

INVENTION DISCLOSURE FORM

The purpose of the disclosure form is to provide a written and dated record of your invention disclosure and to provide information from which your technology can be evaluated. It provides the basis that will enable the Holding and outside counsel to determine if the technology is patentable, determine whether intellectual property rights are owned by UU, UMC Utrecht or third parties (either in part or in full) and to identify possible opportunities for licensing and commercializing the technology.

Utrecht University (UU) and the University Medical Centre Utrecht (UMC Utrecht) encourage the inventive process and within limits of financial practicality, provide advice and assistance in bringing inventions to the point of public use (called technology transfer, valorization). Universiteit Utrecht Holding BV and UMC Utrecht Holding BV, shortly also referred to as the Holding, is the acting technology transfer office of UU and UMC Utrecht.

When an invention is created or a patent application is considered, employees of UU or UMC Utrecht should always contact the Holding.

Guidelines for completing this document

- We strongly recommend contacting the Holding before submitting any invention-related manuscripts for publication, making oral presentations, or disclosing the invention to companies or other third parties. Any disclosure may seriously jeopardize patentability.
- Please try to complete this confidential document as completely as possible.
- If you need help for completing this document or require additional information, do not hesitate to contact the Holding.
- The Invention Disclosure Form is in English to facilitate screening by outside counsel and subsequent patenting.
- Please return the completed and signed disclosure document along with supporting documentation to:

UU Holding BV / UMC Utrecht Holding BV
Yalelaan 40
3584 CM Utrecht
The Netherlands
Phone 31-30-2535854
Fax 31-30-2535551
info@utrechtholdings.nl
website: www.utrechtholdings.nl

After submitting the document, the following steps will be taken:

- If needed the document will be completed with help of the Holdings.
- After receiving the IDF, a representative of the Holdings will assess your invention and contact you to schedule an intake meeting. Here, the invention and the potential for a patent or the commercialization will be discussed in more detail with the key investigator(s).
- Any eventual costs and benefits will be shared according to the general principles of UU and UMC Utrecht.

1 WORKING TITLE OF THE INVENTION

Title:

2 DESCRIPTION OF THE INVENTION

- a. Give a short description of the invention, preferably including a listing of those elements of the invention that are essential to make the invention work, those elements that can be varied and how they can be varied (max. one page).
- b. If you would consider your invention as a solution, what technical or other problem were you trying to solve (if multiple problems, please identify each problem)?
- c. How have others tried to solve this problem in the past? Describe for each closely related prior art solution the functional and/or structural differences with your solution.
- d. Describe the advantage of your solution over the prior solutions.
- e. Does your invention possess disadvantages or limitations? Indicate how they might be overcome.
- f. Describe the development status (concept only, laboratory tested, prototype, in vitro, in vivo, etc.). Indicate what further development may be necessary.
- g. Does your invention include or exist of ICT or software technology such as software source code, database, user interface, e-learning, game, app, portal or website? Please give a short description.

Generally, a DRAFT scientific publication describing the invention and its context also provides very useful information for evaluation. If such a draft publication is available, please attach it to this Invention Disclosure Form.

Additional documents attached? - Choose yes or no -

3 DATES

Fill in the following dates where applicable (dd/mm/yyyy).

Date of conception of the invention:

First disclosure of the invention to another:

First written (or verifiable) record of the invention:

First experiment demonstrating the invention (proof of concept):

In case of software, date the code was first completed (1st version):

4 INVENTORS

NOTE: Inventorship is NOT the same as authorship and has important legal implications!

Please pay attention to the following:

- It is important to identify all individuals who contributed significantly to the conception or development of the technology.
- Inventorship is defined by patent law and is usually determined at the time a patent application is filed.
- Use the complete official name(s) as this is needed for the official documents. Please use names as in passports.
- Please provide home address: this is needed in case a patent application is filed
- Please inform Utrecht Holdings in case home address changes

INVENTOR 1

Full name:
 Position:
 Employer:
 Faculty / Dept.:
 Address - work:
 Telephone:
 Mobile phone:
 E-mail:
 Address-home:
 Country citizenship:

INVENTOR 2

Full name:
 Position:
 Employer:
 Faculty / Dept.:
 Address - work:
 Telephone:
 Mobile phone:
 E-mail:
 Address-home:
 Country citizenship:

INVENTOR 3

Full name:
 Position:
 Employer:
 Faculty / Dept.:
 Address - work:
 Telephone:
 Mobile phone:
 E-mail:
 Address-home:
 Country citizenship:

INVENTOR 4

Full name:
 Position:
 Employer:
 Faculty / Dept.:
 Address - work:
 Telephone:
 Mobile phone:
 E-mail:
 Address-home:
 Country citizenship:

INVENTOR 5

Full name:
 Position:
 Employer:
 Faculty / Dept.:
 Address - work:
 Telephone:
 Mobile phone:
 E-mail:
 Address-home:
 Country citizenship:

INVENTOR 6

Full name:
 Position:
 Employer:
 Faculty / Dept.:
 Address - work:
 Telephone:
 Mobile phone:
 E-mail:
 Address-home:
 Country citizenship:

As per governance by CvB (UU)/RvB (UMC Utrecht) all patent related costs will be shared between the Holdings and the Faculty/Division. Please provide the internal "kostenplaatsnummer" for invoicing:

In case of software, who developed the software or contributed to writing the source code?

5 INVENTION DISCLOSURE RECORD

List all past and near-future disclosures of the invention (or parts of it). If unpublished and undisclosed, provide the anticipated disclosure date and any submissions already made for potential publication.

Type of publication or disclosure	Applicable (NO/YES)	If yes, please indicate the date (dd/mm/yyyy) and reference of publication or disclosure
Oral presentations at conferences, meetings, companies, ...		Date: ; Reference:
Poster, abstract, proceeding that has been or will be posted, printed or web-published		Date: ; Reference:
Manuscript(s) that describes the invention has been or will be submitted for publication (also internet pre-publications!)		Date: ; Reference:
A manuscript that describes the invention has been or will be published		Date: ; Reference:
A thesis (undergraduate, master or doctoral) that describes the invention has been or will be submitted and defended		Date: ; Reference:
A report (official or internal) that describes the invention		Date: ; Reference:
A news article or feature report that describes the invention has been or will be printed or published on the web		Date: ; Reference:
Information describing the invention has been or will be given to a person, company or institution outside the University without a confidentiality agreement		Date: ; Reference:
Information describing the invention has been or will be given to a person, company or institution outside the University WITH a confidentiality agreement		Date: ; Reference:
In case of software, has the source code or executable files been shared or published, for example as open source software?		Date: ; Reference:

6 RECORDS/MATERIAL

a. Are (lab) records available?

Are these (lab) records dated and signed?

; ;

b. At what site(s) was the research conducted that lead to the invention?

c. In case of software, is the source code available?

Is software documentation available?

7 PRIOR ART

Please list and attach copies of any publication (theses, reports, preprints, reprints, paper or internet abstracts) and patent of others believed by you to disclose ideas most closely related to the invention.

- 1)
- 2)
- 3)
- 4)
- 5)
- 6)
- 7)

Please also search existing patent literature. Use for instance the URLs below.

- [Google patents](#)
- <http://nl.espacenet.com>
- [Derwent Database](#)

If necessary you can contact the Holding for assistance with searching the patent databases.

8 USE OF RESOURCES AND FUNDING

a. *UU and/or UMC Utrecht Resources*

Has the use of any UU or UMC Utrecht resources (laboratory, equipment, facilities, support) in whole or in part led to the invention?

b. *Past and current funding that led to the invention*

Indicate for each funding source (you can use the salary base for each inventor as a guideline) the Agency or Sponsor (indicate "1e, 2e, 3e, 4e geldstroom", or UMC Utrecht, UU, STW, NWO, SenterNovem, TI Pharma, BSIK, KWF, Hartstichting,) the Grant/Contract Type & Ref. Nr and the Term (dd/mm/yy to dd/mm/yy). Use the notes field for further explanation where applicable, e.g. when an individual inventor was sponsored by this particular party etc.

Agency or Sponsor:

Grant/Contract Type & Ref. Nr:

Term:

Principal Investigator

Notes

Agency or Sponsor:

Grant/Contract Type & Ref. Nr:

Term:

Principal Investigator

Notes

Agency or Sponsor:

Grant/Contract Type & Ref. Nr:

Term:

Principal Investigator

Notes

c. Future funding that will further develop/improve the invention

If work on the invention is to be continued indicate known or probable sources of funding and the nature of the work yet to be performed.

Agency or Sponsor:

Grant/Contract Type & Ref. Nr:

Term:

Principal Investigator

Notes

Agency or Sponsor:

Grant/Contract Type & Ref. Nr:

Term:

Principal Investigator

Notes

Agency or Sponsor:

Grant/Contract Type & Ref. Nr:

Term:

Principal Investigator

Notes

d. Collaboration with third parties

Is the invention related to any third party, other university, company or collaboration therewith? Were any agreements executed in relation thereto?

e. Use of materials and confidential information

Does the invention incorporate any material or confidential information obtained from companies or institutions outside the University? If so, has a Material Transfer Agreement or Confidentiality Agreement been signed for this material or information? If yes, please provide description or copy. Please list material, date received and supplier.

f. Use of ICT/software resources

Has any software or (open) source code from others been included in the invention?
If so, please specify:

Has any text, sound, visual or video material from others been included?
If so, please specify:

Is any proprietary hardware or software required to run the software?
If so, please specify:

9 COMMERCIALIZATION POTENTIAL

- a. In your opinion, what kind of commercial applications could be derived from your invention and how easy/feasible would it be to bring a product to the market (i.e. high development/regulatory burden, need for third party technologies, ...)
- b. Which companies could be interested in your invention?

10 AUTHORSHIP/COPYRIGHT

- a. Is there any expression of this invention through software?
- b. What is the purpose of the software (e.g. proof of concept, demonstration of invention, prototype, fully functional end user version)?
- c. Is the software a derivative or improvement of any existing source code? If so which?
, if so please explain:
- d. Who holds copyrights of the software?

11 DECLARATION

The Inventor(s), hereby declare that each believes to be the original, first, and sole inventor (if only one inventor is named below) or an original, first, and joint inventor (if plural inventors are named below) of the subject matter which is described and for which a patent may be sought.

12 SIGNATURES

Signing this document indicates that (a) the Invention Disclosure Form is complete and accurate, and (b) the inventors recognize that commercialization of their invention will require a commitment of their time towards technology assessment, patenting and commercialization processes.

Signatures of Inventors (NOTE: all inventors must sign here)

Inventor 1

Inventor 2

Name:

Name:

Date:

Date:

Inventor 3

Inventor 4

Name:

Name:

Date:

Date:

Inventor 5

Inventor 6

Name:

Name:

Date:

Date:

HOLDING

The above confidential information was disclosed to the Holding,

Name:

Date: