



2019 Eastern Region Meeting

October 3-4

Raleigh Marriott City Center
Raleigh, North Carolina



Welcome to Raleigh!

Get ready to connect with colleagues, exchange ideas, ask questions, get answers and gain valuable contacts. AUTM's 2019 Eastern 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 800 universities, research centers, hospitals, businesses, and government organizations around the globe.

The Eastern Region Meeting will provide 10 hours of continuing education (CE) credits for those who attend the entire meeting.

Partnering and Networking

Sponsored by  LONGFORD CAPITAL
LITIGATION FINANCE

The Eastern 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 Eastern Region Meeting offers several sessions that may qualify for CLE accreditation. As mandated, AUTM has applied for 7 general hours accreditation in the state of North Carolina. The application status is currently pending. All attorneys who attend CLE eligible sessions during the Eastern Region Meeting are encouraged to apply for CLE credits in the states where they are licensed.

Sessions A2, B1, C1, D1, E2, F2, and G2 are CLE eligible.

Eastern Region Meeting Program Committee

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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.



Eva Garland Consulting

Eva Garland Consulting (EGC) provides deep expertise in securing and managing SBIR/STTR and other non-dilutive funding sources to advance technology development. Its Scientific, Grants Management, and Accounting Professionals deliver strategic guidance and technical insight to University Startups, Faculty, and Entrepreneurs throughout the US and worldwide.



Intellectual Property Law

Since 1953, Amster, Rothstein & Ebenstein LLP has focused exclusively on all facets of intellectual property law, representing University and Research Institution clients domestically and internationally, and is widely experienced in industries from consumer electronics to financial services, from apparel and retailing to semiconductors and MEMS, life sciences and medical devices.



Congratulations to all the RTTP-certified speakers and moderators presenting at this week's Eastern Region Meeting. Want to showcase your expertise? Visit www.attp.info and become a Registered Technology Transfer Professional candidate.



AUTM thanks the following sponsors for their generous support:

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Gold



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Meeting Agenda

Thursday, October 3

7 am – 4 pm

Registration

Location: State Ballroom Foyer

7 am – 4:45 pm


Exhibits

Location: State Ballroom Foyer

8 – 9 am

Breakfast

Location: State Ballroom A, B & C

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

9 – 10 am

Workshops

A1

Foundation Agreements: Is It Worth Sharing the Pie?

Location: State Ballroom E & F

Moderator: Nidhi Sabharwal,
Rockefeller University

Speakers: Brandy Houser,
Fiddlehead Foundation
Russell Kelley,
Foundation Fighting Blindness
Katharine Ku,
Wilson Sonsini Goodrich & Rosati
Corvis Richardson,
*The New York Stem Cell
Foundation Research Institute*

Foundations are moving away from traditional funding models in favor of advanced revenue sharing, where they expect a return on investment. This session covers the pros, cons, best practices and success stories.

A2

Intellectual Property Valuation for Financing, Licensing, and Partnering in AgTech *CLE Eligible

Location: State Ballroom D

Speakers: Tony Liu, *Boragen Bio*
Megan Lyman,
Alexandria Real Estate Equities, Inc.

Join us for a discussion of the challenges, pitfalls, and advantages of developing robust IP portfolios in the agricultural sectors. The long-term impact of licensing negotiations at tech transfer during a company's inception will be covered, as well as the value of licenses to attract follow-on investment and product development agreements.

10 – 10:30 am

Location:

Networking Break

State Ballroom Foyer

10:30 – 11:30 am

B1

Workshops

Direct Enforcement of University IP – A Case Study of UC Santa Barbara's Enforcement of Patent Rights Against Retailers *CLE Eligible

Location:

State Ballroom E & F

Moderator:

Russell Genet,
Longford Capital Management LP

Speakers:

Shawn Hansen, *Nixon Peabody LLP*
Evan Langdon,
Adduci Mastriani & Schaumberg LLP
Seth Levy, *Nixon Peabody LLP*
Sherylle Mills Englander,
*University of California,
Santa Barbara*

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

B2

Release the Kraken - A Study of the Triangle Venture Alliance in North Carolina's Research Triangle Region

Location:

State Ballroom D

Moderator:

Kultaran Chohan,
North Carolina State University

Speakers:

Lisa Chang,
North Carolina State University
Wade Fulghum,
North Carolina State University
Shawn Troxler,
North Carolina State University

In the past two years, the Triangle Venture Alliance (TVA) in North Carolina's Research Triangle Region has attracted 500+ members who have deployed \$32+ million in early-stage capital to advance the growth of 47 university-affiliated companies. Four universities — Duke, UNC-Chapel Hill, NC State, and NC Central University — have all set up networks to compose the TVA, a multi-university collaboration between the Duke Angel Network, the Carolina Angel Network, the Wolfpack Investor Network,



Meeting Agenda

Thursday, October 3 (continued)

and the Eagle Angel Network. With funding from many sources including the EDA Regional Innovation Strategies Seed Fund Support grant and NC IDEA, this session will provide insight on what it took to create, launch, support, and grow this organization.

11:35 am – 12:35 pm **Plenary I: Industry Forum**

Sponsored by  AMSTER
ROTHSTEIN
& EBENSTEIN LLP
Intellectual Property Law

Location: State Ballroom D
Moderators: Prabhpreet Singh Gill, *Princeton University*
John A. Zurawski, *Ballard Spahr LLP*
Speakers: Alisa Band, *ICL – Innovation Group*
Joerg Bauer, *BASF*
Staton Noel, *Panaceutics*
Bruce Taillon, *Elanco Animal Health*
Paul Volden, *Taconic Biosciences*

Learn what industry representatives from a broad cross-section of fields are seeking from university licensing and collaborative research partnerships. Companies will pitch their wants and needs to the audience at a rapid pace. As a participant, you will gain insights on connecting with the right industry colleagues for licensing and collaborative research opportunities.

12:35 – 1:45 pm **Lunch**

Sponsored by  Elanco

Location: State Ballroom A, B & C

1:45 – 2:45 pm **Workshops**

C1 **Future-proofing Patent Claims
Against the Rising Bar of Written
Description and Enablement for
Biotech Inventions**
***CLE Eligible**

Location: State Ballroom E & F
Moderator: Jeffrey Childers, *Casimir Jones SC*
Speakers: Kultaran Chohan, *North Carolina State University*
Champ Gupton, *The University of North Carolina at Chapel Hill*
Laura Mitchell, *Johns Hopkins Technology Ventures*
Lisa Mueller, *Casimir Jones SC*
Peter Schlueter, *Casimir Jones SC*

When deciding whether to pursue patent protection for a biotechnology invention, Applicants and their TTO

representatives are often forced to navigate the catch-22 associated with the increasingly stringent requirements of Written Description and Enablement in US patent law. Despite the commercial interest in many cutting-edge areas of biotechnology (e.g., immunotherapy), gaining access to financial support is hampered by an inability to obtain broad patent claims due to these rising disclosure requirements. And, unfortunately, obtaining broad patent claims that comply with these requirements often necessitates generating data with a breadth and depth that is cost-prohibitive to most university researchers. This session will clarify the legal landscape in this area and provide strategies for navigating this challenging predicament.

C2 **Carolina Express License
Agreement – A Decade of Impact**

Location: State Ballroom D
Moderator: Kelly Parsons, *The University of North Carolina at Chapel Hill*
Speakers: Trude Amick, *The University of North Carolina at Chapel Hill*
Kirsten Leute, *Osage University Partners*
Ken Porter, *University of Maryland*

March 2020 marks the tenth anniversary of the signing of the first Carolina Express License Agreement. Since its adoption, a growing number of institutions across the country have also developed start-up express licenses with unique terms and conditions. We will discuss the evolution of the Carolina Express License, how other institutions have adapted the approach for their needs and goals, and the impact these licenses have made on academic technology transfer (i.e. achieving transparency, building trust, enhancing execution efficiency, and enabling funding).

2:45 – 3:15 pm **Networking Break**

Location: State Ballroom Foyer

3:15 – 3:30 pm **AUTM Welcome Address**

Location: State Ballroom D
Speaker: Ken Porter, *University of Maryland*

Ken Porter, member of AUTM's Board of Directors, welcomes you to Raleigh and shares AUTM's vision – from advocacy initiatives to increased partnering opportunities and strategic planning.




Meeting Agenda

Thursday, October 3 (continued)

3:30 – 4:45 pm

**Plenary II: Pitch, Please!
Positioning University Start-ups
for Success**

Sponsored by  **EGC**
E-Garland Consulting

Location: State Ballroom D
MC: John A. Zurawski,
Ballard Spahr LLP
Start-ups: Javier Atencia, *PathOtrak, LLC*
Michael Biron, *Altis Biosystems*
Pouya Dianat,
Nanograss Photonics
Kurt Koehler, *Algalco*
Scott Minniear,
NeuX Technologies, Inc.
Judges: Ken Purchase,
Wolfpack Investor Network
Tony Stanco,
National Angels/NCET2
Robert Williams,
Triangle University Fund

Technology transfer offices (TTOs) are increasingly expected to help position university start-ups for success. But how do they do that? Learn from institutional investors as they provide feedback to three academic entrepreneurs, who will pitch their technologies to a panel of venture capitalists (VCs), start-up development officers, angel investors, and corporate VCs. These academic entrepreneurs will each give a five-minute pitch and receive 10 minutes of investor feedback, helping them understand how to create start-ups for market success. The investor panel will provide a Q&A for the audience to address common TTO-investor issues around creating, developing and funding university start-ups.

5 – 7 pm

**Offsite Reception
The Stockroom at 230
230 Fayetteville Street, 2nd Floor
Raleigh, North Carolina**

Join us for an offsite reception in a great urban venue. Come and enjoy the relaxed vibe and chic atmosphere right in the heart of Raleigh's downtown business district. This is a "can't-miss" event.

We will be walking to the reception. It is a five-minute walk from the hotel. To walk to The Stockroom at 230, when you exit the hotel, head north on Fayetteville Street toward E. Davie Street. The Stockroom at 230 will be on the left-hand side.

Friday, October 4

8 am – 2 pm

Location: State Ballroom Foyer

Registration

8 am – 3:15 pm

Location: State Ballroom Foyer

Exhibits

8 – 9 am

Location:

Breakfast

State Ballroom A, B & C

9 – 10 am

D1

Location:

Speaker:

Workshops

**Regulatory and Patent
Exclusivities for Life Science
Companies
*CLE Eligible**

State Ballroom E & F

John A. Zurawski,
Ballard Spahr LLP

Patent applicants and their licensees have several decisions to make when prosecuting their patents, but often there are questions about when or how intellectual property (IP) counsel should work with FDA regulatory counsel to best prepare for the commercial launch of a drug or biologic. In this session, we'll discuss how stakeholders should focus on cohesion between the overall business strategy and IP realities related to exclusivity, which might inform a university licensor of how or why certain business decisions are made by licensee's drug product development.

D2

Location:

Moderator:

Speakers:

**Tenure and Promotion Trends:
Current Initiatives to Take
Commercialization into Account**

State Ballroom D

Laura Schoppe, *Fuentek LLC*

Daniel Stancil,
North Carolina State University

Justin Streuli,
*University of North Carolina
Greensboro*

In late 2015, the Association of Public and Land-Grant Universities (APLU) issued a report calling on its member institutions to include technology transfer, innovation, and entrepreneurship accomplishments in the tenure and promotion (T&P) review process, seeing them as "one manifestation of meritorious faculty work." At that time, APLU had identified 40 institutions that considered tech transfer activities in making T&P decisions. Since APLU's report, even more universities — not only public but also private — have included patents, industry-sponsored



Meeting Agenda

Friday, October 4 (continued)

research, and other related activities into T&P criteria. This session will examine the wide range of initiatives universities have undertaken to include tech transfer in T&P reviews, providing a historical perspective along with the latest trends.

10 – 10:30 am **Networking Break**
Location: State Ballroom Foyer

10:30 – 11:30 am **Workshops**
E1 **What to Look for in Contingency Fee Arrangements When Deciding to Enforce University Patent Rights**

Location: State Ballroom E & F
Moderator: Brian Eller,
 North Carolina State University
Speakers: John Cotter, *K & L Gates LLP*
 Steve Gardner,
 Kilpatrick Townsend & Stockton LLP
 Michael Nicolas,
 Longford Capital Management, LP
 Dean Stell, *Wake Forest Innovations*
 Shawn Troxler,
 North Carolina State University

In this session, we'll focus on the many different considerations that universities face when deciding whether to enter into contingency fee arrangements for enforcing their patent rights. We will discuss how litigations funding entities work with law firms and universities, the advantages and disadvantages of working under a contingency fee arrangement, and the decision process that occurs within universities on when to reach out to law firms to seek a contingency fee arrangement. We will examine what makes an attractive contingency fee case and what is expected out of the university inventors, technology transfer office, and other university stakeholders.

E2 **Inventions in the Life Sciences - Is There Anything Left to Patent? *CLE Eligible**
Location: State Ballroom D
Moderator: Warren Woessner,
 Schwegman Lundberg & Woessner
Speakers: Courtenay Brinckerhoff,
 Foley & Lardner LLP
 Robert Stoll, *DrinkerBiddle*

The courts and the USPTO have struggled to determine which inventions are patent-eligible and which inventions

are patent-ineligible laws of nature, natural products and abstract ideas. While the patent office has made some progress in its attempts to contain overly broad definitions of "abstract idea," claims to inventions in the life sciences, particularly claims to diagnostic methods and nature-derived products, remain difficult to obtain.

This panel will summarize the history and the latest developments in these areas, possible strategies to obtain meaningful patent protection and the possibility of legislative fixes in the patent statutes.

11:35 am – 12:35 pm **Plenary III: Case Study of University Gene Therapy Spinout**
Location: State Ballroom D
Speaker: Tim Ferguson,
 Asklepios BioPharmaceutical, Inc.

"AskBio's Tumultuous Ride to Achieve Unicorn Status" was the headline of the July 5 cover story in the Triangle Business Journal. In this session, AskBio's legal counsel will detail Asklepios BioPharmaceutical's 18-year journey from a fledgling UNC spin-out, to landing the largest-ever Series A round for a gene therapy company and the largest single investment for a life sciences company in North Carolina.

12:35 – 1:45 pm **Lunch**
Location: State Ballroom A, B & C

1:45 – 2:45 pm **Workshops**
F1 **Critical Considerations for Bayh-Dole Compliance 2019**
Location: State Ballroom E & F
Moderator: Nikki Borman, *Borman & Company*
Speakers: Irene Abrams,
 Boston Children's Hospital
 Nila Bhakuni, *Dartmouth College*
 Robert Sahr,
 Wolf, Greenfield & Sacks

A heightened interest in Bayh-Dole compliance has emerged over the past year giving rise to scrutiny of recipient entities by federal agencies and other special interest groups. High profile actions taken to enforce compliance, along with changes made to the manner and the content of compliance, have heightened the stakes. In this session, we will discuss the critical considerations that technology transfer offices confront and how to navigate the new playing field.



Meeting Agenda

Friday, October 4 (continued)

F2 **Blockchain Stacks: What Universities Need to Know**
***CLE Eligible**

Location: State Ballroom D

Moderator: Charles R. Macedo,
Amster Rothstein & Ebenstein LLP

Speakers: Barry Brager, *Perception Partners*
 Gene Slowinski,
Rutgers Business School

In this session, we will discuss the various elements of the blockchain stack and how universities and start-ups are adding technology to the stack, and where opportunities lie to protect and monetize these contributions. The panelists will also discuss real world examples of Universities working with blockchain technologies.

2:45 – 3:15 pm **Networking Break**

Location: State Ballroom Foyer

3:15 – 4:15 pm **Workshops**

G1 **How to Leverage Internal University Resources to Increase Industry Partnerships**

Location: State Ballroom E & F

Moderator: Richard Swatloski,
University of Alabama

Speakers: Cat Donaldson,
Cold Spring Harbor Laboratory
 Chase Kasper,
Clemson University Research Foundation

As the scope of technology transfer has expanded, so have the expectations and breadth of industry engagement and how we must interact to ensure success. In this session, we will explore: overcoming internal siloes, engagement and the tech transfer life cycle, relationship management strategies, prospecting and the work involved, identifying pain points, barriers, challenges and opportunities, metrics and communicating and examples of what works well.

G2 **I is for Innovation, not Investigation: SBIR grants and Government Scrutiny of University-Small Business Relationships**
***CLE Eligible**

Location: State Ballroom D

Speakers: Michael Brignati,
The Pennsylvania State University
 Daniel Walworth,
Duane Morris, LLP

An increased level of government enforcement surrounding Small Business Innovation Research (SBIR) grants warrants increased attention to compliance by institutions encouraging participation in the SBIR program to stimulate commercialization of research. In this session, we will discuss individual prosecutions and convictions that involve relationships between professors, universities, and the small businesses in which professors have had a financial interest. Even in the best of circumstances, an institution's role in a government investigation involving a small business or professor can impose significant costs and create disruption.

4:15 pm **Meeting Adjourns**





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- 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 or call +1-847-686-2386.

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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

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Why join AUTM? It's the benefits.

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
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- ▶ **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

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- ▶ **Webinars** – stay up-to-date with access to more than 100 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

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- ▶ **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 than 25 years of licensing statistics
- ▶ **TransACT** – a comprehensive database of terms and conditions, and fair market values to help improve your negotiations

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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, 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

2023
February 19 – 22
JW Marriott
Austin, Texas

2024
February 18 – 21
San Diego Marriott Marquis
San Diego, California

2025
March 2 – 5
Gaylord National Resort &
Convention Center
Washington, DC

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