



SCIENCE FOR THE BENEFIT OF HUMANITY

- If you are a Howard Hughes Institute Investigator, or if HHMI employees are involved, please check this box.

## TECHNOLOGY DISCLOSURE FORM

The purpose of this form is to notify the Office of Technology Transfer when something both new and potentially commercially useful has been conceived or developed, or when unusual, unexpected or unobvious research results have been obtained which could be used in a commercial setting. It is important that you submit your technologies promptly for evaluation, no later than a month prior to publication or a public presentation. Intellectual property protection may be lost if there is a public disclosure (electronic or printed publication, poster session, oral presentation or other non-confidential disclosure) before a patent application can be prepared and filed.

More information may be required at a later date but the completion of this form and the signature of the main contributors will serve to begin the evaluation process. We understand that not all the information requested may be immediately or readily available. Please complete what portions you can, sign and return to the Office of Technology Transfer, Box 138.

1. Title of technology: Please provide a **brief** title that specifically describes the technology.
  
2. Names and affiliations of contributors: You should list here the names and academic (or other) affiliation of all persons who contributed directly to the discovery and development of the technology. The rules for determining inventorship are set forth by U.S. patent laws, therefore final determination of inventorship may be made by a patent attorney if and when a patent application is filed and the claims have been defined.
  
3. Home address and campus phone numbers and citizenship of contributors:

4. Rockefeller may have obligations to the sponsors of the research that led to the new technology. Please list all sponsors and applicable contract or grant numbers if the technology was developed with the use of funds from the federal government, the University, foundations, or industry-sponsored research grants or contracts.

5. If your technology includes all or any part of materials obtained from another institution or company, or resulted from research using such materials, please list them below. Examples include certain cell lines, DNA, research animals, compounds, software, etc. Such materials may have been made available through a sponsored research agreement, software license agreement, or material transfer agreements, resulting in possible obligations to the providers of those materials.

6. Please provide a one paragraph description of the technology. Include novel aspects and advances over current technology. If you have a more detailed description of the technology available, such as a draft abstract, manuscript, photograph, charts, etc, please attach that instead.

7. What is the date when you first conceived the ideas for this technology? Where is this documented? Please attach a copy if possible.

8. Have you published or presented (including poster presentations) this technology? If so, when? Please attach a copy of what was published or presented with the date it was first made available. If not, do you plan to submit any grant applications, report, abstract, or other written description of this technology, or do you plan to make a presentation at any public meeting, conference or other open discussion? Please provide details, including anticipated dates of publications or presentations. This is important as public disclosures may have an affect on the extent of potential protection in the future.

9. It is important for you to distinguish your new technology from similar technologies that may be available. Please list any publications, patents, patent applications or other references that are closely related to the new technology:

10. Intellectual property protection is needed only for products and services that will eventually be sold by companies. Please describe the sorts of products and services that could be sold using your technology:

11. Most of our leads for technology marketing come from the inventors themselves. Please list the companies that may sell the types of products or services you described in #10. Provide any names of individuals within those companies that you know of.

I have answered these questions as fully as possible at this time. I will supply additional information as it becomes available and agree to comply as needed with the responsibilities of Inventor on the following page. I hereby assign to the University all right, title and interest in, to and under the Inventions (as this term is defined in the University's Intellectual Property Policy).

Signature of Lead Contributor:

\_\_\_\_\_ Date: \_\_\_\_\_  
Print name:

The foregoing technology disclosure has been brought to my attention as the head of the laboratory at The Rockefeller University where such work was wholly or partially performed. I hereby assign to the University all right, title and interest in, to and under the Inventions (as this term is defined in the University's Intellectual Property Policy).

Signature of Laboratory Head:

\_\_\_\_\_ Date: \_\_\_\_\_  
Print name:

<u>Activity</u>	<u>Responsibility</u>	
	<b>OTT</b>	<b>Inventor</b>
Identify research program likely to produce results of commercial interest	X	X
Disclose research results to OTT		X
Discuss background work and future research plans	X	X
Assess disclosure, provide feedback	X	
Conduct literature and patent searches	X	X
Negotiate interinstitutional agreements if necessary	X	
Retain and pay patent counsel to prepare and file patent application for select inventions	X	
Assist counsel with patent preparation and prosecution	X	X
Sign documents required for patenting and licensing		X
Provide copies of references and supporting materials		X
Prepare non-confidential information for marketing	X	X
Market technology, interact with potential partners	X	X
Negotiate option/license agreement	X	
Provide information on status of licensing	X	
Participate in interview with patent examiner if necessary		X
Fulfill Federal invention reporting obligations	X	
Fulfill Rockefeller COI reporting obligations		X
Facilitate “transfer” of technology to licensee		X
Monitor license agreement, pay ongoing patent maintenance fees, and distribute net income in accordance with Rockefeller Policy	X	