



2019 Western Region Meeting  
September 19-20, 2019

Bio Manufacturing Partnering Forum  
September 19, 2019



## Welcome to Seattle!

Get ready to connect with colleagues, exchange ideas, ask questions, get answers and gain valuable contacts. AUTM's 2019 Western Region Meeting offers diverse programs for technology transfer newcomers and veterans alike.

### About AUTM

AUTM is the nonprofit leader in efforts to educate, promote and inspire professionals, throughout their careers, to support the development of academic research that changes the world. AUTM's community is comprised of more than 3,000 members who work in more than 800 universities, research centers, hospitals, businesses and government organizations around the globe.

The Western Region Meeting will provide 10 hours of continuing education credits for those who attend the entire meeting.

### Partnering and Networking

Sponsored by  **LONGFORD CAPITAL**  
LITIGATION FINANCE

The Western Region Meeting features AUTM Connect, our partnering and networking app that enables users to create detailed organizational and personal profiles, search for other attendees, send and receive messages, and easily search for licensing and collaboration opportunities. Get the app!



### Continuing Legal Education (CLE)

The Western Region Meeting offers two sessions that may qualify for CLE accreditation. As mandated, AUTM has applied for 2 general hours accreditation in the state of Seattle. The application status is currently pending. All attorneys who attend CLE eligible sessions during the Western Region Meeting are encouraged to apply for CLE credits in the state(s) where he/she is licensed. (Sessions A1 & Direct Enforcement of University IP are denoted as CLE Eligible)

### Western Region Meeting Program Committee

#### Committee Co-chairs

Justin Anderson, *Wisconsin Alumni Research Foundation*  
Rakhi Gibbons, *University of Arizona*

#### Program Committee

Stephen Barone, PhD, JD, *Leydig, Voit & Mayer, Ltd.*  
Forest Bohrer, *University of Washington*  
Hannah Carbone, PhD, *California Institute of Technology*  
Beth Etscheid, PhD, *Washington Research Foundation*  
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William Vaughan, PhD, *Colorado School of Mines*



## Western Region Titanium Sponsor



The National Institute for Innovation in Manufacturing Biopharmaceuticals

The National Institute for Innovation in Manufacturing Biopharmaceuticals (NIIMBL) is a public-private partnership dedicated to advancing biopharmaceutical manufacturing innovation and workforce development. NIIMBL is one of 14 institutes in the Manufacturing USA network. Each institute focuses on a different technology, but share one common goal – to drive U.S. leadership in advanced manufacturing.

## Western Region Platinum Sponsors



At Elanco, we provide those who raise and care for animals with solutions that empower them to advance a vision of food and companionship enriching life.



For more than 20 years, we have partnered with technology transfer clients to identify, protect, monetize and enforce IP,

while working within the complex world of academic research and industry collaborations. Leveraging our cross-practice team, we strive to ensure our clients are prepared for every conceivable business and legal obstacle.



Universities devote significant resources to research and

development, but often struggle to generate meaningful revenue from their intellectual property – revenue that could be used to advance their mission. Longford Capital provides financial assistance to Universities to help them realize the full value of their intellectual property, without burdening their budgets. [www.longfordcapital.com](http://www.longfordcapital.com)



Based in Southern California, KPPB was founded to mirror the forward thinking of the clients we serve. From our inception, we made a commitment to promote the culture of innovation in

the academic environment, and KPPB has come to be recognized as a valued partner at leading centers of innovation.



Congratulations to all the RTTP-certified speakers and moderators presenting at this week's Western Region Meeting. Want to showcase your expertise? Visit [www.attp.info](http://www.attp.info) and become a Registered Technology Transfer Professional candidate.





## Western Region Sponsors

### Titanium



### Platinum



### Gold



### Silver



CHRISTENSEN | O'CONNOR  
JOHNSON | KINDNESS



## Meeting Agenda

Thursday, September 19

7:00 – 5 pm

**Registration**

Location:

Emerald Foyer

7:30 – 8:30 am

**Breakfast**

Location:

Emerald I

Take the next step in your career. Learn more about CLP certification. While you do, enjoy a smoothie compliments of



8:30 – 8:45 am

**AUTM Welcome Address**

Location:

Emerald II & III

Speaker:

Richard Chylla,  
*Michigan State University*

AUTM Chair, Richard Chylla, will welcome you to Seattle, share his vision for AUTM, and discuss the issues AUTM is taking on — from advocacy initiatives to increased partnering opportunities and strategic planning.

8:45 – 10 am

**Opening Plenary**

Location:

Emerald II & III

Speaker:

Patrick Yang, former EVP and  
Head of Technical Operations,  
*Roche/Genentech*,  
Founding Board Member  
*Sana Biotechnology*

A luminary in the bio-manufacturing ecosystem, Dr. Yang will address the evolving and emerging challenges of biopharmaceutical technical operations and manufacturing. His insights into the new generation of bio manufacturing will offer actionable insights for tech transfer offices and small innovative companies seeking partners to validate and scale their technologies.

10 – 10:30 am

**Break**

Sponsored by 

Location:

Emerald I

10:30 am – Noon **Workshops**

**Western Region Session - Rainy Day Roundtable**

Location:

Emerald II

Speaker:

Joseph Janda,  
*Portland State University*

When it rains it pours, and this interactive tech transfer case study brings weather that will have you reaching for an umbrella. We'll present a scenario and some complications and invite you to problem solve. Get your

rain boots on and wade in — this session crowdsources the learning and splashes the fun on everyone.

**Bio Manufacturing Forum - Innovation in Bio manufacturing: Leveraging Technology Transfer to Advance the Manufacturing of New Therapeutics**

Location:

Emerald III

Moderator:

Gregory Theyel,  
*Biomedical Manufacturing Network*

Speakers:

Mark Fromhold,  
*Alder Biopharmaceuticals*  
Eric Klavins, *University of Washington*

Bio manufacturers are uniquely aware of the challenges faced during the development and manufacturing of biologics, and they have the responsibility to make better, faster, cheaper, and higher quality therapeutics to serving patients. Academia plays a key role in conducting fundamental research and pioneering new technologies; suppliers develop and commercialize new technologies; and regulators ensure that new advancements conform to existing guidelines or develop new guidelines in collaboration with industry. This session will probe how to leverage technology transfer between bio manufacturers, academia, suppliers, and regulators to advance the manufacturing of new therapeutics

Noon – 1:30 pm

**Lunch**

Sponsored by 

Location:

Emerald I

1:30 – 3 pm

**Workshops**

**Western Region Session - Leveraging Federal Funds to Build Your Program**

Location:

Emerald II

Speakers:

Arundee Pradhan,  
*Apio Innovation Transfer*  
Ellen Purpus,  
*University of Nevada Reno*

i6, iCorps, IDeA, REACH, FAST, STTR/SBIR and more. Learn how to leverage the alphabet soup of federal funding programs to build technology transfer and entrepreneurship capacity at your institution. In this session, we will discuss current programs, the advantages and pitfalls of applying for federal grants and strategies for success. You will also learn about valuable tools and techniques to put your best foot forward when making application.




## Meeting Agenda

Thursday, September 19 (continued)

### Bio Manufacturing Forum - Bio Manufacturing Showcase and Facilitated Networking

Location: Emerald III  
Facilitators: Vera Ares, *Merck*  
John Balchunas, *NIIMBL*  
Gregory Theyel,  
*Biomedical Manufacturing Network*  
Chris Yochim, *NIIMBL*

You will learn how the National Institute for Innovation in Manufacturing Biologicals (NIIMBL) partners with industry, academia, nonprofits, and government agencies. NIIMBL collaborates on innovative manufacturing technologies that bring these life-saving and life-enhancing products to market faster and at reduced cost, while maintaining safety and efficacy. Industry and academic representatives will have an opportunity to network and engage, while sharing areas of common interest and priority areas for collaboration.

**3 – 3:30 pm** **Break**  
Sponsored by   
Location: Emerald I

**3:30 – 5 pm** **Workshops**  
**Western Region Session –  
The True Cost of Faculty Start-ups**  
Location: Emerald II  
Speakers: Kathleen Havey,  
*University of Colorado Boulder*  
Gage Ramos,  
*Georgia Tech Research Corporation*


Start-ups are a costly business to a university. Not only are the transaction costs typically higher than other licenses to complete, but additional costs frequently arise from

issues relating to intellectual property protection and efforts to seek reimbursement of those expenses, conflict of interest management, intermediate sanctions, student protection, impacts to sponsored research, and even threatened litigation. These costs will be discussed, as well as ways to communicate and mitigate these issues.

### Bio Manufacturing Forum - Emerging Needs in Bio Manufacturing Education and Workforce Development

Location: Emerald III  
Moderator: John Balchunas, *NIIMBL*  
Panelists: Jason Davis,  
*Rensselaer Polytechnic Institute*  
Jenny Ligon,  
*National Center for Therapeutics  
Manufacturing*  
Snehal Patel, *Juno Therapeutics*

The community of education, training, and workforce development professionals are keenly focused on emerging technologies such as gene therapy, cell-based therapies, gene editing, and regenerative medicine. Caught up in the race to commercialization, industry and academia are developing new processes, new job classifications, and disruptive technologies that could change the manufacturing paradigm altogether. This session will explore how broad communication, collaboration, and partnership is critical to ensuring tomorrow's workforce is ready to drive this next wave of technology innovation and adoption.

**5 – 7:30 pm** **Welcome Reception**  
Sponsored by 

Socializing face-to-face with colleagues and industry pros has never been easier. Bring business cards!

Location: Emerald I



## Meeting Agenda


### Friday, September 20

**7:00 – 5 pm**      **Registration**  
Location:      Emerald Foyer

**7:30 – 8:30 am**      **Breakfast**  
Location:      Emerald I

**8:30 – 10 am**      **Plenary**  
Location:      Emerald II & III  
Keynote Speakers: Rhea Coler,  
*Infectious Disease Research Institute*  
Steve Reed,  
*Infectious Disease Research Institute*

Steve Reed, PhD, founder of Infectious Disease Research Institute (IDRI), and Rhea Coler, PhD, SVP of Preclinical and Translational Science, will discuss IDRI's partnering model and present a series of case studies in developing products that combat infectious disease across the globe.

**10 – 10:30 am**      **Break**  
Sponsored by  **NIXON PEABODY**  
Location:      Emerald I

**10:30 am – Noon**      **Workshops**

**A1:**      **Start-up-Friendly Licensing Practices  
CLE Eligible**  
Location:      Emerald II  
Speakers: Kathy Ku,  
*Wilson Sonsini Goodrich Rosatti*  
Angela Kujak,  
*University of California, Los Angeles*  
Bryce Pilz, *University of Michigan*  
Brynmor Rees,  
*University of Colorado Boulder*

Getting resistance to even the lowest royalty rates? Seeing faculty launch start-ups without taking a license to university IP? Spending lots of time arguing over equity structures? Wondering whether it's all worth it? Come hear various approaches to start-up licenses, including when equity-only deals are appropriate, and standard start-up license make sense. We'll discuss how to handle patent control for start-ups, different approaches to software or know-how licenses, and how to work with the various start-up stakeholders including start-up counsel investors, mentors, business founders, and of course the faculty.

**A2:**      **Spinning out University Service  
Operations Into For-profit  
Companies**

Location:      Emerald III  
Speakers: David Anderson,  
*Ampersand Capital Partners*  
David Day,  
*Southeast BIO Investor &  
Partnering Forum*  
Kirsten Leute,  
*Osage University Partners*  
Kelly Parsons,  
*University of North Carolina at  
Chapel Hill*

Many services centers are established within universities. Some of these grow to the point that they create more revenue than expenses. This is when it's appropriate to spin these services out into for-profit companies. Tech transfer offices are often the most appropriate department of the university to lead such transactions. The University of Florida has executed three of these spin-outs in recent years. A panel will discuss the benefits and intricacies of such a transaction. Can university-based service centers themselves be spun out? What is the role of the tech transfer office in doing so?

**Noon – 1:30 pm**      **Lunch**  
Location:      Emerald I

**12:45 – 1:15 pm**      **Direct Enforcement of University IP –  
A Case Study of UC Santa Barbara's  
Enforcement of Patent Rights  
Against Retailers  
CLE Eligible**

Location:      Emerald III  
Speakers: Sherylle Mills Englander,  
*University of California, Santa Barbara*  
Russell J. Genet,  
*Longford Capital Management, LP*  
Shawn G. Hansen, *Nixon Peabody LLP*  
Seth D. Levy, Partner,  
*Nixon Peabody LLP*

The University of California is enforcing IP developed at UC Santa Barbara related to filament LED technology through a large scale litigation and licensing campaign. This campaign has several unique features, with actions pending in federal court and before the U.S. International Trade Commission. This session will focus on strategies





## Meeting Agenda

### Friday, September 20 (continued)

for enforcing university IP rights, using the UC Santa Barbara campaign as a case study. We will discuss the following topics: obtaining university support for an enforcement campaign, developing an effective enforcement strategy, financing the campaign, and taking control of the public message.

**1:30 – 3 pm**

#### Workshops

**B1:**

#### Patents in Spaaaaace!

Location:

Emerald II

Speakers:

Curt Blake, *Spaceflight*  
Daniel Broderick,  
*Jet Propulsion Laboratory*  
Rob Padilla,  
*NASA Ames Research Center*  
Brendan Serapiglia,  
*Gates and Cooper LLP*  
Travis Woodland, *Portland State*

With commercial commuter spaceflight, resource mining, major increases in satellite launches, and even inter-planetary colonization on the horizon, there are limitless new opportunities for the commercialization of advanced materials, engines, sensors, energy storage, human and biosphere support systems and many other components to safe space activities. Historically, technologies destined for space travel have been the purview of governmental organizations (such as NASA and the Air Force) and their contracted equipment suppliers; however, today the commercial space industry is growing at a rapid pace, and licensing technologies to established and start-up companies presents new opportunities and challenges to university tech transfer offices.

**B2:**

#### New Trends in Open Source Licensing and Why Every TTO Should Care

Location:

Emerald III

Speakers:

Kate Downing,  
*Law Office of Kate Downing*  
Jeff Jackson,  
*University of California, Santa Cruz*  
Chris Reed,  
*University of California, Santa Cruz*  
Chuck Williams, *University of Oregon*

How does your office handle open source software?  
Does open source equal public domain? Do you require

disclosure? Do you offer dual licenses? Does some of this introduction make you want to scream, "This is not REAL open source!"? In this session, we'll cover a description of OS management systems, including an online tool to let you sleep at night. There will be a discussion of how the industry is waking up to the idea that "open and available to all" might be synonymous with "giving software away for free to the most powerful companies in the history of the world," and mechanisms to leverage it. We will also have a discussion about how long-time open source software proponents are learning to love software patents and how that might be managed.

**3 – 3:30 pm**

#### Break

Sponsored by



Location:

Emerald I

**3:30 – 5 pm**

#### Workshops

**C1:**

#### Data Licensing: Another Form of IP Licensing

Location:

Emerald II

Speakers:

Linda Hansen,  
*Providence Health & Services*  
Brian Phillips,  
*Seattle Children's Research Institute*  
Patrick Shelby, *Fred Hutchinson*  
*Cancer Research Center*  
Andrew Watson,  
*Oregon Health & Science University*

As tech transfer professionals, we work to further develop and license patented or copyrighted technology. However, there is other IP that we should also pay attention to, such as biological materials and data. Data and accompanying information, especially from clinical trials, can be an undiscovered university asset. One mission of academic research is the dissemination of knowledge, but there remain situations where key data and information do not get published and can have value to the right licensee. In this session, we'll explore the pros and cons of data licensing as a new mechanism for your university to explore.





## Meeting Agenda

**Friday, September 20** (continued)

**C2: Benefits and Challenges to Student Engagement in a TTO**

Location: Emerald III

Speakers: Justin Anderson, *Wisconsin Alumni Research Foundation*  
Doug Hockstad, *University of Arizona*  
Ragan Robertson,  
*University of California, Los Angeles*

In the past decade, many tech transfer offices (TTOs) have established fellowship programs for graduate students and postdocs. These programs provide students with exposure to patent and IP law, assessment of early-stage technologies, commercialization, and strategic business development. In exchange, students leverage the technical knowledge from their field of study to support the function of the TTO. In this session, we'll discuss the wide array of functions handled by TTOs and the models for structuring effective fellowship programs.



## New Can't-Miss Training

### Corporate Engagement Intensive Course

#### New Orleans BioInnovation Center

**Dec. 9, 2019**

The new Corporate Engagement Intensive Course uses a mix of instruction and panel discussions to maximize your learning and networking opportunities.

The course provides the fundamental background, skills and tools needed to incorporate a holistic corporate engagement mindset into your daily activities and office culture.

The full day agenda will include:

- **Corporate Engagement Overview and Life Cycle**
- **How to Do Your Homework**
- **Partnering On and Off Campus**
- **How to Do Follow-up**
- **Alliance Management**
- **Metrics and Communicating Your Success**

The Corporate Engagement Intensive Course directly precedes *Bio in the Bayou*, which is scheduled for Dec.10. Make the most of your ROI by attending both events.

Learn more about this course at [www.autm.net/CorpEngagement19](http://www.autm.net/CorpEngagement19).





# Technology Transfer Training from Your Desktop

## All-Access Webinar Pass

### Take Advantage of the All-Access Webinar Pass for University Staff Training

You can now access the latest AUTM recorded webinar training for your entire campus staff — for an entire year — at one low cost.

#### Who Benefits:

- Technology transfer office staff
- Administrators
- Licensing professionals
- Research and development staff
- New hires
- Faculty and primary investigators
- Deans and Provosts
- Government relations
- Students and others

Don't miss this opportunity to access convenient, affordable training and stay up-to-date on the latest trends. With campus-wide access, you can increase awareness of your technology transfer office and its vital role while educating university departments on commercialization and sponsored research.

#### You Will Receive:

- A dedicated webpage portal that is branded with your university logo
- Unlimited access to more than 75 recorded webinars
- Access to Annual Meeting recordings
- Topics tailored for those new to technology transfer as well as seasoned veterans

#### Webinar Topics Include:

- Anatomy of a License
- Effective Communication in Technology Marketing
- Effective Operation Strategies for Small TT Offices
- Insights into Plant Variety Protection
- Intro to IIAs, MTAs & CDAs
- Leveraging Your Innovation Ecosystem
- Metrics for Tech Transfer
- Patenting 101
- Valuation: Measuring Value

Get started today by contacting Barb Gunderson, AUTM Professional Development Manager, [bgunderson@autm.net](mailto:bgunderson@autm.net) or call +1-847-686-2386.

[www.autm.net/allaccess](http://www.autm.net/allaccess)

### Annual Pricing

University System  
\$10,000

Individual University  
\$3,000

You don't need to be a member of AUTM to take advantage of the special annual pricing rates, but there must be at least one current AUTM member on your campus to qualify. Pricing is for recorded webinars only; live webinars must be purchased.

*Since 2011, the AUTM All-Access Webinar Pass has been an excellent resource for SUNY's technology transfer, commercialization, and business development professionals. We are always looking for ways to provide effective and efficient training opportunities for our staff. AUTM makes that easy with the wealth of online resources available in this program. The diversity of content keeps us coming back year after year.*

— Matthew Mroz, Director,  
Enterprise Technology  
Transfer, Research  
Foundation for SUNY

# Join Learn Connect Collaborate

Why join AUTM? It's the bene its.

## Network

Connect with the world's largest community of technology transfer professionals and share insights, best practices and mentorship.

- ▶ **In-Person Networking** – exchange ideas with nearly 2,000 colleagues at our Annual and Region Meetings
- ▶ **Online Communities** – connect anytime with peers and mentors focused solely on technology transfer
- ▶ **Member Directory** – quickly and easily locate colleagues and contacts around the world
- ▶ **Special Interest Groups** – network with those who share your passion in specific areas

## Advance Your Career

Whether you're new to the profession or a seasoned professional, you'll find education tailored to your specific career needs.

- ▶ **Professional Development Courses** – from beginning to advanced, offered year-round
- ▶ **Webinars** – stay up-to-date with access to more than 90 courses
- ▶ **Technology Transfer Practice Manual** – discover a vast library of best practices and sample policies and agreements
- ▶ **AUTM Learning Center** – manage your professional development, continuing education and certificate programs online
- ▶ **Professional Certification** – demonstrate your qualifications and experience by earning credentials

## Measure Your Impact

AUTM is the leader in gathering and reporting key metrics about technology transfer's impact.

- ▶ **Licensing Activity Survey** – the industry's most comprehensive benchmark report on licensing income, start-ups and more
- ▶ **Salary Survey** – valuable insights on compensation and tools to map successful careers within the technology transfer profession
- ▶ **STATT** – an online, searchable database with more 25 years of licensing statistics
- ▶ **TransACT** – a comprehensive database of terms and conditions, and fair market values to help improve your negotiations

Learn more at [www.autm.net/join](http://www.autm.net/join)





# AUTM'S Antitrust Policy – What You Need to Know

AUTM has a policy of strict compliance with federal and state antitrust laws. The antitrust laws prohibit competitors from engaging in actions that could result in an unreasonable restraint of trade. Consequently, AUTM members must avoid discussing certain topics when they are together – both at formal association membership, Board, Cabinet, committee and other meetings and in informal contacts with other industry members. Please review AUTM's policy, [www.autm.net/antitrust](http://www.autm.net/antitrust) and adhere to the following:

- **DON'T** discuss prices or fees for service, costs, discounts, terms of sale or credit, warranties, profit margins, individual companies' marketing or bidding plans, pricing policies, controlling sales, allocating markets, complaints related to specific customers, or refusals to deal.
- **DON'T** joke about antitrust compliance.
- **DON'T** speak or act on behalf of AUTM or any committees unless specifically authorized to do so.
- **DON'T** participate if you think something is improper.
- **DO** alert the AUTM Chair, CEO, or legal counsel to any concerns about competitively sensitive information.

## Save the Date

### Annual Meetings

#### 2020

March 8 – 11  
Manchester Grand Hyatt  
San Diego  
San Diego, California

#### 2021

March 14 – 17  
Washington State  
Convention Center  
Seattle, Washington

### Region Meetings

#### Eastern Region

October 3 – 4  
Raleigh Marriott City Center  
Raleigh, North Carolina

### Professional Development Courses

#### Agreement Course

October 28 – 30  
Hyatt Regency Bethesda  
Bethesda, Maryland

#### Compliance Course

October 28 – 30  
Hyatt Regency Bethesda  
Bethesda, Maryland

#### IP Portfolio Course

October 28 – 30  
Hyatt Regency Bethesda  
Bethesda, Maryland

#### Corporate Engagement Intensive Course

December 9  
New Orleans BioInnovation  
Center  
New Orleans, Louisiana