



Commercialization Evaluation Report (CER)

| CER REPORT #1 – INITIAL REVIEW | | |
|--------------------------------|---|-------------------|
| ITEM | DESCRIPTION | |
| Date | | |
| Emory Tech ID | | |
| Title | | |
| Disclosure Date | | |
| Inventor(s) | | |
| Case Manager | | |
| Product/ Applications | How can this technology be applied in the marketplace (i.e., will this be a service, product or both). Example: <i>It is a blank for doing blank, etc</i> | |
| Technology Summary | A high level overview of the science behind the technology. Approximately 2 paragraphs, the first paragraph summarizing the technology, the second detailing the proof of principle data supporting the technology. | |
| | <table border="1"> <tr> <td>Unmet Need</td> <td>What unmet need this technology addresses</td> </tr> </table> | Unmet Need |
| Unmet Need | What unmet need this technology addresses | |

| | | |
|------------------------------|---|--|
| Market Summary | <p>A brief, high-level overview of the potential market. For many healthcare opportunities, this summary often involves details around epidemiology of a disease or a patient type. Identify unmet needs.</p> <ul style="list-style-type: none"> • <u>Market Size:</u> • <u>Competing technologies:</u> • <u>Potential Licensees:</u> | |
| | Competitive Advantages | <p>Bullet of the key benefits this technology over current standard.</p> |
| Ownership | <p>Please detail any joint ownership information and what actions will need to be completed</p> <p><input type="checkbox"/> Emory only</p> <p><input type="checkbox"/> VA –</p> <p><i>To Do: Request completion of VA Disclosure & Certification Form; send completed documents to VA contact & store in Inteum</i></p> <p><input type="checkbox"/> GTRC –</p> <p><i>To Do: Send copy of Emory disclosure to GTRC contact</i></p> <p><input type="checkbox"/> CHOA</p> <p><input type="checkbox"/> Other (list institution) _____</p> | |
| IP Landscape | <p>An overview of the potential IP landscape - both literature and patent search. Identify search strategy and link potentially relevant references. Avoid interpretations about obviousness.</p> | |
| Outstanding Questions | <p>Are there any outstanding questions that should be addressed or discussed with the investigator?</p> <ul style="list-style-type: none"> ▪ Technical ?s ▪ IP ?s ▪ Market ?s <p>Suggest time line for follow up with inventors on these outstanding questions or propose other solutions to address outstanding questions.</p> | |

| Discussions | <p>Have you reviewed technology with third parties? * Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If applicable, list Parties and provide comments</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: black; color: white;"> <th style="width: 30%;">Party</th> <th>Comments</th> </tr> </thead> <tbody> <tr><td style="height: 20px;"> </td><td> </td></tr> <tr><td style="height: 20px;"> </td><td> </td></tr> <tr><td style="height: 20px;"> </td><td> </td></tr> </tbody> </table> <p style="text-align: right; font-style: italic;">* Useful but not required at this stage</p> | Party | Comments | | | | | | | | | | | | | | | | |
|------------------------------|--|-----------------|-----------|-----------------|--------------------------|---|--|--------------------------|---|--|--------------------------|----------------------------------|--|--------------------------|----------------|--|--------------------------|-------|--|
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| | | | | | | | | | | | | | | | | | | | |
| Notes from Discussion | <p>To be completed after Technology Managers Meeting</p> | | | | | | | | | | | | | | | | | | |
| Decision | <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: black; color: white;"> <th style="width: 10%;"></th> <th style="width: 35%;">Next Step</th> <th style="width: 55%;">Notes/Rationale</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>Request patent filing, complete tech brief (Active)</td> <td> </td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>No patent needed to commercialize; complete tech brief (Active)</td> <td> </td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>Do not pursue (Inactive/Release)</td> <td> </td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>Hold & Revisit</td> <td> </td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>Other</td> <td> </td> </tr> </tbody> </table> | | Next Step | Notes/Rationale | <input type="checkbox"/> | Request patent filing, complete tech brief (Active) | | <input type="checkbox"/> | No patent needed to commercialize; complete tech brief (Active) | | <input type="checkbox"/> | Do not pursue (Inactive/Release) | | <input type="checkbox"/> | Hold & Revisit | | <input type="checkbox"/> | Other | |
| | Next Step | Notes/Rationale | | | | | | | | | | | | | | | | | |
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| <input type="checkbox"/> | Do not pursue (Inactive/Release) | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | Hold & Revisit | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | Other | | | | | | | | | | | | | | | | | | |
| Inventor feedback | <p><input type="checkbox"/> Inventor has reviewed, no further information</p> <p><input type="checkbox"/> Inventor has further relevant information</p> <p style="padding-left: 20px;"><input checked="" type="checkbox"/> Provide notes</p> | | | | | | | | | | | | | | | | | | |

**Changes made
after discussion?**

Provide notes on changes made after inventor feedback or time passage. Complete with notes if project is made inactive after initial vetting due to new data or other considerations.

| Hold & Revisit Update (if applicable) | | | | | | |
|---------------------------------------|--------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Date | Update Notes | Decision | | | | |
| | | Activate, file patent | Activate, no patent | Inactivate/ release | Hold & Revisit | Other |
| | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
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| CER | | | | | |
|--|---|----|-----|--------------------------|---------------------------------------|
| REPORT #2 – PRIOR TO PROVISIONAL PATENT EXPIRATION | | | | | |
| ITEM | DESCRIPTION | | | | |
| Date | | | | | |
| Conversion Date | | | | | |
| Was CER 1 presented at TMM? | Yes <input type="checkbox"/> No <input type="checkbox"/> | | | | |
| Inventor changes | List if applicable | | | | |
| Case Manager | Note if different than at CER 1 | | | | |
| Publication | <p>Has this technology been published or presented publicly?</p> <table border="1"> <thead> <tr> <th>No</th> <th>Yes</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/> (date _____)</td> </tr> </tbody> </table> | No | Yes | <input type="checkbox"/> | <input type="checkbox"/> (date _____) |
| No | Yes | | | | |
| <input type="checkbox"/> | <input type="checkbox"/> (date _____) | | | | |
| Technology Updates | <p>Brief overview of technology, focusing on any changes since prior CER</p> <ul style="list-style-type: none"> • Has the investigator performed new experiments that are relevant? • Has there been a new funding agreement on this technology? • Is there a prototype or have new chemical entities, antibodies, etc. been designed or made? • Has there been a basic change in the underlying assumptions (MOA, etc.) that warrants revisiting CER #1? | | | | |
| Market Updates | Key features of market from CER #1, plus any updates based on discussion of CER #1, updates to technology or information from marketing plan. | | | | |

| | <ul style="list-style-type: none"> • Identified markets: • Competitive products (note changes from CER 1): • Potential licensees: • Have any potential licensees been contacted or had NCS sent to them Yes <input type="checkbox"/> No <input type="checkbox"/> • Has feedback been received/interest shown/rejections? <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr style="background-color: black; color: white;"> <th style="width: 25%;">Contact</th> <th style="width: 40%;">T.B. or other</th> <th style="width: 35%;">Feedback/responses</th> </tr> </thead> <tbody> <tr style="background-color: #d9ead3;"> <td>Company</td> <td>NCS or identify form of contact</td> <td></td> </tr> </tbody> </table> | | Contact | T.B. or other | Feedback/responses | Company | NCS or identify form of contact | |
|---------------------------------|---|---|---------|---------------|--------------------|---------|---------------------------------|--|
| Contact | T.B. or other | Feedback/responses | | | | | | |
| Company | NCS or identify form of contact | | | | | | | |
| | Competitive Advantages | Ensure that any new thoughts are captured | | | | | | |
| Project Development Plan | <p>Briefly identify next steps for technology, marketing and licensing.</p> <ul style="list-style-type: none"> • Investigator’s plans for development if any <ul style="list-style-type: none"> a. Upcoming experiments b. Funding or potential funding sources • Marketing plan <ul style="list-style-type: none"> a. If direct marketing, who will be contacted, when and by case manager or inventor b. What are identified key “selling features” that are being promoted (and are these consistent with existing NCS?) c. Is there a joint marketing strategy with other technologies d. Major challenges to marketing (i.e. there is only one potential licensee identified, etc.) e. Other • Specific obstacles for licensing ‘as is’ (e.g. chemicals need to be made, no valid animal models, investigator has stopped development, etc.) <ul style="list-style-type: none"> a. Obstacles b. Are there plans to address and timeline • Answers to issues raised in CER 1 (if applicable) <ul style="list-style-type: none"> a. Note whether there were questions/what they were • Other | | | | | | | |

| <p>IP Landscape</p> | <p>Brief overview of CER 1 (i.e. “crowded,” “clear”) and breadth of likely claim scope (i.e. “broad,” “medium,” “narrow,” “pinpoint at best”). Point out if any particularly relevant art identified, especially if new. Specifically identify any changes in assumptions made at CER 1.</p> | | | | | | | | |
|--|--|-------|----------|--|--|--|--|--|--|
| <p>New Questions</p> | <p>Are there any outstanding questions that should be addressed or discussed with the investigator (also any CER 1 questions still outstanding)?</p> <ul style="list-style-type: none"> • Technical ?s • IP ?s • Market ?s | | | | | | | | |
| <p>NEEDED FROM INVESTIGATOR</p> | <p style="text-align: center;"><u>IS THERE ANY ITEM NEEDED FROM INVESTIGATOR PRIOR TO PATENT CONVERSION?</u></p> | | | | | | | | |
| <p>Discussions</p> | <p>Have you reviewed technology with third parties?* Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If applicable, list Parties and provide comments</p> <table border="1" data-bbox="492 1014 1328 1297"> <thead> <tr> <th style="background-color: black; color: white;">Party</th> <th style="background-color: black; color: white;">Comments</th> </tr> </thead> <tbody> <tr> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> </tr> <tr> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> </tr> <tr> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> </tr> </tbody> </table> <p style="text-align: right;"><i>* Useful but not required at this stage</i></p> | Party | Comments | | | | | | |
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| <p>Notes from Discussion</p> | <p>To be completed after Technology Managers Meeting</p> | | | | | | | | |

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|---|--|------------------------|--|
| Decision | Next Step | Notes/Rationale | |
| | <input type="checkbox"/> | File as PCT | |
| | <input type="checkbox"/> | File as US normal only | |
| | <input type="checkbox"/> | Refile Provisional | <u>**only available if not published**</u> |
| | <input type="checkbox"/> | Do not convert | |
| | <input type="checkbox"/> | Other | |
| Inventor feedback (after presentation) | <input type="checkbox"/> Inventor has reviewed, no further information <input type="checkbox"/> Inventor has further relevant information <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Provide notes | | |
| Changes made after Discussion | Provide notes on changes made after inventor feedback or additional data | | |



| CER REPORT #3 – PRIOR TO PCT EXPIRATION | | |
|---|---|--------------------|
| ITEM | DESCRIPTION | |
| Date | | |
| National Phase Date | | |
| Case Manager change | Note if different than at CER 1 or CER 2 | |
| Technology Updates | <ul style="list-style-type: none"> • Is there a prototype or have new chemical entities, antibodies, etc. been designed or made? • Has there been a basic change in the underlying assumptions (MOA, etc.), i.e. were the assumptions proven correct/wrong? • Other key technology updates | |
| Project Development Plan Updates | <p>Briefly identify steps for technology, marketing and licensing taken since CER 2.</p> <ul style="list-style-type: none"> • Investigator-related updates <ol style="list-style-type: none"> a. Were ‘upcoming’ experiments completed? b. Is there a prototype/pre-clinical lead, etc.? • Marketing plan <ol style="list-style-type: none"> a. Updates on direct marketing – who was contacted, feedback b. Are key “selling features” consistent with existing NCS? <ol style="list-style-type: none"> i. Note details c. Is there a new marketing strategy? <ol style="list-style-type: none"> i. Note details d. Has there been feedback? | |
| | Contact | Type of contact |
| | | Feedback/responses |

| | <table border="1"> <tr> <td data-bbox="492 197 638 317">Company</td> <td data-bbox="638 197 979 317">Tech brief or identify form of contact</td> <td data-bbox="979 197 1451 317"></td> </tr> </table> <p>e. Have there been RDAs signed?</p> <p>f. Other</p> <ul style="list-style-type: none"> • Specific obstacles for licensing | Company | Tech brief or identify form of contact | | | | | | |
|--|--|---------|--|--|--|--|--|--|--|
| Company | Tech brief or identify form of contact | | | | | | | | |
| <p>IP Landscape</p> | <p>Has there been a search report or other substantive office action/IP review? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, how did it look?</p> | | | | | | | | |
| <p>New Questions</p> | <p>Are there any outstanding questions that should be addressed or discussed with the investigator?</p> <ul style="list-style-type: none"> • Technical ?s • IP ?s • Market ?s | | | | | | | | |
| <p>Discussions</p> | <p><i>Note that at least 2 non-OTT discussions are expected for this step (email, phone or in-person all count)</i></p> <p>List Parties and provide comments</p> <table border="1"> <thead> <tr> <th data-bbox="492 1230 753 1297">Party</th> <th data-bbox="753 1230 1432 1297">Comments</th> </tr> </thead> <tbody> <tr> <td data-bbox="492 1297 753 1371"></td> <td data-bbox="753 1297 1432 1371"></td> </tr> <tr> <td data-bbox="492 1371 753 1444"></td> <td data-bbox="753 1371 1432 1444"></td> </tr> <tr> <td data-bbox="492 1444 753 1518"></td> <td data-bbox="753 1444 1432 1518"></td> </tr> </tbody> </table> | Party | Comments | | | | | | |
| Party | Comments | | | | | | | | |
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| <p>Third Party Opportunity Analysis Received?</p> | <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If Yes, provide overview</p> | | | | | | | | |

| <p>Notes from Discussion</p> | <p><i>To be completed after Technology Managers Meeting</i></p> | | | | | | | | | | | | | |
|---|--|------------------------------|--|-----------|-----------------|--------------------------|----------------------|------------------------------|--------------------------|--------------|--|--------------------------|----------------------------|--|
| <p>Decision</p> | <table border="1"> <thead> <tr> <th data-bbox="488 464 586 533"></th> <th data-bbox="586 464 786 533">Next Step</th> <th data-bbox="786 464 1446 533">Notes/Rationale</th> </tr> </thead> <tbody> <tr> <td data-bbox="488 533 586 758"> <input type="checkbox"/> </td> <td data-bbox="586 533 786 758"> National Phase ex-US </td> <td data-bbox="786 533 1446 758"> Countries: Rationale: </td> </tr> <tr> <td data-bbox="488 758 586 877"> <input type="checkbox"/> </td> <td data-bbox="586 758 786 877"> File US only </td> <td data-bbox="786 758 1446 877"></td> </tr> <tr> <td data-bbox="488 877 586 982"> <input type="checkbox"/> </td> <td data-bbox="586 877 786 982"> Do not file, offer release </td> <td data-bbox="786 877 1446 982"></td> </tr> </tbody> </table> | | | Next Step | Notes/Rationale | <input type="checkbox"/> | National Phase ex-US | Countries: Rationale: | <input type="checkbox"/> | File US only | | <input type="checkbox"/> | Do not file, offer release | |
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| <p>Inventor feedback</p> | <p> <input type="checkbox"/> Inventor has reviewed, no further information <input type="checkbox"/> Inventor has further relevant information <input checked="" type="checkbox"/> Provide notes </p> | | | | | | | | | | | | | |
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