

## **Software Disclosure Instructions**

**Purpose:** The purpose of disclosing software, an invention, or other technology to the Office of Technology Transfer and Corporate Partnerships (OTTCP) is to record what was created or invented and provide a basis for decisions on how to protect the technology, such as by patent or copyright. The disclosure is a legally important document that should be prepared carefully.

For software, we do not always file provisional patent applications. If you believe your software may be patentable, or are unsure, please contact OTTCP.

**Authorship in Software:** Authors in software are those individuals who have contributed original lines of code.

**Software Disclosure Form:** All sections on the following pages must be completed. Accurate and complete funding information is particularly important, as prompt and proper disclosure of funding assists you and the Institute in fulfilling reporting obligations under federal grants, corporate, foundation and other sponsorships.

**The Disclosure:** Please include all of the following items with the Software Disclosure Form:

1. Manuscript - if you have prepared a manuscript or conference presentation describing the Software, it can be a large part of the disclosure and should be submitted as part of the disclosure.
2. A short description of the Software (usually one page or less) should be submitted identifying additional details about the Software, applications for the Software, the best mode of using the software, and the target users of the Software. If you are not relying on a manuscript, please include in the description of the Software the background of the problem the Software is addressing, any figures, drawings or graphs, and any other details necessary to understand the utility of the Software.
3. Additional information that may be helpful to include:
  - a. Minimum system requirements to run the Software (if via website or cloud, please state)
  - b. Programming language used to create the Software
  - c. Format in which you would like to distribute the Software (e.g., object code/binary code or executable code only)
  - d. The current state of the Software's development (fully functional, fully tested by developers or someone else)

### **Submission:**

Please submit PDF versions of the completed Software Disclosure Form AND the disclosure documents to:

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### **EEA Residents**

In section 2, Authors, please indicate if any author was located in the European Economic Area (European Union, Iceland, Norway, or Liechtenstein) at the time of submission of this form.

CIT No.	OTTCP Use Only	Invention Discl No.
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## Author Information

1. **\*Title of Disclosure** (provide a concise title):

2. **Authors** (list those thought to be authors; add additional names using Additional Authors Form, if necessary):

### \*Author 1

<i>First Name</i>	<i>Middle Initial</i>	<i>Last Name</i>	
<i>Status at time of contribution (e.g., grad student, postdoc, faculty, visitor at X; if X = Caltech, include academic Division)</i>			
<i>Current Status (e.g., postdoc at Caltech; employee of Company X)</i>			
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<i>Email Address(es) (students/postdocs: please provide two emails)</i>			<i>Citizenship</i>

Author 1 was a resident of the EEA at the time this form was submitted.

### Author 2

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Author 2 was a resident of the EEA at the time this form was submitted.

**Author 3**

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<i>Status at time of contribution (e.g., grad student, postdoc, faculty, visitor at X; if X = Caltech, include academic Division)</i>		
<i>Current Status (e.g., postdoc at Caltech; employee of Company X)</i>		
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<i>Current Status (e.g., postdoc at Caltech; employee of Company X)</i>		
<i>Current Work Address</i>		
<i>Current Home Address</i>		
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<i>Email Address(es) (students/postdocs: please provide two emails)</i>		<i>Citizenship</i>

Author 4 was a resident of the EEA at the time this form was submitted.

\*From the list above, please identify **primary contact for correspondence**: \_\_\_\_\_

**3. \*Principal Investigator(s)**

*Identify the PI(s) of the laboratory/laboratories in which the Software was developed*

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## Funding and Other Resources

### 4. \*Funding Sources (actual and proposed)

*Was the Software written or developed in the performance of work funded, in whole or part, by any federal (or state) grants, contracts, or subawards; industry sponsored research; foundation grants; gifts; fellowships; or Caltech internal sources?*

*If YES, provide details below. If NO, check here: No funding supported the reported Software.*

Federal (or state) Sponsor(s)	Grant/Contract/Subaward number(s)	Principal investigator (or recipient, for fellowships)	PTA (project/task/award)
Industry or Foundation sponsored research funder(s)	Grant/Contract/Subaward number(s)	Principal investigator	PTA (project/task/award)
Other funding source(s)	Grant/Contract/Subaward number(s)	Principal investigator	PTA (project/task/award)

5. \*Did any Caltech researcher use any **non-Caltech resources** (e.g., computational facilities, supercomputers, or equipment) to develop this Software?

If **YES**, provide details below.      If **NO**, check here:      No non-Caltech resources used.

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**6. \*Third-party Software or Data**

Was any third-party code or data used in developing, or incorporated into, the Software?

If **YES**, provide details below.      If **NO**, check here:      No third-party data or Software was used.

If **yes**:

1. Please identify any program, code, files, or other libraries incorporated into the Software (include links to websites and third party licenses).
2. Please identify provider and whether there was a material transfer agreement (MTA) or data transfer/use agreement (DTUA).

## Publication(s) and Open Source

7. Has your Software been described in a publication or is a future publication date known or anticipated?

**YES**      Publication date:  
**NO**

8. \*Has the Software been released under an open source license?

**NO**, the Software has not been released under an open source license:

If **YES**, provide a **link to where the Software** can be accessed and the **type of license** under which it was released.

9. \***Do you PLAN to release the Software under an open source license?**

**NO**, the Software will not be released under an open source license:

**YES**: Please describe any restrictions under which you would like the Software to be released.

10. **Commercial interest:**

Please describe any commercial interest, if any, you have received for the Software.

## Technology Categorization

10. Please select at least one, and as many as applicable, **keywords** from the following list that apply to your Software.

- |                                 |                     |
|---------------------------------|---------------------|
| Antibodies                      | Hardware            |
| Antibiotics                     | Imaging             |
| Cardiovascular                  | Instrumentation     |
| CNS/Neurobiology                | Internet            |
| Diagnostic                      | Materials           |
| Drug delivery                   | Medical device      |
| Gene therapy                    | MEMS                |
| Immunology                      | Microfluidics       |
| Infectious disease              | Nanotechnology      |
| Oncology                        | Optics              |
| Ophthalmology                   | Photonics           |
| Orphan disease                  | Research tools      |
| Therapeutics                    | Robotics            |
|                                 | Screening           |
| Biofuels / Industrial chemicals | Semiconductor       |
| Chemical                        | Sensors             |
| Cleantech                       | Smart grid          |
| Communications                  | Software/Algorithms |
| EE/Electronics                  | Solar               |
| Energy efficiency               | Telecom/wireless    |
| Energy storage/batteries        | Water technologies  |
| Gas & Oil                       | Wind                |
| GPS                             |                     |

### \*Author Signatures (ONLY CALTECH AUTHORS SIGN)

11. All software authors required to assign rights to Caltech (i.e., Caltech faculty, postdocs, staff, or other employees; Caltech students; Caltech visitors and guests) must **sign below**.

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<i>Author 2 Signature</i>	<i>Printed Name</i>	<i>Date Signed</i>
<i>Author 3 Signature</i>	<i>Printed Name</i>	<i>Date Signed</i>
<i>Author 4 Signature</i>	<i>Printed Name</i>	<i>Date Signed</i>