

INVENTION DISCLOSURE FORM

All information submitted within this disclosure shall be treated as confidential. Lakehead University reserves the right to release disclosed general information for the purpose of generating statistics and for other purposes, as long as such disclosure shall not adversely affect the scope of protection available to intellectual property. If you are a Researcher associated with the *Thunder Bay Regional Health Research Institute (TBRHRI)*, you are obligated to also file an Invention Disclosure form to them.

THIS DOCUMENT DOES NOT ASSIGN ANY RIGHT, INTEREST, OR BENEFIT TO LAKEHEAD UNIVERSITY RELATED TO ANY INTELLECTUAL PROPERTY DISCLOSED HEREIN.

Please submit to:

Office of Innovation, Partnerships and Economic Development, FB 2004
955 Oliver Road, Thunder Bay, ON P7B 5E4
Attention: Ellen MacKay, Director, Innovation Development
Email: emackay@lakeheadu.ca

INVENTION AND INVENTOR IDENTIFICATION

Please fully complete all sections of the Invention Disclosure Form. All Incomplete Invention Disclosure Forms will be returned to the inventors without review from the Office of Innovation, Partnerships and Economic Development.

1. **Invention or Software Name:** _____
2. **Submitted by (Principal Investigator(s)):** _____
3. **Faculty & Department:** _____
4. **Date of Initial Submission to EDI OFFICE:** _____
5. Please provide a brief description of the Invention. Kindly attach drawings, reports, papers, or other materials that may aid in your description. In your description please answer the following:
 - a) What is the Invention, and how is it novel?
 - b) What is the purpose of your invention? (What does it do?)
 - c) Is the invention a process or product?
 - d) What is the utility of the Invention?
 - e) What problem does the Invention address, and how does it improve on existing methods/products?
 - f) What are the physical component(s) of your invention? (highlight the novel components, if applicable)
 - g) What are the limitations of existing technologies, processes, products or software?
 - h) What are the keywords and technical terms that directly describe the nature of your invention?
6. Has the Invention/software been tested? If so, how, where, and when?
7. Does a model, sample, or prototype exist? YES NO
8. Are photographs or other forms of audio or visual media recordings available? YES NO
Please attach copies if possible.

9. Provide a description of the development status of your Invention. Describe in terms of bench scale studies, engineering design drawings, prototype development, scaled up proof-of-principle demonstration projects, software code re-working, ongoing development, etc.

PUBLIC DISCLOSURES AND PRIOR ART

10. The IPED OFFICE needs to have a comprehensive understanding of the field of the invention. In this section please list **any disclosures**, any published articles or abstracts, any commercially available goods or services, any conference talks or poster presentations, and any publicly available information relating to the Invention **arising from the Inventor or any third party**. Where possible, attach copies of material. If no copy is available, please use the table. Include the names and dates of any meetings at which you have presented any aspect of the Invention. *Please attach copies of manuscripts which contain information relevant to the Invention.*

| Date | Title of Article or Presentation | Journal Citation/Meeting Particulars |
|-------------|----------------------------------|--------------------------------------|
| PLEASE LIST | | |
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List and give the date of any upcoming meetings of a learned society, conference, or seminar where you plan to disclose any part of the Invention.

| Date | Meeting Name/Place/Website |
|-------------|----------------------------|
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11. List and attach copies of any publications that may be pending and the expected publication date(s).

| Expected Publication Date (web as well) | Title | Journal Citation |
|---|-------|------------------|
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12. Has a search of the literature been conducted? YES NO
- If yes, do you consider the search to be extensive? YES NO

13. Has the Invention been discussed or otherwise verbally disclosed to any other party such as a colleague, student, advisor, friend? (If yes, please list names, dates, and brief synopsis) YES NO

| Name | Date | Synopsis |
|-------------|------|----------|
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14. Have **any other parties** been contacted to discuss protection or commercialization of your Invention? (If yes, please list names and dates) YES NO

| Name and Contact Info | Date |
|-----------------------|------|
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INTELLECTUAL PROPERTY PROTECTION STATUS

15. Has a patent search been conducted? YES NO
If so, by whom? _____

16. If yes, please attach the patent search report, including copies of the abstracts of relevant patents.

| Who Performed Search | Date of Search | Countries Searched |
|----------------------|----------------|--------------------|
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17. Does the Invention consist of **an improvement** to an existing invention, technology, and/or software? YES NO

If yes, does it incorporate any part of the existing invention, technology, and/or software, and if so, has or can (to your knowledge) a license be obtained for its use? Please elaborate with any details that you know, or a summary of any efforts that have been made (include contact names and information).

18. Has a **patent** application or any **other form of intellectual property** protection been sought for **all** or **any** element of the Invention anywhere in the world? If yes, please attach a copy of the filing notice(s) and the patent application(s) and address the following table. (NOTE: other forms of intellectual property protection include trademark application, copyright registration, plant breeder's registration, integrated circuit topography filing, confidentiality agreements, or trade secret agreements)

| Country | Filing Number | Date of Filing | Status (in prosecution, issued, abandoned) |
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SUPPORT OF WORK TO DATE

19. Please indicate all of your **funding support** for the research contributing to this Invention. Include any funding applied for (*even formal funding applications that are pending or were denied*), including granting council funding, industry grants, student projects, companies, national or provincial, Research Chairs, individuals, other universities, hospitals, and in-kind commitments of any organization.

| Funding Source | Amt Applied For | Amt of Funds Received | Type (i.e. grant/contract) | Project Title | Date |
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20. Was any of the following **support** used to facilitate the development of this Invention? (*please circle*)
- University faculty member's regular salary/benefits (worked on Invention during University time)
 - personnel, equipment, supplies, and/or facilities funded by regular departmental operating budgets
 - ordinary use of the library and centralized computing facilities
 - research equipment and supplies obtained through grants in aid of a faculty member's work
21. Was any other support received from Lakehead University to facilitate the development of this Invention? (If "Yes," please elaborate) YES NO

OWNERSHIP/INVENTORSHIP ISSUES

Please give personal particulars for **all persons** listed in this section in **Acknowledgement** (last page).

NOTE: Whether or not someone is an "inventor" must be determined according to patent law. Failure to include all inventors, or including someone who is in fact not an inventor, could result in serious commercial damage and even potential invalidation of a patent. The Canadian University Intellectual Property Group discusses the issue:

"An inventor is a person who has had an original idea or has contributed intellectual input to one of the main claims of the patent. A patent application may be filed naming one or more inventors.

*A person who works under the direction of another and does not contribute any original thought to the claimed invention; for example, "works as a technician" to confirm an invention, **cannot** and **must not** be named as an inventor. This type of relationship should be delineated clearly in writing before research or development work is undertaken relative to the project or activity.*

*Professional collaborators may or may not contribute to the inventive concept being claimed and great care should be taken in deciding who should be named as an inventor. It is important to understand that inventorship is a legal matter, not a collegial matter -- not all co-authors of a publication are necessarily co-inventors. Collaborators not deemed to be co-inventors can however be recognized through some sharing of the net proceeds of the invention. If in doubt as to inventorship, your Intellectual Property Management Office should be consulted and a professional opinion obtained.***

**CUIPG, A Guide to Protecting Intellectual Property, <http://www.genesis.mun.ca/GenesisResearch/CUIPG.php>*

22. List the Principal Investigator(s) and all other members of the research team, as well as contributors, and their roles in the discovery/technology's development.

| Name & Position | Institutional Affiliation | Role |
|-----------------|---------------------------|------|
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23. In light of the above, please list ONLY the people that you consider "inventors" or ("authors"):

| Name & Position | % Share of Invention | Institutional Affiliation | Rationale |
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Persons (individual or corporate) who are not inventors or authors may nevertheless have rights (such as ownership rights, right to use, right to share in profits) attached to an Invention. Such rights might arise in a variety of ways, including: patent applications, copyrights (registered or not), registered industrial designs, trade secrets, assignments, licences, options, other intellectual property agreements, security agreements, family law proceedings, trust instruments, wills and other testamentary dispositions, other written, verbal or implicit agreements, or the contribution of funding, equipment, personnel, ideas, knowledge, know-how or advice.

24. In light of the above, please identify any person who may have or even **allege any claim to the Invention**, as property or for compensation, and state your rationale. Attach a copy of the relevant Intellectual Property provisions from grants, research contracts, etc.
–Please note– This is not an admission the validity of any claim, but is merely a disclosure of possible claims.

| Name & Position | Organization | Rationale for Possible Claim or reason for concern |
|-----------------|--------------|--|
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COMMERCIALIZATION OPPORTUNITIES

25. List any companies to whom the Invention may be of interest, or who are active in the area of the Invention. In addition, have you developed any industrial contacts or interests? If so, please list the companies with the names of your contacts and attach copies of any relevant correspondence.

| Company Name | Contact Person | Address and Website | Telephone Number |
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26. Please try to describe the potential market for your Invention. For example, who would be interested in purchasing and/or using the Invention?

27. Are there any existing products on the market that the Invention would replace? If so, please give particulars (i.e. cost, availability, and manufacturer) of the existing product(s).

ACKNOWLEDGEMENT

The undersigned Principal Investigator(s), being the person(s) who submitted this disclosure form, declare that the information provided within is **true and complete to the best of the Principal Investigator(s) belief, knowledge and abilities**. The Principal Investigator(s) will undertake to correct any information found in this form whenever they become aware of any error. The Principal Investigator(s) acknowledges that any inaccuracy in this form may hamper commercialization or lead to litigation or other costs and damages to Lakehead University and to all parties having a stake in the Invention, technology or software disclosed herein.

Signatures of the Principal Investigator(s):

| Print Name | Signature | Date |
|-------------------|------------------|-------------|
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Please list particulars for all persons listed in the “Ownership/Inventorship Issues” section to this Invention Disclosure. NOTE: This information is necessary to complete a patent application and other official filings.

| Surname | Given Names(s) | Country of Residence | Citizenship | Full Address |
|----------------|-----------------------|-----------------------------|--------------------|---------------------|
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