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| INVENTION REPORT AND RECORD  PRIVILEGED AND CONFIDENTIAL  *Protecting and commercializing your innovation starts by filing an Invention Report. This provides CTV with basic information about the invention and helps us develop strategies for commercialization and IP protection (including patenting and other mechanisms).*  *Please note that the information herein is submitted for purposes of SEEKING legal advice concerning patentability, copyrightability, etc. Such information is subject to legal and other review and confirmation.*  Office of the General Counsel Columbia Technology Ventures | *TechVentures Office Use Only* | |
| IR#: | |
| Date Rec’d: | TLO: |
| OGC: | OLC: |
| Invention review (Pick one):  No Review Necessary  Reason: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Standard IRM:  With CTV/PLG/OLC  With CTV/PLG only  urgent IRM (within 48 hours):  With CTV/PLG/OLC  With CTV/PLG only  Reason: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | |
| NO Assessment needed  Reason: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | |

**SECTION I: BASIC INFORMATION (REQUIRED)**

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| **A. Potential Inventor(s) – Please include potential Columbia inventors and potential non-Columbia inventors:**  *(Note: Inventorship is a legal determination that will ultimately be made by outside legal counsel at a later date.)*  *Please use additional copies of this page for more than four names* | | | |
| Full Name |  | Full Name |  |
| Entity of Employment at time of Invention |  | Entity of Employment at time of Invention |  |
| UNI/EMAIL |  | UNI/EMAIL |  |
| Position |  | Position |  |
| Department(s) |  | Department(s) |  |
| Center(s) |  | Center(s) |  |
| University Address |  | University Address |  |
| Telephone |  | Telephone |  |
| Permanent Address |  | Permanent Address |  |
| City, State, Zip |  | City, State, Zip |  |
| Country of Citizenship |  | Country of Citizenship |  |
| Full Name |  | Full Name |  |
| Entity of Employment at time of Invention |  | Entity of Employment at time of Invention |  |
| UNI/EMAIL |  | UNI/EMAIL |  |
| Position |  | Position |  |
| Department(s) |  | Department(s) |  |
| Center(s) |  | Center(s) |  |
| University Address |  | University Address |  |
| Telephone |  | Telephone |  |
| Permanent Address |  | Permanent Address |  |
| City, State, Zip |  | City, State, Zip |  |
| Country of Citizenship |  | Country of Citizenship |  |

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| **B. Title of the Invention:** *(brief and descriptive without revealing unique details)* |
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| Are you submitting this disclosure with technical information (such as blueprints, schematics, genetic sequences, or source code) or links to such that are not intended for publication or public dissemination?  (This does not include general descriptions of function or purpose.) | Yes No |
| Does this disclosure or the research involved in creating the information for this disclosure include Controlled Unclassified Information (CUI), as identified to you by the government or any contractors?  More information about CUI is available on the US National Archives CUI website (<https://www.archives.gov/cui>) | Yes No |

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| 1. **State, as fully as possible, what the invention is:** |
| *If you have a manuscript, publication, comprehensive protocol, slide deck, conference poster, or similar descriptive material, you may attach them to this disclosure in lieu of describing the invention.* |

**SECTION II: CRITICAL FUNDING AND PUBLICATION INFORMATION (REQUIRED)**

***Note: Please complete this entire section to ensure compliance with federal regulations.***

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| **D. Federal Grant/Contract or Subcontract Funding:**  *(Include applicable center grants, e.g., MRSEC, NSEC etc.)* | | | | | |
| 1. Was the invention conceived or first actually reduced to practice in the performance of work funded, in whole or in part, by any federal grant(s), contract(s) or subcontract(s) “including general salary support”? If yes, list below. | | | | | Yes No |
| 1. Will any federal sponsoring entity be acknowledged if information related to this invention is published or disseminated to the scientific community? If yes, list below. | | | | | Yes No |
| Please add additional rows if necessary | | | | | |
| **Sponsor(s):** | **Grant/Contract Number(s):** | **Principal Investigator:** | | **Administering Dept/Center:** | |
| e.g. NIH | (e.g. AG000001) |  | |  | |
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| If any grants, contracts or subcontracts were awarded to an entity other than Columbia University, please specify which entities: | | |  | | |

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| **E. Publication, Public Disclosure & Other Activities:** | |
| If the answer to any of the following questions is YES, please provide detailed information and attach the relevant file. Please keep your Technology Licensing Officer informed of any future submission or acceptance of publications or other public disclosures.  Please note that any public or non-confidential disclosure of the invention (orally, in writing, by actual use, demonstration, or posters) may bar patent protection. In the US, a publication can trigger a one-year period within which a patent application must be filed in order to maintain US rights. Publications or disclosures prior to filing a patent application can eliminate patent rights in most foreign countries. | |
| 1. Has the invention been described or otherwise publicly disclosed through any publication(s), abstract(s), appearances online, conferences, conference abstracts, poster sessions, presentations, lectures, or other? | Yes No |
| |  |  |  |  |  | | --- | --- | --- | --- | --- | |  | **WHERE** | **STATUS (e.g., submitted, pending)** | **SUBMISSION DATE** | **EXPECTED PUBLIC AVAILABILITY DATE** | | **Journal Article** |  |  |  |  | | **Conference Abstract** |  |  |  |  | | **Oral Presentation** |  |  |  |  | | **Poster Presentation** |  |  |  |  | | **Grant Proposal** |  |  |  |  | | **Thesis/Dissertation** |  | Is the thesis embargoed  Yes No Not sure |  |  | | **Disclosure to a company** |  | Was a confidentiality agreement in place?  Yes No Not sure |  |  | | **Other (email/website posting/blogs, etc.)** |  |  |  |  | | |
| 1. Was the invention or any derivative product sold, offered for sale, or used in public? | Yes No |
| If **yes**, please note the date(s) and provide the details of the derivative product:   |  | | --- | |  | |  |
| 1. Were any materials (biological or otherwise), documents, information or software related to the invention provided or disclosed to any third party (including academia, industry or government)? | Yes No |
| If **yes**, was there a confidentiality agreement in place? | Yes No |
| If **yes**, please note the date and circumstances of the disclosure:   |  | | --- | |  | | |
| 1. Are any of the above disclosures or activities contemplated in the near future? | Yes No |
| If **yes**, please provide the details of any potential disclosures in the near future:   |  | | --- | |  | | |

**SECTION III: OBLIGATIONS (Optional at time of submission but strongly encourageD to be done at submission. If incomplete, CTV will follow up promptly for the information with a phone call to interview the person who appears to be the PI. Please feel free to nominate an inventor or non-inventor (such as a department administrator/postdoc/grad student) for the follow-up call: ­­­­­­­­­­­­­­­\_(name here)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.)**

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| **F. Copyright and other Works of Authorship** |
| |  |  |  | | --- | --- | --- | | Does the invention include any of the below: | **Yes** | **No** |   If **yes**, check all that apply: |
| |  |  |  | | --- | --- | --- | | Software  Data/database | Text (document, questionnaire) | Audio/Video recording  Other copyrightable work | |
| If **yes**, please provide the following details about your selections above:   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | **Details, including origin:**  **Other information**   |  |  |  |  | | --- | --- | --- | --- | | **Other included software** | **Websites** | **Type of Open-source Software (if any) with link(s)** | **Description of Materials** | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  |   For software and other forms of copyrightable material, list all authors of code/text and/or third-party owned material. This will help determine authorship and/or third-party obligations (e.g., consultants, research institutes, contractors, co-developers, etc.) We realize this may be wholly/partially redundant with the list of potential inventors, but it is necessary for legal reasons. | | | | | | PLEASE ADD ADDITIONAL ROWS IF NECESSARY | | | | | | **Author Full Name (if an individual)** | **Institution/Company (at time of authorship)** | **Current Institution/Company (if different)** | **Email** | **Phone** | |  |  |  |  |  | |  |  |  |  |  | |  |  |  |  |  | |
| Please deliver a complete/working copy of the above materials to: TechVentures@columbia.edu.  This may include source code, executables, screenshots, technical documentation, manuals, permissions, or license agreements governing your use of third-party code and materials. If the material is too large to be emailed, please email TechVentures@columbia.edu to arrange for delivery. |
| **G. Columbia Resources:** |
| Please list all potential Columbia inventors and under which Department/Center/Institute the inventors' research activities have been conducted:   |  |  |  | | --- | --- | --- | | **Potential Columbia Inventor (from Section I.A)** | **CU Dept/Center/Institute/etc.** | **Type of Support (i.e., salary, space, other financial, in-kind, etc.)** | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |
| |  |  |  | | --- | --- | --- | | **Was the invention developed in/at** | **Yes** | **No** | | the Department of Psychiatry? |  |  | | the Shapiro Center for Engineering & Physical Science Research (CEPSR)? |  |  | | the Russ Berrie Medical Science Pavilion (Audubon II)? |  |  | | a New York State Stem Cell Science (NYSTEM) funded facility at Columbia? |  |  | | a New York Genome Center (NYGC) facility? |  |  | | Was the invention funded by any internal Columbia translational research grant or accelerator program (e.g. BioMedX(formerly Coulter), Celgene, PowerBridge NY,TRx, RISE, BBI, Takeda, HHI, BMS, ACT, etc.) If yes, please identify : |  |  | |

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| **H. External Resources & Funding:** |
| |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | | **Were any of the potential inventors** | **Yes** | **No** | **Award Source/Sponsor** | **Award #** | **PI** | **Date Funded** | **If awarded to an entity other than CU, please specify** | | funded by NY State Psychiatric Institute (NYSPI)? |  |  |  |  |  |  |  | | NYP employees? |  |  |  |  |  |  |  | | using NYP clinical facilities, used beyond normal patient care use for the development of this technology? |  |  |  |  |  |  |  | | funded by Howard Hughes Medical Institute (HHMI)? |  |  |  |  |  |  |  | | funded by NYSTEM? |  |  |  |  |  |  |  | | funded by or have an appointment with NY Genome Center? |  |  |  |  |  |  |  | | funded by the Center for Advanced Technology (CAT)? |  |  |  |  |  |  |  | | funded by a company based in the state of New York? |  |  |  |  |  |  |  | | or the invention funded under the Amazon- Artificial Intelligence Technologies Research Center? |  |  |  |  |  |  |  | | developing the invention in a non-Columbia-owned facility, other than listed above? |  |  |  |  |  |  |  | |

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| **I. Is the invention related to any third-party agreements not identified elsewhere on this form?** |
| |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Were any materials** | **Yes** | **No** | **Agreement or Purchase order #** | **Department** | **Copy Attached?**  **Y/N** | | obtained from a third party under an MTA or purchase agreement, e.g., Biological Materials (plasmids, vectors, genetically engineered animals, JAX, Addgene)? |  |  |  |  |  | | human or human-derived, regardless of whether they were internally or externally produced/obtained/purchased/etc.? | If **yes,** please provide an informed consent form. |  |  |  |  | | provided by or the invention created under an Industry Sponsored Research Agreement (SRA)? |  |  |  |  |  | | (or the invention) utilizing any materials created by or utilizing the ‘TET-System,’ a tetracycline (or tetracycline analog) regulated gene expression technology, including both the overall system and any of its individual components? |  |  |  |  |  | | equipment from a third party? |  |  |  |  |  | | provided by or the invention created under any other type of agreement? (such as Consulting Agreements, Collaboration Agreements, etc.) |  |  |  |  |  | |

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| **J. Non-Columbia Inventor Affiliations** |
| Please provide details below for any potential inventors (including employees, officers, and students) who, at the time of making an inventive contribution, were employed by or otherwise affiliated (whether compensated or not)  with an entity (other than or in addition to Columbia) that may have rights in the invention. |
| |  |  |  |  | | --- | --- | --- | --- | | **Potential Inventor with non-Columbia affiliation** | **Institution/Center/Dept./Third Party/etc.** | **Type of Affiliation (e.g., employee, consultant, fellow, etc.)** | **Type of Support (e.g., salary, space, other financial, in-kind, etc.)** | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |

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| **Note** |
| Should Columbia decide to retain outside legal counsel (OLC) to file a patent application on the invention, that OLC may ask you if you have recent experimental data that did not exist at the time you completed this Invention Report.  Please copy CTVCompliance@columbia.edu on the update to the OLC, and please update the answers to any question in this IR as needed (e.g., new inventors, new material transfer agreements, or new research sponsors). |

**SECTION IV: COMMERCIAL POTENTIAL (OPTIONAL- Completing this section will help our office prepare a more robust technology assessment and assist in identifying marketing opportunities.)**

Note: CTV encourages you to contact our office before disclosing to any outside parties.

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| **K. Is research continuing on this invention at Columbia?** | Yes No |
| *If* ***yes****, please describe research plans:* | |

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| **L. What critical commercial problem does this invention solve?** |
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| **M. Does the invention have relevance to an existing or emerging technical standard? A technical standard is a set of requirements for ensuring interoperability among devices or promoting the reliability, productivity, efficiency, or safety of devices.** |
| *If* ***yes****, which standard(s)?:* |

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| **N. Specify the closest technologies or references known to you currently:** |
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| **O. How does the invention differ from the closest technologies or references described above? What advantages does it provide?** |
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| **P. Other possible commercial applications for the invention include:** |
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| **Q. Which companies or investors are most likely to be interested in this invention?** |
| *If you can provide personal contacts at relevant companies, please list their name(s) and email(s) below:* |

**SUBMISSION ACKNOWLEDGEMENT – *Please sign or type name below***

|  |  |
| --- | --- |
| **Columbia University Inventor(s):** Columbia University requires all potential inventors who are its faculty, officers, employees or students to sign or type their names below. | |
| I/We submit this Invention Report and Record Form pursuant to Columbia's Statement of Policy on Proprietary Rights in the Intellectual Products of Faculty Activity, as amended, and the Columbia University Copyright Policy, as amended (collectively, the “Policy”). I/We agree to assign, and do hereby assign, to Columbia all my/our rights, title, and interest in any invention or copyright in any material as described herein and agree to render such assistance as Columbia may reasonably request to obtain patents and copyrights and develop the commercial value of such invention and such material, including signing such documents as may be required for this purpose. I/We understand that Columbia will adhere to the terms of the Policy, which can be found in The Faculty Handbook or on Columbia Technology Ventures' website, www.techventures.columbia.edu, and will distribute any proceeds attributable to the invention and copyright according to those terms. I/We also understand that if Columbia decides not to seek protection for the invention or the material, it will release its rights in the invention specifically described herein and to the extent actually developed as of the date of submission of this Invention Report and Record Form; provided, however, that I/we have met the obligations under the Policy with respect to disclosure of the invention and material and cooperation with Columbia. Any release of Columbia's rights in such invention or such material may be subject to applicable restrictions or requirements imposed by the terms of any grant, contract or cooperative agreement to which Columbia is a party, or by applicable law, rule, or regulation. | |
| **Signature or typed name of each potential Columbia inventor listed in Section I** | **Date** |
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*(Please use additional copies of this page if more signatures are required)*

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| --- |
| **Please return this form to your Technology Licensing Officer or TechVentures@columbia.edu** |