

Intellectual Property Disclosure Form

and

Revenue Distribution Agreement

FORMS AND INSTRUCTIONS

The UAB Research Foundation

770 Administration Building
701 20th Street South
Birmingham, AL 35294-0107
Phone: (205) 934-9911
Fax: (205) 934-5427
www.uab.edu/uabrf

Please find attached an Intellectual Property Disclosure Form and Revenue Distribution Agreement. The UAB Research Foundation (UABRF) welcomes your disclosures and looks forward to working with you. When completed forms have been received, a licensing professional from UABRF will be in contact with you to begin the evaluation of your invention. However, if you should need any assistance beforehand, please feel free to contact us.

Intellectual Property Disclosure Form Instructions:

Intellectual Property Disclosure Forms are used to disclose any intellectual property (i.e., a new process, composition of matter, device, software, analytical tool or new use for a known compound) developed in whole or in part by employees and graduate students of UAB to UABRF. Members of UABRF's staff will review and evaluate the intellectual property to determine if it should be protected by patent or copyright and whether it can be marketed and/or licensed to industry for further development and commercialization.

The following instructions apply to the corresponding numbered items on the Intellectual Property Disclosure form. This form is intended to be filled in using Microsoft Word typing directly into the fields provided. Do not feel limited by the space provided as the spaces will expand for longer responses. Checkboxes can be marked by clicking in the boxes. Please fill out the form completely. Again, please feel free to contact Deborah Powe in UABRF's office at 934-5395 if you have any questions.

- 1) Provide a brief descriptive title to aid in identifying the Intellectual Property.
- 2) Provide the contact information for the lead UAB discloser. This person will be the primary contact to whom UABRF will send information and with whom UABRF's staff will interact during the initial evaluation and later patenting, marketing, and commercialization activities.
- 3) Check the appropriate technology box.
- 4) Description of Intellectual Property:
 - a. Please provide a brief summary of 250 words or less, in layman's terms that:
 1. States what the invention is and describes its uses
 2. Details, in a non-confidential manner, the main components of the invention and how it functions
 3. Additionally, please provide five keywords that identify or describe the invention
 - b. To complete the description of the Intellectual Property, attach material that includes the following points:
 1. Novelty
 2. General utility
 3. Technical description
 4. Advantages and improvements over existing methods, devices or materials
 5. Commercial applications (economic potential, direct uses, indirect or potential uses, etc.). This material should contain sufficiently complete technical detail to convey a clear understanding of nature, purpose, operation, and the physical, chemical, biological or electrical characteristics of the Intellectual Property. As an example, you may attach grant proposals, publications, manuscript drafts, drawings, sketches, and photographs to help describe the Intellectual Property
- 5) Indicate the first actual or approximate date on which the Disclosers first conceived the Intellectual Property.
- 6) In the United States, a patent application may be filed no later than one year after the public disclosure of an invention. In other countries, this filing must take place before any such public disclosure. Complete this item in view of the fact that a disclosure is defined as an oral, written or electronic presentation containing an enabling description of the invention that any member of the general public, without restriction of confidentiality, would legally be able to access.
- 7) Indicate if any other intellectual property that you or another person previously submitted to UABRF is related to this disclosure.
- 8) List the source of all materials, used directly or indirectly, that were obtained from a third party. Please include all MTAs and other agreements whose Material and/or terms relate to the Intellectual Property.
- 9) List all sources of funding, internal and external, that were used to create or develop the Intellectual Property. Provide the names of the applicable agencies or sponsors, the corresponding contract or grant numbers and the dates they were active.
- 10) Include the names, contact information and signatures of all individuals, within or outside of UAB, who conceived and/or contributed an essential element of the Intellectual Property, independently or jointly with others, during the evolution of the initial concept or reduction to practice.
- 11) List any commercial entities that may be interested in the Intellectual Property or that may be using similar technologies. This list will assist UABRF in identifying potential licensees for the Intellectual Property. If known, include information to allow UABRF to communicate with a specific contact.

INTELLECTUAL PROPERTY DISCLOSURE (IPD)

The UAB Research Foundation
 770 Administration Building
 701 20th Street South
 Birmingham, AL 35294-0107

For UABRF internal use only:

IPD#: _____ Mgr: _____

Approved: _____ Date: _____

1. Title of Intellectual Property:

2. Discloser Contact Information:

Name:	Office Phone:
Email:	Fax Number:

3. Type of Intellectual Property:	Therapeutic	Diagnostic	Device
	Software	Assay	New Composition of Matter
	Vaccine	Method of Treatment	Other _____

4. Description of Intellectual Property:

- a. Please submit a brief summary of the Intellectual Property of 250 words or less describing the invention and its uses, in layman's terms.
- b. Also, attach any additional information that would complete the description of your invention. As an example, you may attach publication drafts, drawings, sketches, and photographs to help describe the Intellectual Property.

5. Please indicate the actual or approximate date when this intellectual property was first conceived. _____

6. Have you already disclosed this intellectual property, either orally or in writing, to any persons or groups (conferences, meetings, seminars, proposals, etc.)? Yes No

Are there any publications, presentations (include electronic disclosures) or other public disclosures planned in the future? Yes No

Please describe the nature of the disclosure and the date that it has occurred or will occur.

DISCLOSURE:	DATES:
1.	
2.	

7. Is this intellectual property related to another intellectual property previously disclosed to this office? Yes No

If yes, please provide the IPD number and title. _____

8. Were any materials, used directly or indirectly, acquired with an MTA or from a third party (either outside or within UAB)? Yes No

Please list below.

INSTITUTION/COMPANY/PERSON:	DATES:	MATERIAL:	MTA:
1.			YES NO
2.			YES NO

9. Please list all sources of funds, internal and external, that gave rise to the Intellectual Property and provide the details below. Information must be complete and the total percentage support must equal 100%. (i.e., departmental funds, salary source, grant information, etc.)

AGENCY/SPONSOR:	DATES OF AGREEMENT:	GRANT/CONTRACT #:	ESTIMATED %:
1.			
2.			

TOTAL = 100%

10. **Disclosers:** Please list all persons believed to have made essential contributions to the Intellectual Property during the evolution of the initial concept or reduction to practice. Include UAB as well as non-UAB persons and obtain signatures from all Disclosers. (Fax signatures of non-UAB personnel will be accepted.) Determination of inventorship is a legal matter and will be determined by legal counsel.

Lead Discloser

Printed Name:	Country of Citizenship:
Campus Address:	UAB Employee: Yes No
Email:	Daytime Phone:
Home Address:	
Signature:	Date:

Discloser #2

Printed Name:	Country of Citizenship:
Campus Address:	UAB Employee: Yes No
Email:	Daytime Phone:
Home Address:	
Signature	Date:

Discloser #3

Printed Name:	Country of Citizenship:
Campus Address:	UAB Employee: Yes No
Email:	Daytime Phone:
Home Address:	
Signature	Date:

Discloser #4

Printed Name:	Country of Citizenship:
Campus Address:	UAB Employee: Yes No
Email:	Daytime Phone:
Home Address:	
Signature	Date:

Discloser #5

Printed Name:	Country of Citizenship:
Campus Address:	UAB Employee: Yes No
Email:	Daytime Phone:
Home Address:	
Signature	Date:

*If additional signature lines are required, please download the additional IPD signature form at http://main.uab.edu/Sites/UABRF/info_researchers/intellectual_property/.

11. Commercialization/Potential Licensees:

Please list any companies that may be interested in your Intellectual Property:		
COMPANY	CONTACT INFORMATION (IF KNOWN)	
1.		
2.		
3.		
Do you know of companies that are using similar technologies? If so, please provide the details below:		
COMPANY	CONTACT INFORMATION (IF KNOWN)	PRODUCT
1.		
2.		
3.		

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Revenue Distribution Agreement Instructions:

The Revenue Distribution Form is used to determine revenue distribution to the Disclosers and Contributors who were employed by UAB at the time the invention or discovery was conceived and/or reduced to practice. Revenues that are received from licensing and commercialization activities by UABRF will be distributed to these UAB employees as stated in the UAB Patent Policy, found in the UABRF Policies and Guidelines at http://main.uab.edu/Sites/UABRF/info_researchers/intellectual_property/. Non-UAB Disclosers will receive their portion of any revenues through their own institutions so please do not include them on this form.

At the top of the form, please enter the date and provide the name of the Lead Discloser to the Intellectual Property and the title of the Intellectual Property. In addition, provide the contact information for the person to whom UABRF will send initial communications and with whom UABRF staff will interact during the initial evaluations.

In the next section, provide names, Social Security numbers and department and school affiliations for all UAB Disclosers that were named on the Intellectual Property Disclosure Form. At the Lead Discloser's discretion, UAB Contributors who are not considered to be Disclosers but who contributed technical or other significant help to the invention's reduction to practice may also be included on this form. For each Discloser or Contributor, a percent contribution should be determined and provided. Please make sure that the percent contributions add up to 100%.

This form will not be considered complete until UABRF has received the original signatures of all Disclosers and Contributors, their department chairs and their school deans. The signatures of these parties indicate that they have reviewed the Intellectual Property Disclosure and that they approve of the indicated distribution of revenue. If you should have any questions, please feel free to contact Deborah Powe @ 934-5395 in UABRF's office.

UAB RESEARCH FOUNDATION REVENUE DISTRIBUTION AGREEMENT

Date:	Lead Discloser:
Title of Invention:	
Contact Name:	Office Phone:
Email:	Fax:

Please list all **UAB** Disclosers and Contributors and obtain signatures of all Disclosers and Contributors and their affiliated departments and schools. Signatures of the parties indicate that they have reviewed the Intellectual Property Disclosure Form and approve the indicated distribution of revenue. The sum of the percent contributions must equal 100%. All appropriate signature lines must be executed.

Lead Discloser

Printed Name:		Percent Contribution:
Signature:		Date:
Social Security No:		
Department:	Department Chair Signature:	Date:
School:	Dean Signature:	Date:

Discloser or Contributor #2

Printed Name:		Percent Contribution:
Signature:		Date:
Social Security No:		
Department:	Department Chair Signature:	Date:
School:	Dean Signature:	Date:

Discloser or Contributor #3

Printed Name:		Percent Contribution:
Signature:		Date:
Social Security No:		
Department:	Department Chair Signature:	Date:
School:	Dean Signature:	Date:

Discloser or Contributor #4

Printed Name:		Percent Contribution:
Signature:		Date:
Social Security No:		
Department:	Department Chair Signature:	Date:
School:	Dean Signature:	Date:

Discloser or Contributor #5

Printed Name:		Percent Contribution:
Signature:		Date:
Social Security No:		
Department:	Department Chair Signature:	Date:
School:	Dean Signature:	Date:

*If additional signature lines are required, please download additional RDA signature form at http://main.uab.edu/Sites/UABRF/info_researchers/intellectual_property/.