

When completed submit to
Office of Technology
Commercialization via
e-mail: otc@rpi.edu

**Rensselaer Polytechnic Institute
INVENTION DISCLOSURE**

Case No.(this space for
OTC use only)

See Page 8 for Helpful Information for filling out this form.

Date Disclosure Submitted:

- 1. Title of Invention:
- 2. DESCRIPTION OF TECHNOLOGY (Please attach)
- 3A. CONTRIBUTOR(S) – Please place Asterisk (*) next to primary contact (attach additional sheets if necessary)

CONTRIBUTOR(S):	AFFILIATION/POSITION	DEPARTMENT/PHONE

3B. NON-RENSELAER CONTRIBUTOR(S) (if listed above)

- A. With respect to the concept of the invention, in detail, what did the Rensselaer contributors contribute?
- B. With respect to the concept of the invention, in detail, what did the non-Rensselaer contributors contribute? (include dates)
- C. Describe the method of collaboration (e.g. phone contact, e-mail, face-to-face conferences)

4. The invention was made under one or more of the following circumstances [check all that apply]

In connection with Federal, State, commercial and/or other externally-sponsored research. If so, please identify source(s) and contract number(s) below:

Rensselaer Fund Number	Agency/Company	Contract Number(s)

- Prime to the agency/company Under a subcontract with _____
- Internal funding (e.g. school and/or departmental, start-up or seed funding)
- Independent research conducted at RENSELAER (no internal/external funds) but with “Significant Use of Rensselaer Support,” per the IP Policy.

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5. DATES OF CONCEPTION and PUBLIC DISCLOSURE (accurate data is essential as prior disclosure may affect the possibility of obtaining patent rights)

	DATE	REFERENCES/COMMENTS Please include names of periodicals/journals. (use separate sheet if necessary)
A. Date of conception of invention. Has this date been documented? If so, where?		
B. First publication containing sufficient description to enable a person skilled in this field to understand and to make or use the invention (include theses, and the date submitted).		
C. First public oral disclosure of invention sufficient to enable a person skilled in this field to understand and to make or use the invention.		
D. If unpublished and undisclosed, provide the anticipated publication or public oral disclosure date and any submissions made for potential publication.		
6. Has the invention been reduced to practice? <input type="checkbox"/> YES <input type="checkbox"/> NO If yes, please give date of first reduction to practice:		
7. Please attach a list of any commercial entities that may be interested in this invention (provide as much detail as possible).		

8. Please identify the market applications and key words that best characterize the invention
[Check all that apply].

ENGINEERING

- Aeronautical Engineering
- Architecture
- Chemical Engineering
- Communication Engineering
- Biomedical Engineering
- Civil Engineering
- Electrical Engineering
- Industrial Engineering
- Mechanical Engineering
- Nuclear Engineering

PHYSICAL SCIENCE

- Acoustics
- Alternative Energy
- Automation
- Batteries
- Building
- CAD
- CAM
- Catalyst
- Ceramics
- Chemistry
- Coatings
- Copyrighted Content
- Database
- Design
- Effluent Treatment
- Elastomers
- Electrical Power
- Electrochemistry
- Electronics
- Energy
- Environment
- Foam
- Food Chemistry
- Fuel Cells
- Exhaust Treatment
- Games
- Gels
- Geology
- Glass
- Hardware

- Hydrology
- Imaging
- Industrial Design
- Informatics**
- Information Technology**
- Instrumentation
- Integrated Chips
- Internet**
- LED
- Lighting/Illumination
- Materials
- Measurement Systems
- MEMS
- Monomers
- Nanotechnology
 - Nanomaterials
 - Nanodevice
- NEMS
- Networking
- Optics/Optical Systems
- Optoelectronics Systems
- Petroleum
- Photochemistry
- Photonics
- Physics
- Polymers
- Purification
- Research Tool**
- Robotics**
- Semiconductor
- Sensors
- Simulation and Modeling**
- Software**
- Solar Technology
- Solvents
- Terahertz Technology

BIOLOGICAL

- DIAGNOSTIC***
- Antibody
 - Antioxidants
 - Assay

- In Situ
- Measurement
- Ultrasound

GENOMICS

- Bioinformatics**
- Library
- Mutation
- Pharmacogenomics
- Polymorphism
- Positional Cloning
- Proteomics

RESEARCH TOOL

- Antibody
- Bioinformatics**
- Cell Line
- Enzyme
- Equipment
- Expression System
- Immunoassay
- HTS
- Phage Display

THERAPEUTIC

- Analgesic
- Anesthetic
- Angiogenesis
- Antibiotic
- Antibody
- Antifungal
- Anti-inflammatory
- Antisense
- Antiviral
- Apoptosis
- Cell Signaling
- Cell Therapy
- Disease Model
- Drug Delivery
- Drug Design
- Fertility
- Gene Therapy
- Hormone
- Immunotherapy
- Modeling

- Natural Product
- Peptides
- Pro-drug
- Proteins
- Small Molecule
- Surgical
- Tissue Engineering
- Transplant
- Vaccine
- Virus
- Wound Healing

MEDICAL DEVICE

- Delivery
- Diagnosis
- Imaging**
- Measurement
- Prosthetics
- Surgical

Other Key Words

***BIOLOGICAL MATERIAL** – Does this disclosure include biological material? Yes No

If yes, please attach a list of materials for reference.

****SOFTWARE** – Does this disclosure include a software element, or is software implemented in the invention? Yes No

If yes, please complete the Software Supplemental Disclosure Form, which can be found at: <http://www.rpитеchnology.com>

By submitting this disclosure, the individuals named below hereby declare that all statements made herein of their own knowledge are true and that all statements made on information and belief are believed to be true.

The following individuals each acknowledge that under their Intellectual Property Agreement with Rensselaer Polytechnic Institute, and in accordance with the Rensselaer Intellectual Property Policy, they have each assigned all of their right, title and interest in this invention to Rensselaer and agreed to execute all documents as requested, including assigning to Rensselaer their rights in any patent application filed on this invention, and to cooperate with the Rensselaer Office of Technology Commercialization (OTC) in the protection of this invention. Rensselaer will share any royalty income derived from the invention with the inventor(s) according to its standard policies, as may be updated from time to time.

Contributor 1			Contributor 2		
First Name	Middle Name	Last Name	First Name	Middle Name	Last Name
Home Address			Home Address		
City:	State:	Zip:	City:	State:	Zip:
RENSELAER ID # (required)*	Country of Citizenship / Birth Month / Day*		RENSELAER ID # (required)*	Country of Citizenship / Birth Month / Day*	
Permanent Email:			Permanent Email:		
Contributor 3			Contributor 4		
First Name	Middle Name	Last Name	First Name	Middle Name	Last Name
Home Address			Home Address		
City:	State:	Zip:	City:	State:	Zip:
RENSELAER ID # (required)*	Country of Citizenship / Birth Month / Day*		RENSELAER ID # (required)*	Country of Citizenship / Birth Month / Day*	
Permanent Email:			Permanent Email:		

Contributor 5			Contributor 6		
First Name	Middle Name	Last Name	First Name	Middle Name	Last Name
Home Address			Home Address		
City:	State:	Zip:	City:	State:	Zip:
RENSELAER ID # (required)*	Country of Citizenship / Birth Month / Day*		RENSELAER ID # (required)*	Country of Citizenship / Birth Month / Day*	
Permanent Email:			Permanent Email:		

***Rensselaer is collecting Rensselaer ID numbers and month and day of birth rather than social security numbers for security and privacy reasons. This information as well as country of citizenship is required. Absence of this information may hinder the distribution of the contributors' share of any royalties that may result from this technology. If there are more than six contributors, please attach additional forms.**

10. This information page is reserved for non-Rensselaer contributors. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true.

Non-Rensselaer Contributor 1			Non-Rensselaer Contributor 1		
I hereby assign my interest in the invention described herein to: (company/institution)			I hereby assign my interest in the invention described herein to: (company/institution)		
Contributor's Signature		Date	Contributor's Signature		Date
First Name	Middle Name	Last Name	First Name	Middle Name	Last Name
Home Address			Home Address		
City:	State:	Zip:	City:	State:	Zip:
Telephone:	Permanent Email:		Telephone:	Permanent Email:	
<u>Intellectual Property Contact Person at above-named company/institution:</u>			<u>Intellectual Property Contact Person at above-named company/institution:</u>		
<u>Company/Institution Address:</u>			<u>Company/Institution Address:</u>		
<u>Contact Person's Telephone:</u>			<u>Contact Person's Telephone:</u>		
<u>Contact Person's Email:</u>			<u>Contact Person's Email:</u>		
Non-Rensselaer Contributor 3			Non-Rensselaer Contributor 4		
I hereby assign my interest in the invention described herein to: (company/institution)			I hereby assign my interest in the invention described herein to: (company/institution)		
Contributor's Signature		Date	Contributor's Signature		Date
First Name	Middle Name	Last Name	First Name	Middle Name	Last Name
Home Address			Home Address		
City:	State:	Zip:	City:	State:	Zip:
Telephone:	Permanent Email:		Telephone:	Permanent Email:	
<u>Intellectual Property Contact Person at above-named company/institution:</u>			<u>Intellectual Property Contact Person at above-named company/institution:</u>		
<u>Company/Institution Address:</u>			<u>Company/Institution Address:</u>		
<u>Contact Person's Telephone:</u>			<u>Contact Person's Telephone:</u>		
<u>Contact Person's Email:</u>			<u>Contact Person's Email:</u>		

11. In the space provided, please provide a non-confidential summary of your invention. It should not contain any proprietary information. It should describe the advantages of your invention. The summary will primarily be used as a marketing tool when contacting companies about your technology.

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RENSELAER CONFIDENTIAL

RPI'S INVENTION DISCLOSURE FORM – HELPFUL INFORMATION

The Office of Technology Commercialization (OTC) reviews all invention disclosure forms as they are received from members of the Rensselaer community. Where appropriate, the OTC endeavors to license Rensselaer inventions to industry for further development and commercialization.

The purpose of this form is to notify the OTC of your potential invention and any relevant sponsorship and publication history. The form also serves to establish a legal record of the date of conception of the invention. This form should be submitted to the Office of Technology Commercialization when something new and useful has been conceived or developed, or when unusual, unexpected or unobvious research results have been achieved and can be used.

The following instructions apply to the correspondingly numbered sections of the attached Invention Disclosure Form:

1. **Title of Invention** (Use a brief descriptive title to aid in identifying the technology.)
2. **Description of Technology** - Attach material that covers the following points:
 - a. **General purpose**
 - b. **Technical description**
 - c. **Advantages and improvements over existing methods, devices or materials**
 - d. **Commercial applications (economic potential, etc.)**
3. **Include the names of all Inventors or Contributors.**

An inventor, creator, or contributor, as used herein, is an individual who has conceived or provided an essential element of the invention, either independently or jointly with others, during the evolution of the technology concept or its reduction to practice. Any net proceeds derived from a license are shared equally among the inventors, their academic school or centers and the Institute according to The Rensselaer Intellectual Property Policy that is available at: http://www.rpotechnology.com/files/ip_policy.pdf (see Part 4.1 *Distribution of Income from Intellectual Property*). If the inventors wish to have their portion of the net proceeds shared on a non-equal basis, please notify the OTC by letter specifying how the proceeds are to be distributed. All inventors must sign the letter. Alternatively, you can contact the OTC office at (518) 276-6023 or visit the OTC located in the J Building. In cases of co-inventorship with non-Rensselaer contributors, please fill out sections 3B & 3C.

Explanation of Legal Standards for Inventorship under Patent Law

Under United States patent law, an inventor is one who makes a material contribution to the subject matter of at least one claim of the patent. Since the scope of the patent claims is not determined until the end of the patent prosecution process, a definitive determination of inventorship is not possible when the process is initiated, for example, by filling out this form. Thus, this form does not request a list of inventors, for that would call for a legal determination and prediction. Rather, this form requests a list of those individuals who contributed materially to what you consider the novel and non-obvious aspects of the invention or development described herein. The final determination of who to list as inventors, both on any patent application which is filed based on this invention disclosure and on any patent that ultimately issues, will be made by a patent attorney applying the legal standards of inventorship under United States patent law.

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4. **Research Funding Support Report** (Provide requested information)

The “Significant Use of Rensselaer Support,” whether funds or facilities, will normally give rise to Rensselaer ownership rights in the invention. See definition at Intellectual Property Policy, page 10.

5. **Dates of Conception and Public Disclosure**

In countries outside the United States, filing must take place before either oral or printed publication is made available to the public. In the United States, a patent application must be filed no later than one year after public availability of a printed publication disclosing the invention in detail (presentations, including slides, use of overheads or blackboards, or website postings may be considered printed publications). However, where there has been a U.S. filing before any oral or printed publication, generally a one year grace period is granted for foreign filing. Complete all parts of section 5 in view of the following:

- a. Conception, in the patent law sense, involves the formulation, in the mind of the contributor, of the complete means for solving a problem. The mere recognition of a desirable result, of a problem, or of a general approach to solving the same, without the formulation of the physical structure to accomplish that result or to solve the problem, will not suffice to constitute conception.
- b. The term “first publication” means the first time any member of the general public (those outside the Rensselaer community), without restriction of confidentiality, would have been able to legally gain access to your written or printed enabling description of the invention. This includes a thesis submitted to Rensselaer Libraries.
- c. “First public oral disclosure” means the same as 5B, but only as to oral presentation to the general public (those outside the Rensselaer community).
- d. The anticipated date of publication, (as described in 5B above), should be entered here, as well as the date any documentation was submitted for review for possible publication. This includes a thesis submitted to Rensselaer Libraries.

6. **Reduction to Practice**

According to patent law, reduction to practice involves actual and complete use of the invention for its intended purpose. That is, it generally involves physical construction of the invention and testing the physical embodiment to determine whether it performs as contemplated, but this is not always necessary if the invention can be fully described.

7. **Provide a list of commercial entities that may be interested in the invention.**

This will assist the OTC in identifying potential licensees for the technology. Please include names and addresses of specific contacts, if known.

8. **Market Applications and Key Words.** Please mark an “x” in those boxes next to the key applications that best describe your invention.

9. **Rensselaer Contributors** -Please provide the contact information as requested.

10. **Non-Rensselaer Contributors** -Please provide the contact information as requested.

11. **Please provide a non-confidential summary of your invention.**