such works include greeting cards, picture postcards, posters, decals, stationery, table place mats, advertisements, various kinds of wrappers, billboards, shopping bags, and labels.
- 506.01        Registration requirements. In order to be entitled to registration as a print, the work must contain at least a certain minimum amount of original pictorial or graphic authorship.
- 506.02        Pictorial or graphic material. Registration is appropriate for original pictorial or graphic material, such as illustrations and representational or abstract design, as well as photographs reproduced in color by lithography, photoengraving, or other printing processes. Although the copyrightability of such material does not depend upon artistic merit or aesthetic value, the material must contain at least a certain minimum amount of original pictorial or graphic expression to be eligible for registration.
- 506.03        Uncopyrightable elements. In determining the registrability of a print, the copyright claim cannot be based solely upon mere variations of typographic ornamentation, lettering, or coloring. Likewise, the arrangement of type on a printed page cannot support a copyright claim. However,

506            Prints. (cont'd)506.03            Uncopyrightable elements. (cont'd)

if the type is so arranged as to produce a pictorial representation, the resulting image is registrable. Thus, an advertisement which utilized lettering to achieve a pictorial representation of a person can be registered.

507            Reproductions of pictorial, graphic, or sculptural works. Material comprising "reproductions of pictorial, graphic, or sculptural works" include reproductions of existing works of art. Examples of such reproductions are photoengravings, collotypes, silk-screen prints, mezzotints, and three-dimensional reproductions of sculpture.

507.01            Registration requirements. In order to be registrable, an art reproduction must contain at least a certain minimum amount of original authorship. This authorship may consist of drawing, lithography, photoengraving, etching, original sculpturing or molding, and the like. For example, a reproduction of Rodin's "Hand of God" achieved through sculpturing a miniature version of the original is registrable.

507.02            Derivative works. Art reproductions are derivative works because, by their nature, they are based on preexisting works. Accordingly, a statement identifying the preexisting artistic work and indicating the nature of the authorship in the reproduction should be given in the appropriate spaces on the application form. However, in those cases where the author and claimant of the reproduction are also the author and claimant of the original work of art that has been reproduced, and the original work has not been previously registered or published, registration should be made as an original pictorial, graphic, or sculptural work.

- 507            Reproductions of pictorial, graphic, or sculptural works. (cont'd)
- 507.03        Reproductions not capable of supporting a registration. Claims to copyright in the following works cannot be registered in the Copyright Office:
- 507.03(a)     Underlying work not a pictorial, graphic, or sculptural work. Where the underlying work is not a pictorial, graphic, or sculptural work, no registration is possible on the basis of reproduction authorship. For example, a lithographic reproduction of a letter of the alphabet is not registrable.
- 507.03(b)     Mechanical or photomechanical processes. Reproductions made through the mere operation of mechanical or photomechanical processes are not registrable. For example, a photocopy of an original pen and ink drawing is not registrable as an art reproduction.
- 508            Photographs, holograms, and individual slides. Works considered for registration on the basis of photographic authorship include still photographic prints, holograms, and individual slides.
- 508.01        Registration requirements. To be entitled to copyright registration, a photograph, hologram, or slide must contain at least a certain minimum amount of original expression. Generally, original photographic or holographic authorship depends on the variety and number of the elements involved in the composition of the photograph or hologram. However, the nature of the thing depicted or the subject of the photograph or hologram, as distinguished from its composition or arrangement, is not regarded as a copyrightable element. Original photographic composition capable of supporting registration may include such elements as time and light exposure, camera angle or perspective achieved, deployment of light and shadow from natural or artificial light sources, and the arrangement or disposition of persons, scenery, or other subjects depicted in the photograph.

- 508            Photographs, holograms, and individual slides.  
(cont'd)
- 508.01        Registration requirements. (cont'd)
- In the case of holography, original authorship depends largely upon the selection, arrangement, and disposition of scene and object.
- 508.02        Uncopyrightable works. Where images are produced through the operation of mechanical or photomechanical processes with no appreciable element of artistic expression, the work is not registrable.
- Examples:
- 1) A microfilm merely reproducing public domain textual matter is not registrable.
  - 2) The photocopy of a public domain pictorial work is not registrable.
- 509            Maps. The term "map" refers to cartographic representations of area. Common examples include terrestrial maps and atlases, marine charts, celestial maps, and such three-dimensional works as globes and relief models.
- 509.01        Registration requirements. To be registrable, a map must contain at least a certain minimum amount of original cartographic material. Examples of original cartographic material include drawings or pictorial representations of area based on original surveying or carto-graphic field work and compilations resulting from the original selection and arrangement of essentially cartographic features, such as roads, lakes or rivers, cities, political or geographic boundaries, and the like.
- 509.02        Compilations and derivative works. The preparation of many maps involves the use of previously published source material to a significant degree, and the copyrightable

- 509            Maps. (cont'd)
- 509.02            Compilations and derivative works. (cont'd)
- authorship, therefore, is generally based upon elements such as additional compilation and drawing. Additional authorship of this kind may include cartographic representations such as new roads, historical landmarks, or zoning boundaries. Where any substantial portion of the work submitted for registration includes previously published or registered material, or material that is in the public domain, statements describing both the preexisting material as well as the new copyrightable authorship should be given at the appropriate spaces on the application form. See Chapter 700: APPLICATIONS AND FEES.
- 509.03            Elements not capable of supporting a copyright. A mere reprint of public domain or previously published material is not registrable. Likewise, a claim based upon an obvious selection and arrangement of materials is not registrable. For example, an outline map of the United States containing nothing more than the names of the state capitals does not contain the necessary authorship to support registration.
- 510            Scientific works: architectural and technical drawings and models. Material comprising scientific works includes architectural blueprints, mechanical drawings, engineering diagrams, astronomical charts, anatomical models, scientific and architectural models, and similar works.
- 510.01            Registration requirements. In order to be entitled to registration, architectural and technical drawings must contain at least a certain minimum amount of original graphic or pictorial matter. A scientific or architectural model must contain at least a certain minimum amount of original sculptural material.

- 510            Scientific works: architectural and technical drawings and models. (cont'd)
- 510.02            Uncopyrightable works. Claims to copyright in the following works cannot be registered in the Copyright Office:
- 510.02(a)            Devices. Devices and similar articles, designed for computing and measuring, cannot be registered. Common examples of such works include slide rules, wheel dials, and nomograms that contain insufficient original literary or pictorial material. The printed material of which a device usually consists (lines, numbers, symbols, calibrations, and their arrangement) cannot be copyrighted, because this material is necessarily dictated by the uncopyrightable idea, principle, formula, or standard of measurement involved.
- 510.02(b)            Blank forms. Blank forms and similar works which are designed for recording information and do not in themselves convey information, cannot be registered. Common examples include: forms calibrated for use in conjunction with a machine or device, report forms, graph paper, account books, scorecards, order forms, vouchers, and the like. See 37 C.F.R. 202.1(c).
- 510.03            Ideas, processes, or systems. Copyright protection does not extend to ideas, processes, or systems. Scientific or technical works are registrable only if they contain the requisite original copyrightable expression. The following are not protectible by copyright and do not offer a basis for copyright registration: 1) ideas or procedures for doing, making, or building things; 2) scientific or technical discoveries or methods; 3) business operations or procedures; 4) mathematical principles; or 5) any other concept, process, method of operation, or plan of action. See 17 U.S.C. 102(b).

510                    Scientific works: architectural and technical  
drawings and models. (cont'd)

510.04                Subjects depicted. Where registration is sought for a scientific or technical work, the application should describe only the authorship contained in the work and not bear any statements which suggest that registration extends to the subjects depicted. Thus, the application for registration of a claim to copyright in an architectural drawing of a building should contain no statements which imply that the registration extends to the building. See 17 U.S.C. 113(b).

[END OF CHAPTER 500]

[1984]





Chapter 600

REGISTRATION PROCEDURES

This chapter is in preparation.



Chapter 700

APPLICATIONS AND FEES

Outline of Topics

- 701           Application forms.
- 701.01           Statutory authorization.  
    701.02           Statutory requirements.
- 702           Basic application forms.
- 702.01           Class TX, Form TX: Nondramatic Literary Works  
                    Other Than Serials.  
    702.02           Class TX, Form SE: Serials.  
    702.03           Class PA, Form PA: Works of the Performing Arts.  
    702.04           Class VA, Form VA: Works of the Visual Arts.  
    702.05           Class SR, Form SR: Sound Recordings.
- 703           Renewal application: Form RE.
- 704           Registration forms for special cases.
- 704.01           Form CA: Supplementary Registration.  
    704.02           Form GR/CP: Group Registration for Contribu  
                    tions to Periodicals.
- 705           Import Statement.
- 705.01           Form IS: Request for Issuance of an Import  
                    Statement.
- 706           Submission of material.
- 707           Quality and legibility of application forms.
- 707.01           Only application forms issued by the Copyright  
                    Office may be used.  
    707.02           Information given on the application forms  
                    should be typewritten or legibly printed in  
                    black ink.
- 708           Selection of most appropriate application form.
- 708.01           Nature of authorship determinative.  
    708.02           Two forms seem appropriate: song lyrics,  
                    speeches, and other works prepared for oral  
                    delivery.

- 708            Selection of most appropriate application form.  
                  (cont'd)
- 708.03            Contributions to collective works.  
      708.04            Derivative works.  
      708.05            Works in which the claim includes two or more  
                          categories of authorship.
- 709            Classification for administrative purposes only.

[Numbers 710 through 749 are reserved.]

- 750            Fees.
- 750.01            Applicability of fees to U.S. Government.  
      750.02            Refunds.
- 751            Effective date of fee schedule under the current  
                  Act.
- 752            Submission of registration fees.
- 753            Form of payment.
- 753.01            Currency.  
      753.02            Fees remitted from outside the United States or  
                          made payable in foreign currency.
- 754            Deposit Accounts.
- 754.01            Minimum requirements for Deposit Accounts.
- 755            Cancellation of registration in cases of dishonored  
                  checks.
- 756            Fees not specified in section 708 of the current  
                  Act.

Chapter 700

APPLICATIONS AND FEES

701            Application forms. The following are the statutory provisions relating to the application forms.

701.01            Statutory authorization. The Register of Copyrights is authorized to specify by regulation the administrative classes into which works are to be placed for purposes of deposit and registration. This administrative classification of works has no significance with respect to the subject matter of copyright or the exclusive rights provided by the copyright law. See 17 U.S.C. 408(c)(1).

701.02            Statutory requirements. Section 409 of the copyright law specifies that the application for copyright registration shall be made on a form prescribed by the Register of Copyrights and that it shall include:

- 1) the name and address of the copyright claimant;
- 2) in the case of a work other than an anonymous or pseudonymous work, the name and nationality or nation of domicile of the author or authors, and, if one or more of the authors is dead, the dates of their deaths;
- 3) if the work is anonymous or pseudonymous, the nationality or nation of domicile of the author or authors;
- 4) in the case of a work made for hire, a statement to the effect that it is such a work;
- 5) if the copyright claimant is not the author, a brief statement of how the claimant obtained ownership of the copyright;
- 6) the title of the work, together with any previous or alternative titles under which the work can be identified.

701 Application forms. (cont'd)701.02 Statutory requirements. (cont'd)

- 7) the year in which creation of the work was completed;
- 8) if the work has been published, the date and nation of its first publication;
- 9) in the case of a compilation or derivative work, an identification of any preexisting work or works that it is based on or incorporates, and a brief, general statement of the additional material covered by the copyright claim being registered;
- 10) in the case of a published work containing material of which copies are required by section 601 of the current Act to be manufactured in the United States, the names of the persons or organizations who performed the processes specified by subsection (c) of section 601 with respect to that material, and the places where those processes were performed; and
- 11) any other information regarded by the Register of Copyrights as bearing upon the preparation or identification of the work or the existence, ownership, or duration of the copyright.

702 Basic application forms. Pursuant to the statutory authority given to the Register of Copyrights, the Copyright Office has established basic classes for original registrations with corresponding application forms. These classes are as follows:

702.01 Class TX, Form TX: Nondramatic Literary Works Other Than Serials. This category includes published and unpublished nondramatic literary works. Examples include fiction, nonfiction, poetry, textbooks, reference works, directories, catalogs, advertising copy, computer programs, and compilations of information, including data bases.

702

Basic application forms. (cont'd)

702.02

Class TX, Form SE: Serials. A serial is defined as a work issued or intended to be issued in successive parts bearing numerical or chronological designations and intended to be continued indefinitely, such as periodicals, newspapers, annuals, journals, and proceedings of societies.

NOTE: A contribution to a serial is not registered on Form SE. See section 708.01 below.

702.03

Class PA, Form PA: Works of the Performing Arts. This category includes published and unpublished works prepared for the purpose of being performed directly before an audience or indirectly by means of a device or process. Examples are musical works, including any accompanying words; dramatic works, including any accompanying music; pantomimes and choreographic works; and motion pictures and other audiovisual works, including accompanying sounds, if any.

702.04

Class VA, Form VA: Works of the Visual Arts. This category includes published and unpublished pictorial, graphic, and sculptural works. Examples are two-dimensional and three-dimensional works of fine, graphic, and applied arts, photographs, prints and art reproductions, maps, globes, and charts, technical drawings, diagrams, and models, as well as pictorial or graphic labels and advertisements.

702.05

Class SR, Form SR: Sound Recordings. This category includes all published and unpublished sound recordings fixed on or after February 15, 1972. In addition, claims to copyright in literary, dramatic, and musical works embodied in a phonorecord may be registered in Class SR if the claimant for both the sound recording and the underlying work is the same and the application covers both the sound recording and the underlying material. "Sound recordings" are works that result from the fixation of a series of musical, spoken, or other sounds. The audio portions of audiovisual works, such as a motion picture soundtrack or an audio cassette accompanying a filmstrip, are considered an integral part of the audiovisual work and are registrable in Class PA rather than Class SR.

- 703            Renewal application: Form RE. The current Act provides for renewal of copyright in works already in their first term of copyright on January 1, 1978. See 17 U.S.C. 304. Form RE is appropriate for all renewal registrations, regardless of the class in which the original registration was made.
- 704            Registration forms for special cases. In addition to the forms listed above, the Copyright Office has established two registration forms for use in special cases.
- 704.01        Form CA: Supplementary Registration. This form is used to apply for supplementary registration under section 408(d) of the current Act, in order to correct an error in a copyright registration or to amplify the information given in a registration. See Chapter 1500: CORRECTIONS AND AMPLIFICATIONS OF COPYRIGHT OFFICE RECORDS; SUPPLEMENTARY REGISTRATIONS.
- 704.02        Form GR/CP: Group Registration for Contributions to Periodicals. This form is used as a adjunct to a basic application on Form TX, Form PA, or Form VA where the applicant is making a single registration under section 408(c)(2) of the current Act for a group of contributions to periodicals.
- 705            Import Statement. Section 601(b)(2) of the current Act permits the importation of 2000 copies of a foreign manufactured edition of a work consisting preponderantly of nondramatic literary material that is in the English language and is protected under the current Act, upon presentation to the United States Customs Service of an Import Statement. See Chapter 1200: MANUFACTURING PROVISIONS.
- 705.01        Form IS: Request for Issuance of an Import Statement. This form implements the statutory provisions prescribing an Import Statement. Copyright owners of works that are subject to the manufacturing restrictions must use this form to secure issuance of an Import Statement.



- 706 Submission of material. In order to consider registration of a claim to copyright, the Copyright Office should receive a completed application form together with the required fee and deposit. The application should contain the required information and be duly certified. Incomplete, inaccurate, or illegible applications may delay the registration process.
- 707 Quality and legibility of application forms. Application forms accepted for registration become permanent parts of the official records of the Copyright Office and must meet archival standards and be legible.
- 707.01 Only application forms issued by the Copyright Office may be used. Copyright Office forms meet strict archival standards; therefore, only forms issued by the Office may be used to make registration. Photocopies or other reproductions of Copyright Office forms cannot be accepted for registration.
- 707.02 Information given on the application form should be typewritten or legibly printed in black ink. Information required by the forms must be legible and should be typewritten or printed in black ink. Applicants who anticipate filing a large number of applications may place certain repetitive information on the application forms they submit by using a printing process. Carbons of applications or applications completed in pencil are generally not acceptable.
- 708 Selection of most appropriate application form. The appropriate form is generally determined by the nature of the authorship in which copyright is claimed. For most works, one form will clearly be the most appropriate.
- 708.01 Nature of authorship determinative. The nature of the authorship determines which application form should be used for registration rather than the material object in which the work is embodied.
- Example:
- A filmstrip or set of slides containing only text should be registered on Form TX, not on Form PA.

708

Selection of most appropriate application form.  
(cont'd)

708.02

Two forms seem appropriate: song lyrics, speeches, and other works prepared for oral delivery. For song lyrics, speeches, and other works prepared for oral delivery, two forms appear to be appropriate because the nature of authorship is literary and because the work was prepared for the purpose of performance. Although the Copyright Office will accept either Form PA or TX, Form PA is more appropriate.

708.03

Contributions to collective works. In the case of contributions to collective works, applications should be submitted in the class representing the copyrightable authorship in the contribution.

Examples:

- 1) A pictorial cartoon published in a weekly magazine should be registered on Form VA.
- 2) A short story published in a monthly magazine should be registered on Form TX.

708.04

Derivative works. In the case of derivative works, applications should be submitted in the class most appropriately representing the copyrightable authorship involved in recasting, transforming, adapting, or otherwise modifying the preexisting work.

Example:

A motion picture version of a previously published novel should be registered on Form PA.

708.05

Works in which the claim includes two or more categories of authorship. For works in which the claim includes copyrightable material in two or more classes, the type of such material that predominates generally determines the class for registration.

708 Selection of most appropriate application form.  
(cont'd)

708.05 Works in which the claim includes two or more categories of authorship. (cont'd)

Example:

A game contains pictorial material on a game board, sculptural authorship in game pieces, and textual authorship in the game instructions. If the pictorial and sculptural authorship predominates, Form VA should be used. If the textual material predominates, Form TX should be used.

NOTE: As an exception, where the claim includes sound recording authorship, Form SR must be used regardless of the nature of the other material or which type of authorship predominates. See section 702.05 above.

Examples:

- 1) A kit consisting of a booklet and a cassette tape with a claim in text and sound recording must be registered on Form SR.
- 2) A phonorecord with a claim in words, music, and sound recording must be registered on Form SR.

709 Classification for administrative purposes only. The current Act specifies that the classification system adopted by the Copyright Office is solely for administrative purposes and has no significance with respect to the subject matter of copyright or the exclusive rights under the current Act. See 17 U.S.C. 408(c)(1). However, the Copyright Office may request submission of a new application in the correct class where registration was originally sought on an inappropriate form.

[Numbers 710 through 749 are reserved].

750 Fees. The fees for registration, recordation, and certain other services are prescribed or authorized by the current Act. See 17 U.S.C. 708(a).

750 Fees. (cont'd)

- 750.01 Applicability of fees to U.S. Government. The fees prescribed or authorized by the current Act are also applicable to the United States Government and any of its agencies, employees, or officers; however, the law specifies that the Register of Copyrights has discretion to waive this requirement in occasional or isolated cases involving relatively small amounts. See 17 U.S.C. 708(b).
- 750.02 Refunds. Money remitted to the Copyright Office for original, basic, supplementary, or renewal registration will not be refunded if the claim is rejected because the material deposited does not constitute copyrightable subject matter or because the claim is invalid for any other reason. Payments made by mistake or in excess of the statutory fee will be refunded, but amounts of \$5 or less will not be refunded unless specifically requested, and refunds of less than \$1 may be made in postage stamps. 37 C.F.R. 201.6(c).
- 751 Effective date of fee schedule under the current Act. Applications for copyright registration and requests for other fee services of the Copyright Office received on or after January 1, 1978, are governed by the fee schedule of the current Act. In cases where an application, deposit, and fee were received before January 1, 1978, but processing was not completed until after January 1, 1978, the fees established in accordance with title 17 as it existed on December 31, 1977, shall apply. See section 109, Transitional and Supplementary Provisions of the current Act.
- 752 Submission of registration fees. Registration fees should be submitted in the same envelope or package with the application and deposit. With regard to fees submitted to establish or replenish Deposit Accounts, see section 754 below.
- 753 Form of payment. The Copyright Office urges that all remittances mailed to it be in the form of a check, money order, or bank draft, payable to REGISTER OF COPYRIGHTS.

753 Form of payment. (cont'd)

753.01 Currency. The Copyright Office will accept currency but does not assume any responsibility for monies sent in payment of fees which are lost before receipt in the Copyright Office.

753.02 Fees remitted from outside the United States or made payable in foreign currency. The Copyright Office does not accept checks drawn on foreign banks or made payable in foreign currencies. Foreign remittances must be in the form of an International Money Order or Bank Draft payable in United States dollars.

754 Deposit Accounts. The Copyright Office maintains a system of Deposit Accounts for the convenience of those who frequently use the services of the Office. The system allows an individual or firm to establish a Deposit Account in the Copyright Office and to make advance deposits into the Account. Charges for registration, recordation, or other fee services will be deducted from the outstanding balances in such Accounts.

754.01 Minimum requirements for Deposit Accounts. The following are the minimum requirements for establishing and maintaining a Deposit Account in the Copyright Office:

- 1) When the Account is opened, the initial deposit must amount to at least \$250.
- 2) All later deposits into the Account must also be \$250 or more.
- 3) There must be at least 12 transactions a year.
- 4) If fees are to be charged against a Deposit Account, the exact name and number of the Account should be given on all applications for registration or other requests for fee services.
- 5) The Deposit Account holder must maintain a sufficient balance to cover all charges against the Account.

- 755 Cancellation of registration in cases of dishonored checks. When a check received in payment of the registration fee is returned to the Copyright Office marked "insufficient funds" or is otherwise marked uncollectible, the Copyright Office will cancel any registration for which the dishonored check was submitted; the Office will notify the applicant in writing that the check was returned to the Copyright Office as uncollectible, that the registration has been cancelled, and that the certificate of registration should be returned to the Copyright Office. When a registration is cancelled, appropriate notations are placed in the original record to show that the registration has been cancelled.
- 756 Fees not specified in section 708 of the current Act. Certain fees for Copyright Office services under the Freedom of Information Act and the Privacy Act are not established in title 17, U.S.C. See 37 C.F.R. 203.6 and 204.6.

[END OF CHAPTER 700]

Chapter 800

DEPOSIT FOR REGISTRATION

Outline of Topics

- 801        Applicability of this chapter.
- 802        Statutory provisions.
- 803        Quantity and content of material deposited: in general.
- 804        Unpublished works.
- 804.01        Unpublished works: the meaning of "complete."  
      804.02        Unpublished works: nature of copy.
- 805        Published works.
- 805.01        Published works: number of copies or phonorecords.  
      805.02        Published works: the meaning of "complete."  
      805.03        The meaning of "best edition."
- 806        Quantity and content of material deposited: special situations.
- 806.01        Works reproduced in or on three-dimensional objects.  
      806.02        Oversize copies.  
      806.03        Holograms.  
      806.04        Unpublished pictorial or graphic works.  
      806.05        Pictorial or graphic works published in certain limited editions.  
      806.06        Published commercial prints or labels.  
      806.07        Published tests and answer material.  
      806.08        Secure tests.  
      806.09        Pictorial or graphic works reproduced in or on sheetlike materials.  
      806.10        Pictorial or graphic works reproduced on sheetlike materials published only in or on three-dimensional objects.  
      806.11        Separate registration for work embodied only in a motion picture soundtrack.  
      806.12        Machine-readable works.  
      806.13        Motion pictures.

- 807            Motion Picture Agreement.
  - 807.01            Who may enter into the Agreement.
  - 807.02            Who may sign the Agreement.
  - 807.03            Return of deposit copy under the Agreement.
  - 807.04            Recall of the deposit copy under the Agreement.
  - 807.05            Quality of copy deposited under the Agreement.
  - 807.06            Supplemental Property Agreement.
  - 807.07            Termination of the Motion Picture Agreement.
  
- 808            Special relief from the deposit requirements for registration.
  - 808.01            Special relief: in general.
  - 808.02            Special relief: criteria.
  - 808.03            Special relief: procedures.
  - 808.04            Special relief: continuous or ongoing grants.
  
- 809            Relationship of deposit for registration to mandatory deposit under 17 U.S.C. 407.
  
- 810            Appendix.



## Chapter 800

### DEPOSIT FOR REGISTRATION

801        Applicability of this chapter. The provisions of this chapter are applicable to works for which an application for copyright registration is made on or after January 1, 1978.

802        Statutory provisions. At any time during the subsistence of copyright in any published or unpublished work, the owner of copyright or of any exclusive right in the work may apply for registration of the copyright claim by delivering to the Copyright Office the application and fee specified by sections 409 and 708 of the copyright law (see Chapter 700: APPLICATIONS AND FEES), along with the deposit specified in section 408 of the copyright law and explained in this chapter. See 17 U.S.C. 408(a). Except as modified by the Copyright Office Regulations adopted pursuant to the provisions of 17 U.S.C. 408(c), the deposit for registration shall consist of:

- 1) For an unpublished work, one complete copy or phonorecord;
- 2) For a work first published in the United States before January 1, 1978, two complete copies or phonorecords of the work as first published;
- 3) For a work first published in the United States on or after January 1, 1978, two complete copies or phonorecords of the best edition;
- 4) For a work first published outside the United States, one complete copy or phonorecord as so published;
- 5) For a contribution to a collective work, one complete copy or phonorecord of the best edition of the collective work.

See 17 U.S.C. 408(b).

802      Statutory provisions. (cont'd)

NOTE: The Register of Copyrights is authorized by the law to specify by regulation the administrative classes into which works are to be placed for purposes of deposit and registration and the nature of the copies or phonorecords to be deposited in the various classes specified. The regulations may require or permit the deposit of identifying material instead of copies or phonorecords, the deposit of only one copy or phonorecord where two would normally be required, or a single registration and an attendant deposit for a group of related works. See 17 U.S.C. 408(c)(1). The Register is directed by the law to establish regulations specifically permitting, under certain conditions, a single registration for a group of contributions to periodicals by the same author published within a twelve-month period. See 17 U.S.C. 408(c)(2).

803      Quantity and content of material deposited: in general. The statute authorizes the Register of Copyrights to specify by regulation the quantity and content of the material to be deposited. The regulations lessen the requirements in many cases by reducing the necessary deposit for published works from two copies or phonorecords to one, by permitting the deposit of identifying material instead of a copy or phonorecord, and by providing for specially tailored relief from the deposit requirements in cases of unnecessary hardship or in unusual circumstances, through the mechanism of "special relief." These regulations also require, in some cases, the deposit of identifying material instead of the copy or phonorecord otherwise required. Exceptions to the basic deposit requirements are explained in detail in sections 804 through 806 below.

804      Unpublished works. The statute requires for unpublished works that one copy or phonorecord be deposited, and that the single copy or phonorecord be "complete." See 17 U.S.C. 408(b)(1).

804.01      Unpublished works: the meaning of "complete." Generally, the requirement that an unpublished copy or phonorecord be "complete" means that

804

Unpublished works. (cont'd)

804.01

Unpublished works: the meaning of "complete."  
(cont'd)

it must embody the entire copyrightable content of the work for which registration is sought. See 37 C.F.R. 202.20(b)(2)(i). For unpublished motion pictures, the deposit regulations give the term "complete" a special meaning as set forth in section 806.13(a) below.

804.02

Unpublished works: nature of copy. The general rule that only one complete copy is required is modified for certain types of works. For some works, identifying material may or must be substituted for the actual copy required. In other cases, additional material must accompany the single copy deposited. The special requirements for each specific type of work are explained later in this chapter, at the sections cited below.

804.02(a)

Identifying material. If the following are unpublished, identifying material may or must be submitted:

- 1) Certain pictorial and graphic works (see sections 806.04 and 806.05 below);
- 2) Machine-readable works such as computer programs and data bases (see section 806.12 below);
- 3) Works on sheetlike materials (see sections 806.09 and 806.10 below);
- 4) Three-dimensional works (see section 806.01 below);
- 5) Works as embodied in a motion picture soundtrack (see section 806.11 below);
- 6) Oversize copies of any type (see section 806.02 below);
- 7) Motion pictures (see sections 804.02(b) and 806.13(a) below).

- 804            Unpublished works. (cont'd)
- 804.02            Unpublished works: nature of copy. (cont'd)
- 804.02(b)            Additional material. The following are unpublished works for which the deposit of a single copy must be accompanied by additional material of some kind:
- 1) Motion pictures (see section 806.13 below);
  - 2) Holograms (see section 806.03 below).
- 805            Published works. Three general requirements apply to the deposit of works first published in the United States: (1) two copies or phonorecords must be deposited; (2) the copies or phonorecords must be "complete"; and (3) the copies or phonorecords must be the "best edition" of the work, as defined by the statute. See 17 U.S.C. 408(b)(2).
- 805.01            Published works: number of copies or phonorecords. Although two copies or phonorecords are generally required for registration of published works, the statute empowers the Register of Copyrights to specify that the deposit shall be one copy or phonorecord for particular types of works. See 17 U.S.C. 408(c)(1). The deposit regulations (37 C.F.R. 202.20(c)(2)(i)) state that the deposit of only one copy or phonorecord will suffice in lieu of two copies or phonorecords for certain works:
- 1) Published three-dimensional cartographic representations of area, such as globes and relief models;
  - 2) Published diagrams illustrating scientific or technical works or formulating scientific or technical information in linear or other two-dimensional form, such as an architectural or engineering blueprint, or a mechanical drawing;
  - 3) Published greeting cards, picture postcards, and stationery;

805

Published works. (cont'd)

805.01

Published works: number of copies or phonorecords. (cont'd)

- 4) Lectures, sermons, speeches, and addresses published individually, and not as a collection of the works of one or more authors;
- 5) Published contributions to a collective work;
- 6) Musical compositions published in copies only or in both copies and phonorecords, if the only publication of copies took place by rental, lease, or lending;
- 7) Published multimedia kits which are prepared for use in systematic instructional activities and which include literary works, audiovisual works, sound recordings, or any combination of such works;
- 8) Works consisting of multiple parts that are packaged and published in a flat-sided box or similar container, of no more than 12 by 24 by 6 inches, and that include among the copyrightable elements of the work, in addition to any copyrightable element on the box or other container, three or more three-dimensional, physically separable parts. See 37 C.F.R. 202.20(c)(2)(i)(H), 37 C.F.R. 202.20(c)(2)(ix)(B)(5), and section 806.01(a)(4) below; and
- 9) Motion pictures.

805.02

Published works: the meaning of "complete". In general, the requirement that published copies or phonorecords be "complete" means that they should be physically undamaged and include all elements of the applicable unit of publication of the work, including elements that, if considered separately, would not be copyrightable subject matter. See 37 C.F.R. 202.20(b)(2)(ii).

805 Published works. (cont'd)805.02 Published works: the meaning of "complete".  
(cont'd)

805.02(a) Complete copies: missing parts. Where certain physically separable elements are missing from the deposit, a copy or phonorecord will still be accepted as a complete copy, if:

- 1) All the parts of the work for which registration is sought are present; and
- 2) The removal of the missing elements did not physically damage the copy or phonorecord or garble its contents; and
- 3) The work is exempt from mandatory deposit under section 407 of the copyright law (see 17 U.S.C. 407, and 37 C.F.R. 202.19 (c)) or the copy deposited consists entirely of a container, wrapper, or holder which is exempt from the identifying material requirements because it can be stored flat. See section 806.01 (a) below.

805.02(b) Complete copies: special situations. In particular situations, the deposit regulations give a special definition of the word "complete" when it applies to certain published works.

805.02(b)(1) Contributions to collective works. A complete copy or phonorecord of a published contribution to a collective work is either the entire collective work, including the contribution or, if the collective work is a newspaper, the entire section of the paper which includes the contribution. See 37 C.F.R. 202.20(b)(2)(iii).

- 805                    Published works. (cont'd)
- 805.02                Published works: the meaning of "complete."  
(cont'd)
- 805.02(b)            Complete copies: special situations.  
(cont'd)
- 805.02(b)(2)        Published sound recordings. In the case  
of a published sound recording, a complete  
phonorecord includes the phonorecord and any  
visually perceptible material which is published  
with it, such as text or pictorial matter on  
album covers on record sleeves, or leaflets or  
booklets included in an album. See 37  
C.F.R. 202.20(b)(2)(iv).
- Example:
- A phonorecord is published with an album cover,  
a sleeve with text, and a poster picturing the  
performing artist. The complete deposit of the  
sound recording is the phonorecord plus all the  
additional material described above as the unit  
of publication.
- 805.02(b)(3)        Music published only by rental, lease, or  
lending. In the case of a musical composition  
published in copies only, or in both copies and  
phonorecords, if the only publication of copies  
took place by the rental, lease, or lending of a  
full score and parts, a full score is a complete  
copy; and if the only publication of copies took  
place by the rental, lease, or lending of a  
conductor's score and parts, a conductor's score  
is a complete copy. See 37 C.F.R. 202.20(b)(2)(v).
- 805.02(b)(4)        Motion pictures. A special definition of  
"complete" applies to published motion pictures.  
A copy of a motion picture is complete if:

805 Published works. (cont'd)805.02 Published works: the meaning of "complete."  
(cont'd)805.02(b) Complete copies: special situations.  
(cont'd)805.02(b)(4) Motion pictures. (cont'd)

-- the reproduction of all of the visual and aural elements constituting the copyrightable subject matter in the work is clean, undamaged, undeteriorated, and free of splices, and

-- the copy itself and its physical housing are free of any defects that would interfere with the performance of the work or that would cause mechanical, visual, or audible defects or distortions. See section 806.13 below.

805.03 The meaning of "best edition." The copyright law generally requires that a deposit of a published work be the "best edition" of the work. See 17 U.S.C. 408(b)(2). The "best edition" of a published work is "the edition, published in the United States at any time before the date of deposit, that the Library of Congress determines to be most suitable for its purposes." See 17 U.S.C. 101.

805.03(a) Library of Congress statement of policy. The Library of Congress has published a policy statement entitled "Best Edition of Published Copyrighted Works for the Collections of the Library of Congress" (referred to hereinafter as the "Best Edition Statement" or the "Statement"). This policy statement is not a part of the copyright statute, nor is it a Copyright Office regulation. It expresses, by listing the criteria for choosing among several editions of a work, part of the current acquisitions policies of the Library of Congress with respect to certain works.



805 Published works. (cont'd)805.03 The meaning of "best edition." (cont'd)805.03(a) Library of Congress statement of policy.  
(cont'd)

## Examples:

- 1) In 1978, a copyright owner publishes a novel in both paperback and hardback editions. There was no difference in the content of the book between the paperback and the hardback. The Best Edition Statement was used to choose between the two. According to the criteria listed in the Best Edition Statement, the hardback was determined to be the best edition.
- 2) In 1980, a copyright owner published an architectural treatise on ordinary paper and on archival quality paper. According to the criteria specified in the Best Edition Statement, the archival quality paper was chosen as the best edition.

NOTE: The text of the "Best Edition of Published Copyrighted Works for the Collections of the Library of Congress" may be found in the Appendix to this chapter.

805.03(b) If no specific criteria in Best Edition Statement. Where no specific criteria for selection of the best edition are included in the Best Edition Statement for a given work, and where the Copyright Office is aware that two or more editions of a work have been published, the Office will consult with appropriate officials in the Library of Congress.

## Example:

Where an audiovisual work was published in two editions, one on a filmstrip and the other as a set of slides, the Office will consult with appropriate officials in the Library of Congress, since this situation is not covered in the Best Edition Statement.

805 Published works. (cont'd)

805.03 The meaning of "best edition." (cont'd)

805.03(c) Difference in copyrightable content. Where there is a difference in copyrightable content between two or more editions of a work, each edition which contains new copyrightable authorship is subject to separate deposit and registration. Consequently, the Best Edition Statement, based on such differences, does not apply.

Example:

In 1978, a copyright owner published a novel in hardback without annotations, and later published the novel in hardback with extensive annotations. In this case, new copyrightable matter was added to the second book. Thus, the second book is considered a separate work for purposes of deposit and registration, and therefore the Best Edition Statement, based on such differences, does not apply.

805.03(d) Exceptions to the requirement of the best edition. There are two important exceptions to the general requirements of the best edition explained above. These exceptions are for works first published before January 1, 1978, but submitted for registration after that date, and works first published outside the United States, whenever published.

805.03(d)(1) A work first published in the United States before January 1, 1978. Generally the required deposit for any work which was first published in the United States before January 1, 1978, is two complete copies or phonorecords of the work as first published. See 37 C.F.R. 202.20 (c)(1)(ii).

- 805            Published works. (cont'd)
- 805.03            The meaning of "best edition." (cont'd)
- 805.03(d)            Exceptions to the requirement of the best edition. (cont'd)
- 805.03(d)(2)            A work first published outside the United States at any time. Generally, the required deposit for works first published outside the United States, whenever published, is one complete copy or phonorecord of the work as first published. See 37 C.F.R. 202.20(c)(1)(iv).
- 805.03(d)(3)            Works first published simultaneously within and outside the United States. If a work was first published simultaneously within and outside the United States, it is considered, for the purposes of this section, to have been first published in the United States. See 37 C.F.R. 202.20(c)(1)(iv).
- NOTE: "First published simultaneously," for this purpose, means first published on the same date.
- 806            Quantity and content of material deposited: special situations. The following are special situations with respect to the quantity and content of material deposited for registration.
- 806.01            Works reproduced in or on three-dimensional objects. In the case of works reproduced in or on three-dimensional objects, identifying material is required as a deposit.
- 806.01(a)            Works reproduced in or on three-dimensional objects: when this modification applies. Identifying material must be submitted instead of a copy or copies when the deposit would ordinarily be a three-dimensional sculptural work. Examples are statues, carvings, ceramics, and models. This requirement applies to both unpublished and published works. Subject to the exceptions

806 Quantity and content of material deposited: special situations. (cont'd)

806.01 Works reproduced in or on three-dimensional objects. (cont'd)

806.01(a) Works reproduced in or on three-dimensional objects: when this modification applies. (cont'd)

below, the requirement also applies to any two-dimensional or three-dimensional work which has been fixed (if unpublished) or published only in the form of jewelry, toys, dolls, games, or any three-dimensional useful articles. See 37 C.F.R. 202.20(c)(2)(ix)(A).

NOTE: The following are exceptions to the general requirements of submitting identifying material instead of an actual copy or copies:

- 1) Works that are reproduced by intaglio or relief printing methods on two-dimensional materials such as paper or fabrics.
- 2) Three-dimensional cartographic representations of area, such as globes and relief models. In the case of a globe, one actual copy of the three-dimensional globe, and the stand or any material published with it, is the complete deposit.
- 3) Works that have been fixed or published in or on a useful article which is one of the elements of the unit of publication of a multimedia kit (an educational or instructional kit which also includes a literary or audiovisual work, a sound recording, or any combination of such works). See 37 C.F.R. 202.20(c)(ix)(B)(3).
- 4) Works consisting of multiple parts that are packaged and published in a flat-sided box or similar container, of no more than 12 by 24 by 6 inches, and that

806 Quantity and content of material deposited: special situations. (cont'd)

806.01 Works reproduced in or on three-dimensional objects. (cont'd)

806.01(a) Works reproduced in or on three-dimensional objects: when this modification applies. (cont'd)

NOTE: (cont'd)

4) (cont'd)

include among the copyrightable elements of the work, in addition to any copyrightable element on the box or other container, three or more three-dimensional, physically separable parts.

5) Works reproduced on three-dimensional containers which are capable of flat storage and which, when opened, slit, or folded, do not exceed 96 inches in any dimension. The container must be capable of being flattened in such a way that the copyrightable material on the container is not damaged.

806.01(b) Works reproduced in or on three-dimensional objects: what must be deposited. When identifying material is required, it must comply with the specifications below. See 37 C.F.R. 202.21.

806.01(b)(1) Type of material. Identifying material consists of a two-dimensional reproduction or rendering of the work in some form which is visually perceivable without the aid of a machine or device. The identifying material may consist of photographic prints, transparencies, photocopies, drawings, or a similar rendering of the work.

- 806            Quantity and content of material deposited: special situations. (cont'd)
- 806.01        Works reproduced in or on three-dimensional objects. (cont'd)
- 806.01(b)     Works reproduced in or on three-dimensional objects: what must be deposited. (cont'd)
- 806.01(b)(2)    Number of pieces. One set, of as many pieces as are necessary to show clearly the entire copyrightable content of the work for which registration is sought, is required.
- 806.01(b)(3)    Content of pieces.
- \* Copyrightable content. The identifying material must clearly show the entire copyrightable content of the work for which registration is sought.
  - \* Copyright notice. In the case of works published with notice of copyright, the notice and its position on the work must be clearly shown on at least one piece of identifying material. Such piece shall show the exact appearance and content of the notice, and its specific position on the work. Where necessary because of the size or position of the notice, a separate drawing or similar reproduction shall be submitted.
  - \* Title and dimensions. At least one piece of identifying material must indicate, on its front, back, or mount, the title of the work, and an exact measurement of one or more dimensions of the work.
  - \* Image size. Generally, except in the case of photographic transparencies, the image of the work must be lifesize or larger. However, if less than lifesize, the image must be large enough to show clearly the entire copyrightable content of the work.

806 Quantity and content of material deposited: special situations. (cont'd)

806.01 Works reproduced in or on three-dimensional objects. (cont'd)

806.01(b) Works reproduced in or on three-dimensional objects: what must be deposited. (cont'd)

806.01(b)(3) Content of pieces. (cont'd)

- \* Color. Generally, the identifying material may be in black and white or may consist of a reproduction of the actual colors of the work. However, if the work reproduced in or on the three-dimensional object is pictorial or graphic, the identifying material must reproduce the actual colors employed in the work.

806.01(b)(4) Size of pieces.

- \* Uniform size. All pieces, except separate drawings or similar reproductions of the copyright notice, must be of uniform size.
- \* Photographic transparencies. Photographic transparencies must be at least 35mm in size, and if 3 by 3 inches or less, they must be mounted in cardboard, plastic, or similar mounts to facilitate identification, handling, and storage. If the transparencies are larger than 3 by 3 inches, the Copyright Office prefers that they be mounted for easy handling, and may require such mounting in particular cases.
- \* All pieces except photographic transparencies. The preferred size for all pieces except photographic transparencies is 8 by 10 inches, but in no case may a piece be smaller than 3 by 3 inches or larger than 9 by 12 inches.

806 Quantity and content of material deposited: special situations. (cont'd)

806.02 Oversize copies. In the case of any copy which is oversize, identifying material is required as a deposit.

806.02(a) Oversize copies: when this requirement applies. Identifying material must be submitted in lieu of an actual copy or copies whenever any single dimension of a deposit otherwise required under the regulations is larger than 96 inches. See 37 C.F.R. 202.20(c)(2)(ix).

806.02(b) Oversize copies: what must be deposited. When identifying material is required, it must comply with the specifications below. See 37 C.F.R. 202.21.

806.02(b)(1) Type of material. Identifying material consists of a two-dimensional reproduction or rendering of the work in some form which is visually perceived without the aid of a machine or device. The identifying material may consist of photographic prints, transparencies, photocopies, drawings, or a similar rendering of the work.

806.02(b)(2) Number of pieces. One set, of as many pieces as are necessary to show clearly the entire copyrightable content of the work for which registration is sought, is required.

806.02(b)(3) Content of pieces.

\* Copyrightable content. The identifying material must clearly show the entire copyrightable content of the work for which registration is sought.

\* Copyright notice. In the case of works published with notice of copyright, the notice and its position on the work must be clearly shown on at least one piece of identifying material. Such piece



806 Quantity and content of material deposited: special situations. (cont'd)

806.02 Oversize copies. (cont'd)

806.02(b) Oversize copies: what must be deposited.  
(cont'd)

806.02(b)(3) Content of pieces. (cont'd)

\* Copyright notice. (cont'd)

shall show the exact appearance and content of the notice, and its specific position on the work. Where necessary because of the size or position of the notice, a separate drawing or similar reproduction shall be submitted.

\* Title and dimension. At least one piece of identifying material must indicate, on its front, back, or mount, the title of the work, and an exact measurement of one or more dimensions of the work.

\* Image size. Generally, except in the case of photographic transparencies, the image of the work must be lifesize or larger. However, if less than lifesize, the image must be large enough to show clearly the entire copyrightable content of the work.

\* Color. Generally, the identifying material may be in black and white or may consist of a reproduction of the actual colors of the work. However, if the work reproduced in or on the three-dimensional object is pictorial or graphic, the identifying material must reproduce the actual colors employed in the work.

- 806            Quantity and content of material deposited: special situations. (cont'd)
- 806.02            Oversize copies.
- 806.02(b)            Oversize copies: what must be deposited.  
(cont'd)
- 806.02(b)(4)            Size of pieces.
- \* Uniform size. All pieces, except separate drawings or similar reproductions of the copyright notice, must be of uniform size.
  - \* Photographic transparencies. Photographic transparencies must be at least 35mm in size. If the transparencies are 3 by 3 inches or less, they must be mounted in a way that makes them easy to handle and preserve; and the Copyright Office may require such mounting in particular cases.
  - \* All pieces except photographic transparencies. The preferred size for all pieces except photographic transparencies is 8 by 10 inches, but in no case may a piece be smaller than 3 by 3 inches or larger than 9 by 12 inches.
- 806.03            Holograms. In the case of any work deposited in the form of a hologram, identifying material which complies with the specifications below must be submitted with the required copy or copies of the hologram. See 37 C.F.R. 202.20(c)(2)(iii).
- 806.03(a)            Holograms: when this modification applies.  
This requirement applies to both unpublished and published holograms.

806 Quantity and content of material deposited: special situations. (cont'd)

806.03 Holograms. (cont'd)

806.03(b) Holograms: what must be deposited. In addition to the copy or copies required to be deposited for registration, there shall also be deposited for each such copy one set of additional items. The sets shall consist of the following: (1) precise instructions for displaying the image fixed in the hologram; and (2) identifying material which clearly shows the displayed image and complies with the requirements set forth below.

806.03(b)(1) Type of material. Identifying material consists of a two-dimensional reproduction or rendering of the work in some form which is visually perceivable without the aid of a machine or device. The identifying material may consist of photographic prints, transparencies, photocopies, drawings, or a similar rendering of the work.

806.03(b)(2) Number of pieces. As many pieces as are necessary to show clearly the displayed image are required.

806.03(b)(3) Content of pieces.

\* Copyrightable content. The identifying material must clearly show the displayed image.

\* Copyright notice. In the case of holograms published with notice of copyright, the notice and its position on the hologram must be clearly shown on at least one piece of identifying material. Such piece shall show the exact appearance and content of the notice on the hologram, and its specific position on the hologram.

806 Quantity and content of material deposited: special situations. (cont'd)806.03 Holograms. (cont'd)806.03(b) Holograms: what must be deposited. (cont'd)806.03(b)(3) Content of pieces. (cont'd)\* Copyright notice. (cont'd)

Where necessary because of the size or position of the notice, a separate drawing or similar reproduction shall be submitted.

\* Title. At least one piece of identifying material must indicate, on its front, back, or mount, the title of the work.

\* Image size. The identifying material must be large enough to show clearly the displayed image.

806.03(b)(4) Size of pieces.

\* Uniform size. All pieces must be of uniform size.

\* Photographic transparencies. Photographic transparencies must be at least 35mm in size. If the transparencies are 3 by 3 inches or less, they must be mounted in a way that makes them easy to handle and preserve; and the Copyright Office may require such mounting in particular cases.

\* All pieces except photographic transparencies. The preferred size for all pieces except photographic transparencies is 8 by 10 inches, but in no case may a piece be smaller than 3 by 3 inches or larger than 9 by 12 inches.

- 806 Quantity and content of material deposited: special situations. (cont'd)
- 806.04 Unpublished pictorial or graphic works. Identifying material may be deposited instead of an actual copy for all unpublished pictorial or graphic works.
- 806.04(a) Unpublished pictorial or graphic works: when this modification applies. This provision applies to all unpublished pictorial or graphic works.
- 806.04(b) Unpublished pictorial or graphic works: what must be deposited. Identifying material for unpublished works is material which complies with the specifications given below.
- 806.04(b)(1) Type of material. Identifying material consists of a two-dimensional reproduction or rendering of the work in some form which is visually perceivable without the aid of a machine or device. The identifying material may consist of photographic prints, transparencies, photocopies, drawings, or a similar rendering of the work.
- 806.04(b)(2) Number of pieces. One set, of as many pieces as are necessary to show clearly the entire copyrightable content of the work for which registration is sought, is required.
- 806.04(b)(3) Content of pieces.
- \* Copyrightable content. The identifying material must clearly show the entire copyrightable content of the work for which registration is sought.
  - \* Title and dimensions. At least one piece of identifying material must indicate, on its front, back, or mount, the title of the work, and an exact measurement of one or more dimensions of the work.

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Quantity and content of material deposited: special situations. (cont'd)806.04 Unpublished pictorial or graphic works. (cont'd)806.04(b) Unpublished pictorial or graphic works: what must be deposited. (cont'd)806.04(b)(3) Content of pieces. (cont'd)

- \* Image size. Generally, except in the case of photographic transparencies, the image of the work must be lifesize or larger. However, if less than lifesize, the image must be large enough to show clearly the entire copyrightable content of the work.
- \* Color. The identifying material must reproduce the actual colors employed in the work.

806.04(b)(4) Size of pieces.

- \* Uniform size. All pieces except separate drawings or similar reproductions of the copyright notice, if any, must be of uniform size.
- \* Photographic transparencies. Photographic transparencies must be at least 35mm in size. If the transparencies are 3 by 3 inches or less, they must be mounted in a way that makes them easy to handle and preserve; and the Copyright Office may require such mounting in particular cases.
- \* All pieces except photographic transparencies. The preferred size for all pieces except photographic transparencies is 8 by 10 inches, but in no case may a piece be smaller than 3 by 3 inches or larger than 9 by 12 inches.

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Quantity and content of material deposited: special situations. (cont'd)

- 806.05 Pictorial or graphic works published in certain limited editions. The deposit of either one complete copy of the work or identifying material complying with the specifications given below may be made in the case of pictorial or graphic works published in certain limited editions. See 37 C.F.R. 202.20(c)(2)(iv).
- 806.05(a) Pictorial or graphic works published in certain limited editions: when this modification applies. This modification applies to published pictorial or graphic works only if the individual author is the owner of copyright in the work, and either: (1) less than five copies of the work have been published, or (2) the work has been published and sold or offered for sale in a limited edition consisting of no more than 300 numbered copies.
- 806.05(b) Pictorial or graphic works published in certain limited editions: what must be deposited. The applicant may deposit either one complete copy of the work or identifying material which complies with the specifications given below. NOTE: It is not necessary that the copy deposited be one of the numbered copies of the limited edition.
- 806.05(b)(1) Type of material. Identifying material consists of a two-dimensional reproduction or rendering of the work in some form which is visually perceivable without the aid of a machine or device. The identifying material may consist of photographic prints, transparencies, photocopies, drawings, or a similar rendering of the work.
- 806.05(b)(2) Number of pieces. One set, of as many pieces as are necessary to show clearly the entire copyrightable content of the work for which registration is sought, is required.

- 806            Quantity and content of material deposited: special situations. (cont'd)
- 806.05            Pictorial or graphic works published in certain limited editions. (cont'd)
- 806.05(b)            Pictorial or graphic works published in certain limited editions: what must be deposited. (cont'd)
- 806.05(b)(3)            Content of pieces.
- \* Copyrightable content. The identifying material must clearly show the entire copyrightable content of the work for which registration is sought.
  - \* Copyright notice. In the case of works published with notice of copyright, the notice and its position on the work must be clearly shown on at least one piece of identifying material. Such piece shall show the exact appearance and content of the notice, and its specific position on the work. Where necessary because of the size or position of the notice, a separate drawing or similar reproduction shall be submitted.
  - \* Title and dimension. At least one piece of identifying material must indicate, on its front, back, or mount, the title of the work, and an exact measurement of one or more dimensions of the work.
  - \* Image size. Generally, except in the case of photographic transparencies, the image of the work must be lifesize or larger. However, if less than lifesize, the image must be large enough to show clearly the entire copyrightable content of the work.
  - \* Color. The identifying material must reproduce the actual colors employed in the work.



- 806 Quantity and content of material deposited: special situations. (cont'd)
- 806.05 Pictorial or graphic works published in certain limited editions. (cont'd)
- 806.05(b) Pictorial or graphic works published in certain limited editions: what must be deposited. (cont'd)
- 806.05(b)(4) Size of pieces.
- \* Uniform size. All pieces except separate drawings or similar reproductions of the copyright notice must be of uniform size.
  - \* Photographic transparencies. Photographic transparencies must be at least 35mm in size. If the transparencies are 3 by 3 inches or less, they must be mounted in a way that makes them easy to handle and preserve; and the Copyright Office may require such mounting in particular cases.
  - \* All pieces except photographic transparencies. The preferred size for all pieces except photographic transparencies is 8 by 10 inches, but in no case may a piece be smaller than 3 by 3 inches or larger than 9 by 12 inches.
- 806.06 Published commercial prints or labels. Generally, in the case of prints, labels, and other advertising matter published in connection with the rental, lease, lending, licensing, or sale of articles of merchandise, works of authorship, or services, the deposit of one complete copy of the work will suffice. There are two exceptions to this general rule set forth below. See 37 C.F.R. 202.20(c)(2)(v).
- 806.06(a) Commercial prints or labels published in a larger work. In the case of a print or label published in a larger work, such as a newspaper or other periodical, one copy of the entire page or pages upon which it appears may be submitted in lieu of the entire larger work.

- 806            Quantity and content of material deposited: special situations. (cont'd)
- 806.06            Published commercial prints or labels. (cont'd)
- 806.06(a)            Commercial prints or labels published in a larger work. (cont'd)
- Example:
- A soap company has published a half-page advertisement in a newspaper, and submits an application, fee, and the entire page on which the advertisement appears, taken from the newspaper. The deposit is acceptable.
- 806.06(b)            Commercial print or labels that are physically inseparable from a three-dimensional object. In the case of a print or label which is physically inseparable from a three-dimensional object, identifying material which complies with the following specifications must be submitted rather than an actual copy unless the work is reproduced on three-dimensional containers which are capable of flat storage, and when opened, slit, or folded, do not exceed 96 inches in any dimension. In a case of this kind, the container must be capable of being flattened in such a way that the copyrightable matter on the container is not damaged. See 37 C.F.R. 202.20(c)(ix)(B)(6).
- 806.06(b)(1)            Type of material. Identifying material consists of a two-dimensional reproduction or rendering of the work in some form which is visually perceivable without the aid of a machine or device. The identifying material may consist of photographic prints, transparencies, photocopies, drawings, or a similar rendering of the work.
- 806.06(b)(2)            Number of pieces. One set, of as many pieces as are necessary to show clearly the entire copyrightable content of the work for which registration is sought, is required.

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Quantity and content of material deposited: special situation. (cont'd)

806.06 Published commercial prints or labels. (cont'd)

806.06(b) Commercial prints or labels that are physically inseparable from a three-dimensional object. (cont'd)

806.06(b)(3) Content of pieces.

- \* Copyrightable content. The identifying material must clearly show the entire copyrightable content of the work for which registration is sought.
- \* Copyright notice. In the case of works published with notice of copyright, the notice and its position on the work must be clearly shown on at least one piece of identifying material. Such piece shall show the exact appearance and content of the notice, and its specific position on the work. Where necessary because of the size or position of the notice, a separate drawing or similar reproduction shall be submitted.
- \* Title and dimension. At least one piece of identifying material must indicate, on its front, back, or mount, the title of the work, and an exact measurement of one or more dimensions of the work.
- \* Image size. Generally, except in the case of photographic transparencies, the image of the work must be lifesize or larger. However, if less than lifesize, the image must be large enough to show clearly the entire copyrightable content of the work.
- \* Color. Generally, the identifying material may be in black and white or may consist of a reproduction of the actual colors of the work. However,

- 806            Quantity and content of material deposited: special situations. (cont'd)
- 806.06            Published commercial prints or labels. (cont'd)
- 806.06(b)            Commercial prints or labels that are physically inseparable from a three-dimensional object. (cont'd)
- 806.06(b)(3)            Content of pieces. (cont'd)
- \* Color. (cont'd)
- if the work reproduced in or on the three-dimensional object contains any pictorial or graphic matter, the identifying material must reproduce the actual colors employed in the work.
- 806.06(b)(4)            Size of pieces.
- \* Uniform size. All pieces except separate drawings or similar reproductions of the copyright notice must be of uniform size.
- \* Photographic transparencies. Photographic transparencies must be at least 35mm in size. If the transparencies are 3 by 3 inches or less, they must be mounted in a way that makes them easy to handle and preserve; and the Copyright Office may require such mounting in particular cases.
- \* All pieces except photographic transparencies. The preferred size for all pieces except photographic transparencies is 8 by 10 inches, but in no case may a piece be smaller than 3 by 3 or larger than 9 by 12.
- 806.07            Published tests and answer material. In the case of tests and answer material for tests which have been published separately from other literary works, one complete copy may be deposited in lieu of two copies. See 37 C.F.R. 202.20(c)(2)(vi).

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Quantity and content of material deposited: special situations. (cont'd)

806.08

Secure tests. A special deposit procedure is available for "secure tests." See 37 C.F.R. 202.20(c)(2)(vi).

806.08(a)

Secure tests: when this modification applies. This procedure applies to "secure tests." A secure test is defined as a nonmarketed test administered under supervision at specified centers on specified dates, all copies of which are accounted for and either destroyed or returned to restricted locked storage following each administration. For this purpose a test is considered as "not marketed" if copies are not sold but it is distributed and used in such a manner that ownership and control of copies remain with the test sponsor or publisher. See 37 C.F.R. 202.20(b)(4).

806.08(b)

Secure tests: what must be deposited. One complete copy of the test must be deposited with identifying material which constitutes a sufficient archival record of the deposit. The sufficiency of the identifying material is determined by the Copyright Office Examining Division. The actual copy is returned to the applicant after examination; the identifying material is retained as the archival record of the deposit.

806.08(c)

Secure tests: special procedure. When a secure test is to be registered under this special procedure, the Head of the Literary Section, Examining Division, must be notified in advance by the applicant or authorized representative. The Section Head will then arrange for examination of the material in a nonpublic place with the applicant or authorized representative present. The receipt date will be stamped on the appropriate material by the examiner receiving the claim. After examination, the actual copies of the test will be returned to the applicant or authorized representative. The application and the identifying material will then proceed through the registration process in the usual manner.

806 Quantity and content of material deposited: special situations. (cont'd)

806.09 Pictorial or graphic works reproduced in or on sheetlike materials. In the case of any unpublished work that is fixed, or any published work that is published only in the form of a two-dimensional reproduction on sheetlike materials such as textile and other fabrics, the deposit shall consist of one copy in the form of an actual swatch or piece of such material sufficient to show all elements of the work in which copyright is claimed and the copyright notice, if any, appearing on the work. If the work consists of a repeated pictorial or graphic design, the complete design and at least part of one repetition must be shown. Examples of such works include lace, embroidery, wallpaper, wrapping paper, carpeting, linoleum, and other floor coverings. See 37 C.F.R. 202.20(c)(2)(viii).

806.10 Pictorial or graphic works reproduced on sheetlike materials published only in or on three-dimensional objects. Where a work is reproduced on sheetlike materials which have been published only in or on three-dimensional articles, the deposit must generally consist of identifying materials which meet the following specifications.

806.10(a) Type of material. Identifying material consists of a two-dimensional reproduction or rendering of the work in some form which is visually perceivable without the aid of a machine or device. The identifying material may consist of photographic prints, transparencies, photocopies, drawings, or a similar rendering of the work.

806.10(b) Number of pieces. One set, of as many pieces as are necessary to show clearly the entire copyrightable content of the work for which registration is sought, is required.

806.10(c) Content of pieces.

\* Copyrightable content. The identifying material must clearly show the entire copyrightable content of the work for which registration is sought.

- 806            Quantity and content of material deposited: special situations. (cont'd)
- 806.10        Pictorial or graphic works reproduced on sheet-like materials published only in or on three-dimensional objects. (cont'd)
- 806.10(c)     Content of pieces. (cont'd)
- \* Copyright notice. In the case of works published with notice of copyright, the notice and its position on the work must be clearly shown on at least one piece of identifying material. Such piece shall show the exact appearance and content of the notice, and its specific position on the work. Where necessary because of the size or position of the notice, a separate drawing or similar reproduction shall be submitted.
  - \* Title and dimensions. At least one piece of identifying material must indicate, on its front, back, or mount, the title of the work, and an exact measurement of one or more dimensions of the work.
  - \* Image size. Generally, except in the case of photographic transparencies, the image of the work must be lifesize or larger. However, if less than lifesize, the image must be large enough to show clearly the entire copyrightable content of the work.
  - \* Color. The identifying material must reproduce the actual colors employed in the work.
- 806.10(d)     Size of pieces.
- \* Uniform size. All pieces except separate drawings or similar reproductions of the copyright notice must be of uniform size.
  - \* Photographic transparencies. Photographic transparencies must be at least 35mm in size. If the transparencies are 3 by 3 inches or less, they must be mounted in a

806 Quantity and content of material deposited: special situations. (cont'd)806.10 Pictorial or graphic works reproduced on sheet-like materials published only in or on three-dimensional objects. (cont'd)806.10(d) Size of pieces. (cont'd)\* Photographic transparencies. (cont'd)

way that makes them easy to handle and preserve; and the Copyright Office may require such mounting in particular cases.

\* All pieces except photographic transparencies. The preferred size for all pieces except photographic transparencies is 8 by 10 inches, but in no case may a piece be smaller than 3 by 3 inches or larger than 9 by 12 inches.

NOTE: In certain cases where the two-dimensional pictorial and graphic material is embodied in an article of wearing apparel or the like, the Copyright Office will accept as a deposit the actual garment, provided that its seams have been split and the deposit includes all the panels utilized in the construction of the garment.

806.11 Separate registration for work embodied only in a motion picture soundtrack. For separate registration of an unpublished work that is fixed, or a published work that is published, only as embodied in a soundtrack that is an integral part of a motion picture, identifying material will suffice in lieu of an actual copy or copies of the motion picture. Such identifying material shall consist of:

- 1) A transcription of the entire work, or a reproduction of the entire work on a phonorecord; and
- 2) Photographs or other reproductions from the motion picture showing the title of the



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Quantity and content of material deposited: special situations. (cont'd)

806.11

Separate registration for work embodied only in a motion picture soundtrack. (cont'd)

2) (cont'd)

motion picture, the soundtrack credits, and the copyright notice, if any, for the soundtrack.

See 37 C.F.R. 202.21(f).

806.12

Machine-readable works. Where an unpublished literary work is fixed, or a published literary work is published only in the form of machine-readable copies (such as magnetic tapes or disks, punch cards, or the like) from which the work cannot ordinarily be perceived except with the aid of a machine or device, special deposit requirements apply. See 37 C.F.R. 202.20(c)(2)(vii).

806.12(a)

Machine-readable works: what must be deposited. The form of deposit varies depending on the type of machine-readable work submitted for registration, but generally consists of some type of "identifying portions" of the work. Deposit of the entire work is acceptable in limited instances. In all cases, however, the deposit must be in a form visually perceptible without the aid of a machine or device. NOTE: Works published in a form requiring the use of a machine or device for purposes of optical enlargement (such as film, filmstrips, slide films, and works published in any variety of microform), and works published in visually perceptible form but used in connection with optical scanning devices, are not within this category. See 37 C.F.R. 202.20(c)(2)(vii)(A-B).

806.12(a)(1)

Published and unpublished computer programs. For both published and unpublished computer programs, either one paper or one microform copy of the first and last 25 pages, or equivalent units

806 Quantity and content of material deposited: special situations. (cont'd)

806.12 Machine-readable works. (cont'd)

806.12(a) Machine-readable works: what must be deposited. (cont'd)

806.12(a)(1) Published and unpublished computer programs. (cont'd)

of the program, must be deposited. In cases where the work is under 50 pages or equivalent units in total length, the entire work should be deposited. If the work is published with a copyright notice, the applicant must also submit the page or equivalent unit which contains the copyright notice. The source code rather than the object code is the best representation of the authorship, and therefore should generally be deposited. See 37 C.F.R. 202.20(c)(2)(vii)(A).

806.12(a)(2) Published and unpublished automated data bases. Generally, the deposit for published and unpublished automated data bases is a paper or microform copy of the first and last 25 pages of the work. The deposit for automated data bases which are made up of separate and distinct data files, however, is either 50 complete data records from each file, or the entire file, whichever is less. "Data file" and "file" mean a group of data records pertaining to a common subject matter, regardless of the physical size of the records or the number of data items included in them. In the case of revised versions of such data bases, the portions deposited must contain representative data records which have been added or modified. When 50 complete data records from each separate file are submitted, however, a typed or printed descriptive statement must be submitted as well. That statement must include:

- 806            Quantity and content of material deposited: special situations. (cont'd)
- 806.12            Machine-readable works. (cont'd)
- 806.12(a)            Machine-readable works: what must be deposited. (cont'd)
- 806.12(a)(2)            Published and unpublished automated data bases. (cont'd)
- 1) The title of the data base;
  - 2) The claimant's name and address;
  - 3) The name and subject matter content of each separate file within the data base, origin of the data, and approximate number of individual records in the file; and
  - 4) A description of the exact contents of any machine-readable copyright notice employed in or with the work and the manner and frequency with which it is displayed (e.g., at user's terminal only at sign-on, or continuously on terminal display, or on printouts, etc.). If a visually perceptible copyright notice is placed on any copies of the work (such as magnetic tape reels or their container), a sample of such notice must also accompany the statement.
- See 37 C.F.R. 202.20(c)(2)(vii)(B).
- 806.13            Motion pictures. The following requirements apply to unpublished and published motion pictures.
- 806.13(a)            Unpublished motion pictures. The applicant may, for registration, deposit one complete copy or identifying material. In either case, a description is also required. See 37 C.F.R. 202.20(c)(2)(ii) and 202.21(g).

- 806                    Quantity and content of material deposited: special situations. (cont'd)
- 806.13                Motion pictures. (cont'd)
- 806.13(a)            Unpublished motion pictures. (cont'd)
- 806.13(a)(1)        Deposit of complete copy. If the applicant chooses to deposit an actual copy of the work, the copy must be complete. A copy is complete if the reproduction of the visual and sound elements is clean, undamaged, undeteriorated, and free of splices, and if the copy and physical housing have no defects which would interfere with performance of the motion picture or cause mechanical, visual, or audible defects or distortions. See 37 C.F.R. 202.20(b)(2)(vi). The copy must be accompanied by a separate description of its contents, which may be a continuity, a pressbook, or a synopsis. See 37 C.F.R. 202.20(c)(2)(ii). However, when the Copyright Office is asked, it will encourage the deposit of a shooting script as the description.
- 806.13(a)(2)        Deposit of identifying material. If the applicant chooses to deposit identifying material instead of an actual copy, two things must be deposited:
- 1) A description which may be a continuity, a pressbook, or a synopsis but which must include the title or continuing title of the work and the episode title, if any; the nature and general content of the program; the date of first fixation and whether it took place simultaneously with first transmission; the date of first transmission, if any; running time; and credits, if any, appearing on the work; and
  - 2) Either an audio cassette or other phonorecord reproducing the entire soundtrack or other sound portion of

- 806            Quantity and content of material deposited: special situations. (cont'd)
- 806.13        Motion pictures. (cont'd)
- 806.13(a)     Unpublished motion pictures. (cont'd)
- 806.13(a)(2)    Deposit of identifying material. (cont'd)
- 2) (cont'd)
- the motion picture, or a set consisting of one frame enlargement or similar visual reproduction from each 10-minute segment of the motion picture. Frames clipped from the film are not acceptable.
- 806.13(b)     Published motion pictures. The deposit requirements for published motion pictures consist of one complete copy of the best edition of the motion picture and a description.
- 806.13(b)(1)    Deposit of the best edition. The best edition of a motion picture is determined by referring to the criteria listed in the Best Edition Statement. See Appendix to this chapter.
- 806.13(b)(2)    Deposit of a complete copy. The copy must be complete, meaning that the reproduction of the visual and sound elements comprising the copyrightable subject matter in the work must be clean, undamaged, undeteriorated, and free of splices, and that the copy itself and its physical housing must be free of any defects which would interfere with performance of the motion picture, or cause mechanical, visual, or audible defects or distortions. See 37 C.F.R. 202.20(b)(2)(vi).
- 806.13(b)(3)    Deposit of description. The copy must be accompanied by a separate description of its contents which may be a continuity, a pressbook, or a synopsis. See 37 C.F.R. 202.20(c)(2)(ii). However, when the

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Quantity and content of material deposited: special situations. (cont'd)

806.13 Motion pictures. (cont'd)

806.13(b) Published motion pictures. (cont'd)

806.13(b)(3) Deposit of description. (cont'd)

Copyright Office is asked, it will encourage the deposit of a shooting script as the description.

806.13(b)(4)

Separately registrable works of authorship fixed in film, videotape, or the like. A film, videotape, or the like can constitute the form of embodiment in which a copyrightable work other than a motion picture is fixed. Generally, in such cases the deposit requirements for the particular work of authorship being registered govern the form of the deposit, rather than the deposit requirements for motion pictures. Examples include the following:

- 1) Pantomime fixed in a one-half-inch videocassette.
- 2) Choreography fixed in a hologram.
- 3) Resume spoken and fixed in a three-quarter-inch videocassette.
- 4) Graphic illustrations fixed in Super 8 film.

NOTE: For deposit requirements in the case of an unpublished work that is fixed or a published work that is published only as embodied in a soundtrack that is an integral part of a motion picture, see section 806.11 above.

807

Motion Picture Agreement. The Library of Congress may, at its sole discretion, enter into an agreement permitting the return of copies of published motion pictures to the depositor under certain conditions and establishing certain rights and obligations with respect to such copies on the part of both the depositor and the Library of Congress. The Deposits and Acquisitions Section of the Acquisitions and Processing Division of the Copyright Office administers the Motion Picture Agreement. See 37 C.F.R. 202.20(c)(2)(ii).

The Motion Picture Agreement provides that after copyright registration has been completed the deposit copy will be returned to the depositor at the depositor's expense. However, a copy for addition to the Library's permanent collections is subject to recall by the Library of Congress at any time within a period of two years. In signing the Motion Picture Agreement, the depositor agrees, if the film is recalled, to provide the Library with a copy which meets the archival quality standards set forth in the Agreement.

807.01

Who may enter into the Agreement. The Agreement is available upon request to owners of copyright in published motion pictures or owners of the exclusive right of publication (including the exclusive right of distribution in the United States) who are depositing a copy of the motion picture in the Copyright Office and to foreign depositors whose works, although initially published outside the United States, have been published in the United States before the date of deposit. NOTE: Foreign depositors whose motion pictures are published only outside the United States before the date of deposit may enter into the Motion Picture Agreement by executing the basic Agreement, together with a Standard Modification of the Agreement, provided that the depositor has an established business office in the United States, or has designated a United States agent with express authority to receive service in the event the Agreement is breached.

807.02

Who may sign the Agreement. An individual depositor or a legal representative may sign the Agreement. A business entity depositor may sign

807

Motion Picture Agreement. (cont'd)

807.02

Who may sign the Agreement. (cont'd)

the Agreement through a legal representative empowered to bind the business entity, as for example, the officer of a corporation, an attorney-in-fact for the depositor, or another agent of a depositor satisfactory to the Library of Congress. In certain cases, the Standard Modification must be completed; see NOTE in section 807.01 above. Also, in certain cases, a bond signed by the attorney-in-fact for the depositor, which subjects such attorney-in-fact to certain liability under the Agreement, is required in addition to the Agreement.

807.03

Return of deposit copy under the Agreement. The Copyright Office will return the motion picture to the depositor under the Agreement if it receives a specific written request for return of that particular motion picture. In general, the following conditions apply for the return of motion pictures:

- 1) If a motion picture is to be returned by a private carrier designated by the depositor, shipment instructions must be included with the request for return. The instructions must name the carrier to be contacted, give an account number (if available), indicate that the motion picture is to be returned at the depositor's expense, include a declaration of value, and state the amount of insurance required.
- 2) If the depositor so requests, the motion picture will be shipped collect by means of a private carrier chosen by the Library of Congress, with insurance coverage at the depositor's expense, to the amount of the declared value; if no value has been declared, the amount of this insurance will be based on the estimated replacement cost for a copy of identical physical characteristics produced by a commercial laboratory.



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Motion Picture Agreement. (cont'd)

807.03

Return of deposit copy under the Agreement.  
(cont'd)

- 3) Unless the Copyright Office is otherwise directed in writing at the time of deposit, motion pictures will be returned to the depositor by Special Fourth Class Mail. In these cases, the Library of Congress does not assume any responsibility for providing insurance. Because of the high risk of loss with respect to certain films, the Copyright Office will ordinarily attempt to contact depositors of 35mm feature films, oversize deposits, and copies of special value for instructions for return by private carrier at the depositor's expense.

807.04

Recall of the deposit copy under the Agreement.  
At any time within a period of two years, the Library of Congress may make a written request that a copy of archival quality be submitted for its permanent collections under the terms of the Motion Picture Agreement. Upon receipt of that request one complete copy of the film, meeting the standards set forth in Appendix A of the Agreement, must be sent to:

Motion Picture Section  
Motion Picture Broadcasting and  
Recorded Sound Division  
The Library of Congress  
Washington, D. C. 20540

807.05

Quality of copy deposited under the Agreement.  
If a depositor has signed the Motion Picture Agreement and deposits a copy, but does not request the return of the copy, it is considered a "non-agreement" film and is treated as though there is no Agreement on file. The standards that govern the quality of such a copy are those explained in section 806.13 above, and the special "archival quality" standards which are set forth in the language of the Agreement, and Appendix A thereto, do not apply. However, any copy recalled by the Library of Congress under the Agreement must meet all the technical guidelines set forth in Appendix A to the Agreement.

- 807            Motion Picture Agreement. (cont'd)
- 807.06            Supplemental Property Agreement. Where a depositor who has entered into a Motion Picture Agreement has deposited for registration a copy of a motion picture which does not represent the form of copy which the Library of Congress wishes to retain for its collections, such copy may be accepted for registration if the depositor specifically agrees in accordance with a Supplementary Property Agreement that a copy of archival quality will be delivered on demand under the Motion Picture Agreement.
- 807.07            Termination of the Motion Picture Agreement. The Library of Congress may terminate the Motion Picture Agreement for any good cause, including single or repeated instances of breach of the Agreement. If an Agreement is terminated by the Library, the termination applies only to motion pictures deposited after the termination, and does not affect the rights or obligations of either party with respect to any copies already deposited or returned under the Agreement. If the Agreement is terminated by the Library, it is not subject to reinstatement unless the Library believes that reinstatement, or entering into a new Agreement, would be in its best interests. See 37 C.F.R. 202.20(c)(2)(ii).
- 808            Special relief from the deposit requirements for registration. Special relief is a procedure which allows the Register of Copyrights to grant the requestor the option of depositing less than or other than that which is required under the general deposit provisions. See 37 C.F.R. 202.20(d); see also 17 U.S.C. 407(c) and 408(c).
- 808.01            Special relief: in general. Special relief was devised because it is impossible to establish exemptions or alternatives to cover all cases where the general deposit provisions of the statute might cause unnecessary hardship. Special relief is intended to respond to the legislative directive that deposit provisions be kept flexible "so that there will be no obligation to make deposit where it serves no purpose, so that only one copy or phonorecord may be

808

Special relief from the deposit requirements for registration. (cont'd)

808.01

Special relief: in general. (cont'd)

deposited where two are not needed, and so that reasonable adjustments can be made to meet practical needs in special cases." See H.R. Rep. No. 94-1476, 94th Cong., 2d Sess. at 151 (1976), and S. Rep. No. 94-473, 94th Cong., 1st Sess. at 134 (1975).

808.02

Special relief: criteria. The decision whether to grant special relief is based on the acquisition policies of the Library of Congress in force at the time the request is made and the examining and archival requirements of the Copyright Office.

808.03

Special relief: procedures. The procedures for special relief are the following.

808.03(a)

Required elements of request. Requests for special relief must be made in writing to the Chief, Examining Division, Copyright Office. The request must be signed by or on behalf of the person signing the application for registration. The request must set forth the specific reasons that it should be granted. Examples include unavailability of the required deposit, financial burden, confidentiality, rarity, fragility, and weight. The request should also state the form of relief desired, e.g., permission to deposit one copy or phonorecord rather than two, permission to deposit alternative identifying material rather than one or two copies or phonorecords, permission to deposit incomplete copies or phonorecords rather than those normally constituting the best edition, or (for works first published before 1978) permission to deposit a later printing or edition rather than the work as first published.

808.03(b)

Responsibility for decision. The decision to grant or deny special relief is made by the Chief of the Examining Division after consultation with the Chief of the Acquisitions and Processing Division of the Copyright Office.

808 Special relief from the deposit requirements for registration. (cont'd)

808.03 Special relief: procedures. (cont'd)

808.03(c) Special relief granted. When special relief is granted, the application will be annotated as follows: "Special relief granted under 37 C.F.R. 202.20(d)." This annotation is keyed with an asterisk to the "DEPOSIT RECEIVED" space on the application for registration.

NOTE: Where the work was first published before 1978, the annotation should also reflect the nature of the material deposited and refer to the remitter's letter; for example:

- 1) "Photocopies accepted under a grant of special relief in accordance with 37 C.F.R. 202.20(d). See correspondence file."
- 2) "Second printing accepted under a grant of special relief in accordance with 37 C.F.R. 202.20)(d). Re: notice of copyright on copies as first published, see applicant's letter of \_\_\_\_\_."

808.03(d) Special relief denied. Where the special relief is denied, the applicant will be notified in writing, and the letter to the applicant will set forth the reasons for the denial.

808.04 Special relief: continuous or ongoing grants. In some cases a grant of continuous or ongoing special relief is possible. The procedures and criteria for such relief are the same as for one-time special relief. In such cases, however, the applicant is asked to include with each submission a covering letter or memorandum referring to such grant and the date thereof. Any continuous grant may be terminated by the Chief of the Examining Division after consultation with the Chief of the Acquisitions and Processing Division of the Copyright Office. Notice of

808 Special relief from the deposit requirements for registration. (cont'd)

808.04 Special relief: continuous or ongoing grants. (cont'd)

termination will be in writing and will set forth the specific date of termination which must be at least 30 days later than the date the notice is mailed. This notice is sent to the individual or organization to whom the grant of special relief had been given at the last address shown in the records of the Copyright Office.

809 Relationship of deposit for registration to mandatory deposit under 17 U.S.C. 407. The deposit for a published work that is acceptable under section 408 of the current Act, which deals with copyright registration, also satisfies the deposit requirements of section 407 of that Act, which deals with deposit for the use or disposition of the Library of Congress.

810 Appendix. The text of the "'Best Edition' of Published Copyrighted Works for the Collections of the Library of Congress," mentioned in this chapter, appears as an APPENDIX which follows this page.

## APPENDIX

**"Best Edition" of Published Copyrighted Works  
for the Collections of the Library of Congress\***

The Copyright Law (Title 17, United States Code) requires that copies or phonorecords deposited in the Copyright Office be of the "best edition" of the work. The law states that "The 'best edition' of a work is the edition, published in the United States at any time before the date of deposit, that the Library of Congress determines to be most suitable for its purposes."

When two or more editions of the same version of a work have been published, the one of the highest quality is generally considered to be the best edition. In judging quality, the Library of Congress will adhere to the criteria set forth below in all but exceptional circumstances.

Where differences between editions represent variations in copyrightable content, each edition is a separate version and "best edition" standards based on such differences do not apply. Each such version is a separate work for the purposes of the Copyright Law.

Appearing below are lists of criteria to be applied in determining the best edition of each of several types of material. The criteria are listed in descending order of importance. In deciding between two editions, a criterion-by-criterion comparison should be made. The edition which first fails to satisfy a criterion is to be considered of inferior quality and will not be an acceptable deposit. For example, if a comparison is made between two hardbound editions of a book, one a trade edition printed on acid-free paper and the other a specially bound edition printed on average paper, the former will be the best edition because the type of paper is a more important criterion than the binding.

Under regulations of the Copyright Office, potential depositors may request authorization to deposit copies or phonorecords of other than the best edition of a specific work (e.g., a microform rather than a printed edition of a serial).

\* This excerpt is taken from Volume 43, No. 2 of the Federal Register for Wednesday, January 4, 1978 (p. 766).

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**I. PRINTED TEXTUAL MATTER**

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**A. Paper, Binding, and Packaging:**

1. Archival-quality rather than less-permanent paper.
2. Hard cover rather than soft cover.
3. Library binding rather than commercial binding.
4. Trade edition rather than book club edition.
5. Sewn rather than glue-only binding.
6. Sewn or glued rather than stapled or spiral-bound.
7. Stapled rather than spiral-bound or plastic-bound.
8. Bound rather than looseleaf, except when future looseleaf insertions are to be issued.
9. Slipcased rather than nonslipcased.
10. With protective folders rather than without (for broadsides).
11. Rolled rather than folded (for broadsides).
12. With protective coatings rather than without (except broadsides, which should not be coated).

**B. Rarity:**

1. Special limited edition having the greatest number of special features.
2. Other limited edition rather than trade edition.
3. Special binding rather than trade binding.

**C. Illustrations:**

1. Illustrated rather than unillustrated.
2. Illustrations in color rather than black and white.

**D. Special Features:**

1. With thumb notches or index tabs rather than without.
2. With aids to use such as overlays and magnifiers rather than without.

**E. Size:**

1. Larger rather than smaller sizes. (Except that large-type editions for the partially-sighted are not required in place of editions employing type of more conventional size.)

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**II. PHOTOGRAPHS**

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**A. Size and finish, in descending order of preference:**

1. The most widely distributed edition.
2. 8 × 10-inch glossy print.
3. Other size or finish.

**B. Unmounted rather than mounted.****C. Archival-quality rather than less-permanent paper stock or printing process.**

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**III. MOTION PICTURES**

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- A. Film rather than another medium. Film editions are listed below in descending order of preference.
1. Preprint material, by special arrangement.
  2. Film gauge in which most widely distributed.
  3. 35 mm rather than 16 mm.
  4. 16 mm rather than 8 mm.
  5. Special formats (e.g., 65 mm) only in exceptional cases.
  6. Open reel rather than cartridge or cassette.
- B. Videotape rather than videodisc. Videotape editions are listed below in descending order of preference.
1. Tape gauge in which most widely distributed.
  2. Two-inch tape.
  3. One-inch tape.
  4. Three-quarter-inch tape cassette.
  5. One-half-inch tape cassette.

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**IV. OTHER GRAPHIC MATTER**

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- A. *Paper and Printing:*
1. Archival quality rather than less-permanent paper.
  2. Color rather than black and white.
- B. *Size and Content:*
1. Larger rather than smaller size.
  2. In the case of cartographic works, editions with the greatest amount of information rather than those with less detail.
- C. *Rarity:*
1. The most widely distributed edition rather than one of limited distribution.
  2. In the case of a work published only in a limited, numbered edition, one copy outside the numbered series but otherwise identical.
  3. A photographic reproduction of the original, by special arrangement only.
- D. *Text and Other Materials:*
1. Works with annotations, accompanying tabular or textual matter, or other interpretative aids rather than those without them.
- E. *Binding and Packaging:*
1. Bound rather than unbound.
  2. If editions have different binding, apply the criteria in I.A.2-I.A.7, above.
  4. Rolled rather than folded.
  5. With protective coatings rather than without.



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**V. PHONORECORDS**

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- A. Disc rather than tape.
- B. With special enclosures rather than without.
- C. Open-reel rather than cartridge.
- D. Cartridge rather than cassette.
- E. Quadraphonic rather than stereophonic.
- F. True stereophonic rather than monaural.
- G. Monaural rather than electronically rechanneled stereo.

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**VI. MUSICAL COMPOSITIONS**

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- A. *Fullness of Score:*
  - 1. *Vocal music:*
    - a. With orchestral accompaniment—
      - i. Full score and parts, if any, rather than conductor's score and parts, if any. (In cases of compositions published only by rental, lease, or lending, this requirement is reduced to full score only.)
      - ii. Conductor's score and parts, if any, rather than condensed score and parts, if any. (In cases of compositions published only by rental, lease, or lending, this requirement is reduced to conductor's score only.)
    - b. Unaccompanied: Open score (each part on separate staff) rather than closed score (all parts condensed to two staves).
  - 2. *Instrumental music:*
    - a. Full score and parts, if any, rather than conductor's score and parts, if any. (In cases of compositions published only by rental, lease, or lending, this requirement is reduced to full score only.)
    - b. Conductor's score and parts, if any, rather than condensed score and parts, if any. (In cases of compositions published only by rental, lease, or lending, this requirement is reduced to conductor's score only.)
- B. *Printing and Paper:*
  - 1. Archival-quality rather than less-permanent paper.
- C. *Binding and Packaging:*
  - 1. Special limited editions rather than trade editions.
  - 2. Bound rather than unbound.
  - 3. If editions have different binding, apply the criteria in I.A.2-I.A.12, above.
  - 4. With protective folders rather than without.

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**VII. MICROFORMS**

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**A. Related Materials:**

1. With indexes, study guides, or other printed matter rather than without.

**B. Permanence and Appearance:**

1. Silver halide rather than any other emulsion.
2. Positive rather than negative.
3. Color rather than black and white.

**C. Format (newspapers and newspaper-formatted serials):**

1. Reel microfilm rather than any other microform.

**D. Format (all other materials):**

1. Microfiche rather than reel microfilm.
2. Reel microfilm rather than microform cassettes.
3. Microfilm cassettes rather than micro-opaque prints.

**E. Size:**

1. 35 mm rather than 16 mm.

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**VIII. WORKS EXISTING IN MORE THAN ONE MEDIUM**

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Editions are listed below in descending order of preference.

**A. Newspapers, dissertations and theses, newspaper-formatted serials:**

1. Microform.
2. Printed matter.

**B. All other materials:**

1. Printed matter.
2. Microform.
3. Phonorecord.

(Effective: January 1, 1978.)

[END OF CHAPTER 800]

Chapter 900

PUBLICATION

Outline of Topics

- 901           Applicability of this chapter.
- 902           Statutory provision.
- 903           Authorization by the copyright owner.
- 904           General policy concerning publication.
- 905           Distribution as publication.
- 905.01       Multiple copies or phonorecords.
- 905.02       To the public.
- 905.03       Deposit in a public library.
- 905.04       Deposit for registration in the Copyright Office.
- 905.05       By sale or other transfer of ownership, or by  
                  rental, lease, or lending.
- 906           Offering to distribute as publication.
- 906.01       No existing copies or phonorecords.
- 906.02       To a group of persons.
- 906.03       For purposes of further distribution, public  
                  performance, or public display.
- 907           Alternative forms of publication.
- 908           Public performance or display not a publication.
- 908.01       To perform.
- 908.02       To display.
- 908.03       Public or private.
- 909           Publication of recorded material first distributed  
                  before January 1, 1978.

- 910            Date and nation of first publication.
- 910.01        General policy concerning date and nation of first publication.
  - 910.02        Choice of a date of first publication.
  - 910.03        Release date.
  - 910.04        Embodiment of previously unpublished material in another work.
  - 910.05        Publication of part of a work.
  - 910.06        Publication in serial form.
  - 910.07        Publication of separate parts or installments.
  - 910.08        Previous registration and new versions.
  - 910.09        Works first published outside the United States.
- 911            Problems relating to date of publication.
- 911.01        No date of publication.
  - 911.02        Incomplete date.
  - 911.03        Impossible or improbable date.
  - 911.04        Other calendrical systems.
  - 911.05        Separate parts or installments.
  - 911.06        Previous edition or version.
- 912            Indicia of publication.
- 912.01        Appearance of deposited material.

## Chapter 900

### PUBLICATION

- 901        Applicability of this chapter. The provisions of this chapter are applicable only to acts which occurred on or after January 1, 1978. Copyright Office practices concerning publication before January 1, 1978, are stated in Compendium I and generally still apply.
- 902        Statutory provisions. Publication is the distribution of copies or phonorecords of a work to the public by sale or other transfer of ownership, or by rental, lease, or lending. The offering to distribute copies or phonorecords to a group of persons for purposes of further distribution, public performance, or public display, constitutes publication. A public performance or display of a work does not of itself constitute publication. 17 U.S.C. 101.
- 903        Authorization by the copyright owner. Not included in the statutory definition of "publication" but implicit in the meaning of the term as applied to copyright registration and related activities is the requirement that acts constituting publication must be by the copyright owner or under his or her authority. The unauthorized acts of others do not result in such publication. Section 106 of the current Act explicitly provides that the owner of copyright has the sole power to authorize distribution of "copies or phonorecords of the copyrighted work to the public by sale or other transfer of ownership, or by rental, lease, or lending." See 17 U.S.C. 106(3).
- 904        General policy concerning publication. The following points represent the general policy of the Copyright Office concerning publication:
- 1) The Office will ordinarily not attempt to decide whether or not publication has occurred but will generally leave this decision to the applicant.
  - 2) The Office will not attempt to make factual investigations to determine whether or not publication has occurred.
  - 3) When asked for advice, the Office will ordinarily refrain from taking a definite position, but will quote the statutory definition and discuss the meaning of publication in general terms.

904

General policy concerning publication. (cont'd)

- 4) Where the applicant provides the Office with a statement of facts on the basis of which the applicant concludes that publication has occurred, registration will be made as a published work, unless the facts as stated by the applicant clearly show that publication, as defined by the copyright law, has not taken place.
- 5) Where the applicant seeks registration as an unpublished work and provides the Office with a statement of facts which clearly show that publication has occurred, the Office will not register a claim to copyright in the work as unpublished.
- 6) Where the Office has information which is at variance with a statement concerning publication provided by the applicant, or where the appearance of the copy or phonorecord deposited seems clearly inconsistent with such statement, the Office will correspond with the applicant.

905

Distribution as publication. Works are published when copies or phonorecords are distributed by the copyright owner or under his or her authority to the public by sale or other transfer of ownership, or by rental, lease, or lending.

905.01

Multiple copies or phonorecords. The statutory definition refers to the distribution of "copies or phonorecords." A work which exists in only one copy or phonorecord is generally not regarded as published when the single existing copy or phonorecord is transferred by sale or otherwise, or when it is rented, leased, or lent. However, where multiple copies are available for distribution, the transfer, rental, lease, or lending of a single copy or phonorecord will be sufficient for registration to be made as a published work.

## Examples:

- 1) If an original oil painting is sold to a private collector, that sale does not constitute publication.

905

Distribution as publication. (cont'd)

905.01

Multiple copies or phonorecords. (cont'd)

Examples: (cont'd)

- 2) Where a manufacturer of pottery places copies of its work on sale at a roadside stand next to the factory and sells a single copy, publication does take place.

905.02

To the public. In order for publication to occur by the distribution of copies or phonorecords, such distribution must be "to the public" rather than a more limited distribution. Generally, members of the public are persons who are under no implied or express restriction with respect to disclosure of the work's contents. See H.R. Rep. 94-1476, 94th Cong., 2d Sess. 138 (1976).

Examples:

- 1) The distribution of copies on a busy street corner is publication.
- 2) The unrestricted gift of copies constitutes publication.
- 3) Leaving copies in a public place for anyone to take is publication.
- 4) Distributing texts at a seminar for use only by the recipients is ordinarily not publication.

NOTE: The fact that the copies bear a statement indicating that their distribution has been restricted or limited in some way will generally not constitute a sufficient basis for questioning whether or not publication occurred.

Examples:

- 1) "Confidential -- these specifications are for subscribers' use only."
- 2) "Not for general distribution."
- 3) "For professional use only."

905

Distribution as publication. (cont'd)

905.03

Deposit in a public library. Where a copy or phonorecord of a work is deposited in a public library for unrestricted access by the public, the Copyright Office will not refuse registration as a published work. In such a case, the Office will assume that access to the deposit was unrestricted unless it has information to the contrary.

905.04

Deposit for registration in the Copyright Office. Deposit for registration in the Copyright Office will not be considered to constitute publication.

905.05

By sale or other transfer of ownership, or by rental, lease, or lending. Publication occurs by the sale or other transfer of ownership of copies or phonorecords or by their rental, lease, or lending.

906

Offering to distribute as publication. The offering by the copyright owner, or under his or her authority, to distribute copies or phonorecords to a group of persons for purposes of further distribution, public performance, or public display, constitutes publication. See 17 U.S.C. 101. The statutory definition implies that the offering to distribute must be of existing multiple copies or phonorecords.

Examples:

- 1) The offering of a new line of greeting cards that are in existence to retail outlets is publication.
- 2) The offering by a film exchange to distribute prints of an existing motion picture for performance in theatres is publication.
- 3) Offering a work, such as a cartoon or column, to a number of syndicators for purposes of further distribution would normally constitute publication.



906            Offering to distribute as publication. (cont'd)

906.01            No existing copies or phonorecords. The offering to distribute copies or phonorecords before any are available in a form ready for distribution does not constitute publication.

## Examples:

- 1) The offering to distribute a motion picture that is still in production does not constitute publication.
- 2) The offering to distribute a sound recording which has not been fixed in its final form is not publication.

906.02            To a group of persons. The offering to distribute copies or phonorecords must be to a group of persons.

## Example:

The offering to distribute musical scores to a group of band directors for purposes of public performance is publication.

906.03            For purposes of further distribution, public performance, or public display. The purpose of the offering must be further distribution, public performance, or public display. Hence an offering to distribute to a group of persons for their private use, private performance, or private display is not a publication.

## Example:

The offering to distribute classical phonorecords to various radio stations for broadcast constitutes publication.

907            Alternative forms of publication. Since the statutory definition of publication is in two parts, one relating to direct distribution to the public and the other relating to the offering to a group for certain purposes, publication occurs if the facts fit either alternative.

907

Alternative forms of publication. (cont'd)

## Examples:

- 1) The actual distribution of 350 copies of a print to the public is publication, regardless of whether or not the prints were distributed for purposes of private or public display.
- 2) The offering to distribute fine art prints to a group of persons for public display constitutes publication, whereas the offering to distribute such material for private display is not a publication.

908

Public performance or display not a publication. A public performance or public display of a work does not of itself constitute publication. See 17 U.S.C. 101. Therefore, publication will be questioned where words such as "performed," "televised," "broadcast," "posted," "exhibited," etc., have been added to the publication space of the application.

908.01

To perform. To "perform" a work means to recite, render, play, dance, or act it, either directly or by means of any device or process or, in the case of a motion picture or other audiovisual work, to show its images in any sequence or to make the sounds accompanying it audible. 17 U.S.C. 101.

908.02

To display. To "display" a work means to show a copy of it, either directly or by means of a film, slide, television image, or any other device or process or, in the case of a motion picture or other audiovisual work, to show individual images nonsequentially. 17 U.S.C. 101.

908.03

Public or private. Since the copyright law provides that the "public" performance or display of a work is not publication, it seems clear that performances and displays which are not public do not constitute publication. Thus, in effect, no private performance or display can amount to publication.

## Examples:

- 1) Where a pictorial, graphic, or sculptural work was created in 1978 and placed on public display without any restrictions against copying, it is considered unpublished under the current Act.

908 Public performance or display not a publication.  
(cont'd)

908.03 Public or private. (cont'd)

Examples: (cont'd)

- 2) A jazz band performing an original song as part of its act on a network television show is not publication.
- 3) It is not publication for a composer to perform his work in his home or in public.

909 Publication of recorded material first distributed before January 1, 1978. Where a musical, dramatic, or literary work was distributed only in the form of phonorecords before January 1, 1978, such musical, dramatic, or literary work was not registerable as a published work under the Act of 1909, as amended. Under the present law, the public distribution of phonorecords on or after January 1, 1978, publishes the musical, dramatic, or literary works recorded thereon. Therefore, if publication of a pre-1978 phonorecord continued on January 1, 1978, that date is considered to be the date of first publication of the underlying work for purposes of copyright registration.

910 Date and nation of first publication. A statement of the date of first publication is required on applications for registration of claims to copyright in published works. The nation of first publication should also be given.

910.01 General policy concerning date and nation of first publication. The Copyright Office will generally accept without question the date of first publication given by the applicant. Although the Office may offer general guidelines concerning the selection of a date, the final choice is ordinarily left to the applicant. The Office will generally decline to accept the date given only if a statement made by the applicant clearly shows that first publication did not occur on that date. The Office will correspond with the applicant if it has information inconsistent with the statement used by the applicant as the basis for the date given.

910 Date and nation of first publication. (cont'd)

910.01 General policy concerning date and nation of first publication. (cont'd)

Similarly, the Copyright Office will generally accept the statement of the applicant on nation of first publication, unless it appears to be clearly inconsistent with the facts stated by the applicant or the information which the Office has with respect to the place of first publication.

910.02 Choice of a date of first publication. When the applicant is uncertain as to the date to be given in the application, the Copyright Office may outline the following factors to be considered:

- 1) Where the applicant is uncertain as to which of several possible dates to choose, it is generally advisable to choose the earliest date, to avoid implication of an attempt to lengthen the copyright term, or any other period prescribed by the statute.
- 2) When the exact date is not known, the best approximate date may be chosen. In such cases, qualifying language such as "approximately," "on or about," "circa," "no later than," and "no earlier than," will generally not be questioned.

NOTE: The date given on the application as the date of first publication is important. It may determine the three-month grace period of 17 U.S.C. 412(2) and the five-year period provided in 17 U.S.C. 405(a)(2) for works published without a notice of copyright. It may also determine the copyright term for works made for hire and for anonymous and pseudonymous works.

910.03 Release date. If copies or phonorecords are put into the "stream of commerce" on one date, for release by distribution "over the counter" to the public on a later date, the Copyright Office will accept either date as first publication.

910

Date and nation of first publication. (cont'd)

910.04

Embodiment of previously unpublished material in another work. The inclusion of an unpublished work in another work that is later published results in the publication of the first work to the extent that it is disclosed in the published work.

## Examples:

- 1) Where a preexisting unpublished screenplay is embodied in a motion picture, those elements of the screenplay disclosed in the motion picture are considered to be published at the same time the motion picture is published.
- 2) The publication of copies of a lithograph that reproduce a previously unpublished original oil painting, publishes the oil painting to the extent that it is disclosed in the lithograph.
- 3) Where an unpublished sculptural work is embodied in a published motion picture, an application for registration of the sculpture may assert that the work is unpublished; in such a case, space 6 on the application form need not be completed. NOTE: It is the view of the Copyright Office that ordinarily the publication of a motion picture would not result in sufficient disclosure of a sculptural work embodied in the motion picture to effect a publication of such work in the copyright sense.

910.05

Publication of part of a work. Publication of a portion of a work does not necessarily mean that the work as a whole has been published.

## Examples:

- 1) Publication of a detailed plot summary of a play does not constitute publication of the play as a whole.
- 2) Publication of a movie version of an unpublished story publishes only those elements of the story embodied in the motion picture.

- 910            Date and nation of first publication. (cont'd)
- 910.06            Publication in serial form. Where a work first appears in serial form and later comes out as a book, its appearance in serial form is considered first publication. Registration of a claim to copyright in the book would depend upon the existence of new copyrightable material appearing for the first time in the book.
- 910.07            Publication of separate parts or installments. Where various parts or installments of a work are first published separately, each part or installment is regarded as a separate work, and if registered, must be registered separately. However, where a work is first published as a unit, the fact that parts of the work are also distributed separately will not preclude a single registration for the work.
- 910.08            Previous registration and new versions. Where the work in question is the first published edition of a work previously registered in unpublished form, the application should give the date of first publication. This is true even if the published edition contains no new matter and the copyright term is not computed from the date of publication. If the work is a new version of a previously published work, the application should give the date of publication of the new version, rather than that of the previously published edition.
- 910.09            Works first published outside the United States. An application covering a work first published outside the United States should state the date of first publication there, and should be accompanied by a copy or phonorecord of the foreign edition as first published. As a rule, registration for a later published U.S. edition of such work depends upon whether or not new copyrightable material has been added.

911 Problems relating to date of publication. The following are problems relating to the date of publication.

911.01 No date of publication. An application in which no date of publication is given will ordinarily not be questioned, even though the copies appear to be in published form. In such cases, registration may be made without correspondence unless it seems clear that the applicant fails to understand the registration requirements and actually wishes registration of the work as published.

911.02 Incomplete date. An application lacking one or more of the three necessary elements of the date of publication (month, day, and year) will not be accepted. Where the element is missing from the appropriate space on the application, the Copyright Office may either request the information and add it to the application, or request a new application. Similarly, an application containing a date extending over a period of time will not be accepted.

Examples of unacceptable statements:

- 1) "January, 1981."
- 2) "July 20-26, 1981."
- 3) "Last week of December, 1980."

911.03 Impossible or improbable date. A date of publication that is impossible, such as "February 30, 1981," is not acceptable. If a date is given on the application which, if correct, would signify that the work is in the public domain in the United States, as for example, "March 3, 1867," such application will be questioned.

911.04 Other calendrical systems. When a date of publication is given which appears to be in terms of a calendrical system other than the current Gregorian calendar, the Copyright Office will ask that the date be stated by the applicant in accordance with the current Gregorian calendar.

- 911            Problems relating to date of publication. (cont'd)
- 911.05        Separate parts or installments. An application giving more than one date of publication for the same work is not acceptable. See section 910.07 above.
- 911.06        Previous edition or version. An application giving only the date of publication of a previous edition or version is not acceptable. See section 910.08 above.
- 912            Indicia of publication. In general, the presence of a date of publication in the application will be accepted as indicating that publication has taken place, unless information furnished by the applicant, other information known to the Copyright Office, or the deposited material raises questions as to whether publication actually has taken place. In such cases, the Office will communicate with the applicant.
- 912.01        Appearance of deposited material. Material submitted as published will not generally be questioned on the single ground that such material is handmade or in preliminary form, e.g., photocopies, mimeographed copies, etc., if publication in that form appears normal in the light of the nature of the work. However, such material may be questioned when the copies contain deletions or insertions, or when the copies appear to be incomplete.
- Examples:
- 1) Artist's handmade drawing of a commercial label will be questioned.
  - 2) Mimeographed copies of a play would normally not be questioned.

[END OF CHAPTER 900]



Chapter 1000

NOTICE OF COPYRIGHT

Outline of Topics

- 1001        Applicability of this chapter.
- 1002        Unpublished works.
- 1003        Published works.
- 1003.01        Visually perceptible copies.
- 1003.02        Phonorecords.
- 1003.03        Contributions to collective works.
- 1004        Form of the copyright notice.
- 1004.01        Visually perceptible copies.
- 1004.02        Phonorecords of sound recordings.
- 1004.03        Special provision concerning U.S. Government works.
- 1004.04        Limitations in juxtaposition to the copyright notice.
- 1004.05        Restricted notice.
- 1005        Variants of word, symbol, or abbreviation.
- 1005.01        Visually perceptible copies.
- 1005.02        Phonorecords of sound recordings.
- 1006        Year date in the copyright notice.
- 1006.01        Form of year date.
- 1006.02        Omitted where required.
- 1006.03        Earlier than year of publication (antedated).
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- 1006.05        Dispersed notice: year date.
- 1006.06        More than one year in notice.
- 1007        Name in copyright notice.
- 1007.01        Name as claimant on application.
- 1007.02        Sound recordings: presumption as to producer's name in notice.
- 1007.03        Abbreviation or alternative designation.
- 1007.04        Unacceptable variants of name, abbreviation, or alternative designation.
- 1007.05        Pseudonym in notice.

- 1007            Name in copyright notice. (cont'd)
  - 1007.06        Deceased person named in notice at time of publication.
  - 1007.07        Identity by reference.
  - 1007.08        Additional names in notice.
  - 1007.09        Separated name.
  
- 1008            Omission of copyright notice.
  - 1008.01        Registration.
  
- 1009            Error in name.
  
- 1010            Error in date.
  - 1010.01        Earlier date.
  - 1010.02        Later date.
  
- 1011            Omission of name or date.
  - 1011.01        Separated name.
  - 1011.02        Separated date.
  - 1011.03        Identity by reference.
  
- 1012            Publication incorporating United States Government works.
  
- 1013            Affixation and position of the copyright notice.
  - 1013.01        Copies.
  - 1013.02        Phonorecords.
  - 1013.03        Notice not properly affixed.
  - 1013.04        Works published in book form.
  - 1013.05        Periodicals or other serials.
  - 1013.06        Musical works.
  - 1013.07        Single-leaf works.
  - 1013.08        Contributions to collective works.
  - 1013.09        Works reproduced in machine-readable copies.
  - 1013.10        Motion pictures and other audiovisual works.
  - 1013.11        Pictorial, graphic, and sculptural works.
  - 1013.12        Separable parts published in permanent container.
  - 1013.13        Dust jackets on books.
  - 1013.14        Sound recordings.
  - 1013.15        Multi-part works.

- 1014 Handwritten, typewritten, or rubber-stamped copy-  
right notice on published copies or phonorecords.
- 1015 Legibility of copyright notice.
- 1016 Microscopic copyright notice.
- 1017 Concealed copyright notice.
  - 1017.01 Notice visible upon ordinary use.
- 1018 Copyright notice: reverses.
- 1019 Notice of renewal copyright.
- 1020 Notices extraneous to the claim being registered.

[1984]



## Chapter 1000

### NOTICE OF COPYRIGHT

- 1001 Applicability of this chapter. The provisions of this chapter are applicable only to works first published on or after January 1, 1978. The Copyright Office practices concerning the copyright notice as it relates to works first published before that date are found in Compendium I, which is still in effect for such works.
- 1002 Unpublished works. No notice of copyright is required on unpublished works. An unpublished work which does not bear a notice of copyright will be accepted for registration. Registration will be made without correspondence by the Copyright Office for an unpublished work which bears a notice of copyright, even though the notice may be defective if used on the work when published.
- 1003 Published works. As a general rule whenever works protected under the copyright law are published in the United States or elsewhere by authority of the copyright owner, the notice of copyright prescribed by the law should appear on all publicly distributed copies from which the work can be visually perceived and on all publicly distributed phonorecords of sound recordings. See 17 U.S.C. 401(a) and 402(a). If a work is published without notice or with a fatally deficient notice by authority of the copyright owner, and if more than five years have elapsed since such publication, registration is not possible. See section 1008.01 below.
- 1003.01 Visually perceptible copies. A visually perceptible copy is one in which a work is fixed and from which such work can be visually perceived, either directly or with the aid of a machine or device. Examples of visually perceptible copies include books, sheet music, and photographs. Examples of works not embodied in visually perceptible form include literary, dramatic, or musical matter fixed in the recorded sounds accompanying a motion picture or other audiovisual work or in phonorecords. When such works are published in phonorecords, no copyright notice is required for the literary, dramatic, or musical material embodied in the phonorecords.

- 1003            Published works. (cont'd)
- 1003.02        Phonorecords. A phonorecord is a material object in which sounds, other than those accompanying a motion picture or other audiovisual work, are fixed and from which the sounds can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device. Examples include disks, open reels, cassettes, and cartridges. If the sound recording is protected by copyright, the appropriate notice for a sound recording should be used. See 17 U.S.C. 101, for the definition of sound recordings; see also section 1004.02 of this chapter.
- 1003.03        Contributions to collective works. A separate contribution to a collective work may bear its own notice of copyright, or a single notice applicable to the collective work as a whole may be sufficient for the separate contributions it contains but not including advertisements inserted on behalf of persons other than the owner of copyright in the collective work. See 17 U.S.C. 404(a). A collective work is one in which a number of separate and independent works are assembled into a collective whole, such as a periodical issue, anthology, or encyclopedia.
- 1004            Form of the copyright notice. The form of the notice is prescribed by the copyright law.
- 1004.01        Visually perceptible copies. For visually perceptible copies the notice of copyright shall consist of: 1) the symbol © (the letter C in a circle), or the word "Copyright," or the abbreviation "Copr.," 2) the year of first publication of the work, and 3) the name of the owner of copyright in the work, or an abbreviation by which the name can be recognized, or a generally known alternative designation of the owner. The year date may be omitted where a pictorial, graphic, or sculptural work, with accompanying text matter, if any, is reproduced in or on greeting cards, postcards, stationery, jewelry, dolls, toys, or any useful articles. See 17 U.S.C. 401(b).

1004

Form of the copyright notice.

1004.02

Phonorecords of sound recordings. For phonorecords of sound recordings the notice shall consist of: 1) the symbol © (the letter P in a circle), 2) the year date of first publication of the sound recording, and 3) the name of the owner of copyright in the sound recording, or an abbreviation by which the name can be recognized, or a generally known alternative designation of the owner; if the producer of the sound recording is named on the phonorecord labels or containers, and if no other name appears in conjunction with the notice, the producer's name shall be considered a part of the notice. See 17 U.S.C. 402(b).

1004.03

Special provision concerning U. S. Government works. In the case of a work published in copies or phonorecords and consisting preponderantly of one or more works of the United States Government, the notice of copyright shall also include a statement identifying, either affirmatively or negatively, those portions of the copies or phonorecords embodying any work or works protected under title 17. 17 U.S.C. 403. If such a limitation is not reflected on the application for registration, the Copyright Office may request the applicant to amend the application. The absence of the statement on the copies or phonorecords, when required, will be considered an omission of notice. See section 1008 of this chapter; see also the definition of a "work of the United States Government" in 17 U.S.C. 101.

1004.04

Limitations in juxtaposition to the copyright notice. Even though a claim to copyright, as shown in the application, is limited to a portion of the work (such as new matter), the notice need not specify such a limitation. Where the copyright claim covers less than the entire work, a general notice, e.g., "© 1981 John Doe," is sufficient. Where a statement in juxtaposition to the notice limits the claim to portions or features of the work that are copyrightable, the notice

- 1004            Form of the copyright notice. (cont'd)
- 1004.04        Limitations in juxtaposition to the copyright notice. (cont'd)
- is sufficient, e.g., "Introduction and Illustrations Copyright 1981 by Popular Publishing Co.," or "Arrangement Copyright 1981 by Newstyle Music Co.". If such limitations are not reflected on the application for registration, the Copyright Office will correspond to establish the extent of the claim and to have the application amended, if necessary. If the limitation is incorrect, the Copyright Office will annotate the application as follows: "On copyright deposit: [quote statement on deposit]. Application correct; see correspondence file."
- 1004.05        Restricted notice. Even though a statement in juxtaposition to the notice refers only to noncopyrightable matter, the claim will be registered if the application clearly shows that the claim is based on copyrightable subject matter. The same is true where the position of the copyright notice itself indicates restriction of the claim to a noncopyrightable element. In such cases the Copyright Office will send a cautionary letter. If the application does not clearly refer to copyrightable subject matter, the Copyright Office may either refuse registration or, in appropriate cases, correspond to determine the basis of the claim. For works published before January 1, 1978, however, see topic 4.4.4.II.b of Compendium I.
- 1005            Variants of word, symbol, or abbreviation.  
Unacceptable variants of the symbol © or the word "Copyright," or of the abbreviation "Copr.," will be treated as an omission of notice. See section 1008 of this chapter. An acceptable variant will be treated as if the correct symbol, word, or abbreviation appeared as a part of the notice.
- NOTE: In the case of an acceptable variant of the symbols © or ®, where registration is sought more than five years after first publication, the claim will be registered under the rule of doubt.



1005 Variants of word, symbol, or abbreviation.  
(cont'd)

1005.01 Visually perceptible copies. The notice on visually perceptible copies should include the symbol © (the letter C in a circle), or the word "Copyright," or the abbreviation "Copr." 17 U.S.C. 401(b)(1).

1005.01(a) A misspelled or variant form of "Copyright" or "Copr." may be accepted if it is clear that copyright is meant. Examples of variants which are acceptable:

- 1) Copyrighted
- 2) Copywrite
- 3) Copywritten
- 4) Copyright Pending
- 5) Copyright Applied For
- 6) Copyright and Registered
- 7) Registered U. S. Copyright Office
- 8) Copy.
- 9) Copyr.

1005.01(b) The term "All Rights Reserved," or the like, is not acceptable as an element of the copyright notice prescribed by U. S. law. The same is true for such statements in other languages, e.g., the Spanish "Todos los Derechos Reservados." However, the use of such terms in juxtaposition to an acceptable copyright notice will not invalidate the notice.

1005.01(c) A variant of the symbol © is accepted only where it resembles the © closely enough to indicate clearly that the copyright symbol is meant.

Acceptable variants include:

- 1) Ⓒ
- 2) Ⓒ
- 3) (c
- 4) c)
- 5) ©
- 6) (c)

1005 Variants of word, symbol, or abbreviation.  
(cont'd)

1005.01 Visually perceptible copies. (cont'd)

1005.01(c) (cont'd)

Unacceptable variants include:

- 1) CO
- 2) C
- 3) C/O
- 4) Ⓐ
- 5) C.
- 6) c
- 7) [c]

1005.02 Phonorecords of sound recordings. The notice on phonorecords of sound recordings should include the symbol © (the letter P in a circle). A variant of the symbol © is acceptable only where it resembles the © closely enough to indicate clearly that the sound recording copyright symbol is meant.

Acceptable variants include:

- 1) P̂
- 2) P̄
- 3) (P
- 4) P)
- 5) P̅
- 6) (P)

Unacceptable variants include:

- 1) P
- 2) P
- 3) [P]
- 4) ©, or any variant form of the standard copyright symbol
- 5) "Copyright," "Copr.," or any variant thereof
- 6) Audible notices

1006 Year date in the copyright notice. As a general rule the copyright notice both for copies (17 U.S.C. 401(b)(2)) and for phonorecords of sound recordings (17 U.S.C. 402(b)(2)) must include the year of first publication of the work. The notice on copies of a compilation or derivative work incorporating

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Year date in the copyright notice. (cont'd)

previously published material requires only the year date of first publication of the compilation or derivative work. 17 U.S.C. 401(b)(2). The year date may be omitted where a pictorial, graphic, or sculptural work, with accompanying text, if any, is reproduced in or on greeting cards, postcards, stationery, jewelry, dolls, toys, or any useful articles. 17 U.S.C. 101 and 401(b)(2). NOTE: A label is not considered a useful article, from which the year date may be omitted. Those textiles and fabrics which are useful articles do not require a year date; however, where a copyright notice applicable to a textile or a fabric which is a useful article is contained on a label affixed to the textile or fabric, and the year date is omitted from the notice, such notice shall be acceptable insofar as it applies to the textile or fabric. See section 1013.11(4)(iii) below.

- 1006.01 Form of year date. A year date is acceptable in any of the following forms: 1) Arabic numerals, e.g., 1981; 2) abbreviations of Arabic numerals, e.g., '81; 3) Roman numerals e.g., MCMLXXXI; 4) spelled out in words instead of numerals, e.g., Nineteen Hundred Eighty-One.
- 1006.02 Omitted where required. Where copies or phonorecords publicly distributed by authority of the copyright owner contain no date that could reasonably be regarded as a part of the notice, the work is considered to have been published without any notice. 17 U.S.C. 405; see also section 1008 of this chapter.
- 1006.03 Earlier than year of publication (antedated). Where the year date in the notice on copies or phonorecords is earlier than the year in which publication first occurred (see section 1010 of this chapter), it is considered to be an error in date governed by 17 U.S.C. 406(b). The application will be annotated to indicate the date in the notice. A warning letter may be sent to the applicant pointing out the error in date and the consequences it may

- 1006            Year date in the copyright notice. (cont'd)
- 1006.03            Earlier than year of publication (antedated.  
(cont'd)
- have. These rules apply equally to those works which do not require a year date in the notice but which contain a year date earlier than the year in which first publication occurred.
- 1006.04            Later than year of publication (postdated).  
Where the year date in the notice on copies or phonorecords is no more than one year later than the year in which publication first occurred, the claim will be registered without annotation or correspondence. Where the year is more than one year later than the year in which publication first occurred, the work is considered to have been published without any notice under 17 U.S.C. 406(c) and is governed by 17 U.S.C. 405. See section 1008 of this chapter. Thus, if the application is submitted within five years of first publication, the claim will be registered without annotation; however, a warning letter will be sent. If registration is requested after five years measured from the date of first publication, registration will be refused. These rules apply equally to those works which do not require a year date in the notice, but which contain a year date which is later than the year in which first publication occurred. 17 U.S.C. 401(b)(2); see also section 1010 of this chapter.
- 1006.05            Dispersed notice: year date. The elements of notice, including the year date when required, should preferably appear together as a single continuous statement, e.g., © 1981 ABC Corporation. However, a year date that is present but separated from the rest of the notice is acceptable if it is an appropriate date and is reasonably identifiable as part of the notice. Such a year date is clearly acceptable if it is the

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Year date in the copyright notice. (cont'd)

1006.05

Dispersed notice: year date. (cont'd)

only one appearing on the same page as the other elements. Also, an appropriate year date prominently displayed elsewhere than on the same page as the other elements is acceptable, if it can reasonably be considered part of the notice. Examples of acceptable year dates include the year date in the Library of Congress Catalog Card Number and the year in the issue date on a periodical. The presence of intervening matter need not necessarily preclude considering a year date a part of the notice. In those cases where a year date is required and no year date can be reasonably identified as part of the notice, the work will be considered to have been published without notice and will be governed by 17 U.S.C. 405. See section 1008 of this chapter; see also section 1011.01 concerning separated names.

1006.06

More than one year date in notice. A notice may sometimes contain, in addition to the year date of first publication of the version being registered, earlier year dates indicating an earlier unpublished registration, or the presence of previously published matter in the work; or they might signify nothing. Where there is more than one year date in the notice and none of them is the year date of first publication, the Copyright Office will disregard, for purposes of determining the adequacy of the notice, all but the most recent date.

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Name in copyright notice. As a general rule the copyright notice for both copies and phonorecords of sound recordings must include the name of the owner of copyright in the work, or an abbreviation by which the name can be recognized, or a generally known alternative designation of the owner. 17 U.S.C. 401(b)(3) and 402(b)(3). Ordinarily, the Copyright Office will not question a name appearing as part of the notice, if it appears sufficient to identify the owner of copyright.

1007 Name in copyright notice. (cont'd)

1007.01 Name as claimant on application. The copyright "claimant" for registration purposes is the author of the work for which registration is sought, or a person or organization that has obtained ownership of all rights under the copyright initially belonging to the author. See 37 C.F.R. 202.3(a)(3). The names given in the notice as owner of copyright and in the application as claimant may be completely different and yet both may be correct. The Copyright Office will ordinarily not question an application unless information from the copies or phonorecords, from the application, or from other sources indicates that the name given as claimant on the application may not be the owner of copyright or the author.

1007.02 Sound recordings: presumption as to producer's name in notice. If the producer of a sound recording is named on the phonorecord labels or containers, and if no other name appears in conjunction with the notice, the producer's name shall be considered as part of the notice. 17 U.S.C. 402(b)(3). The producer need not be identified as producer on the labels or containers.

## Example:

On left side of the label on a 45 rpm disk:

© 1981

On the right side of the label:

Doe Recording Company  
Produced and arranged by Jay Jones

Along the bottom of the label:

Mfg. by Doe Recording Co.

Application names Doe Recording Co. as author by virtue of being the employer in a work made for hire.

1007 Name in copyright notice. (cont'd)1007.02 Sound recordings: presumption as to producer's name in notice. (cont'd)

Example: (cont'd)

There is no name that could reasonably be considered a part of the notice; therefore, the producer presumption applies. Since Doe Recording Co. is an employer in a work made for hire, it would be considered the producer and its name would be considered as a part of the notice.

1007.03 Abbreviation or alternative designation. The statute permits the use of an abbreviation by which the copyright owner can be recognized or a generally known alternative designation. 17 U.S.C. 401(b)(3) and 402(b)(3). In such a case, the application should give the legal name of the claimant, and preferably should specify the relationship between the name and what appears in the notice. A generally known alternative designation may be either part of the full name, e.g., "Atlantic" for Atlantic Recording Corporation, or a completely different name, e.g., "Melodium" for Genius Recording Co., or well known initials, e.g., "NBC" for National Broadcasting Company. An abbreviation by which the name of the copyright owner can be recognized should generally include an abbreviated part of each significant word in the full name, e.g., "Merc. Rec." for Mercury Records Corporation. If what is in the notice reasonably appears to identify the copyright owner to those likely to come in contact with distributed copies or phonorecords, the notice will be considered acceptable. If this is not the case, the same action is taken as where there is no name in the notice. See section 1011 of this chapter.

1007.04 Unacceptable variants of name, abbreviation, or alternative designation. Where the name, abbreviation of the name, or an alternative designation of the owner in the notice is so

- 1007            Name in copyright notice. (cont'd)
- 1007.04        Unacceptable variants of name, abbreviation, or alternative designation. (cont'd)
- vague, truncated, or ambiguous that it could not be considered to identify any person or entity as an owner of the copyright, the same action is taken as when no name appears in the notice. See 17 U.S.C. 406(c); see also section 1011 of this chapter.
- 1007.05        Pseudonym in notice. A pseudonym is a fictitious or assumed name. Where the name appearing in the copyright notice is known to be a pseudonym, the Copyright Office will inquire as to whether or not the individual is generally known by that name. Where the individual is generally known by the pseudonym appearing in the notice, the copyright notice will be considered acceptable. Where, however, the individual is not generally known by the name in the notice, the work will be treated as being published with no name in the notice. See section 1011 below.
- 1007.06        Deceased person named in notice at time of publication. Where the Copyright Office has knowledge that the person named in the notice died before publication of the work, the same action is taken as when there is an error in the name in the notice. 17 U.S.C. 406(a); see section 1009 of this chapter.
- 1007.07        Identity by reference. See section 1011 of this chapter.
- 1007.08        Additional names in notice. Ordinarily, where two or more names appear in the notice, but only one is given as claimant in the application, the claim will be accepted for registration without correspondence.
- 1007.09        Separated name. See section 1011 of this chapter.



- 1008      Omission of copyright notice. Where the notice is omitted from more than a relatively small number of copies or phonorecords distributed by authority of the copyright owner, and registration is being made within five years of the date of publication without notice, the Copyright Office may warn that the law requires, in addition to registration, that a reasonable effort must be made to add the notice to all copies or phonorecords that are distributed to the public in the United States after the omission has been discovered. See 17 U.S.C. 405(a).
- 1008.01      Registration. Registration is not possible for works published without notice or with a fatally deficient notice by authority of the copyright owner, if more than five years have elapsed since such publication. There are, however two exceptions to this general rule: 1) where the notice has been omitted from no more than a relatively small number of copies or phonorecords distributed to the public; or 2) where the notice has been omitted in violation of an express requirement in writing that, as a condition of the copyright owner's authorization of the public distribution of copies or phonorecords, they contain the prescribed copyright notice. In these two instances, there is no need for registration to correct the omission. Registration in these cases may be made at any time during the subsistence of the copyright. See 17 U.S.C. 405(a).
- 1009      Error in name. Where the person named in the copyright notice on copies or phonorecords publicly distributed by authority of the copyright owner is not the owner of copyright, the validity and ownership of the copyright are not affected. See 17 U.S.C. 406(a). In such cases, therefore, registration can be made for the work at any time during the subsistence of the copyright, naming as claimant the owner of copyright at the time of registration. See 37 C.F.R. 202.03(a)(ii), and section 1007.01 of this chapter.

- 1010      Error in date. Where the year date is required, the notice of copyright should contain the year of first publication of the work. See 17 U.S.C. 401(b)(2) and 402(b)(2). The notice provisions of these sections apply to all copies or phonorecords publicly distributed on or after January 1, 1978. See section 108 of the Transitional and Supplementary Provisions of the current Act. For works which were registered as unpublished before January 1, 1978, and first published after that date, the copyright notice should contain the year date in which copyright was secured by registration in unpublished form. See also Chapter 900: PUBLICATION.
- 1010.01      Earlier date. Generally, the use in the notice of a year date that is earlier than the year in which publication first occurred does not affect the validity of the copyright. See 17 U.S.C. 406(b). However, the use of an earlier date does affect the duration of copyright for anonymous works, pseudonymous works, and works made for hire, whose copyright term is computed under 17 U.S.C. 302(c). In such cases, the term is computed from the year date appearing in the notice rather than from the actual year of first publication. See section 1006.03 of this chapter for the Copyright Office practice regarding an earlier year date in the notice.
- 1010.02      Later date. The use in the notice of a year date that is later than the year in which publication first occurred does not result in the immediate loss of copyright. See 17 U.S.C. 406(b). However, where the year date is more than one year later than the year in which publication first occurred, the work is considered to have been published without any notice. See 17 U.S.C. 405; see also section 1006.04 of this chapter for the Copyright Office practice regarding a later year date in the notice.

- 1011            Omission of name or date. When copies or phonorecords publicly distributed by authority of the copyright owner contain no name or no date (when required) that could reasonably be considered a part of the notice, the work is considered to have been published without any notice of copyright and is governed by 17 U.S.C. 405. See sections 1004.01 and 1008 of this chapter.
- 1011.01        Separated name. When copies or phonorecords contain a name, abbreviation by which the name can be recognized, or a generally known alternative designation of the copyright owner, that is separated from the other elements of the notice, but that could reasonably be considered part of the notice, the notice is acceptable. Where the copies or phonorecords contain two or more names abbreviations, or alternative designations that are equally identifiable with the rest of the notice, the notice is sufficient if any of the names, abbreviations, or alternative designations is capable of identifying any person or entity as an owner of copyright. If none of the names, abbreviations, or alternative designations is identifiable with the rest of the notice, the same action is taken as where there is an omission of the copyright notice. 17 U.S.C. 406(c). See section 1008 of this chapter.
- 1011.02        Separated date. See section 1006.05 of this chapter.
- 1011.03        Identity by reference. A notice that identifies the copyright owner by reference, such as, for example, "Copyright by author," or "Copyright by the publisher," is considered acceptable by the Copyright Office, if the copies or phonorecords contain a name, abbreviation, or a generally known designation which is identified by the reference as the author, publisher, or other referenced person or legal entity. If no such name, abbreviation, or generally known designation can be identified on the copies or phonorecords, the same action is taken as where there is an omission of the copyright notice. 17 U.S.C. 406(c) and 405. See section 1008 of this chapter.

- 1012 Publication incorporating United States Government works. Whenever a work is published in copies or phonorecords consisting preponderantly of one or more works of the United States Government, the notice of copyright shall also include a statement identifying, either affirmatively or negatively, those portions of the copies or phonorecords embodying any work or works protected under title 17, United States Code. See 17 U.S.C. 403. The absence of the required statement is treated as an omission of notice. See 17 U.S.C. 405 and section 1008 of this chapter.
- 1013 Affixation and position of the copyright notice. The law states that the notice shall be affixed on publicly distributed copies and phonorecords in such manner and location as to give reasonable notice of the claim to copyright. 17 U.S.C. 401(c) and 402(c). The law directs the Register of Copyrights to prescribe by regulation, as examples, specific methods of affixation and positions of the notice on various types of works that will satisfy this requirement as to copies. These specifications are not to be considered exhaustive. In all cases, the acceptability of a notice depends upon its being permanently legible to an ordinary user of the work, and affixed to the copies in such manner and position that it is not concealed from view upon reasonable examination.
- 1013.01 Copies. Where, in a particular case, a notice appears in a place on the work other than one of the precise locations prescribed by regulation for copies, but the Copyright Office considers that a person looking in one of those precise locations would be reasonably certain to find the notice, that notice will be acceptable.
- 1013.02 Phonorecords. For phonorecords of sound recordings, the law states that the notice must be placed on the surface of the phonorecord, or on the phonorecord label or container, in such manner and location as to give reasonable notice of the claim to copyright. See 17 U.S.C. 402(c).

1013 Affixation and position of the copyright notice.  
(cont'd)

1013.03 Notice not properly affixed. A notice not affixed to copies or phonorecords in such manner and location as to give reasonable notice of the claim to copyright is treated as an omission of notice. 17 U.S.C. 405. See section 1008 of this chapter.

1013.04 Works published in book form. In the case of works published in book form, a notice reproduced on the copies in any of the following positions is acceptable.

- 1) The title page, if any;
- 2) The page immediately following the title page, if any;
- 3) Either side of the front cover, if any; or, if there is no front cover, either side of the front leaf of the copies;
- 4) Either side of the back cover, if any; or, if there is no back cover, either side of the back leaf of the copies;
- 5) The first page of the main body of the work;
- 6) The last page of the main body of the work;
- 7) Any page between the front page and the first page of the main body of the work, if: (i) there are no more than ten pages between the front page and the first page of the main body of the work; and (ii) the notice is reproduced prominently and is set apart from the other matter on the page where it appears;
- 8) Any page between the last page of the main body of the work and back page, if: (i) there are no more than ten pages between the last page of the main body of the work

- 1013 Affixation and position of the copyright notice  
(cont'd)
- 1013.04 Works published in book form. (cont'd)
- 8) (cont'd)
- and the back page; and (ii) the notice is reproduced prominently and is set apart from the other matter on the page where it appears.
- As used in connection with the position of the notice, the term "leaf" means a sheet of paper or the like, which may exist as a separate item or as a part of a book or similar publication. A "page" is a single side of a leaf.
- 1013.05 Periodicals or other serials. In the case of a work published as an issue of a periodical or other serial, in addition to any of the locations acceptable for works published in book form (see section 1013.04 of this chapter), a notice is acceptable if it is located 1) as part of, or adjacent to, the masthead, or on the page containing the masthead; or 2) adjacent to a prominent heading, appearing at or near the front of the issue, containing the title of the periodical or other serial and any combination of the volume and issue number and date of the issue.
- 1013.06 Musical works. In the case of a musical work published in visually perceptible copies, in addition to any of the locations acceptable for works published in book form or as a periodical or other serial (see sections 1013.04 and 1013.05 of this chapter), a notice is acceptable if it is located on the first page of music.
- 1013.07 Single-leaf works. In the case of single-leaf works, a notice reproduced on the copies anywhere on the front or back of the leaf is acceptable.

1013 Affixation and position of the copyright notice.  
(cont'd)

1013.08 Contributions to collective works. For a separate contribution to a collective work to be considered to "bear its own notice of copyright," as provided by 17 U.S.C. 404, a notice reproduced on the copies in any of the following positions is acceptable:

- 1) Where the separate contribution is reproduced on a single page, a notice is acceptable if it appears: i) under the title of the contribution on that page; ii) adjacent to the contribution; or iii) on the same page, if through format, wording, or both, the application of the notice to the particular contribution is made clear;
- 2) Where the separate contribution is reproduced on more than one page of the collective work, a notice is acceptable if it appears: i) under a title appearing at or near the beginning of the contribution; ii) on the first page of the main body of the contribution; iii) immediately following the end of the contribution; or iv) on any of the pages where the contribution appears, if: i) the contribution is reproduced on no more than 20 pages of the collective work; ii) the notice is reproduced prominently and is set apart from other matter on the page where it appears; and iii) through format, wording, or both, the application of the notice to the particular contribution is made clear.

1013.08(a) Musical work. Where the separate contribution is a musical work, in addition to any of the locations listed above in paragraphs 1 and 2, a notice is acceptable if it is located on the first page of music of the contribution.

- 1013            Affixation and position of the copyright notice.  
(cont'd)
- 1013.08            Contributions to collective works. (cont'd)
- 1013.08(b)            Alternative position. As an alternative to placing the notice on one of the pages where a separate contribution itself appears, the contribution is considered to "bear its own notice" if the notice appears clearly in juxtaposition with a separate listing of the contribution by full title and author, and is located either: i) on the page bearing the copyright notice for the collective work as a whole, if any; or ii) in a clearly identified and readily accessible table of contents or listing of acknowledgments appearing near the front or back of the collective work as a whole.
- 1013.09            Works reproduced in machine-readable copies.  
For works reproduced in machine-readable copies, such as magnetic tapes or disks, punched cards, or the like, from which the work cannot ordinarily be visually perceived except with the aid of a machine or device, each of the following constitute examples of acceptable methods of affixation and position of the notice:
- 1) A notice embodied in the copies in machine-readable form in such manner that on visually perceptible printouts it appears either with or near the title, or at the end of the work;
  - 2) A notice that is displayed at the user's terminal at sign-on;
  - 3) A notice that is continuously on terminal display; or
  - 4) A legible notice reproduced durably, so as to withstand normal use, on a gummed or other label securely affixed to the copies or to a box, reel, cartridge, cassette, or other container used as a permanent receptacle for the copies.



1013 Affixation and position of the copyright notice.  
(cont'd)

1013.09 Works reproduced in machine-readable copies.  
(cont'd)

Works published in a form requiring the use of a machine or device for purposes of optical enlargement, such as film, filmstrips, slide films, and works published in any variety of microform, and works published in any visually perceptible form but used in connection with optical scanning devices, are not within this category. See also section 1017 below.

1013.10 Motion pictures and other audiovisual works.  
The following constitute examples of acceptable methods of affixation and positions of the copyright notice on motion pictures and other audiovisual works:

- 1) A notice that is embodied in the copies by a photomechanical or electronic process, in such a position that it ordinarily would appear whenever the work is performed in its entirety, and that is located: (i) with or near the title; (ii) with the cast, credits, and similar information; (iii) at or immediately following the beginning of the work; or (iv) at or immediately preceding the end of the work.
- 2) In the case of an untitled motion picture or other audiovisual work whose duration is sixty seconds or less, in addition to any of the locations listed in paragraph (1) above, a notice that is embodied in the copies by a photomechanical or electronic process, in such a position that it ordinarily would appear to the projectionist or broadcaster when preparing the work for performance is acceptable if it is located on the leader of the film or tape immediately preceding the beginning of the work.

1013 Affixation and position of the copyright notice.  
(cont'd)

1013.10 Motion pictures and other audiovisual works.  
(cont'd)

- 3) In the case of a motion picture or other audiovisual work that is distributed to the public for private use, the notice may be affixed, in addition to the locations specified in paragraph (1) above, on the housing or container, if it is a permanent receptacle for the work.

See 37 C.F.R. 201.20(h).

1013.11 Pictorial, graphic, and sculptural works. The following constitute examples of acceptable methods of affixation and positions of the copyright notice on various forms of pictorial, graphic, and sculptural works:

- 1) Where a work is reproduced in two-dimensional copies, a notice affixed directly or by means of a label cemented, sewn, or otherwise attached durably, so as to withstand normal use, on the front or back of the copies, or to any backing, mounting, matting, framing, or other material to which the copies are durably attached, so as to withstand normal use, or in which they are permanently housed, is acceptable.
- 2) Where a work is reproduced in three-dimensional copies, a notice affixed directly or by means of a label cemented, sewn, or otherwise attached durably, so as to withstand normal use, to any visible portion of the work, or to any base, mounting, framing, or other material on which the copies are durably attached, so as to withstand normal use, or in which they are permanently housed, is acceptable.

1013 Affixation and position of the copyright notice.  
(cont'd)

1013.11 Pictorial, graphic, and sculptural works.  
(cont'd)

- 3) Where, because of the size or physical characteristics of the material in which the work is reproduced in copies, it is impossible or extremely impractical to affix a notice to the copies directly or by means of a durable label, a notice is acceptable if it appears on a tag that is of durable material, so as to withstand normal use, and that is attached to the copy with sufficient durability that it will remain with the copy while it is passing through its normal channels of commerce.
- 4) Where a work is reproduced in copies consisting of sheet-like or strip material bearing multiple or continuous reproductions of the work, the notice may be applied: (i) to the reproduction itself; (ii) to the margin, selvage, or reverse side of the material at frequent and regular intervals; or (iii) if the material contains neither a selvage nor a reverse side, to tags or labels, attached to the copies and to any spools, reels, or containers housing them in such a way that a notice is visible while the copies are passing through their normal channels of commerce.

See 37 C.F.R. 201.20(i)(1-4).

1013.12 Separable parts published in permanent container.  
If the work is permanently housed in a container such as a game or puzzle box, a notice reproduced on the permanent container is acceptable.

37 C.F.R. 201.20(i)(5).

- 1013 Affixation and position of the copyright notice.  
(cont'd)
- 1013.13 Dust jackets on books. A notice of copyright on the dust jacket of a book is not acceptable as notice for the book, since the dust jacket is not permanently attached to the book. Also, a notice of copyright appearing in a book, even though referring to a dust jacket or material appearing on a dust jacket, is not acceptable as notice for the dust jacket or any material appearing on that dust jacket. These cases will be treated as omissions of notice. See 17 U.S.C. 405, and section 1008 of this chapter.
- 1013.14 Sound recordings. In general, in the case of sound recordings the notice should be placed on the surface of the phonorecord, or on the phonorecord label or container. 17 U.S.C. 402(c). As a rule, a notice anywhere on the surface of the phonorecord, the label, or a container will be acceptable. A container includes the jacket housing a disk or the box housing a reel-to-reel tape, a cartridge, or a cassette, but does not include an outer mailing or packaging box, envelope, or other wrapper intended for disposal once the phonorecord is put into use.
- 1013.15 Multi-part works. One notice per unit of publication is adequate for both copies or phonorecords, provided that a proper notice is used and that it is affixed in a manner and location that gives reasonable notice of the claim to copyright in the entire unit of publication. For example: for a phonorecord a notice on the first disk of a 12-disk collection is acceptable, but a notice only on the middle disk of a 12-disk collection is not acceptable; for music a notice properly positioned on the score of a unit consisting of a score and parts is acceptable for the entire unit, but a notice only on one or more of the parts is not acceptable for the unit; for a multimedia kit, a notice on the permanent container or box in which it is housed is acceptable.

- 1014 Handwritten, typewritten, or rubber-stamped copyright notice on published copies or phonorecords. Where such notice appears on deposited copies or phonorecords, the Copyright Office will not question the notice, if registration is sought within five years of first publication. However, where registration of a claim to copyright is sought more than five years after the date of first publication, the Copyright Office will correspond to determine whether such notice appeared on the copies or phonorecords as published earlier.
- 1015 Legibility of copyright notice. A blurred notice will be acceptable if it is legible. But a notice so badly blurred as to be illegible will be treated as an omission of notice. See 17 U.S.C. 405 and section 1008 of this chapter.
- 1016 Microscopic copyright notice. In general, a notice so small that it cannot be read without a magnifying glass is considered unacceptable, and the claim will be treated as if publication of the work had occurred without notice. See 17 U.S.C. 405 and section 1008 of this chapter. Where, however, the work itself requires magnification for its ordinary use, e.g., a microfilm, microcard, or motion picture film, a notice that is readable when so magnified is acceptable.
- 1017 Concealed copyright notice. A notice which is permanently covered up so that it cannot be seen without tearing the work apart is considered unacceptable, and the claim will be treated as if publication of the work had occurred without notice. See 17 U.S.C. 405 and section 1008 of this chapter.

Examples:

- 1) A notice which the Copyright Office is told is on the margin or back of a painting but which is concealed under a permanent frame or mat.
- 2) A notice which the Copyright Office is told is on the bottom of a figurine cemented on a base that conceals the notice.

1017 Concealed copyright notice. (cont'd)

Examples: (cont'd)

- 3) A notice on a print used for a calendar, with the calendar pad securely pasted down over the notice.

NOTE: The acceptability of a notice depends upon its being permanently legible to an ordinary user of the work under normal conditions of use, and affixed to the copies in such manner and position that, when affixed, it is not concealed from view upon reasonable examination.

1017.01 Notice visible upon ordinary use. A notice which, though not visible on casual inspection of the work, becomes visible upon ordinary use of the work is acceptable.

Examples:

- 1) A revolving set of disks on which the notice (as well as some or all of the copyright matter) is concealed when the disks are in starting position, but is revealed upon their manipulation as directed.
- 2) A print used for a calendar, with a calendar pad suspended over the notice which is seen when the pad is lifted.

1018 Copyright notice: reverses. Where the deposited work, such as a mold or decal, is the reverse of the product that is intended to result from its use, the notice is acceptable even though printed in reverse.

1019 Notice of renewal copyright. The copyright law does not provide for a special or additional copyright notice for published works that are in their renewal term. Thus, the continued use of the original form of notice on the publicly distributed copies of published works in their renewal term is considered sufficient to maintain the validity of

1019 Notice of renewal copyright. (cont'd)

the copyright in such works. However, a notice which also refers to the fact of renewal may be used. Such a notice might read as follows:

Copyright 1953 by John Doe  
Copyright renewed by Mrs. Mary Doe

1020 Notices extraneous to the claim being registered.  
The Copyright Office will generally disregard and refrain from commenting upon copyright notices having no relationship to the claim for which registration is being made.

[END OF CHAPTER 1000]

[1984]





Chapter 1100

ELIGIBILITY

Outline of Topics

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  - 1101.01           Sound recordings.
- 1102           Definitions.
  - 1102.01           Author.
  - 1102.02           Domicile.
  - 1102.03           First publication.
  - 1102.04           National.
  - 1102.05           Producer of phonograms.
  - 1102.06           Sovereign authority of a foreign nation.
  - 1102.07           Stateless.
  - 1102.08           United States.
  - 1102.09           Universal Copyright Convention.
- 1103           Statutory provisions.
  - 1103.01           Unpublished works.
  - 1103.02           Published works.
  - 1103.03           Copyright law extended to certain territories.
- 1104           Multilateral copyright treaties to which the United States is a party.
  - 1104.01           Mexico City Convention of 1902.
  - 1104.02           Buenos Aires Convention of 1910.
  - 1104.03           Universal Copyright Convention.
  - 1104.04           Phonogram Convention.
- 1105           Presidential proclamations.
  - 1105.01           Proclamations issued under the current Act.
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  - 1105.03           Coverage of earlier proclamations.
- 1106           Existence of copyright relations unclear.
- 1107           Copyright Office policy.

- 1108            Authors: particular situations.
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  - 1108.03        Work made for hire.
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                 similar organizations.
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  - 1108.06        Stateless.
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- 1109            Time when eligibility is determined.
- 1109.01        Registered as unpublished: ineligible when  
                 published.
  - 1109.02        Change in nationality or domicile after publi-  
                 cation.
  - 1109.03        Works distributed only in the form of phono-  
                 records before 1978.
- 1110            Acceptable statements of nationality, domicile,  
                 and nation of first publication.
- 1111            Some general examples illustrating basic principles.

## Chapter 1100

### ELIGIBILITY

- 1101            Applicability of this chapter. This chapter concerns the registrability of works under the provisions of the copyright law relating to national origin. This chapter is applicable to unpublished works, whenever created, and to works published on or after January 1, 1978. Compendium I should be consulted for an explanation of practices concerning eligibility for works, other than sound recordings, published before January 1, 1978.
- 1101.01        Sound recordings. In general, this chapter applies to sound recordings as well as to other works. However, sound recordings whose eligibility for U.S. copyright protection depends solely upon the provisions of the Universal Copyright Convention (UCC) are not registrable. Regarding the UCC, see sections 1102.09 and 1104.03 below.
- 1102            Definitions. The following are definitions of terms used in this chapter.
- 1102.01        Author. The "author" is the person who prepared the material covered by the copyright claim except that in the case of a work made for hire, the employer or other person for whom the work was prepared, is considered to be the author. Thus, where a work is made for hire, it is the nationality or domicile of the employer or other person for whom the work was prepared, rather than the nationality or domicile of the employee, which may serve as a basis for determining eligibility for registration.
- 1102.02        Domicile. "Domicile" is the place where a person has a fixed and permanent residence with an intention to continue that residence for an unlimited time and to which such person, whenever absent, has the intention of returning. Mere residence is not the equivalent of "domicile," and therefore cannot serve as a basis for determining eligibility.

1102

Definitions. (cont'd)

1102.03

First publication. The date of "first publication" is the earliest date on which, by authority of the copyright owner, (a) copies or phonorecords of a work are distributed to the public by sale or other transfer of ownership, or by rental, lease, or lending, or (b) an offer is made to distribute copies or phonorecords to a group of persons for further distribution, public performance, or public display. If a work is first published on the same date in more than one country, ordinarily the application for registration may give the name of any such country as the nation of first publication of the work. However, if one of the countries is the United States, the application should give "United States" as the nation of first publication. The Copyright Office will generally not question a statement in an application giving, as the nation of first publication, a country which is one of those where first publication provides a basis for eligibility, even though the Office is informed that the work was also first published on the same date in one or more other countries where first publication would not offer a basis for eligibility.

1102.04

National. In general, the term "national" means (a) a citizen of a nation, or (b) a person who, although not a citizen, nevertheless owes permanent allegiance to a nation. Citizens of the United States are those persons who are citizens in accordance with the U.S. Constitution or Federal statutes, including persons born in Guam, the U.S. Virgin Islands, and Puerto Rico; certain persons are by Federal statute nationals but not citizens of the United States, including persons born in the outlying possessions of the United States; in addition, all U.S. citizens are also nationals of the United States. See 8 U.S.C. 1101.

1102            Definitions. (cont'd)

- 1102.05<sup>4</sup>            Producer of phonograms. The "producer of a phonogram" is the person who, or the legal entity which, first fixes the sounds of a performance or other sounds. Article 1(b), Convention for the Protection of Producers of Phonograms Against Unauthorized Duplication of Their Phonograms, 25 U.S.T. 309, 325, T.I.A.S. No. 7808 (Done at Geneva Oct. 29, 1971; entered into force in the United States Mar. 10, 1974).
- 1102.06            Sovereign authority of a foreign nation. A "sovereign authority of a foreign nation" is a governmental agency or subdivision of a foreign nation, e.g., a ministry of the government of Norway, or a province of Canada.
- 1102.07            Stateless. A stateless person is a person who has no nationality, either as the result of never having acquired nationality in any nation, or as the result of having effectively renounced or having been deprived of his or her former nationality without having, as yet, become a national of any nation.
- 1102.08            United States. The "United States," when used in a geographical sense, comprises the several States, the District of Columbia and the Commonwealth of Puerto Rico, and the organized territories under the jurisdiction of the United States Government. 17 U.S.C. 101.
- 1102.08(a)            Organized territories. The "organized territories under the jurisdiction of the United States Government" are those for which the Congress has provided organic acts which serve the same purpose as do the constitutions of the States. The organized territories include Guam and the U.S. Virgin Islands.

1102            Definitions. (cont'd)1102.08            United States. (cont'd)

1102.08(b)            Other territorial areas. Other territorial areas under the jurisdiction of the U.S. Government include: (a) the unorganized territories such as American Samoa, (b) trust territories such as the Trust Territory of the Pacific Islands, and (c) other possessions such as numerous small islands. Since the status of a number of the territorial areas which at present are not among the organized territories is in the process of being changed (such as the status of the Northern Mariana Islands), consultation with other U.S. Government agencies or further study by the Copyright Office may be necessary when registration of a work depends upon the status of such an area.

1102.09            Universal Copyright Convention. The Universal Copyright Convention (UCC) is a multilateral treaty on copyright to which the United States and a considerable number of other nations have adhered. The original version of the Convention, done at Geneva, entered into force September 16, 1955. The revised version, done at Paris, entered into force July 10, 1974. Since the United States is a party to both versions, adherence by a foreign nation to either version may serve as the basis of eligibility for protection under the provisions of the U.S. copyright law relating to national origin. See also section 1104.03 below. Concerning sound recordings, see section 1101.01 above.

1103            Statutory provisions. The following are the statutory provisions which establish eligibility. If a work is eligible under any of these provisions, the fact that it fails to meet any or all of the others will not prevent registration.

- 1103            Statutory provisions. (cont'd)
- 1103.01        Unpublished works. The work of any author, while unpublished, is eligible for registration as an unpublished work without regard to such author's nationality or domicile. See 17 U.S.C. 104(a).
- 1103.02        Published works. The work of any author published on or after January 1, 1978, is eligible for registration as a published work only if it meets at least one of the following conditions.
- 1103.02(a)     U.S. national or domiciliary. On the date of first publication, one or more of the authors is a national or domiciliary of the United States. 17 U.S.C. 104(b)(1).
- 1103.02(b)     Foreign national or domiciliary. On the date of first publication, one or more authors is a national, domiciliary, or sovereign authority of a foreign nation which is a party to a copyright treaty to which the United States is also a party. 17 U.S.C. 104(b)(1). See section 1104 below.
- 1103.02(c)     Stateless person. On the date of first publication, one or more of the authors is a stateless person, wherever that person may be domiciled. 17 U.S.C. 104(b)(1).
- 1103.02(d)     First publication in the United States. The work is first published in the United States. 17 U.S.C. 101 and 104(b)(2).
- 1103.02(e)     First publication in a UCC country. The work is first published in a foreign nation that, on the date of first publication, is a party to either the Geneva or Paris text of the Universal Copyright Convention (UCC). 17 U.S.C. 104(2). See section 1104.03 below.

- 1103            Statutory provisions. (cont'd)
- 1103.02            Published works. (cont'd)
- 1103.02(f)            United Nations or the Organization of American States. The work is first published by the United Nations or any of its specialized agencies, or by the Organization of American States. 17 U.S.C. 104(b)(3). NOTE: There is no requirement, as a basis for eligibility, that one of these organizations be the author, copyright claimant, or copyright owner, but only that the work be first published by one such organization.
- 1103.02(g)            Presidential proclamation. The work comes within the scope of a Presidential proclamation. 17 U.S.C. 104(b)(4). See section 1105 below.
- 1103.03            Copyright law extended to certain territories. The U.S. copyright law has been extended by specific statutory enactments to Guam, 48 U.S.C. 1421n; the U.S. Virgin Islands, 48 U.S.C. 1405q; and the Northern Mariana Islands, 48 U.S.C. 1681, together with the Act of Mar. 24, 1976, Pub. L. 94-241, 90 Stat. 263, and Presidential Proclamation No. 4534, 42 Fed. Reg. 56593 (1977).
- 1104            Multilateral copyright treaties to which the United States is a party. The following are multilateral copyright treaties to which the United States is a party.
- 1104.01            Mexico City Convention of 1902. This treaty was superseded by the Buenos Aires Convention of 1910 with regard to all members except El Salvador. The copyright law extends eligibility to works by nationals or domiciliaries of El Salvador through this treaty. NOTE: In addition to being a party to the Mexico City Convention, effective June 30, 1908, El Salvador



- 1104            Multilateral copyright treaties to which the United States is a party. (cont'd)
- 1104.01            Mexico City Convention of 1902. (cont'd)
- also became a party to both the Geneva and the Paris texts of the Universal Copyright Convention, effective March 29, 1979, and to the Phonogram Convention, effective February 9, 1979. See sections 1104.03 and 1104.04 of this chapter.
- 1104.02            Buenos Aires Convention of 1910. The copyright law extends eligibility to works by nationals or domiciliaries of nations which are parties to this treaty. Such works must satisfy all of the legal and formal requirements of title 17, U.S.C.
- 1104.03            Universal Copyright Convention. The copyright law extends eligibility to works by nationals or domiciliaries of nations that are parties to this Convention, and to works first published in such nations. Member nations may be parties to the Geneva text only, or to both the Geneva and Paris texts. See section 1102.09 above. Concerning sound recording, see section 1101.01 above.
- 1104.04            Phonogram Convention. The Convention for the Protection of Producers of Phonograms Against Unauthorized Duplication of their Phonograms provides, in Article 2 thereof, that each "Contracting State shall protect producers of phonograms who are nationals of other Contracting States . . . ." 25 U.S.T. 309, 325; T.I.A.S. No. 7808. Where the producer who is an author of a sound recording is a national of a nation that is a member of this Convention, the copyright law extends eligibility to that work. See also section 1102.05 above.

1105

Presidential proclamations. Presidential proclamations are governed by the following provisions:

1105.01

Proclamations issued under the current Act. The President of the United States may by proclamation extend U.S. copyright protection to works of which one or more of the authors is, on the date of first publication, a national, domiciliary, or sovereign authority of a foreign nation as to which such proclamation has been issued, or to works which were first published in such a nation. See 17 U.S.C. 104(b)(4); see also section 104, Transitional and Supplementary Provisions of the current Act.

1105.02

Continuance of earlier proclamations. The current law provides that all proclamations issued by the President under section 1(e) or 9(b) of title 17 as it existed on December 31, 1977, or under previous copyright statutes of the United States, shall continue in force until terminated, suspended, or revised by the President. See section 104, Transitional and Supplementary Provisions of the current Act.

1105.03

Coverage of earlier proclamation. Presidential proclamations issued before January 1, 1978, extend eligibility only to the works of authors who were a "citizen or subject" of a proclaimed nation. Such proclamations confer no eligibility on the basis of domicile or publication in a proclaimed nation. See 17 U.S.C. 1(e) and 9(b), as it existed on December 31, 1977; see also section 13 of the Act of March 3, 1891, 26 Stat. 1106.

1106

Existence of copyright relations unclear. In some instances the status of copyright relations between the United States and a particular nation is unclear. Registration will be refused in any case where eligibility depends upon the existence of copyright relations with that nation. See also section 1109 below.

1107

Copyright Office policy. In general, the nationality, domicile, or nation of first publication given by the applicant will be accepted at face value unless it is clearly inconsistent with facts stated by the applicant or with information of which the Copyright Office has knowledge. The Copyright Office generally does not attempt to settle questions of nationality or domicile.

Examples:

- 1) An application stating that the author is a U.S. national will be questioned where the accompanying letter indicates that he or she has applied for citizenship, but has not yet been naturalized.
- 2) An application stating that a currently prominent European statesman is domiciled in the United States will be questioned.

1108

Authors: particular situations. For published works, the nationality or domicile of the author may determine eligibility for registration. Special situations include the following:

1108.01

More than one author. The "author" whose nationality or domicile is determinative in a particular case may be the author who prepared only a portion of the material covered by the copyright claim, and this may suffice to extend eligibility to all the material covered by the claim regardless of the nationality or domicile of the other authors.

1108.02

More than one nationality. If the author of the work covered by the copyright claim has more than one nationality and if any such nationality confers eligibility, registration can be made.

1108.03

Work made for hire. In the case of a work made for hire, it is the nationality or domicile of the employer or other person for whom the work was prepared, rather than the nationality or domicile of the employee, which may serve as a basis for determining eligibility for registration. See section 1102.01 above.

1108 Authors: particular situations. (cont'd)

1108.04 Nationality and domicile of corporations and similar organizations. In the case of a work made for hire, where the employer or other person for whom the work was prepared is not a natural person but is an artificial person or legal entity, such as a corporation or similar organization, the nationality and domicile of such an organization, for copyright registration purposes, is usually considered to be that of the nation under the laws of which it was created. Thus, the nationality and domicile of a corporation should generally be stated as the United States, if it was incorporated under the law of one of the several States, under Federal law, or under the law of the District of Columbia, the Commonwealth of Puerto Rico, or those organized territories under the jurisdiction of the United States which have the power to create corporations.

1108.04(a) Members. A corporation or similar organization is ordinarily considered by law to be separate and distinct from the persons who are its members or shareholders, so that the nationality or domicile of such organization may be different from that of such members or shareholders.

1108.04(b) Doing business. A corporation may do business in a particular nation without being a national or domiciliary of that nation.

1108.05 Compilations and derivative works. The nationality or domicile of the author of the compilation or derivative work rather than the nationality or domicile of the author(s) of the preexisting material used in the work determines eligibility for registration.

- 1108            Authors: particular situations. (cont'd)
- 1108.06        Stateless. A work of a stateless author is eligible regardless of the author's former or prospective nationality or domicile, and regardless of the place of first publication of the work. See section 1102.07 above.
- 1108.07        United States. A work of a U.S. national is eligible regardless of his or her domicile or the place of first publication. Where an author of a work is domiciled in the United States or the work is first published in the United States, it is eligible for registration regardless of the author's nationality. See sections 1102.03, 1102.04, and 1102.08 above.
- 1108.08        Territorial areas of the United States. Domicile or first publication in any of the territorial areas under the jurisdiction of the U.S. Government, other than the several States, the District of Columbia and the Commonwealth of Puerto Rico, and the organized territories, does not confer eligibility for registration; such areas include the unorganized territories, the trust territories, and other possessions of the United States. See section 1102.08 above. However, works by domiciliaries of, or first published in, these areas may be eligible on the basis of the nationality of the author; and since U.S. nationals include persons born in the outlying possessions of the United States, eligibility in such cases may be conferred on this basis. See section 1102.04 above.
- 1108.09        Anonymous and pseudonymous works. Where eligibility depends on the nationality or domicile of the author, that information must still be given on the application for registration even though the work is anonymous or pseudonymous. However, the identity of the author does not have to be stated in such cases.

1108 Authors: particular situations. (cont'd)

1108.10 First publication after death of author. Where a work is first published after the author's death, the Copyright Office will make registration if, at the time of death, the author's nationality or domicile would have conferred eligibility. In no case where a work is first published after the author's death can the nationality or domicile of the copyright claimant serve as the basis for eligibility.

1109 Time when eligibility is determined. Where eligibility must be based on the nationality or domicile of the author, it is the author's nationality or domicile and the status of the author's country on the date of first publication that are determinative. See section 1108.08, above, for an exception in the case of works first published after the death of the author.

1109.01 Registered as unpublished: ineligible when published. Even though a work may have been registered as unpublished, it must be eligible at the time of first publication to be registrable as a published work.

Example:

The author is a national and domiciliary of Iraq, a nation with which the United States has no copyright relations. The work is registered in unpublished form. If that work is later published in a non-UCC country, and the author's citizenship and domicile remain unchanged, registration of the claim in the published version should be refused.

1109.02 Change in nationality or domicile after publication. If a work was eligible for registration at the time of first publication on the basis of the author's nationality or domicile, changes in nationality or domicile occurring after that time are not determinative for this purpose.

1109 Time when eligibility is determined. (cont'd)

1109.03 Works distributed only in the form of phonorecords before 1978. Where musical, dramatic or literary works were publicly distributed before January 1, 1978, only in the form of phonorecords, registration cannot be made for these works as published works. However, if distribution of the phonorecords continued on January 1, 1978, registration for the underlying works can be made under the current law as published works. In such cases the date of first publication is considered to be January 1, 1978, and it is the nationality or domicile of the author on that date which determines eligibility. Eligibility may also be conferred by the nation of publication on that date.

1110 Acceptable statements of nationality, domicile, and nation of first publication. Generally, the application for registration should designate the name of the nation of which the author is a national, domiciliary, and in the case of a published work the name of the nation of first publication of the work. An application listing a territory or other political subdivision, rather than the name of the nation itself, is generally not acceptable as a basis for determining registrability. However, where it is obvious, from the statement given, what the name of the nation is, the application will be accepted without correspondence.

## Examples of acceptable statements:

England	Swiss
Great Britain	French
Wales	

## Examples of unacceptable statements:

British Protected Person  
Commonwealth Citizen

1111

Some general examples illustrating basic principles. The following general examples reflect some of the principles of eligibility.

- 1) A magazine article by an author who is a national and domiciliary of a nation with which the United States does not have copyright relations either bilaterally or through an international convention, first published in the United States or in a foreign nation which is on that date a party to the Universal Copyright Convention, is eligible for registration by virtue of the place of first publication. See sections 1102.09, 1103.02(d), and 1109 above.
- 2) A book by an author who, on the date of first publication, is a national of a nation with which the United States has copyright relations, but is domiciled in a nation that has no copyright relations with the United States is eligible for registration by virtue of the author's nationality, even if the book is first published in a nation that does not have copyright relations with the United States. See sections 1102.04, 1103.02, and 1104.
- 3) A musical composition by an author who is a national of a nation with which the United States has no copyright relations, but is domiciled in a foreign nation which, on the date of first publication, has copyright relations with the United States by virtue of the Universal Copyright Convention or the Buenos Aires Convention of 1910, is eligible for registration no matter where the work is first published. See sections 1103.02(b) and 1104.03.
- 4) A musical composition is jointly authored by a lyricist who is a national and domiciliary of a nation with which the United States has no copyright relations and a composer who is domiciled in a nation



1111

Some general examples illustrating basic principles. (cont'd)

4) (cont'd)

that, on the date of first publication, is a member of the Universal Copyright Convention or the Buenos Aires Convention of 1910. By virtue of the domicile of the composer, the work is eligible for a registration extending to all the material covered by the claim, regardless of place of first publication. See sections 1103.02(b), 1104.03, and 1108.01.

[END OF CHAPTER 1100]

[1984]



Chapter 1200

MANUFACTURING PROVISIONS

Outline of Topics

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    1201.02        Works published after December 31, 1977.  
    1201.03        Extension of ad interim copyright to full term.  
    1201.04        Registration of U.S. edition optional in certain cases.  
    1201.05        Manufacture of U.S. edition not required in certain cases.  
    1201.06        Ad interim registration made but no U.S. edition.  
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- 1202            Basic requirements under current Act.
- 1202.01        Two-thousand copy limit.
- 1203            Works covered by the manufacturing requirements.
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- 1205            Meaning of the word "preponderantly."
- 1205.01        Literary material of secondary importance.  
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- 1206            Meaning of the word "substantial."
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- 1210            Manufacturing processes covered.
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- 1212            Entry under an Import Statement.
  - 1212.01            Basic registration required.
  - 1212.02            Import Statement may be issued for published  
                         or unpublished work.
  - 1212.03            Import Statement not required.
  
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  - 1214.03            Fee and contact.
  - 1214.04            Certification.
  - 1214.05            Registration number.
  
- 1215            New versions.

## Chapter 1200

### MANUFACTURING PROVISIONS

- 1201            Background information. The provisions of this chapter deal with the requirement, as a condition of full copyright protection, that certain works be manufactured in the United States or Canada.
- 1201.01        Works published before January 1, 1978. In the case of works published before January 1, 1978, and subject to the manufacturing clause of title 17, U.S.C., as it existed on December 31, 1977, compliance with that provision constitutes a condition of copyright in the United States. Works first published before January 1, 1978, in violation of such requirements are in the public domain in the United States and cannot be registered under the current Act. However, any work in which ad interim copyright under that law subsisted, or was capable of being secured, on December 31, 1977, is accorded copyright protection for the term or terms provided by section 304 of the current Act, and registration may be made under section 408 of that Act. Where applicable, and upon request, an Import Statement will be issued for such works, permitting importation of up to 2,000 copies. See section 107 of the Transitional and Supplementary Provisions of the current Act. For fuller explanation of the practices governing ad interim copyright as well as the general practices under the manufacturing clause of the Act of 1909, as amended, see Compendium I.
- 1201.02        Works published after December 31, 1977. In the case of works first published after December 31, 1977, the manufacturing requirements of section 601 of the current Act are applicable. Failure to comply with the manufacturing requirements may affect enjoyment of the exclusive rights of reproduction and distribution of copies, but such failure has no effect on any other exclusive rights.

1201 Background information. (cont'd)

1201.03 Extension of ad interim copyright to full term. The Act of 1909, as amended, provided for the extension of ad interim copyrights to full term if both of the following two conditions were met:

- 1) a U.S. edition was produced in compliance with the manufacturing requirements and published with the required statutory copyright notice in the United States within a five-year period computed from the date of first publication abroad, and
- 2) the claim in the U.S. edition was registered in the Copyright Office.

If registration of the U.S. edition was sought after expiration of the five-year period, the Copyright Office would register the claim under the rule of doubt, if that U.S. edition had been manufactured and published within the five-year ad interim term. See Compendium I, Chapter 8, topic 8.4.6.II.b.

1201.04 Registration of U.S. edition optional in certain cases. For works manufactured and first published outside the United States after December 31, 1972, where ad interim registration was made and a U.S. edition, substantially identical with that first published abroad, was manufactured and published with notice within the five-year term, a new registration is not required to extend the copyright to the full term. See section 107 of the Transitional and Supplementary Provisions of the current Act. If, however, the applicant desires to place on record the facts concerning the U.S. manufactured edition, the Copyright Office will not refuse registration.

1201.05 Manufacture of U.S. edition not required in certain cases. Manufacture of a U.S. edition is not required for works in which ad interim copyright was subsisting or was capable of

- 1201            Background information. (cont'd)
- 1201.05        Manufacture of U.S. edition not required in certain cases. (cont'd)
- being secured on December 31, 1977. See section 107, Transitional and Supplementary Provisions of the current Act. However, where a U.S. edition, substantially identical with that first published outside of the United States, was manufactured and published within the five-year term, the Copyright Office will not refuse registration.
- 1201.06        Ad interim registration made but no U.S. edition. With respect to works manufactured and first published abroad before December 31, 1972, for which ad interim registration was made but no U.S. edition was manufactured and published within the five-year ad interim term, no new registration is possible.
- 1201.07        No ad interim registration made. Any English-language book or periodical published before July 1, 1977, which was subject to the manufacturing requirements of the Act of 1909, as amended, for which ad interim registration was not made, cannot now be registered.
- 1202            Basic requirements under current Act. Copies of certain works consisting preponderantly of non-dramatic literary material in the English language must be manufactured in the United States or Canada in order to satisfy the manufacturing requirements of the current Act. See 17 U.S.C. 601.
- 1202.01        Two-thousand copy limit. If such a work has been manufactured outside the United States or Canada, importation into the United States is limited to no more than 2,000 such copies upon issuance of an Import Statement by the Copyright Office.

1203

Works covered by the manufacturing requirements.  
The manufacturing requirements apply to copies of certain nondramatic literary works in the English language. Literary works are works, other than audiovisual works, expressed in words, numbers, or other verbal or numerical symbols or indicia. See 17 U.S.C. 101. A nondramatic literary work is any literary work other than a drama. A drama is a work that tells a story by means of dialog or action and represents or gives directions for representing all or a substantial portion of a story as actually occurring rather than merely being narrated or described. See also section 431 of Chapter 400: WORKS OF THE PERFORMING ARTS AND SOUND RECORDINGS.

1204

Works not covered by the manufacturing requirements. Dramatic, musical, pictorial, and graphic works, as well as works in languages other than English and works in the public domain in the United States, are among the works not included within the manufacturing requirements. Such works may thus be imported in unlimited quantities.

Examples:

- 1) The acting version of a play, although in book form, is a dramatic work, and not subject to the manufacturing requirements.
- 2) A painting reproduced by lithographic, mezzotint, or other process, is not a nondramatic literary work, and is thus not subject to the manufacturing requirements of the current Act.

1205

Meaning of the word "preponderantly." The manufacturing requirements apply only to works which consist "preponderantly" of nondramatic literary materials in the English language. According to H.R. Report No. 94-1476, 94th Cong., 2d Sess. 167, a work consists "preponderantly" of nondramatic literary material, if such material exceeds the exempted material

[1984]



1205

Meaning of the word "preponderantly." (cont'd)

in "importance." If a work consists preponderantly of exempted material, e.g., pictures, photographs, plays, or music, the manufacturing requirements do not apply and copies may be imported in unlimited quantities. However, in Stonehill Communications, Inc. v. Martuge, 512 F. Supp. 349 (S.D.N.Y. 1981), the Court found the "importance" test and the instructions in the legislative history vague and difficult to apply. "In the absence of congressional or duly authorized guidelines," stated the Court, "the answer is an objective test -- in this instance, a 'mechanical' one." The Court held that in the absence of any other standards, "a book 'consists of preponderantly nondram[a]tic literary material . . . in the English language' when more than half of its surface area, exclusive of margins, consists of English-language text."

1205.01

Literary material of secondary importance. Where the literary material in a work consists merely of a foreword or preface, and captions, headings, or brief descriptions or explanations of pictorial, graphic, or other nonliterary material, the manufacturing requirements do not apply, and the Copyright Office will not issue an Import Statement.

1205.02

Literary material predominant. Where the pictorial, graphic, or other nonliterary material clearly forms less than one-half of a work in which nondramatic literary material predominates, the manufacturing requirements apply to the textual portion of the work, and an Import Statement will be issued on request.

1205.03

Pictorial and literary material approximately equal. If the pictorial material and non-dramatic literary material are approximately equal in importance or quantity, it is unclear whether the import restrictions apply, and an Import Statement will be issued on request.

1206

Meaning of the word "substantial." If, on the date importation is sought or public distribution in the United States is made, the author of any substantial part of such material is neither a national nor a domiciliary of the United States, the manufacturing requirements do not apply. 17 U.S.C. 601(b)(1). In this context, "substantial" has a meaning that suggests real worth and importance and would connote less than "preponderantly" (as used in section 601(a) of the current Act) but more than incidental or minimal.

Examples:

- 1) A two-page preface to a 100-page work presumably would not be considered to be a "substantial" portion of the work.
- 2) A 25-page portion of a 90-page article would be considered "substantial."

1207

Copies. The manufacturing requirements of the law extend only to copies of a work. "Copies" are material objects, other than phonorecords, in which a work is fixed by any method now known or later developed, and from which the work can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device. 17 U.S.C. 101. Thus, phonorecords are outside the scope of the manufacturing requirements of the Act.

1208

Manufacture in the United States. The United States, when used in a geographical sense, comprises the several States, the District of Columbia and the Commonwealth of Puerto Rico, and the organized territories under the jurisdiction of the United States Government. 17 U.S.C. 101. The organized territories include Guam and the U.S. Virgin Islands. Manufacture in a territorial area under the jurisdiction of the United States which is not considered an "organized territory" is not regarded as manufacture in the United States. See section 1102.08 of Chapter 1100: ELIGIBILITY.

1209

Situations where the manufacturing requirements are not applicable. The manufacturing requirements are not applicable in the following situations:

1209.01

Author not U.S. national or domiciliary. If, on the date when importation is sought or public distribution in the United States is made, the author of any substantial part of the nondramatic literary material in the English language is neither a national nor a domiciliary of the United States, the manufacturing provisions do not apply. Where a work was previously registered naming as author a person who was at that time neither a national nor a domiciliary of the United States, a request for an Import Statement for such work will not ordinarily be questioned, since the nationality or domicile of the author may have changed between the time registration was made and the time importation is sought.

1209.02

Author domiciled outside the United States for one year. If the author is a national of the United States but he or she has been domiciled outside the United States for a continuous period of at least one year immediately preceding the date when importation is sought or public distribution in the United States is made, the manufacturing requirements are not applicable.

Examples:

- 1) If the author of an English-language book is a U.S. citizen who has been domiciled in France for three years before requesting importation of a book manufactured in the Netherlands, unlimited importation is allowed.
- 2) If, with regard to the work mentioned in the above example, the importation of a reprint edition is later requested after the author has changed his domicile to the United States, an Import Statement would be required.

- 1209 Situations where the manufacturing requirements are not applicable. (cont'd)
- 1209.03 Employment for hire. If a substantial part of the nonexempt text of a work made for hire was prepared for an employer or other person who is not a national or domiciliary of the United States or a domestic corporation or enterprise, the manufacturing requirements do not apply.
- Example:
- If a U.S. citizen prepares an English-language book as an employee for hire of a French citizen or French corporation, unlimited importation would be allowed.
- 1209.04 Manufacture in Canada. If a copyrighted nondramatic literary work in the English language was printed or reprinted in Canada, copies could be imported into the United States in unlimited numbers on or after January 1, 1978, since Canadian manufacture satisfies the manufacturing requirements of the current Act.
- 1210 Manufacturing processes covered. Copies produced by one or more of the processes mentioned below are subject to the requirement of manufacture in the United States or Canada.
- 1210.01 Copies printed from type. If copies are printed directly from type that has been set, or directly from plates made from such type, the setting of the type and the making of the plates must be performed in the United States or Canada.
- 1210.02 Lithographic or photoengraving process. If the making of plates by a lithographic or photoengraving process is a final or intermediate step preceding the printing of the copies, the plates must be made in the United States or Canada. The law permits the making of reproduction proofs ("repro proofs") abroad, provided that the plates from which the copies are printed are made in the United States or Canada and are not themselves imported. Similarly, the importation of computer tapes from which plates can be prepared is permitted.

- 1210            Manufacturing processes covered. (cont'd)
- 1210.03        Printing and binding. If there is a final process of producing multiple copies and any binding of the copies, this must be performed in the United States or Canada.
- 1211            Manufacturing processes not covered. Photocopying is not considered a "printing process." Thus, if copies have been produced by photocopying, such reproduction is exempt from the manufacturing requirements. Copies produced in multiples by typewriter, by mimeograph, or by hand are also not covered by the manufacturing requirements. Copies reproduced in raised characters for the use of the blind are exempt from the manufacturing requirements. See 17 U.S.C. 601(b)(5).
- 1212            Entry under an Import Statement. In any case where issuance of an Import Statement is appropriate, importation of 2,000 copies is permitted, irrespective of the time the work may have been published, and irrespective of whether registration was made under the current Act or under the Act of 1909, as amended. Where the copyright owner of a work in which ad interim copyright was subsisting on December 31, 1977, has already imported the 1,500 copies allowed under the Act of 1909, a new Import Statement will be issued upon request, permitting importation of an additional 500 copies.
- Examples:
- 1) For a work by a U.S. author, published and registered in 1970 as ad interim, where no U.S. edition was manufactured within five years as required by the Act of 1909, as amended, no new Import Statement can be issued because ad interim copyright was not subsisting on December 31, 1977.
  - 2) For a work manufactured in the United States and registered in Class A in 1975 for which no Import Statement has been issued, an Import Statement could be issued on request, permitting importation of 2,000 copies, if the work were reprinted outside of the United States or Canada.

- 1212            Entry under an Import Statement.    (cont'd)
- 1212.01        Basic registration required.    There must be a basic registration in the Copyright Office for the work before an Import Statement will be issued. However, the application for registration of a claim to copyright may be submitted simultaneously with the Form IS, which is the form for requesting issuance of an Import Statement.
- 1212.02        Import Statement may be issued for published or unpublished work.    The Copyright Office will issue an Import Statement for an unpublished work on request. Where it appears that the work to be imported will be substantially different from the unpublished version in which a claim was or is being registered, the Copyright Office may point out that the Import Statement applies only to the particular work that is registered. See also section 1215 below.
- 1212.03        Import Statement not required.    If an Import Statement is requested, but is clearly not required (e.g., where the nontextual matter predominates, or the work is in a language other than English, or the work is in the public domain in the United States), the Copyright Office will not issue the Import Statement. 37 C.F.R. 201.8(a)(4). The Copyright Office will promptly so notify the requester since copies may be in transit or at a port of entry. However, in the case of a dispute between the U.S. Customs Service and the copyright owner concerning whether unlimited importation of copies is permissible under 17 U.S.C. 601, the Copyright Office will, in proper cases and upon request, issue the Import Statement. See 37 C.F.R. 201.8(a)(5).
- 1213            Who may request an Import Statement.    An Import Statement may be requested by the copyright owner or by the duly authorized agent of such owner. The copyright owner for this purpose may be:

1213

Who may request an Import Statement. (cont'd)

- 1) The author of the work (including, in the case of a work made for hire, the employer or other person for whom the work was prepared), or
- 2) A copyright claimant, other than the author, identified in the registration for the work, or
- 3) A person or organization that has obtained ownership of one or more exclusive rights, initially owned by the author, including the exclusive right to import copies of the work into the United States.

See 37 C.F.R. 201.8(b)(2); see also section 1214.04 below.

1213.01

Limit of one basic Import Statement for each work. As a general rule, only one basic Import Statement will be issued for the same work. Exceptional cases will be dealt with on their particular merits.

1214

Completion of Form IS. There are a number of spaces on the Form IS to be completed by the requester. If registration has already been made for the work, the information provided should agree with the information in the certificate of registration; if registration is being made simultaneously with the request for an Import Statement, the information given should agree with the information in the application for registration. The spaces to be completed are as follows.

1214.01

Identification of work. The title of the work, name(s) of author(s), and name(s) of copyright claimant(s) should be given.

1214.02

Person designated to receive Import Statement. The full name and complete mailing address of the person or organization to whom the Copyright Office will issue the Import Statement should be given, even if the same name and address appear elsewhere on the form. The law provides that the Import Statement shall be issued to the copyright owner or to a person designated by such owner. See 17 U.S.C. 601(b)(2).

1214 Completion of Form IS. (cont'd)

1214.03 Fee and contact. If the requester maintains a Deposit Account in the Copyright Office, the Account should be identified. Otherwise, the required fee should be enclosed with the request. The name, address, and telephone number of a person to contact about the request should also be provided on the form.

1214.04 Certification. The Form IS must include the handwritten signature of a person who certifies that he or she is either the copyright owner as shown in the records of the Copyright Office, or the duly authorized agent of the copyright owner, and that he or she authorizes the issuance of an Import Statement to the designated person.

1214.05 Registration number. If the work has already been registered, the applicant should give the registration number in the appropriate space on the Form IS. If registration is being applied for simultaneously with the request for an Import Statement, the Copyright Office will add the registration number to the Form IS.

1215 New versions. If the version to be imported is substantially different from the version in which a claim to copyright was registered, a claim to copyright in the version to be imported must also be registered before an Import Statement covering that version can be issued.

Examples:

- 1) Where an Import Statement is requested for the fifth revised edition of a textbook, and the registration number given on the Form IS is found to be that for the second revised edition, the Copyright Office will inform the requester that no Import Statement can be issued unless registration is made for the fifth revised edition.



1215

New versions. (cont'd)

## Examples: (cont'd)

- 2) If a novel originally manufactured, published, and registered in the United States before 1978 is reprinted outside the United States or Canada with a new pictorial cover, no new registration is required for an Import Statement to be issued. The test for issuance of the Import Statement is whether there is a subsisting claim in the nondramatic literary material, and whether the claim to copyright in that material has been registered.
- 3) Where a U.S. author translates into English a Russian-language novel and importation is sought for the translation, a claim to copyright must be registered in the translation in order for an Import Statement to be issued. Registration for the Russian-language work is not a necessary condition for the issuance of the Import Statement, nor is it required that the work in Russian be protectible in the United States.

[END OF CHAPTER 1200]

[1984]



Chapter 1300

RENEWAL OF COPYRIGHT

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## Chapter 1300

### RENEWAL OF COPYRIGHT

1301 Background. The copyright law of 1909, as amended, provided for copyright protection for an initial term of 28 years, with the possibility of a renewal term of statutory protection if a claim to renewal copyright was registered in the Copyright Office during the last year of the first term. However, a new copyright statute came into full effect on January 1, 1978; among other things, the new law makes important changes concerning the length of copyright protection; for works that are copyrighted for the first time on or after January 1, 1978, it establishes a single copyright term. Nevertheless, under the new law, works originally copyrighted before January 1, 1978, must still be renewed in order to obtain the fullest period of copyright protection allowed by the law for such works. This chapter is applicable only to those works.

1301.01 Works copyrighted before January 1, 1978. Section 304(a) of the copyright law provides that "any copyright, the first term of which is subsisting on January 1, 1978," endures for 28 years from the date it was originally secured, and that a renewal term of copyright lasting 47 years, can be secured by certain designated claimants if an application for renewal is made to the Copyright Office "within one year prior to the expiration of the original term of copyright." The law specifies that all such terms of copyright run to the end of the calendar year in which they would otherwise expire. See 17 U.S.C. 305. This not only affects the duration of copyright; it also affects the time limits for renewal registration. See section 1302 below.

NOTE: For works that were in their renewal term of copyright on December 31, 1977, the law automatically extended the copyright to last for a total of 75 years (a first term of 28 years plus a renewal term of 47 years) measured from

1301 Background. (cont'd)1301.01 Works copyrighted before January 1, 1978.  
(cont'd)

the end of the year in which the copyright was originally secured; no additional renewal is necessary for such works.

1302 Time limits for renewal. A copyright may be renewed for a renewal term of 47 years, provided that an acceptable application and fee are received in the Copyright Office or elsewhere in the Library of Congress during the year immediately preceding the expiration date of the original term of copyright. See 17 U.S.C. 304(a).

- \* Unless the required application and fee are received during the prescribed period before the first term of copyright expires, the copyright in the work terminates at the expiration of 28 years from the end of the calendar year in which copyright was originally secured.
- \* The Copyright Office has no discretion to extend the renewal time limits.

See 37 C.F.R. 202.17(c)(1).

1302.01 Informal applications. Whenever a renewal applicant has cause to believe that a formal application for renewal (Form RE) (and in the case of works in which U.S. copyright subsists by virtue of section 9(c) of title 17, U.S.C., in effect on December 31, 1977, an accompanying affidavit and submission relating to the subsistence of first-term copyright), if sent to the Copyright Office by mail, might not be received in the Copyright Office before expiration of the statutory time limits the applicant may apply for renewal registration by telegraphic or similar unsigned written communication. An application made by this method only will be accepted if:



1302 Time limits for renewals. (cont'd)1302.01 Informal applications. (cont'd)

- (1) the message is received in the Copyright Office within the specified time limits;
- (2) the applicant adequately identifies the work involved, the date of first publication or original registration, the name and address of the renewal claimant, and the statutory basis of the renewal claim;
- (3) the fee for renewal registration, if not already on deposit, is received in the Copyright Office before the time for renewal registration has expired; and
- (4) a formal application for renewal (Form RE) (and in the case of works in which U.S. copyright subsists by virtue of section 9(c) of title 17, U.S.C., in effect on December 31, 1977, as provided in 37 C.F.R. 202.17(d)(2), an accompanying affidavit and submission relating to subsistence of the first-term copyright) are also received in the Copyright Office before February 1 of the following year.

See 37 C.F.R. 202.17(c)(3).

1303 Computing term for published works. Copyright for works published before January 1, 1978, generally began on the date of first publication. However, under the current Act the original term does not expire until the end of the last day of the 28th calendar year measured from the year of first publication. See 17 U.S.C. 305.

1303.01 Antedated notice. In cases where the year date in the copyright notice appearing on the copies as first published was earlier than the actual date of publication, the original term of copyright is computed from the last day of the year given in the notice, and not the date of publication. The actual date of publication should be given in the renewal application, and

- 1303            Computing term for published works. (cont'd)
- 1303.01        Antedated notice. (cont'd)
- the Copyright Office will add the annotation: "YEAR DATE IN COPYRIGHT NOTICE: 19\_\_." Claims to renewal copyright received more than 28 years from the first day in the year given in the copyright notice will be refused registration. See also section 1308 below.
- 1303.02        Postdated notice. If the year date in the copyright notice appearing on the copies as published was one year later than the actual date of publication, the original term is computed for renewal purposes from the year date of publication. No annotation respecting a postdated notice will be made to the renewal application.
- 1304            Computing term for unpublished works. For unpublished works registered in the Copyright Office before January 1, 1978, statutory copyright began on the date of such registration and lasts for an original term of 28 years. Under the new law the original term does not expire for such works until the end of the last day of the 28th calendar year after registration. The date of registration of unpublished works currently renewable under the new law is the date when the last element (application, copy, fee) was received in acceptable form in the Copyright Office.
- 1305            Amendment after deadline. If an application that contains a title by which the work may be identified and a correct statement of either the renewal claimant or basis of the renewal claim is received within the proper time limits, but correspondence is required, the claim may be entered after expiration of the original term. However, the Copyright Office will make a special effort to obtain a fully acceptable application before the original term expires.

1305

Amendment after deadline. (cont'd)

## Example:

A renewal application for a work by John Doe received during the 28th year of the first term identifies the renewal claimant as executrix, and the Copyright Office has reason to believe that the claimant is the surviving spouse, e.g., the renewal application gives Mrs. John Doe, or the letter of transmittal indicates that she is the widow of the author. The Copyright Office will write for a new application setting forth the proper basis of claim, even though the statutory renewal period has expired in the interim.

1306

Date of receipt. The date of actual receipt in the Copyright Office determines the acceptability of a renewal application. See 37 C.F.R. 202.17(c).

- \* Receipt of a renewal application or fee elsewhere in the Library of Congress is regarded as equivalent to receipt in the Copyright Office.
- \* Mail misdirected or misdelivered to another Government agency, and delivered to the Copyright Office after the deadline will not permit registration.
- \* The date of deposit in the mails is not determinative for this purpose.

1306.01

Delay in delivery caused by disruption of postal or other services. In any case in which the Register of Copyrights determines, on the basis of such evidence as the Register may by regulation require, that a deposit, application, fee, or any other material to be delivered to the Copyright Office by a particular date, would have been received in the Copyright Office in due time except for a general disruption or suspension of postal or other transportation or communications services, the actual receipt of such material in the Copyright Office within one month after the date on which the Register determines that the disruption or suspension of

1306 Date of receipt. (cont'd)

1306.01 Delay in delivery caused by disruption of postal or other services. (cont'd)

such services has terminated, shall be considered timely. 17 U.S.C. 709. No regulation has yet been issued by the Copyright Office under this provision.

1307 Application received before the renewal year. A renewal application received at any time before the beginning of the renewal year will not be accepted. An entirely new application must be submitted during the proper year.

1308 Application received after the renewal year. If an application or fee is received after the renewal year has expired, the claim will be refused.

\* When the applicant filed too late in reasonable reliance on a record created, or original certificate issued, by the Copyright Office, or an official Copyright Office search report, which contained an error, omission, or patent ambiguity with respect to the term, the Copyright Office will register the renewal claim as a doubtful case.

\* When the Copyright Office records state a date of publication which has not been questioned or corrected, renewal registration will not be made after the 28th year from that date, even when the renewal applicant asserts that the date was erroneous. Concerning the procedure for correcting a date of publication, see Chapter 1500: CORRECTIONS AND AMPLIFICATIONS OF COPYRIGHT RECORDS; SUPPLEMENTARY REGISTRATIONS.

Examples:

- 1) Where the renewal applicant has relied on a certificate of original registration which lacked an annotation showing that the year date in the copyright notice was antedated, a renewal application will be accepted during the 28th year measured from the date of publication.

1308

Application received after the renewal year.  
(cont'd)

Examples: (cont'd)

- 2) Where the applicant has relied on incorrect information appearing in the Catalog of Copyright Entries as a result of a Copyright Office error, renewal registration will be made.

1309

Original registration. Except as provided in section 1309.01 below, copyright in a work will not be registered for a renewal term unless an original registration for the work has been made in the Copyright Office. However, the original and renewal claims may be submitted simultaneously, although the renewal claim will be processed only after a registration number has been assigned to the application for the original term. Generally, in examining such applications for first-term registration, the Copyright Office will apply the practices existing at the time the work was originally published in determining registrability. The current application forms and registration fees will be required.

NOTE: The Copyright Office may register claims to renewal even though it might not under its present policies register the original claim.

1309.01

Exception to requirement for original registration. An original registration in the Copyright Office is not a condition precedent for renewal registration in the case of a work in which U.S. copyright subsists by virtue of section 9(c) of title 17, U.S.C., in effect on December 31, 1977, (which implemented the Universal Copyright Convention), provided, however, that the application for renewal registration is accompanied by:

- 1) An affidavit identified as "Renewal Affidavit for a U.C.C. Work" and containing the following information:
  - (A) The date of first publication of the work;

1309

Original registration. (cont'd)

1309.01

Exception to requirement for original registration. (cont'd)

## 1) (cont'd)

- (B) The place of first publication of the work;
  - (C) The citizenship of the author on the date of first publication of the work;
  - (D) The domicile of the author on the date of first publication of the work;
  - (E) An averment that, at the time of first publication, all the copies of the work published under the authority of the author or other copyright proprietor bore the symbol © accompanied by the name of the copyright proprietor and the year of first publication, and that U.S. copyright subsists in the work;
  - (F) The handwritten signature of the renewal claimant or the duly authorized agent of the renewal claimant. The signature shall (1) be accompanied by the printed or typewritten name of the person signing the affidavit and by the date of the signature; and (2) shall be immediately preceded by the following printed or typewritten statement in accordance with section 1746 of title 28, U.S.C.: I certify under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.
- 2) A submission relating to the notice of copyright and copyrightable content which shall be, in descending order of preference, comprised of:
- (A) One complete copy of the work as first published; or

1309

Original registration. (cont'd)

1309.01

Exception to requirements for original registration. (cont'd)

2) (cont'd)

- (B) (1) A photocopy of the title page of the work as first published, and
- (2) A photocopy of the page of the work as first published bearing the copyright notice, and
- (3) A specification as to the location, relative to each other, of the title and notice pages of the work as first published, if the pages are different, and
- (4) A brief description of the copyrightable content of the work, and
- (5) An explanation of the inability to submit one complete copy of the work as first published; or
- (C) A statement describing the position and contents of the copyright notice as it appeared on the work as first published, and a brief description of the copyrightable content. The statement shall be made and signed in accordance with paragraph (1)(F) of this section and shall also include an explanation of the inability to submit either one complete copy of the work as first published or photocopies of the title and notice of the work as first published. See 37 C.F.R. 202.17(d)(2).

1310

Contributions to periodicals and composite works.  
The following practices relate to renewal of claims to copyright in contributions to periodicals and composite works.

1310.01

First publication basis. In order to be acceptable, a renewal claim in an individual contribution which was not registered separately must be based on first publication of the contribution.

1310 Contributions to periodicals and composite works.  
(cont'd)

1310.01 First publication basis. (cont'd)

Example:

A renewal application covering a short story which appeared in BEST SHORT STORIES, an anthology of previously published materials, will not be registered since the short story was not first published in the anthology.

1310.02 Separate claims. Individual renewal copyright in contributions to periodicals and other composite works may be registered, whether or not they were separately registered for their original term of copyright. Where the individual contribution was not separately registered, a claim to copyright in the periodical or other composite work must have been registered to serve as a basis for renewal registration of the individual contribution.

1310.03 Identification of composite work. A renewal application covering a contribution which was not registered separately must clearly identify the periodical or other composite work in which the contribution appeared. Generally, a composite work is an original publication relating to a variety of subjects to which a number of different authors have contributed distinguishable and separable selections; in this connection, see also section 1317.04(a) below.

1310.03(a) Facts of original registration required. The renewal application must contain the facts of original registration, e.g., title of periodical, volume and Issue number, issue date and original registration date, in addition to the publication date for the periodical or other work. Where the work cannot be fully identified from the renewal application and Copyright Office records, correspondence may be necessary. All other statements on the renewal application are taken at face value unless a patent error or ambiguity is presented.



1310 Contributions to periodicals and composite works.  
(cont'd)

1310.04 Different claimants. A contribution which was published with a separate copyright notice should be separately registered for the original term of copyright before renewal registration is made, if the claimant stated in the notice differs from the claimant given in the notice on the composite work as a whole. The Copyright Office requires original registration as a condition to renewal registration when this fact is known. When the names in the copyright notices appearing on the contribution and the composite work are the same, original registration for the individual contribution is optional.

1310.05 Group registrations. A single renewal registration may be made for a group of works by the same individual author, all first published as contributions to periodicals, including newspapers, upon submission of a single fee and application, when certain conditions are met. The "author" here means an individual person and not an employer in the case of a work made for hire. Also the class in which the original registrations were made is immaterial and is not limited to Class B (Form BB). The above-mentioned conditions, set forth below, must all be met:

- 1) The renewal claimant or claimants, and the basis of claim or claims under 17 U.S.C. 304(a), is the same for each of the works; and
- 2) The works were all copyrighted upon their first publication, either through a separate copyright notice and registration, or by virtue of a general copyright notice in the periodical issue as a whole and a claim to copyright has been registered in the periodical issue; and
- 3) The renewal application and fee are received not more than 28 or less than 27 years after

- 1310 Contributions to periodicals and composite works.  
(cont'd)
- 1310.05 Group registrations. (cont'd)
- 3) (cont'd)
- the 31st day of December of the calendar year in which all of the works were first published; and
- 4) The renewal application identifies each work separately, including the periodical containing it and its date of first publication.
- See 17 U.S.C. 408(c)(3).
- 1311 Works first published abroad in English. Under the Act of 1909, as amended, ad interim copyright was a short-term copyright available to English-language books and periodicals which were manufactured and first published abroad. It was secured by registration within six months of first publication abroad and lasted for a maximum of five years from the date of publication. Copyright could be extended to the full 28-year term if a U.S. edition was manufactured and published within five years after first publication abroad, and if a claim to copyright in the U.S. edition was also registered.
- 1311.01 Both editions registered. If ad interim and full-term registrations were both made within the proper time limits, renewal registration may be made to cover both editions.
- 1311.02 Single renewal application. A single renewal application can be submitted covering both the ad interim and full-term registrations, regardless of whether or not the U.S. edition contained new matter, provided both editions are eligible for renewal during the same calendar year. If both editions are included on a single renewal application, that application must include information taken from both original registrations. For the special problem presented by an antedated notice, see section 1303.01 above.

- 1311            Works first published abroad in English. (cont'd)
- 1311.03        Separate applications. Where separate applications are submitted, each application must be filed within the 28th calendar year of the term of copyright in the particular edition it covers. The Copyright Office will annotate each application to refer to the other edition.
- 1311.03(a)     Late application. If the renewal application is received more than 28 years from the end of the year of first publication abroad, registration will be refused because the application was received too late. The applicant may submit a new application covering the U.S. edition alone, if that edition contained new matter, and if the application was submitted during the renewal period applicable to the new matter.
- 1311.04        Installments. When a work was first published abroad in serial installments and several separate ad interim registrations were made, separate renewal registrations may be made, even though the first U.S. edition was published in a single volume. If the applicant prefers, a single group registration can be made for installments first published as contributions to a periodical, provided the criteria set forth in section 1310.05 have been met.
- 1311.05        Foreign edition never registered. If the foreign edition of a work was never registered ad interim, but the later U.S. edition was registered, the Copyright Office will accept a renewal application covering the U.S. edition. In the case of an application received during the 28th year measured from the end of the year of foreign publication, a cautionary letter will be sent stating that the registration is of doubtful validity. In the case of an application received more than 28 years from the end of the year of foreign publication, the cautionary letter will explain that renewal registration covers only the new matter, if any, in the U.S. edition. A new matter statement will not be required on the renewal application, unless a new matter statement appeared on the original application.

1311 Works first published abroad in English. (cont'd)

1311.06 No U.S. edition. Where the Copyright Office records fail to reveal that a U.S. edition of a work was ever registered, the Copyright Office will generally refuse registration for a renewal claim based on an ad interim registration, subject to the special provisions in sections 1311.06(a) and 1311.06(b) below. The Copyright Office will, however, correspond in order to determine whether the U.S. edition has been registered, e.g., under a different title.

1311.06(a) Effect of the Universal Copyright Convention (UCC). The UCC came into force with respect to the United States on September 16, 1955. The implementing legislation provides that, upon the coming into force of the Universal Copyright Convention in a foreign state or nation, every book or periodical of a citizen or subject thereof in which ad interim copyright was subsisting on the effective date of said coming into force shall have copyright for 28 years from the date of first publication abroad without the necessity of complying with the further formalities specified. See section 9(c) of the Act of 1909, as amended. Therefore, in such cases the ad interim copyright was extended to the full 28-year term measured from the date of first publication abroad, and such copyrights are renewable in accordance with the general provisions relating to the term for other published works. See section 1303 above. In determining whether renewal registration is possible, the factors to be considered include the following:

- 1) Citizenship of the author as shown in the Copyright Office records.
- 2) The effective date of adherence to the UCC by the country of which the author was a citizen.
- 3) The time between securing ad interim copyright and the effective date of such adherence.

- 1311            Works first published abroad in English. (cont'd)
- 1311.06            No U.S. edition. (cont'd)
- 1311.06(b)            Effect of the current Act. In the case of any work in which ad interim copyright is subsisting or is capable of being secured on December 31, 1977, under section 22 of title 17 as it existed on that date, copyright protection was extended to endure for the full term or terms provided by section 304 of title 17 of the new law, pursuant to Sec. 107 of Transitional and Supplementary Provisions of the current Act. Thus, for works covered by this provision, a renewal claim will be registered even though there was no registration for a U.S. edition.
- 1312            Renewal claimants: authors and their successors. In accordance with the copyright law, it is the author, if living, who is entitled to claim renewal copyright with respect to all works other than those enumerated in section 1317 of this chapter. Moreover, if the author is dead, it is the copyright law, rather than the rules of testamentary or intestate succession, that specifies the successive classes of persons entitled to claim renewal copyright. See 17 U.S.C. 304.
- 1313            Renewal claimants: authors. The author, if living, may claim renewal, whether the work was published in the author's true name, a pseudonym, or anonymously.
- 1313.01            Author still living. If the author is still living, the renewal application must be filed in the author's own name, even if the author is insane or incompetent.
- 1313.02            Author's name not in records of original registration. Where an applicant is claiming renewal as the "author," or as any other person entitled to claim renewal if that author is dead, and where that author's name does not appear in the records of the original registration, renewal registration will generally not be made unless that name is placed in the Copyright Office records. The Copyright Office may suggest

1313 Renewal claimants: authors. (cont'd)1313.02 Author's name not in records of original registration. (cont'd)

that an application for supplementary registration be submitted in order either to correct or to amplify the information given in the original record. See Chapter 1500: CORRECTIONS AND AMPLIFICATIONS OF COPYRIGHT RECORDS; SUPPLEMENTARY REGISTRATIONS. In any case, and particularly when a supplementary registration is not suitable, a document supporting the authorship may be recorded in the Copyright Office. The renewal application is annotated to reflect the volume and page number of recordation. A supplementary registration or document is not necessary when the nature of the work makes the omission of the claimant's name natural, e.g., works of multiple authorship, pictorial reproductions, and obviously anonymous works. See also Adverse claims, section 1318.03 below.

1313.03 Term "author" defined for renewal purposes.

The term "author," for renewal purposes, refers to the individual who personally wrote or created "renewable matter" in the work. The term "author" includes editors, compilers, arrangers, translators, illustrators, etc. It does not include employers in the case of works made for hire, publishers, corporations, firms, partnerships, religious orders, fraternal organizations, or any other impersonal entities.

1314 Renewal claimants: widows, widowers, and children.

If the author is dead, the author's surviving spouse and children are entitled to claim renewal. 17 U.S.C. 304.

1314.01 Single class. The widow (widower) and children are regarded as a single class of renewal claimants, and applications from any or all will be accepted without question. See DeSylva v. Ballentine, 351 U.S. 570, 30 C.O.Bull. 245 (1956).

1314

Renewal claimants: widows, widowers, and children.  
(cont'd)

1314.02

Definition of widow or widower. The author's widow or widower is the author's surviving spouse under the law of the author's domicile at the time of his or her death, whether or not the spouse has later remarried. 17 U.S.C. 101.

- 1) A widow (widower) does not lose his (or her) renewal rights upon remarriage.
- 2) A common-law spouse may also be regarded as the "widow" or "widower" for renewal purposes, if the author is deceased.
- 3) A divorced spouse is not an acceptable renewal claimant as widow or widower. However, the Copyright Office will not inquire into the validity of a marriage or a divorce.
- 4) The terms "wife of the author," "wife of the deceased author," "husband of the author," or "husband of the deceased author" are not acceptable bases of claim. The basis of claim must be stated as either "widow" or "widower" of the author.
- 5) The Copyright Office will request a new application correcting the basis of claim if a widow or widower is claiming renewal as the author's "next of kin" or "executor."

1314.03

Definition of children. A person's "children" are that person's immediate offspring, whether legitimate or not, and any children legally adopted by that person. 17 U.S.C. 101.

- 1) The Copyright Office will register a renewal claim in the name of an illegitimate child, whether paternity has been acknowledged or not.
- 2) Legally adopted children are acceptable renewal claimants.
- 3) Stepchildren, as such, are not entitled to claim renewal.

1314 Renewal claimants: widows, widowers, and children.  
(cont'd)

1314.03 Definition of children. (cont'd)

- 4) Grandchildren and other descendants beyond the first degree cannot claim renewal as "the children of the deceased author."
- 5) The Copyright Office will request a new application giving the correct basis of claim if a child is claiming renewal as the author's "next of kin" or "executor."

1315 Renewal claimants: executors. If the author dies leaving a will, and if no widow, widower, or children are living at the time the renewal application is filed, the author's executor is entitled to claim renewal in his or her own name.

1315.01 Qualification. In order to be regarded as an "executor," a claimant must have been named in the author's will, and presumably must have been qualified in probate proceedings. However, the Copyright Office will not refuse a renewal claim in the name of the the executor, even if the author's will has not been probated. The Copyright Office will accept as an "executor" a claimant described as an "ancillary executor," "substitute executor," "successor executor," or "literary executor." See also section 1316.02 below.

1315.02 Personal right. The right to claim renewal as "executor" is a personal one, and the renewal application must name the individual executor.

- 1) The author's legatees, as such, have no right to claim renewal in their own names.
- 2) Renewal rights are claimed by the executors not for their personal benefit, but as fiduciaries for the benefit of the legatees under the author's will. See Miller Music Corp. v. Charles N. Daniels, Inc., 362 U.S. 373, 32 C.O.Bull. 307 (1960).



1315 Renewal claimants: executors. (cont'd)1315.02 Personal right. (cont'd)

- 3) A renewal claim cannot be registered in the name of the "Estate of John Doe," even if executors have not yet been qualified under the author's will.
- 4) The executor named in the renewal application must be an individual or be a fiduciary organization authorized by law to serve as an executor. A renewal application which does not name as executor an individual or a trust department of a bank will be questioned.

## Example:

The renewal application which names a law firm as the renewal claimant in the capacity of executor under the author's will will be questioned because it is unclear whether the law firm is a fiduciary organization authorized by law to serve as executor.

1315.03 Intestate. In no case can the administrator of an intestate author's estate claim renewal.

1316 Renewal claimants: next of kin. If the author is dead and no widow (widower) or children survive the author, and if there is "the absence of a will," the author's next of kin are entitled to claim renewal. 17 U.S.C. 304(a).

1316.01 Definition. The term "next of kin" refers only to blood relatives of the author.

- 1) It is not clear whether the term "next of kin" refers only to the living relatives of the nearest degree of consanguinity (defined as the quality or state of being descended from the same ancestor) or whether it also includes the descendants of dead relatives claiming on the theory representation. The Copyright Office

1316

Renewal claimants: next of kin. (cont'd)

1316.01

Definition. (cont'd)

1) (cont'd)

will register the claim of any blood relative as "next of kin," regardless of the degree of consanguinity.

## Example:

Where an author had two brothers, one of whom died leaving two sons, it is unclear whether the nephews may claim renewal equally with the surviving brother.

- 2) The statement of the basis of claim on the renewal application must not consist solely of a statement of relationship, e.g. sister, mother, niece, etc. The claim itself should be stated as "next of kin of the deceased author, there being no will," although kinship may be specified parenthetically.
- 3) Statements such as "heirs" or "representatives of heirs" are not acceptable either as claimants or as bases of claim.

1316.02

Will but no executor. If the author left a will, but no executor exists at the time for renewal, the proper renewal claimant is unclear.

- 1) However, on the basis of judicial authority, the Copyright Office will accept a claim in the names of the next of kin, except in the situation noted in paragraph 3(c) below.
- 2) If it is unclear whether executors still exist, registration may be made in the names of both the executors and the next of kin on separate applications and for separate fees.

## Example:

The executor himself is unsure whether or not he was actually discharged.

1316

Renewal claimants: next of kin. (cont'd)

1316.02

Will but no executor. (cont'd)

- 3) If the author leaves a will which names no executor, or if the person named cannot or will not act as executor, the court may appoint an "administrator cum testamento annexo" (administrator with the will annexed; administrator c.t.a) who performs the identical functions of an executor. When the estate has been settled and the executor discharged, or when the executor is removed before the estate is completely administered, the court may appoint an "administrator de bonis non cum testamento annexo (administrator de bonis non with the will annexed; administrator d.b.n.c.t.a.) to deal with the remaining or after-acquired property under the will.
  - a) The Copyright Office will register renewal claims in the names of administrator c.t.a. or administrator d.b.n.c.t.a. Except as noted in paragraph (c) below, the Copyright Office will also register renewal claims for the same work in the names of both the next of kin and the administrators c.t.a. or administrators d.b.n.c.t.a. on the basis of separate applications and fees.
  - b) Where the author's will names an executor who cannot or will not act as executor, or when the estate has been settled and the executor discharged, or when the executor is removed before the estate is completely settled, registration will be made in the names of the author's next of kin, even when the administrators c.t.a. or administrators d.b.n.c.t.a. exist.
  - c) If the author left a will without naming an executor, and an administrator c.t.a. or administrator d.b.n.c.t.a. is in existence at the time of renewal registration, an application in the name of the next of kin will be refused on the

- 1316            Renewal claimants: next of kin. (cont'd)
- 1316.02        Will but no executor. (cont'd)
- c) (cont'd)
- basis of Gibran v. National Committee of Gibran, 255 F.2d 121, 31 C.O.Bull. 249 (2d Cir. 1958); cert. denied, 358 U.S. 828 (1958).
- 1317            Renewal claimants: proprietors. The copyright act provides that the proprietor of the copyright may claim renewal in certain specified cases.
- 1317.01        Definition. The term "proprietor" refers to the owner of the copyright on the effective date of the renewal registration.
- 1317.02        Derivation of title. In order to claim renewal as "proprietor," the claimant must derive his or her title directly or indirectly from the original copyright owner.
- 1317.03        Posthumous works. If a work is "posthumous" within the meaning of the copyright law, the proprietor is the proper renewal claimant. Generally, the author's widow, widower, children, executor, or next of kin have no right to claim renewal in a "posthumous work."
- 1317.03(a)     Definition. A work is not considered "posthumous" if it is published during the author's lifetime; but a work is commonly considered "posthumous" if it is first published after the author's death. However, for purposes of section 304(a) of the copyright law, the term "posthumous work" means any work as to which no copyright assignment or other contract for exploitation of the work has occurred during the author's lifetime and which is unpublished at the time of the author's death. See Bartok v. Boosey & Hawkes, Inc., 523 F.2d 941, 40 C.O.Bull. 69 (2d Cir. 1975), and H.R. Rep. No. 94-1476, 94th Cong., 2d Sess. 139 (1976); see also 37 C.F.R. 202.17(b). Thus, under section 304(a) a work is not "posthumous" if it was merely first published after the author's death.

1317            Renewal claimants: proprietors. (cont'd)1317.03            Posthumous works. (cont'd)

1317.03(b)            Proper claimant. Where the work is "posthumous" within the meaning of section 304(a) of the copyright law, the appropriate claimant is the proprietor.

- 1) Where the applicant asserts that there was neither a contract for exploitation nor an assignment of copyright during the author's lifetime, and the work was unpublished on the date of the author's death, the Copyright Office will make registration in the name of the proprietor.
- 2) Where the applicant asserts that during the author's lifetime there was a contract for exploitation but no copyright assignment, it is unclear whether or not the work is "posthumous." See S. Rep. No. 94-473, 94th Cong., 1st Sess. 123 (1975). Therefore, registration will be made in the name of the author's widow, widower, children, executor, or next of kin and also in the name of the proprietor, provided separate applications and fees are submitted.
- 3) Where the applicant asserts that there was an assignment of the copyright during the author's lifetime, the work is not considered "posthumous," and the Copyright Office will make the renewal registration in the name of the author's widow, widower, children, executor, or next of kin. Registration will not be made in the name of the proprietor.
- 4) Where the proprietor-applicant asserts that the work is "posthumous" only because the work was first published after the author's death, the Copyright Office will inquire whether during the author's lifetime there was a copyright assignment or other contract for exploitation of the work.

1317 Renewal claimants: proprietors. (cont'd)1317.03 Posthumous works. (cont'd)1317.03(b) Proper claimant. (cont'd)

- 5) Where the work was originally published as a contribution to a periodical and that contribution was not separately registered, there is doubt under the wording of the renewal provisions of the law as to whether the proprietor of such a "posthumous work" may claim the renewal. In such cases, the Copyright Office will accept applications from the proprietor, and also from the author's widow, widower, children, executor, or next of kin, provided separate applications and fees are submitted.

1317.04 Composite works. The proprietor of a periodical, cyclopedic, or other composite work may claim renewal in the work as a whole.

1317.04(a) Definition. Generally, a composite work is an original publication relating to a variety of subjects to which a number of different authors have contributed distinguishable and separable selections. Thus, a work by a single author consisting of a collection of his writings is not a composite work. Similarly, a work which is the product of joint authorship and common design, or which consists of elements which have been indistinguishably merged into a single entity, cannot be regarded as composite, e.g., musical compositions, dramas, dramatico-musical works, and motion pictures.

1317.05 Individual contributions. While the proprietor of a composite work may claim renewal in the work as a whole, the author of an individual contribution, or the author's beneficiaries, may also claim renewal in the contribution.

- \* It is unclear whether the proprietor's claim in the entire work covers everything in the work that is not separately renewed.

1317            Renewal claimants: proprietors. (cont'd)1317.05            Individual contributions. (cont'd)

\* If a renewal application covering an individual contribution is received too late for registration, the Copyright Office will inform the applicant of the facts of renewal registration for the composite work because the contribution may be protected by the renewal of the general copyright in the composite work in which the contribution was first published.

1317.06            Corporate body. In the case of a "work copyrighted by a corporate body otherwise than an assignee or licensee of the author," the statute gives the proprietor the right to claim renewal.

1317.06(a)            Questionable claim. This basis of claim is always questioned unless it has been established by previous correspondence.

1317.06(b)            When not acceptable. This basis of claim is not acceptable when:

- 1) The original copyright claimant was not a corporation.
- 2) The individual author of an unpublished work transferred his common-law literary property, or his right to secure copyright, to a corporation.
  - i) The corporation is regarded as the author's assignee.
  - ii) The fact that the corporation also purchased the author's manuscript does not change its status as assignee.
- 3) The work is posthumous, composite, or was made for hire.

1317 Renewal claimants: proprietors. (cont'd)

1317.06 Corporate body. (cont'd)

1317.06(c) Corporate body: special circumstances. In cases other than those listed in section 1317.06(b) above, registration on this basis will be strongly discouraged and will be made only when the applicant indicates that there were special circumstances under which the claim might conceivably be said to apply.

Examples:

- 1) Works to which the stockholders of a corporation have contributed indistinguishable parts.
- 2) Works written or created by members of a religious order or similar organization, when the individual authors never had a personal property right in the works.
- 3) Works written by an official or major stockholder in a corporation, when the works were written directly for the corporation and the arrangement did not amount to employment for hire.
- 4) Motion pictures, when the applicant asserts that the work was produced under special circumstances and was not copyrighted by an employer for whom the work was made for hire.

1317.07 Employer in the case of a work made for hire. The proprietor of the copyright shall be entitled to claim renewal in works originally copyrighted by an employer for whom they were made for hire. See 17 U.S.C. 304.



- 1317            Renewal claimants: proprietors. (cont'd)
- 1317.07        Employer in the case of a work made for hire.  
(cont'd)
- 1317.07(a)     Employer-claimant. Generally, in order for this basis of claim to be acceptable, the original copyright claimant must have secured the copyright by virtue of his employment of the "author," rather than through any transfer of rights after the work was completed.
- 1317.07(b)     Determinations by Copyright Office. The Copyright Office will generally make no effort to determine whether or not a particular agreement constituted employment for hire.
- \* A renewal claim as "author" will be questioned when the original records of the registration state that the work was made for hire.
  - \* The claim will be registered if the individual was listed as "author" by virtue of being an employer in a work made for hire.
  - \* A renewal claim as "proprietor of copyright in a work made for hire" will be questioned when the original copyright claimant was also the only author listed in the Copyright Office records. The claim will be refused if the person listed as "author" on the original records was not an employee for hire. However, if an explanation is offered indicating that the "author" was employed for hire, and inadvertently or by agreement with the employer, claimed copyright in his or her own name, the proprietor claim will be accepted.

- 1317            Renewal claimants: proprietor. (cont'd)
- 1317.07            Employer in the case of a work made for hire.  
(cont'd)
- 1317.07(c)            Work made for hire. In order for this claim to be applicable, as the Act explicitly states, the work must have been copyrighted by the employer for whom the work was made for hire.
- \* No provision is made under the literal terms of the Act for the case in which the work was made for hire, but the employer transferred his common-law literary property to a third person before either publication or registration as an unpublished work.
  - \* When this situation is presented, the Copyright Office will register a renewal claim as "proprietor of copyright in a work made for hire," but will point out that the law makes no specific provision for this situation.
- 1317.07(d)            More than one author. When more than one author contributed to a work, the renewal claimant need not specify that all of the authors were employed for hire.
- \* If only some of the authors were employed, this fact should appear on the renewal application.
  - \* The Copyright Office will accept claims by authors or their beneficiaries and proprietors of copyright in a work made for hire on the same application, provided that no patent inconsistency is presented.
- 1318            Joint renewal claimants. When the author is dead and there is more than one person in the class of beneficiaries entitled to renew under the statute, registration by one claimant secures renewal for all those who would have been entitled to claim.

1318            Joint renewal claimants.    (cont'd)

- 1318.01            Several claimants, same application.    When a number of different persons are entitled to claim renewal in the same work, the Copyright Office will accept their claims on a single application or on separate applications. It is not necessary that all possible claimants join in applying for registration in order to secure a renewal. If an application for a work is received after its renewal period has expired, and a renewal claim has already been registered in the name of another claimant, the Copyright Office will correspond and point out that it is too late for the registration of this renewal claim, but that registration has been made in the name of another claimant.
- 1318.02            Later application, same work.    Once a renewal registration has been made, the Copyright Office will generally not accept a duplicate application for renewal registration on behalf of the same renewal claimant.
- 1318.03            Adverse claims.    When an application is received that conflicts with a renewal claim which has already been registered, the Copyright Office will inform the second applicant of the conflicting statements contained in the registered renewal claim, and will request an explanation. The later claim will be registered without further question, if the applicant reasserts it and the claim is not patently invalid. See also Chapter 100: BASIC POLICIES, section 108.06, concerning adverse claims.
- 1318.04            Adverse claims: conflicts concerning the author and the author's successors.
- 1)    When an earlier claim was registered in the name of an author's next of kin, and a new application is submitted in the name of the executor, the Copyright Office will request information concerning the existence of a will.

1318 Joint renewal claimants. (cont'd)1318.04 Adverse claims: conflicts concerning the author and the author's successors. (cont'd)

- 2) When a renewal claim was registered in the name of the author, and the widow (widower) now claims, the Copyright Office will request the date of the author's death. If the date is earlier than that on which the first application was filed, registration will be made without further correspondence. If the author was living when registration was made in the author's name, the widow's (widower's) claim may also be registered as a doubtful case, despite the principle that renewal rights vest on the date of a valid registration.

1318.05 Adverse claims: conflicts concerning proprietors, authors, and authors' successors.

- 1) When a renewal claim was registered in the name of an individual author, and a new application is submitted as "proprietor of copyright in a work made for hire," the Copyright Office will request information concerning the circumstances under which the work was written.
- 2) When a renewal claim was registered in the name of "a proprietor of copyright in a work made for hire," and a new application is submitted in the name of the individual author, the Copyright Office will request information concerning the circumstances under which the work was written.
- 3) When a renewal claim was registered in the name of one of several authors, and a new renewal application is submitted as "proprietor of copyright in a work made for hire" without restricting the claim to the work of a particular author or authors, the Copyright Office will ask whether the claim covers the material written by the person

- 1318            Joint renewal claimants. (cont'd)
- 1318.05        Adverse claims: conflicts concerning propri-  
etors, authors, and authors's successors.  
(cont'd)
- 3) (cont'd)
- in whose name registration has already been made. If so, registration will be made if the applicant reasserts the claim. If not, a new application should be submitted confining the claim to the material written by employees for hire.
- 4) Where the original claim named an employer in a work made for hire as the author, and a renewal application names an individual author, the Copyright Office will write to the renewal applicant requesting information concerning the circumstances under which the work was written. If the applicant asserts that the work was not made for hire, the renewal claim will be registered on behalf of the author or the author's statutory heirs.
- 1319            Unacceptable renewal claims. The following general principles and practices govern the acceptability of renewal claims.
- 1319.01        Personal right. The right to claim renewal copyright is a personal right.
- 1319.02        Deceased person. A renewal claim cannot be registered in the name of a deceased person. The Copyright Office does not search to determine whether or not the renewal claimant is alive. If, however, the Copyright Office has information that the claimant died before the receipt in the Copyright Office of the renewal application, the Office will refuse to register the claim as submitted.

- 1319            Unacceptable renewal claims.    (cont'd)
- 1319.03            Claimant not named, only status given.  
The renewal right accrues to an individual person or firm, and not to a status. Claims by "the Executor of James Fitzgerald" or "the executors of the author" or by "the next of kin of the author" without specifically naming the claimant are not acceptable.
- 1319.04            Claimant fails to qualify.    The Copyright Office cannot register a renewal claim unless the basis of claim is one that is acceptable under the statute. If none of the claimants listed in the statute exists or can be identified, registration must be refused.
- 1319.05            Successors or representatives of claimants.  
The successors or representatives of a person who would have been entitled to claim renewal if still living, are unacceptable renewal claimants. For example, the executor of the author's widow is an unacceptable renewal claimant.
- 1319.06            Assignment of renewal interests.    Registration must be made in the name of the statutory claimant, even though the statutory claimant has assigned all of his or her interests in the renewal term. For example, registration cannot be made in the names of an "assignee," "proprietor," "attorney in fact," or "owner per agreement."
- 1319.07            Extent of claim.    A renewal claim in a published work can cover only the material which was first published in that particular version of the work.
- 1319.07(a)            Later version.    The original author of a published work cannot claim renewal in a later version of that work unless that author contributed to the new matter on which copyright in the later version was

1319            Unacceptable renewal claims. (cont'd)1319.07            Extent of claim. (cont'd)1319.07(a)            Later version. (cont'd)

claimed. For example, where it appears from the record that an author's original composition was published before an arrangement of it by another person, a renewal claim in the arrangement by the author, based on his original composition, is unacceptable.

## 1319.07(b)

Revised published version. Where an author's original unpublished work was first published with an arrangement or other new matter by another person, the author's claim to renewal in the published work may be accepted.

[END OF CHAPTER 1300]

[1984]





Chapter 1400

GROUP REGISTRATIONS

This chapter is in preparation.



Chapter 1500

CORRECTIONS AND AMPLIFICATIONS  
OF COPYRIGHT OFFICE RECORDS;  
SUPPLEMENTARY REGISTRATIONS

Outline of Topics

- 1501        Applicability of this chapter.
- 1502        Basic registrations.
- 1503        Means used for correcting and amplifying Copyright  
Office records.
- 1503.01        Supplementary registrations.
- 1503.02        Recordation of documents.
- 1503.03        Additional basic registrations.
- 1504        Supplementary registrations: procedures used for  
correcting and amplifying Copyright Office records.
- 1504.01        Supplementary registrations: corrections.
- 1504.02        Supplementary registrations: amplifications.
- 1504.03        Supplementary registrations: correcting or  
amplifying information in another supple-  
mentary registration.
- 1504.04        Supplementary registrations: when not  
appropriate.
- 1504.05        Supplementary registrations: basic regis-  
tration a prerequisite.
- 1504.06        Supplementary registrations: time limits.
- 1504.07        Supplementary registrations: persons entitled  
to submit application.
- 1504.08        Supplementary registrations: their effect.
- 1505        Recordation of documents: procedures used for  
correcting and amplifying Copyright Office  
records.
- 1505.01        Recordation of documents: corrections or  
amplifications of completed registrations.
- 1505.02        Recordation of documents: correction of error  
in recorded document.
- 1505.03        Recordation of documents: effect.

- 1506            New basic registration: procedures used for  
correcting and amplifying Copyright Office records.
- 1506.01            New basic registration: time limits.  
    1506.02            New basic registration: effect.
- 1507            Special situations relating to corrections and  
amplifications of Copyright Office records.
- 1507.01            Special situations relating to ownership.  
    1507.02            Change in name or address of author or  
                        claimant.  
    1507.03            Change of domicile, citizenship, and place of  
                        publication.  
    1507.04            Problems relating to title of work.  
    1507.05            Problems relating to authorship.  
    1507.06            Problems relating to nature or extent of  
                        authorship.  
    1507.07            Problems relating to status of work.  
    1507.08            Problems relating to deposits.  
    1507.09            Problems relating to extent of claim.  
    1507.10            Problems relating to recorded documents.  
    1507.11            Examining Division error.  
    1507.12            Earlier registration not authorized.  
    1507.13            Problems relating to minor errors.  
    1507.14            Abandonment of copyright or copyright claim.
- 1508            Completion of Form CA.
- 1508.01            Completion of Form CA: identification of work.  
    1508.02            Completion of Form CA: correction space.  
    1508.03            Completion of Form CA: amplification space.  
    1508.04            Completion of Form CA: information not con-  
                        tained in appropriate space.  
    1508.05            Completion of Form CA: single form sufficient  
                        for correction and amplification.
- 1509            Effective date of supplementary registration.

## Chapter 1500

### CORRECTIONS AND AMPLIFICATIONS OF COPYRIGHT OFFICE RECORDS; SUPPLEMENTARY REGISTRATIONS

- 1501      Applicability of this chapter. This chapter contains the practices to be followed in correcting or amplifying Copyright Office records; these practices are general in nature, and each case should be dealt with on its own merits. Moreover, this chapter does not deal with those errors in the record of a basic registration that the Office itself should have recognized at the time the registration was made; in such cases the Office will take appropriate measures to rectify its error. See 37 C.F.R. 201.5(a)(2). Nor does this chapter deal with adverse contentions incident to registration. See section 108.06 of Chapter 100: BASIC POLICIES; see also sections 1318.04 and 1318.05 of Chapter 1300: RENEWAL OF COPYRIGHT.
- 1502      Basic registrations. Most such corrections and amplifications involve "basic registrations." A "basic registration" means any of the following: (A) a copyright registration made under section 408 of the copyright law; (B) a renewal registration made under section 304 of the copyright law; (C) a registration of claim to copyright made under the copyright law as it existed before January 1, 1978; or (D) a renewal registration made under the copyright law as it existed before January 1, 1978. See 37 C.F.R. 201.5(a)(1)(i). Once a basic registration has been made in the Copyright Office for a work, that basic registration will ordinarily stand as the fundamental copyright record on which other, later records relating to the particular work can be built.

- 1503      Means used for correcting and amplifying Copyright Office records. The following means are available for correcting or amplifying Copyright Office records.
- 1503.01      Supplementary registrations. A supplementary registration to correct certain errors in a copyright registration or to amplify the information given in a copyright registration is a special type of copyright registration provided for in the copyright law. See 17 U.S.C. 408(d). One supplementary registration may correct or amplify information in only one basic registration.
- 1503.02      Recordation of documents. A document to correct certain errors in a copyright registration or to amplify the information given in a registration may be recorded in the Copyright Office, provided that the requirements for recordation are met. See Chapter 1600: RECORDATION OF TRANSFERS AND OTHER DOCUMENTS PERTAINING TO A COPYRIGHT.
- 1503.03      Additional basic registrations. Certain kinds of errors may be corrected only by making an additional basic registration. See also sections 1506 and 1507 below.
- 1504      Supplementary registrations: procedures used for correcting and amplifying Copyright Office records. A supplementary registration may be made either to correct or to amplify information given in a basic registration. The appropriate form prescribed by the Copyright Office for a supplementary registration is Form CA.
- 1504.01      Supplementary registrations: corrections. A "correction" is appropriate if the information in the basic registration was incorrect at the time that basic registration was made, and the error is not one that the Copyright Office itself should have recognized. See 37 C.F.R. 201.5(b)(2)(i).

1504

Supplementary registrations: procedures used for correcting and amplifying Copyright Office records.  
(cont'd)

1504.01

Supplementary registrations: corrections.  
(cont'd)

Examples:

- 1) A basic registration identified someone incorrectly as the author of the work.
- 2) A work was registered as published when publication had not actually taken place.
- 3) The statement of the extent of the claim is inaccurate.

1504.02

Supplementary registrations: amplifications.  
An "amplification" is appropriate in order to accomplish the following purposes:

- 1) To reflect additional information that could have been given, but was omitted, at the time basic registration was made (e.g., a co-author's name was omitted);  
or
- 2) To reflect changes in facts, other than those relating to transfer, license, or ownership of rights in the work, that have occurred since the basic registration was made (e.g., a change in the title of the work or a change in an author's or claimant's name); or
- 3) To clarify information given in the basic registration (e.g., the statement of changes or additions in the version being registered was not sufficiently explicit);  
or

See 37 C.F.R. 201.5(b)(2)(ii).

- 4) To have individual titles in a collection indexed separately in the Copyright Office catalogs.

1504

Supplementary registrations: procedures used for correcting and amplifying Copyright Office records.  
(cont'd)

1504.03

Supplementary registrations: correcting or amplifying information in another supplementary registration. Although a supplementary registration may be made to correct or amplify the information in any completed basic registration, a supplementary registration cannot be made to correct or amplify the information contained in another supplementary registration. Where a supplementary registration contains an error, a new supplementary registration should be made to correct or amplify the information contained in the basic registration in question.

1504.04

Supplementary registrations: when not appropriate. Supplementary registration is not appropriate:

- 1) As an amplification to reflect the ownership, division, allocation, licensing, or transfer of rights in a work, whether at the time the basic registration was made or thereafter (see also section 1507.01(b) below); or
- 2) To correct errors in statements or notices on the copies or phonorecords of a work; or
- 3) To reflect changes in the content of a work; or;
- 4) As a substitute for renewal registration; or
- 5) To add a renewal claimant; or
- 6) To change the basis of claim or change the renewal claimant after the renewal period has expired; or
- 7) As a substitute for recording a transfer or other document pertaining to copyright ownership.

See 37 C.F.R. 201.5(b)(2)(ii), (iii), and (iv).



- 1504            Supplementary registrations: procedures used for correcting and amplifying Copyright Office records.  
(cont'd)
- 1504.05        Supplementary registrations: basic registration a prerequisite. Supplementary registration can be made only if a basic copyright registration for the same work has already been completed. The application for supplementary registration must clearly identify the registration to be corrected or amplified. See 17 U.S.C. 408(d).
- 1504.06        Supplementary registrations: time limits. The following are time limits for making a supplementary registration.
- 1504.06(a)     To correct or amplify a basic original registration. As a general rule, supplementary registration to correct or amplify an original basic registration may be made at any time. However, for works which were published or registered or both before January 1, 1978, and are still subject to renewal registration, a supplementary registration affecting the original term of copyright can only be made during the first 28-year term.
- Example:
- A work is published and registered in 1954. An application for supplementary registration is submitted in 1983 to change the year date of publication to 1955. The application for supplementary registration will be refused.
- 1504.06(b)     To correct a renewal registration. Supplementary registration to correct a renewal claimant or basis of claim in a basic renewal registration may be made only if the application for supplementary registration and fee are received in the Copyright Office within the statutory time limits for renewal. If the error or omission in a basic renewal

- 1504            Supplementary registrations: procedures used for correcting and amplifying Copyright Office records.  
(cont'd)
- 1504.06        Supplementary registrations: time limits.  
(cont'd)
- 1504.06(b)    To correct a renewal registration.  
(cont'd)
- registration is extremely minor, and does not involve the identity of the renewal claimant or the legal basis of claim, supplementary registration may be made at any time. See 37 C.F.R. 201.5(b)(2)(iv).
- 1504.07        Supplementary registrations: persons entitled to submit application. After a basic copyright registration has been completed, any author or other copyright claimant of the work, or the owner of any exclusive right in the work, or the duly authorized agent of any such author, other claimant, or owner, who wishes to correct or amplify the information given in the basic registration for the work may file an application for supplementary registration. See 37 C.F.R. 201.5(b)(1).
- 1504.08        Supplementary registrations: their effect. The following are effects of making a supplementary registration.
- 1504.08(a)    New registration number and certificate. The Copyright Office will assign to a supplementary registration a new registration number in the appropriate class, and issue a certificate of supplementary registration under that number. See 37 C.F.R. 201.5(d)(1).
- 1504.08(b)    Augmenting basic registration. The information contained in a supplementary registration augments but does not supersede that contained in the basic registration. The basic registration will not be expunged or cancelled. See 17 U.S.C. 408(d) and 37 C.F.R. 201.5(d)(2).

1504            Supplementary registrations: procedures used for correcting and amplifying Copyright Office records.  
(cont'd)

1504.08        Supplementary registrations: their effect.  
(cont'd)

1504.08(c)     Cross-referencing. If the person who, or on whose behalf, an application for supplementary registration is submitted is the same as the person identified as the copyright claimant in the basic registration, the Copyright Office will place a note referring to the supplementary registration on its records of the basic registration. See 37 C.F.R. 201.5(b)(1), note 3. The Office will follow the same practice with respect to an application for supplementary registration submitted by the duly authorized agent or successor in interest of the copyright claimant in the basic registration.

NOTE: Successors in interest, for this purpose, are those who derive their title from the claimant, as for example, an assignee.

1505            Recordation of documents: procedures used for correcting and amplifying Copyright Office records. In certain cases a document may be recorded either to correct or to amplify information given in a basic registration. Such a document may be recorded at any time. See also Chapter 1600: RECORDATION OF TRANSFERS AND OTHER DOCUMENTS PERTAINING TO A COPYRIGHT.

1505.01        Recordation of documents: corrections or amplifications of completed registrations. Ordinarily, when a person who is entitled to file an application for supplementary registration wishes to correct or amplify a copyright registration, an application for supplementary registration should be submitted. See section 1504.07 above. However, if an application for supplementary registration is not appropriate, or if the application for supplementary registration is appropriate but the

1505 Recordation of documents: procedures used for correcting and amplifying Copyright Office records.  
(cont'd)

1505.01 Recordation of documents: corrections or amplifications of completed registrations.  
(cont'd)

sender insists on the recordation of a document, an affidavit or signed statement outlining the error or amplification may be recorded in the Copyright Office. In some instances, recordation of a document supporting the basis for registration of a claim to renewal copyright is required before registration can be made.

Example:

Where a renewal claim is submitted by an author whose name neither appears in the records of the original registration nor in a supplementary registration which has been cross-referenced to the original registration and the omission cannot be satisfactorily explained, registration of a renewal claim in that author's name will generally be made only if a document supporting the claim of authorship is recorded.

1505.02 Recordation of documents: correction of error in recorded document. Where errors in a document are discovered following recordation, no changes in the completed record can be made, but the sender may adopt one of three alternatives:

- 1) Submit the corrected document for recordation.
- 2) Submit a completely new document for recordation.
- 3) Record an affidavit or other signed statement describing the error in the previously recorded instrument.

- 1505            Recordation of documents: procedures used for correcting and amplifying Copyright Office records.  
(cont'd)
- 1505.03        Recordation of documents: effect. Generally, where a supplementary registration is preferable, but the sender submits a document for recordation, the Copyright Office will correspond with the sender, pointing out that no annotation will be made on the application for the basic registration. If the sender persists in requesting recordation, the document will be recorded.
- 1506            New basic registration: procedures used for correcting and amplifying Copyright Office records. Ordinarily, when an applicant wishes to correct or amplify a copyright registration, a supplementary registration is suggested. However, in some instances, a supplementary registration is not appropriate, as explained in section 1507 below, and the Copyright Office will suggest that a new basic registration be made.
- 1506.01        New basic registration: time limits. A new basic original registration may be made, if otherwise appropriate, at any time within the life of the copyright. A new basic renewal registration must generally be made within one year prior to the expiration of the original term of copyright. See Chapter 1300: RENEWAL OF COPYRIGHT.
- 1506.02        New basic registration: effect. A basic registration generally stands by itself. Where, however, a new basic registration is made to correct an earlier basic registration, the earlier basic registration will be annotated to reflect the later registration.
- 1507            Special situations relating to corrections and amplifications of Copyright Office records. The following are examples that present problems relating to corrections and amplifications of Copyright Office records.

1507

Special situations relating to corrections and  
amplifications of Copyright Office records.  
(cont'd)

- 1507.01 Special situations relating to ownership. As explained in section 1504.01 above, a supplementary registration is generally the appropriate method for either correcting or amplifying the statement of ownership of an earlier registration. However, in some instances, a new basic registration may be acceptable.

Example:

Where someone other than the author is incorrectly identified as copyright claimant in a registration, another basic registration for the same version may be made by the author in his or her own name as copyright claimant.

- 1507.01(a) Supplementary registration acceptable:  
additional authors or claimants. Where the basic original registration was made in the name of one author who is also listed as sole claimant, the Copyright Office will accept an application for supplementary registration from additional authors who now want the record to show their authorship and ownership. However, in such cases a new basic registration may be made if the applicant so desires.

- 1507.01(b) Supplementary registration not appropriate. As explained in section 1504.04 above, a supplementary registration is not appropriate as an amplification to reflect the ownership, division, allocation, licensing, or transfer of rights in a work, whether at the time basic registration was made or thereafter.

Examples:

- 1) Authors A and B are identified as co-claimants on the basic registration but they wish to reflect an allocation of ownership of 25 percent to A and 75

- 1507            Special situations relating to corrections and amplifications of Copyright Office records.  
(cont'd)
- 1507.01        Special situations relating to ownership.  
(cont'd)
- 1507.01(b)     Supplementary registration not appropriate.  
(cont'd)
- Examples: (cont'd)
- 1) (cont'd)
- percent to B. A supplementary registration is not acceptable. An appropriate document may be submitted for recordation.
- 2) A and B are named as co-authors and co-claimants of the words and music to three songs covered by a single unpublished registration. A wishes the records of the Copyright Office to reflect that he was the sole author and claimant of the words and music to two of the songs and that he and B are co-authors and co-claimants of only the third song. The Office will accept an application for supplementary registration to correct the authorship and ownership of the two songs authored by A, and to show that the claim covers only those two songs in the original collection. Also, a new basic registration should be made for the song which was co-authored by A and B.
- 1507.01(c)     Transfer of ownership. Where an application for supplementary registration is submitted to reflect a transfer of copyright ownership, the Copyright Office will refuse registration but will suggest the recordation of the document of transfer. The Office will not make a supplementary registration as a means of reflecting a transfer of ownership.

- 1507            Special situations relating to corrections and amplifications of Copyright Office records.  
(cont'd)
- 1507.01        Special situations relating to ownership.  
(cont'd)
- 1507.01(d)     Supplementary registration requested to correct statement as to rightful claimant.  
An application for supplementary registration may be accepted to correct a statement as to the rightful claimant in an unpublished registration effective on or after January 1, 1978, or a work first published after that date. See also section 1507.01(a) above.
- NOTE: Thus, where a registration was authorized but the wrong name was given as claimant, the Copyright Office will accept an application for supplementary registration.
- 1507.01(e)     Statutory copyright secured before 1978.  
Where statutory copyright was secured before 1978, and the allegation is that a different claimant owned the copyright at the time of basic registration, the Copyright Office will refuse an application for supplementary registration. A document conveying rights from the original claimant of record may be recorded.
- 1507.02        Change in name or address of author or claimant.  
Where an applicant wishes to correct an error or have the records of the Copyright Office reflect a change in the name or address of the author or claimant in a basic registration, the Copyright Office will accept an application for supplementary registration. If the applicant so requests, the Office will record a document reflecting such correction or change.



1507

Special situations relating to corrections and  
amplifications of Copyright Office records.  
(cont'd)

1507.02

Change in name or address of author or claimant.  
(cont'd)

Example:

The basic registration indicates that Jane Adams is the claimant. An application for supplementary registration is submitted to change the claimant's name to her married name, Jane Adams Morgan. A supplementary application reflecting such a change is appropriate.

1507.02(a)

Change or error in name of corporate entity or other organization. When an applicant wishes to have the records of the Copyright Office reflect a change in the name of a corporate entity or other organization, the Copyright Office will accept an application for supplementary registration, and where it is likely that an official document changing the name exists, the Office may suggest that the document be recorded.

1507.03

Change of domicile, citizenship, and place of publication. Where an applicant wishes to correct an error in the basic registration with respect to the domicile or citizenship of an author or the place of publication of a work, the Copyright Office will generally accept an application for supplementary registration. If, however, the correction would affect the eligibility of the work for U.S. copyright protection, the Office will write and point out to the sender the consequences. If the work was not eligible for U.S. copyright protection on the effective date of the basic registration, that registration will be cancelled. The application for supplementary registration will be filed without action.

NOTE: In no case will the acceptance by the Copyright Office of an application for supplementary registration result in the cancellation of a preexisting basic registration, unless the applicant on the supplementary registration is the same as the applicant on the basic registration.

- 1507            Special situations relating to corrections and amplifications of Copyright Office records.  
(cont'd)
- 1507.04            Problems relating to title of work. Where an applicant wishes to reflect a change or correction of title or the addition of a subtitle in a basic registration, the Copyright Office will accept an application for supplementary registration. The recordation of a document should not be suggested for the purpose of reflecting a change of title. Nevertheless, the Office will record such a document if the sender insists, after the sender has been notified that no annotation will be made on the application or catalog entries of the basic registration.
- 1507.05            Problems relating to authorship. Problems relating to authorship include the following.
- 1507.05(a)            Problems relating to authorship: name of author omitted. Where the name of an author was omitted from the application for the basic registration, supplementary registration is appropriate. In those cases where a transfer statement would have been required on the application for the basic registration, if that author's name had been included, a transfer statement will be required on the application for supplementary registration. Where the name of the person being added did not appear anywhere on the records of registration, some documentation confirming that the person is an author may be requested.
- 1507.05(b)            Problems relating to authorship: deletion of name. Where applicant states that the application for basic registration erroneously included a name as author which the applicant wishes to delete, the Copyright Office will accept an application for supplementary registration. In certain instances, the Office may request additional supporting statements.

1507            Special situations relating to corrections and amplifications of Copyright Office records.  
(cont'd)

1507.05            Problems relating to authorship. (cont'd)

1507.05(c)            Problems relating to authorship: employment-for-hire statement omitted, given in error, or stated erroneously. Where an employment-for-hire statement was either omitted, given in error, or stated erroneously, the Copyright Office will accept an application for supplementary registration which should include in appropriate cases a new or corrected transfer statement.

1507.06            Problems relating to nature or extent of authorship. Where an applicant wishes either to correct or to amplify the statement of the nature of authorship on a basic registration, an application for supplementary registration may be submitted. In certain instances, it will be necessary to examine the work either by obtaining the deposited material or by requesting additional material from the applicant or from the collections of the Library of Congress.

Examples:

- 1) The original registration limited the claim to compilation. An application for supplementary registration is submitted to make "editing" the basis of the claim. If statements on the copy suggest that there is substantial editing, the supplementary claim will be registered.
- 2) An application for supplementary registration is submitted adding a new author whose only contribution is "cover art." Examination of the copy reveals that the artwork on the cover is not registrable. Supplementary registration will be refused.

- 1507            Special situations relating to corrections and amplifications of Copyright Office records.  
(cont'd)
- 1507.07            Problems relating to status of work. The following problems relate to the status of a work.
- 1507.07(a)            Published work registered as unpublished. Where a published work was incorrectly registered as unpublished, a supplementary registration is generally inappropriate, since the deposit requirements will not ordinarily have been met. In such cases, a new basic registration should be made. See also section 1507.08(d).
- 1507.07(b)            Unpublished work registered as published. Where an unpublished work was registered as published, the Copyright Office will accept an application for supplementary registration.
- 1507.07(c)            Incorrect date of creation. Generally, the Copyright Office will accept an application for supplementary registration to correct the statement of the date of creation of a work. However, the date of creation given in the supplementary registration must be the same as, or earlier than, the year date of the effective date of the basic registration, or if the work is published, the year date must be the same as, or earlier than, the year of first publication.
- 1507.07(d)            Incorrect date of publication. Generally, the Copyright Office will accept an application for supplementary registration to correct the date of publication of a work. However, in the case of a work published before January 1, 1978, the Office will refuse to accept an application for supplementary registration correcting the date of publication if, according to the records of the basic registration, the original term of copyright has expired.

1507 Special situations relating to corrections and amplifications of Copyright Office records.  
(cont'd)

1507.07 Problems relating to status of work. (cont'd)

1507.07(d) Incorrect date of publication. (cont'd)

NOTE: In all cases involving a change in the date of publication, the Examiner must also consider the deposit requirements applicable on the effective date of the basic registration. See section 1507.08 below.

1507.07(d)(1) Applicable notice requirements. If the work was published before 1978, the Examiner must also consider the applicable notice requirements. See the provisions of Chapter 4 of Compendium I, including situations where no notice was required, under the Regulations of the Copyright Office then in effect, for certain works first published outside the United States. In the case of works published before 1978, the following practices apply:

- \* If the change in the date of publication makes the notice antedated, the application for supplementary registration will be annotated to reflect the date in the notice. The applicant must be notified as to the effect upon the term of copyright.
- \* If the change in the date of publication makes the notice postdated by more than one year, supplementary registration will be refused, and the original registration will be cancelled.
- \* If the change in the date of publication makes the notice postdated by one year, supplementary registration will be made and the applicant will be notified of the doubtful validity of the claim.

1507

Special situations relating to corrections and  
amplifications of Copyright Office records.  
(cont'd)

1507.07 Problems relating to status of work. (cont'd)

1507.07(d) Incorrect date of publication. (cont'd)

1507.07(d)(1) Applicable notice requirement. (cont'd)

NOTE: If the work was published before 1978 without the required notice, supplementary registration will be refused and the original registration will be cancelled.

1507.08 Problems relating to deposits. Supplementary registration can be used only to correct errors or amplify facts stated in an earlier application for a registration that has been completed. An application for supplementary registration is not appropriate to correct a defect in the deposit, changes in the content of the work, or errors in statements or notices on the copies or phonorecords of the work in question. Also, where a change in the date of publication results in the applicable deposit requirements not being satisfied, a new basic registration would be in order, since an appropriate deposit should be submitted.

1507.08(a) New versions. If a work has been changed since registration was made, and if the changes are sufficient to be the basis of a registration, the proper procedure would be to make a basic registration for the revised version to reflect the additions or revisions.

1507.08(b) Addenda and errata sheets. Where the applicant voluntarily deposits addenda or errata sheets for published works to be included and/or attached to the deposit copies after registration has been completed, such items should be referred with

1507            Special situations relating to corrections and  
amplifications of Copyright Office records.  
(cont'd)

1507.08            Problems relating to deposits.    (cont'd)

1507.08(b)            Addenda and errata sheets.    (cont'd)

a memorandum of transmittal to the Chief, Acquisitions and Processing Division of the Copyright Office. Where the material to be substituted or added to the deposit copy of an unpublished work contains sufficient copyrightable new matter to support a new registration, the Copyright Office will suggest that a new basic registration be made for the revised version.

1507.08(c)            Addition or correction of copyright notice.  
Neither a supplementary registration nor a new basic registration is appropriate to reflect the addition or correction of a copyright notice on copies or phonorecords deposited to make an earlier registration.

1507.08(d)            Applicable deposit requirements not met.  
Where the applicable deposit requirements were not met, a new basic registration is in order.

Examples:

- 1) The basic registration indicates that the work was unpublished; the applicant now states that on the effective date of registration the work was actually published. A new application for a basic registration should be submitted with the required deposit and fee.
- 2) The basic registration states that the work was first published in 1979. The applicant now asserts that the work was actually first published in 1977. Since copies as first published are required for works first published before 1978, an application for a basic registration

1507

Special situations relating to corrections and  
amplifications of Copyright Office records.  
(cont'd)

1507.08 Problems relating to deposits. (cont'd)

1507.08(d) Applicable deposit requirements not met.  
(cont'd)

Examples: (cont'd)

2) (cont'd)

accompanied by the required deposit should be submitted. If, however, the work was first published without an acceptable copyright notice, the basic registration will be cancelled.

3) A published registration made in 1978 gives the date of publication as December 27, 1977. The applicant now states that the work was actually published on November 5, 1978. If the copies or phonorecords deposited in connection with the earlier registration were not of the best edition as of the effective date of that registration, a new basic registration should be made. If, however, the copies deposited earlier are the best editions as of the date of the first registration, a supplementary registration may be made to correct the date of publication.

1507.09 Problems relating to extent of claim. The Copyright Office will accept an application for supplementary registration in order to add, correct, or amplify a statement relating to the extent of claim which was omitted or given in error on the basic registration. Ordinarily, examination of the original deposit will be necessary.

1507.10 Problems relating to recorded documents. A supplementary registration is not appropriate to change the contents of a document previously recorded in the Copyright Office. See section 1505.02 above.



1507 Special situations relating to corrections and  
amplifications of Copyright Office records.  
(cont'd)

1507.11 Examining Division error. Where it is discovered that the record of a basic registration contains an error that the Copyright Office itself should have recognized at the time registration was made, supplementary registration is not appropriate. The Office will take measures to rectify its error. See 37 C.F.R. 201.05(a)(2).

1507.12 Earlier registration not authorized. If an applicant states that an earlier registration was made without the authorization of a person legally entitled to apply for registration, the Copyright Office will suggest that a complete new registration be made by the applicant. No cross reference will be made on either registration. See section 108.06 of Chapter 100: BASIC POLICIES.

1507.13 Problems relating to minor errors. An application for supplementary registration that has been filed to correct what may seem to be even extremely minor errors or changes will not be refused.

Examples:

1) Title on certificate: SWAN SONG

Title on deposit: THE SWAN SONG

Title as corrected on Form CA: THE SWAN  
SONG

2) Title on certificate: I'LL LOVE YOU

Title on deposit: I'LL LOVE YOU

Title as changed on Form CA: I'LL LOVE YOU  
(FOREVER)

1507

Special situations relating to corrections and  
amplifications of Copyright Office records.  
(cont'd)

1507.13

Problems relating to minor errors. (cont'd)

3) Name on certificate: John Munroe

Name on deposit: John D. Munroe

Name as amplified on Form CA: John Drummond  
Munroe

4) Name on certificate: Jonh Francis Bacon

Name on deposit: John F. Bacon

Name as corrected on Form CA: John Francis  
Bacon

5) "Material Added" statement on certificate:  
additional words and music.

New matter as amplified on Form CA: words  
in chorus added and 16 bars of new music.

1507.14

Abandonment of copyright or copyright claim.  
There is no provision in the copyright statute  
for abandoning a copyright or copyright claim  
or any of the rights therein. However, the  
Copyright Office will record an affidavit or  
other statement, signed by all of the copyright  
owners, purporting to abandon the copyright,  
without expressing any opinion concerning its  
legal effect. In such cases, the Copyright  
Office will request the return of the original  
certificate of registration.

1508

Completion of Form CA. The information provided on  
Form CA should agree exactly with the information  
as it already appears in the basic registration  
that has been made for the work. Generally, the  
Form CA should be compared with the basic regis-  
tration to be corrected or amplified.

1508.01

Completion of Form CA: identification of work.  
To identify the work, the following information  
should be given:

1508

Completion of Form CA. (cont'd)

1508.01

Completion of Form CA: identification of work.  
(cont'd)

- 1) The title of the work as it appears in the basic registration, including previous or alternative titles, if they appear;
- 2) The registration number of the basic registration;
- 3) The year when the basic registration was completed; and
- 4) The name or names of the author or authors of the work, and the copyright claimant or claimants in the work, as they appear in the basic registration.

See 37 C.F.R. 201.5(c)(1)(i) to (iv).

1508.01(a)

Minor error. If certain information given on the Form CA is incorrect, and the error is minor, the Copyright Office may correct the error without correspondence.

1508.01(b)

Missing information. If less than all the information requested above in section 1508.01 is given, but sufficient information (more than a title) is given to identify the basic registration with certainty, the Copyright Office will add by annotation the missing information from its records at the appropriate space on the application form. Where the information given on the Form CA is insufficient to identify the basic registration, the Office will communicate with the applicant.

1508.02

Completion of Form CA: correction space. This space should be completed only if the information in the basic registration was incorrect at the time the basic registration was made. The following information should be given:

1508

Completion of Form CA. (cont'd)

1508.02

Completion of Form CA: correction space.  
(cont'd)

- 1) The line number and heading or description of the part of the basic registration where the error occurred;
- 2) A transcription of the erroneous information as it appears in the basic registration;
- 3) A statement of the correct information as it should have appeared; and
- 4) If applicant so desires, an explanation of the error or its correction.

See 37 C.F.R. 201.05(c)(1)(v).

1508.03

Completion of Form CA: amplification space.  
This space should be completed only for the following reasons:

- 1) To reflect additional information that could have been given, but was omitted at the time basic registration was made; or
- 2) To reflect changes in facts, other than those relating to transfer, license, or ownership of rights in the work, that have occurred since the basic registration was made; or
- 3) To clarify information given in the basic registration.

1508.03(a)

Amplification space: information required.  
The following information should also be given:

- 1) The line number and heading or description of the part of the basic registration where the information to be amplified appears;

- 1508            Completion of Form CA. (cont'd)
- 1508.03        Completion of Form CA: amplification space.  
(cont'd)
- 1508.03(a)     Amplification space: information required.  
(cont'd)
- 2) A clear and succinct statement of the information to be added; and
- 3) If applicant so desires, an explanation of the amplification.
- See 37 C.F.R. 201.5(c)(1)(vi).
- 1508.04        Completion of Form CA: information not contained in appropriate space. Where the corrected or amplified information is not contained in the appropriate space, but appears elsewhere on the application form, the claim will generally be registered without correspondence.
- 1508.05        Completion of Form CA: single form sufficient for correction and amplification. A single Form CA may be used both to amplify and to correct a particular basic registration.
- Example:
- A single Form CA may be used to show a change of title and to correct the name of an author.
- 1509            Effective date of supplementary registration. The effective date of a supplementary registration is the date when the Copyright Office receives the required fee and a request for a correction or amplification which reasonably identifies the work.

[END OF CHAPTER 1500]



Chapter 1600

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RECORDATION OF TRANSFERS  
AND  
OTHER DOCUMENTS PERTAINING TO A COPYRIGHT

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Outline of Topics

- 1601        Applicability of this chapter.
- 1602        Statutory provisions relating to transfers and other documents pertaining to a copyright.
- 1602.01        Execution of transfers of copyright ownership.
- 1602.02        Recordation of transfers and other documents: conditions for recordation.
- 1603        Copyright Office policy.
- 1603.01        General rule.
- 1603.02        Exceptions.
- 1603.03        Other documents pertaining to a copyright.
- 1603.04        Recordation not required.
- 1603.05        When recordation suggested.
- 1604        The nature of the document.
- 1604.01        Recordation not a substitute for registration.
- 1604.02        Relationship between document and copyright unclear.
- 1604.03        Document apparently submitted in error.
- 1605        Formal sufficiency of document.
- 1605.01        Instrument in writing.
- 1605.02        Actual signature.
- 1605.03        Illegible document.
- 1605.04        Signature of transferor.
- 1605.05        Apparent inconsistency.
- 1605.06        Authority to sign.
- 1605.07        Signature of individual.
- 1605.08        Signatures required on work-for-hire agreements.
- 1606        Identification of parties.
- 1606.01        Failure to identify necessary parties.
- 1606.02        Indexing.
- 1606.03        One-party documents.

Chapter 1600  
RECORDATION OF TRANSFERS  
AND OTHER DOCUMENTS PER-  
TAINING TO A COPYRIGHT  
Outline of Topics

- 2 -

- 1607            Identification of subject of document.
- 1607.01        Failure to identify work.
  - 1607.02        Titles.
  - 1607.03        No titles given.
  - 1607.04        Outside sources.
- 1608            Transfer documents: words of conveyance.
- 1608.01        No clear words of conveyance.
  - 1608.02        Intention manifest.
- 1609            Completeness of document.
- 1609.01        Attachments.
- 1610            Incorporation by reference.
- 1611            Part of a larger document.
- 1612            Other formal requirements.
- 1612.01        Freedom from obvious errors.
  - 1612.02        Date of execution.
  - 1612.03        Certificate of acknowledgment.
- 1613            Documents to correct or amplify Copyright Office records.
- 1614            Recordation.
- 1614.01        Date of recordation.
  - 1614.02        Indexing.
  - 1614.03        Amendments in document submitted for recordation.
  - 1614.04        Recordable document returned.
  - 1614.05        Recording fees.
  - 1614.06        Separate transfers.
  - 1614.07        Titles.
  - 1614.08        Pages.



- 1615            Termination of transfers and licenses granted by the  
author under the extended renewal term.
- 1615.01        Statutory provision.
  - 1615.02        Advance notice and service.
  - 1615.03        Time limits.
  - 1615.04        Forms.
  - 1615.05        Contents of notice.
  - 1615.06        Signature.
  - 1615.07        Service.
  - 1615.08        Scope of examination.
  - 1615.09        Recordation.
  - 1615.10        Recordation without prejudice.
  - 1615.11        Date of recordation.
- 1616            Termination of transfers and licenses granted by the  
author on or after January 1, 1978.



## Chapter 1600

### RECORDATION OF TRANSFERS AND OTHER DOCUMENTS PERTAINING TO A COPYRIGHT

1601

Applicability of this chapter. This chapter contains the requirements for the recordation of transfers and other documents pertaining to a copyright under 17 U.S.C. 205, and the termination of transfers and licenses granted by the author covering the extended renewal term under 17 U.S.C. 304(c). The practices concerning the filing or recordation of the following documents are not included either in this chapter or elsewhere in Compendium II, and requirements other than those in this chapter may apply.

- 1) Notices of Identity and Signal Carriage Complement, and Statement of Account of cable systems. See 17 U.S.C. 111(d) and 37 C.F.R. 201.11 and 201.17.
- 2) Certain contracts entered into by cable systems located outside of the 48 contiguous States. See 17 U.S.C. 111(e) and 37 C.F.R. 201.12.
- 3) Original, signed notices of intention to obtain compulsory license to make and distribute phonorecords of nondramatic musical works. See 17 U.S.C. 115(b) and 37 C.F.R. 201.18.
- 4) License agreements, and terms and rates of royalty payments, voluntarily negotiated between one or more public broadcasting entities and certain owners of copyright. See 17 U.S.C. 118 and 37 C.F.R. 201.9.
- 5) Notification of filing and determination of actions. See 17 U.S.C. 508 and Federal Register for June 2, 1978, 43 Fed. Reg. 24151 (1978), as modified in Federal Register for June 19, 1980, 45 Fed. Reg. 41548.
- 6) Statements regarding the identity of authors of anonymous and pseudonymous works, and statements relating to the death of authors. See 17 U.S.C. 302.

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- 1602      Statutory provisions relating to transfers and other documents pertaining to a copyright. The following are the principal statutory provisions relating to transfers and other documents pertaining to a copyright.
- 1602.01      Execution of transfers of copyright ownership.  
A transfer of copyright ownership, other than by operation of law, is not valid unless an instrument of conveyance, or a note or memorandum of the transfer, is in writing and signed by the owner of the rights conveyed or such owner's duly authorized agent. 17 U.S.C. 204.
- 1602.02      Recordation of transfers and other documents: conditions for recordation. Any transfer of copyright ownership or other document pertaining to a copyright may be recorded in the Copyright Office if the document filed for recordation bears the actual signature of the person who executed it, or if it is accompanied by a sworn or official certification that it is a true copy of the original, signed document. 17 U.S.C. 205(a).
- 1603      Copyright Office policy. The Copyright Office will generally not attempt to judge the legal sufficiency or interpret the substantive contents of a purported transfer; recordation will be made if the formal requirements have been met. However, a document will be examined to determine whether the requirements for recordation have been met.
- 1603.01      General rule. If the document purports to be a transfer of a copyright and is signed by the owner of the rights conveyed, the owner's authorized agent, or one entitled to make the transfer, it will be indexed as a "transfer."
- 1603.02      Exceptions. In exceptional cases, where it seems clear that the recordation of a document will not accomplish what was intended by the person who submitted it, the Copyright Office will in the first instance communicate with that person. If such person reasserts his or her request for recordation, the Copyright Office will record the document.

1603 Copyright Office policy. (cont'd)

1603.03 Other documents pertaining to a copyright. Any other document, including a self-serving declaration, will be recorded in the Copyright Office, if it pertains to a copyright. A document shall be considered to "pertain to a copyright" if it has a direct or indirect relationship to the existence, scope, duration, or identification of a copyright, or to the ownership, division, allocation, licensing, transfer, or exercise of rights under a copyright. That relationship may be past, present, future, or potential. See 37 C.F.R. 201.4.

1603.04 Recordation not required. In general, the Copyright Office does not require the recordation of documents. However, in certain cases, recordation of an affidavit or other document may be required as a condition of renewal registration or of annotation of completed Copyright Office records.

## Example:

Where a renewal claim is submitted by an author whose name appears nowhere in the Copyright Office records in connection with the original registration and the omission of his or her name cannot be satisfactorily explained, registration of a renewal claim in that author's name will be made only if a document supporting the claim of authorship is recorded.

1603.05 When recordation suggested. Even though the Copyright Office does not generally require recordation of documents, it may point out the recordation provisions of the law and suggest the desirability of recording an instrument.

## Example:

An application for registration is submitted where a claim in the same work has already been registered in the name of the prior owner of copyright. When the second registration is sought to reflect the change of ownership, the Copyright Office will refuse to make a second registration, but will point out the desirability of reflecting the change in ownership by recording the instrument of transfer.

1604

The nature of the document. The document may be questioned by the Copyright Office, unless it perceives some direct or indirect relationship to a copyright.

Examples:

- 1) A bill of sale of a business.
- 2) A birth or death certificate.
- 3) A blanket power of attorney.

1604.01

Recordation not a substitute for registration. A document may be recorded even if a claim to copyright in the work to which it refers has not been registered for copyright. However, where it is clear that the applicant is seeking to substitute recordation of a document for registration of a claim, or to assert by recordation a claim for which registration would be refused, recordation of the document will be discouraged.

1604.02

Relationship between document and copyright unclear. Where the relationship between the document to be recorded and copyright is unclear or obscure, recordation will be delayed and the sender may be asked his or her purpose in submitting the instrument.

Examples:

- 1) A document consisting of a collection of newspaper clippings referring to a nightclub performer.
- 2) A bill of lading referring to a shipment of motion picture films.

1604.03

Document apparently submitted in error. Where it seems probable that the document has been submitted to the Copyright Office in error, it may be questioned or, in clear cases, returned without recordation.

Example:

An assignment of rights in a trademark or patent.

1605

Formal sufficiency of document. In order to be regarded as a "transfer," a document must generally meet the following formal requirements:

- 1) It must be "an instrument in writing."
- 2) It must be signed by the owner of the rights conveyed or by such owner's duly authorized agent.
- 3) It must identify the transferor and transferee.
- 4) It must contain words of conveyance.
- 5) It must be complete by its own terms.

1605.01

Instrument in writing. To be recordable, the instrument must be in writing. The Copyright Office does not provide, suggest, or require any special form for the transfer of a copyright or other document pertaining to a copyright. Any type of legible document which meets the other formal requirements will be accepted for recordation, if it contains an individual's actual signature.

Examples:

- 1) Handwritten or typewritten original.
- 2) Transfer in the form of a letter.
- 3) Carbon of original.
- 4) Mimeographed original.
- 5) Printed original.

1605.02

Actual signature. To be recordable, the document must bear the actual signature or signatures of the person or persons who executed it. Alternatively, the document may be recorded if it is a legible photocopy or other full-size facsimile reproduction of the signed document, accompanied by a sworn certification or an official certification that the reproduction is a true copy of the signed document. Any sworn certification accompanying a reproduction shall be signed by at least one of the persons who

1605 Formal sufficiency of document. (cont'd)

1605.02 Actual signature. (cont'd)

executed the document, or by an authorized representative of that person. See 17 U.S.C. 205 and 37 C.F.R. 201.4(c)(1).

1605.02(a) Sworn certification. A "sworn certification" is an affidavit under the official seal of any officer authorized to administer oaths within the United States, or if the original is located outside of the United States, under the official seal of any diplomatic or consular officer of the United States or of a person authorized to administer oaths whose authority is proved by the certificate of such an officer, or a statement in accordance with section 1746 of title 28 of the United States Code. 37 C.F.R. 201.4(a)(3)(i).

1605.02(b) Official certification. An "official certification" is a certification, by the appropriate Government official, that the original of the document is on file in a public office and that the reproduction is a true copy of the original. See 37 C.F.R. 201.4(a)(3)(ii).

Examples:

- 1) Copy of a certificate of corporate merger, bearing the certification of the Secretary of State.
- 2) Court decree establishing a change of name of a person, certified by the clerk of the court.

1605.03 Illegible document. An illegible document or one which cannot be reproduced legibly on microfilm will not be accepted for recordation. See 37 C.F.R. 201.04(c)(3).

1605.04 Signature of transferor. As a rule, the document to be recorded should contain the actual handwritten signature of the person executing the document or of such owner's duly authorized agent. See 37 C.F.R. 201.4(c)(1).



- 1605            Formal sufficiency of document. (cont'd)
- 1605.04            Signature of transferor. (cont'd)
- 1605.04(a)            Unsigned document. An unsigned document will be returned for signature before recordation.
- 1605.04(b)            Two-party instrument. In the case of a two-party instrument which on its face calls for the signature of both parties, the lack of the signature of one of the parties will be questioned.
- 1605.04(c)            Multi-party instrument. If a number of transferors are identified in the body of the document, and spaces have been provided for the signatures of all of them, the document will be questioned if any of the signatures is missing, unless an additional copy of the document containing the missing signatures is submitted for recordation at the same time. Each such instrument of transfer is indexed only under the particular signatures it contains.
- 1605.04(d)            Signature of transferee not required. The signature of the transferee is not a requirement, and the lack of the transferee's signature will not be questioned unless the instrument involves mutual undertakings requiring the transferee's signature for its validity.
- 1605.05            Apparent inconsistency. When there is an apparent inconsistency between the person named in the body of an instrument as transferor and the person whose signature appears on it, the document is questioned.
- 1605.05(a)            Corporation or other impersonal legal entity as transferor. If the transferor is a corporation or other impersonal legal entity, the capacity of the individual executing the document on behalf of the transferor should be specified. If, however, the capacity is not shown on the document, the Copyright Office will generally not question the omission.

1605 Formal sufficiency of document. (cont'd)

1605.05 Apparent inconsistency. (cont'd)

1605.05(b) Document signed by legal representative or attorney-in-fact. If the document has been signed by a legal representative (e.g., executor, administrator, or trustee) or attorney-in-fact of an individual, the document will be questioned unless the individual's capacity is specifically stated.

1605.05(c) Reconcilable variance between names: indexing. When there is a reconcilable variance between the signature on the document and the name of the transferor appearing in the body of the document, the instrument will generally be indexed under what can be determined to be the fullest form of the legal name. The document will generally not be indexed under the name of an agent or official of a corporation or other impersonal legal entity, although cross-references under his or her name may be appropriate in certain cases. Where the document has been signed by a legal representative or attorney-in-fact, it will be indexed under the name of the person whom the signer represents, and cross-references may be made under the name of the signer.

1605.06 Authority to sign. The Copyright Office does not conduct searches in order to determine whether a document has been signed by the owner of the copyright as shown in its records; nor will it question the authority of a particular person to sign as copyright owner. However, if the capacity indicated in the instrument is not one that would ordinarily entitle the person to bind the organization, the Copyright Office will request clarification before completing the processing of the document.

Examples:

- 1) A document executed on behalf of a publishing company signed by an attorney purporting to represent the company will not be questioned.
- 2) A transfer of copyright in a musical work executed by the publisher's bookkeeper will be questioned.

1605 Formal sufficiency of document. (cont'd)1605.06 Authority to sign. (cont'd)

1605.06(a) Signer is not copyright owner. In certain cases, where it seems clear from correspondence or other material in the file that the person signing the document is not the copyright owner, the Copyright Office will call the discrepancy to the attention of the sender, but will not refuse to record the document if the sender continues to request recordation.

1605.06(b) Contribution to a periodical. No question will ordinarily be raised in the case of a transfer of copyright in a contribution to a periodical signed in the name of the periodical rather than that of its publisher.

## Example:

Transfer of copyright in a magazine article is signed in the name of The Saturday Evening Post rather than its publisher, Curtis Publishing Company.

1605.07 Signature of individual. As a rule, the signature should be the actual handwritten signature of an individual person, and should give the individual's own name rather than that of the person or organization he or she may represent.

## Examples:

- 1) A pencil signature is acceptable.
- 2) A hand-printed signature is acceptable.
- 3) A printed, typewritten, rubber-stamped, or facsimile signature will be questioned.
- 4) A person's mark is acceptable if accompanied by another person's signature attesting to its authenticity.
- 5) The signature need not be legible or include the full name of the signer, if the name is sufficiently identified elsewhere in the document; but initials or a monogram will generally not be regarded as a signature.

1605 Formal sufficiency of document. (cont'd)

1605.08 Signatures required on work-for-hire agreements.  
 The statute defines a work made for hire as a work prepared by an employee within the scope of his or her employment, or a work specially ordered or commissioned for use as a contribution to a collective work, as a part of a motion picture or other audiovisual work, as a translation, as a supplementary work, as a compilation, as an instructional text, as a test, as answer material for a test, or as an atlas, if the parties expressly agree in a written instrument signed by them that the work shall be considered a work made for hire. See 17 U.S.C. 101. An employment for hire agreement signed by both parties may be recorded in the Copyright Office under 17 U.S.C. 205 as a "document pertaining to a copyright." However, if the agreement is not signed by both parties, the Copyright Office will call this omission to the attention of the sender, but will not refuse to record the document if the sender continues to request recordation.

1606 Identification of parties. In general, any document purporting to transfer a copyright or rights under a copyright should clearly identify the transferee as well as the transferor.

1606.01 Failure to identify necessary parties. Documents which fail to identify the necessary parties will be questioned, but recordation will not be refused if, following correspondence, the sender continues to request recordation.

## Examples:

- 1) "I, John Doe, do hereby assign all rights, including copyright, in the work entitled HOW TO BURN TOAST." (Transferee not named).
- 2) ". . . copyright is hereby assigned to Richard Roe, as Executor of the author . . . ." (The author not identified by name.)

1606.02 Indexing. When a document which fails to identify the necessary parties is recorded, it will be indexed only under the names it contains; no indexing will be done under other names furnished in correspondence or elsewhere. See section 1614.02 below.

1606 Identification of parties. (cont'd)

1606.03 One-party documents. A document which necessarily involves only one party (e.g., an affidavit) will be indexed under the single name involved.

1607 Identification of subject of document. Recordation of a document gives all persons constructive notice of the facts stated in the recorded document, but only if both of the following two conditions are met:

- 1) The document, or material attached to it, specifically identifies the work to which it pertains so that, after the document is indexed by the Copyright Office, it would be revealed by a reasonable search under the title or registration number of the work; and
- 2) Registration has been made for the work.

See 17 U.S.C. 205(c).

1607.01 Failure to identify work. A document which fails to identify the work will be questioned.

Examples:

- 1) A document containing the statement "I hereby assign my copyright to the ABC Music Co."
- 2) ". . . copyright in OPENING CHORUS is hereby assigned . . . ." (Reference being to only a part of the work.)
- 3) If the title or other identification of a work appears to have been inadvertently omitted.

1607.02 Titles. If the material which is the subject of the document is otherwise adequately identified, the document need not contain the title under which the work was registered.

1607.02(a) Abbreviated title or different title or different descriptive phrase. An abbreviated or entirely different title, or a different descriptive phrase, may be employed.

- 1607            Identification of subject of document. (cont'd)
- 1607.02        Titles. (cont'd)
- 1607.02(a)     Abbreviated title or different title or different descriptive phrase. (cont'd)
- Examples:
- 1) "This Year's Sales Manual" instead of "This Year's Fabulous Deals."
- 2) "Style No. 173B" instead of "Field Flowers."
- 1607.02(b)     Registration number used instead of title.  
The registration number may be used instead of the title.
- 1607.02(c)     Blanket transfer. A blanket transfer, in which no individual titles are given, will be recorded without question.
- Example:
- "Copyrights in all the published works of John Doe are hereby assigned . . . ."
- 1607.03        No titles given. When a document in which no titles are specified is recorded, the catalog entry will contain the notation: "No Titles Given."
- 1607.04        Outside sources. A document will be indexed solely under the titles or other identifying matter it contains; no information from sources outside the document will be supplied. Thus, for example, the Copyright Office will not index titles given only in a covering letter.
- 1608            Transfer documents: words of conveyance. A document purporting to be a transfer should contain words to the effect that copyright ownership is being conveyed.
- Example:
- "I, John Doe, do hereby assign, sell, transfer, grant, and convey copyright in 'I Love You Truly' to the ABC Publishing Co., Inc."

- 1608            Transfer documents: words of conveyance. (cont'd)
- 1608.01        No clear words of conveyance. Where a document purports to be a transfer, but lacks clear words of conveyance, the document will generally be recorded without questioning it.
- 1608.02        Intention manifest. Where the intention to transfer the copyright is manifest from a reading of the document as a whole, the fact that the document is in the form of a letter or inexactly or vaguely worded will not preclude its recordation as a transfer.
- 1609           Completeness of document. In general, a document will not be recorded unless it is complete by its own terms.
- 1609.01        Attachments. A document that contains a reference to any schedule, appendix, exhibit, addendum, or other material as being attached to the document or made a part of it shall be recordable only if the attachment is also submitted for recordation with the document or if the reference is deleted by the parties to the document.
- 1609.01(a)     Document returned for amendment. If a document has been submitted for recordation and has been returned by the Copyright Office at the request of the sender for deletion of the reference to an attachment, the document will be recorded only if the deletion is signed or initialed by the persons who executed the document or by their authorized representatives.
- 1609.01(b)     Exceptional cases. In exceptional cases, a document containing a reference to an attachment will be recorded without the attached material and without deletion of the reference if the sender asserts in writing that all three of the following factors exist and specifically requests that the document be recorded as submitted: (1) the attachment is completely unavailable for recordation; and (2) the attachment is not essential to identify the subject matter of the document; and (3) it would be impossible or wholly impractical to have the parties to the document sign or initial a

1609            Completeness of document. (cont'd)

1609.01        Attachments. (cont'd)

1609.01(b)     Exceptional cases. (cont'd)

deletion of the reference. In such cases, the Copyright Office record of the document will be annotated to show that recordation was made in response to a specific request.

See 37 C.F.R. 201.4(c)(2).

1610            Incorporation by reference. When the document submitted for recordation merely identifies or incorporates by reference another document, or certain terms of another document, the Copyright Office will raise no question of completeness, and will not require recordation of the other document. 37 C.F.R. 201.4(c)(2)(iii).

Example:

A document reads in part as follows: "In accordance with the terms of mutual undertaking previously entered into between the parties on January 2, 1978, which is incorporated by reference herewith, John Doe hereby transfers . . . ."

1611            Part of a larger document. If a document otherwise recordable indicates on its face that it is a self-contained part of a larger document, e.g., where it is marked "Attachment A" or "Exhibit B," the Copyright Office will raise the question of completeness, but will record the document if the person requesting recordation asserts that the document is sufficiently complete as it stands. See 37 C.F.R. 204(c)(2)(ii).

1612            Other formal requirements. The following are other formal requirements relating to transfers and other documents pertaining to a copyright.

1612.01        Freedom from obvious errors. As a rule no attempt is made to verify the facts stated in the document submitted for recordation; titles, registration numbers, authors, dates, and the like are transcribed without checking their accuracy. However, when an obvious error of a material nature is recognized in the ordinary examination of the document, the document is returned for correction;



1612 Other formal requirements. (cont'd)1612.01 Freedom from obvious errors. (cont'd)

in such cases, the Copyright Office will suggest the desirability of having any changes in the document initialed by all the persons who executed the document.

## Examples:

- 1) A document submitted for recordation in a particular year gives a later year as the date of execution.
- 2) The names of the transferor and transferee are accidentally reversed.

NOTE: Although names and titles will generally be indexed exactly as they appear in the document, where there is a minor typographical error made in the document, the document will be indexed under the correct name or title.

## Examples:

- 1) "Great Russiand Short Stories"
- 2) "Macame Du Barry"

1612.02 Date of execution. The document to be recorded need not bear a date. However, if it does state a date of execution, this information will be transcribed on the catalog entry. While 17 U.S.C. 205 provides certain consequences for failure to record a transfer within one month after its execution in the United States or within two months after its execution outside the United States, the Copyright Office will record a document at any time after its execution.

1612.03 Certificate of acknowledgment. A certificate of acknowledgment is not required for the validity of a transfer, but is prima facie evidence of the execution of the transfer if:

- 1) In the case of a transfer executed in the United States, the certificate is issued by a person authorized to administer oaths within the United States; or

- 1612            Other formal requirements. (cont'd)
- 1612.03        Certificate of acknowledgment. (cont'd)
- 2) In the case of a transfer executed in a foreign country, the certificate is issued by a diplomatic or consular officer of the United States, or by a person authorized to administer oaths whose authority is proved by a certificate of such an officer, or by a competent foreign authority pursuant to the provisions of the 1961 Hague Convention Abolishing the Requirement of Legalization for Foreign Public Documents (i.e., the apostille procedure).
- See 17 U.S.C. 204(b).
- 1613            Documents to correct or amplify Copyright Office records.  
In certain circumstances, recordation of a document is the appropriate means of correcting or amplifying a completed Copyright Office record. However, the Office suggests that an application for supplementary registration be submitted in most such cases. Nevertheless, if the sender insists, the Office will in any case accept for recordation a document giving the pertinent information. For detailed practices in this connection, see Chapter 1500: CORRECTIONS AND AMPLIFICATIONS OF COPYRIGHT OFFICE RECORDS; SUPPLEMENTARY REGISTRATIONS.
- 1614            Recordation. In general, the recordation procedure includes initial examination of documents for formal sufficiency, determination of the recording fee, assigning identifying volume and page numbers, microfilming the document, preparing an index entry under the appropriate names and titles, and returning the recorded document with a certificate of record.
- 1614.01        Date of recordation. The date of recordation is the date upon which the last necessary element (acceptable document and required fee) is received in the Copyright Office. See 37 C.F.R. 201.4.
- 1614.01(a)     Document returned for correction. When a document is returned to the sender for correction, the date on which the corrected document is received in the Copyright Office is generally regarded as the date of recordation.

1614 Recordation. (cont'd)1614.01 Date of recordation. (cont'd)

1614.01(b) Less than entire fee received. When less than the entire fee is received in the Copyright Office, together with the document in recordable form, the date of recordation is the date on which the amount of the total required fee is received in the Copyright Office.

## Example:

If a document containing three titles is received in recordable form, together with only the basic fee for recordation of a document, the date of recordation is the date on which the fee covering the additional titles is received in the Copyright Office.

1614.02 Indexing. A recorded document is indexed under the names of the parties and the titles listed in the document. The catalog entry contains the date of recordation, the inclusive volume and page numbers assigned to the document, and the following information, if given in the document: the date of execution, the names of the authors, and the registration number and year date of registration.

1614.03 Amendments in document submitted for recordation. The Copyright Office will not itself make any changes or corrections in a document submitted for recordation, even when specifically requested or authorized to do so by the sender.

## Examples:

- 1) Sender requests Copyright Office to change the year date of execution from "1968" to "1978."
- 2) Sender requests Copyright Office to delete reference to an attachment.

1614.04 Recordable document returned. Even though a document is in order for recordation and is accompanied by the appropriate fee, if the process of recordation in the Copyright Office has not been started

1614 Recordation. (cont'd)1614.04 Recordable document returned. (cont'd)

when a request to return or change the document is received from the sender, the Office may return the document to the sender, suggesting that any change be initialed by the persons who executed it. In such cases, the date the returned document is received in the Copyright Office will be the date of recordation.

## Example:

Document received in the Renewals and Documents Section of the Examining Division, but not yet stamped with volume and page number, may be returned to the sender.

1614.05 Recording fees. For a document consisting of six pages or less covering no more than one title, a basic recording fee is charged. An additional fee is charged for each page over six and each title over one. For the specific amounts, see 17 U.S.C. 708; see also 37 C.F.R. 201.4(d).

1614.06 Separate transfers. A fee is required for each separate transfer or other document, even if two or more documents appear on the same page. 37 C.F.R. 201.4(d)(1).

## Examples:

- 1) "A" hereby transfers all right, title, and interest in a musical composition to "B," "C," and "D." This is a single transfer for the purpose of computing the recordation fee.
- 2) On a single page, but in separate paragraphs: "A" hereby transfers a one-third interest in the copyright in a musical composition to "B." "A" hereby transfers a one-third interest in the copyright in the same musical composition to "C." "A" hereby transfers a one-third interest in the copyright in the same musical composition to "D." The document is signed once. This is a single transfer for the purpose of computing the recordation fee.

1614 Recordation. (cont'd)1614.06 Separate transfers. (cont'd)

## Examples: (cont'd)

- 3) The same situation as in example 2 above, but the document is dated and signed at each paragraph setting out the separate conveyances. This would be regarded as three transfers for the purpose of computing the recordation fee.
- 4) On a single page: "A" transfers the copyright to "B" who transfers a portion of that right to "C." This would be regarded as two transfers for the purpose of computing the recordation fee.

1614.07 Titles. Generally, every title listed in a document is counted, but not designations referring to uncopyrightable matter.

## Examples:

- 1) A trademark consisting of the word "EKSRON."
- 2) A mechanical patent designated as "Process for the Impacting of Crushed Marble."

1614.07(a) Definition of title. The term "title" for the purpose of computing the fee for recordation generally denotes "appellation" or "denomination," rather than "registration," "work," or "copyright." 37 C.F.R. 201.4(d)(2).

1614.07(b) Same title repeated. Where the same title is repeated more than once in the same document, it is counted as only one title, unless the document is too long or complex to make the finding of repetitions feasible.

1614.07(c) Single and multiple titles distinguished. Titles that are repeated are counted as a single "title" for the purpose of computing the fee, even when different registration numbers or dates are indicated. The same is true in the case of various issues, volumes, chapters, installments, etc., even when listed

1614            Recordation. (cont'd)

1614.07        Titles. (cont'd)

1614.07(c)    Single and multiple titles distinguished.  
(cont'd)

separately under different numbers and dates, but they must be listed consecutively in a series. On the other hand, if the titles are not listed consecutively in a series, they will be considered separate titles and separate fees will be charged.

Examples of one title:

- 1) "Fan Club News," vol. 1, no. 3 (June 1981)  
"Fan Club News," vol. 1, no. 4 (July 1981)  
"Fan Club News," vol. 1, no. 5 (Aug. 1981)
- 2) "Trapped in the Snack Bar," Installment I  
"Trapped in the Snack Bar," Installment II

Examples of two titles:

- 1) "Sports Monthly," vol. 1, no. 1 (Jan. 1981)  
"Sports Monthly," vol. 1, no. 2 (Feb. 1981)  
"Sports Monthly," vol. 1, no. 4 (Apr. 1981)
- 2) "The Adventures of Cyril," Installment I  
"The Adventures of Cyril," Installment IV

1614.07(d)    Same title repeated with different descriptive matter. Where the same title is repeated more than once in the same document, but the repetitions are followed by different descriptive matter, subtitles, names of authors, or the like, separate fees will be charged.

Examples of two titles:

- 1) "Rondo" (Massenet)  
"Rondo" (Respighi)
- 2) "Architectural Drawing of Union Station-  
front elevation"  
"Architectural Drawing of Union Station-  
side elevation"
- 3) "You Are the One" (from Summer Romance)  
"You Are the One" (from Sunny Days)

1614 Recordation. (cont'd)1614.07 Titles. (cont'd)

1614.07(e) Alternative titles. Where a work is clearly listed under alternative titles, or where both old and new titles are clearly indicated, separate fees will be charged. Use of the conjunctive "or" will not generally be treated as denoting alternative titles.

Example of one title:

"How to Get Ahead in Life or Ten Ways to Improve Your Memory"

Examples of two titles:

- 1) "Money Isn't Everything," also known as "Who Wants to Be Rich?"
- 2) "Cafe Tales," formerly known as "Draw One"

1614.07(f) Descriptive subtitle or translation. Even though a work is listed under a title which contains descriptive matter that could be characterized as a subtitle or translation, only one fee will be charged.

Examples of one title:

- 1) "On the Water (Auf dem Wasser)"
- 2) "You Are the One" (Romantic Song)

1614.07(g) Additional fees for title indexing. In cases where, under the practice set forth above, only one fee would normally be charged, the Copyright Office will nevertheless index the title variations separately, upon the specific request of the sender and payment of additional fees.

1614.08 Pages. In determining the number of pages in a document, each side of a leaf bearing textual matter is regarded as a "page." 37 C.F.R. 201.4(d)(3). NOTE: A rider is considered a "page."

- 1615            Termination of transfers and licenses granted by the author under the extended renewal term. The following are the practices and provisions relating to the termination of transfers and licenses granted by the author under the extended renewal term provided by the current Act.
- 1615.01        Statutory provision. In the case of any copyright subsisting in either its first or renewal term on January 1, 1978, other than a copyright in a work made for hire, the exclusive or nonexclusive grant of a transfer or license of the renewal copyright or any right under it, executed before January 1, 1978, by the author (or by the successors in interest of the author, as specified by section 304(a) of the current Act), otherwise than by will, is subject to termination under the conditions specified in section 304(c) of the current Act.
- 1615.02        Advance notice and service. The notice of termination shall be served upon each grantee whose rights are being terminated, or the grantee's successor in title, by personal service, or by first-class mail sent to an address which, after a reasonable investigation, is found to be the last known address of the grantee or successor in title. 37 C.F.R. 201.10(d)(1).
- 1615.02(a)     The service provision. The service provision of section 304(c)(4) of the current Act will be satisfied if, before the notice of termination is served, a reasonable investigation is made by the person or persons executing the notice as to the current ownership of the rights being terminated, and based on such investigation:  
(i) If there is no reason to believe that such rights have been transferred by the grantee to a successor in title, the notice is served on the grantee; or (ii) if there is reason to believe that such rights have been transferred by the grantee to a particular successor in title, the notice is served on such successor in title. 37 C.F.R. 201.10(d)(2).
- 1615.03        Time limits. Termination of the grant may be effected at any time during a period of five years beginning at the end of 56 years from the date copyright was originally secured, or beginning on January 1, 1978, whichever is later. See 17 U.S.C. 304(c)(3).



- 1615 Termination of transfers and licenses granted by the author under the extended renewal term. (cont'd)
- 1615.04 Forms. The Copyright Office does not provide printed forms for the use of persons serving notices of termination. 37 C.F.R. 201.10(a).
- 1615.05 Contents of notice. A notice of termination must include a clear identification of each of the elements listed below. The notice itself must contain a complete and unambiguous statement of facts without incorporation by reference of information in other documents or records. See 37 C.F.R. 201.10(b).
- 1615.05(a) Name of each grantee. The name of each grantee whose rights are being terminated or the grantee's successor in title, and each address at which service of the notice is being made.
- 1615.05(b) Title and author. The title of each work and the name of at least one author of, and the date copyright was originally secured in, each work to which the notice of termination applies; and if possible and practicable, the original copyright registration number.
- 1615.05(c) Identification of grant. A brief statement reasonably identifying the grant to which the notice of termination applies.
- 1615.05(d) Effective date of termination. The notice shall state the effective date of termination which shall fall within the five-year period specified in section 1615.03 above, and the notice shall be served not less than two or more than ten years before that date. See 17 U.S.C. 304(c)(4)(A).
- 1615.05(e) Person or persons who executed the grant. In the case of a termination of a grant executed by a person or persons other than the author, the notice shall contain a listing of the surviving person or persons who executed the grant. In the case of a termination of a grant executed by one or more of the authors of the work where the termination is exercised by the successors of a deceased author, the notice

1615 Termination of transfers and licenses granted by the author under the extended renewal term. (cont'd)1615.05 Contents of notice. (cont'd)1615.05(e) Person or persons who executed the grant. (cont'd)

shall contain a listing of the names and relationships to that deceased author or all of the following, together with specific indication of the person or persons executing the notice who constitute more than one-half of that author's termination interest: That author's surviving widow or widower; and all of that author's surviving children; and, where any of that author's children are dead, all of the surviving children of any such deceased child of that author. However, instead of the information required above in this subsection, the notice may contain both of the following: (A) A statement of as much of such information as is currently available to the person or persons signing the notice, with a brief explanation of the reasons why full information is or may be lacking; together with (B) a statement that, to the best knowledge and belief of the person or persons signing the notice, the notice has been signed by all persons whose signature is necessary to terminate the grant under section 304(c) of title 17, U.S.C., or by their duly authorized agents. See 37 C.F.R. 201.10(b)(v). NOTE: The Copyright Office will generally not question whether the interest of the person or persons on whose behalf the notice of termination was executed constitute more than one-half of the author's termination interest.

1615.06 Signature. A notice of termination shall contain the actual signature or a reproduction of the actual signature of the person or persons identified in the document as being entitled to exercise the right of termination, or of a duly authorized agent of such person or persons.

- 1615            Termination of transfers and licenses granted by the author under the extended renewal term. (cont'd)
- 1615.06            Signature. (cont'd)
- 1615.06(a)            Termination of grant executed by someone other than the author. In the case of a termination of a grant executed by a person or persons other than the author, the notice shall be signed by all of the surviving persons who executed the grant, or by their duly authorized agents. See 37 C.F.R. 201.10(c)(1).
- 1615.06(b)            Termination of grant executed by one or more authors. In the case of a termination of a grant executed by one or more authors of the work, the notice as to any one author's share shall be signed by that author or by his or her duly authorized agent. If that author is dead, the notice shall be signed by the number and proportion of the owners of that author's termination interest required under clauses (1) and (2) of section 304(c) of the current Act, or by their duly authorized agents, and shall contain a brief statement of their relationship or relationships to that author. See 37 C.F.R. 201.10(c)(2).
- 1615.06(c)            Termination of grant executed by duly authorized agent. Where a signature is by a duly authorized agent, it shall clearly identify the person or persons on whose behalf the agent is acting. 37 C.F.R. 201.10(c)(3).
- 1615.06(d)            Additional requirements. The handwritten signature of each person effecting the termination shall either be accompanied by a statement of the full name and address of that person, typewritten or printed legibly by hand, or shall clearly correspond to such a statement elsewhere in the notice. 37 C.F.R. 201.10(c)(4).
- 1615.07            Service. The notice of termination shall be served upon each grantee whose rights are being terminated, or the grantee's successor in title, by personal service, or by first-class mail sent to an address which, after a reasonable investigation, is found to be the last known address of the grantee or successor in title. 37 C.F.R. 201.10(d)(1).

- 1615            Termination of transfers and licenses granted by the author under the extended renewal term. (cont'd)
- 1615.08        Scope of examination. As a general rule, the Copyright Office will not attempt to judge or comment on the legal sufficiency of a notice of termination. Recordation as a notice of termination will be made if the following formal requirements have been met:
- 1615.08(a)     Legibility of notice of termination. The notice of termination must be in writing and capable of being reproduced legibly on microfilm.
- 1615.08(b)     Complete by its own terms. The notice of termination must ordinarily be complete by its own terms. The same rules are applicable as those which pertain to missing attachments or exhibits for documents recorded under 17 U.S.C. 205. See section 1609 above.
- 1615.08(c)     Clear identification of elements. The notice of termination must clearly identify each of the elements specified in section 1615.05 above.
- 1615.08(d)     Date and manner of service. The document submitted for recordation should be accompanied by a statement setting forth the date on which the notice was served and the manner of service, unless such information is contained in the notice. Where such information is not contained in the notice, and the document is not accompanied by a statement setting forth the date and/or manner of service, the Copyright Office will request that the sender submit a separate statement containing this information.
- 1615.08(e)     Effective date earlier than date of recordation. A notice of termination should include an effective date of termination that is later than the date of recordation in the Copyright Office. If the document contains either an earlier date or no date of termination, the Copyright Office will suggest that the sender execute and submit for recordation a new document which gives an appropriate date of termination.

- 1615 Termination of transfers and licenses granted by the author under the extended renewal term. (cont'd)
- 1615.08 Scope of examination. (cont'd)
- 1615.08(f) Persons not entitled to terminate. Where the Copyright Office is aware that the signature appearing on the document is not that of a person entitled to exercise the right of termination or of a duly authorized agent of such person, the Office will suggest that a new document signed by the proper person be executed and submitted for recordation.
- 1615.09 Recordation. The Copyright Office will not refuse to record a document that fails to meet the requirements set forth in section 1615.08 above, but such document will not be indexed by the Copyright Office as a notice of termination.
- 1615.10 Recordation without prejudice. Recordation of a notice of termination by the Copyright Office is without prejudice to any party claiming that the legal and formal requirements for issuing a valid notice have not been met. 37 C.F.R. 201.10(f)(4).
- 1615.11 Date of recordation. A copy of the notice shall be recorded in the Copyright Office before the effective date of termination, as a condition to its taking effect. See 17 U.S.C. 304(c)(4)(A). The date of recordation is the date when all of the elements required for recordation, including the prescribed fee and, if required, the statement setting forth the date on which the notice was served and the manner of service, have been received in the Copyright Office. After recordation, the document, including any accompanying statement, is returned to the sender with a certificate of record. See 37 C.F.R. 201.10(f)(3).
- 1616 Termination of transfers and licenses granted by the author on or after January 1, 1978. The practices set forth in section 1615 above are restricted to terminations under the extended renewal term provided in section 304(c) of the current Act. Practices regarding

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Termination of transfers and licenses granted by the author on or after January 1, 1978. (cont'd)

the parallel statutory provision governing termination of grants executed by the author on or after January 1, 1978, under section 203 of the current Act have not been established yet because the right of termination thereunder cannot be invoked in an appropriate termination document until the year 2003 or later. A document that purports to terminate a grant executed on or after January 1, 1978, may be recorded, but such document will not be indexed by the Copyright Office as a notice of termination.

[END OF CHAPTER 1600]

[1984]

INDEX TO COMPENDIUM II

COMPENDIUM

OF

COPYRIGHT OFFICE PRACTICES

Under the Copyright Law Which  
Became Fully Effective on  
January 1, 1978, Including  
Title 17 of the United States  
Code and Amendments Thereto.

COPYRIGHT OFFICE  
THE LIBRARY OF CONGRESS  
WASHINGTON, D. C. 20559

1984





INDEX TO THE COMPENDIUM OF  
COPYRIGHT OFFICE PRACTICES

This is an index to the 1984 text of the Compendium of Copyright Office Practices under the copyright law which became fully effective on January 1, 1978, including Title 17 of the United States Code and amendments thereto. This Compendium is designated as Compendium II. Each term is indexed to the pertinent page or pages of this Compendium where the term is to be found.

An earlier Compendium (now called Compendium I) was issued a number of years ago to reflect Copyright Office practices under the Copyright Act of 1909, as amended. Compendium I has its own index. The present index covers only Compendium II.

[1984]



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## Chapter 1600

### RECORDATION OF TRANSFERS AND OTHER DOCUMENTS PERTAINING TO A COPYRIGHT

1601 Applicability of this chapter. This chapter contains the requirements for the recordation of transfers and other documents pertaining to a copyright under 17 U.S.C. 205, and the termination of transfers and licenses granted by the author covering the extended renewal term under 17 U.S.C. 304(c). The practices concerning the filing or recordation of the following documents are not included either in this chapter or elsewhere in Compendium II, and requirements other than those in this chapter may apply.

- 1) **Certain contracts entered into by cable systems located outside of the 48 contiguous states. See 17 U.S.C. 111(e) and 37 C.F.R. 201.12.**
- 2) Notices of Identity and Signal Carriage Complement, and Statements of Account of cable systems. See 17 U.S.C. 111(d) and 37 C.F.R. 201.11 and 201.17.
- 3) Original, signed notices of intention to obtain compulsory license to make and distribute phonorecords of nondramatic musical works. See 17 U.S.C. 115(b) and 37 C.F.R. 201.18.
- 4) License agreements, and terms and rates of royalty payments, voluntarily negotiated between one or more public broadcasting entities and certain owners of copyright. See 17 U.S.C. 118 and 37 C.F.R. 201.9.
- 5) Statements regarding the identity of authors of anonymous and pseudonymous works, and statements relating to the death of authors. See 17 U.S.C. 302.
- 6) **Notices of intent to enforce [NIE's] filed under the URAA. See 17 U.S.C. 104A, 109(b), Chapter 11, and 37 C.F.R. 201.33.**

1602 Statutory provisions relating to transfers and other documents pertaining to a copyright. The following are the principal statutory provisions relating to transfers and other documents pertaining to a copyright.

1602 Statutory provisions relating to transfers and other documents pertaining to a copyright. (cont'd)

1602.01 Execution of transfers of copyright ownership. A transfer of copyright ownership, other than by operation of law, is not valid unless an instrument of conveyance, or a note or memorandum of the transfer, is in writing and signed by the owner of the rights conveyed or such owner's duly authorized agent. 17 U.S.C. 204.

1602.02 Recordation of transfers and other documents: conditions for recordation. Any transfer of copyright ownership or other document pertaining to a copyright may be recorded in the Copyright Office if the document filed for recordation bears the actual signature of the person who executed it, or if it is accompanied by a sworn or official certification that it is a true copy of the original, signed document. 17 U.S.C. 205(a).

1603 Copyright Office policy. The Copyright Office will not attempt to judge the legal sufficiency or interpret the substantive contents of a purported transfer **or other document**. A document will be verified to determine whether the requirements for recordation have been met.

1603.01 **Transfers:** If the document purports to be a transfer of a copyright and is signed by the owner of the rights conveyed, the owner's authorized agent, or one entitled to make the transfer, it will be indexed as a "transfer".

1603.02 Other documents pertaining to a copyright. Any other document, including a self-serving declaration, **an abandonment of copyright, bankruptcy papers, and the like,** will be recorded in the Copyright Office, if it pertains to a copyright. A document shall be considered to "pertain to a copyright" if it has a direct or indirect relationship to the existence, scope, duration, or identification of a copyright, or to the ownership, division, allocation, licensing, transfer, or exercise of rights under a copyright. That relationship may be past, present, future, or potential.

See 37 C.F.R. 201.4.

1603.03 When recordation suggested. **The Copyright Office** may point out the recordation provisions of the law and the possibility of recording an instrument.

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1603 Copyright Office policy. (cont'd)

1603.03 When recordation suggested. (cont'd)

Example:

An application for registration is submitted where a claim in the same work has already been registered in the name of the prior owner of copyright. When the second registration is sought to reflect the change of ownership, the Copyright Office will refuse to make a second registration, but will point out the **possibility** of reflecting the change in ownership by recording the instrument of transfer.

1604 The nature of the document. **A** document may be questioned by the Copyright Office **when there is no indication of any** direct or indirect relationship to a copyright **claim.**

**Example:**

**A bill of lading referring to a shipment of motion picture films.**

1604.01 Recordation not a substitute for registration. A document may be recorded even if a claim to copyright in the work to which it refers has not been registered for copyright.

1604.02 Relationship between document and copyright unclear. Where the relationship between the document to be recorded and **a potential copyright claim** is unclear or obscure, **the Office may clarify that recordation is in no case a substitute for copyright registration. Similarly, a registration is not a substitute for recordation.**

1604.03 Document apparently submitted in error. Where it seems probable that the document has been submitted to the Copyright Office in error, it may be questioned or, in clear cases, returned without recordation.

Example:

An assignment of rights **limited to a** trademark or patent.



[1998]

**1605 Document Cover Sheet Processing.**

Cases submitted with a document cover sheet will be processed and verified in the same manner as a document submitted without a cover sheet. Neither category of document will receive priority processing.

**1606 Practices for processing documents.**

1606.01 Formal sufficiency of document. In order to be regarded as a "transfer," a document must generally meet the following formal requirements:

- 1) It must be "an instrument in writing."
- 2) It must be signed by the owner of the rights conveyed or by such owner's duly authorized agent.
- 3) It must identify the transferor and transferee.
- 4) It must contain words of conveyance.
- 5) It must be complete by its own terms.

1606.02 Instrument in writing. To be recordable, the instrument must be in writing. The Copyright Office does not provide, suggest, or require any special form for the transfer of a copyright or other document pertaining to a copyright **that is recorded under Section 205**. Any type of legible document which meets the other formal requirements will be accepted for recordation, if it contains an individual's actual signature **or an acceptable alternative. See 1606.03 and 1606.08 below.**

Examples:

- 1) Handwritten or typewritten original.
- 2) Transfer in the form of a letter; **[note that the letter should not be addressed to the Copyright Office].**
- 3) Carbon of original.
- 4) Printed original.

1606.03 Actual signature. To be recordable, the document must bear the actual signature or signatures of the person or persons who executed it. Alternatively, the document may be recorded if it is a legible photocopy or other full-size facsimile reproduction of the signed document,

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1606 **Practices for processing documents.** (cont'd)1606.03 Actual signature. (cont'd)

accompanied by a sworn certification or an official certification that the reproduction is a true copy of the signed document. Any sworn certification accompanying a reproduction **must** be signed by at least one of the persons who executed the document, or by an authorized representative of that person. See 17 U.S.C. 205 and 37 C.F.R. 201.4(c)(1).

1606.03(a) Sworn certification or declaration. A "sworn certification" is an affidavit under the official seal of any officer authorized to administer oaths within the United States, or if the original is located outside of the United States, under the official seal of any diplomatic or consular officer of the United States or of a person authorized to administer oaths whose authority is proved by the certificate of such an officer, or by a **statement given "under penalty of perjury"**. See **28 U.S.C. 1746.** 37 C.F.R. 201.4(a)(3)(i). **An alternative to a notarized certification is a declaration under penalty of perjury that the accompanying document is a true and correct copy of the original. See 28 U.S.C. 1746.**

1606.03(b) Official certification. An "official certification" is a certification, by the appropriate Government official, that the original of the document is on file in a public office and that the reproduction is a true copy of the original. See 37 C.F.R. 201.4(a)(3)(ii).

## Examples:

- 1) Copy of a certificate of corporate merger, bearing the certification of the Secretary of State.
- 2) Court decree establishing a change of name of a person, certified by the clerk of the court.

1606.04 Illegible document. An illegible document or one which cannot be reproduced legibly will not be accepted for recordation. See 37 C.F.R. 201.4(c)(3).

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**1606      Practices for processing documents.**      (cont'd)1606.05      Signature of transferor.      (cont'd)

1606.05(a) Unsigned document. As a rule, the document to be recorded should contain the actual handwritten signature of the person executing the document or of such **person's** duly authorized agent. See 37 C.F.R. 201.4(c)(1). An unsigned document will be returned for signature before recordation.

1606.05(b) Multi-party instrument. If a number of transferors are identified in the body of the document, and spaces have been provided for the signatures of all of them, the document will be questioned if any of the signatures is missing, unless an additional copy of the document containing the missing signatures is submitted for recordation at the same time. Each such instrument of transfer is indexed only under the particular signatures it contains.

1606.06      Apparent inconsistency. Reconcilable variance between names: indexing. When there is a reconcilable variance between the signature on the document and the name of the transferor appearing in the body of the document, the instrument will generally be indexed under what **is** determined to be the fullest form of the legal name. The document will generally not be indexed under the name of the agent or official of a corporation or other impersonal legal entity. Where the document has been signed by a legal representative or attorney-in-fact, it will be indexed under the name of the person whom the signer represents.

1606.07      Signature of individual. As a rule, the signature should be the actual handwritten signature of an individual person, and should give the individual's own name rather than that of the person or organization he or she may represent.

Examples:

- 1) A pencil signature is acceptable.
- 2) A hand-printed signature is acceptable.
- 3) A printed, typewritten, rubber-stamped, or facsimile signature will be questioned.

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**1606**      **Practices for processing documents.**      (cont'd)1606.07      Signature of individual.      (cont'd)

- 4)      A person's mark is acceptable if accompanied by another person's signature attesting to its authenticity.
- 5)      The signature need not be legible or include the full name of the signer if the name is sufficiently identified elsewhere in the document; but initials or a monogram will generally not be regarded as a signature.

1607      Identification of parties.      In general, any document purporting to transfer a copyright or rights under a copyright should clearly identify the transferee as well as the transferor.

1607.01      Failure to identify necessary parties.      Documents which **do not** identify the necessary parties will be questioned, but recordation will not be refused if, following correspondence, the sender continues to request recordation.

Examples:

- 1)      "I, John Doe, do hereby assign all rights, including copyright, in the work entitled HOW TO BURN TOAST." (Transferee not named).
- 2)      ". . . copyright **for the work 'How to Excel in the Practice of Law,'** is hereby assigned to Richard Roe, as Executor of the author . . . ." (The author not identified by name.)

1607.02      Indexing.      When a document which **does not** identify the necessary parties is recorded, it will be indexed only under the names it contains; no indexing will be done under other names furnished in correspondence or elsewhere.      See section **1608.03** below.

1607.03      One-party documents.      A document which necessarily involves only one party (e.g., an affidavit) will be indexed under the single name involved.

1608      **Constructive Notice.**      Recordation of a document gives all persons constructive notice of the facts stated in the recorded document, if **the work has been registered and the material to which the document pertains is identified.**      See 17 U.S.C. 205(c).



1608 **Constructive Notice.** (cont'd)

1608.01 The document, or material attached to it, **must** identify the work to which it pertains so that, after the document is indexed by the Copyright Office, it would be revealed by a reasonable search under the title or registration number of the work.

1608.02 Failure to identify work. A document which **does not** identify the work will not be questioned.

If the material which is the subject of the document is otherwise adequately identified **but does not contain the title, it will not be questioned.**

**Example:**

**A document covering "an unpublished novel about New York's Empire State Building, by Jack Douglas." Note: this document will not receive constructive notice.**

1608.03 Outside sources. A document will be indexed **only** under the titles or other identifying matter it contains.

1609 Completeness of document. In general, a document will not be recorded unless it is complete by its own terms.

1609.01 Attachments. A document that contains a reference to any schedule, appendix, exhibit, addendum, or other material as being attached to the document or made a part of it shall be recordable only if the attachment is also submitted for recordation with the document or if the reference is deleted by the parties to the document.

1609.01(a) Document returned for amendment. If a document has been submitted for recordation and has been returned by the Copyright Office at the request of the sender for deletion of the reference to an attachment, the document will be recorded only if the deletion is signed or initialed by the person(s) who executed the document or by **that person's** authorized representative.

1609.01(b) Exception. A document containing a reference to an attachment will be recorded without the attached material and without deletion of the reference if the sender asserts in writing

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1609 Completeness of document. (cont'd)

1609.01 Attachments. (cont'd)

1609.01(b) Exception. (cont'd)

that all three of the following factors exist and specifically requests that the document be recorded as submitted: (1) the attachment is completely unavailable for recordation; and (2) the attachment is not essential to identify the subject matter of the document; and (3) it would be impossible or wholly impractical to have the parties to the document sign or initial a deletion of the reference. In such cases, the Copyright Office record of the document will be annotated to show that recordation was made in response to a specific request.

See 37 C.F.R. 201.4(c)(2).

1610 Incorporation by reference. When the document submitted for recordation merely identifies or incorporates by reference another document, or certain terms of another document, the Copyright Office will **not question its** completeness. 37 C.F.R. 201.4(c)(2)(iii).

Example:

A document reads in part as follows: "In accordance with the terms of mutual undertaking previously entered into between the parties on January 2, 1978, which is incorporated by reference herewith, John Doe hereby transfers..."

1611 Part of a larger document. **A document that is** otherwise recordable **which** indicates on its face that it is a self-contained part of a larger document, will **be recorded without question.** See 37 C.F.R. 204(c)(2)(ii).

Example:

The document is marked "Attachment A" or "Exhibit B".

1612 **Additional Practices.** As a rule, no attempt is made to verify the facts stated in the document submitted for recordation. Titles, registration numbers, authors, dates, and the like are transcribed without checking their accuracy.

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1612 **Additional Practices.** (cont'd)

1612.01 **Minor Typographical Errors.** Where a minor typographical error appears in the document, the document will be indexed under the correct name or title.

Examples:

- 1) "Great Russiand Short Stories"
- 2) "Macame Du Barry"

1612.02 **Date of execution.** A document should contain the complete date on which it was executed. If the complete date is not given, the catalog record will reflect as much information as is given. 17 U.S.C. 205 provides that in the case of conflicting documents, statutory priority is given to transfers recorded within one month of execution in the United States or two months after execution outside the United States or the one recorded first.

1613 Documents to correct or amplify Copyright Office records. In most cases, a supplementary registration should be submitted to correct or amplify a completed Copyright Office registration. However, if the sender insists, the Office will accept for recordation a document giving the pertinent information. For detailed practices in this connection, see Chapter 1500: CORRECTIONS AND AMPLIFICATIONS OF COPYRIGHT OFFICE RECORDS; SUPPLEMENTARY REGISTRATIONS.

1614 Certificate of acknowledgment. A certificate of acknowledgment is not required for the validity of a transfer, but is prima facie evidence of the execution of the transfer if:

- 1) In the case of a transfer executed in the United States, the certificate is issued by a person authorized to administer oaths within the United States; or
- 2) In the case of a transfer executed in a foreign country, the certificate is issued by a diplomatic or consular officer of the United States, or by a person authorized to administer oaths whose authority is proved by a certificate of such an officer.

See 17 U.S.C. 204(b).

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1615 Recordation. In general, the recordation procedure includes initial **verification** of documents **and document cover sheets**, determination of the recording fee, assigning identifying volume, **document and page numbers**, **imaging** the document **and cover sheet, if any**, preparing an index entry under the appropriate names and titles, and returning the recorded document with a certificate of record.

1615.01 Date of recordation. The date of recordation is the date upon which an acceptable document and required fee are received in the Copyright Office. See 37 C.F.R. 201.4.

1615.01(a) Document returned for correction. When a document is returned to the sender for correction, the date on which the corrected document is received in the Copyright Office is regarded as the date of recordation.

1615.01(b) Less than entire fee received. When less than the required fee is received in the Copyright Office, the date of recordation is the date on which the amount of the total required fee is received in the Copyright Office.

Example:

If a document containing three titles is received in recordable form, together with only the fee for **recording one title**, the date of recordation is the date on which the fee covering the additional titles is received in the Copyright Office.

1615.02 Indexing. A recorded document is indexed under the names of the parties and the titles listed in the document. The catalog entry **also** contains the date of recordation, **the date of execution if given in the document**, and the volume and **document numbers** assigned to the document.

1615.03 Amendments in document submitted for recordation. The Copyright Office will not make any changes or corrections in a document submitted for recordation, even when specifically requested or authorized to do so by the sender.

1615 Recordation. (cont'd)1615.03 Amendments in document submitted for recordation.  
(cont'd)

## Example:

Sender requests Copyright Office to change the year date of execution from "1968" to "1978."

1615.04 Recordable document returned. When a request to return or change the document is received from the sender, **if the Office has not yet assigned a volume and document number, it** may return the document to the sender, suggesting that any change be initialed by the persons who executed it. In such cases the date the returned document is received in the Copyright Office will be the date of recordation.

1615.05 Recording fees. **A basic recording fee is charged for a single document of any length covering no more than one title. An additional fee is charged for each group of 10 or fewer titles.** For specific fee amounts, see 17 U.S.C. 708; see also 37 C.F.R. 201.4(d).

1615.06 Separate transfers. A fee is required for each separate transfer or other document, even if two or more **transactions or** documents appear on the same page. 37 C.F.R. 201.4(d)(1).

## Examples:

- 1) "A" hereby transfers all right, title, and interest in a musical composition to "B," "C", and "D". This is a single transfer for the purpose of computing the recordation fee.
- 2) On a single page, but in separate paragraphs: "A" hereby transfers a one-third interest in the copyright in a musical composition to "B". "A" hereby transfers a one-third interest in the copyright in the same musical composition to "C". "A" hereby transfers a one-third interest in the copyright in the same musical composition to "D". The document is signed once. This is a single transfer for the purpose of computing the recordation fee.



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1615 Recordation. (cont'd)1615.06 Separate transfers. (cont'd)

- 3) The same situation as in example 2 above, but the document is dated and signed **by both parties** at each paragraph setting out the separate conveyances. This would be regarded as three transfers for the purpose of computing the recordation fee.
- 4) On a single page: "A" transfers the copyright to "B" who transfers a portion of that right to "C." This would be regarded as two transfers for the purpose of computing the recordation fee.

1615.07 Titles. The term "title" for the purpose of computing the fee for recordation generally denotes "appellation" or "denomination," rather than "registration," "work," or "copyright." 37 C.F.R. 201.4(d)(2).

1615.07(a) Each Title Counted. Generally, **each** title listed in a document is counted, but designations referring to uncopyrightable matter are not counted.

Examples:

- 1) A trademark consisting of the word "EKSRON."
- 2) A mechanical patent designated as "Process for the Impacting of Crushed Marble."

1615.07(b) Single and multiple titles distinguished. A **single title** that is repeated is counted as a single "title" for the purpose of computing the fee. **However, when multiple issues or numbers of a serial, or different chapters or installments are contained in a document, each will be indexed and therefore each is considered to be an individual title for which a separate fee is charged.**

Examples of multiple titles:

- 1) "Fan Club News," vol. 1, no. 3 (June 1981)  
"Fan Club News," vol. 1, no. 4 (July 1981)  
"Fan Club News," vol. 1, no. 5 (Aug. 1981)

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1615 Recordation. (cont'd)

1615.07 Titles. (cont'd)

1615.07(b) Single and multiple titles distinguished.  
(cont'd)

- 2) "Trapped in the Snack Bar," Installment  
1  
"Trapped in the Snack Bar," Installment  
II

1615.07(c) Translation. When a work is listed under a title which could be characterized as a translation, **the original title and the translation will each be counted separately for the purpose of computing the recordation fee.**

Example:

"On the Water (Auf dem Wasser)"

1615.07(d) Same title repeated with descriptive matter indicating multiple works or versions. Where the same title is repeated more than once in the same document, but the repetitions are followed by different descriptive matter, subtitles, names of authors, or the like, indicating different works or different versions, separate fees will be charged.

Examples of two titles:

- 1) "Rondo" (Massenet)  
"Rondo" (Respighi)
- 2) "You Are the One" (from Summer Romance)  
"You Are the One" (from Sunny Days)

1615.07(e) Descriptive material. When a work is listed under a title followed by descriptive matter further describing that single title, only one fee is charged.

Example:

"You Are the One" (Romantic Song)

1615.07(f) Alternative titles. Where a work is clearly listed under alternative titles, or where both old and new titles are clearly indicated, separate fees will be charged. Use of the conjunctive "or" will not

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1615.07(f) Alternative titles. (cont'd)  
generally be treated as denoting alternative titles.

Example of one title:

"How to Get Ahead in Life or Ten Ways to Improve Your Memory"

Examples of two titles:

- 1) "Money Isn't Everything," also known as "Who Wants to Be Rich?"
- 2) "Cafe Tales," formerly known as "Draw One"

1615.07(g) Additional fees for title indexing. In cases where, under the practices set forth above, **a listing is considered to be a single title for purposes of computing the fee,** the Copyright Office will nevertheless index the title variations separately, upon the specific request of the sender and payment of **any additional fees normally required for multiple titles.**

1616 Termination of transfers and licenses granted by the author under the extended renewal term. The following are the practices and provisions relating to the termination of transfers and licenses granted by the author under the extended renewal term.

1616.01 Statutory provision. **For any work in its first or renewal term on January 1, 1978, other than a work made for hire, the statute provides for the possibility of termination of any exclusive or nonexclusive grant of a transfer or license of the renewal copyright or any right under it, executed before January 1, 1978, other than by will, by the author or by the successors in interest of the author. See 17 U.S.C. 304(a)(1)(c); (c).**

1616.02 Time limits. Termination of the grant may be effected at any time during a period of five years beginning at the end of 56 years from the date copyright was originally secured, or beginning on January 1, 1978, whichever is later. See 17 U.S.C. 304(c)(3).

1616.03 Contents of Notice. **The contents of the notice of termination are set forth in regulation 37 C.F.R. §201.10(b). The Copyright Office records notices of termination received in the Office before the**

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- 1616.03 **Contents of Notice.** (cont'd)  
**effective date of termination.**
- 1616.04 **Copyright Office Policy.** **The Copyright Office will not examine the legal sufficiency or interpret the substantive contents of a purported termination. A notice of termination will be verified to determine whether certain requirements for recordation as a termination have been met.**
- 1616.05 **Notice Must Be Complete.** A notice of termination must contain a complete and unambiguous statement of facts without incorporation by reference of information in other documents or records. See 37 C.F.R. 201.10(b).
- 1616.06 **Exact Duplicate of the Notice of Termination.** **The copy submitted for recordation should be a complete and exact duplicate of the notice of termination as served.**
- 1616.07 **Signature.** A notice of termination should contain the actual signature or a reproduction of the actual signature of the person or persons identified in the document as being entitled to exercise the right of termination, or of a duly authorized agent of such person or persons. **See 37 C.F.R. 201.10(c)(1) for other signature requirements.**
- 1616.07(a) **Termination of grant executed by duly authorized agent.** Where a signature is **that of** a duly authorized agent, it shall clearly identify the person or persons on whose behalf the agent is acting. 37 C.F.R. 201.10(c)(3).
- 1616.07(b) **Additional requirements.** The handwritten signature of each person effecting the termination shall either be accompanied by a statement of the full name and address of that person, typewritten or printed legibly by hand, or shall clearly correspond to such a statement elsewhere in the notice. 37 C.F.R. 201.10(c)(4).
- 1616.07(c) **Persons not entitled to terminate.** Where the Copyright Office is aware that the signature appearing on the document is different from the person named as the one terminating a right, the Office will notify the sender that it cannot record the document as a termination of transfer unless the signature is that of a duly authorized agent.



- 1616.08 Legibility of notice of termination. The notice of termination must be in writing and capable of being **imaged or** reproduced legibly on microfilm. **An illegible notice will be returned to the sender for clarification.**
- 1616.09 Date and manner of service. The document submitted for recordation should be accompanied by a statement setting forth the date on which the notice was served and the manner of service, unless such information is contained in the notice. Where such information is not contained in the notice, and the document is not accompanied by a statement setting forth the date and/or manner of service, the Copyright Office will request that the sender submit a separate statement containing this information. This statement must be received in the Office within the designated filing period. It will be attached to the document and will be recorded by the Office.
- 1616.10 Recordation. The Copyright Office will not refuse to record a document that fails to meet the requirements discussed in section 1616 above, but such document will not be indexed by the Copyright Office as a notice of termination.
- 1616.11 Recordation without prejudice. Recordation of a notice of termination by the Copyright Office is without prejudice to any party claiming that the legal and formal requirements for issuing a valid notice have not been met. 37 C.F.R. 201.10(f)(4).
- 1616.12 Photocopied Notices of Termination. Any notice of termination submitted in photocopied form will be accepted without an accompanying certification provided that it meets the requirements of Section 1616 above.
- 1616.13 Date of recordation. To be effective, a copy of the notice must be recorded in the Copyright Office before the effective date of termination. See 17 U.S.C. 304(c)(4)(A). The date of recordation is the date when all of the elements required for recordation, including the prescribed fee and, if required, the statement setting forth the date on which the notice was served and the manner of service, have been received in the Copyright Office. After recordation, the document, including any accompanying statement, is returned to the sender with a certificate of record. See 37 C.F.R. 201.10(f)(3).

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Termination of transfers and licenses granted by the author on or after January 1, 1978. The practices set forth in section 1616 above are restricted to terminations under the extended renewal term provided in section 304(c) of the current Act. Practices regarding the parallel statutory provision governing termination of grants executed by the author on or after January 1, 1978, under section 203 of the current Act, have not been established yet because the right of termination thereunder cannot be invoked in an appropriate termination document until the year 2003 or later. A document that purports to terminate a grant executed on or after January 1, 1978, may be recorded, but such document will not be indexed by the Copyright Office as a notice of termination.

[END OF CHAPTER 1600]

## CHAPTER 1900

### RECORDS, INDEXES, AND DEPOSITS OF THE COPYRIGHT OFFICE; INSPECTION, COPYING, ADDITIONAL CERTIFICATES, AND OTHER CERTIFICATIONS

- 1901 Records of the Copyright Office; statutory provisions.  
The copyright code states that the Register of Copyrights shall provide and keep records of all deposits, registrations, recordations, and other actions taken by the Copyright Office and shall prepare indexes of all such records. See 17 U.S.C. 705. The statute also provides the fee schedule for Office services in connection with searches of the records, and the certification of copies of records. See 17 U.S.C. 708.
- 1902 Inspection of Copyright Office records and deposits in general. The public may inspect completed records and indexes relating to a processed application for registration--whether the claim was registered or rejected--and may inspect copies, phonorecords, or identifying material deposited in connection with such applications. They may also inspect completed records and indexes related to a recorded document. See 17 U.S.C. 705 and 37 C.F.R. 201.2(b)(1).

Persons who satisfy the criteria set out in the regulations and in 1902.02 of this chapter may have access to pending applications for registration, the deposit material accompanying them, and documents that have been submitted to the Office for recordation which have not yet been recorded. See 37 C.F.R. 201.2(b)(4). Also see section 1902.02 below.

The public may also inspect the Office's authorization file, which contains original copies of requests for copies of deposits for reasons of pending or prospective litigation, sworn statements of persons requesting such copies; claimants' letters authorizing deposits to be copied; and claimants' death certificates supplied by the next of kin who request copies of deposits. The file also contains complete copies of the deposit requested or a brief description of oversized copies, three dimensional works or negatives or a copy of the tape cover and accompanying materials for audio-visual deposits, copies of each certification issued for a deposit, and copies of the photo identifications of persons who have filed requests, statements, authorizations or death certificates. These documents are retained in the authorization file for a period of 10 years from the end of the calendar year in which they were filed. Portions of this file are available for public inspection and copying pursuant to section 1903.

1902 Inspection of Copyright Office records and deposits in general. (cont'd)

1902.01 Completed records. All completed records and indexes relating to a registration or a rejection or to a recorded document, and all articles deposited in connection with completed registrations or rejections and retained under the control of the Copyright Office, are open to public inspection. See 17 U.S.C. 705. Before being permitted to inspect any deposit, however, the requester must (1) show proper photo identification, including a photograph and current address, and (2) complete and sign a "Request for Inspection of Copyright Deposit" (Form C-8), indicating agreement not to copy or deface the material to be inspected. Requesters who need to make limited notes about the deposit copy during the inspection may do so only on the form provided for that purpose by the Certifications and Documents staff. The staff will review all notes before requesters leave the inspection area.

1902.02 Pending applications, documents, and open correspondence files. Access will be afforded to pending applications for registration, the deposit material accompanying them, and pending documents for recordation and to open correspondence files on such materials in the following instances:

1. In the case of applications for registration, the deposits accompanying them and correspondence files, access will be afforded upon the request of the copyright claimant or an authorized representative. In exceptional circumstances, the Register may allow inspection of pending applications and open correspondence files by someone other than the copyright claimant or the claimant's representative upon receipt of a written request which is deemed by the Register to show good cause for such access and establishes that the person making the request is properly and directly concerned. The written request for such access should be addressed to the General Counsel, Copyright GC/I&R, P.O. Box 70400, Southwest Station, Washington, D.C. 20024 or faxed to the General Counsel at 202-707-8366.
2. Access to documents will be afforded upon the request of one of the persons who executed the document or an authorized representative of that person.

- 1902     Inspection of Copyright Office records and deposits in general. (cont'd)
- 1902.03   Official correspondence. Official correspondence, including preliminary applications between copyright claimants or their agents and the Copyright Office, that relate directly to a completed registration, a recorded document, a rejected application for registration, or a document for which recordation was refused, may be inspected by the public. NOTE: That portion of official correspondence that is directly related to rejected applications for registration or documents for which recordation was refused and which once represented a closed case is open for public inspection and copying. This is true even though the once-closed case may have been later re-opened by some subsequent action on the part of the copyright claimant, an authorized agent thereof, or by the Copyright Office.
- 1902.04   Time and place of inspection. All of the materials open for inspection may be inspected during the operating hours of the Copyright Office, 8:30 a.m. to 5:00 p.m., Monday through Friday, except legal holidays, in the Certifications and Documents Section of the Information and Reference Division. Some of these materials are not stored on the premises of the Copyright Office and access to them cannot be assured unless arrangements are made in advance with the Certifications and Documents Section. Where authorized, inspection of pending applications and documents will be permitted in the Certification and Documents Section.
- 1902.05   Records not open to public inspection. The general policy of the Copyright Office is to prohibit access to in-process files and to any areas where they are kept. Access to certain information contained in Copyright Office in-process files may be allowed under conditions specified in section 1902.06(b) below. See 37 C.F.R. 201.2(b)(2). In-process files are those which the Copyright Office prepares for its own internal use in connection with pending applications for registration or for the recordation of documents and which are preliminary to the completion of the public record. These files include the Receipt-In-Process Records, Exception Tracking System Records, accounting files, open unfinished business files, and other files of a similar nature. Certain information contained in Copyright Office in-process files may

1902 Inspection of Copyright Office records and deposits in general. (cont'd)

1902.05 Records not open to public inspection. (cont'd)  
be obtained by anyone upon request. See section 1902.06 below. In no case, however, will access be permitted to any financial or accounting records without the prior approval of the Register or the General Counsel.

1902.06 Requests by the public for information in the in-process files.

1902.06 (a) Requests not requiring payment of a fee.

Limited access to in-process files. Public access to a limited amount of information contained in the Copyright Office's in-process files is permitted on a computer terminal designated for that purpose in the Records Maintenance Unit of the Information and Reference Division. The in-process file may be accessed between 8:30 a.m. and 5:00 p.m., Monday through Friday, excepting legal holidays, upon payment of the applicable fees. The following information is available:

- 1) the title(s) of the work(s), including, in the case of serials, volume number, date of issue, and issue number. NOTE: Only the first title listed in an application or document is included;
- 2) the date(s) of receipt of the application or document;
- 3) the class of an application for registration;
- 4) the number of deposit copies, sets of identifying material, or phonorecords received;
- 5) the name of the remitter; and
- 6) the name of the claimant, if different from the name of the remitter.

1902.06 (b) Requests requiring payment of a fee. Certain information contained in the Copyright Office in-process files may be obtained by anyone upon request and the payment of applicable fees to the Certifications and Documents

1902 Inspection of Copyright Office records and deposits in general. (cont'd)

1902.06 Requests by the public for information in the in-process files. (cont'd)

1902.06 (b) Requests requiring payment of a fee. (cont'd)

Section, Information and Reference Division.  
The following information will be supplied in response to each such request:

- 1) the date(s) of receipt of: (i) the application(s) for registration that may have been submitted and is (are) being processed; (ii) the document(s) that may have been submitted for recordation and is (are) being processed; and (iii) the copy (copies) or phonorecord(s) that may have been deposited;
- 2) the title(s) of the work(s), including (if a serial) the date of issue, volume number, and issue number;
- 3) the name of the remitter;
- 4) the description or classification, if an application for registration;
- 5) the number of copies or phonorecords deposited; and
- 6) the name of the claimant, if different from the name of the remitter.
- 7) the registration status of the claim.
- 8) the registration number, if any.

1902.07 Administrative staff manuals. Administrative staff manuals, referred to as "Compendium of Office Practices I" and "Compendium of Office Practices II," are prepared for the general guidance of the Copyright Office staff in making registration and recording documents, and for the public who avails itself of the registration and recordation systems. These manuals are available for public inspection in the Certifications and Documents Section from 8:30 a.m. to 5:00 p.m., Monday through Friday, except legal holidays. See 37 C.F.R. 201.2(b)(7). See also section 1903.06.



1902 Inspection of Copyright Office records and deposits in general. (cont'd)

1902.08 Materials not open for public inspection. As a general rule and subject to requirements of the Freedom of Information Act and the Privacy Act, the Office will not permit public inspection of notes, internal memoranda, information relating to facts concerning personal privacy or financial information, trade secrets, or internal matters of a relatively trivial nature. Similarly, material relating to internal matters of personnel and procedures, Office administration, security matters or internal considerations of policy, including the work product of an attorney, are not open to public inspection.

1903 Copying Copyright Office records, indexes, correspondence, and deposits in general. Copies may be made of any public records or indexes of the Copyright Office, including the Office's file of litigation statements and other documents, known as (the "authorization file"). See section 1904.01(2); see 17 U.S.C. 706(a). Copies of applications may be made by the requester or may be furnished by the Copyright Office upon payment of the duplication fees. Copies may be made of official correspondence, including preliminary applications between copyright claimants or their agents and the Office, and directly relating to a completed registration, a recorded document, a rejected application for registration, or a document for which recordation was refused. Requests for copies of correspondence should include the information specified in the Copyright Office regulations. See 37 C.F.R. 201.2(c) and (d). See also section 1903.02 below for requirements. Copies or reproductions of materials deposited for registration and retained under the control of the Copyright Office will be furnished under the conditions specified below. The copyright owner or anyone providing a litigation statement may use a camera or other small copying device to copy a deposit if the copy is made in the Certifications and Documents Section under the supervision of Copyright Office personnel and if no electrical power, special lights, or other equipment is required. However, only copies made by the Copyright Office will be certified by the Office. See 17 U.S.C. 706(b) and 37 C.F.R. 201.2(d). See also sections 1904 and 1906 below.

1903.01 Making copies. If the requested copies can be made routinely on the photocopying equipment available in the Certifications and Documents Section, the copies will be prepared by Copyright Office staff. If the amount of material to be

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1903 Copying Copyright Office records, indexes, correspondence, and deposits in general. (cont'd)

1903.01 Making copies. (cont'd)  
reproduced or its complexity makes duplication by the Certifications and Documents staff impracticable, the copies will be made by the Photoduplication Service of the Library of Congress or the Motion Picture, Broadcasting and Recorded Sound Division. The current duplication fees will be charged. See section 1911 below.

1903.02 Requests for copies other than additional certificates. Requests for copies of records, indexes, material from the authorization file, correspondence, and deposits should be made to the Certifications and Documents Section. Fees are charged for making copies, for any searches required to find the material, and for certification. Failure to provide a registration number and year date, or volume and document number for a recorded document, may result in a search charge to find the material. To minimize search fees and expedite copying, the request for copies should include the following information when available:

- 1) A clear identification of the type of records or deposits to be copied (for example copies of deposits, correspondence, catalog entries, etc.).
- 2) A specification of whether the copies are to be certified or uncertified.
- 3) A clear identification of the specific records to be copied including, where possible, the type of work involved (for example a novel, song lyrics, technical drawing), the registration number, if any, the year date or approximate year date of registration or submission to the Office, the complete title of the work, the author(s) including any pseudonym, the claimant(s), and if the requested copy is of an assignment, license, contract, or other recorded document, the volume and page number of the recorded document.
- 4) The telephone number and address of the requester.

See 37 C.F.R. 201.2(d).

1903 Copying of Copyright Office records, indexes, correspondence, and deposits in general. (cont'd)

1903.03 Copies of records. The Copyright Office will furnish a copy of any official record upon request and payment of the duplication fee. Official records include completed records of registrations, rejections, or recorded documents; indexes; litigation statements; and catalog entries relating to a registration or a recorded document.

1903.04 Materials which may generally be copied. The Copyright Office will furnish a copy of official correspondence, including preliminary applications, between copyright and mask work claimants or their agents and the Office, that directly relate to a completed registration (however, see section 1903 above), a recorded document, a rejected application for registration, or a document for which recordation was refused. See 37 C.F.R. 201.2(c)(1).

1903.05 Materials which may generally not be copied. The Copyright Office will not make copies available of correspondence, application forms, and any accompanying material (including deposit material) forming part of a pending application. As a general rule and subject to requirements of the Freedom of Information Act and the Privacy Act, the Office will not furnish copies of notes, internal memoranda, information relating to facts concerning personal privacy or financial information, trade secret or internal matters of a relatively trivial nature. Similarly, no copies will be furnished of material relating to internal matters of personnel and procedures, Office administration, security matters, or internal consideration of policy and decisional matters, including the work product of office attorneys.

1903.06 Administrative staff manuals. Copies of Compendium I (1973) are available for purchase from the National Technical Information Service and copies of Compendium II (1984) may be purchased from the Government Printing Office. As Compendium II is updated, changes will be available on-line at [www.loc.gov/copyright](http://www.loc.gov/copyright). In addition, requests for photocopies of the administrative staff manuals referred to as "Compendium of Copyright Office Practices I" and "Compendium of Copyright Office Practices II" may be submitted to the Certifications and Documents Section of the Copyright Office during regular

1903 Copying of Copyright Office records, indexes, correspondence, and deposits in general. (cont'd)

1903.06 Administrative staff manuals. (cont'd)  
work hours, 8:30 a.m. to 5:00 p.m., Monday through Friday, except legal holidays. A fee will be charged for this service.

1904 Copies of deposits. Requests for copies or phonorecords of deposited articles retained under the continuous control of the Copyright Office should be made to the Certifications and Documents Section. Requests for copies of deposits that have been transferred to the Library of Congress should be made to the Photoduplication Service or to the custodial division of the Library that has the copy in its collection.

1904.01 Authorization to make copies of deposits.  
Reproductions of the copies, phonorecords, or identifying material deposited in connection with a copyright or mask work registration or a refusal to register a published or unpublished work, and held in the custody of the Copyright Office will be provided only when one of the following three conditions have been met:

1) The Copyright Office receives written authorization from the copyright or mask work claimant of record or his or her designated agent, or from the owner of any of the exclusive rights in the copyright or mask work whose ownership is demonstrated by written documentation of the transfer of ownership. If the requester appears in person and alleges to be entitled to a reproduction of the deposit material on one of the foregoing bases, identification consisting of a photo I.D. and a current address is required along with the above-mentioned written authorization. A copy of the photo identification will be retained in the authorization file. If the request is made by telephone, the Office will ask for a written request.

2) The Copyright Office receives a completed Copyright Office litigation statement form from an attorney on behalf of either the plaintiff or defendant in connection with litigation, actual or prospective, involving the copyrighted work or mask work. The following information must be included on the completed form: (i) the names of all the

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1904 Copies of deposits. (cont'd)

1904.01 Authorization to make copies of deposits.  
(cont'd)

parties involved and the nature of the controversy; and (ii) the name of the court in which the actual case is pending or, in the case of a prospective proceeding, a full statement of the facts of the controversy in which the work is involved; and (iii) a sworn statement from the requester that the reproduction is to be used in connection with the specified litigation. In addition, the Office will ask for photo identification from any person filing a litigation statement, a copy of that identification will be made part of the file. The name of any authorized person receiving deposit copies will be retained in the authorization file.

- 3) The Copyright Office receives a court order for a reproduction of the deposit copies, phonorecords, or identifying material of a work which is the subject of litigation. The order must be issued by a court having jurisdiction over the case in which the reproduction is to be submitted as evidence.

1904.02 Nature of copies or phonorecords. Upon authorization and receipt of the duplication fee, the Copyright Office will supply a photocopy of copies, phonorecords, or identifying material deposited as part of a copyright or mask work registration. When a request is made for a reproduction of a work, such as a sound recording embodied on an audiotape or cassette, or a work embodied on a floppy disk, a CD-ROM or other format in which either a sound recording or the underlying musical, dramatic, or literary work is embodied, the Copyright Office will provide a reproduction when possible. The Office reserves the right to substitute a monaural reproduction for a stereo, quadraphonic, or any other fixation accepted for deposit. The Office will provide the title and the registration number of the work along with the date of any registration that has been made. In response to a specific request, the Office will provide reproductions of any printed or other visually perceptible material published with a phonorecord. For other deposit materials, the Office will supply uncertified copies that depict or reproduce the deposit with varying degrees of fidelity depending on the needs of the requester. For example: a photocopy of a

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- 1904        Copies of deposits.    (cont'd)
- 1904.02    Nature of copies or phonorecords.    (cont'd)  
              photograph can be supplied if such a reproduction  
              is suited to the requester's needs. For the  
              nature of certified copies, see section 1909  
              below.
- 1905        Certificates of registration. After the Register of  
              Copyrights determines that the material deposited for  
              registration constitutes copyrightable or mask work  
              subject matter, and that the other legal and formal  
              requirements of the law have been met, the Register  
              will register the claim and issue to the applicant a  
              certificate of registration under the seal of the  
              Copyright Office. The certificate will contain the  
              information given in the application, together with the  
              number and effective date of the registration. See 17  
              U.S.C. sections 410(a), 908(e). A certificate of  
              renewal registration will be issued for works first  
              published or registered before January 1, 1978, upon  
              compliance with the renewal provisions of the copyright  
              code. See 17 U.S.C. 304(a). Certificates returned to  
              the Copyright Office as undeliverable will be mailed a  
              second time unless they were undeliverable because the  
              addressee moved and left no forwarding address.  
              Certificates returned a second time are destroyed after  
              updating the Office's records to show the status of the  
              mailing was "undeliverable."
- 1905.01    Nature of the certificate. The certificate of  
              registration or certificate of renewal is a  
              digital image of the application made on a form  
              containing the signature of the Register of  
              Copyrights and the seal of the Copyright Office.
- 1906        Additional certificates of registration. Additional  
              certificates of an original or renewal registration  
              will be issued to anyone upon request and payment of  
              the fee. See 17 U.S.C. 706(a). Additional  
              certificates are certified copies of the record of  
              registration and have the same legal effect as the  
              original certificate. Certified copies of additional  
              certificates may also be requested from the  
              Certifications and Documents Section upon payment of  
              the appropriate fee. The manner in which additional  
              certificates are prepared may vary, depending upon the  
              date of the original registration. Additional  
              certificates are prepared by the Certifications and  
              Documents Section of the Information and Reference  
              Division. The Copyright Office will not issue  
              additional certificates of cancelled registrations. It  
              will, however, certify a copy of the cancelled  
              registration in the same manner as it certifies any

1906 Additional certificates of registration. (cont'd)  
other public record. See sections 1903.03(a) above and  
1909.06 below. The Office will certify copies of  
applications refused registration as part of the  
correspondence file.

1906.01 Registration made on or after January 1, 1978.  
Additional certificates for registrations made on  
or after January 1, 1978, are duplicate  
facsimiles. These may be made from original  
applications, from a microfilm copy or from  
another imaged copy. The additional certificate  
contains the signature of the current Register of  
Copyrights together with the seal of the Copyright  
Office. Each such additional certificate is  
stamped to identify it as an additional  
certificate.

1906.02 Registration made on or before December 31, 1977.  
Additional certificates for registrations made on  
or before December 31, 1977, consist of a  
photocopy of the application that was used to make  
the original registration with a pre-printed  
certification statement attached. The  
registration number, date of certification, and  
the signature of the current Register of  
Copyrights are added to the certification  
statement form, which is issued under the seal of  
the Copyright Office. In cases where a photocopy  
of the application cannot be used to produce an  
additional certificate of registration, an  
additional certificate may be made by typing the  
name of the claimant, title, date of publication,  
date of receipt of copy(s), and the registration  
number on a pre-printed certification form. The  
name of the Register of Copyrights is then added  
to the form together with the seal of the  
Copyright Office.

1906.03 Prints or labels registered in the Patent Office  
before July 1, 1940. The Patent Office retained  
carbon copies of each certificate issued by that  
Office. Copies of the Patent Office records were  
transferred to the Copyright Office on July 1,  
1940. An additional certificate of copyright  
registration for a print or label registered in  
the Patent Office before July 1, 1940, consists of  
a photocopy of the carbon copy of the original  
certificate of registration together with the  
Copyright Office's certification of the photocopy.

1907 Certificate of recordation. Upon receipt of any  
transfer of ownership or other document pertaining to a  
copyright or mask work, which meets the requirements of

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- 1907      Certificate of recordation. (cont'd)  
the law (see 17 U.S.C. 205(a)), the Copyright Office will record the document and return it with a certificate of recordation. See 17 U.S.C. 205(b).
- 1907.01    Nature of the certificate of recordation. The document submitted for recordation is returned to the sender with an attached certificate of recordation after a preservation copy has been made for Copyright Office records. The certificate consists of a form containing the signature of the Register of Copyrights, the date of recordation, and the volume and document number of the recorded document. The certificate also bears the seal of the Copyright Office.
- 1908      Certified copy of a recorded document. A certification of recordation may be issued to anyone upon request and payment of the fee(s). See 17 U.S.C. 706(a). The certification consists of a copy of the document, or relevant portions thereof, and an attached certification form.
- 1908.01    Microfilm recordation. Some documents originally recorded in the Copyright Office on microfilm (generally before 1982) also include a microfilm copy of the original certificate of recordation. In such cases, the original certificate of recordation is reproduced along with the document and is included in the certified copy.
- 1908.02    Preparation of copies of document. Copies of most documents are prepared by the Certifications and Documents Section of the Information and Reference Division. A fee for making the copy will be charged. See section 1911 below. Some copies of documents must be prepared by the Photoduplication Service, which charges its current fees for the service.
- 1908.03    Certification of copies of recorded documents. Copies of recorded documents are certified by the Certifications and Documents Section of the Information and Reference Division. Certified copies of recorded documents are furnished by providing a photocopy of the document printed on paper, including a photocopy of the original certificate of recordation, if it is on record. See sections 1908.01 and 1908.02 above. The copy of the document is attached to a certification form on which is included the volume and document number where the document is recorded, the date of certification, and the date of recordation. The signature of the Register of Copyrights and the

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- 1908        Certified copy of a recorded document.    (cont'd)
- 1908.03    Certification of copies of recorded documents.  
(cont'd)  
seal of the Copyright Office are included on the certificate. A fee for making the copy will be charged at the rate established by the Photoduplication Service.
- 1909        Certification in general. Certification is an official written representation of the Copyright Office attesting to one or more facts and bearing the seal of that Office and issued under the name and title of the Register of Copyrights. The Office will certify only an authorized work product produced by the Office or official Office records.
- 1909.01    Register's name on certification. The name of the current Register of Copyrights will be used regardless of his or her temporary absence from the Office for reasons such as travel, illness, etc. Only during a change in terms, when an Acting Register has been appointed by the Librarian of Congress, will the name of an Acting Register be used.
- 1909.02    Authentication of certified documents issued by the Copyright Office. The Copyright Office has adopted an official seal to authenticate its certified documents. See 17 U.S.C. 701(b). The appearance of the seal has varied during different periods of time; however, the certification remains valid if it was correctly sealed at the time it was made. Use of the Library of Congress seal or any other non-official Copyright Office seal does not result in a valid certification.
- 1909.03    Omission of Register's name or Copyright Office seal. A document lacking either the Register's name or the Copyright Office seal is not validly certified.
- 1909.04    Appeal from denial of certification. Denial of a request for certification may be appealed in the following order: (1) Head, Certifications and Documents Section, (2) Chief of the Information and Reference Division, and (3) Register of Copyrights, who may delegate the responsibility to the General Counsel or the Assistant General Counsel.
- 1909.05    Undeliverable certifications. Certifications, including additional certificates of registration, returned to the Copyright Office as undeliverable,

1909            Certification in general.    (cont'd)

1909.05    Undeliverable certifications.    (cont'd)  
are generally remailed one time. If returned again, the certification is destroyed after the CIS image status has been updated to show that the mailing was "undeliverable," in accordance with retention policies established by the Register of Copyrights for those files.

1909.06    Who may authenticate documents. Documents may be authenticated by the person or persons to whom that authority has been delegated by the Register of Copyrights. Documents will generally be authenticated by the Head of the Certifications and Documents Section or in his/her absence by the Assistant Chief or Chief of the Information and Reference Division. For original certificates of registration or certificates of recordation of documents see sections 1905.01 and 1907.01 above.

1909.07    Certifications. Certifications are made in four different formats depending on the nature of the material being certified.

- 1)    Certification of original certificates of registration, rejected applications, or recordation of documents. For the form of certification of original certificates of registration see section 1905.01 above. For the form of certification for original certificates of recordation of documents see section 1907.01 above.
- 2)    Certification of statements from the public record. A standard certification attests to one or more facts from the public record about a document or deposit. It bears the name and title of the Register of Copyrights and is signed by the head of the Office's Certification and Documents Section, or an authorized designee.
- 3)    Certification of a deposit in a format different from the original. A special certification is required when the reproduction is not exact, *e.g.* a cassette tape is made from a phonorecord, a photograph is made of a three-dimensional object, a copy is reduced in size from the original deposit, or a copy is made of only part of a larger work (preface only of a book or five pages of a twenty-page document). Such a certificate is issued under the name and title of the

1909            Certification in general.    (cont'd)

1909.07        Certifications.    (cont'd)

Register of Copyrights, and is signed by the head of the Certification and Documents Section, or an authorized designee.

- 4)    Certification of other materials.  
Specifically drawn certifications of other materials, including apostilles, exemplifications, and declarations will be issued by the Office upon payment of a fee. An apostille is an attachment to a certification form required by some foreign courts pursuant to the Hague Convention of October 5, 1961. An apostille certifies, under the seal and signature of the current Register of Copyrights, that an attached public document has been signed by the head of the Copyright Office's Certifications and Documents Section.

1909.08        Method of requesting certification.

Certifications, including certification of additional certificates of registration, are made by the Certifications and Documents Section of the Information and Reference Division, and all requests for certification should be addressed to that Section. The request should include the following:

- 1)    Specific request for certification. The request should clearly indicate whether the copies are to be certified. Where the request is unclear whether the copies are to be certified or not, the Copyright Office will ask for further instructions.
- 2)    Full identification of material to be certified. The request should fully identify the material to be certified. See section 1903.02 above. Failure to identify adequately the material may necessitate an inquiry by the Office for further information or may result in a search fee to locate the material.

1909.09        Preparation and handling of certifications in general. All Copyright Office certifications must be prepared under the direction and control of the Copyright Office. See section 1903 above. When preparing copies for Office certification, the Photoduplication Service or Motion Picture, Broadcasting and Recorded Sound Division acts at

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1909            Certification in general.    (cont'd)

1909.09        Preparation and handling of certifications in general.    (cont'd)

the direction of the Copyright Office. When material is submitted to those offices for copying, the Copyright Office will observe the following procedures:

- 1)     Furnish the materials to be copied, identify the exact material to be copied, and specify the copying process to be used; and,
- 2)     Indicate that the material is being prepared for certification and that it should be returned to the Copyright Office for that purpose.

1909.10        Certified copies of official records. Upon payment of the certification and duplication fees, certified copies of official records of the Copyright Office may be furnished. Examples of official records include: entries in the registration record books, numbered applications, indexes to registration and recorded transfers and other documents pertaining to a copyright or mask work. The certified copies furnished by the Office will be accompanied by the appropriate certification form. See section 1909.07 above.

1909.11        Certified copies of correspondence. Upon payment of the certification and duplication fees, the Copyright Office will certify copies of any correspondence which is permitted to be copied. See section 1903.04 above. Every certification covering correspondence must be specially drawn. If the various pieces of correspondence all relate to the same registration, or group of related registrations, they may all be included in one certification, but each item must be separately identified in the certification.

1909.12        Certified copies of search reports. Search reports prepared by the Copyright Office will be certified on letterhead stationery available for that purpose. The search report is certified under the seal of the Register of Copyrights and is usually signed also by the Head of the Reference and Bibliography Section or in his or her absence it may be signed by the Assistant Chief or Chief of the Information and Reference Division.

1909            Certification in general.    (cont'd)

1909.13    Certification of copies of information circulars, former circulars, and blank application forms.  
The Copyright Office will certify copies of information circulars and blank application forms currently or formerly issued as official publications of the Office. Certifications are made by the Certifications and Documents Section, under the seal of the Register of Copyrights and signed by the Head of the Certifications and Documents Section or in his or her absence by the Assistant Chief or Chief of the Information and Reference Division.

1909.14    Certified copies of material deposited for copyright or mask work registration. When the Copyright Office has retained continuous control of deposits (see section 1904 above) and it is authorized to make copies (see section 1904.01 above), certified copies or phonorecords may be furnished of materials deposited for copyright or mask work registration, (whether registration is made or refused), upon receipt of the certification and duplication fees. The Office will not certify copies found in the collections of the Library of Congress. Only the Library of Congress can make such certifications.

NOTE: The practice of the Copyright Office regarding the retention under its control of materials deposited for copyright has varied at different times. Therefore, not all materials deposited for copyright registration are available for copying or certification.

1909.15    Jurisdictional requirement for certifying material deposited for copyright. The Copyright Office will certify a copy of material deposited in connection with a claim to copyright or a mask work only if such material has remained continuously under the control of the Copyright Office. Copies of such materials made part of the Library of Congress' collections will only be certified by the Photoduplication Service or the Motion Picture, Broadcast, and Recorded Sound Division. When such deposit materials are loaned for exhibit purposes to the Library of Congress Exhibits Office, the Copyright Office asks that these items be returned, and the Office insists that they not be altered in any way and that they not be available for public handling. In these cases the material is considered to have remained under the control of the Office and therefore can

1909 Certification in general. (cont'd)

- 1909.15 Jurisdictional requirement for certifying material deposited for copyright. (cont'd)  
be certified while it is on exhibit and after it is returned to the Office. The Office will not certify any other material returned to it from the Library of Congress.

The Copyright Office will not certify any material added to a deposit after registration has been completed, except where the additional material is added as an addendum to the original registration.

The Copyright Office will certify only those copies which have been made by it or at its request. It will not certify copies of deposit material made by copyright or mask work owners or litigants, even if those copies are made under the supervision of the Office. See section 1903 above.

- 1909.16 Form and content of certified copies of material deposited for copyright or mask work registration (other than phonorecords and Patent Office deposits). The Copyright Office will provide the best possible reproduction(s) of deposited material, depending on the nature of the material and the need of the requester. Photocopies are provided for most flat material. As a general rule, the Office certifies a copy of the entire deposit retained by the Office. The material certified must include a copy of the page or surface bearing the registration number and date of deposit, if any.

- 1909.16(a) Copies of part or portions of a work. When a request is received to copy and certify only a part or portion of a work, a special certification clearly identifying the material certified must be drawn and typed. In such cases, the material copied and certified must include the page or surface bearing the registration number and date of deposit, and also the page or surface bearing the notice of copyright, if any.

- 1909.16(b) Copies of photographs and identifying reproductions deposited for certain three-dimensional works. To certify copies of photographs or reproductions deposited in lieu of three-dimensional or over-size copies, a certification must be prepared which identifies the "certified copies" as

1909            Certification in general.    (cont'd)

1909.16       Form and content of certified copies of material deposited for copyright or mask work registration (other than phonorecords and Patent Office deposits).    (cont'd)

1909.16 (b) Copies of photographs and identifying reproductions deposited for certain three-dimensional works.    (cont'd)  
copies of photographs or identifying material deposited in lieu of copies. In such cases all of the photographs or reproductions in a set should be reproduced, unless the request specifies that only certain ones are to be copied. In all cases, however, the material copied and certified should include the page or surface bearing the registration number and date of receipt of the deposit, if any, and also the page or surface showing the notice of copyright, if any. For some pre-1956 registrations where both three-dimensional copies and photographs may be available, the Copyright Office will certify the photographs, unless the applicant specifically requests certification of the three-dimensional copies.

1910            Certification of actual deposit copy when required by the court. When required by a court, the Copyright Office will certify the actual copy, phonorecord, or identifying material used to make the registration, or to refuse registration, provided that the copy, phonorecord, or identifying material has been under the continuous control of the Copyright Office. The actual deposit material will be made available only upon the condition that it will be promptly returned to the custody of the Copyright Office. A certificate is drawn to show that the copy, phonorecord, or identifying material is the copy, phonorecord, or identifying material used to make or to refuse the registration. If the deposit material has been transferred to the Library of Congress's collections, the Office will not certify that copy, phonorecord, or identifying material.

1911            Fees in general. Fees are charged for the various services provided by the Copyright Office, the Photoduplication Service, or the Motion Picture, Broadcasting, and Recorded Sound Division.

1911.01       Statutory fees. Fees are charged for certain services as set forth in section 708 of the Copyright Act and section 908(d) of the

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1911 Fees in general. (cont'd)

1911.01 Statutory fees. (cont'd)

Semiconductor Chip Protection Act of 1984. They are payable to the Register of Copyrights.

Fees are charged:

- 1) For issuance of an additional certificate of registration;
- 2) For issuance of any other certification;
- 3) For making a search or any related service; and
- 4) For a special service, at a rate fixed by the Register.

1911.02 Photoduplication Service and Motion Picture, Broadcasting, and Recorded Sound Division fees.

Fees for the making of copies by these units are established by them and are payable to the Library of Congress at the copying rate then in effect for their services.

1911.03 Certification fees. The check for preparing a certification should be made payable to "the Register of Copyrights," regardless of which Library service unit is preparing the certification.

1912 Applicability of fees to other U.S. Government agencies. Section 708(b) of the Copyright Act provides that all fees prescribed by the Act are applicable to the United States Government and any of its agencies, employees, or officers, but that the Register of Copyrights has discretion to waive these requirements in occasional or isolated cases involving relatively small amounts.

[END OF CHAPTER 1900]