

## Office of Technology Transfer and Corporate Partnerships Privacy Policy

### Scope of the Privacy Policy

This Privacy Policy applies to the collection, use, processing and retention of personal information by Caltech's Office of Technology Transfer and Corporate Partnerships (OTTCP). Personal information is any information that identifies or can be used to identify an individual (Personal Information). By providing your Personal Information to OTTCP, you consent to the collection, processing and retention of your Personal Information consistent with the terms of this Privacy Policy.

### Collection of Personal Information

The Personal Information that may be collected includes but is not limited to:

- Contact information, such as name, work and home address, email address, and phone numbers;
- Employment information, such as current employment status and employer name;
- Tax and financial information, such as a government identification number or social security number and bank account information; and
- Country of citizenship.

### Purposes for which Personal Information Is Collected and Processed

OTTCP may use Personal Information it collects from and about you for purposes related to the disclosure of your invention and technology, including but not limited to:

- Processing patent applications;
- Financial remuneration;
- Administrative functions, such as annual reports;
- Satisfying legal, regulatory and contractual obligations and responding to legal claims; and
- Marketing and business purposes.

### Legal Basis

The legal basis for collecting and processing your information varies based on the circumstances. Caltech may also elect to obtain your consent as an additional lawful basis for collecting Personal Information in connection with any of its business related processes. Caltech may process your Personal Information because it is necessary to the performance of a contract, for example, in connection with licensing agreements. Caltech also may process your Personal Information to comply with legal obligations or to carry out a task in the public interest.

### Recipients of Your Personal Information

For the purposes referred to in this Privacy Policy and relying on the bases for processing as set out above, we may share your Personal Information with certain third parties, such as national and foreign patent offices, law firms, and licensees.

### Data Retention

We will retain your Personal Information for as long as necessary to meet the uses described above and in compliance with legal and business document retention requirements and policies.

### Individuals Located in the European Economic Area

Consistent with the European Union's General Data Protection Regulation, OTTCP is providing this Privacy Policy to individuals located within the European Economic Area, which consists of the European Union, Iceland, Norway, and Lichtenstein. Caltech is committed to safeguarding your personal information consistent with the requirements of the General Data Protection Regulation. If you want more in depth detail about the General Data Protection Regulation, you can read [the full text of the EU legislation \[PDF\]](#).

Individuals located in the European Economic Area are provided with the following rights:

- The right to be informed about the collection and use of your personal data;
- The right to access your personal data;
- The right to object to the processing of your personal data under certain circumstances;
- The right to rectify any of your personal data that is inaccurate or incomplete;
- The right to request the deletion of your personal data;
- The right to restrict or limit the ways in which we process your personal data;
- The right to transfer or obtain a copy of your personal data in an easily accessible format;
- The right to withdraw consent;
- The right to withhold consent to automated individual decision-making processes; and
- The right to complain to a supervisory authority.

Please note that the above rights are not absolute. OTTCP may be entitled to refuse requests where certain exceptions apply. Even where you have exercised one of the rights listed above with respect to your Personal Information, we may have the right to retain your Personal Information for various purposes, including compliance with a legal obligation, for the performance of a task carried out in the public interest, for archiving purposes in the public interest, for scientific or historical research purposes, for statistical purposes, or for the establishment, exercise, or defense of legal claims.

To submit a request, please send an email message to [tye.welch@caltech.edu](mailto:tye.welch@caltech.edu).

#### **Contact Information**

Questions regarding this Privacy Policy should be referred to Caltech's Director of Compliance, Tye Welch, who may be contacted at (626) 395-8633 or [tye.welch@caltech.edu](mailto:tye.welch@caltech.edu).

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